

# Corporate Risk Register 2014-15 Q4 post-review



Report Type: Risks Report

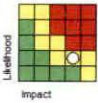
Generated on: 18 May 2015

Rows are sorted by Risk Score

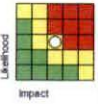
**Code & Title** CRR-Dimension-01 Overarching strategic risks



Risk Code	Description	Risk Factors	Internal Controls	Current Impact	Current Likelihood	Current Rating	Current Risk Matrix	Last Review Date	Risk Comment	Action Code	Further Action Planned	Due Date	Progress	Latest Comment	Assigned To
CRR-D01-011	The impact of the outcome of the general election on corporate priorities and funding	Financial Community	Scanning of media and press releases  Membership of Local Government Association and SPARSE  Professional memberships (SOLACE, CIPFA)  Transformation programme	4	4	16		23-Apr-2015	23-Apr-2015 No change in rating						
CRR-D01-012	The impact of the outcome of local elections (financial position, strategic direction)	Financial Reputational Community	Corporate planning cycle/corporate strategy  Budgetary control process	4	2	8		23-Apr-2015	23-Apr-2015 No change in rating						

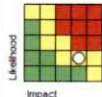
APPENDIX A

CRR-D01-013	Failure of electoral process resulting in a reputational risk for the Council	Financial Reputational Legal	Detailed project plans  Bespoke risk registers  Experienced team & access to additional experienced staff  Training  Mutual support from other LAs and professional organisations  Reserve funding and ongoing revenue funding	4	2	8		18-May-2015	18-May-2015 No change in rating. Issues relating to boundaries were adequately resolved prior to election with no adverse impact on the electoral process.						
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**Code & Title** CRR-Dimension-02 Financial management & control




Risk Code	Description	Risk Factors	Internal Controls	Current Impact	Current Likelihood	Current Rating	Current Risk Matrix	Last Review Date	Risk Comment	Action Code	Further Action Planned	Due Date	Progress	Latest Comment	Assigned To
CRR-D02-018	Unavoidable budget pressures exceed provision within the MTFS	Financial	Service Delivery Planning  Budgetary control system  CT/HoS consider financial pressures  Key variances report  One Team programme	3	3	9		18-May-2015	18-May-2015 No change in rating, however, the business rates pool position is not yet known for Gloucestershire. This could be a significant budgetary issue.						

CRR-D02-027	Vision 2020 does not progress and additional savings are not made	Financial Reputational	Programme Board Local Political Support National Political Support Early Engagement with employees and Unions Funding provided to develop detailed business case	3	3	9	 Likelihood Impact	23-Apr-2015	23-Apr-2015 No change in rating. Programme Managers have been appointed to the 2020 Vision . Staff briefings held in March at each Council. The 2020 Vision is progressing as expected										
CRR-D02-009	Investments in financial institution fail leading to a fall in income	Financial Reputational	Robust strategies and processes Appropriate external advice Risk assessment Audit assurance Dedicated staff Spread of investment Quarterly Treasury management report to Audit & Scrutiny committee Half yearly report and four year report to Full Council	4	2	8	 Likelihood Impact	23-Apr-2015	23-Apr-2015 No change in rating										

CRR-D02-015	Strategic alliance with W. Oxon fails leading to failure to deliver financial savings	Financial Reputational Legal	<p>Communication</p> <p>Develop relationships between officers and between Members</p> <p>Joint Corporate Team meetings &amp; Joint Heads of Service meetings</p> <p>Joint reports to Cabinet</p> <p>Joint working protocols</p> <p>One Team programme</p>	4	2	8		23-Apr-2015	23-Apr-2015 No change in rating	CM-CP25	31-Mar-2018	30%	<p>23-Apr-2015 The revised senior management structure became fully operational on 1st April 2014, and will deliver annual savings of £150k for this Council. The revised structure was also designed to be sufficiently flexible to deliver further opportunities in the future. The departures of the Shared Head of Public Protection at the end of Q3, the Strategic Director for Planning at the end of Q4, and the Shared Head of Customer Services in Q1 of 2015/16 will mean that some of these savings will be achieved earlier than originally expected. Savings from a greater sharing of officers and services in particular within the individual units affected by the senior management restructure, have so far been limited as some projects that would have come forward have been rolled into the 2020 Vision programme. As the 2020 Vision programme develops, it is likely that it will become the main delivery mechanism for Council's savings, and any undelivered savings from the Joint Working Strategy will be rolled into this programme.</p>	Corporate Team
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CRR-D02-020	Unable to achieve salary underspend of £300,000 in 2014/15	Financial	Salary monitoring report discussed at SMT on a monthly basis  Managers can access online salary control reports  Strategic Directors manage vacancies by authorising advertisement of posts	3	2	6		18-May-2015	18-May-2015 No change in rating							
CRR-D02-023	The impact of the financial cost of responding to civil emergencies in the district	Financial	Mutual aid arrangements/Be lwin scheme  Insurance of council's assets and some loss income  General Fund Working Balance	2	3	6		23-Apr-2015	23-Apr-2015 No change in rating							
CRR-D02-024	Unable to meet savings required to balance the budget	Financial Performance Community	Regular meetings with Members and Cabinet  MTFS and budget process  CT/SMT discussions and lead  One Team Programme	3	2	6		18-May-2015	18-May-2015 No change in rating. Significant budget underspend achieved							
CRR-D02-002	Failure to meet income targets	Financial Performance Community	Systems of budgetary control  Appropriate marketing of services and consideration of effective charging levels  Project management arrangements	2	2	4		18-May-2015	18-May-2015 No change in rating. Income for planning applications and land charge searches applications have over-achieved. Although Building Control income has under-achieved, expenditure has also reduced							



CRR-D02-005	A legal challenge leading to financial or policy implications	Financial Legal Reputational	Managerial advice and supervision  Legal advice and effective role of monitoring officer  Robust internal procedures  200k in MTFS for planning appeals	2	2	4		23-Apr-2015	23-Apr-2015 Likelihood reduced from 4 to 2. Cotswold Water Park concluded and we will be seeking to recover costs. Land Charge litigation has also been settled.						
CRR-D02-010	Significant increase in energy costs	Financial	Asset management planning  Budgetary control  Energy monitoring  Carbon Management programme  Inflationary impact built into MTFS	2	2	4		23-Apr-2015	23-Apr-2015 No change in rating. Solar PV installations are being investigated for Trinity Road, Bourton Leisure Centre and Resource centre; an initial desktop survey of the sites has been carried out and a proposal produced.						
CRR-D02-017	Level of pay inflation exceeds provision in the MTFS	Financial	National negotiations on pay award	2	2	4		23-Apr-2015	23-Apr-2015 No change in rating						


**Code & Title** CRR-Dimension-03 Customer focus

Risk Code	Description	Risk Factors	Internal Controls	Current Impact	Current Likelihood	Current Rating	Current Risk Matrix	Last Review Date	Risk Comment	Action Code	Further Action Planned	Due Date	Progress	Latest Comment	Assigned To
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
CRR-D03-007	Failure to consult properly leading to a risk of challenge on decisions	Community Reputational Legal Financial	Press and PR officer Cotswold News Engagement strategy Neighbourhood coordination meetings Annual Town & Parish council meetings Annual Budget consultation	3	2	6		23-Apr-2015	23-Apr-2015 No change in rating						
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**Code & Title** CRR-Dimension-04 Organisational learning, staffing & development




Risk Code	Description	Risk Factors	Internal Controls	Current Impact	Current Likelihood	Current Rating	Current Risk Matrix	Last Review Date	Risk Comment	Action Code	Further Action Planned	Due Date	Progress	Latest Comment	Assigned To
CRR-D04-010	Lack of capacity to maintain service delivery leading to reduced service delivery performance	Performance Reputational Community	Flexible working Performance management framework Partnership working	3	4	12		23-Apr-2015	23-Apr-2015 No change in rating. Some capacity issues across the Council. Discussions held at Heads of Service meeting re ensuring vacancies are filled						
CRR-D04-003	Failure to recruit suitable staff, particularly in some key service areas	Performance Financial Reputational Community	Financial incentives (market force supplement scheme) Work with partners to address skill shortages	3	3	9		23-Apr-2015	23-Apr-2015 Reduced likelihood from 4 to 3. Recruitment issues in Development Management service has largely been resolved, with all planning officer posts filled by June 2015.						

CRR-D04-009	Low staff morale and motivation leading to reduced level of service delivery	Performance Community	Communication  Comprehensive consultation and engagement process  Change management training  Joint Liaison Forum  2020 Engagement Strategy	3	3	9		23-Apr-2015	23-Apr-2015 No change in rating						
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**Code & Title CRR-Dimension-05 Business processes**

Risk Code	Description	Risk Factors	Internal Controls	Current Impact	Current Likelihood	Current Rating	Current Risk Matrix	Last Review Date	Risk Comment	Action Code	Further Action Planned	Due Date	Progress	Latest Comment	Assigned To
CRR-D05-013	Reduced capacity to respond to an emergency leading to inability to deal effectively during emergencies and reputational damage	Reputational Legal Financial Community Performance	Contract terms with SLM and GOSS e.g. use of leisure centre as a rest centre  Mutual aid arrangements  Good will of staff  Ward Members, Town & Parish Councillors on hand/training provided  Enhanced community resilience arrangements	3	4	12		23-Apr-2015	27-Apr-2015 No change in rating. Changes in Corporate Team structure and 2020 Vision appointments has resulted in a lack of senior officer resilience at higher levels of the emergency planning response team structure. Action is now being taken to resolve this. In the longer term, there will be a cross cutting piece of work involving the four partners of the 2020 Vision programme						

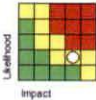
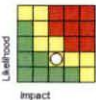


CRR-D05-001	Poor data quality and use of information leading to poor decision making	Reputational Financial Legal Performance Community	Internal processes and self assessments  Internal audit assurance and support  Dedicated staff resource on performance management and data quality  Performance Management Framework	3	3	9		23-Apr-2015	23-Apr-2015 No change in rating						
CRR-D05-010	Interruption of services due to severe weather	Performance Community Reputational	BCPs  Weather reports/national news  Remote working solution available to staff	3	3	9		23-Apr-2015	23-Apr-2015 No change in rating. Officers with laptops have been advised to take them home						
CRR-D05-014	Loss of buildings leading to inability to operate/deliver services	Reputational Financial Legal Performance Community	BCPs including ICT contingency plans  Remote access  Mutual aid through Shared working strategy  Insurance  Fail over protocol	4	2	8		23-Apr-2015	23-Apr-2015 No change in rating. Services are reviewing their Business Continuity Plans						

CRR-D05-011	IT System / infrastructure failure due to virus results in reduced system performance leading to poor service delivery/financial impact	Performance Financial Legal Reputational	Preventative measures introduced such as blocking of USB and other devices  Undertaken and passed a central government ICT audit, meeting the very high standards set for network security  Introduction of new / revised joint policies  Periodic staff awareness training  BCP in place and reviewed & tested	3	2	6		23-Apr-2015	23-Apr-2015 No change in rating								
CRR-D05-012	Loss of data (both on site and as a result of remote/mobile working) / security failure in our IT systems resulting in a reputational/financial risk to the Council	Performance Financial Legal Reputational	Preventative measures introduced such as blocking of USB and other devices  Undertaken and passed a central government ICT audit, meeting the very high standards set for network security  Introduction of new / revised joint policies  Periodic staff awareness training  BCP in place and reviewed & tested	3	2	6		23-Apr-2015	23-Apr-2015 No change in rating								

**Code & Title** CRR-Dimension-06 Longer term risks

Risk Code	Description	Risk Factors	Internal Controls	Current Impact	Current Likelihood	Current Rating	Current Risk Matrix	Last Review Date	Risk Comment	Action Code	Further Action Planned	Due Date	Progress	Latest Comment	Assigned To
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CRR-D06-002	Staff injured undertaking Council duties (including mobile working/travelling to partner sites)	Legal Financial Reputational	Health and Safety procedures  Access to weather forecasts  Lone workers policy  Business Continuity Plans	4	2	8		23-Apr-2015	23-Apr-2015 No change in rating. Following the Health and Safety audit, all services have received their Health and Safety reports and action plans												
CRR-D06-004	Growing and changing flood plains requires an emergency response to flooding over a larger area	Community Reputational Financial Legal	Flood community resilience work & community emergency plans/flood warden scheme  Multi-agency response plans  Environment Agency local flood warning plan  Strategic Flood Risk Assessment  Gloucestershire Strategic Emergency Plan  Flood mitigation action plan  Local Plan will identify settlements suitable for housing	3	2	6		23-Apr-2015	23-Apr-2015 No change in rating												