

**Chesterfield Borough Council Strategic Risk Register 2015/16**

Total Risk Score: Likelihood x Impact. Rating Key:

<b>0-4 Green</b>	<b>5-14 Amber</b>	<b>15+ Red</b>
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CAUSE	EFFECT	ACTIONS UNDERTAKEN TO MITIGATE THE RISK	CURRENT RISK RATING LIKELIHOOD /RISK IMPACT	FURTHER ACTION REQUIRED/DATE	TARGET RISK RATING LIKELIHOOD /RISK IMPACT/DATE	RISK LEAD
<b>SR1 - Financial Sustainability</b>						
<p><u>Changes in:</u> RSG, Business Rates retention &amp; growth, Council Tax limitation &amp; collection rates, New Homes Bonus, etc. Cost pressures e.g. pensions, pay, inflation, interest rates, etc. Other unforeseen events Contracts – re-tender of the Waste Contract in 2018</p>	<p>Re-assessment of the range &amp; scope of services currently provided &amp; the Corporate Plan priorities Short-term use of reserves Worst case – financial failure Critical external inspection/audit reports Damage to reputation Public expectations/</p>	<p>5-year MTFP produced Prudent assumptions re income levels &amp; collection rates Budget monitoring &amp; reporting (to FPG, Scrutiny &amp; Cabinet) Great Place: Great Service Programme approved Asset Management Plan</p>	<p><b>Likely</b> <b>Very High</b> <b>(4 x 5) =</b> <b>Score 20</b></p>	<p>Horizon scanning to identify future pressures &amp; opportunities (on-going) Rigorous budget monitoring to identify variances early &amp; implement corrective action (quarterly) Regularly update the assumptions in the 5-year MTFP &amp; model the options (quarterly) CMT/Exec Members Budget</p>	<p><b>Highly Unlikely</b> <b>High</b> <b>(1 x 4) =</b> <b>Score 4</b></p>	Chief Finance Officer

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	reaction Loss of Member confidence Loss of staff morale Impact on Asset Management Plan Significant increase in the cost of the waste contract			Group to Identify & implement further budget cuts required to eliminate forecast deficits (on-going)		
<b>SR2 – Transformation - Programme &amp; Project Management e.g. Great Place: Great Services</b>						
Failure to develop & implement the required projects due to capacity issues, skills gaps, resistance to change, poor project mgmt. etc.	Loss of expertise & or experienced staff Scarce resources not used effectively Budget shortfalls Delivery timelines not adhered to Increase in financial costs	Transformation Strategy produced Project Academy Leisure Legacy Project embedded Great Place: Great Service Programme Staff & Union consultation	<b>Possible</b> <b>Very High</b> <b>(3 x 5) =</b> <b>Score 15</b>	Delivery of the current savings targets CMT to prioritise resources onto cash releasing projects Identify & secure other savings required to bridge any forecast deficit Post implementation	<b>Highly Unlikely</b> <b>High</b> <b>(1 x 4) =</b> <b>Score 4</b>	Business Transformation Manager

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		Political leadership & TU's meetings		reviews Training of a wider group of staff in transformation techniques		
<b>SR3 - Workforce Capacity &amp; Capability e.g. right size, right skills:</b>						
<p>Loss of key people within the organisation e.g. loss of corporate memory &amp; key skills</p> <p>Lack of training – due to for example budget pressures</p> <p>No effective succession planning</p> <p>Difficulties in recruitment &amp; retention of key skills/staff</p> <p>Lack of mid to long term planning</p>	<p>Inability to deliver services to the desired standard or projects effectively</p> <p>Performance suffers due to low morale &amp; job fears</p> <p>Increased sickness (stress related)</p> <p>Impact on staff health &amp; well being</p> <p>Financial e.g. severance costs arrangements</p>	<p>Workforce Strategy produced</p> <p>EPD process/ Competency frameworks</p> <p>Communications - Leader/CEO staff briefings, Borough Bulletin, etc.</p>	<p><b>Possible</b></p> <p><b>Medium</b></p> <p><b>(3 x 3) =</b></p> <p><b>Score 9</b></p>	<p>Implement the strategy (31 Mar 2015)</p> <p>Identify opportunities for staff development &amp; succession planning (31 Mar 2015)</p> <p>Review of staffing (as per service plans)</p> <p>Voluntary redundancy/early retirement scheme (on-gong)</p> <p>Internal Comms Strategy (31 Mar 2015)</p>	<p><b>Unlikely</b></p> <p><b>Low</b></p> <p><b>(2 x 2) =</b></p> <p><b>Score 4</b></p>	Service Managers

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<b>SR4 – Investment &amp; development of the ICT infrastructure</b>						
Lack of financial or staffing resources for investment  Flawed business cases  Reliance on Partner negotiations may be required	Inefficient & expensive services  Project delays  Public satisfaction & expectations  Member frustration	ICT Strategy approved & implementation structure set up  Invest-to-Save budgets approved  Consultation on priorities  Cost/savings sharing model developed  Strategies incorporated into GP:GS	<b>Likely</b> <b>Very High</b> <b>(4 x 5) =</b> <b>Score 20</b>	Implement the Strategy & Governance arrangements  Monitor Customer Services cost/savings sharing model.	<b>Possible</b> <b>Medium</b> <b>(3 x 4) =</b> <b>Score 12</b>	Business Transformation Manager
<b>SR5 – Emergency Planning &amp; Business Continuity</b>						
Inadequate or untested plans in place to respond to extreme events	Loss of or damage to life or property  Financial - loss of	Robust plans in place  Test exercises	<b>Possible</b> <b>Medium</b>	Continue to update plans to take account of new &	<b>Possible</b> <b>Low</b>	Emergency Planning Officer

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(e.g. severe weather, flooding, flu pandemic)	revenue/additional costs  Disruption to services  Damage to reputation	undertaken  Commission advice from DCC  Snow Wardens Scheme  Improvements to ICT controls & back-up systems approved  Investment in ICT infrastructure	<b>(3 x 3) = Score 9</b>	emerging matters  Implement new ICT environmental controls & back-up arrangements  BCP's regularly reviewed & additional measures implemented	<b>(3 x 2) = Score 6</b>	
<b>SR6 – Protecting the Public &amp; Staff (Health &amp; Safety)</b>						
Failure to manage the health & safety risks of the Council's undertakings  Lack of training  Budget pressures  Ageing	Death or injury  Damage to property or the environment  Litigation or prosecutions  Financial - claims  Damage to	Corporate H&S Group established  Preparation of Corporate H&S Policy  3 year H&S Improvement Programme agreed.	<b>Possible High (3 x 4) = Score 12</b>	Corporate H&S staff to undertake audits to ensure that:  a) Policies & procedures are implemented & reviewed regularly &  b) The actions in the	<b>Unlikely High (2 x 4) = Score 8</b>	Business Transformation Manager

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infrastructure	reputation	<p>Service level H&amp;S Plans.</p> <p>Control of Contractors procedures &amp; Group established.</p> <p>Transport Code of Practice approved &amp; being implemented.</p> <p>Two external H&amp;S audits</p>		Improvement Programme are implemented.		
<b>SR7 – Welfare Reform</b>						
<p>Reduction in benefits and requirement to pay some Council Tax</p> <p>Bedroom tax/Benefits cap</p> <p>Direct payment of benefits under Universal Credit</p>	<p>Increasing Council Tax &amp; housing rent arrears - lost income, cost of collection</p> <p>Increase in homelessness &amp; poverty</p>	<p>HRA – property transfer incentives available. Using ‘new burdens’ grant to pay for additional resources in Revs &amp; Benefits</p> <p>Discretionary Housing Payments Policy approved.</p>	<p><b>Likely</b></p> <p><b>High</b></p> <p><b>(4 x 4) =</b></p> <p><b>Score 16</b></p>	Additional resources for income collection & tenant support (on-going)	<p><b>Possible</b></p> <p><b>High</b></p> <p><b>(3 x 4) =</b></p> <p><b>Score 12</b></p>	Housing Management & Chief Finance Officer

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<b>SR8 – Information Governance (Data Security)</b>						
Failure to gain PSN compliance  Data Breach	Data exchange with Government departments restricted  Reputation damage  Financial loss  Service disruption	Arvato to work through the compliance tests  Project team – Info Security Working Group - reviewed & updated IT security audit  Data Protection & Freedom of Information Policies & Procedures	<b>Unlikely High (2 x 4) = Score 8</b>	Project team to develop & implement:  <ul style="list-style-type: none"> <li>• PSN compliance action plan</li> <li>• IT Health check action plan</li> <li>• Annual review</li> </ul>	<b>Unlikely High (2 x 4) = Score 8</b>	Law Manager
<b>SR9 – Contract Management</b>						
Failure to deliver Council contracts	Financial impact (valuable funding is used for rectification issues)  Increase in staff resource to defend the challenge  Potential litigation &	Dedicated procurement & legal team to support where necessary on contract management  Policies & procedures in place	<b>Possible High (3 x 4) = Score 12</b>	Further training in contract management	<b>Possible High (3 x 4) = Score 12</b>	Business Transformation Manager

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	fines being incurred  The Council does not receive value for money  Discouraged providers may not tender for the contract in the future – potentially reducing the portfolio of providers	Scheme of delegation & guidance available  Staff have been trained				
<b>SR10 – Political Landscape (National &amp; Local)</b>						
Change in political landscape at a National & local level e.g. General Election (May 2015)	Change in Government Policy  Change in political make up locally leading to instability - change in direction  Implication in terms of future positioning of the Council e.g. Combined	Keep up to date of developments in the political arena e.g. party conferences	<b>Possible</b>  <b>Medium</b>  <b>(3 x 3) =</b>  <b>Score 9</b>	Assess impact in terms of future policy changes (as a result of government announcements).  Lobby through the LGA where appropriate	<b>Possible</b>  <b>Medium</b>  <b>(3 x 3) =</b>  <b>Score 9</b>	CE



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	Authorities, LEP's, City Region discussions  Potential to undermine the Council's corporate plan					
<b>SR11 – Key Partnerships (e.g. PPP, Veolia)</b>						
Partnerships not delivered as promised  Breakdown in a key partnership relations	Reputation damage Loss of Trust Service disruption	Strategic Board in place for PPP  Client function & supporting key PI's  Usual contract management arrangements	<b>Possible</b> <b>High</b> <b>(3 x 4) =</b> <b>Score 12</b>	Negotiations taking place with key partners around contract delivery	<b>Unlikely</b> <b>Medium</b> <b>(3 x 3) =</b> <b>Score 9</b>	CE

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**Risk Likelihood Key – Risk meets at least one of the criteria from the columns below**

<b>Score -1 Highly Unlikely</b>	<b>Score - 2 Unlikely</b>	<b>Score - 3 Possible</b>	<b>Score – 4 Likely</b>	<b>Score - 5 Definite</b>
Previous experience at this & other similar organisations makes this outcome highly unlikely to occur.	Previous experience discounts this risk as being unlikely to occur but other organisations have experienced problems.	The Council has in the past experienced problems in this area but not in the past three years.	The Council has experienced problems in this area in the last three years.	The council is currently experiencing problems in this area or expects to within the next 12 months.

**Risk Impact Key - Risk meets at least one of the criteria from the columns below**

<b>Risk Impact</b>	<b>Score -1 Negligible</b>	<b>Score - 2 Low</b>	<b>Score - 3 Medium</b>	<b>Score – 4 High</b>	<b>Score - 5 Very High</b>
<b>PRIORITIES</b>	No impact on the delivery of the Council’s corporate objectives	It may cost more or delay in delivery of one of the Council’s priorities	A number of Council priorities would be delayed or not delivered	The majority of Council priorities would be delayed or not delivered	Unable to deliver all Council priorities
<b>FINANCIAL</b>	Little or no financial impact (less than £5k)	The financial impact would be no greater than £25k	The financial impact would be no greater than £100k	The financial impact would be no greater than £500k	The financial impact would be greater than £500k
<b>SERVICE IMPACT</b>	Council services are no disrupted	Some temporary disruption of activities of one Council service	Regular disruption to the activities of one or more Council service	Severe service disruption or regular disruption affecting more than one service	Severe disruption to the activities of all Council services
<b>INFORMATION</b>	Minor, none consequential	Embarrassment, none last effecting	Isolated, personal details compromised	Severe personal details compromised	All personal details compromised
<b>PUBLIC ENGAGEMENT</b>	No loss of confidence and trust in the Council	Some loss of confidence and trust in the Council felt by a certain group or within a small geographical area	A general loss of confidence and trust in the Council within the local community	A major loss of confidence and trust in the Council within the local community	A disastrous loss of confidence and trust in the Council locally and nationally
<b>REPUTATION</b>	No media attention	Disciplinary action against employee	Adverse coverage in local press	Adverse coverage in National press/Front page news locally	Front page new story in National Press