

Chesterfield Borough Council Corporate Risk Register (July 2016)

Total Risk Score: Likelihood x Impact. Rating Key:

0-4 Green	5-14 Amber	15+ Red
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CAUSE	EFFECT	PRE-MITIGATION RATING LIKELIHOOD / IMPACT	ACTIONS UNDERTAKEN TO MITIGATE THE RISK	LATEST RISK RATING & DOT (↑ = positive)	FURTHER ACTION REQUIRED/DATE	TARGET RISK RATING	TARGET DATE	RISK LEAD / LINK TO CORP PLAN
CR1 - Having a Sustainable Financial Plan – the ability to deliver priority services with the resources available								
<p><u>Changes in:</u> RSG, Business Rates retention & growth, Council Tax limitation & 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 & scope of services currently provided & the Corporate Plan priorities Short-term use of reserves Worst case – financial failure Critical external inspection/audit reports Damage to reputation Public expectations/reaction Loss of Member confidence Loss of staff morale</p>	<p>Short & Med term Likely / Very High (4 x 5) = Score 20 Red</p>	<p>5-year MTFP produced Prudent assumptions re income levels & collection rates Budget monitoring & reporting (to FPG, Scrutiny & Cabinet) Great Place: Great Service Programme approved Asset Management Plan Budget Challenge sessions. Expenditure and vacancy control.</p>	<p>Short term Possible / V. High (3 x 5) = Score 15 Red ↑ Med Term Possible / V. High (3 x 5 = Score 15 Red ↑</p>	<p>Horizon scanning to identify future pressures & opportunities (on-going). Assess implications of Local Gov't Finance review – NHB, retained business rates. Rigorous budget monitoring to identify variances early & implement corrective action (quarterly). Regularly update the assumptions in the 5-year MTFP & model the options (quarterly) Delivering the savings targets included in the budget.</p>	<p>Short term Unlikely / Medium (2 x 3) = Score 6 Amber Med Term Possible / High (3 x 4 = 12) Score 12 Amber</p>	<p>Short/Med term – balanced budget in Feb each year. Med /Long term – Self-sufficient by 2020</p>	<p>Chief Finance Officer Supported by SLT VFM</p>

Chesterfield Borough Council Corporate Risk Register

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	<p>Impact on Asset Management Plan</p> <p>Significant increase in the cost of the waste contract</p>				<p>CMT/Exec Members Budget Group to Identify & implement further budget cuts required to eliminate forecast deficits (on-going)</p> <p>Development of trading opportunities to increase income.</p> <p>Assess the business rate devolution proposals at the national and the SCR CA level.</p>			

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CR2 – Transformation / Change Management – managing change effectively to deliver the required transformational changes and savings.								
<p>Failure to develop & implement the required projects due to capacity issues, skills gaps, resistance to change, poor project management etc.</p> <p>Competitor responses and other challenges to commercial activities.</p>	<p>Loss of expertise & or experienced staff</p> <p>Scarce resources not used effectively</p> <p>Budget shortfalls</p> <p>Delivery timelines not adhered to</p> <p>Increase in financial costs</p> <p>Legal, financial and reputational implications if commercial activities not structured and managed.</p>	<p>Possible / Very High</p> <p>(3 x 5) =</p> <p>Score 15</p> <p>Red</p>	<p>Transformation Strategy produced.</p> <p>Project Academy.</p> <p>Increased focus on commercialism.</p> <p>Great Place: Great Service Programme</p> <p>Staff & Union consultation</p> <p>Political leadership & TU's meetings</p> <p>£150k budget approved in 2016/17 to finance additional resources required to implement the savings targets.</p>	<p>Possible / High</p> <p>(3 x 4) =</p> <p>Score 12</p> <p>Amber</p> <p style="text-align: center;">↑</p>	<p>Delivery of the current savings targets.</p> <p>CMT to prioritise resources onto cash releasing projects.</p> <p>Identify & secure other savings required to bridge any forecast deficit.</p> <p>Post implementation reviews.</p> <p>Training of a wider group of staff in transformation techniques.</p> <p>Improving communications and engagement with staff.</p> <p>'Solid Foundations' work in GPGS.</p> <p>Develop the Target Operating Model (TOM)</p>	<p>Unlikely / High</p> <p>(2 x 4) =</p> <p>Score 8</p> <p>Amber</p>	<p>31 Mar 2017</p>	<p>Business Transformation Manager</p> <p>Supported by SLT</p> <p>VFM</p>

Chesterfield Borough Council Corporate Risk Register

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CR3 - Workforce – to ensure that we have right skills and capacity to deliver the Council’s priorities.								
<p>Loss of key people within the organisation e.g. loss of corporate memory & key skills</p> <p>Lack of training – due to for example budget pressures</p> <p>No effective succession planning</p> <p>Difficulties in recruitment & 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 & job fears</p> <p>Increased sickness (stress related)</p> <p>Impact on staff health & well being</p> <p>Financial e.g. severance costs arrangements</p>	<p>Likely / Medium</p> <p>(4 x 3) =</p> <p>Score 12</p> <p>Amber</p>	<p>Draft Workforce Strategy produced</p> <p>EPD process/ Competency frameworks</p> <p>Communications - Leader/CEO staff briefings, Borough Bulletin, etc.</p> <p>Internal Comms Strategy.</p> <p>SLT/CMT restructure</p>	<p>Latest / Medium</p> <p>(3 x 3) =</p> <p>Score 9</p> <p>Amber</p> <p>↑</p>	<p>Workforce Strategy to be approved (Apr 16) and implemented.</p> <p>Identify opportunities for staff development & succession planning (EPD process – June 15).</p> <p>Review of staffing (as per service plans).</p> <p>Voluntary redundancy/early retirement scheme (on-oing).Implement CMT restructure (Q1 16/17).</p>	<p>Possible / Low</p> <p>(3 x 2) =</p> <p>Score 6</p> <p>Amber</p>	<p>Mar 2017</p>	<p>Service Managers</p>

Chesterfield Borough Council Corporate Risk Register

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CR4 – Investment & development of the ICT infrastructure – to ensure that a modern, efficient and reliable infrastructure is in place to support service delivery.								
Lack of resources and expertise to develop the infrastructure and manage the technology life cycle. Ad-hoc development and flawed project documentation. Reliance on Partner expertise and resources	Inefficient & expensive services Poor service outcomes Additional Project delays	Possible / Medium (3 x 3) = Score 9 Amber	ICT Strategy written & governance structure in place. Invest-to-Save budgets approved. Strategies incorporated into GP:GS	Possible / Medium (3 x 3) = Score 9 Amber ↔	Resource and implement the ICT strategy once service areas provide information about their business needs. Enforce new governance. Centralise ICT budgets. Improve project documentation. Rationalise ICT assets.	Possible / Medium (3 x 3) = Score 9 Amber	31 Mar 2017	PPP Client Officer supported by SLT VFM

Chesterfield Borough Council Corporate Risk Register

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CR5 – Emergency Planning & Business Continuity – to ensure that we are able to respond effectively to unexpected events, minimising any damage caused and keeping services running.								
Inadequate or untested plans in place to respond to extreme events (e.g. severe weather, flooding, flu pandemic)	Loss of or damage to life or property	Possible / High (3 x 4) = Score 12 Amber	Robust plans in place	Unlikely / High (2 x 4) = Score 8 Amber ↑	Continue to update plans to take account of new & emerging matters	Unlikely / High (2 x 4) = Score 8 Amber	31 Mar 2017	Emergency Planning Officer (EP)
	Financial - loss of revenue/additional costs		Test exercises undertaken		Commission advice from DCC		Service area BCP's, including Business Impact Analysis, to be completed, regularly reviewed & additional measures implemented	31 Mar 2017
	Disruption to services		Snow Wardens Scheme					
	Damage to reputation		Improvements to ICT controls & back-up systems approved					

Chesterfield Borough Council Corporate Risk Register

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CR6 – Protecting the Public & Staff (Health & Safety) – to ensure that we have systems in place to reduce the risk of accidents occurring and their severity.								
<p>Failure to manage the health & safety risks of the Council's undertakings</p> <p>Lack of training</p> <p>Budget pressures</p> <p>Ageing infrastructure</p>	<p>Death or injury</p> <p>Damage to property or the environment</p> <p>Litigation or prosecutions</p> <p>Financial - claims</p> <p>Damage to reputation</p>	<p>Likely / Medium</p> <p>(4 x 3) =</p> <p>Score 12</p> <p>Amber</p>	<p>Corporate H&S Group established</p> <p>Preparation of Corporate H&S Policy</p> <p>3 year H&S Improvement Programme agreed.</p> <p>Service level H&S Plans.</p> <p>Control of Contractors procedures & Group established.</p> <p>Transport Code of Practice approved & being implemented.</p> <p>Two external H&S audits.</p> <p>Internal audit methodology developed and agreed.</p> <p>Record training undertaken and monitor</p>	<p>Possible / Medium</p> <p>(3 x 3) =</p> <p>Score 9</p> <p>Amber</p> <p>↑</p>	<p>Corporate H&S staff to undertake audits to ensure that:</p> <p>a) Policies & procedures are implemented & reviewed regularly &</p> <p>b) The actions in the Improvement Programme are implemented.</p> <p>Improved on-line training system.</p>	<p>Unlikely / Medium</p> <p>(2 x 3) =</p> <p>Score 6</p> <p>Amber</p>	<p>On-going</p>	<p>Business Transformation Manager</p>

Chesterfield Borough Council Corporate Risk Register

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			refresh dates.					
CR7 – Welfare Reform (removed from the Register in 2015/16)								
CR8a – Information Governance – PSN Compliance								
Failure to gain PSN compliance and maintain a secure and up-to-date ICT infrastructure	Service disruption - Data exchange with Government departments or other local authorities restricted ICT network suffers attack or breach. Reputational damage. Financial loss	Likely / High (4 x 2) = Score 8 Amber	IT health check commissioned for Jan 2016. Compliance achieved to July 2016. Reviewed and updated IT security audit.	Possible / High (4 x 2) = Score 8 Amber ↔	IT health check mitigation plan. On-going review of IT health and action plan to remove known issues.	Likely / Low (4 x 2) = Score 8 Amber	July 2016 On-going	PPP Client Officer and Law Manager (SIRO)

Chesterfield Borough Council Corporate Risk Register

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CR8b– Information Governance (Data Security) – to comply with the statutory and other requirements to ensure that the data we hold is held securely.								
Data Breach	Reputation damage Financial loss Service disruption Poor customer outcomes	Likely / High (4 x 4) = Score 16 Red	Raise awareness of data protection (email campaigns/e-learning) Overall data protection strategy review Increased scrutiny of ICT security (including PSN compliance) PCI DSS compliance (ad hoc but achieved compliance for BCN consultancy as a pilot)	Possible / High (4 x 4) = Score 16 Red ↔	Appoint an Information Assurance Officer. New Information Assurance Strategy Implementation of formal governance for data protection and information security. Assigning information asset owners throughout organisation Audit of information assurance for partners (arvato/Kier)	Unlikely / Medium (3 x 4) = Score 12 Amber	11 th July 2016 Sep 2016 Dec 2016 Dec 2016 – subject to new system being procured	CCC Manager / Information Assurance Manager

Chesterfield Borough Council Corporate Risk Register

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CR9 – Procurement & Contract Management – to ensure that contracts are procured properly and deliver value for money.								
Failure to adequately manage Council contracts	<p>Financial impact (valuable funding is used for rectification issues)</p> <p>Increase in staff resource to defend the challenge</p> <p>Potential litigation & fines being incurred</p> <p>The Council does not receive value for money</p> <p>Discouraged providers may not tender for the contract in the future – potentially reducing the portfolio of providers</p>	<p>Likely / High</p> <p>(4 x 4) =</p> <p>Score 16</p> <p>Red</p>	<p>Dedicated procurement & legal team to support where necessary on contract management</p> <p>Policies & procedures in place</p> <p>Scheme of delegation & guidance available</p> <p>Staff have been trained in general contractor management</p> <p>New and specific contractor management training commenced during 2015.</p> <p>New procurement contract with NHS.</p>	<p>Possible / High</p> <p>(3 x 4) =</p> <p>Score 12</p> <p>Amber</p> <p style="text-align: center;">↑</p>	<p>Continue the roll out of the new training in contract management by the Corporate H&S team.</p> <p>Commence additional procurement training with links to contractor management.</p>	<p>Unlikely / High</p> <p>(2 x 4) =</p> <p>Score 8</p> <p>Amber</p>	<p>Mar 2016</p> <p>From Feb 2016</p>	<p>Business Transformation Manager</p> <p>Value for Money</p>

Chesterfield Borough Council Corporate Risk Register

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CR10 – Political Landscape – National and Local Elections in 2016 (removed from the Register in 2015/16)								
CR11 – Key Partnerships (e.g. PPP, Veolia) – to ensure that partnerships are used to support the delivery of the Council’s priorities and that they are delivered to the specified standard.								
Partnerships not delivered as promised Breakdown in a key partnership relations	Reputation damage Loss of Trust Service disruption	Possible / High (3 x 4) = Score 12 Amber	Strategic Board in place for PPP Client function & supporting key PI’s Focus on HYR and ICT	Possible / High (3 x 4) = Score 12 Amber ↔	Negotiations taking place with key partners around contract delivery. Begin preparations for the Waste Collection re-tender in 2018. SLT/CMT to develop relationships with key strategic partners	Unlikely / Medium (3 x 3) = Score 9 Amber	2016/17	CCC Manager Commercial Services Manager Value for Money

Chesterfield Borough Council Corporate Risk Register

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CR12 – The Provision of Social Housing – ensuring that the Council is able to support the delivery of social housing and that there is a sustainable business plan for the Housing Revenue Account.								
<p>Requirement to make an annual payment to Government reflecting the market value of high value housing likely to become vacant during that year and/or sell the most valuable council housing stock as it becomes vacant</p> <p>Government controls on housing rents contrary to those agreed in self-financing settlement.</p> <p>Requirement to charge a market or near market rent for households with an income of over £30,000</p> <p>Removal of Lifetime Tenancies for new tenants and replaced with a fixed term tenancy of between 2 to 5 years</p> <p>Introduction of a cap in the amount of rent that housing benefit will cover relevant to the LHA</p>	<p>Reduced resources within the HRA business plan due to the loss of rent income and/or increased rent arrears</p> <p>Loss of stock and inability to replace the stock which is sold due to reduced resources</p> <p>Increase in Right to Buy sales</p> <p>Risk of being required to repay retained Right to Buy 1-4-1 receipts to Government</p> <p>Increased administrative burden in implementing new policies</p>	<p>Definite / Very High</p> <p>(5 x 5) =</p> <p>Score 25</p> <p>Red</p>	<p>Using the Business Planning system to model the implications of possible scenarios.</p> <p>Reprofiling of work / policies and procedures to achieve tenancy sustainment, deliver new policies</p>	<p>Possible / Very High</p> <p>(3 x 5) =</p> <p>Score 15</p> <p>Red</p> <p style="text-align: center;">↑</p>	<p>Refresh the HRA Business Plan.</p> <p>Re-phasing of capital investment.</p> <p>Increased borrowing.</p> <p>Use of working balance</p> <p>Review the debt repayment policy.</p> <p>Commission a stock condition survey.</p> <p>Review of repairs and maintenance standards and lifecycles of building components / asset performance / procurement to achieve efficiencies / revised stock condition survey against these revised standards.</p>	<p>Possible / High</p> <p>(3 x 4) =</p> <p>Score 12</p> <p>Amber</p>		<p>Housing Mgt Team</p> <p>Quality of Life – Housing Supply & Quality</p>

Chesterfield Borough Council Corporate Risk Register

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CR13 – Safeguarding children and vulnerable adults – the ability to fulfil our moral and legal obligation to ensure a duty of care for children and vulnerable adults across our services and facilities								
<p>Inadequate policies, procedures, learning and development and partnership working to safeguard children and vulnerable adults living in our communities, using our services and to protect the council, its staff (including agency staff), elected members and volunteers.</p>	<p>Negative impact on the well-being of children and vulnerable adults. Reputation damage Public expectations/ reaction Loss of Trust Loss of Member confidence Loss of staff morale Critical external inspection/ investigation</p>	<p>Likely / High (4 x4) = Score 16 Red</p>	<p>Safeguarding lead roles identified Safeguarding group established to develop effective response, audit and share best practice. Strong dialogue and engagement with key partners on Derbyshire Safeguarding Board.</p>	<p>Possible / High (3 x 4) = Score 12 Amber ↑</p>	<p>Policy and procedures are being updated (Cabinet Dec 2015). Learning and development requirements are being established and progressed. Pilot activity planned with key partners. Annual audit activity.</p>	<p>Unlikely / High (2 x 4) Score 8 Amber</p>		<p>Exec Dir All</p>

Chesterfield Borough Council Corporate Risk Register

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CR14 – Combined Authorities – to ensure that the Council is well placed to benefit from the opportunities created by the devolution agenda.								
<p>Government legislation introducing conditions e.g. mayor and increasing level of engagement and devolution through CAs</p> <p>Actively contributing to two partnership environments (SCR, D2N2)</p> <p>Competing partner expectations</p> <p>Political uncertainty at the national level following the Brexit vote.</p>	<p>Unsustainable pressures on officers and members</p> <p>Excluded from some funding opportunities.</p> <p>Relationship difficulties with partners</p> <p>Delay in issuing the order to permit CBC's full membership of the SCR.</p>	<p>Likely / Very High</p> <p>(4 x 5) Score = 20</p> <p>Red</p>	<p>Working with Leaders and CEOs across the region to develop proposals.</p> <p>Monitoring what is happening nationally and in other LEP areas</p> <p>Regular officer coordination meetings</p> <p>Active engagement at partnership meetings to maximise opportunities for CBC.</p> <p>Council decision to join the SCR CA as a constituent member.</p>	<p>Possible / Very High</p> <p>(4 x 5) =</p> <p>Score 20</p> <p>Red</p> <p>↔</p>	<p>Develop the economic case for joining the SCR CA.</p> <p>Public consultation (July – Aug).</p> <p>Assessing the impact of and preparing for the possible transfer of functions (e.g. public transport from DCC to SCR).</p> <p>Active involvement the SCR working groups, etc.</p>	<p>Unlikely / Medium</p> <p>(2 x 3) Score = 6</p> <p>Amber</p>	<p>April 2017</p>	<p>CEO</p> <p>Thriving Borough</p>

Chesterfield Borough Council Corporate Risk Register

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CR15 – Non-Housing Property Maintenance Programme & Funding								
A planned maintenance programme with the required funding is not in place.	Insufficient funding in place. Service disruption if operational buildings taken out of use.	Likely / High (4 x 4) Score = 16 Red	Internal Audit report identified actions required. Condition surveys complete/underway	Possible / High (3 x 4) Score = 12 Amber ↑	Use the findings of the condition surveys to update the planned maintenance programme and revise the annual Property Fund contributions accordingly.	Unlikely / Low 2 x 2 4 Green	Sept 16	SLT Exec Dir.
CR16 – Leaving the European Union								
Results of Referendum mean that the UK will withdraw from the EU within 2 years of invoking Article 50.	Regulatory framework – possible legislative changes on waste/environment/procurement/workforce & employment Communities – jobs/homes/health/ASB Economy – business rates/treasury management/income	Likely / Medium (4 x 3) Score = 12 Amber	Review Procurement Strategy Review Treasury Management Strategy Budget monitoring	Likely / Medium (4 x 3) Score = 12 Amber ↔	Continue to monitor	Possible / Medium (3 x 3) Score = 9 Amber	March 18	CFO All

Chesterfield Borough Council Corporate Risk Register

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

Score -1 Highly Unlikely	Score - 2 Unlikely	Score - 3 Possible	Score – 4 Likely	Score - 5 Definite
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

Risk Impact	Score -1 Negligible	Score - 2 Low	Score - 3 Medium	Score – 4 High	Score - 5 Very High
PRIORITIES	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
FINANCIAL	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
SERVICE IMPACT	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
INFORMATION	Minor, none consequential	Embarrassment, none last effecting	Isolated, personal details compromised	Severe personal details compromised	All personal details compromised
PUBLIC ENGAGEMENT	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
REPUTATION	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