

**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> |
|------------------|-------------------|----------------|

| 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><br/>RSG, Business Rates retention &amp; growth, Council Tax limitation &amp; collection rates, New Homes Bonus, etc.<br/>Cost pressures e.g. pensions, pay, inflation, interest rates, etc.<br/>Other unforeseen events<br/>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<br/>Short-term use of reserves<br/>Worst case – financial failure<br/>Critical external inspection/audit reports<br/>Damage to reputation<br/>Public expectations/</p> | <p>5-year MTFP produced<br/>Prudent assumptions re income levels &amp; collection rates<br/>Budget monitoring &amp; reporting (to FPG, Scrutiny &amp; Cabinet)<br/>Great Place: Great Service Programme approved<br/>Asset Management Plan</p> | <p><b>Likely</b><br/><b>Very High</b><br/><b>(4 x 5) =</b><br/><b>Score 20</b></p> | <p>Horizon scanning to identify future pressures &amp; opportunities (on-going)<br/>Rigorous budget monitoring to identify variances early &amp; implement corrective action (quarterly)<br/>Regularly update the assumptions in the 5-year MTFP &amp; model the options (quarterly)<br/>CMT/Exec Members Budget</p> | <p><b>Highly Unlikely</b><br/><b>High</b><br/><b>(1 x 4) =</b><br/><b>Score 4</b></p> | Chief Finance Officer |

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|   | reaction<br>Loss of Member confidence<br>Loss of staff morale<br>Impact on Asset Management Plan<br>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<br>Scarce resources not used effectively<br>Budget shortfalls<br>Delivery timelines not adhered to<br>Increase in financial costs | Transformation Strategy produced<br>Project Academy<br>Leisure Legacy Project embedded<br>Great Place: Great Service Programme<br>Staff & Union consultation | <b>Possible</b><br><b>Very High</b><br><b>(3 x 5) =</b><br><b>Score 15</b> | Delivery of the current savings targets<br>CMT to prioritise resources onto cash releasing projects<br>Identify & secure other savings required to bridge any forecast deficit<br>Post implementation | <b>Highly Unlikely</b><br><b>High</b><br><b>(1 x 4) =</b><br><b>Score 4</b> | Business Transformation Manager |

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|  |  | Political leadership & TU's meetings  |   | reviews<br>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<br><br>Flawed business cases<br><br>Reliance on Partner negotiations may be required | Inefficient & expensive services<br><br>Project delays<br><br>Public satisfaction & expectations<br><br>Member frustration | ICT Strategy approved & implementation structure set up<br><br>Invest-to-Save budgets approved<br><br>Consultation on priorities<br><br>Cost/savings sharing model developed<br><br>Strategies incorporated into GP:GS | <b>Likely<br/>Very High<br/>(4 x 5) =<br/>Score 20</b> | Implement the Strategy & Governance arrangements<br><br>Monitor Customer Services cost/savings sharing model. | <b>Possible<br/>Medium<br/>(3 x 4) =<br/>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<br><br>Financial - loss of   | Robust plans in place<br><br>Test exercises  | <b>Possible<br/>Medium</b>                             | Continue to update plans to take account of new &   | <b>Possible<br/>Low</b>                               | Emergency Planning Officer      |

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

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

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|---|--|--|---|--|---|---------------------------------|
| <b>SR8 – Information Governance (Data Security)</b> |  |  |   |  |   |                                 |
| Failure to gain PSN compliance<br><br>Data Breach   | Data exchange with Government departments restricted<br><br>Reputation damage<br><br>Financial loss<br><br>Service disruption                                | Arvato to work through the compliance tests<br><br>Project team – Info Security Working Group - reviewed & updated IT security audit<br><br>Data Protection & Freedom of Information Policies & Procedures | <b>Unlikely<br/>High<br/>(2 x 4) =<br/>Score 8</b>  | Project team to develop & implement:<br><br><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<br/>High<br/>(2 x 4) =<br/>Score 8</b>  | Law Manager                     |
| <b>SR9 – Contract Management</b>                    |  |  |   |  |   |                                 |
| Failure to deliver Council contracts                | Financial impact (valuable funding is used for rectification issues)<br><br>Increase in staff resource to defend the challenge<br><br>Potential litigation & | Dedicated procurement & legal team to support where necessary on contract management<br><br>Policies & procedures in place   | <b>Possible<br/>High<br/>(3 x 4) =<br/>Score 12</b> | Further training in contract management  | <b>Possible<br/>High<br/>(3 x 4) =<br/>Score 12</b> | Business Transformation Manager |

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|--|---|---|--|---|--|-----------|
|  | fines being incurred<br><br>The Council does not receive value for money<br><br>Discouraged providers may not tender for the contract in the future – potentially reducing the portfolio of providers | Scheme of delegation & guidance available<br><br>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<br><br>Change in political make up locally leading to instability - change in direction<br><br>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<br/>Medium<br/>(3 x 3) =<br/>Score 9</b> | Assess impact in terms of future policy changes (as a result of government announcements).<br><br>Lobby through the LGA where appropriate | <b>Possible<br/>Medium<br/>(3 x 3) =<br/>Score 9</b> | CE        |



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|--|--|---|---|--|--|-----------|
|  | Authorities, LEP's, City Region discussions<br><br>Potential to undermine the Council's corporate plan |   |   |  |  |           |
| <b>SR11 – Key Partnerships (e.g. PPP, Veolia)</b>                                      |  |   |   |  |  |           |
| Partnerships not delivered as promised<br><br>Breakdown in a key partnership relations | Reputation damage<br>Loss of Trust<br>Service disruption   | Strategic Board in place for PPP<br><br>Client function & supporting key PI's<br><br>Usual contract management arrangements | <b>Possible</b><br><br><b>High</b><br><br><b>(3 x 4) =</b><br><br><b>Score 12</b> | Negotiations taking place with key partners around contract delivery | <b>Unlikely</b><br><br><b>Medium</b><br><br><b>(3 x 3) =</b><br><br><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<br/>Highly Unlikely</b>  | <b>Score - 2<br/>Unlikely</b>   | <b>Score - 3<br/>Possible</b>  | <b>Score – 4<br/>Likely</b>  | <b>Score - 5<br/>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<br/>Negligible</b>                                  | <b>Score - 2<br/>Low</b>   | <b>Score - 3<br/>Medium</b>  | <b>Score – 4<br/>High</b>   | <b>Score - 5<br/>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  |