

## Appendix 1 - CORPORATE RISK REGISTER (MARCH 2016)

Risk description	Responsible Officer (s)	Current controls	Further control action and proposed implementation dates
<p><b>Financial sustainability:</b> if in light of further cuts in government funding, a shortfall in planned income or significant increases in operating costs then this will impact upon the quality and level of service delivery and the ability to influence and address community issues.</p>	<p>Corporate Leadership Team</p> <p>Group Manager – Finance &amp; Asset Management</p>	<p>MTFS, Savings Programme, Budget Working Group, Business Transformation strategy. Procurement action plan. Strategic service review programme.</p>	<p>Delivery of savings programme and Transform programme (March 2016 ,March 2017) – <b>Transform Working Group also looking at opportunities to improve the council’s financial position.</b></p>
<p><b>Business Transformation:</b> If projects within the business transformation programme are not properly scoped then there is the potential the programme will not realise the required financial savings and deliver the necessary transformational outcomes.</p>	<p>Group Manager – Corporate Services</p>	<p>Business Transformation Strategy, Transform Working Group, Savings programme, project management framework.</p> <p>Internal Programme Board</p>	<p>Develop channel shift strategy (March 2016) – <b>a digital strategy is to be presented at Executive Committee on 6 April 2016.</b></p>
<p><b>Leadership capability:</b> If managers and members do not work together effectively to proactively drive and take decisions that are needed in a difficult environment then it will impact upon building a more resilient council and balancing a difficult budget.</p>	<p>Chief Executive</p>	<p>Member &amp; officer protocol. Lead and support member briefings.</p> <p>Political structure.</p>	<p>Leadership development training. (March 2016) – <b>a programme of leadership training was delivered during 2015/16 for the management cohort. Coaching circles continue with Corporate Leadership Team.</b></p> <p><b>Officer &amp; member protocol currently under review.</b></p>

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<p><b>Collaboration:</b> If the council does not effectively collaborate with its strategic partners then this could lead to a reduction in services or failure to address social issues which cannot be addressed in isolation.</p>	<p>Deputy Chief Executive</p>	<p>Leadership Gloucestershire Local Strategic Partnership (Public Service Centre Partners) GCC relationship Town and Parish Council relationship</p>	<p>Delivery of Transformation Programme (<del>March 2016</del>, March 2017) Financial Inclusion (<del>March 2016</del>, March 2017) – a <b>Financial Inclusion Policy is programmed in the Executive Committee forward plan.</b></p>
<p><b>Economic growth:</b> If there is inadequate engagement with the business community, particularly at a strategic level then the potential to deliver sustainable economic growth for the borough may not be fulfilled to its maximum potential.</p>	<p>Group Manager – Development</p>	<p>Strategic economic plan, partnership working with LEP, Tewks Masterplan, Economic Development &amp; Tourism strategy, new car parking strategy.</p>	<p>Delivery of SEP (<del>March 2016</del>, March 2017), deliver phase 3 of the Tewkesbury Masterplan (<del>March 2016</del>, March 2017)  Develop new ED&amp;T strategy (<del>March 2016</del>) <b>Overview &amp; Scrutiny Working Group require more time to ensure the strategy is comprehensive (December 2016)</b></p>
<p><b>Joint Core Strategy:</b> if the JCS fails at the examination stage then this will result in significant delay to the timetable then resulting in the failure to develop sustainable growth and prevent piecemeal development.</p>	<p>Group Manager – Development</p>	<p>JCS consultation, formal project programme, evidence base.</p>	<p>Additional examination phase (<del>March 2016</del>) <b>(April 2016)</b></p>

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<p><b>Government policy:</b> If there is a shift in government policy then the significance of this change/shift will need to be carefully assessed to determine any financial/legislative/economic/social impact on the council and its communities.</p>	<p>Corporate Leadership Team Group Manager – Corporate Services</p>	<p>Strategic policy network e.g. LGA, CIPFA, Centre for Public Scrutiny, professional networking.</p>	<p>Ongoing review and monitoring of national landscape (ongoing action) – <b>response to New Homes Bonus consultation.</b></p>
<p><b>Asset Management:</b> If assets are not managed to optimum performance then this could adversely affect the council's finances and there could be missed opportunities to maximise their potential.</p>	<p>Group Manager – Finance &amp; Asset Management</p>	<p>Office refurbishment and rationalisation, new leisure centre, annual asset strategy and plan.</p>	<p><b>Approved at Executive Committee 9 March 2016 to prepare development proposals for Spring Gardens and Oldbury Road site.</b></p>
<p><b>Workforce Planning:</b> If workforce planning is not effective then employees and members may not have the skills and capacity to fulfil their potential and help deliver the council's priorities.</p>	<p>Group Manager – Corporate Services  Group Manager – Democratic Services</p>	<p>Behaviours framework, corporate training budget, Service plans, and 1-2-1 sessions.</p>	<p>Develop training &amp; development programme. (December 2015) – <b>corporate training budget in place supported by PPD appraisal scheme.</b>  Develop new workforce strategy (<del>December 2015</del>) <b>March 2016. The development of the strategy is on hold pending the return of the lead officer from sickness absence. (June 2016).</b></p>

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<p><b>Customer expectation:</b> If the council does not effectively communicate its purpose and priorities to influence customer demand then customer expectation may not realistically reflect the significant financial pressures facing the council.</p>	<p>Group Manager – Corporate Services</p>	<p>Communications strategy, complaints framework, satisfaction survey. Customer services review</p>	<p>Develop new customer services strategy (March 2016) – <b>a customer care strategy including corporate standards was approved at Executive Committee on 9 March 2016 – the standards now need to be rolled out. The emerging council plan also has a priority theme ‘customer focus services’.</b></p>
<p><b>Delivery of Operational Services:</b> If operational services are not effective then this may lead to customer dissatisfaction and represent a reputational risk to the council.</p>	<p>Deputy Chief Executive Group Manager – Environment &amp; Housing</p>	<p>Governance arrangements in place. Overview and Scrutiny Committee six monthly review.</p>	<p>Development of Client Monitoring Framework. (March 2016) – <b>second report since Ubico transfer to be reported at Overview &amp; Scrutiny Committee 12 April 2016.</b></p>
<p><b>Business Continuity:</b> If robust business continuity arrangements are not in place then in the event of an incident there could be sustained loss of key services.</p>	<p>Group Manager – Corporate Services</p>	<p>Corporate business continuity plan, service business plans, ICT disaster recovery arrangements.</p>	<p>Identify priority services and test plan (<del>September 2015</del>) – <b>a desktop exercise for operational managers was held on 9 February 2016. The exercise was facilitated by the Civil Protection Team. This will provide the catalyst for business continuity arrangements to be revisited</b></p>

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			including: <ul style="list-style-type: none"> <li>• Corporate plan</li> <li>• Individual service plans</li> <li>• Testing exercise</li> <li>• Alternative operational base</li> </ul>
<p><b>Information Governance:</b> if necessary safeguards for, and appropriate use of, personal information and data are not in place then the council and individual employees may become individually liable for breaches of legislation.</p>	<p>Deputy Chief Executive</p> <p>Group Manager – Corporate Services</p>	<p>PSN compliant, ICT policy, Data Protection policy, fraud &amp; corruption policy, nominated Senior Information Risk Owner.</p>	<p>Development of information governance policy (<del>July 2015</del>), Training programme (<del>December 2015</del>)- (<b>October 2016</b>)</p>
<p><b>Welfare reform:</b> if the impact of welfare reform legislation is not managed then this potentially affects the understanding of the impact and the ability to address the implications on services, the community and partners.</p>	<p>Deputy Chief Executive</p>	<p>Revenues &amp; Benefits Improvement Programme</p>	<p>Work with Severn Vale Housing/CAB/DWP particularly around financial inclusion (<del>March 2016</del>)-(March 2017)</p>
<p><b>Emergency planning:</b> if the council fails to respond effectively to an emergency then this will have an adverse impact upon the needs of our communities.</p>	<p>Group Manager – Environment &amp; Housing</p>	<p>Emergency plan and team, communications strategy, testing of rest centre arrangements, Flood Risk Management group.</p>	<p>Emergency planning training (March 2016)</p>

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<p><b>New leisure centre:</b> If unforeseen works occur or value engineering assumptions are not deliverable then additional capital investment will be required to complete the centre.</p>	<p>Group Manager – Finance &amp; Asset Management</p>	<p>Project management framework, approved budget, Member Working group</p>	<p><b>Entering final phase of build project with significant works completed thereby overall risk is greatly reduced. Handover of facility is 9 May 2016.</b></p>
<p><b>Tewkesbury Borough Plan:</b> if the Tewkesbury Borough Plan (TBP) fails to progress to the pre-submission stage then this will result in the failure to develop sustainable growth and prevent piecemeal development</p>	<p>Group Manager – Development</p>	<p>Project Management</p>	<p><b>Following JCS inspectors report, the plan will be progressed.</b></p>
<p><b>Business rates:</b> if business rate payers continue to successfully challenge their business rates assessments then the council is likely to suffer further scheme losses and not benefit from growth in businesses within the Borough.</p>	<p>Group Manager – Revenues &amp; Benefits  Group Manager – Finance &amp; Asset Management</p>	<p>Provisions within scheme and reserves set aside. Losses limited to 7.5% by safety net payment. Economic Development strategies to support growth and counter appeal losses.</p>	<p>Government review of national scheme – March 2016. National revaluation of business rates for April 2017.</p>