

No.	Risk	Original score			Current controls	Current score			Further mitigating action	Timescale	Mitigated score			Risk owner
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1.	Non achievement of the Money Plan – including the annual savings / income targets and the result of a balanced budget	4	4	16	<p>*Budget setting process – including consultation; management / leadership input into savings targets; and Overview &amp; Scrutiny and Council involvement</p> <p>*Forecasting Money Plan for medium term</p> <p>*Allocation of individual savings/income targets to an SMT sponsor, Cabinet Member and leading senior manager</p> <p>*Rigorous monthly monitoring of the Council's financial position - monthly income / budget monitoring at budget holder level (Finance led) and by SMT</p> <p>* Financial Services staff professionally qualified in accountancy-related disciplines</p> <p>*Assurance reviews by Internal Audit to ensure compliance with approved policies and procedures</p> <p>*Business Plans aligned with resources and subject to regular review</p>	4	2	8	<p>*Alignment of financial monitoring and performance monitoring (balanced scorecard)</p> <p>*Monthly monitoring of 14/15 budget savings programme lines to confirm details of savings delivery and whether the savings target will be achieved (co-ordinated by Financial Services with detail from savings line owner). Savings line owner (service manager/head of service) to report to SMT where savings non achievement is expected. Monthly formal reporting to SMT on savings position and a weekly verbal update.</p>	<p>From 1 April 15/16 onwards</p> <p>Monthly within 2014/15</p>	4	1	4	<p>S Neal/J Topping</p> <p>Savings line service manager/head of service (accountable officer for savings)</p>

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2.	Adverse public and media relations	3	3	9	*Dedicated communications and marketing resource *Ongoing media training for members / staff *Regular monitoring of press coverage *Key contacts for liaison with the media (i.e. controlled approach) *Standardised FOI approach *Consultation approach on key areas *Development and delivery of communication strategy (internal and external) to include performance measures *Introduction of FOI Champions *Complaints policy / monitoring *Communications action plan *Publicise that business continuity plans are in place for key services *Digital communications team in place – including objectives, policies and procedures	3	2	6	*Actions identified through ongoing communications group meetings and proactive media review  *Controlled, regular meetings with GCC & press / media leads *Development of Council communications forward plan – to include proactive communication and feedback approach with full management team awareness and input *Review of comms service delivery and options for future service delivery *Actioning of social media internal audit review recommendations – including update and re-release of social media policy and guidance (ensuring officer and Member awareness) through NETconsent	Daily comms team & monthly Council comms meetings  Bi monthly 2014/15 Timescale to be agreed in liaison with County Council comms support  31 March 15  31 March 15	2	2	4	S Mullins

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3.	Lack of competence, probity and professionalism within the authority leading to diminished performance, inappropriate behaviour, and failure to comply with governance arrangements	3	3	9	*Adherence to best practice recruitment and selection procedures and principles *Member and staff training *Complaints monitoring *Member role descriptors *Codes of conduct for members and officers *Defined officer roles *Staff 1:1s and performance appraisals *Disciplinary procedure *Adherence to health and safety Policy and procedures *Ask SMT	3	2	6	*Further development of staff engagement in the organisation and to adopt a learning organisational culture – OD plan short term & medium term objectives  *Refreshing of Council vision & values (including development of management competencies)  *Ongoing implementation of improvements arising from Peer challenge report (and Council action plan)  *SMT visibility and walking the floor	31 Mar 15  31 Mar 15  Monthly review of position (minimum requirement)  Ongoing HKP presence	3	1	3	SMT

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5.	Failure to support (sustain) and enable economic growth within the city	3	3	9	<p>*Support local businesses both start up and new (e.g. grants and business advice) – via Economic Development service</p> <p>*Partnership support for skills/jobs and attraction of inward investment</p> <p>*Council's promotion of city through links with GFirst LEP; Marketing Gloucester; and with adjacent authorities (e.g. JCS)</p> <p>*In-house Housing Service with qualified / experienced team and approved business plan objectives (including homelessness prevention and mortgage rescue schemes)</p> <p>*Housing &amp; Homelessness Strategy – including 6 monthly review and update</p> <p>*Cultural Strategy – including 6 monthly review and update</p>	3	2	6	<p>*Restructure of Regeneration &amp; Economic Development to consider reinforcement and enhancement of economic development activity</p> <p>*Development of the Regeneration and Economic Development Strategy (including alignment of objectives to the Council Plan and ensure an appropriate delivery mechanism is in place)</p> <p>*Bidding for regeneration funding &amp; continued focus on regeneration sites</p> <p>*Strengthening of partner relations (e.g. Stanhope)</p> <p>*Effective promotion of the city and the council regards economic growth (promotion of the city as bucking the national trend)</p> <p>*City Plan and JCS aiding delivery of planned growth and housing numbers (x-ref with risks 7 &amp; 12)</p>	<p>31 Mar 15</p> <p>31 Mar 15</p> <p>At least monthly review</p> <p>At least monthly review</p>	2	2	4	A Hodge / M Shields

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6.	Loss of finance, resource and reputation due to fraudulent activity	4	3	12	*The following are approved policies available to officers on NETconsent: <ul style="list-style-type: none"> <li>○ Anti-fraud and corruption strategy</li> <li>○ Anti-bribery policy</li> <li>○ Whistle blowing policy</li> <li>○ Anti-money laundering policy</li> <li>○ Fraud response plan</li> </ul> *Financial regulations (including standing orders) *Existing internal control framework *Internal Audit inc. Audit & Governance Committee and annual risk based internal audit plan (deterrent) *External audit presence (deterrent) *Benefits fraud team (via Civica partnership agreement)	4	1	4	*Further review and update of anti-fraud arrangements (including policies) in accordance with the Audit Commission 'Protecting the Public Purse' checklist	31 Mar 15	4	1	4	T Rodway

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7	Non-success of the delivery of key regeneration projects	3	3	9	*Regeneration Programme Advisory Board *Capital Monitoring Steering Group & existing capital programme controls Project specific controls that should be in place: *Project plans in place for major schemes *Project review meetings led by experienced/qualified Members and Officers with third party links/presence (e.g. developers and associated commercial agents) *Project update reporting to Cabinet and Council (in line with project plan milestones)	3	2	6	*Development of the Regeneration and Economic Development Strategy (including alignment of objectives to the Council Plan and ensure an appropriate delivery mechanism is in place) *Head of Regeneration and Economic Development to lead: Re-assessment of projects at appropriate points to review objectives and deliverables Maintenance and review of project risk registers for each regeneration project Review by Regeneration Programme Advisory Board Financial scrutiny of regeneration projects	31 Mar 15          Quarterly review (or as appropriate dependent on project profile)	2	2	4	A Hodge

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9.	Capacity to deal with unexpected events (e.g. weather/phone system failure/other)	4	3	12	<p>*Up-to-date Emergency Response Plan, Flood Plan, Vulnerable People Plan, Pandemic Plan etc. drafted in conjunction with agencies, government departments and other local authorities</p> <p>*Regular review and updating of Emergency Response Plan and other plans</p> <p>*Allocated Emergency Team Leaders within the Council</p> <p>*Business continuity plans in place for each Group/Service</p> <p>*Bad weather policy and communications</p> <p>*Climate change strategy supported by Local Resilience Forums</p> <p>*Emergency Contacts list updated every quarter</p> <p>*Continued testing of Emergency Plan arrangements; bi annual exercises &amp; live events (e.g. Christmas call out exercise &amp; Royal International Air Tattoo); set up of the emergency centre post relocation of contact centre; and use of Mutual Aid agreement.</p>	4	2	8	<p>*Continued review of arrangements in conjunction with partners (e.g. County Council - through the joint work programme)</p> <p>*Review and implementation of business continuity plan action points – business continuity self assessment toolkit roll out &amp; call out exercise (toolkit set up as at 25 Mar 14)</p> <p>*Relocation of the Council's servers to a purpose built offsite data centre in order to improve performance and infrastructure resilience (approved by Cabinet as at Jan 15, subject to final Council approval of the budget Feb 15)</p>	<p>Emergency centre test: 28 Feb 15 (initial) and 30 April 15 (full)</p> <p>31 March 15</p> <p>Money Plan and budget proposals to Council - 26 Feb 15</p> <p>Data centre delivery target - 31 July 15</p>	3	2	6	<p>SMT / G Ragon (DEPLO)</p> <p>S Neal</p>

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10	Potential collapse of Council's banker leading to loss of cash & investments	4	1	4	*Adoption of best practice advice given by external treasury management advisors (no investments and overnight balances are minimised with the Co-operative bank)	4	1	4	*Regular meetings to be held with the bank representative to ensure GCC informed of current position *Bank tender process completed and tender awarded - new provision to start from 1 March 15	Up to new provision 1 March 15  1 March 15	4	1	4	J Topping
11	Lack of resilience in senior management structure	4	4	16	*Council Constitution *Statutory officer posts in place and resourced – S151 Officer and Monitoring Officer *Heads of Service structure in place and fully resourced *Deputy Head of Paid Service role agreed and allocated *Supporting Director role filled through 6 month internal secondment – leading on front line customer focused services (approach approved by Leader, Cabinet and Group Leaders)	4	2	8	*Additional support to Director of Services and Neighbourhoods provided by Peter Jones of Gloucestershire County Council, to include mentoring and coaching as well as practical support on any relevant projects. *Ongoing support provided to Director of Services and Neighbourhoods by the LGA *Action Plan in place to address Peer Challenge Issues which includes resilience for the organisation moving forward *Agreement from Cabinet to bring in short term specialist support if/when required *City/County Council shared Managing Director & Commissioning Director post approved by Council – Penna appointed to lead recruitment process	From June 2014 onwards – mitigating actions in place and ongoing until permanent recruitment completed for Director and Managing Director posts  Recruitment process from Jan 15	4	1	4	M Shields



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12	Delay to or non-delivery of Joint Core Strategy	4	4	16	*Management, monitoring and review of JCS position & progress through regular programmed meetings of: - JCS Programme Board, Steering Group and Project Delivery Group - including joint work with various stakeholders (e.g. County Council and Highways Agency) - Council Leaders and the independent chaired Member Steering Group (comprising Councillors of the 3 Councils) - Individual Council review & approval of the Plan at key stages (e.g. Annual Monitoring Statement) - Duty to co-operate meetings with key stakeholders/partners *Allocated & trained officer resource with project management structure and co-location of staff (3 Councils) at key stages	4	2	8	*JCS has been submitted to the Secretary of State and is scheduled for Independent Examination (IE) – further mitigating actions will be dependent on the outcome of the IE – third party legal, technical and professional support to be retained during this period (as well as full continuation of current controls)	IE scheduled for May 15 – draft Inspector's report expected late summer 2015	4	2	8	A Wilson

**POTENTIALLY EMERGING STRATEGIC RISKS: DISCUSSED AND REVIEWED BY SMT:**

- STOCK TRANSFER APPROVAL AND DELIVERY (initially considered as at 17/12/13):
  - Risks managed at a project level – stock transfer risk register in place – stock transfer date confirmed as 16/03/15.
  - Transfer position reviewed weekly at SMT (including update reports and discussions with professional advisors).
  - Not to be added to strategic risk register as at 24 February 15.
- LOCAL GOVERNMENT BOUNDARY COMMISSION REVIEW – CITY COUNCIL IMPLICATIONS (initially considered as at 17/12/13):
  - The LGBCR has the potential for considerable changes within the electoral registration system.
  - The Boundary Commission draft recommendations propose that the size of the Council be increased to 39 Members (3 more than current arrangements), representing 2 single-member wards, 8 two-member wards and 7 three-member wards across the City. The 8-week public consultation period on the draft recommendations is 20/01/15 to 16/03/15. Final recommendations are expected to be published in Summer 15.
  - Risks to be assessed and risk register to be completed at a project level on an ongoing basis. Project Officer appointed. Not to be added to strategic risk register as at 24 February 15.
- RUGBY WORLD CUP DELIVERY (initially considered as at 17/12/13):
  - Areas discussed were the significance of the event; RFU criteria & signed contract; budget (£350k); weather impact; public interest (if local teams do not get through the early rounds); and RFU requirement to agree specific sponsorship areas.
  - Risk management approach to be completed at a project level (A Balding - RWC Event Co-ordinator). Area discussed at Sub Group meetings. Not to be added to strategic risk register as at 24 February 15.
- EBOLA OUTBREAK (initially considered as at 21/10/14):
  - Ebola virus disease is a serious, usually fatal, disease for which there are no licensed vaccines or treatments. Recent study found that the country outside the African region with the highest risk of importation was the UK (but the outbreak risk was noted as low).
  - DEPLO in receipt of regular updates regarding threat rating. Local ebola exercise completed in October 14 (through Gloucestershire Resilience Forum).
  - Ebola threat level to be assessed by DEPLO regularly. Not to be added to strategic risk register as at 24 February 15.
- WASTE & RECYCLING REVIEW (initially considered as at 10/02/15):
  - Review to consider the viability of changing collection from current kerbside sort service to a co-mingled or single stream service. Review to be overseen by a Members Project Group (chaired by Cabinet Member for Environment) with support from an Officers Project Group (led by the Head of Neighbourhood Services). Target for preferred option (service model) report for Member approval Aug/Sept 15 with implementation within 2016.
  - Risk management approach to be completed at a project level through the Members and Officers Groups.
  - Not to be added to strategic risk register as at 24 February 15.