

Gloucester City Council Strategic Risk Register, 27 October 15

No.	Risk	Original score			Current controls	Current score			Further mitigating action	Timescale	Mitigated score			Risk owner
		Impact	Likelihood	Score		Impact	Likelihood	Score			Impact	Likelihood	Score	
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 & 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 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	3	12	<p>*Alignment of financial monitoring and performance monitoring (balanced scorecard)</p> <p>*Monthly monitoring of 15/16 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 (target deadline TBC)</p> <p>Monthly within 2015/16</p>	4	2	8	<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	<ul style="list-style-type: none"> *Dedicated communications and marketing resource with defined service scope – service delivery by County Council (SLA) from April 15 *Regular monitoring of press coverage *Key contacts for liaison with the media (i.e. controlled approach) *Standardised FOI approach with FOI Champions *Consultation approach on key areas *Development and delivery of communication strategy (internal and external) to include performance measures *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	<ul style="list-style-type: none"> *Council's communication policies & protocols to be reviewed to ensure they meet the needs of the all parties *Review and update of the Council's information policies (including IT policies, records management and social media) – to include approval by Cabinet and roll out to officers and Members# *Re-introduction of NETconsent with access for officers and Members# #FMA also relevant to risk 8 	<p>31 March 16</p> <p>31 March 16</p> <p>31 Jan 16</p>	2	2	4	J Topping

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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	<ul style="list-style-type: none"> *Dedicated HR resource with defined service scope – service delivery by County Council (SLA) from Oct 15 *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 *SMT visibility and walking the floor 	3	2	6	<ul style="list-style-type: none"> *Review of OD strategy *Refresh of Council values *Conclusion of Peer Challenge action plan delivery – Peer Challenge team re-visit to be arranged by the LGA *Set up and initiation of bi-monthly meetings of the Governance Group 	<p>31 Mar 16</p> <p>Timing of re-visit to be confirmed by LGA (est. of March 16)</p> <p>From Nov 15</p>	3	1	3	SMT

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4.	Failure to effectively manage contracts and partnerships with key partners / other significant bodies, including: Amey, Civica, Marketing Gloucester, GCH, Aspire, Gloucester Partnership, Gloucestershire Airport, Gloucestershire County Council and district councils	3	3	9	<p>In set up of the partnerships:</p> <ul style="list-style-type: none"> *Corporate procurement strategy and procedures *Contract Standing Orders and general Constitution requirements *Availability of advice from legal/finance/procurement <p>Partnership specific controls that should be in place:</p> <ul style="list-style-type: none"> *Documented signed SLA with each partner *Business Improvement service structure in place (contract management skilled) and lead contact officers assigned to each partner *Monitoring of partnership deliverables, with reporting to SMT/Committee *SLAs incorporate contingency business plan approach to mitigate against loss of service *Partnership risk registers – either individually or within the service risk register *Governance arrangements identifying where decisions are taken *Agreement of SLA KPIs, performance standards and payments (within contract) 	3	2	6	*Negotiation with partners to review current contract contents, define and agree penalties and/or service credits for non-achievement of contract performance standards	31 Mar 16	2	2	4	R Cook & S Neal

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5.	Failure to support and enable business 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 & Homelessness Strategy – including 6 monthly review and update</p> <p>*Cultural Strategy – including 6 monthly review and update</p>	3	2	6	<p>*Development of the Regeneration and Economic Development Strategy (including alignment of objectives to the Council Plan and ensuring an appropriate delivery mechanism is in place)</p> <p>*Bidding for regeneration funding & continued focus on regeneration sites</p> <p>*Strengthening of partner relations</p> <p>*Effective promotion of the city and the council regards business support and being a friendly city</p> <p>*City Plan and JCS aiding delivery of planned growth and housing numbers</p>	<p>31 Mar 16</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: <ul style="list-style-type: none"> ○ Anti-fraud and corruption strategy ○ Anti-bribery policy ○ Whistle blowing policy ○ Anti-money laundering policy ○ Fraud response plan *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) *Benefit case referral to the Single Fraud Investigation Service – DWP	4	1	4	*GFOA review of options to join the Counter Fraud Hub (hosted by CBC & CDC)	31 Dec 15	4	1	4	J Topping

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7	Non-success of the delivery of key regeneration projects (including Kings Quarter and Blackfriars)	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	*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	Quarterly review (or as appropriate dependent on project profile)	2	2	4	A Hodge
8	Failure to manage information in accordance with legislation (including IT security and cyber terrorism risks)	4	4	16	*IT Security: -BT&T partnership contract includes key IT security control continued delivery with ongoing client monitoring required -Virus protection (desktop, server, email, attachments etc) and fire wall controls -Monitoring of internet access and restriction on sites permitted to access -E-mail content scanning -Physical security and	4	3	12	*Review and update of the Council's information policies (including IT policies, records management and social media) – to include approval by Cabinet and roll out to officers and Members# *Re-introduction of NETconsent with access for officers and Members# #FMA also relevant to risk 2 *IT Security further mitigating	31 March 16 31 Jan 16	4	2	8	J Topping

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					protection of IT suite -Procedures for login lockdown when IT staff leaving organisation -Data cleansing of IT equipment prior to disposal -Client monitoring (in-house intelligent client function) team in place -IT risk register monthly review and update by the IT Operations Board *Use of information: -FOI procedures; standardised approach; & FOI Champions -Information management rules within the Constitution - Data Protection guide -Staff training and induction to confirm appropriate management of information *Info stored / accessed: Building access controls – swipe cards/door pass codes *SIRO role allocated *Information Security Board set up, scope agreed & quarterly meetings planned				actions are detailed at risk 11					

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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 & live events (e.g. Christmas call out exercise, Royal International Air Tattoo & Rugby World Cup); and use of Mutual Aid agreement.</p>	4	2	8	<p>*Review and refresh of all service Business Continuity Plans to ensure up to date and appropriate content (including IT focus and BCP exercise completion)</p> <p>*Review and update of named leads for emergency planning to ensure appropriate role allocations based on the Council size & structure – District Emergency Controller and Gold Officer roles</p> <p>* IT infrastructure upgrade in progress (including on site server refresh). Final stages of the upgrade to be identified as part of the IT Strategy exercise.</p>	<p>31 Oct 15</p> <p>31 Oct 15</p> <p>TBC – following approval of the Council IT Strategy</p>	3	2	6	<p>SMT / G Ragon (DEPLO)</p> <p>S Neal</p>

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10	Delay to or non-delivery of Joint Core Strategy (JCS)	4	4	16	<ul style="list-style-type: none"> *Management, monitoring and review of JCS position & progress through regular programmed meetings of: <ul style="list-style-type: none"> - 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	<ul style="list-style-type: none"> *Co-ordinated JCS response to Independent Examination (IE) queries from IE stage 1 (led by the JCS Programme Officer with direct input from City Council officers) *IE stages 1 and 2 are continuing in Sept/October and December 2015 and Stage 3 will be scheduled for early in 2016 – further mitigating actions will be dependent on the outcome of the IE stages & the overall Inspector report following the examination – third party legal, technical and professional support to be retained during this period (as well as full continuation of current controls) – ring fenced budget in place 	Quarter 3 2015/16 Interim Inspector's report may be made available following Stages 1 and 2 in early 2016 Inspector's main report expected mid- 2016 following Stage 3 examination	4	2	8	A Wilson

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11	Council services loss for a significant period, due to failure and limited capacity of IT infrastructure (leading to other financial, reputational and information governance risks)	4	4	16	<ul style="list-style-type: none"> *Up to date IT asset register *Appropriate secure physical location of the servers *Short term IT infrastructure investment needs identified and capital budget agreed *Infrastructure/network topology (mapping) with action plan for regular review and update including identification, risk assessment, costing and priority ranking of IT infrastructure options for investment 	4	3	12	<ul style="list-style-type: none"> *Delivery of medium term IT infrastructure investment (approved within the Council Money Plan) – including on site server refresh and upgrade to Windows 7. *Implementation of the IT health check remediation action plan - to ensure achievement of PSN compliance *IT Business Continuity Plan review and renewal – agreement process to be confirmed 	31 Dec 15 31 Dec 15 31 Oct 15	4	2	8	S Neal
12	Inability of the Council to identify viable plans to achieve savings	4	4	16	<ul style="list-style-type: none"> *Budget setting process – including consultation; management / leadership input into savings targets; and Overview & Scrutiny and Council involvement *Allocation of individual savings/income targets to an SMT sponsor, Cabinet Member and leading manager *Rigorous monthly monitoring of the Council’s financial position - monthly income / budget monitoring at budget holder level (Finance led) and by SMT 	4	2	8	<ul style="list-style-type: none"> *SMT and Cabinet to review and confirm strategic direction to support identification and delivery of Money Plan savings target achievement – to include commissioning and alternative delivery opportunities for savings and income generation 	Feb 16	4	1	4	J Topping

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POTENTIALLY EMERGING STRATEGIC RISKS: DISCUSSED AND REVIEWED BY SMT:

- DEVOLUTION:
 - o Themes raised: Council representation; resource impact (financial, officer time and impact on service delivery); and term of delivery.
 - o The Gloucestershire devolution bid has been submitted – Chancellor of the Exchequer public spending review statement due on Wednesday 25 November – may confirm further devolution agreements.
 - o Risk management approach to be completed at a project level.