Gloucester City Council Strategic Risk Register, 8th November 2016

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	*Budget setting process – including consultation; management / leadership input into savings targets; and Overview & Scrutiny and Council involvement *Forecasting Money Plan for medium term *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 * Financial Services staff professionally qualified in accountancy-related disciplines *Assurance reviews by Internal Audit to ensure compliance with approved policies and procedures *Business Plans aligned with resources and subject to regular review	4	3	12	*Monthly monitoring of 16/17 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 fortnightly verbal update.	Monthly within 2016/17	4	2	8	SMT with named managers responsible for individual savings

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	
2.	Adverse public and media relations	3	3	9	*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	*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	31 March 17 Ongoing – full roll out reliant on NETconsent implementation 31 March 17	2	2	4	A Brinkhoff - comms actions J Topping – IT actions

Gloucester City Council Strategic Risk Register, 8th November 2016

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	
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	*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 *Governance Group bi-monthly meetings	3	2	6	*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	31 May 17 Mid 2017	3	1	3	SMT

Gloucester City Council Strategic Risk Register, 8th November 2016

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	
4.	Failure to effectively manage contracts and SLAs with key partners / other significant bodies, including: Amey, Civica, Marketing Gloucester, Aspire, Gloucestershire Airport, VCS organisations, Gloucestershire County Council (e.g. Audit shared service) and district councils	3	3	9	In set up of the partnerships: *Corporate procurement strategy and procedures; Contract Standing Orders and general Constitution requirements; and Availability of advice from legal, finance & procurement *Documentation on the Council contracts register Partnership specific controls that should be in place: *Documented signed SLA with each partner * Lead contact officers assigned to each partner *Regular performance management meetings, 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 *Scope and review need for Commercial Training for relevant managers as part of OD Strategy *Central list to be compiled of all contracts and SLAs with named responsible officers (and Members, where applicable)	Ongoing review within 2016/17 31 May 2017 October 2017	2	2	4	SMT - each contract and partnership has a specific risk owner within SMT (listing held separately to SRR) J Lund

Gloucester City Council Strategic Risk Register, 8th November 2016

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	
5.	Failure to support and enable business growth within the city	3	3	9	*Support local businesses both start up and new (e.g. grants and business advice) – via Economic Development service *Partnership support for skills/jobs and attraction of inward investment *Council's promotion of city through links with GFirst LEP; Marketing Gloucester; and with adjacent authorities (e.g. JCS) *Cultural Strategy – including 6 monthly review and update *Town Centre Manager role & responsibilities focus on city centre support & growth	3	2	6	*Review of the Regeneration and Economic Development Strategy (including alignment of objectives to the Council Plan and ensuring an appropriate delivery mechanism is in place) *Bidding for regeneration funding & continued focus on regeneration sites *Strengthening of partner relations *Effective promotion of the city and the council regards business support and being a friendly city *City Plan and JCS (risk 10) aiding delivery of planned growth and housing numbers	31 January 2018 At least monthly review At least monthly review	2	2	4	A Hodge

Gloucester City Council Strategic Risk Register, 8th November 2016

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	
6.	Loss of finance, resource and reputation due to fraudulent activity	4	3	12	*The following are approved policies available to officers: o Anti-fraud and corruption strategy o Anti-bribery policy o Whistle blowing policy o Anti-money laundering policy o 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 *Brilliant Basics modules (fraud awareness, project management and influencing skills) available to management team	4	1	4	*Options review to join the Counter Fraud Hub (hosted by CBC & CDC) has been undertaken. As part of the internal audit shared service (ARA), where necessary the service will draw down on the resources provided by the Counter Fraud Hub as required.	Monthly review with the Head of ARA in regard to draw down need, activity in progress and outputs.	4	1	4	J Topping

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	
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) *Brilliant Basics modules (fraud awareness, project management and influencing skills) available to management team	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	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	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	Ongoing – full roll out reliant on NETconsent implementation 31 March 17	4	2	8	J Topping

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	
					and restriction on sites permitted to access				officers and Members#					
					-E-mail content scanning				#FMA also relevant to risk 2					
					-Physical security and protection of IT suite				*IT Security further mitigating actions are considered at risk 11					
					-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									
					*SIRO role allocated									
					*Information Security Board set up, scope agreed & quarterly meetings held									

Gloucester City Council Strategic Risk Register, 8th November 2016

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	
9.	Capacity to deal with unexpected events (e.g. weather/phone system failure/other)	4	3	12	*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 *Regular review and updating of Emergency Response Plan and other plans *Allocated Emergency Team Leaders within the Council e.g. District Emergency Controller and Gold Officer roles *Business continuity plans in place for each Group/Service *Bad weather policy and communications *Climate change strategy supported by Local Resilience Forums *Emergency Contacts list updated every quarter *Defined Mutual Aid Agreement including all Gloucestershire local authorities *Continued testing of Emergency Plan arrangements; bi annual exercises & live events (e.g. Christmas call out exercise); and use of Mutual Aid agreement	4	2	8	*Review and refresh of all service Business Continuity Plans to ensure up to date and appropriate content (including IT focus and BCP exercise completion) *IT relevant further mitigating actions are considered at risk 11.	Ongoing review within 2016/17	3	2	6	SMT / G Ragon (DEPLO)

Gloucester City Council Strategic Risk Register, 8th November 2016

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	
10.	Delay to delivery of Joint Core Strategy (JCS)	4	4	16	*Management, monitoring and review of JCS position & progress through regular programmed meetings of: - JCS Joint Programme Board, JCS Joint Steering Group, JCS Operations Programme Board and JCS 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 *Ring fenced budget for JCS.	4	2	8	*Co-ordinated JCS response to Independent Examination (IE) stages is being led by the JCS Programme Officer with direct input from the City Council Planning Policy Manager & policy officers. *Public consultation on the proposed modifications to the JCS to be completed November 2016, prior to reconsideration by the Inspector. Any required actions to be led by the JCS Programme Officer with direct input from the City Council Planning Policy Manager & policy officers. *JCS adoption expected quarter 4 2016/17.	Quarter 3 2016/17 Quarter 4 2016/17	4	2	8	A Wilson

Gloucester City Council Strategic Risk Register, 8th November 2016

| 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	
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	*Up to date IT asset register *Appropriate secure physical location of the servers *Medium term IT infrastructure investment needs identified and capital budget agreed and delivered within 2016/17 – including on site server refresh and upgrade to Windows 7 *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 *Joint Head of ICT post in place and resourced *PSN Cust. Compliance Certificate achieved 4th March 16	4	3	12	*IT Business Continuity Plan review and renewal – agreement process to be confirmed & IT internal audit to be completed to support action plan *Council IT Strategy review and approval	Audit due quarter 4 16/17 30 Dec 16	4	2	8	Head of ICT

Gloucester City Council Strategic Risk Register, 8th November 2016

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	
12.	Inability of the Council to identify viable plans to achieve savings	4	4	16	*Budget setting process – including consultation; management / leadership input into savings targets; and Overview & Scrutiny and Council involvement *SMT and Cabinet review and approval of Money Plan savings delivery options – including commissioning and alternative delivery opportunities for savings and income generation *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	3	12	*Engagement with GMT to ensure corporate ownership of financial challenges and need for transformation *Together Gloucester project – focus on Council organisational redesign – with the goal to achieve the savings target, sustain or improve performance, and achieve the Council's vision and objectives	Ongoing within 2016/17 Team selected – work to start late August 16 and continue within quarter 3 16/17	4	2	8	SMT
13.	Uncertainties arising from the UK leaving the EU with the possible impact on funding and policy change from the DCLG	4	4	16					*Engagement with business community & peers to assess the anticipated impact of Brexit	Ongoing within 2016/17				SMT

POTENTIALLY EMERGING STRATEGIC RISKS: DISCUSSED AND REVIEWED BY SMT: N/A as at 08/11/2016