

# Appendix 1 - Strategic Risk Register as at 23<sup>rd</sup> October 2018



## SRR1 Strategic Risk Register

Risk Ref	Risk	Original Impact	Original Likelihood	Original Score	Description	Current Impact	Current Likelihood	Current Score	Further Mitigating Action	Timescale	Target Impact	Target Likelihood	Target Score	Risk Owner
SRR1.1	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 manager.</p> <p>*Rigorous monthly monitoring of the Council's financial position - monthly budget monitoring (including budget savings programme lines) 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>*Service Plans aligned with resources and subject to regular review.</p>	3	2	6			3	2	6	Head of Policy & Resources

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SRR1.2	Adverse public and media relations	3	3	9	*Dedicated communications and marketing resource with defined service scope – service delivery by County Council (SLA). *Regular monitoring of press coverage. *Formal route for media press contact (controlled approach). *Standardised FOI approach with FOI Champions. *Dedicated support for key consultations. *Communication Strategy on key campaigns, including performance measures. *Internal Communications Channel Plan. *Complaints policy / monitoring. *Digital communications team in place – including objectives, policies and procedures. *Approved campaigns plan in place. *Release of new Council website.	3	2	6	Completion of media training for Members and key officers	31-Mar-2019	2	2	4	Corporate Director - Partnerships
SRR1.3	Lack of competence, staff engagement, probity and professionalism within the authority leading to diminished performance,	3	3	9	*Dedicated HR resource with defined service scope – service delivery by County Council (s101 agreement). *Adherence to best practice recruitment and selection procedures and principles. *Member and staff training. *Complaints monitoring. *Member role descriptors. *Codes of conduct for	3	2	6	Further review and development of the apprenticeship scheme	31-Mar-2019	3	1	3	Corporate Director - Partnerships
									Workforce Strategy Action Plan approval and delivery	31-Mar-2019				

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	inappropriate behaviour, and failure to comply with governance arrangements				<p>members and officers.</p> <p>*Defined officer roles.</p> <p>*Staff 1:1s and performance appraisals.</p> <p>*Disciplinary procedure.</p> <p>*Adherence to health and safety Policy and procedures.</p> <p>*Staff survey.</p> <p>*Staff engagement activities.</p> <p>*Governance Group bi-monthly meetings.</p> <p>*Council Values and behaviours refreshed and adopted.</p> <p>*Development Plan and Learning &amp; Training Plan in place.</p> <p>*OD Plan in place.</p> <p>*Talent management scheme and apprenticeship scheme in place.</p> <p>*Together Gloucester phase 1 (transformation) delivery.</p>										
SRR1.4	Failure to effectively manage contracts and SLAs with key partners / other significant bodies, including: Amey, Civica, Marketing Gloucester, Aspire, Gloucestershire Airport, VCS organisations,	3	3	9	<p>*Central list held of all contracts and SLAs with named responsible officers and Members.</p> <p>*In set up of the partnerships:</p> <ul style="list-style-type: none"> <li>-Corporate procurement strategy and procedures;</li> <li>Contract Standing Orders;</li> <li>Constitution requirements;</li> <li>and Availability of advice from legal, finance &amp; procurement.</li> <li>-Documentation on the Council contracts register.</li> </ul> <p>*Partnership specific controls required (for each partner):</p> <ul style="list-style-type: none"> <li>-Documented signed SLA.</li> </ul>	3	2	6	Together Gloucester Phase 2, Work Package 5 (Commercialisation)	31-Mar-2019	2	2	4	Corporate Director - Service Transformation	

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	Gloucestershire County Council (e.g. Audit shared service) a				<ul style="list-style-type: none"> <li>-Lead contact officers assigned to each partner.</li> <li>-Regular performance management meetings, with reporting to SMT/Committee.</li> <li>-SLAs incorporate contingency business plan approach to mitigate loss of service.</li> <li>-Partnership risk registers – either individually or within the service risk register.</li> <li>-Governance arrangements identifying where decisions are taken.</li> <li>-Agreement of SLA KPIs, performance standards and payments (within contract).</li> <li>-Ongoing negotiation with partners to review current contract contents, to ensure up to date (e.g. GDPR considerations) and fit for purpose.</li> </ul>									
SRR1.5	Failure to support and enable business growth within the city	3	3	9	<ul style="list-style-type: none"> <li>*Support local businesses both start up and new - 'Better Business For All'.</li> <li>*Partnership support for skills/jobs and attraction of inward investment.</li> <li>*Council's promotion of city through links with GFirst LEP; Marketing Gloucester; and with adjacent authorities (e.g. JCS).</li> <li>*Cultural Strategy – including 6 monthly review and update.</li> <li>*Liaison with Business Improvement District</li> </ul>	3	2	6	City Plan development and delivery	31-Dec-2019	2	2	4	Head of Place

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					(including consideration of uncertainties arising from the UK leaving the EU). *Regeneration and Economic Development Strategy in place. *Ongoing review and bidding for regeneration funding, with continued focus on regeneration sites.									
SRR1.6	Loss of finance, resource and reputation due to fraudulent activity	4	3	12	*The following are approved policies available to officers: -Anti-fraud and corruption strategy (including Anti-bribery policy and Anti-money laundering policy). -Whistle blowing 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. *Brilliant Basics modules (fraud awareness, project management and influencing skills) available to management team. *SLA with ARA (County hosted) for drawdown of days from Glos. Counter Fraud	4	1	4			4	1	4	Head of Policy & Resources

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					Unit for targeted anti-fraud work – Council position reviewed monthly by S151 Officer and Chief Internal Auditor.									
SRR1.7	Failure to deliver key regeneration priorities (including Kings Quarter and Blackfriars)	3	3	9	<ul style="list-style-type: none"> <li>*Regeneration Advisory Board.</li> <li>*Capital Monitoring Steering Group &amp; existing capital programme controls.</li> <li>*Brilliant Basics modules (project management and influencing skills) available to management team.</li> <li>*Project specific controls that should be in place: <ul style="list-style-type: none"> <li>-Project plans in place for major schemes.</li> <li>-Project review meetings led by experienced/qualified Members and Officers with third party links/presence (e.g. developers and associated commercial agents).</li> <li>-Project update reporting to Cabinet and Council (in line with project plan milestones).</li> <li>- Re-assessment of projects at appropriate points to review objectives and deliverables.</li> <li>- Maintenance and review of project risk registers for each regeneration project.</li> <li>-Ongoing internal review and financial scrutiny of projects.</li> </ul> </li> </ul>	3	2	6	Together Gloucester Phase 2, Work Packages	31-Mar-2019	2	2	4	Head of Place
SRR1.8	Failure to manage	4	4	16	<ul style="list-style-type: none"> <li>*IT Security:</li> <li>-Civica ITO contract includes</li> </ul>	4	2	8			4	2	8	Head of Policy & Resources

Risk Ref	Risk	Original Impact	Original Likelihood	Original Score	Description	Current Impact	Current Likelihood	Current Score	Further Mitigating Action	Timescale	Target Impact	Target Likelihood	Target Score	Risk Owner	
	information in accordance with legislation				<p>key IT security control continued delivery with ongoing client monitoring required.</p> <ul style="list-style-type: none"> <li>-Virus protection (desktop, server, email, attachments etc) and fire wall controls.</li> <li>-Monitoring of internet access and restriction on sites permitted to access</li> <li>-E-mail content scanning (incl. Forcepoint).</li> <li>-Physical security and protection of IT suite.</li> <li>-Procedures for login lockdown when IT staff leaving organisation.</li> <li>-Data cleansing of IT equipment prior to disposal.</li> <li>-Client monitoring (in-house intelligent client function) team in place.</li> <li>-IT risk register monthly review and update by the IT Operations Board.</li> <li>*Use of information: <ul style="list-style-type: none"> <li>-FOI procedures; standardised approach; &amp; FOI Champions.</li> </ul> </li> <li>-Information management rules within the Constitution.</li> <li>-Data Protection guide and GDPR implementation/training action plan.</li> <li>-Staff training and induction to confirm appropriate management of information.</li> <li>*Info stored / accessed - Building access controls.</li> </ul>										

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					*SIRO role allocated. *Information Governance Board and ICT Strategy Board in place. *Suite of information policies in place and available on NETconsent policy management system.									
SRR1.9	Ability to respond effectively to unexpected events in support of our communities (e.g. weather/terror attack/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 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	4	2	8	Review and refresh of all service Business Continuity Plans to ensure up to date and appropriate content	31-Mar-2019	3	2	6	Head of Communities



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					exercises & live events (e.g. Christmas call out exercise); and use of Mutual Aid agreement. With ongoing shared learning.									
SRR1.10	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	<p>*Up to date IT asset register.</p> <p>*Appropriate secure physical location of the servers.</p> <p>*Medium term IT infrastructure investment budget agreed and delivered within 2016/17.</p> <p>*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.</p> <p>*PSN Compliance Certificate achieved.</p> <p>*ICT Business Continuity Plan review and renewal completed (platform for DR and to be expanded for use as the platform for all GCC systems post relocation from HKP).</p> <p>*ICT Strategy in place.</p> <p>*Information Governance Board and ICT Security Board in place.</p>	4	3	12	<p>IT internal audit to be completed to support ICT action plan</p> <p>Review and refresh of all service Business Continuity Plans to ensure up to date and appropriate content</p>	<p>31-Mar-2019</p> <p>31-Mar-2019</p>	4	2	8	Head of Policy & Resources
SRR1.11	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	4	2	8			4	2	8	Head of Policy & Resources

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					<p>Council involvement.</p> <p>*SMT and Cabinet review and approval of Money Plan savings delivery options – including commissioning and alternative delivery opportunities for savings and income generation.</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>*Engagement with GMT to ensure corporate ownership of financial challenges and need for active identification of efficiency &amp; income opportunities for the Council.</p>										
SRR1.13	Inability of the Council to deliver the Corporate Plan to 2020	3	4	12	<p>*Corporate Plan developed jointly by Cabinet and Senior Management Team, scrutinised and endorsed by the wider Council membership.</p> <p>*Corporate Plan approval completed.</p> <p>*Budget Strategy and Money Plan designed to appropriately resource the delivery of the Corporate Plan.</p> <p>*Performance management</p>	3	2	6			3	2	6	Managing Director	

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					framework. *Service planning processes to ensure Corporate Plan link to Service Plans. *Appraisal processes link personal objectives and development needs to the needs of the organisation, talent development and personal well being.									
SRR1.14	Negative financial implications due to inappropriate delivery and management of the Property Investment Strategy; and a risk of political priorities diluting commercial considerations around hedging	4	4	16	*Property Investment Strategy (including risk management considerations) endorsed by Cabinet and approved by Council. *Property Investment Board set up with a defined Terms of Reference to oversee the investment of the £80m fund. *Council approved delegation of authority to the Council Solicitor to conclude documents (in line with senior officer agreed heads of terms) to enable completion of each acquisition. *Property Investment Board to receive investment prospectus and officer evaluations of potential property acquisitions; to make recommendations to the s151 Officer with regards to investment; and to oversee the due diligence and acquisition process in accordance with the Property Investment Strategy. *Property Investment Board	4	2	8			4	2	8	Head of Policy & Resources

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					to monitor fund position (including cost of borrowing) and the management of the estate, with outcomes to be reported to senior officers and Members. *Legal implications ongoing review to ensure relevant local authority powers remain in place to support the Property Investment Strategy.									

**Scoring risk:**

The impact and likelihood of any risk is evaluated on a scale of 1-4, with the product of the two (impact score multiplied by likelihood score) representing the risk score.

<b>Impact</b>	Catastrophic ↑ Minor	Low 4	High 8	Very High 12	Very High 16
		Low 3	Medium 6	High 9	Very High 12
		Low 2	Low 4	Medium 6	High 8
		Low 1	Low 2	Low 3	Low 4
		<b>Likelihood</b>			
		Very Unlikely → Very Likely			

The interpretation of the scores for both impact and likelihood are detailed on Pentana.