

# Strategic Risk Register Report as at 2<sup>nd</sup> July 2019



## 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. * Completion of media training for Members and key officers	3	2	6			2	2	4	Corporate Director - Partnerships
SRR1.3	Lack of competence, staff engagement, probity and professionalism within the authority	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.	3	2	6	Further review and development of the apprenticeship scheme	31-Aug-2019	3	1	3	Corporate Director - Partnerships
									Workforce Strategy Action Plan approval and delivery	30-Sep-2019				

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	leading to diminished performance, inappropriate behaviour, and failure to comply with governance arrangements				<ul style="list-style-type: none"> <li>*Complaints monitoring.</li> <li>*Member role descriptors.</li> <li>*Codes of conduct for members and officers.</li> <li>*Defined officer roles.</li> <li>*Staff 1:1s and performance appraisals.</li> <li>*Disciplinary procedure.</li> <li>*Adherence to health and safety Policy and procedures.</li> <li>*Staff survey.</li> <li>*Staff engagement activities.</li> <li>*Governance Group bi-monthly meetings.</li> <li>*Council Values and behaviours refreshed and adopted.</li> <li>*Development Plan and Learning &amp; Training Plan in place.</li> <li>*OD Plan in place.</li> <li>*Talent management scheme and apprenticeship scheme in place.</li> <li>*Together Gloucester phase 1 (transformation) delivery.</li> <li>*Provision of comprehensive Policies and Management Guidance Notes on the intranet on all aspects of people management and core HR topics, including performance, behavioural standards expected and conduct.</li> <li>*Dedicated Staff Wellbeing Working Group tasked with developing/ procuring health and wellbeing initiatives for staff and increasing staff</li> </ul>									

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					<p>engagement in such activities.</p> <p>*Culture Action Plan setting out key actions arising from Staff Survey covering a range of areas including Performance and Workload Management, Member-Officer Relationships, Council Transformation and Wellbeing.</p> <p>*Staff Engagement Index – annual measure to assess level of engagement as part of Staff Survey.</p> <p>*Gender Pay Working Group and Action Plan to ensure that our family friendly offer is competitive and we attract and retain the best staff.</p> <p>*Comprehensive staff benefits offer.</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: * Corporate procurement strategy and procedures; Contract Standing Orders; Constitution requirements; and Availability of advice from legal, finance &amp; procurement. * Documentation on the Council contracts register. *Partnership specific controls required (for each partner); *Documented signed SLA.</p>	3	2	6	Together Gloucester Phase 2, Work Package 5	30-Sep-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	<p>*Regeneration Advisory Board.</p> <p>*Capital Monitoring Steering Group &amp; existing capital programme controls.</p> <p>*Brilliant Basics modules (project management and influencing skills) available to management team.</p> <p>*Project specific controls that should be in place:</p> <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>	3	2	6	Together Gloucester Phase 2, Work Packages	30-Sep-2019	2	2	4	Head of Place
SRR1.8	Failure to manage	4	4	16	<p>*IT Security:</p> <p>-Civica ITO contract includes</p>	4	2	8			4	1	4	Head of Policy & Resources

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	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> <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> </ul> </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. * SIRO and IT Service Manager attend Government sponsored Warning, Advice and Reporting Point (WARP) and participate in LGA / NCSC run Cyber Security awareness programme * The council has subscribed to NCSC email and web security monitoring tools * SMT, Members and Staff Cyber security awareness training plan in place									
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	4	2	8	Review and refresh of all service Business Continuity Plans to ensure up to date and appropriate content	31-Aug-2019	3	2	6	Head of Communities

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					<p>communications.</p> <p>*Climate change strategy supported by Local Resilience Forums.</p> <p>*Emergency Contacts list updated every quarter.</p> <p>*Defined Mutual Aid Agreement including all Gloucestershire local authorities.</p> <p>*Continued testing of Emergency Plan arrangements; bi annual exercises &amp; live events (e.g. Christmas call out exercise); and use of Mutual Aid agreement. With ongoing shared learning.</p>										
SRR1.10	Council services loss for a significant period, due to technology failure (leading to other financial, reputational and information governance risks).	4	4	16	<p>*Up to date IT asset register now electronically maintained through Snow.</p> <p>*Appropriate secure physical location of the servers planned enhancement by the end of 2019 through the migration to Azure and Indectron data centre hosting service.</p> <p>*2017 – 2019 ICT Strategy, including budget signed off, which has seen significant investment in improving the resilience of the council's IT infrastructure .</p> <p>*Infrastructure/network topology (mapping) identified a number of areas of high risk, all of which have been</p>	4	2	8	<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>Achievement of Cyber Essential Plus</p>	31 Mar 2020	3	2	6	Head of Policy & Resources	

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					<p>mapped to the ICT Strategy to secure funding to mitigate or remove by the end of 2019</p> <p>*PSN Compliance Certificate achieved. Stage one of Cyber Essential achieved with Cyber Essential Plus plan to be achieved by the end of 2019</p> <p>*ICT Business Continuity Plan is being built around the use of Azure and Indectron data centre which will be in place by the end of 2019. The council's cloud first strategy has seen Microsoft productivity tools, email, security, Intranet and web site hosted externally which help simplify the BC plan. A number of line of business application are also planned to be cloud hosted by the end of 2020</p> <p>*ICT Strategy in place to the end of 2019, with that for a further two years in development.</p> <p>*Information Governance Board and ICT Security Board in place.</p>									
SRR1.11	Inability of the Council to continue to identify viable plans to achieve savings	4	4	16	<p>*Budget setting process – including consultation; management/leadership input into savings targets; and Overview &amp; Scrutiny and Council involvement.</p> <p>*SMT and Cabinet review and approval of Money Plan</p>	4	3	12			4	2	8	Head of Policy & Resources

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					<p>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	4	4	16	<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 framework.</p> <p>*Service planning processes to ensure Corporate Plan link</p>	3	2	6			3	2	6	Managing Director

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					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	<p>*Property Investment Strategy (including risk management considerations) endorsed by Cabinet and approved by Council.</p> <p>*Property Investment Board set up with a defined Terms of Reference to oversee the investment of the £80m fund.</p> <p>*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.</p> <p>*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.</p> <p>*Property Investment Board to monitor fund position (including cost of borrowing) and the management of the</p>	4	2	8			4	2	8	Head of Policy & Resources

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					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.									