

Strategic Risk Register Report as at 15th November 2022



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 & 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</p>	3	2	6			3	2	6	Director of Policy & Resources

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					accountancy-related disciplines. *Assurance reviews by Internal Audit to ensure compliance with approved policies and procedures. *Service Plans aligned with resources and subject to regular review.									
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	3	2	6			2	2	4	Managing Director

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					objectives, policies and procedures. *Approved campaigns plan in place. *Release of new Council website.									
SRR1.3	Lack of competence, staff engagement, probity and professionalism, workforce planning, succession planning, recruitment and retention within the authority leading to diminished performance, inappropriate behaviour, and failure to comply with governance.	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 members and officers. *Defined officer roles. *Staff 1:1s and performance appraisals. *Disciplinary procedure. *Adherence to health and safety Policy and procedures. *Staff survey. *Staff engagement activities. *Governance Group bi-monthly meetings.	3	2	6			3	1	3	Director of Policy & Resources

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					<ul style="list-style-type: none"> *Council Values and behaviours refreshed and adopted. *Development Plan and Learning & Training Plan in place. *OD Plan in place. *Talent management scheme and apprenticeship scheme in place. 									
SRR1.4	Failure to effectively manage contracts and SLAs with key partners / other significant bodies, including: Ubico, Civica, Aspire, Gloucestershire Airport, VCS organisations, Gloucestershire County Council shared services	3	3	9	<ul style="list-style-type: none"> *Central list held of all contracts and SLAs with named responsible officers and Members. *In set up of the partnerships: <ul style="list-style-type: none"> -Corporate procurement strategy and procedures; Contract Standing Orders; Constitution requirements; and Availability of advice from legal, finance & procurement. -Documentation on the Council contracts register. *Partnership specific controls required (for each partner): <ul style="list-style-type: none"> -Documented signed SLA. -Lead contact officers assigned to each partner. -Regular performance management meetings, 	2	3	6			2	2	4	Director of Policy & Resources

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					<ul style="list-style-type: none"> with reporting to SMT/Committee. -SLAs incorporate contingency business plan approach to mitigate 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). -Ongoing negotiation with partners to review current contract contents, to ensure up to date (e.g. GDPR considerations) and fit for purpose. 									
SRR1.5	Failure to support and enable business growth within the city	3	3	9	<ul style="list-style-type: none"> *Support local businesses both start up and new - 'Better Business For All'. *Partnership support for skills/jobs and attraction of inward investment. *Council's promotion of city through links with GFirst LEP;; and with adjacent authorities (e.g. JCS). 	2	2	4			2	2	4	Head of Place

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					*Cultural Strategy – including 6 monthly review and update. *Liaison with Business Improvement District *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.	3	1	3			4	1	4	Director of Policy & Resources

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					*Brilliant Basics modules (fraud awareness, project management and influencing skills) available to management team. *Council Fraud Officer works closely with ARA – 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	*Capital Monitoring Steering Group & existing capital programme controls. *Brilliant Basics modules (project management and influencing skills) available to management team. *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	3	2	6			2	2	4	Head of Place

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					and Council (in line with project plan milestones). - Re-assessment of projects at appropriate points to review objectives and deliverables. - Maintenance and review of project risk registers for each regeneration project. -Ongoing internal review and financial scrutiny of projects.									
SRR1.8	Failure to manage information in accordance with legislation	4	4	16	*IT Security ­ The Civica ITO extension continues to provide key IT security controls. ­ The rebuild opportunity following the cyber incident, the council, working with the NCSC and NCC has invested in additional security products and services: ­ Enrolment in the NCSC Active Cyber Defence services ­ Introduced a Security information and event management (SIEM) ­ Endpoint protection (VMware and Microsoft)	3	2	6	Insource ITO arrangements to enhance the key IT security controls	31-Dec-2022	4	1	4	Director of Policy & Resources

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					<ul style="list-style-type: none"> &shy; E-mail content scanning (incl. Microsoft). &shy; Physical security and protection of IT suite (access list only – physical in now with Indectron). &shy; Procedures for login lockdown when IT staff leaving organisation. &shy; Data cleansing of IT equipment prior to disposal. &shy; Client monitoring (inhouse intelligent client function) team in place. &shy; IT risk register monthly review and update by the IT Operations Board. *Use of information: <ul style="list-style-type: none"> &shy; FOI procedures; standardised approach; & FOI Champions. &shy; Information management rules within the Constitution. &shy; Data Protection guide and GDPR implementation/training action plan. &shy; Staff training and induction to confirm appropriate management of information. *Info stored / accessed 										

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					<ul style="list-style-type: none"> &shy; Building access controls. &shy; SIRO role allocated. &shy; Information Governance Board and ICT Strategy Board in Place. &shy; Suite of information policies in place and available on NETconsent policy management system. &shy; User cyber awareness training and workshops Quarterly cyber update presented to SMT 									
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	<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 e.g. District Emergency Controller and Gold Officer roles.</p> <p>*Business continuity plans in place for each Service.</p>	3	2	6			3	2	6	Director of Communities

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					<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>*Defined Mutual Aid Agreement including all Gloucestershire local authorities.</p> <p>*Continued testing of Emergency Plan arrangements; bi annual exercises & 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 failure and limited capacity of IT infrastructure (leading to other financial, reputational and information governance risks)	4	4	16	<p>* The rebuild opportunity following the cyber incident has enabled the council to accelerate its cloud first strategy.</p> <p>* The investment budget to implement and maintain the rebuild has been agreed</p> <p>* PSN compliance and Cyber Essentials certification is being monitored through</p>	2	4	8	<p>Complete the rebuild of the council's line of business applications, over 75% of which will be hosted in the cloud on infrastructure managed by the application provider</p> <p>Host all unstructured data in Office 365</p> <p>Provide fully managed new security infrastructure (firewall and VPN) and next generation devices</p> <p>Through the move to the cloud and inclusion in the scope for the service provided, shift of the council's ICT Business Continuity and IT Disaster</p>	<p>31-Dec-2022</p> <p>31-Dec-2022</p> <p>31-Dec-2022</p> <p>31-Dec-2022</p>	3	2	6	Director of Policy & Resources

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					regular audit checkpoints with certification bodies.				Recovery Plans to application providers					
									Develop ICT Strategy for each infrastructure service and line of business application to balance the need to restore along with the opportunity to move to the cloud	31-Dec-2022				
									Rebuild ICT Security and information governance with input from the NCSC and NCC	31-Dec-2022				
SRR1.11	Inability of the council to identify viable plans to achieve efficiencies and/or income generation.	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	3	2	6			3	2	6	Director of Policy & Resources

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					monitoring at budget holder level (Finance led) and by SMT. *Engagement with GMT to ensure corporate ownership of financial challenges and need for active identification of efficiency & income opportunities for the Council									
SRR1.13	Inability of the Council to deliver the Corporate Plan to 2024	4	4	16	*Corporate Plan developed jointly by Cabinet and Senior Management Team, scrutinised and endorsed by the wider Council membership. *Corporate Plan approval completed. *Budget Strategy and Money Plan designed to appropriately resource the delivery of the Corporate Plan. *Performance management 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.	1	1	1			3	2	6	Managing Director

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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</p>	3	2	6			4	2	8	Director of Policy & Resources

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					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.									

Cannot group these rows by Code & Title

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SRR1	Strategic Risk Register													Senior Management Team