

# Gloucester City Council Strategic Risk Register, 13<sup>th</sup> February 2018

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 &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 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>*Service Plans aligned with resources and subject to regular review.</p>	4	3	12	<p>*Monthly monitoring of 2017/18 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).</p> <p>*Savings line owner (service manager/head of service) to report to SMT where savings non achievement is expected.</p> <p>*Monthly formal reporting to SMT on savings position and a fortnightly verbal update.</p>	Monthly within 2017/18	4	2	8	SMT with named managers responsible for individual savings

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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.	3	2	6	*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# #FMA also relevant to risk 8  *Completion of media training for Members and key officers.  *SMT to approve campaigns plan.  *Ensure political sign off of campaigns materials.	Ongoing   March 2018  March 2018  March 2018	2	2	4	A Brinkhoff - comms actions  J Topping – IT actions

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3.	Lack of competence, staff engagement, 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 (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. *Council Values and behaviours refreshed and adopted 2017/18. *Development Plan and Learning & Training Plan in place.	3	2	6	*LGA Corporate Peer Challenge provided robust assurance on the council's competence, probity and professionalism. CPC action plan being developed, linking to the OD plan. Action plan to be tabled to SMT.	March 2018	3	1	3	SMT

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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	<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; and</li> <li>-Availability of advice from legal, finance &amp; procurement.</li> <li>-Documentation on the Council contracts register.</li> <li>*Partnership specific controls required (for each partner):</li> <li>-Documented signed SLA.</li> <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> </ul>	3	2	6	<p>*Negotiation with partners to review current contract contents, define and agree penalties and/or service credits for non-achievement of contract performance standards.</p> <p>*Scope and review need for Commercial Training for relevant managers as part of OD Strategy.</p>	<p>Ongoing review within 2017/18</p> <p>March 2018</p>	2	2	4	SMT - each contract and partnership has a specific risk owner within SMT (listing held separately to SRR)

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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 Place 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>*Cultural Strategy – including 6 monthly review and update.</p> <p>*Liaison with Business Improvement District (including consideration of uncertainties arising from the UK leaving the EU).</p>	3	2	6	<p>*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).</p> <p>*Bidding for regeneration funding &amp; 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>March 2018</p> <p>At least monthly review</p> <p>At least monthly review</p>	2	2	4	I Edwards

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6.	Loss of finance, resource and reputation due to fraudulent activity.	4	3	12	<p>*The following are approved policies available to officers:</p> <ul style="list-style-type: none"> <li>○ Anti-fraud and corruption strategy (including Anti-bribery policy and Anti-money laundering policy).</li> <li>○ Whistle blowing policy.</li> <li>○ Fraud response plan.</li> </ul> <p>*Financial regulations (including standing orders).</p> <p>*Existing internal control framework.</p> <p>*Internal Audit inc. Audit &amp; Governance Committee and annual risk based internal audit plan (deterrent).</p> <p>*External audit presence (deterrent).</p> <p>*Benefit case referral to the Single Fraud Investigation Service – DWP.</p> <p>*Brilliant Basics modules (fraud awareness, project management and influencing skills) available to management team.</p> <p>*SLA with ARA (County hosted) for drawdown of days from Glos. Counter Fraud Unit for targeted anti-fraud work – Council position reviewed monthly by S151 Officer and Chief Internal Auditor.</p>	4	1	4	*Not applicable – current controls mitigate the strategic risk to an appropriate level.		4	1	4	J Topping

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7.	Failure to deliver key regeneration priorities (including Kings Quarter and Blackfriars).	3	3	9	*Regeneration Advisory Board. *Capital Monitoring Steering Group & existing capital programme controls. *Brilliant Basics modules (fraud awareness, 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 and Council (in line with project plan milestones).	3	2	6	*Head of Place 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	I Edwards
8.	Failure to manage information in accordance with legislation.	4	4	16	*IT Security: -Civica ITO 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	4	2	8	*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#  #FMA also relevant to risk 2  *IT Security further mitigating	Ongoing	4	1	4	J Topping

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					permitted to access. -E-mail content scanning (incl. Forcepoint). -Physical security and 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 and GDPR implementation/training action plan. -Staff training and induction to confirm appropriate management of information. *Info stored / accessed - Building access controls. *SIRO role allocated. *Information Security Board				actions are considered at risk 10.					



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					set up, scope agreed & quarterly meetings held. *NETconsent policy management system.									

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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> <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 &amp; live events (e.g. Christmas call out exercise); 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.</p> <p>*Undertake &amp; share learning from recent major events and build in to existing plan set so that officers and members can put this into action.</p> <p>*IT relevant further mitigating actions are considered at risk 10.</p>	Ongoing review within 2017/18	3	2	6	SMT / L Griffiths (DEPLO)

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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 needs identified and capital budget agreed and delivered within 2016/17 – including on site server refresh and upgrade to Windows 7.</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 22<sup>nd</sup> March 2017.</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>	4	3	12	<p>*IT internal audit to be completed to support ICT action plan.</p> <p>*Council IT Strategy review and approval.</p>	<p>Agreed ICT internal audits 2017/18 to be delivered in March 2018</p> <p>March 2018</p>	4	2	8	J Lund

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11.	Inability of the Council to identify viable plans to achieve savings.  (Wider Money Plan achievement considered at risk 1)	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 active identification of efficiency & income opportunities for the Council.	Ongoing within 2017/18	4	2	8	SMT
12.	Inability of the Council to progress with the ongoing organisational transformation begun by the Together Gloucester review and, as a consequence an inability to realise the full benefits of the change process.	4	3	12	*All Managers and Staff encouraged to question existing service delivery models and explore new ways of working.	4	3	12	*Financial benefits of the review designed to be achieved during 2017/18 financial year. *New Service Planning processes introduced to foster further service development, business transformation, ICT development and ABCD. *New Performance	March 2018  March 2018	4	2	8	SMT

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									<p>Management framework introduced to manage progress and capture and report performance.</p> <p>*New appraisal/personal performance planning processes introduced to link personal objectives and development needs to the needs of the organisation, talent development and personal well-being.</p> <p>*Talent Assessment, management and development processes introduced to encourage and enable talent and succession planning within the organisation.</p> <p>*External expertise engaged to help assess the organisation's capacity for transformation, to help map/redesign service processes and deliver a transformation implementation plan and associated ICT delivery plan.</p> <p>*LGA Peer review delivered. Resulting action plan to be tabled to SMT.</p>	<p>April 2018</p> <p>March 2018</p> <p>March 2018</p> <p>February to April 2018</p> <p>March 2018</p>				

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13.	Inability of the Council to deliver the Corporate Plan to 2020.	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.	4	3	12	*New Service Planning processes introduced to ensure that all aspects of the Corporate Plan are reflected in Service Plans. *New Performance Management framework introduced to manage progress and capture and report performance on the delivery of Corporate Plan objectives. *New appraisal/personal performance planning processes introduced to link personal objectives and development needs to the needs of the organisation, talent development and personal well-being. *LGA Peer review delivered. Resulting action plan to be tabled to SMT.	March 2018  April 2018  March 2018  March 2018	4	2	8	SMT

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14.	Negative financial implications (including inability to repay the cost of borrowing and impact of capital depreciation) due to inappropriate delivery and management of the Property Investment Strategy; and a risk of political priorities diluting commercial considerations around hedging, which could both impact the Council's ability to meet the annual savings targets and wider Money Plan requirements.	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>	4	3	12	<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 estate, with outcomes to be reported to senior officers and Members.</p> <p>*Legal implications ongoing review to ensure relevant local authority powers remain in place to support the Property Investment Strategy.</p>	Monthly review of position per mitigating action to be completed by the risk owner	4	2	8	J Topping

**POTENTIALLY EMERGING STRATEGIC RISKS:** DISCUSSED AND REVIEWED BY SMT: N/A as at 13/02/2018