
Update on Key Strategic Risks – 2017

Recommendation

That the information be received.

Topic and Purpose

The purpose of this report is to provide an update on how the Administration is managing the City of Saskatoon's (City) key strategic risks.

Report Highlights

1. Risk Registers have been developed for each strategic risk and updated to reflect 2016 accomplishments and the planned mitigation strategies for 2017 and beyond.

Strategic Goal

This report supports the long-term strategy of creating and encouraging a workplace culture of continuous improvement that encourages innovation and forward-thinking under the strategic goal of Continuous Improvement.

The City's Risk Based Management (RBM) Program sets a positive and proactive risk management culture for the Administration through the adoption of a systematic, practical and ongoing process for understanding and managing risk.

Report

In 2015, the City's internal auditors, PricewaterhouseCoopers (PwC), assisted the Administration in conducting a strategic risk assessment in order to identify the key strategic risks facing the City. With input from City Council, each strategic risk was prioritized as high, medium or low for the purposes of developing the Internal Audit Plan.

In order to understand each strategic risk, a template for the development of a Risk Register for each strategic risk was developed (Attachment 1). Risk Registers record the details related to each risk in one centralized document, including the following:

- City Council's priority for internal audit purposes;
- Corporate Risk Committee's scoring of the risk;
- root causes of the risk;
- significant impacts that could result if the risk were to occur;
- what is currently being done to manage the risk; and
- additional activities that are planned in the short and medium term that will further manage the risk.

At its meeting on May 30, 2016, the Standing Policy Committee on Finance received the risk registers for all high and medium risks. During the remainder of 2016, the

Corporate Risk Committee (comprised of the City Manager, General Managers of the four departments, City Solicitor, Fire Chief, Police Chief, Director of Government Relations, and Director of Corporate Risk) engaged in the following activities:

- reviewed the underlying nature of each risk event as identified in the strategic risk assessment and amalgamated those that were the same or similar, resulting in a decrease in the number of risk registers from 32 to 23 (Attachment 2);
- refined the risk descriptions;
- evaluated each strategic risk and determined its severity based on the likelihood of the risk event occurring on a scale of 1 (rare) to 4 (very likely), and the impact if the risk event were to occur on a scale of 1 (negligible) to 4 (critical) on both an inherent basis (without considering the effect of controls/ strategies), and on a residual basis (after considering the effect of current activities but not planned strategies); and
- developed a target risk ranking of high, medium or low, representing the medium-to long-term goal for the risk.

The Corporate Risk Committee reviewed the updated Strategic Risk Registers which reflected 2016 accomplishments, confirmed the content of each, and reviewed the reasonableness of the target dates provided for planned mitigation strategies (Attachment 3).

The planned mitigation strategies for 2017 are being included in the planned activities for the respective departments.

Communication Plan

To effectively communicate the City's RBM Program, key strategic risks, and actions being taken to manage those risks and internal audit plan, a Corporate Risk webpage has been created on the City's website (saskatoon.ca) which will be updated to include this report.

Financial Implications

The financial implications of planned mitigation strategies will be incorporated into future Business Plan and Budget submissions of each responsible department as required.

Due Date for Follow-up and/or Project Completion

Updated Risk Registers will be submitted for confirmation and approval to the Standing Policy Committee on Finance on an annual basis, and will also be shared with PwC in advance of the development of the annual Internal Audit Plan.

Public Notice

Public Notice pursuant to Section 3 of Policy No. C01-021, Public Notice Policy, is not required.

Attachments

1. Strategic Risk Register Template
2. Updated Strategic Risk Listing – Approved by Corporate Risk Committee
October 2016
3. Individual Strategic Risk Registers – February 14, 2017

Report Approval

Written by: Nicole Garman, Director of Corporate Risk
Reviewed by: Clae Hack, A/General Manager, Asset & Financial Management
Department
Approved by: Catherine Gryba, A/City Manager

Key Strategic Risks Update - 2017.docx

Strategic Risk Register Template

City Council Risk Priority	Risk Score				Administration Target Risk Ranking
		Likelihood (probability of risk occurring)	Impact (effect of risk if it does occur)	Severity (likelihood x impact)	
	Inherent Risk (without considering the effect of controls/ strategies)	scale of 1 (rare) - 4 (very likely)	scale of 1 (negligible) – 4 (critical)	calculated figure	
As determined by City Council September 2015 – high (red), medium (yellow), low (green) for purposes of the internal audit plan	Residual Risk (after considering the effect of current activities but not planned strategies)	scale of 1 (rare) - 4 (very likely)	scale of 1 (negligible) – 4 (critical)	calculated figure	(desired mitigated risk ranking after considering the effect of both current and planned activities/ strategies)

Risk No.	Risk Description	Strategic Goal
Unique number assigned to each risk event	Brief description of the risk event	The Strategic Goal that is effected by the risk event
Risk Lead	The Department that is responsible for ensuring risk mitigation activities are carried out	
Key Impacts	A list of the most significant impacts that <u>could</u> result <u>if</u> the risk event were to occur	
Root Causes	A list of the <u>possible</u> circumstances/situations that <u>could</u> cause the risk event to occur	
Outcomes of Managing the Risk	A description of the achievement, experience, result or state that could be achieved if the risk is well managed	

Current Activities	
A list of the significant activities, initiatives and/or projects that had been undertaken prior to the current year to: (1) reduce the chances of the risk event occurring; and/or (2) reduce the impact if the risk event were to actually occur.	
1	
2	
3	

Planned Mitigation Strategies	
A list of the significant activities, initiatives and/or projects that have been planned for the current year and up to the next 3 years to: (1) further reduce the chances of the risk event occurring; and/or (2) further reduce the impact if the risk event were to actually occur.	
Strategy	Target Date
1	
2	
3	

Updated Strategic Risk Listing

Approved by Corporate Risk Committee October 2016

Old Risk No.	New Risk No.	Risk Statement	Risk Narrative – Original	Risk Narrative - Revised
MA-1(a) MA-1(b) A&FS-4	MA-1	Inadequate investment in transportation infrastructure and maintenance	<p>The current investment within the overall infrastructure renewal and maintenance over the last ten years may not have been adequate</p> <p>Some areas need fresh infrastructure investment</p> <ul style="list-style-type: none"> • Roads, Sidewalks 	The City may not be investing enough money in its transportation infrastructure to maintain an acceptable condition and level of service
MA-2(a) MA-2(b) MA-2(c)	Included in MA-1	Fail to meet expectations	<p>The City may not be delivering expected level of services to citizens or internal stakeholders</p> <ul style="list-style-type: none"> • Road Maintenance, Snow Removal, Bridges 	Combine with risk of inadequate investment in roads
A&FS-1	A&FS-1	Unprepared for business interruption/emergency	The City may not have adequate business continuity planning and/or emergency preparedness in place	The City may not be prepared to quickly and effectively resume operations in the event of serious incident, accident, disaster or emergency
SG-1	SG-1	Fail to identify and pursue alternative revenue sources	There may be limitations on non-property tax revenue options and taxing powers, resulting in an over-reliance on property tax	The City may be unable to adequately diversify its revenue sources

Old Risk No.	New Risk No.	Risk Statement	Risk Narrative – Original	Risk Narrative - Revised
CI-1	CI-1	Disengaged and uninformed citizens	<p>City may lack the right initiatives to adequately engage and inform citizens</p> <p>An expectation gap between citizens and the City may be leading to dissatisfaction with services</p>	The City's engagement and communications initiatives and opportunities may not be effectively reaching its citizens
MA-3	MA-3	Inadequate investment in mass transit infrastructure and maintenance	<p>The current investment within the overall infrastructure renewal and maintenance over the last ten years may not have been adequate</p> <p>Some areas need fresh infrastructure investment</p> <ul style="list-style-type: none"> • Transit 	The City may not be investing enough money in its public transit infrastructure to maintain an acceptable level of service
MA-4	Included in MA-3	Fail to meet expectations	<p>The City may not be delivering expected level of services to citizens or internal stakeholders</p> <ul style="list-style-type: none"> • Transit 	Combine with risk of inadequate investment in mass transit
QL-1	QL-1	Inadequate investment in parks infrastructure and maintenance	<p>The current investment within the overall infrastructure renewal and maintenance over the last ten years may not have been adequate</p> <p>Some areas need fresh infrastructure investment</p> <ul style="list-style-type: none"> • Parks & Recreation 	The City may not be investing enough money in its parks infrastructure to maintain an acceptable condition and level of service

Old Risk No.	New Risk No.	Risk Statement	Risk Narrative – Original	Risk Narrative - Revised
QL-2	Included in QL-1	Fail to meet expectations	The City may not be delivering expected level of services to citizens or internal stakeholders • Parks Maintenance	Combine with risk of inadequate investment in parks
A&FS-2	A&FS-2	Wrong capital investment decisions are made	While making capital investment decisions, adequate funding for asset lifecycle costs may not be getting identified	The City may not be considering the total costs of asset ownership when making investment decisions
SG-2	SG-2	Infrastructure investment not aligned with growth	The City carries the risk of over/under investing within its future infrastructure and not being aligned to economic scenario within the city/province	The City's infrastructure investments may not correspond to growth trends and forecasts for the local or regional economy
EL-1	EL-1	Fail to meet citizen expectations regarding waste collection services	The City may not be delivering expected level of services to citizens or internal stakeholders • Garbage Collection	The City's waste and recycling services may not be meeting customer service delivery and environmental stewardship expectations
A&FS-3(a) A&FS-3(b)	Included in A&FS-7 A&FS-3	Fail to meet internal customer expectations regarding facilities management services	The City may not be delivering expected level of services to citizens or internal stakeholders • IT, Buildings	Combine with risk of IT not supporting business objectives The City may not be investing enough money in its facilities to maintain an acceptable condition and level of service

Old Risk No.	New Risk No.	Risk Statement	Risk Narrative – Original	Risk Narrative - Revised
A&FS-4	Included in MA-1, MA-3 and QL-1 Included in A&FS-3	Infrastructure fails due to inadequate maintenance	The lack of integrated Asset Management approach and systems may be affecting the overall process of asset maintenance	Combine with risk of inadequate investment in roads, public transit and parks Combine with risk of not meeting expectations for facilities management
A&FS-5	A&FS-5	Funding decisions don't align with citizen/City Council priorities or strategic goals	The current budgeting process may make it difficult to see the “big picture” and identify priority based funding A good understanding of what is needed for baseline operations and what's considered as an add-on may not exist	The City may not be aligning its financial resources in a way that supports its priorities, strategic goals and core services
SG-3	SG-3	Risk is not consistently considered in the decision making/project management process	Strategic initiatives may not be reviewed for key risks during the business case evaluation in a structured and comprehensive way	The City may not be consistently considering risk management when evaluating and pursuing strategic initiatives
CI-2	CI-2	Unprepared for vacancies in key management or operational positions	Current succession planning and leadership development may not be adequate considering ageing workforce and staff turnover	The City's existing strategies may not be attracting, hiring, managing, developing and retaining top talent to support existing and future operations

Old Risk No.	New Risk No.	Risk Statement	Risk Narrative – Original	Risk Narrative - Revised
CI-3	Included in CI-2	Unplanned vacancies in operational staff positions	With the economic growth of the province, the City may be experiencing a high degree of staff turnover which may require better talent management and retention strategies	Combine with risk of being unprepared for vacancies
CI-4	Included in CI-2	Existing talent does not match current or future business needs (the people we have are not the people we need)	Overall workforce planning process may not be adequate to highlight what the future organization would look like and align it with citizen needs and expected service levels	Combine with risk of being unprepared for vacancies
A&FS-6	A&FS-6	Outdated or unsupported software and/or hardware failure	Some IT systems and hardware may be outdated resulting in inability to meet business needs	The City may be using outdated or unsupported software and/or hardware that may fail
A&FS-7	A&FS-7	Information technology strategy does not support the achievement of corporate/ divisional strategic/ business plans	There may be a lack of clear IT strategy for the organization which may result in higher IT costs and inability for IT to function as an enabler	The City's information technology strategy may not be properly aligned with the organization's goals and objectives
A&FS-8	A&FS-8	Decisions must be made with incomplete information	Financial and operational systems are not well integrated which makes it difficult to make data based decisions (asset management, maintenance, ERP, HR, etc.)	The City's decision making processes may be hampered by information systems and data sets (financial and operational) that are not integrated

Old Risk No.	New Risk No.	Risk Statement	Risk Narrative – Original	Risk Narrative - Revised
A&FS-9	A&FS-9	Unauthorized release of/access to confidential/personal information	Inadequate management of privacy and security of information may be a risk Data management may be insecure due to use of cloud services	The City may not be adequately protecting information created by or entrusted to it
SG-4	SG-4	Unprepared to mitigate/adapt/respond to climate risk (variability and change)	City may be lacking a clearly articulated strategy on how to manage climate change related risks	The City may not be prepared for the effects of climate change
SG-5	Included in and re-numbered A&FS-10	Inadequate investment in fleet infrastructure and maintenance	The current investment within the overall infrastructure renewal and maintenance over the last ten years may not have been adequate Some areas need fresh infrastructure investment • Fleet Management	The City may not be investing enough money in its fleet infrastructure to maintain an acceptable condition and level of service
A&FS-10	A&FS-10	Fail to meet expectations	The City may not be delivering expected level of services to citizens or internal stakeholders • Fleet	Combine with risk of inadequate investment in fleet
A&FS-11	A&FS-11	Inappropriate internal service costing practices	Current system of cross-charging costs may be inefficient	Remove from strategic risk register
SG-6	SG-6	Fail to plan for growth on a regional basis	The lack of a regional growth plan that includes all of the city's neighbors could restrict the city's growth in the future	The future growth of the city and region could be restricted by, or in conflict with, growth in surrounding areas

Old Risk No.	New Risk No.	Risk Statement	Risk Narrative – Original	Risk Narrative - Revised
A&FS-12	A&FS-12	Fail to comply with procurement policies	Procurement activities may not be in adherence with policies and procedures, especially with respect to sole source contracts	The City's purchases may not be in accordance with approved policy
EL-2	EL-2	Community-wide greenhouse gas emissions increase	City may need to do more to create community awareness with respect to increase awareness, educate and change people's attitude about carbon footprint	The City's community education and awareness initiatives regarding carbon footprint may not be affecting change in people's attitudes and behaviors
EL-3	EL-3	Lack of corporate CO2 reduction initiatives	Absence of CO2 reduction initiatives may lead to a bigger than expected carbon footprint. Initiatives could include environmental impact assessments, landfill emissions, green energy initiatives, etc.	The City may fail to identify and pursue corporate CO2 reduction initiatives

Strategic Risk Register

(Effective February 14, 2017)

City Council Risk Priority	Risk Score			Administration Target Risk Ranking
	Likelihood	Impact	Severity	
High	Inherent Risk	3.29	3.29	10.82
	Residual Risk	2.33	2.83	6.59
				Medium

Risk No.	Risk Description	Strategic Goal
SG-1	The City may be unable to adequately diversify its revenue sources	Sustainable Growth
Risk Lead	CFO/GM Asset & Financial Management	
Key Impacts	<ul style="list-style-type: none"> - higher mill rate, large mill rate increases - deferred capital spending accelerated deterioration - increasing infrastructure deficit/deficiency - rejected new/expanded/enhanced operating programs/initiatives - decreased level of service 	
Root Causes	<ul style="list-style-type: none"> - legislative constraints - lack of political appetite - citizen and/or stakeholder opposition 	
Outcomes of Managing the Risk	<ul style="list-style-type: none"> - diversified funding sources that are responsive to growth, adequately finance municipal services and infrastructure, are fair and encourage economic growth and development 	

Current Activities	
1	Dedicated levies to fund specific infrastructure deficits
2	Return on Investment from Saskatoon Light & Power and Water/Wastewater Utilities
3	Periodic review of service rates at the program level
4	Long-Term Financial Plan approved by City Council
5	Discussion papers on issues and options tabled with City Council
6	Internal committee formed to research and evaluate options
7	Corporate fundraising strategy/philanthropic policy being developed
8	Opportunities to improve relationships with donors/sponsors being pursued
9	Advertising bundling opportunities being reviewed
10	Internal audit currently underway
11	Findings from Hemson Consulting Ltd. "Financing Growth Study" to be incorporated into future Growth Plan initiatives

Planned Mitigation Strategies		
	Strategy	Target Date
1	Annual "State of Finance" update on long-term financial plan to be presented to City Council	2017
2	Implement recommendations from internal audit	2017+

Strategic Risk Register

(Effective February 14, 2017)

City Council Risk Priority	Risk Score			Administration Target Risk Ranking
		Likelihood	Impact	
High	Inherent Risk	2.58	2.83	7.30
	Residual Risk	2.17	2.83	6.14
				Medium

Risk No.	Risk Description	Strategic Goal
MA-1	The City may not be investing enough money in its transportation infrastructure to maintain an acceptable condition and level of service	Moving Around
Risk Lead	GM Transportation & Utilities	
Key Impacts	<ul style="list-style-type: none"> - deteriorating infrastructure/condition/level of service - increasing reactive/emergency maintenance activities and costs - deferred capital work; accelerated deterioration - available funding defaulted to repair worst conditions rather than invest in preservation treatments - increasing infrastructure deficit/deficiency - unsafe/inconsistent driving/walking conditions - reduced ability to further economic growth and social welfare - citizen dissatisfaction, transfer of dissatisfaction to other program areas - negative perception of civic government 	
Root Causes	<ul style="list-style-type: none"> - resource constraints - past underfunding of asset renewal - rate of inflation and/or growth exceeds budget allocations - absence of established asset management plan, life cycle costing process - absence of approved service level objectives - lack of mutual understanding, gap between citizen expectations and actual services provided 	
Outcomes of Managing the Risk	<ul style="list-style-type: none"> - citizens can move around the city safely and efficiently, in all seasons, with limited disruption/ congestion on roads, bridges and sidewalks that are in good condition - cost effective program that is trusted, inspires confidence and provides good value for tax dollars - quality infrastructure that enhances our community's prosperity, productivity, quality of life and economic development/investment - mobility for all citizens is enhanced and encourages active transportation 	

Current Activities	
1	Ongoing monitoring of infrastructure condition, by type (roads, sidewalks) and by class
2	Prepare annual report on infrastructure condition (roads, sidewalks)
3	Prepare annual report on short/long term infrastructure funding adequacy/deficiency
4	Deliver annual maintenance programs and Building Better Roads program
5	Continue to implement Roadway Financial Management Strategy
6	Prioritize sidewalk remediation based on risk
7	Annual Civic Services Survey
8	Monitor, track and report actual level of service and other accomplishments
9	Completed Roadways Civic Service Review
10	City Council-approved Winter Road Maintenance Level of Service
11	Maintain Snow and Ice Contingency Reserve
12	Increased funding from existing sources

Current Activities (Continued)

13	Internal audits of (1) summer maintenance and (2) winter maintenance programs completed
14	Asset Management Plans prepared for roads, sidewalks and bridges
15	Engineering and financial staff involvement in road maintenance operations re-established
16	Centralized & coordinated roadways workflow management process and resource optimization model developed

Planned Mitigation Strategies

	Strategy	Target Date
1	Increase funding from existing sources and/or identify and pursue alternative funding sources	Ongoing
2	Monitor, track and report actual level of service and other accomplishments (e.g., piloting GPS study on winter maintenance fleet)	Ongoing
3	Undergo internal audits <ul style="list-style-type: none"> • Sidewalks • Bridges 	TBD
4	Enhance Building Better Roads program – summer maintenance program design changes; proactive maintenance approach; redesign of fall sweep program	2017
5	Prepare/update Asset Management Plans that address inventory, current condition, service level and funding considerations <ul style="list-style-type: none"> • Street signage • Traffic signals 	2017
6	Prepare additional roadways level of service reports for City Council approval – summer maintenance, street signage, traffic signals	2017
7	Develop roadway inventory/level of service driven budget	TBD
8	Research, develop and implement next phase of roadway asset management system	TBD
9	Reassess sidewalk design process and specifications	TBD
10	Develop and/or maintain engagement plan/communication strategy regarding transportation infrastructure investment and maintenance activities	Ongoing

Strategic Risk Register

(Effective February 14, 2017)

City Council Risk Priority	Risk Score			Administration Target Risk Ranking
		Likelihood	Impact	
High	Inherent Risk	1.57	3.71	5.82
	Residual Risk	1.29	3.00	3.87
				Low

Risk No.	Risk Description	Strategic Goal
A&FS-1	The City may not be prepared to quickly and effectively resume operations in the event of serious incident, accident, disaster or emergency	Asset & Financial Sustainability
Risk Lead	CFO/GM Asset & Financial Management	
Key Impacts	<ul style="list-style-type: none"> - unable to deliver normal levels of critical civic services for internal and external customers in the critical hours following a disruptive event - property damage - loss of revenue, loss of civic assets - additional costs incurred - negative perception of civic government - legal action against the City 	
Root Causes	<ul style="list-style-type: none"> - resource constraints - competing priorities - lack of risk knowledge/understanding 	
Outcomes of Managing the Risk	<ul style="list-style-type: none"> - the City mitigates, prepares for, and responds to credible hazards that impact safety and security of civic staff, processes and continuity of operations - the City effectively, predictably and cooperatively responds to a disruptive event in a way that maximizes the use of available resources and enables critical business units to return to minimal function within a predetermined period of time - Saskatoon is one of the best managed cities before, during and after a disaster 	

Current Activities	
1	Emergency Measures (EMO) program developed
2	Emergency Operations Centre (EOC) established
3	Incident Command System training commenced
4	Notifynow mass notification system implemented and periodically tested
5	Backup IT centre established
6	Electrical supply upgraded at City Hall
7	Regional Resiliency Assessment Program completed at four civic facilities
8	Active Threat Workshop completed
9	Corporate security measures under review
10	Several individual contingency plans/business interruption plans have been prepared
11	Business Continuity Certification achieved

Planned Mitigation Strategies		
Strategy		Target Date
1	Corporate-wide Business Continuity Planning (BCP) assessment to prioritize services and recovery tasks required in the critical hours after a disruptive event	2017
2	Develop in-house BCP expertise	2017
3	Launch BCP training program	2017
4	Develop risk-based BCP development schedule	2017
5	Update 2007 Pandemic Business Impact Analysis	2017
6	Conduct Regional Resilience Assessment Program reviews of critical infrastructure	2017/2018
7	Initiate EOC mock exercise	2017
8	Expand Incident Command System and EOC training	2017
9	Research, develop and implement updated spill policy and operations	2017
10	Evaluate, research and update corporate security plans	2017/2018
11	Undergo internal audit	2018
12	Launch a communication strategy regarding the City's preparedness	2017 and Ongoing

Strategic Risk Register

(Effective February 14, 2017)

City Council Risk Priority	Risk Score			Administration Target Risk Ranking
		Likelihood	Impact	
High	Inherent Risk	2.71	2.14	5.80
	Residual Risk	2.00	2.00	4.00
				Medium

Risk No.	Risk Description	Strategic Goal
CI-1	The City's engagement and communications initiatives and opportunities may not be effectively reaching its citizens	Continuous Improvement
Risk Lead	GM Corporate Performance	
Key Impacts	<ul style="list-style-type: none"> - unrealistic expectations - expectation gap - citizen dissatisfaction - decisions that are not supported or understood - poor decision making process - perception of less transparency and accountability 	
Root Causes	<ul style="list-style-type: none"> - outdated, ineffective initiatives - reluctance to adopt change - limited, uncoordinated capacity to execute community engagement opportunities 	
Outcomes of Managing the Risk	<ul style="list-style-type: none"> - citizens actively and effectively participate in processes that result in better decisions that are trusted, transparent and more widely accepted 	

Current Activities	
1	Online engagement tool launched 2014
2	Piloted new approach to community engagement
3	Piloted new 3rd party online citizen budget tool
4	Piloted "leveraging off of an anchor event" program
5	New website launched 2015
6	Digital Policy and Standards Guide adopted
7	Internal Process Review of Public Works Customer Service Call Centre
8	Hired Service Saskatoon Special Projects Manager
9	Blue pages and website phone numbers updated
10	Free public wifi offered in civic facilities
11	Citizen service satisfaction survey process piloted
12	Internet publishing and electronic agenda systems implemented
13	Created new online citizen panel
14	Service Saskatoon officially launched

Planned Mitigation Strategies

Strategy		Target Date
1	Develop a strategy for a new engagement process	Ongoing
2	Pursue additional online engagement initiatives	Ongoing
3	Pursue additional techniques to increase participation	Ongoing
4	Develop and/or maintain engagement plan/communication strategy regarding the City's engagement and information sharing initiatives	Ongoing
5	Design and implement internal processes to coordinate and integrate citizen engagement based on subject matter and geographic similarities for ease of citizen access	2017 and Ongoing
6	Explore options for an online engagement hub to improve on Shaping Saskatoon site hosted by a 3 rd party supplier; may include integrated capability to manage the Citizen Advisory Panel	2019/2019
7	Continue the Engagement Civic Service Review to create consistencies and coordination of engagement on a corporate basis	2018
8	Implement a "Community of Practice" to learn collectively from others in our corporation or community involved with engagement	2018
9	Continue to implement citizen service satisfaction survey process, analyze survey results and identify opportunities for improvement	Ongoing

Strategic Risk Register

(Effective February 14, 2017)

City Council Risk Priority	Risk Score			Administration Target Risk Ranking
		Likelihood	Impact	
Medium	Inherent Risk	3.00	3.29	9.87
	Residual Risk	2.00	2.83	5.66
				Low

Risk No.	Risk Description	Strategic Goal
A&FS-2	The City may not be considering the total costs of asset ownership when making investment decisions	Asset & Financial Sustainability
Risk Lead	CFO/GM Asset & Financial Management	
Key Impacts	<ul style="list-style-type: none"> - decisions are made with incomplete information - higher overall costs, the decision may not be the most fiscally prudent - more cost-effective projects are deferred - lower level of confidence in/optics of the decision making process - inaccurate budgeting for future operating and capital costs 	
Root Causes	<ul style="list-style-type: none"> - focus on initial capital outlay - no consistent costing methodology - uncertainty regarding future costs 	
Outcomes of Managing the Risk	<ul style="list-style-type: none"> - the most cost effective decisions result from considering the total cost of asset ownership (acquisition, operating, maintenance and disposal) 	

Current Activities	
1	Unit costing initiatives being undertaken (Parks, Roadways, Fleet)
2	Life cycle costing methodology being applied to all P3 projects
3	Internal audit currently underway

Planned Mitigation Strategies		
	Strategy	Target Date
1	Develop corporate life cycle costing methodology	2017
2	Launch life cycle costing methodology training program	2017
3	Incorporate life cycle costing into decision making process	2018
4	Incorporate life cycle costing into capital budgeting process	2018
5	Incorporate life cycle costing into operating budget process	2019
6	Implement recommendations from internal audit	2017 and Ongoing

Strategic Risk Register

(Effective February 14, 2017)

City Council Risk Priority	Risk Score			Administration Target Risk Ranking
		Likelihood	Impact	
Medium	Inherent Risk	3.00	3.00	9.00
	Residual Risk	2.33	2.50	5.83
				Medium

Risk No.	Risk Description	Strategic Goal
EL-1	The City's waste and recycling services may not be meeting customer service delivery and environmental stewardship expectations	Environmental Leadership
Risk Lead	GM Transportation & Utilities	
Key Impacts	<ul style="list-style-type: none"> - citizen/stakeholder dissatisfaction - transfer of dissatisfaction to other program areas - diversion rates do not achieve target levels - shortened useful life of existing landfill; accelerated requirement to identify, prepare and fund the establishment of a replacement site 	
Root Causes	<ul style="list-style-type: none"> - contradictory service expectations; expectation gap - poor response to public phone-in service requests - past underfunding of asset renewal - inappropriate business model 	
Outcomes of Managing the Risk	<ul style="list-style-type: none"> - citizens are satisfied with the reliability of garbage collection - citizens are satisfied with the waste diversion options available to them - citizens perceive they receive good value for their tax dollars - useful life of the landfill is maximized, need for a replacement site is deferred indefinitely 	

Current Activities	
1	A public education program has been developed and communicated throughout the community
2	Waste diversion programs that are convenient and easy to use have been launched
3	New optimized routes implemented in 2016 with software to help identify missed segments
4	Integrated collection calls with PW Customer Service system
5	Completed a comprehensive community-wide waste study to identify opportunities for improved service and diversion

Planned Mitigation Strategies		
	Strategy	Target Date
1	Develop an updated Waste Diversion Plan	2017
2	Conduct a comprehensive review of the waste business model including opportunities to improve waste service, diversion outcomes and financial sustainability (e.g., utility)	2017
3	Conduct periodic community waste audits	Ongoing
4	Implement a community engagement and awareness plan to solicit the cooperation of residents and businesses in improved waste services and diversion	2017
5	Develop targeted action plans for bringing new services and diversion programs forward as a result of the periodic audits and community engagement	2017/2018
6	Complete implementation of 2014 landfill financial audit recommendations	2017
7	Undertake new training for Landfill Operators to improve safety and extend the life of the landfill through efficiency gains	2017

Strategic Risk Register

(Effective February 14, 2017)

City Council Risk Priority	Risk Score			Administration Target Risk Ranking
		Likelihood	Impact	
Medium	Inherent Risk	2.86	3.29	9.41
	Residual Risk	2.33	2.67	6.22
				Low

Risk No.	Risk Description	Strategic Goal
SG-2	The City's infrastructure investments may not correspond to growth trends and forecasts for the local or regional economy	Sustainable Growth
Risk Lead	GM Community Services	
Key Impacts	<ul style="list-style-type: none"> - under: growth overwhelms existing infrastructure - under: stifled economic activity, employment and business opportunities - over: significant investment precludes use of funds for alternative priorities - over: increasing debt servicing costs 	
Root Causes	<ul style="list-style-type: none"> - absence of overall plan for growth - growth plan not aligned with Strategic Plan - unreliable, inaccurate, inconsistent economic/demographic data upon which to base decisions - lack of secure, predictable, long-term funding strategies 	
Outcomes of Managing the Risk	<ul style="list-style-type: none"> - well functioning and efficient infrastructure that enhances quality of life, promotes environmental responsibility, expands access to vital services and improves economic opportunities for all - strategic approach to infrastructure development - enhance existing assets before building new; use infrastructure to influence rate/type of growth - investments are aligned with the approved Growth Plan to Half a Million 	

Current Activities	
1	General urban land development process established (studies, annexation, community plans through to subdivisions, site registrations, building permits)
2	Approved concept plans in place and ready to pursue in response to demand
3	3 year land development program/plan prepared and updated regularly
4	Frequent and ongoing monitoring of market conditions and economic/supply/demand indicators
5	Ongoing monitoring of financial resources (reserve sufficiency, cash flows)
6	Completion of Hemson Consulting Ltd. "Financing Growth Study"
7	Utilization of P3 agreements for large infrastructure projects
8	Long-term infrastructure plan being developed by federal government
9	Long-term infrastructure funding commitments received for new infrastructure
10	City Council has adopted a long range Official Community Plan to manage growth and change
11	Regional Plan being prepared to ensure the City secures a land base for long range urban growth
12	Completed, presented and obtained approval of Growth Plan to Half a Million

Planned Mitigation Strategies		
	Strategy	Target Date
1	Evaluation and pursuit of findings from Hemson Consulting Ltd. "Financing Growth Study"	2017/2018
2	Develop an engagement strategy regarding growth and infrastructure investment, and specific sub-plans for core initiatives of the Growth Plan to Half a Million	2017
3	Long-term infrastructure funding commitments for both new and existing infrastructure	2017-2045
4	Align major infrastructure investments with directions and strategies of Growth Plan to Half a Million	2017+

Strategic Risk Register

(Effective February 14, 2017)

City Council Risk Priority	Risk Score				Administration Target Risk Ranking
		Likelihood	Impact	Severity	
	Inherent Risk	3.43	2.64	9.06	
Medium	Residual Risk	2.50	2.33	5.83	Medium

Risk No.	Risk Description	Strategic Goal
MA-3	The City may not be investing enough money in its public transit infrastructure to maintain an acceptable level of service	Moving Around
Risk Lead	GM Transportation & Utilities	
Key Impacts	<ul style="list-style-type: none"> - deteriorating transit infrastructure/condition/reliability - inability to deliver transit services/achieve service levels - decreasing ridership/decreasing revenue/increasing mill rate support - increasing reactive/emergency maintenance activities - deferred replacement; accelerated deterioration - increasing infrastructure deficit/deficiency - unsafe transit vehicles - citizen dissatisfaction, transfer of dissatisfaction to other program areas 	
Root Causes	<ul style="list-style-type: none"> - financial constraints - past underfunding of asset renewal and operating hours - absence of established life cycle costing process - absence of established asset management plan - absence of approved service level objectives - lack of data analytics and marketing strategies to attract new ridership - conflict over trade-off between coverage and frequency of service - lack of public understanding about service level objectives 	
Outcomes of Managing the Risk	<ul style="list-style-type: none"> - a safe, reliable, convenient and affordable public transit system that enables residents to access work, education, health care, shopping, social and recreational opportunities - quality infrastructure that enhances our community's prosperity, productivity, quality of life and economic development/investment - reduction of greenhouse gas emissions, traffic congestion, commute times 	

Current Activities	
1	Saskatoon Transit Fleet Renewal Strategy and Asset Management Plan approved by City Council
2	Long-term Transit Plan approved by City Council
3	Five-year and ten-year implementation priorities being identified
4	Public engagement sessions have occurred
5	Annual Civic Services Survey
6	Intelligent Transportation System implemented
7	Real-time mapping launched
8	New Transit website launched
9	Internal audit regarding staff scheduling currently underway
10	Funding secured from the Public Transit Infrastructure Fund

Planned Mitigation Strategies		
	Strategy	Target Date
1	Implementation of new fleet management system	2017
2	Launch a revised communications strategy regarding transit investment	2017 and Ongoing
3	Implement recommendations from internal audit	2017+

Strategic Risk Register

(Effective February 14, 2017)

City Council Risk Priority	Risk Score			Administration Target Risk Ranking
		Likelihood	Impact	
Medium	Inherent Risk	3.00	2.86	8.58
	Residual Risk	2.50	2.50	6.25
				Low

Risk No.	Risk Description	Strategic Goal
A&FS-6	The City may be using outdated or unsupported software and/or hardware that may fail	Asset & Financial Sustainability
Risk Lead	GM Corporate Performance	
Key Impacts	<ul style="list-style-type: none"> - vulnerability to security threats (information and infrastructure) - failures/crashes; catastrophic data loss - data corruption, instability - increased downtime, lost productivity, inefficiencies - loss of flexibility, responsiveness - service disruptions 	
Root Causes	<ul style="list-style-type: none"> - resource constraints - competing priorities - absence of IT strategy, governance model 	
Outcomes of Managing the Risk	<ul style="list-style-type: none"> - a modern information technology infrastructure that supports program areas in the achievement of business objectives 	

Current Activities	
1	A full assessment of the IT infrastructure is in progress
2	Operational risk is being defined and mitigated
3	A sustainability review is being undertaken for the corporation
4	Providing business analysis and alternate options
5	Determining KLOs and SLAs
6	Developing an asset management plan for infrastructure and applications
7	Planning for a security audit and review
8	Introduced a new IT Opportunity Assessment Process and Privacy Information Assessment
9	Nine strategic programs developed and partially funded to address the technical debt of the organization

Planned Mitigation Strategies		
	Strategy	Target Date
1	Partner with EMO and Corporate Risk to support divisions in the preparation of business continuity plans	2017
2	Transition to managed print services	2017
3	Establish a technical roadmap with options for infrastructure and business continuity plans	2017
4	Evaluate infrastructure and develop plans and strategies to accommodate a shift to sustainable, scalable and cost effective IT infrastructure	2017+
5	Investigate ERP/hybrid based solution	Ongoing
6	Continue to develop enterprise strategies and programs	Ongoing
7	Undergo Canadian Cyber Resiliency Review	2017

Strategic Risk Register

(Effective February 14, 2017)

City Council Risk Priority	Risk Score				Administration Target Risk Ranking
		Likelihood	Impact	Severity	
	Medium	Inherent Risk	3.21	2.57	8.25
	Residual Risk	2.17	2.50	5.42	

Risk No.	Risk Description	Strategic Goal
A&FS-7	The City's information technology strategy may not be properly aligned with the organization's goals and objectives	Asset & Financial Sustainability
Risk Lead	GM Corporate Performance	
Key Impacts	<ul style="list-style-type: none"> - information technology is an impediment to achieving business objectives - fragmented and reactive approach to technology investments - customer dissatisfaction, transfer of dissatisfaction to other program areas - negative perception of local government 	
Root Causes	<ul style="list-style-type: none"> - resource constraints - decentralized/outdated business/operating/delivery models - non-strategic culture, lack of strategic alignment - lack of change management, training and communication/collaboration between IT and the rest of the organization - lack of mutual understanding, unrealistic expectations - not utilizing already captured data to inform business decisions 	
Outcomes of Managing the Risk	<ul style="list-style-type: none"> - IT is a strategic business partner that offers innovative business solutions and empowers its customers to effectively utilize technology to provide services citizens expect and create workflow efficiencies - an information technology strategy that is closely aligned to business and strategic objectives and critical business processes - information technology assists in the management of business information risks (not just IT risks) 	

Current Activities	
1	Launched new vision and mandate statement
2	Introduced a new Service Desk tool and launched Phase 1
3	Implemented prioritization and portfolio management system
4	IT requirements are identified in the annual business planning process
5	Providing business analysis and alternate options
6	Determining KLOs and SLAs
7	Introduced a new IT Opportunity Assessment Process and Privacy Information Assessment
8	Established Business Unit Steering Committee
9	Developed business relationship management core competencies
10	Developed cascading performance plans/targets
11	Implemented new organizational structure that is aligned to business units/divisions
12	Provided training for IT staff in business analysis, project management and achieving excellence in IT
13	Moved sustainment and future development of website in-house
14	Launched pilot projects for business units to utilize data when making business decisions

Planned Mitigation Strategies		
Strategy		Target Date
1	Establish IT Governance Steering Committee	2017
2	Utilize Business Unit Steering Committee	Ongoing
3	Develop project and portfolio management including return on investment and business case analysis	Ongoing
4	Develop multi-year Corporate IT Strategy	2017
5	Implement corporate standards for the use of SharePoint	2017+
6	Continue implementation of Service Desk tool	2017+
7	Continue to implement process to utilize data when making business decisions	2017+
8	Develop and/or maintain engagement plan/communication strategy regarding IT investment	Ongoing
9	Implement business analysis and process improvements throughout the organization	2017+
10	Implement cloud based solution	2018

Strategic Risk Register

(Effective February 14, 2017)

City Council Risk Priority	Risk Score			Administration Target Risk Ranking
		Likelihood	Impact	
	Inherent Risk	2.71	2.71	7.34
Medium	Residual Risk	1.86	2.67	4.97
				Low

Risk No.	Risk Description	Strategic Goal
SG-4	The City may not be prepared for the effects of climate change	Sustainable Growth
Risk Lead	GM Corporate Performance	
Key Impacts	<ul style="list-style-type: none"> - failure of critical built infrastructure; associated loss of life/injury - reactive and more costly corrective/remediation measures - loss of/damage to civic assets - increasing levels of greenhouse gases 	
Root Causes	<ul style="list-style-type: none"> - resource constraints - lack of understanding of importance, components, direction, priority status - infrastructure investment decision criteria do not include the value of mitigation/adaptation/resiliency strategies 	
Outcomes of Managing the Risk	<ul style="list-style-type: none"> - the City's infrastructure, citizens, ecosystems and economy are protected from, less vulnerable to or more resilient from the impacts of climate change - climate change considerations are integrated into the decision-making, design and maintenance processes in a comprehensive and integrated manner 	

Current Activities	
1	Information reports regarding climate adaptation strategies received by City Council
2	Incorporated Environmental Implications section in Committee and City Council report template
3	Participated in the West Yellowhead Air Management Zone
4	Ad hoc mitigation, adaptation and response strategies
5	Revised roadway design standards to address saturated ground/high water table conditions and snow storage requirements; mandatory subsurface drainage for all new roadway construction, discretionary for rehabilitation projects
6	Superpipe capacity improvements avoid storm water infiltration into sanitary sewer system
7	Predictive model developed with U of S to more accurately predict future rainfall patterns and identify infrastructure constraints
8	Weather Event Response Plans developed in Parks/Urban Forestry
9	Hydrant accessibility inspection process in place

Planned Mitigation Strategies		
Strategy		Target Date
1	Develop a comprehensive inventory of climate adaptation response needs based on climate change models developed for the Prairies	2017
2	Conduct a gap analysis between response needs and current adaptation response plans and initiatives	2017/2018
3	Draft a Climate Adaptation Plan identifying the strategy for completing the City's climate change response needs	2018
4	Incorporate climate adaptation strategies into asset management plans	2017
5	Review infrastructure design standards based on Climate Adaptation Plan	TBD
6	Engage with community stakeholders to ensure community-wide response plans are in place	TBD
7	Develop Storm Water Management Plan and associated policy tools such as low impact development guidelines to reduce impacts to civic "grey" infrastructure and increase the resilience of "green" infrastructure	2017/2018
8	Develop new landscaping design and construction specifications to ensure all new park development considers severe weather	TBD
9	Retrofit existing parks and green spaces for improved resilience to climate change impacts	TBD

Strategic Risk Register

(Effective February 14, 2017)

City Council Risk Priority	Risk Score			Administration Target Risk Ranking
		Likelihood	Impact	
Medium	Inherent Risk	2.57	2.71	6.96
	Residual Risk	2.43	2.43	5.90
				Low

Risk No.	Risk Description	Strategic Goal
A&FS-8	The City's decision making processes may be hampered by information systems and data sets (financial and operational) that are not integrated	Asset & Financial Sustainability
Risk Lead	CFO/GM Asset & Financial Management	
Key Impacts	<ul style="list-style-type: none"> - the wrong decisions is made - inefficient processes, data re-entry errors - redundant applications/systems that waste resources 	
Root Causes	<ul style="list-style-type: none"> - system investment decision criteria do not include non-financial costs and benefits - decentralized IT business model - absence of IT strategy, governance model - manual processes/information repositories - absence of end-to-end business process analysis 	
Outcomes of Managing the Risk	<ul style="list-style-type: none"> - relevant, complete and accurate financial and non-financial information is readily available to support the decision making process - integrated business information systems that improve productivity, increase efficiencies, decrease costs and streamline processes 	

Current Activities	
1	RFP awarded for the development of a business case for a core ERP system
2	Enterprise strategies and programs to encompass asset management, data management and business intelligence are being developed
3	Introduction of SharePoint (improves information governance, collaboration and workflow)
4	Developed an IT Strategic Plan
5	Civic Service Reviews have identified opportunities to better manage processes and information
6	Asset Management Plans compile and integrate asset and financial information
7	Business case for core corporate financial system approved by City Council
8	Introduced a new IT Opportunity Assessment Process and Privacy Information Assessment
9	Project On Line was implemented and first draft of prioritization developed
10	Developed data management plans in three pilot areas (Fire, Transit and Human Resources)

Planned Mitigation Strategies		
	Strategy	Target Date
1	Continue to prioritize Project On Line implementation	Ongoing
2	Continue to develop data management plans to improve data utilization and facilitate data analytics/open data concept	Ongoing
3	Develop a change management process to aid in the identification and resolution of integration opportunities	2017+
4	Continue to conduct Civic Service Reviews	Ongoing
5	Continue to develop Asset Management Plans for significant categories of civic infrastructure	Ongoing

Strategic Risk Register

(Effective February 14, 2017)

City Council Risk Priority	Risk Score			Administration Target Risk Ranking
		Likelihood	Impact	
Medium	Inherent Risk	2.14	2.86	6.12
	Residual Risk	2.00	2.29	4.58
				Low

Risk No.	Risk Description	Strategic Goal
CI-2	The City's existing strategies may not be attracting, hiring, managing, developing and retaining top talent to support existing and future operations	Continuous Improvement
Risk Lead	GM Corporate Performance	
Key Impacts	<ul style="list-style-type: none"> - unable to fill key management and/or operational positions in a timely manner, if at all - business objectives may not be achieved because key management positions are unstable/vacant and/or adequately trained staff with essential skills are not available to effectively deliver services - critical and/or corporate knowledge is lost - employees become "surplus" because their skills do not match what is needed - decrease in employee morale – both existing and new staff - increase in hiring and training costs 	
Root Causes	<ul style="list-style-type: none"> - financial and/or non-financial compensation packages are not competitive - failure to capture relevant knowledge/prepare an actionable knowledge base - not utilizing data analytics to predict future workforce demands - absence of an overall framework - technological and business model changes - lack of talent pipeline management/succession planning process - hiring freezes/caps - negative work environment, job dissatisfaction - changing public expectations 	
Outcomes of Managing the Risk	<ul style="list-style-type: none"> - leadership talent is identified early and cultivated over time (e.g., training, action learning, mentoring, job rotation, high-potential development programs, etc.) - the City's human capital (its people) is aligned with its business plans to achieve its mission and strategic goals – the right people with the right skills are in the right job at the right time - a desirable workplace that maximizes employee retention while implementing and maintaining measures that minimize disruptions when employees resign, must be terminated, retire or transfer 	

Current Activities	
1	Succession planning framework has been presented to the Leadership Team
2	Succession planning framework has been applied to Director and GM positions
3	Competency frameworks have been developed for Directors and GMs and are being developed for Supervisors and Managers
4	"Investing in Leaders" program continues to offer wide selection of opportunities to staff
5	"Employee Rewards and Recognition" program being developed
6	Consistently rated as one of Saskatchewan's Top 100 Employers
7	Divisional HR plans have been introduced and updated to align HR services with operational needs
8	Business Intelligence (BI) tools being developed and implemented for diversity, absenteeism, safety, overtime and retention

Planned Mitigation Strategies		
Strategy		Target Date
1	Undergo internal audit	2017
2	Finalize and implement “Employee Rewards and Recognition” program	2017
3	Implement a BI tool to enable the production of regular workforce analytics to improve workforce planning capabilities	2017
4	Pilot workforce analytic reporting as BI data cubes are completed and put into production and amend reporting as necessary	2017
5	Individual Development Plan process will be updated and piloted with several divisions	2017
6	Formal “offboarding” process will be implemented, including mandatory exit interviews	2017
7	“Stay Surveys” have been introduced with periodic reporting to the Leadership Team	2017
8	Implement a Total Rewards Strategy for Directors and Managers	2017
9	Undertaking work to identify the City’s current branding within and outside the organization	2017
10	Finalize Recruitment and Retention Strategy (drafted in 2016)	2017
11	Implement mandatory Supervisor 101 program to ensure all supervisors and managers have necessary skills, knowledge and competencies to effectively lead and manage their teams	2017
12	Learning Management System to identify and track key training needs and existing talent pools to be implemented	2017/2018
13	Formal “onboarding” process will be implemented for individuals new to the organization/new to the position	2017/2018
14	Introducing improved web based solutions for surveys, dashboard and information libraries	2017/2018

Strategic Risk Register

(Effective February 14, 2017)

City Council Risk Priority	Risk Score			Administration Target Risk Ranking
		Likelihood	Impact	
Medium	Inherent Risk	2.57	2.29	5.89
	Residual Risk	2.00	1.83	3.66
				Medium

Risk No.	Risk Description	Strategic Goal
QL-1	The City may not be investing enough money in its parks infrastructure to maintain an acceptable condition and level of service	Quality of Life
Risk Lead	GM Community Services	
Key Impacts	<ul style="list-style-type: none"> - deteriorating park and recreation infrastructure/condition/level of service - increasing reactive/emergency maintenance activities - deferred capital work; accelerated deterioration - increasing infrastructure deficit/deficiency - unsafe conditions (turf, playing surfaces, amenities, pathways, trees - structural weakness, disease) - citizen dissatisfaction, transfer of dissatisfaction to other program areas 	
Root Causes	<ul style="list-style-type: none"> - financial constraints - past underfunding of asset renewal - rate of inflation and/or growth exceeds budget allocations - absence of established life cycle costing process - absence of established asset management plan - absence of approved service level objectives - lack of mutual understanding, contradictory service expectations 	
Outcomes of Managing the Risk	<ul style="list-style-type: none"> - a safe, clean, accessible and well-maintained park and open space network that provides varied opportunities for both active and passive recreation and leisure activities for citizens of all ages - citizens perceive they receive good value for their tax dollars - quality infrastructure that enhances our community's prosperity and quality of life 	

Current Activities	
1	Completed Civic Service Review - Parks
2	Annual Civic Services Survey
3	Completed Recreation & Parks Master Plan
4	Continuing to implement new service delivery model – combined horticultural and turf maintenance crews
5	Increased funding from existing sources
6	Asset Management Plans prepared for pathway, irrigation and play structure assets
7	Participated in the Special Event Civic Service Review to identify improvements to the Special Event process regarding impact on parks/open spaces
8	Developed new "Naturalized Park" classification
9	Implemented new work management system
10	Completed Urban Forestry Civic Service Review

Planned Mitigation Strategies		
Strategy		Target Date
1	Prepare an Asset Management Plan that addresses inventory, current condition, service level and funding considerations for additional park assets: <ul style="list-style-type: none"> • Sportsfields • Paddling pools • Spray parks 	2017
2	Develop drainage regulatory-compliance model (Community Standards), including consideration of drainage issues that affect parks and recreation spaces	2017/2018
3	Continue development of Landscape Design and Development Standards including further research regarding citizen and developer engagement	2017
4	Continue expansion of new combined crew service delivery model to additional areas	2017
5	Establish new satellite maintenance facilities in new development areas	2017
6	Complete implementation of the newly installed tree inventory software system	2017
7	Implement key findings from Urban Forestry Civic Service Review	2017
8	Develop and/or maintain engagement plan/communication strategy regarding Landscape Development and Design Standards and service levels	2017 and Ongoing

Strategic Risk Register

(Effective February 14, 2017)

City Council Risk Priority	Risk Score			Administration Target Risk Ranking
		Likelihood	Impact	
Medium	Inherent Risk	2.14	2.71	5.80
	Residual Risk	2.00	2.00	4.00
				Low

Risk No.	Risk Description	Strategic Goal
A&FS-9	The City may not be adequately protecting information created by or entrusted to it	Asset & Financial Sustainability
Risk Lead	City Clerk's Office	
Key Impacts	<ul style="list-style-type: none"> - information is exploited for personal gain/economic advantage - loss of citizen trust and confidence in the City - legal action against the City - legislative non-compliance 	
Root Causes	<ul style="list-style-type: none"> - lack of understanding of what information is confidential/personal - absence of policies that govern collection, use, creation and storage of information - inadequate security measures - intentional/unintentional breach of security measures, release of information (e.g., hacking, employee error) 	
Outcomes of Managing the Risk	<ul style="list-style-type: none"> - every person who has access to confidential/personal information understands and carries out their responsibilities to protect that information throughout its life cycle - the public has confidence that information provided to the City is dealt with appropriately 	

Current Activities	
1	Procedures ensure user accounts are kept up to date (current staff only)
2	Procedures ensure user access privileges do not exceed legitimate needs
3	A framework of information management/governance policies have been developed
4	Monitoring, intrusion detection and penetration testing protocols exist
5	Security reviews, inspections and audits conducted on a periodic basis
6	Confidentiality agreements are required in certain circumstances
7	Administrative processes regarding City Clerk's Office handling of information
8	Divisional training sessions have started upon request
9	Corporate records training program provided for records coordinators and others dealing directly with records management
10	Privacy Impact Assessment Process approved by Leadership Team

Planned Mitigation Strategies		
Strategy		Target Date
1	Develop Privacy Policy (internal) that addresses access and privacy aspects to consider in a hybrid environment, unauthorized release/breach response plan, etc.	2017
2	Continue to implement Privacy Impact Assessment Process – review and approval processes	Ongoing
3	Recruit new Access & Privacy Officer (position approved for 2017 budget) who will be responsible for developing an access and privacy program and implementation of policies, procedures, practices and training to improve privacy of personal and confidential information	2017
4	Review and update language in tenders/RFPs regarding privacy issues, access to information	2017
5	Develop corporate records training program for general staff	2017
6	Review and update information management/governance policies	2017
7	All new employees/contractors receive training on how to comply with information management/governance policies	2017/2018
8	Develop detailed policies to support information management/governance framework	2017/2018
9	Review records classification system and records retention schedules	2017

Strategic Risk Register

(Effective February 14, 2017)

City Council Risk Priority	Risk Score			Administration Target Risk Ranking
		Likelihood	Impact	
Medium	Inherent Risk	2.14	2.71	5.80
	Residual Risk	1.57	2.14	3.36
				Low

Risk No.	Risk Description	Strategic Goal
SG-3	The City may not be consistently considering risk management when evaluating and pursuing strategic initiatives	Sustainable Growth
Risk Lead	CFO/GM Asset & Financial Management	
Key Impacts	<ul style="list-style-type: none"> - preventable failures jeopardize project/program/initiative success - foreseeable opportunities are missed - accepted risk exceeds the organization's risk appetite 	
Root Causes	<ul style="list-style-type: none"> - lack of understanding of importance, process and benefits of risk management - unstructured/immature/poorly implemented risk management program - risk appetite has not been clearly defined 	
Outcomes of Managing the Risk	<ul style="list-style-type: none"> - project threats are minimized; project opportunities are seized - projects are delivered on time, on budget and with quality results 	

Current Activities	
1	Risk Based Management program was approved by City Council
2	Risk Management Policy was approved by City Council
3	Developed internal audit plan based on strategic risk assessment
4	Strategic Risk Assessment was completed and approved by City Council
5	Risk Based Management workshop conducted
6	2016 Business Planning process included consideration of key challenges
7	Leadership Commitment session held in fall 2015 to increase awareness of risk identification, prioritization and mitigation
8	Strategic Risk Registers prepared and received by SPC on Finance
9	2017 Business Planning process included consideration of strategic risks

Planned Mitigation Strategies		
	Strategy	Target Date
1	Conduct Operational Risk Assessment	2017
2	Prepare operational risk registers	2017
3	Incorporate operational risk assessments into internal audit plan update	2017
4	Incorporate Risk Management section in Committee and City Council report template	2017
5	Business Planning process will include consideration of operational and strategic risks	2018
6	Develop a Project Risk Management framework and program	2018
7	Incorporate training on risk management into the corporate learning and development program	2018

Strategic Risk Register

(Effective February 14, 2017)

City Council Risk Priority	Risk Score			Administration Target Risk Ranking
		Likelihood	Impact	
Medium	Inherent Risk	2.00	2.86	5.72
	Residual Risk	1.57	2.14	3.36
				Low

Risk No.	Risk Description	Strategic Goal
A&FS-5	The City may not be aligning its financial resources in a way that supports its priorities, strategic goals and core services	Asset & Financial Sustainability
Risk Lead	CFO/GM Asset & Financial Management	
Key Impacts	<ul style="list-style-type: none"> - higher priority services are underfunded; lower priority services are overfunded - lower level of confidence in the budgeting process - decisions are made with incomplete information 	
Root Causes	<ul style="list-style-type: none"> - budgeting system limitations - resource constraints - lack of information 	
Outcomes of Managing the Risk	<ul style="list-style-type: none"> - a clear, transparent and credible budgeting process that inspires trust among citizens, City Council and the Administration; outlines a plan for achieving priority objectives; will use available resources effectively, efficiently and in a sustainable manner; and serves as a basis for accountable government 	

Current Activities	
1	Annual Business Planning process
2	Strategic Planning process
3	Annual Civic Services Survey
4	Piloted new 3 rd party online citizen budget tool
5	Implemented new five-step budgeting process
6	Multi-year budgeting consulting project underway

Planned Mitigation Strategies		
	Strategy	Target Date
1	Research, evaluate and prepare for implementation of a multi-year budgeting process	2017/2018
2	Renew the City's Strategic Plan	2017
3	"Let's Talk 2020" engagement opportunities to obtain information from citizens regarding civic priorities over the next four years	2017

Strategic Risk Register

(Effective February 14, 2017)

City Council Risk Priority	Risk Score			Administration Target Risk Ranking
		Likelihood	Impact	
Medium	Inherent Risk	1.86	2.43	4.52
	Residual Risk	1.33	1.67	2.22
				Low

Risk No.	Risk Description	Strategic Goal
A&FS-3	The City may not be investing enough money in its facilities to maintain an acceptable condition and level of service	Asset & Financial Sustainability
Risk Lead	CFO/GM Asset & Financial Management	
Key Impacts	<ul style="list-style-type: none"> - deteriorating facility condition/availability - increasing reactive/emergency maintenance activities and cost - deferred facility/equipment replacement; accelerated deterioration - available funding defaulted to repair worst facilities/equipment rather than invest in preventive maintenance - increasing facility deficit/deficiency - unsafe facility/equipment condition - reduced ability for operational programs to deliver services - customer dissatisfaction, transfer of dissatisfaction to other program areas - injury, illness or death of employees and/or the public 	
Root Causes	<ul style="list-style-type: none"> - resource constraints - past underfunding of asset renewal - absence of established life cycle costing process and asset management plans - appraised values lag inflationary impacts - rate of inflation exceeding annual Municipal Price Index - absence of approved service level objectives - lack of mutual understanding; unrealistic expectations 	
Outcomes of Managing the Risk	<ul style="list-style-type: none"> - Facilities provides quality service in an efficient, timely and professional manner to ensure safe, clean, productive and well maintained civic facilities for employees and citizens - quality infrastructure that enhances our community's prosperity and quality of life 	

Current Activities	
1	Developed customer service agreements for certain customer groups
2	Conduct annual review of Civic Buildings Comprehensive Maintenance reserve
3	Cyclical building condition assessments (5 year cycle)
4	Conduct regular customer service meetings to review service and performance
5	Established an Asbestos Management Program and hired an Indoor Air Quality Manager to administer the program
6	Piloted a new Service Desk tool on a limited basis

Planned Mitigation Strategies		
	Strategy	Target Date
1	Roll out the new Service Desk tool to other areas of the organization	2017
2	Continue to develop customer service agreements	2017
3	Prepare an Asset Management Plan that addresses inventory, current condition, service level and funding considerations	2017
4	Complete implementation of maintenance management system and integrate with Enterprise Asset Management system	2017 and Ongoing
5	Develop customer service satisfaction survey and feedback process	2017
6	Reassess organizational structure to improve proactive planning and strategic/tactical operation of division	2017
7	Develop and/or maintain engagement plan/communication strategy regarding facilities planning, purpose and investment	2017 and Ongoing
8	Undertake a comprehensive reserve sufficiency analysis and pursue bylaw amendments as required	TBD

Strategic Risk Register

(Effective February 14, 2017)

City Council Risk Priority	Risk Score			Administration Target Risk Ranking
		Likelihood	Impact	
Low	Inherent Risk	3.28	3.57	11.71
	Residual Risk	1.83	2.67	4.89
				Low

Risk No.	Risk Description	Strategic Goal
SG-6	The future growth of the City and region could be restricted by, or in conflict with, growth in surrounding areas	Sustainable Growth
Risk Lead	GM Community Services	
Key Impacts	<ul style="list-style-type: none"> - conflicting, un-coordinated, disjointed stand-alone municipal and First Nation growth plans - inability to maximize regional efficiencies and economies of scale - fragmented growth plans and conflicting land uses that impose constraints on others 	
Root Causes	<ul style="list-style-type: none"> - lack of cooperation/involvement/commitment/buy-in by municipalities and First Nations in the region - sense of competition and desire to retain tax base - poor working relationship with regional partners - political change and uncertainty 	
Outcomes of Managing the Risk	<ul style="list-style-type: none"> - well integrated regional planning that strengthens each partner municipality and maximized economic prosperity and quality of life for all 	

Current Activities	
1	Participated in the Saskatoon North Partnership for Growth (P4G) with the Cities of Warman and Martensville, the Town of Osler and the Rural Municipality of Corman Park
2	Awarded a contract for the multi-phased development of a Regional Plan that will address land use, servicing and governance and administration
3	Hired a project manager to oversee the development of the Regional Plan
4	Have participated with the RM of Corman Park in the Corman Park-Saskatoon Planning District since 1956

Planned Mitigation Strategies		
	Strategy	Target Date
1	Develop regional land use map	2017
2	Develop regional servicing strategy	2017
3	Develop governance and administrative structures for Regional Plan implementation	2017
4	Liaise with the RM of Corman Park and the Ministry of Government Relations on development proposals in the Planning District	Ongoing
5	Commence discussions on boundary alterations; areas of focus are in the north, northwest, northeast and east	2018-2020
6	Engage with First Nations with land development interests in the Saskatoon region	Ongoing
7	Conduct workshops on Reserve creation and economic and partnership opportunities	Annually
8	Meet with SREDA's Broader Regional Committee	Quarterly

Strategic Risk Register

(Effective February 14, 2017)

City Council Risk Priority	Risk Score			Administration Target Risk Ranking
		Likelihood	Impact	
Low	Inherent Risk	2.50	2.17	5.43
	Residual Risk	2.33	2.00	4.66
				Medium

Risk No.	Risk Description	Strategic Goal
EL-2	The City's community education and awareness initiatives regarding carbon footprint may not be affecting change in people's attitudes and behaviors	Environmental Leadership
Risk Lead	GM Corporate Performance	
Key Impacts	<ul style="list-style-type: none"> - property damage, economic loss and personal injury due to the effects of climate change - increased frequency and intensity of severe weather events – prolonged drought, prolonged wet, intense rain/flooding, damaging winds, heavy snowfall/blizzard, mild winter with freeze/thaw and icing, extreme heat/cold, pests and invasive species - loss of economic competitiveness to other communities - co-benefits are not realized (e.g., reduced air pollutants, reduced traffic congestion, improved range of choice in the housing market, etc.) 	
Root Causes	<ul style="list-style-type: none"> - lack of awareness and understanding of how activities effect greenhouse gas emissions - market barriers to technology with positive returns but misaligned beneficiaries - denial mentality - lack of access to convenient and affordable alternative solutions 	
Outcomes of Managing the Risk	<ul style="list-style-type: none"> - greenhouse gas emissions must be drastically reduced to avoid a dangerous and irreversible rise in average global temperatures - a growing, efficient, competitive and productive economy that uses less energy and the energy that is used is from low-carbon sources 	

Current Activities	
1	A community greenhouse gas reduction target is being developed (Saskatoon Environmental Advisory Committee)
2	A community greenhouse gas inventory has been completed
3	Waste diversion target adopted – divert 70% of waste from the landfill
4	Existing conservation education programs (Student Action for a Sustainable Future, healthy yards program, demonstration garden with the food bank and UofS Master Gardeners, backyard composting and rain barrel education, "how to" guides)
5	Expanded the Green Cart program to accept food waste
6	Continue recycling education initiatives to increase the rate of capture for recyclable materials
7	Community cash grants program for environmental initiatives
8	Signed the Covenant of Mayors committing to address climate change using the tools available to the City
9	Launched the Rolling Education Unit - a mobile trailer used at festivals, events, and other public locations to facilitate learning about waste diversion
10	A business case was developed for Recovery Park

Planned Mitigation Strategies		
	Strategy	Target Date
1	Incorporate community greenhouse gas targets into a new Energy & Greenhouse Gas Reduction Business Plan – specific strategies and benchmarks	2017
2	Develop a waste diversion plan - specific strategies and benchmarks	2017
3	Develop first phase of Recovery Park	2017
4	Develop an annual implementation plan for community greenhouse gas reduction programs and policies focussed on conservation and efficiency, improved green spaces to capture carbon, and expanding renewable energy options	2017
5	Partner with Crown utilities and home builders to advance energy efficient housing	2017
6	Ensure neighbourhood layouts are oriented to take advantage of solar power	2018
7	Implement the Growth Plan to Half a Million, calculating the estimated potential for greenhouse gas reduction associated with realizing the Plan	2018-2028

Strategic Risk Register

(Effective February 14, 2017)

City Council Risk Priority	Risk Score			Administration Target Risk Ranking
		Likelihood	Impact	
Low	Inherent Risk	2.69	2.69	7.24
	Residual Risk	1.67	1.67	2.79
				Low

Risk No.	Risk Description	Strategic Goal
A&FS-10	The City may not be investing enough money in its fleet infrastructure to maintain an acceptable condition and level of service	Asset & Financial Sustainability
Risk Lead	CFO/GM Asset & Financial Management	
Key Impacts	<ul style="list-style-type: none"> - deteriorating fleet condition/availability - increasing reactive/emergency maintenance activities and cost - deferred vehicle/equipment replacement; accelerated deterioration - available funding defaulted to repair worst vehicles/equipment rather than invest in preventive maintenance - increasing fleet deficit/deficiency - unsafe vehicle/equipment condition - reduced ability for operational programs to deliver services - customer dissatisfaction 	
Root Causes	<ul style="list-style-type: none"> - resource constraints - past underfunding of asset renewal - absence of established life cycle costing process - absence of established asset management plan - absence of approved service level objectives - lack of mutual understanding; unrealistic expectations 	
Outcomes of Managing the Risk	<ul style="list-style-type: none"> - Fleet Management provides quality procurement and maintenance services in an efficient, timely and professional manner to ensure safe, reliable and well maintained vehicles and equipment that support operational program service delivery 	

Current Activities	
1	Undertaken a comprehensive reserve sufficiency analysis
2	Developed customer service agreements for certain customer groups
3	Completed Civic Service Review (CSR)
4	Circulated customer service survey to all internal customers as part of CSR
5	Implementing logistical changes at maintenance shop (entryway, office and parking)

Planned Mitigation Strategies		
	Strategy	Target Date
1	Complete Fleet Services Business Model Review	2017
2	Pursue bylaw amendments as required	2017
3	Continue to develop customer service agreements for certain customer groups	2017
4	Complete development of maintenance shop staffing model that matches customer operational needs	2017
5	Update fleet management technology and training	2017
6	Conduct customer service surveys to all internal customers annually	2017
7	Conduct annual review of rental rates	2017
8	Develop and/or maintain engagement plan/communication strategy regarding fleet investment	2017 and Ongoing

Strategic Risk Register

(Effective February 14, 2017)

City Council Risk Priority	Risk Score			Administration Target Risk Ranking
		Likelihood	Impact	
Low	Inherent Risk	2.83	2.17	6.14
	Residual Risk	2.50	2.17	5.43
				Medium

Risk No.	Risk Description	Strategic Goal
EL-3	The City may fail to identify and pursue corporate CO2 reduction initiatives	Environmental Leadership
Risk Lead	GM Corporate Performance	
Key Impacts	<ul style="list-style-type: none"> - property damage, economic loss and personal injury due to the effects of climate change - loss of credibility as an environmental leader - increased frequency and intensity of severe weather events – prolonged drought, prolonged wet, intense rain/flooding, damaging winds, heavy snowfall/blizzard, mild winter with freeze/thaw and icing, extreme heat/cold, pests and invasive species 	
Root Causes	<ul style="list-style-type: none"> - failure to meaningfully consider CO2 implications when evaluating projects/initiatives/options - resource constraints - absence of a clear vision, near- and long-terms goals and strategies to achieve reductions in CO2 emissions 	
Outcomes of Managing the Risk	<ul style="list-style-type: none"> - an efficient, competitive and productive corporation that uses less energy and the energy that is used is from low-carbon sources 	

Current Activities	
1	Reduction target adopted - reduce City's greenhouse gas emissions by 30% from 2006 levels
2	Combined heat and power projects at Shaw Centre and Lakewood Civic Centre installed
3	Centralized utility management services to identify reduction opportunities
4	Renewable energy generation being pursued at the Green Energy Park, including implementing solar power demonstration project at the landfill
5	Single-stream recycling in place at most civic facilities
6	Environmental Implications section in Committee and City Council report template increases staff awareness of CO2
7	Energy Performance Contracting will accelerate improving the energy efficiency of civic buildings
8	Landfill Gas Power Generation Facility successfully destroying methane and generating clean electricity
9	Launched new garbage, recycling and Green Cart program routing that focusses on optimization/fuel savings
10	Installed LED fixtures for street and park lighting in new neighbourhoods
11	Implemented more effective water management practices regarding parks and trees
12	Developed new neighborhood design standards and wetlands policy

Planned Mitigation Strategies		
Strategy		Target Date
1	Develop the 10-year implementation strategy for the Growth Plan to 500,000 to reduce outward growth pressures on civic services and infrastructure that generate increases in CO2	2017-2019
2	Develop an Energy & Greenhouse Gas Reduction Business Plan – specific strategies and benchmarks for achieving the corporate greenhouse gas target	2017
3	Develop and implement a phased-in sustainable purchasing program	2016/2017
4	Develop energy management programs and strategies regarding water, electrical and natural gas	2016/2017
5	Develop the Corporate Environmental Performance program to further reduce the City's CO2 footprint, among other environmental impacts	2017
6	Investigate upgrading of existing street and park lighting to LED fixtures	2017/2018
7	Investigate options for facilitating solar power development on civic buildings and on private property across Saskatoon	2017
8	Develop a significant solar energy installation at a civic facility	2017/2018
9	Continue to explore options for green energy generation – wind, solar, hydro	TBD
10	Develop Storm Water Management Plan and associated policy tools such as low impact development guidelines to reduce reliance on potable water for irrigation and other environmental impacts	2017/2018
11	New Advanced Traffic Management System to incorporate alternative traffic signal timing plans to reduce vehicle idling and congestion (among other traffic goals)	2017-2021

Strategic Risk Register

(Effective February 14, 2017)

City Council Risk Priority	Risk Score			Administration Target Risk Ranking
		Likelihood	Impact	
Low	Inherent Risk	2.14	2.00	4.28
	Residual Risk	1.71	1.71	2.92
				Low

Risk No.	Risk Description	Strategic Goal
A&FS-12	The City's purchases may not be in accordance with approved policy	Asset & Financial Sustainability
Risk Lead	CFO/GM Asset & Financial Management	
Key Impacts	<ul style="list-style-type: none"> - inconsistent application of policy requirements - negative impact on City's reputation/public image - allegations of corruption/collusion/ fraud - perception of unfairness/preferential treatment - exposure to liability in the event of inadequate insurance and/or workers' compensation coverage - potential litigation regarding process from unsuccessful proponents 	
Root Causes	<ul style="list-style-type: none"> - lack of knowledge/understanding of policies (due to turnover, ignorance, etc.) - ambiguous, subjective, unclear and/or outdated policies - adherence to the "letter" of the policy rather than the "intent" in order to bypass the policy - inconsistency between corporate policy and departmental/divisional policy/past practice - administrative timelines do not take into account time required to follow policy 	
Outcomes of Managing the Risk	<ul style="list-style-type: none"> - transparent, efficient, effective and fair procurement activities that result in defensible and unbiased procurement decisions - procurement decisions that are the best value for the City 	

Current Activities	
1	RFP awarded for the review of the City's procurement policy and procedures
2	Joint education/training sessions have been held with key internal stakeholders
3	All sole source decisions must be signed off by applicable General Manager
4	New P-card policies and procedures have been developed

Planned Mitigation Strategies		
	Strategy	Target Date
1	Develop new procurement policies and procedures based on results of Procurement Review for Administration and City Council approval	2017
2	Roll out of standardized purchasing templates (e.g. RFQ, RFP, tenders, agreements, etc.)	2017
3	Continued phased roll out of P-cards and training sessions throughout the organization	2017 and Ongoing
4	Implement new procurement policy and procedures	2017
5	Provide joint education/training session with additional internal stakeholders/user groups	2017
6	Evaluate further centralization of certain inventory and purchasing functions	2017
7	Evaluation of the potential for further automating receipt of tender/RFP submissions	2017