

Draft Corporate Risk Register

Negative Risks that offer a threat to Bristol City Council and its Strategic Aims (Aim - Reduce Level of Risk)

Ref CRR	Risk Description	Key Causes	Key Consequence	Status Open / Closed	Risk Category	Risk Owner	Key Mitigations	Direction of travel	Current Risk Level			Monetary Impact of Risk	Risk Tolerance			Actions to be undertaken		Escalation			Portfolio Flag	Audit Trail																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																				
									Likelihood	Impact	Risk Rating		Likelihood	Impact	Risk Rating	Date	(Include dates as appropriate)	Resp. Officer	Escalated to:	Escalated by:		Date	Date risk identified	Date Risk Closed	Closed by:	Amends / Updates Completed Date	By:																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																															
											ix						DRR/CRR																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																									

Ref CRR	Risk Description	Key Causes	Key Consequence	Status Open / Closed	Risk Category	Risk Owner	Key Mitigations	Direction of travel	Current Risk Level			Monetary Impact of Risk	Risk Tolerance			Actions to be undertaken		Escalation			Portfolio Flag	Audit Trail					
									Unlikely	Impact	Rating		Unlikely	Impact	Rating	Date	(Include dates as appropriate)	Resp. Officer	Escalated to:	Escalated by:		Date	Date risk identified	Date Risk	Closed by:	Amends / Updates Completed	By:
6	In the current context of change, coupled with collective financial challenges, the effectiveness of partnership working may be jeopardised.	1.Lack of transparency in terms of governance and delegated decision making in relation to WECA. 2. Lack of clarity over partnership priorities leading to friction 3. In a period of change a lack of clarity as to the 'go to person' 4. Confusion over the range of plans and activities being undertaken, leading to duplication of effort.	1. Impact on effective joint working arrangements to deliver against key city priorities. 2. Opportunities being missed for more effective working or funding. 3. Delays in implementing decisions through lack of clarity on process. 4.Unintended consequences of single agency decisions	Open	Service provision	Alison Comley	1.Focused use of our strong partnership boards HWB, Learning City, Homes Board & Safer Bristol to focus on collective priorities and saving decisions. 2.Provide a strong presence in WECA structure of meetings so that decision making is clearly understood 3.Actively share changes proposed in BCC so that partners are clear on direction of travel 4. Use the City Plan work to make clear connections with partners as to future city trajectory	Increased	2	5	10	5m	2	3	6	07/11/2017	1.Meetings being held with key partners to discuss budget approach 2.Partners engaged in the development of the City Plan	Srt Dirs & S151 officer				Finance, Governance and Performance	Nov-17				
7	If the City Council does not meet its wide range of Health & Safety requirements then there could be a risk to the safety of citizens.	1. The Council has responsibility for a wide range of functions, buildings and vehicles with H&S implications 2. The council is the largest social landlord in the city 3. Lack of effective processes and systems consistently being applied. 4. Need to ensure policies are kept up to date 5. Services are delivered through external contractors which need to be subject to the same level of scrutiny and compliance eg asbestos. 6. Budget pressures may impact on H&S issues eg tree management	1. Risk of injury to members of the public. 2. Risk of injury to our tenants 3. Risk of legal action/penalties against the authority, and individual managers, including possibility of Corporate Manslaughter. 4. Impact on the reputation of the City Council. 5. Lack of compliance with Health & Safety policies and safe practices, due to pressures of work or lack of training.	Open	Personal Safety	Alison Comley	1.H&S governance process in place from Joint Safety Committee, Tier 2 Safety Meeting and directorate/team meetings 2. Programme of work in place within council housing post Grenfell 3.H&S training available for all staff via induction, e learning pool and L&D 4.Contracts for external providers include H&S responsibilities 5. Corporate H&S team in place to support directorates and provide advice and guidance	Stable	4	5	20	Unlimited fines & custodial sentences	3	3	9	05/11/2017	1. Reg reporting of HTS issues to SLTwith remedial action to 2nd tier HTS co-ordinators group 2. Programme of work post Grenfell which will be further developed in line with any emerging themes/outcomes from the Public Enquiry	A Comley/ G.Portingale	CRR		Nov-17	Finance, Governance and Performance	Nov-17				
8	If the safety of staff working in potential hazardous situations is not addressed then there is a risk to the safety of staff, and of legal penalties to the organisation.	1. If services are not able to order appropriate equipment required for staff safety. 2. Lack of appropriate equipment. 3. Lack of appropriate training. 4. Lack of oversight and control by local management 5. Lack of information on the potential or known risks.	1. Risk of injury to a colleague. 2. Staff put under undue pressure leading to staff taking sick leave, or leaving the organisation. 3. Risk of legal action against the authority, and individual managers. 4. Impact on the reputation of the City Council. 5. Lack of compliance with Health & Safety policies and safe practices, due to pressures of work or lack of training.	Open	Personal Safety	John Walsh	1. Accident/incident reporting procedure in place to monitor injury to colleagues. 2.Occupational Health support in place to provide management advice and employee support. 3. Risk assessment process and CH&SMs in place to identify and monitor hazards, risks and appropriate actions. 4. Stress management training and stress risk assessment training available for managers and employees. 5. Health and Safety training available via 'e' learning and L&D. 6. Workplace wellbeing initiatives being introduced and communicated as part of the workforce plan. 7. Quarterly Corporate Health and Safety management reporting through CH&SMs to help identify compliance.	Increased	2	7	14	Unlimited fines and custodial sentences	1	7	7	30/10/2017	New Accident incident database and H&S management system recommended (possibly could be part of the new HR Payroll solution).	Gail Portingale (H&S)	2nd tier H&S Co-ordinators Group	Gail Portingale	Nov-17	Finance, Governance and Performance	Nov-17				
9	If we do not protect the City from flooding then there will be a serious risk of significant damage to homes, commercial property and infrastructure as well as risk to public safety.	1. Tidal surge, heavy rainfall, river and groundwater flood events. 2. Impact of climate change. 3. Lack of effective flood defences and preparedness for major incidents.	1. Risk to life, health and wellbeing of citizens. 2. Damage to buildings and infrastructure. 3. Clean up costs. 4. Emergency housing need. 5. Impact on the local economy - direct losses and long term recovery. 6. Impact on the reputation of the City Council.	Open	Personal Safety/ Community/ Financial	Peter Mann	Local Flood Risk Management Strategy (Cabinet 4.12.17) - comprising 5 keys areas and 43 separate actions in line with Environment Agency's national strategy.	Stable	3	5	15	>£5m	3	3	9	Annual	Sustained resourcing and delivery of all actions in LFRMS over life of strategy. Annual review of LFRMS to keep up to date and refresh action plan.	Peter Mann	CRR		Nov-17	Energy, Waste and Regulatory Services	Nov-17				
10	Failure in the management of the Harbour and Harbour Estate.	1. Poor Governance arrangements. 2. Poorly managed balance between commercial rigour and democratic accountability. 3. Failure to maintain the Harbour assets 4. Poor management	1. Financial impact of unexpected events and operational repairs 2. Impact on service users 3. Death and injury to the public and service users 4. Reputational Damage and loss of income	Open	Service Provision/ Financial impact/ Personal safety	Bill Edrich	1. A full open harbour review involving users and public to prepare a harbour and harbour estates strategy	Stable but no of incidents since caretaking the service from Sept 2017.	3	7	21	Unlimited fines and custodial sentences. Loss of income, emergency repairs impacting upon contingency budget	2	3	6	30/10/2017	Prepare and implement a harbour estates strategy.	Bill Edrich	CRR	Bill Edrich	Nov-17	Housing	Nov-17				
11	If the City Council is subject to a successful Cyber Attack, or other breach of its data protection measures, then there could be serious implications for the organisation and the people it serves.	1. Deliberate or accidental infection of Council systems with malware or other intrusive or destructive virus. 2. Deliberate or accidental leak of sensitive information into the public domain. 3. System security arrangements not maintained or updated on a timely basis. 4. Lack of information or training on latest security arrangements / threats.	1. Business as Usual activities could be seriously disrupted, impacting on the services delivered. 2. Reputational damage. 3. Legal implications, including financial penalties. 4. Impact on colleagues or citizens due to their personal information being obtained.	Open	Service provision	Annabel Scholes	1.Information Security Policy 2.Colleague/ partner information security training 3.Enterprise phishing training 4.Maintain Multi Layered Defence 5.External support in case of incident	Stable	3	5	15	High	3	5	15	31/11/2017	Develop and deliver new and updated Information Security training	Steven Pendleton	CRR		Nov-17	Finance, Governance and Performance	Nov-17				
12	If the organisation is not able to redesign its services quickly enough, a reduction in staffing levels and loss of experienced and skilled staff will have an impact on service delivery, and on remaining staff.	1. Staff leaving due to service redesign, reduction/cessing of some service areas, automation of processes, efficiency/savings requirements. 2. Poor morale due to the impact of change and the working environment. 3. Potential increased staff sickness levels. 4. The pace at which change and service redesign is required to meet efficiency targets requires constant resourcing 5. Imposed restrictions on pay rises have led to a net decrease in the value of salaries resulting in staff leaving to seek employment elsewhere.	1. Reduced staffing levels. 2. Loss of skilled staff. 3. Poor staff morale and increase sickness levels. 4. Difficulties in recruiting / retaining skilled staff. 5. Impact of service delivery, and the ability to respond positively to change.	Open	Service provision	Head of Paid Service	1.A senior management restructure is underway which will bring permanency and stability for the leadership team. This structure is currently out to formal consultation. 2.An organisation-wide leadership development and engagement programme will support colleagues during the time of transition. A new Leadership Framework that has been developed will be rolled out to provide support to enable our staff to become confident and supportive leaders for our workforce. 3. To promote a positive culture within the organisation, a new Vision, set of Values and Behaviours has been created in collaboration with staff focus groups, this will help set the tone of the organisation and assist in providing clarity of purpose. It will link directly through to a new performance framework that will provide clarity to staff about the expectations and how their work contributes to the success of the organisation. This will feature in the Workforce Plan which is currently being drafted. 4.A new training and development programme is being developed to support staff to meet the expectations of the organisation. 5.The Draft Corporate Plan and Budget Proposals have been published for consultation, the result of the consultation will provide clarity for staff in relation to priorities which will emerge out of new business plans, help our workforce focus its attention and resources on the areas that derive greatest results for our communities and residents.	Increased	4	5	20	loss of productivity	2	5	10	30/10/2017	1. Restructure consultation and activities underway. 2. Organisation values and behaviours out to consultation as part of senior management restructure and the Corporate Strategy Consultation. 3. Roll-out programme due to DLT in November 4. Coaching is in place for managers affected by restructure. 5. L&D programme in planning stages, due to SLT and Exec Board in November for sign off.	John Walsh Steph Griffin	CRR		Nov-17	Finance, Governance and Performance	Nov-17				

Ref	Risk Description	Key Causes	Key Consequence	Status Open / Closed	Risk Category	Risk Owner	Key Mitigations	Direction of travel	Current Risk Level			Monetary Impact of Risk	Risk Tolerance			Actions to be undertaken		Escalation			Portfolio Flag	Audit Trail						
CRR									Likelihood	Impact	Risk Rating		Likelihood	Impact	Risk Rating	Date	(Include dates as appropriate)	Resp. Officer	Escalated to:	Escalated by:	Date		Date risk identified	Date Risk Closed	Closed by:	Amends / Updates Completed	By:	
13	If there is a lack of leadership or management skills then this could impact on performance and the ability to deliver positive change.	1. Loss of experience managers. 2. New skills sets required to meet new challenges. 3. Poor communication regarding change and new initiatives. 4. Need to make savings / increase income.	1. Reduced management capacity. 2. Impact on performance and staff morale. 3. Public and member resistance to proposed changes. 4. Lack of clear leadership.	Open	Service Provision	John Walsh	1. A draft leadership framework has been developed and is currently out to consultation as part of the senior management restructure. This will articulate the ask of leaders in the new organisation and against which a performance management framework will be developed. 2. A leadership development programme is being planned that will underpin the emerging organisation values and leadership framework. This is designed to build leadership capability throughout the organisation and a development pathway to support aspiring leaders. 3. To support existing managers during the transition phase, confidential career coaching is being offered to all managers at risk during the senior management restructure; Occupational Health support in place to provide management advice and employee support. 4. Risk assessment process and CHASMs in place to identify and monitor hazards, risks and appropriate actions. 5. Stress management training and stress risk assessment training available for managers and employees. 6. Workplace wellbeing initiatives being introduced and communicated. 7. Quarterly Corporate Health and Safety management reporting through CHASMs to help identify compliance, issues.	Increased	4	5	20	2	5	10	30/10/2017	Senior Management Review to be completed. Leadership framework and leadership development plan currently in design and due for consideration by SLT and Exec Board during November. Coaching in place now.	J Walsh Sheph Griffin	CRR		Nov-17	Finance, Governance and Performance	Nov-17						
14	If the City Council fails to prepare for successful implementation of the GDPR then it may fail to fully comply with its statutory requirements.	1. Failure to plan for the implementation of the GDPR being introduced in May 2018. 2. Failure to invest in the required systems, equipment and posts required to implement these regulations. 3. Failure to train staff in the requirements of the regulations.	1. Risk of breaching the regulations, and being subject to penalties / fines. 2. Reputational risks. 3. Risk of increased costs due to a failure to plan, and implement required changes in time for the implementation of these regulations.	Open	Legal	Senior Information Risk Owner (SIRO)	1. Project team in place. 2. Formulated approach around the ICO 12 step plan 3. Project Manager and Project Resource appointed 4. Briefed DLTs and IAO workshops 5. Record of Processing Activities (ROPA's) 6. Regional working group 7. Newsletter 8. AsGDPR mailbox 9. Revised DP guidance 10. E-Learning package 11. Source page	Increased	2	7	14	Increased fines	1	3	3	01/05/2018	1. Regular reporting to SLT on progress against plan 2. Setting up of project steering group to oversee delivery	SIRO	CRR		Nov-17	Finance, Governance and Performance	Nov-17					
15	If the City Council inadequately responds to a significant civil emergency, then the impact of the event will be increased with a greater impact on people and businesses.	1. Major incidents due to factors such as fire, floods and subsidence. 2. Civil disorder or terrorist attack. 3. Major infrastructure failure. 4. Lack of preparation and foresight. 5. Lack of investment in preventative or responsive measures. 6. Lack of a contingency/business continuity plan. 7. Lack of effective communications. 8. Lack of skilled staff.	1. Increased risk to public safety if effective measures not put in place. 2. Increased impact post event if effective contingency and communication plans not in place. 3. Reduced chances of preventing incidents due to a lack of foresight or investment. 4. Increased risk to staff. 5. Financial implications. 6. Increased recovery time post event if effective plans not in place. 7. Reputational damage to the organisation and its leaders.	Open	Service provision	Allison Comley	1. Senior leaders have all completed 1 day civil emergency planning training 2. New processes in place for on call emergency managers 3. Plans tested in our response to Grenfell Tower 4. Business continuity plans being refreshed across key services 5. Additional investment made in emergency planning team	Increased	3	7	21	less than 3m	1	7	7	05/11/2017	1. Refresh of business continuity plans 2. Council wide group in place to lead this with directorate representatives	Jim Gilman & Allison Comley Dec 17	CRR		Nov-17	Nhoods	Nov-17					
16	Safeguarding: The Council fails to ensure adequate safeguarding measures are in place, resulting in harm or death to a vulnerable adult or child.	1. Lack of compliance with procedures or legislation. 2. Poor information sharing. 3. Lack of capacity or resources to deliver safe practice 4. Ensuring we commission safe care for vulnerable adults, children and elderly	1. Culpable for harm or fatality of vulnerable person. 2. Litigation. 3. Financial costs. 4. Reputational damage. 5. Placing people in unsafe care	Open	Personal Safety	Terry Dafter(Adults) Jacqui Jensen (Childrens)	1. We are increasing capacity in the commissioning team to lead on monitoring quality in the care sector. This should allow us to work proactively where poor practice is identified. 2. Implementation of Children Services Improvement plan following Ofsted inspections. 3. Regular safeguarding Assurance Visits to internal settings 4. Effective City Safeguarding Boards for both Adults and Childrens	Stable	2	7	14	Potential claims and litigation.	2	7	14	2019/20	Adults and Childrens Major Change programmes (Better Lives and Strengthening Families respectively) launched led by City Council but involving all partners with a safeguarding responsibility.	Terry Dafter/Jacqui Jensen	CRR		Nov-17	Children and Young People Services/ Adult Social Care	Nov-17					
17	Failure to Manage Asbestos	Funding for Contractor training has not been agreed and, therefore, the Asbestos Policy cannot be ratified.	1. Asbestos survey failures. 2. Asbestos exposure incidents putting the public and employees at risk of harm (serious ill-health/death). 3. Unlimited fines and custodial sentences for the employer. 4. Reputational risk.	Open	Personal Safety/ Reputation	Bill Edrich	1. Properties are surveyed prior to any work being undertaken by contractors. 2. Asbestos incidents are being reported via the Corporate health and safety accident/incident process. 3. There is a process for reporting Asbestos exposure incidents to the HSE via F2508 form (compliance with H&S law). 4. Asbestos incidents are investigated in-house and appropriate actions taken.	Increased	3	7	21	Unlimited fines and custodial sentences	2	7	14	30/10/2017	Request for funding for Contractor training. Agreed by 2nd tier Coordinator Group 20/10/17 - to access funding via L&D.	Gail Portingale	CRR	John Walsh	Nov-17	Finance, Governance and Performance	Nov-17					
Positive Risks that offer an opportunity to Bristol City Council and its Strategic Aims (Aim - Increase Level of Risk / Opportunity)																												
Ref	Risk Description	Key Causes	Key Consequence	Status Open / Closed	Risk Category	Risk Owner	Key Mitigations	Direction of travel	Current Risk Level			Monetary Impact of Risk	Risk Tolerance			Actions to be undertaken		Escalation			Portfolio Flag	Audit Trail						
CRR									Likelihood	Impact	Risk Rating	£K	Likelihood	Impact	Risk Rating	Date	(Include dates as appropriate)	Resp. Officer	Escalated to:	Escalated by:	Date		Date risk identified	Date Risk Closed	Closed by:	Amends / Updates Completed Date:	By:	
18	If we were to invest more in the external market, to offer citizens alternative and independent solutions then pressure on BCC services/budget could reduce	1. Need to achieve savings, and enable more cost effective ways of delivering services. Some risk averse behaviour because we believe that we always have a duty to provide.	1. Requires new approach to services, recognising different ways to deliver services through separate agencies. 2. Potential to improve services amend reduce costs. 3. Risk associated with this approach will need to be managed.	Open	Service Delivery/ Financial	Terry Dafter	Under development		4	5	20	> ESK			0						Nov-17		Nov-17					