

**INFORMATION REPORT TO THE AUDIT COMMITTEE**

**15<sup>th</sup> JANUARY 2009**

**PURPOSE OF REPORT:**

SUBMISSION OF CORPORATE RISK REGISTER (Version 27) FOR INFORMATION

**REPORT AUTHOR:**

DICK POWELL, CHIEF INTERNAL AUDITOR

**BACKGROUND:**

The Corporate Risk Register (CRR) was previously submitted to the Audit Committee on 31<sup>st</sup> July 2009 (Version 21). Since that time there have been changes to some risks and to the mechanism for compiling the CRR.

**RECENT CHANGES TO THE CORPORATE RISK REGISTER:**

The main changes to the Corporate Risk Register (since the previous submission to the Audit Committee in July 2009) were instituted at the 25<sup>th</sup> August and the 22<sup>nd</sup> December Strategic Leadership Team meetings, which were as follows:

- Recession - reference added to the 16-24 age group
- Health & Adult Social Care overspend - new risk
- Adult Care - residual risk increased from amber to red
- Management of Major Infra-structure Projects - residual risk increased from amber to red
- Payroll IT System - new risk
- Pandemic Flu - confirmation of Hugh Annett as the additional risk owner to Jon House.
- Waste Management - link added to the West of England Partnership. General update to reflect new waste strategy and residual risk lowered from red to amber.
- Value for money - residual risk lowered from red to amber.
- Information Security - residual risk lowered from red to amber.
- Political Capacity - residual risk lowered from red to amber
- Business Continuity - amalgamated with Civil Contingencies risk
- Performance Information - residual risk lowered from amber to green.

A new emerging risk was identified in respect of the West of England Partnership and currently this requires to be formulated and added to the CRR, as does a mitigation amendment to the Industrial relations risk concerning the 2010/11 pay negotiations.

**CHANGES TO THE MECHANISM FOR COMPILING THE CRR**

Historically, the Corporate Risk Register has been compiled by use of simple word processor documentation. Over the past few months there has been substantial progress towards automating the Corporate Risk Register (CRR) within the existing SPAR.net performance monitoring computer software. The attached (2nd Quarter) version of the CRR at **Appendix 1** has been produced using the existing SPAR.net software capability.

Further enhancements have been ordered for the system to improve its future functionality and this will be evidenced in a more sophisticated register reporting style - to include risk

ownership details, current status and “direction of travel” (details concerning the risk owner for each of the risks is tabulated at the end of the CRR). The new styled computer generated CRR report shows under each risk a sequence of mitigations. Each mitigation is flagged according to progress. Mitigations shown as “On schedule” will continue to remain visible on successive CRR reports, but if shown as “Completed” they will not appear on subsequent reports. Those responsible for each mitigation, plus any relevant information and the last review date is shown alongside. A flag indicating “No data available” shows if the mitigation has not been reviewed and “Review overdue” shows if the current status of the risk has not been updated .



## Bristol City Council - Corporate Risk Register

### VERSION 27 (January 2010)

Version	Reviewed By:	Review Date	Version	Reviewed By:	Review Date
1	Audit Committee	12 <sup>th</sup> January 2007	14	Strategic Leadership Team	Nov 2008
2	Corporate Risk Register Monitoring Group	12 <sup>th</sup> March 2007	15	CRR Monitoring Group	14 <sup>th</sup> Jan 2009
3	Risk Management Group	30 <sup>th</sup> July 2007	16	Audit Committee	16 <sup>th</sup> Jan 2009
4	Corporate Risk Register Monitoring Group	10 <sup>th</sup> August 2007	17		24 <sup>th</sup> February 2009
5	Audit Committee	28 <sup>th</sup> Sep 2007	18	Informal Cabinet	11 <sup>th</sup> March 2009
6	Corporate Risk Register Monitoring Group	22 <sup>nd</sup> October 2007	19	(Submission to) Strategic Leadership Team	26 <sup>th</sup> May 2009
7	Audit Committee	18 <sup>th</sup> January 2008	20	(Revisions by) Strategic Leadership Team	26 <sup>th</sup> May 2009
8	Corporate Risk Register Monitoring Group & Corporate Management Team	16 <sup>th</sup> April 2008 & 29 <sup>th</sup> April 2008	21	Audit Committee	17 <sup>th</sup> July 2009
9	Risk Management Group	28 <sup>th</sup> April 2008	22	(Submission to) Strategic Leadership Team	25 <sup>th</sup> August 2009
10	Audit Committee	13 <sup>th</sup> June 2008	23	(Revisions by) Strategic Leadership Team	25 <sup>th</sup> August 2009
			24	Informal Cabinet	22 <sup>nd</sup> October 2009
11	Corporate Risk Register Monitoring Group & Corporate Management Team	1 <sup>st</sup> August 2008 & 12 <sup>th</sup> August 2008	25	(Submission to) Strategic Leadership Team	22 <sup>nd</sup> December 2009 <b>(2<sup>nd</sup> QUARTER)</b>
12	Corporate Risk Register Monitoring Group	29 <sup>th</sup> August 2008	26	(Revisions by) Strategic Leadership Team	22 <sup>nd</sup> December 2009 <b>(2<sup>nd</sup> QUARTER)</b>
13	Corporate Risk Register Monitoring Group	15 <sup>th</sup> October 2008	27	Audit Committee	15th January 2010 <b>(2<sup>nd</sup> QUARTER)</b>

## Corporate Risk Management Report (mitigation)

Report for 2009-2010  
All Records

Not Including Child Projects records, Including Mitigation records

Key to Performance Status:

Mitigation	Well behind schedule	Behind schedule	On schedule	Completed	No Data available
Risks:	Review Overdue (0+)	High (6+)	Medium (3+)	Low (1+)	

A complete list of 'RiskOwners' is shown on the back page.

### Corporate Risk Management Report (mitigation)

<b>Risk: Recession</b> Risk of failing to minimise impact on Bristol as a City, and risk of specific implications for the Council.					<b>Risk Code: CRR031</b>	
<b>Inherent Status: High (9)</b>		<b>Inherent Risk Severity: High</b>	<b>Inherent Risk Likelihood: High</b>	<b>Date Identified: 21 Sep 2009</b>	<b>Service: Performance Improvement &amp; Policy</b>	
<b>Mitigation records</b>						
Status	Mitigation	Info	Person	Date Identified	Last Review Date	
Completed	BCC budget plans sustain building programmes and 'economy and enterprise' programme	Temporary borrowing to cover shortfall in receipts.	Will Godfrey	21/09/2009	01/11/2009	
On schedule	Action plan being implemented, working with the Bristol Partnership to improve Bristol's position	Action Plan being implemented. Work ongoing re apprenticeships; liaison with major employers and attracting investment to City. Resources assigned by Partnership.	Darren Hall	21/09/2009	01/11/2009	
Completed	Evening Post 'Bristol fights back' campaign		Jon House	21/09/2009	01/11/2009	
On schedule	Focussed support on 16-24 age group into ETE		Jane Taylor	21/09/2009	01/11/2009	
Completed	Increased investment in Destination Bristol.	Temporary borrowing to cover shortfall in receipts. But reduced contributions from other sources	Kate Davenport	21/09/2009	01/11/2009	
On schedule	Monitoring performance in the benefits service		Nick Harris	21/09/2009	01/11/2009	
On schedule	Recession included on Bristol Partnership risk register	Fully implement Action Plan - Significant amount of action plan implemented, work ongoing re apprenticeships; liaison with major employers and attracting investment to City. Resources assigned by Part	Darren Hall	21/09/2009	01/11/2009	
On schedule	Working with partnerships - West of England local authorities/MAA partners		Marvin Rees	21/09/2009	01/11/2009	
<b>Current Status: High (9)</b>		<b>Current Risk Severity: High</b>	<b>Current Risk Likelihood: High</b>	<b>Responsible Officer: Darren Hall, Nick Harris, Marvin Rees, Graham Sims</b>		

<b>Risk: Health and Adult Social Care overspend</b> Failure to implement budget containment measures or do not predict growth in demand leading to budget overspend in current year and 2010/11. Disruption to Authority Services as unplanned budget cuts are made elsewhere to balance budget. This would mean reputational damage, drop in CAA performance, failure to achieve VFM.					<b>Risk Code: CRR034</b>	
<b>Inherent Status: High (9)</b>		<b>Inherent Risk Severity: High</b>	<b>Inherent Risk Likelihood: High</b>	<b>Date Identified: 21 Sep 2009</b>	<b>Service: Adult Services</b>	
<b>Mitigation records</b>						
Status	Mitigation	Info	Person	Date Identified	Last Review Date	
On schedule	Action plan prepared by HASC DLT with Cabinet endorsement	Forecast overspend of £4.3m for 09/10 covered from one-off resources and other Directorate forecast underspends  Additional £4m included in MTFP for growth.	Cathy Morgan	21/09/2009	01/11/2009	

## Corporate Risk Management Report (mitigation)

**Risk: Health and Adult Social Care overspend**  
 Failure to implement budget containment measures or do not predict growth in demand leading to budget overspend in current year and 2010/11. Disruption to Authority Services as unplanned budget cuts are made elsewhere to balance budget. This would mean reputational damage, drop in CAA performance, failure to achieve VFM.

**Risk Code: CRR034**

**Inherent Status: High (9)**    **Inherent Risk Severity: High**    **Inherent Risk Likelihood: High**    **Date Identified: 21 Sep 2009**    **Service: Adult Services**

### Mitigation records

Status	Mitigation	Info	Person	Date Identified	Last Review Date
Behind schedule	Additional resources examining demand model	Demand model not yet complete so additional growth may not be covered	Cathy Morgan	21/09/2009	01/11/2009
Completed	Additional Senior Management Resources introduced to focus on the action plan.		Jon House	21/09/2009	01/11/2009
On schedule	Regular monthly monitoring		Peter Robinson	21/09/2009	01/11/2009

**Current Status: High (9)**    **Current Risk Severity: High**    **Current Risk Likelihood: High**    **Responsible Officer: Cathy Morgan**

### Risk: Children in need

Failure to meet corporate responsibilities to protect children in need.

**Risk Code: CRR016**

**Inherent Status: High (9)**    **Inherent Risk Severity: High**    **Inherent Risk Likelihood: High**    **Date Identified: 21 Sep 2009**    **Service: CYPS - Stay Safe**

### Mitigation records

Status	Mitigation	Info	Person	Date Identified	Last Review Date
Completed	Act upon JAR audit		Annie Hudson	21/09/2009	01/11/2009
On schedule	Co-ordinated local action plan	To address Laming 2 recommendations and Government response	Ian McDowall	21/09/2009	01/11/2009
On schedule	CRB checks for relevant staff		Ian McDowall	21/09/2009	01/11/2009
On schedule	Family Support Services programme		Annie Hudson	21/09/2009	01/11/2009
Completed	Qualified social care staff in place in appropriate numbers		Annie Hudson	21/09/2009	01/11/2009
Completed	Recruitment of Independent Chair of BSCB	To take place in late August	Ian McDowall	21/09/2009	01/11/2009
On schedule	Review of the risk	Subsequent to the case in Haringey and ministerial directives, this risk is subject to a full review, as is the case in all local authorities.	Ian McDowall	21/09/2009	01/11/2009
Completed	Safeguarding compliance audit		Ian McDowall	21/09/2009	01/11/2009
Completed	Safeguarding review - including external perspective	To report back in June	Annie Hudson	21/09/2009	01/11/2009
On schedule	Staff trained and supervised		Annie Hudson	21/09/2009	01/11/2009

**Current Status: High (6)**    **Current Risk Severity: High**    **Current Risk Likelihood: Medium**    **Responsible Officer: Ian McDowall**

### Risk: Business Transformation Programme

Failure to deliver performance improvements/cost reductions as a result of inadequate resourcing, and system(s) failure as too many poorly specified uncoordinated major changes are implemented

**Risk Code: CRR024**

**Inherent Status: High (9)**    **Inherent Risk Severity: High**    **Inherent Risk Likelihood: High**    **Date Identified: 21 Sep 2009**    **Service: Transformation Portfolio**

### Mitigation records

Status	Mitigation	Info	Person	Date Identified	Last Review Date
On schedule	Corporate ownership of programme through SLT (Portfolio Operations Board)	Ensuring that this is not viewed as a separate initiative.	David Trussler	21/09/2009	01/11/2009

## Corporate Risk Management Report (mitigation)

**Risk: Business Transformation Programme**  
 Failure to deliver performance improvements/cost reductions as a result of inadequate resourcing, and system(s) failure as too many poorly specified uncoordinated major changes are implemented

**Risk Code: CRR024**

**Inherent Status: High (9)**      **Inherent Risk Severity: High**      **Inherent Risk Likelihood: High**      **Date Identified: 21 Sep 2009**      **Service: Transformation Portfolio**

Mitigation records					
Status	Mitigation	Info	Person	Date Identified	Last Review Date
Completed	Agree portfolio programme at SLT		David Trussler	21/09/2009	01/11/2009
On schedule	All programmes will go through detailed definition of work and strategic prioritisation.	Portfolio prioritisation is identifying impact of current portfolio and identifying gaps.	David Trussler	21/09/2009	01/11/2009
Completed	Appoint a dedicated programme team	Dedicated Programme Managers being appointed with additional resources to lead programmes.	David Trussler	21/09/2009	01/11/2009
Completed	Appoint a dedicated Strategic Director to lead the transformation programme	Mr D Trussler appointed	David Trussler	21/09/2009	01/11/2009
On schedule	Corporate Co-ordination is through portfolio delivery team		David Trussler	21/09/2009	01/11/2009
Completed	Outline Programme Case approved by Cabinet June 2008.	Strategic Director (Transformation) in post (September) and programme being developed (wrapping in office accommodation and PTP projects).	David Trussler	21/09/2009	01/11/2009
On schedule	Portfolio-level risk	Risks associated with the delivery of the Transforming Bristol Portfolio as a whole are described and mitigated in a specific Portfolio Risk Register, reporting directly to SLT (Portfolio & Commissi	David Trussler	28/09/2009	01/11/2009
On schedule	Programme-level risks	Risks to the delivery of individual change programmes are contained and mitigated through dedicated programme risk registers.	Chris Tatner	28/09/2009	01/11/2009
Completed	Set up a Cross Party Strategy Board and Scrutiny reference group	Cross Party Strategy Board and Scrutiny reference group in place	David Trussler	21/09/2009	01/11/2009

**Current Status: High (6)**      **Current Risk Severity: High**      **Current Risk Likelihood: Medium**      **Responsible Officer: Chris Tatner**

**Risk: Adult Care**  
 An adult older or vulnerable person suffers avoidable death, serious injury or abuse whilst under the care of the council.

**Risk Code: CRR025**

**Inherent Status: High (6)**      **Inherent Risk Severity: High**      **Inherent Risk Likelihood: Medium**      **Date Identified: 21 Sep 2009**      **Service: Adult Services**

Mitigation records					
Status	Mitigation	Info	Person	Date Identified	Last Review Date
On schedule	Adherence to H&S requirements, risk assessments with adequate mitigations for risk in place, staff	Recent sampling by DLT of safeguarding cases has highlighted good practice and recommendations to practitioners regarding further improvements and higher standards.	Vareta Bryan	21/09/2009	01/11/2009
On schedule	Adherence to professional standards, supervision, pmds.	Safeguarding adults board and joint working with partner agencies – Police, probation, NHS, shared protocols / joint working.  All safeguarding concerns are carefully followed up, reported to CQC	Linda Prosser	21/09/2009	01/11/2009
On schedule	Ceasing admissions for 'zero rated' care homes. Reviewing service users where they are concerns	Recent monitoring "inspections" by Commissioning staff have assisted in raising the standards with Care Homes. The majority of in-house services are now rated good, with a small number "adequate".	Linda Prosser	21/09/2009	01/11/2009
On schedule	Compliance with care management policies / procedures.	Team manager authorisation and review of care plans and regular case sampling by Senior Management Team. (Approval by Panel process)	Linda Prosser	21/09/2009	01/11/2009
Completed	Deprivation of Liberty safeguards	HSC and NHS Bristol have developed a robust DOLS service in partnership in order to meet statutory duties of the MCA and ensure well-being of vulnerable people through appropriate application of DOLS.	Linda Prosser	21/09/2009	01/11/2009
On schedule	Lessons learnt report on serious incidents (national and local e.g. Cornwall enquiry) and complaints	Lessons Learnt from recent safeguarding complaints have been shared with practitioners and assisted in improving practice.  All new staff are CRB checked and robust risk assessments in place whilst	Linda Prosser	21/09/2009	01/11/2009
On schedule	Regular inspection and regulatory processes undertaken by CSCI e.g. homes, home care, review of safe	All regulated services managed by the City Council are re-inspected by CQC on an annual basis. There are 23 services which include Residential, Home Care and Intermediate Care.	Jocelyn Mignott	21/09/2009	01/11/2009



## Corporate Risk Management Report (mitigation)

<b>Risk: Adult Care</b> An adult older or vulnerable person suffers avoidable death, serious injury or abuse whilst under the care of the council.					<b>Risk Code: CRR025</b>	
<b>Inherent Status: High (6)</b>		<b>Inherent Risk Severity: High</b>	<b>Inherent Risk Likelihood: Medium</b>	<b>Date Identified: 21 Sep 2009</b>	<b>Service: Adult Services</b>	
<b>Mitigation records</b>						
Status	Mitigation	Info	Person	Date Identified	Last Review Date	
On schedule	Safe recruitment processes / CRB checks for staff working with vulnerable adults.	Staff employed by the Council are all CRB and POVA checked prior to commencement of employment. Care staff are NVQ assessed to at least level 2 standards, are regularly supervised and receive an annua	Jocelyn Mignott	21/09/2009	01/11/2009	
Completed	Safeguarding monitoring	HSC have developed improved systems for monitoring Safeguarding activity, allowing us to report local trends and plan effective services for the future.	Linda Prosser	21/09/2009	01/11/2009	
Completed	Safeguarding resources	HSC have secured additional funding from NHS Bristol and Neighbourhoods to enable us to develop capacity in the Safeguarding team, enabling greater support and awareness within HSC and partners.	Linda Prosser	21/09/2009	01/11/2009	
On schedule	We regularly monitor all services against a structured quality monitoring framework	This involves an annual visit to providers irrespective of their rating. This allows for essential scrutiny of services and gives an additional opportunity to talk to staff and users regarding the ser	Vareta Bryan	21/09/2009	01/11/2009	
<b>Current Status: High (6)</b>		<b>Current Risk Severity: High</b>	<b>Current Risk Likelihood: Medium</b>	<b>Responsible Officer: Vareta Bryan, Jocelyn Mignott, Linda Prosser</b>		

<b>Risk: Management and Delivery of Major Infra-structure Projects</b> Risk of increased costs and delay as a result of weaknesses in project planning and management.					<b>Risk Code: CRR004</b>	
<b>Inherent Status: High (9)</b>		<b>Inherent Risk Severity: High</b>	<b>Inherent Risk Likelihood: High</b>	<b>Date Identified: 21 Sep 2009</b>	<b>Service: Major Projects</b>	
<b>Mitigation records</b>						
Status	Mitigation	Info	Person	Date Identified	Last Review Date	
On schedule	Infrastructure and Development Board monitors progress of major projects	Improved arrangements for reporting /gateway reviews to be implemented	Alun Owen	21/09/2009	01/11/2009	
On schedule	Leader's Briefing Group receives progress reports.		Alun Owen	21/09/2009	01/11/2009	
Completed	Project Boards and Executive sponsors in place for major projects.		Alun Owen	21/09/2009	01/11/2009	
Completed	Service Director (Major Projects)	Service Director (Major Projects) in post	Alun Owen	21/09/2009	01/11/2009	
<b>Current Status: High (6)</b>		<b>Current Risk Severity: High</b>	<b>Current Risk Likelihood: Medium</b>	<b>Responsible Officer: Alun Owen</b>		

<b>Risk: MAA</b> Failure to achieve sub-regional goals, because of political changes, unrealistic targets or inadequate delivery mechanisms.					<b>Risk Code: CRR023</b>	
<b>Inherent Status: High (6)</b>		<b>Inherent Risk Severity: High</b>	<b>Inherent Risk Likelihood: Medium</b>	<b>Date Identified: 21 Sep 2009</b>	<b>Service: Performance Improvement &amp; Policy</b>	
<b>Mitigation records</b>						
Status	Mitigation	Info	Person	Date Identified	Last Review Date	
Completed	Establish Joint Scrutiny Commissions	Established & operational	Jan Ormondroyd	21/09/2009	01/11/2009	
On schedule	Important sub-regional work being undertaken by officers		Jan Ormondroyd	21/09/2009	01/11/2009	
Completed	Negotiations with Government departments	Negotiations have been very positive: We are close to having an agreed document.	Jan Ormondroyd	21/09/2009	01/11/2009	
Behind schedule	Recruitment of lead BCC officer for MAA		Jan Ormondroyd	21/09/2009	01/11/2009	
On schedule	Set up WoE Partnership and Chief Executives group	Supported by WoE office and Transport, Waste and Housing groups.  Relevant BCC members and officers fully engaged in this work and are working collaboratively and effectively to finalise MAA.	Jan Ormondroyd	21/09/2009	01/11/2009	
<b>Current Status: High (6)</b>		<b>Current Risk Severity: High</b>	<b>Current Risk Likelihood: Medium</b>	<b>Responsible Officer: Jan Ormondroyd</b>		

## Corporate Risk Management Report (mitigation)

<b>Risk: Payroll IT System</b> Unable to deliver payroll services due to failure of the supporting IT system. The payroll system runs on obsolete technology. The supplier has given notice they they are withdrawing support from March 2012. They have also confirmed they are dependant on a single individual to make system changes. The current supplier requires the Council to upgrade to their new payroll system to continue support beyond this date. This does not fit with Council's strategy, which is to move to an integrated (ERP) system for back office support. We also have low confidence in the current supplier.					<b>Risk Code: CRR035</b>	
<b>Inherent Status: High (6)</b>		<b>Inherent Risk Severity: High</b>	<b>Inherent Risk Likelihood: Medium</b>	<b>Date Identified: 01 Oct 2009</b>	<b>Service: Information, Communications &amp; Technology</b>	
<b>Mitigation records</b>						
Status	Mitigation	Info	Person	Date Identified	Last Review Date	
Completed	An independent review of the payroll system to confirm the risk	This has been completed and mitigations have been identified	Chris Tatner	01/10/2009	01/10/2009	
On schedule	Consider bureau payroll service	Contingency option to move to a bureau payroll service	Jill Mikkelson	01/10/2009	01/10/2009	
On schedule	ERP Business Case	ERP business case being developed for Cabinet approval in February 2010 to proceed to procurement. An integrated finance, payroll, and HR system (ERP) is being developed as part of STS 2.	Paul Arrigoni	01/10/2009	01/10/2009	
On schedule	ESCROW agreement	Opportunities to lodge the payroll software with a 3rd party, providing the Council with access to the software in the event of supplier failure	Paul Arrigoni	01/10/2009	01/10/2009	
On schedule	Obtain options and costs from the present supplier to extend the support for the current system	Current supplier due to report back with options to extend support by end January 2010	Paul Arrigoni	01/10/2009	01/10/2009	
<b>Current Status: High (6)</b>		<b>Current Risk Severity: High</b>	<b>Current Risk Likelihood: Medium</b>	<b>Responsible Officer: Jill Mikkelson, Chris Tatner</b>		

<b>Risk: Pandemic Flu</b> WHO declared a pandemic on 11th June 2009 and H1N1 virus is transmitting rapidly through UK society. A pandemic could undermine the ability of BCC to maintain or sustain normal services, particularly services likely to experience a 'surge' in demand - e.g. Health & Social Care.					<b>Risk Code: CRR033</b>	
The Authority is responsible for overseeing the opening / closing of schools. The Authority leads excess mortality planning. This outbreak could lead to excess mortality amongst BCC staff, service users and the public and the associated trauma that this would bring. A lack of preparation combined with increased infection levels will impact on service delivery, our staff and contracted and commissioned service delivery partners.						
<b>Inherent Status: High (9)</b>		<b>Inherent Risk Severity: High</b>	<b>Inherent Risk Likelihood: High</b>	<b>Date Identified: 18 Sep 2009</b>	<b>Service: Performance Improvement &amp; Policy</b>	
<b>Mitigation records</b>						
Status	Mitigation	Info	Person	Date Identified	Last Review Date	
Completed	BCC Influenza Plan has been completed and tested in a Corporate Exercise attended by Critical Servi	System tested	Kelvin Hattersley	18/09/2009	01/11/2009	
Completed	All Critical Service (CS) have been required to plan for a pandemic for some time.	Managers of CS have received a checklist to monitor their flu preparedness and BC Plans against. This covers PPE, service continuity, infection control, engaging service delivery partners and possible	Kelvin Hattersley	18/09/2009	01/11/2009	
On schedule	Clear guidance for staff re hygiene	Clear guidance for staff re hygiene requirements has been promulgated across authority. Including the Source, Posters and Internet and will also be included in pay checks	Kelvin Hattersley	28/09/2009	01/11/2009	
On schedule	Excess mortality plan	LA Excess mortality arrangements are being coordinated by the LRF Enhanced Port Health surveillance capability.	Kelvin Hattersley	28/09/2009	01/11/2009	
On schedule	Forecasting	The Health Authorities expect this wave to peak at end of August beginning of September. Subsequent waves are expected in the autumn/winter.	Hugh Annett	21/09/2009	01/11/2009	
On schedule	Hygiene facilities available at all shared work and training areas		Kelvin Hattersley	28/09/2009	01/11/2009	
Completed	LRF Strategic Plans have been completed and ratified at Government level.	Due to current Swine Flu outbreak the LRF is meeting via teleconference to ensure capability and resilience planning is progressing.	Kelvin Hattersley	18/09/2009	01/11/2009	
Completed	Personal Protective Equipment (PPE)	Since advent of Swine Flu a limited supply of PPE has been procured for distribution as required.	Kelvin Hattersley	28/09/2009	01/11/2009	



## Corporate Risk Management Report (mitigation)

### Risk: Pandemic Flu

WHO declared a pandemic on 11th June 2009 and H1N1 virus is transmitting rapidly through UK society. A pandemic could undermine the ability of BCC to maintain or sustain normal services, particularly services likely to experience a 'surge' in demand - e.g. Health & Social Care.

**Risk Code: CRR033**

The Authority is responsible for overseeing the opening / closing of schools. The Authority leads excess mortality planning. This outbreak could lead to excess mortality amongst BCC staff, service users and the public and the associated trauma that this would bring. A lack of preparation combined with increased infection levels will impact on service delivery, our staff and contracted and commissioned service delivery partners.

**Inherent Status: High (9)**

**Inherent Risk Severity: High**

**Inherent Risk Likelihood: High**

**Date Identified: 18 Sep 2009**

**Service: Performance Improvement & Policy**

#### Mitigation records

Status	Mitigation	Info	Person	Date Identified	Last Review Date
On schedule	Port Health Authorities working closely with the Health Protection Agency (HPA)		Kelvin Hattersley	28/09/2009	01/11/2009
On schedule	Vaccination	DoH is expecting delivery of the first tranche of vaccinations at end of August , with mass vaccinations anticipated late 2009 early 2010.	Hugh Annett	21/09/2009	01/11/2009

**Current Status: High (6)**

**Current Risk Severity: Medium**

**Current Risk Likelihood: High**

**Responsible Officer: Kelvin Hattersley**

### Risk: Waste management

Risk of failure to reduce the use of landfill.

**Risk Code: CRR028**

**Inherent Status: High (6)**

**Inherent Risk Severity: High**

**Inherent Risk Likelihood: Medium**

**Date Identified: 21 Sep 2009**

**Service: Environmental and Leisure Services**

#### Mitigation records

Status	Mitigation	Info	Person	Date Identified	Last Review Date
Completed	Adopt a sub-regional strategy	BCC adopted sub-regional strategy (Council, September) and sub-regional governance arrangements.	Pam Jones	21/09/2009	01/11/2009
Completed	Carry over of resources from 08/09 to deliver the improvements required		Pam Jones	21/09/2009	01/11/2009
Behind schedule	Implement permanent project team at West of England Partnership	No longer the case since Phase 3 withdrawn	Pam Jones	21/09/2009	01/11/2009
On schedule	Revise Bristol collection/recycling arrangements	Numerous initiatives delivered and progressing to reduce use of landfill	Pam Jones	21/09/2009	01/11/2009
Behind schedule	Sub regional disposal strategy agreed, including procurement of interim (from 2010) and long term tr	Interim due for contract sign off so on target to support disposal needs to 2016. Longer term plans currently being worked on following withdrawal from Phase 3	Pam Jones	21/09/2009	01/11/2009
Behind schedule	Sub regional officer and member working established: projects underway of phases 1,2,and 3.	Sub-regional governance and JWAs in place. Interim WoE project team in place. BCC resources depleted because of contribution to partnership team.	Pam Jones	21/09/2009	01/11/2009
On schedule	Waste reduction and recycling measures continue to be developed	Good recycling performance, plans for further improvement in development, and implementation.	Pam Jones	21/09/2009	01/11/2009

**Current Status: Medium (4)**

**Current Risk Severity: Medium**

**Current Risk Likelihood: Medium**

**Responsible Officer: Pam Jones**

### Risk: Value for money

Failure to demonstrate improvement in value for money as a result of the lack of a consistently strong focus on value for money across the Council.

**Risk Code: CRR008**

**Inherent Status: High (9)**

**Inherent Risk Severity: High**

**Inherent Risk Likelihood: High**

**Date Identified: 21 Sep 2009**

**Service: Finance**

#### Mitigation records

Status	Mitigation	Info	Person	Date Identified	Last Review Date
Behind schedule	Demonstration of outcomes from improvement work		Nick Harris	21/09/2009	01/11/2009
On schedule	Departmental Finance Teams to focus more on VFM by releasing resources from budget monitoring.		Peter Robinson	21/09/2009	01/11/2009

## Corporate Risk Management Report (mitigation)

<b>Risk: Value for money</b>					<b>Risk Code: CRR008</b>	
Failure to demonstrate improvement in value for money as a result of the lack of a consistently strong focus on value for money across the Council.						
<b>Inherent Status: High (9)</b>		<b>Inherent Risk Severity: High</b>	<b>Inherent Risk Likelihood: High</b>	<b>Date Identified: 21 Sep 2009</b>	<b>Service: Finance</b>	
<b>Mitigation records</b>						
Status	Mitigation	Info	Person	Date Identified	Last Review Date	
Behind schedule	Departmental VFM indicators included in Service Delivery Plans.		Nick Harris	21/09/2009	01/11/2009	
On schedule	Development of the Transformation programme	Transformation programme workstreams being developed, and prioritised according to impact and VFM	David Trussler	21/09/2009	01/11/2009	
On schedule	Improved co-ordination of improvement/finance transformation		Will Godfrey	21/09/2009	01/11/2009	
On schedule	MTFP sets targets for efficiency improvement.	MTFP (including efficiency targets) (2009-2012)	Will Godfrey	21/09/2009	01/11/2009	
On schedule	Performance clinics	Performance clinics and Directorate Health Checks underway	Nick Harris	21/09/2009	01/11/2009	
On schedule	SLT to identify priorities for improvement		Will Godfrey	21/09/2009	01/11/2009	
On schedule	Tactical Efficiencies programme		David Trussler	21/09/2009	01/11/2009	
<b>Current Status: Medium (4)</b>		<b>Current Risk Severity: Medium</b>	<b>Current Risk Likelihood: Medium</b>	<b>Responsible Officer: Will Godfrey, Nick Harris, Peter Robinson, David Trussler</b>		

<b>Risk: Information security</b>					<b>Risk Code: CRR027</b>	
Failure to take adequate steps to properly safeguard sensitive and confidential personal data.						
<b>Inherent Status: High (9)</b>		<b>Inherent Risk Severity: High</b>	<b>Inherent Risk Likelihood: High</b>	<b>Date Identified: 21 Sep 2009</b>	<b>Service: Information, Communications &amp; Technology</b>	
<b>Mitigation records</b>						
Status	Mitigation	Info	Person	Date Identified	Last Review Date	
Completed	Agree a data classification scheme		Paul Arrigoni	21/09/2009	01/11/2009	
Completed	Appoint Information Security Manager	Appoint on 12 month contract to revise and rollout policy and standards.	Paul Arrigoni	21/09/2009	01/11/2009	
On schedule	Carry out reviews to indentify weaknesses in data transfer / mobile devices	Reviews are currently in progress/planned across the Council	Paul Arrigoni	21/09/2009	01/11/2009	
On schedule	Incident reporting and recording system to be developed.		Dick Powell	21/09/2009	01/11/2009	
On schedule	Information Security policy and standards to be completed and rolled out.	Information Security Policy (ISP) agreed ready for endorsement by SLT. Need to sign-off and communicate to all staff.	Paul Arrigoni	21/09/2009	01/11/2009	
On schedule	Information systems classified according to new scheme.		Dick Powell	21/09/2009	01/11/2009	
On schedule	New IT structure	New IT structure to incorporate enhanced provision for information security.	Paul Arrigoni	21/09/2009	01/11/2009	
On schedule	Revise and rollout policy and standards		Paul Arrigoni	21/09/2009	01/11/2009	
Behind schedule	Security training for all staff	E-learning package in completed. Staff awareness campaign required.	Paul Arrigoni	21/09/2009	01/11/2009	
Completed	Update guidance on data transfer, encryption and use of mobile devices, data organisation		Paul Arrigoni	21/09/2009	01/11/2009	
<b>Current Status: Medium (4)</b>		<b>Current Risk Severity: Medium</b>	<b>Current Risk Likelihood: Medium</b>	<b>Responsible Officer: Paul Arrigoni, Dick Powell</b>		

## Corporate Risk Management Report (mitigation)

### Risk: Educational Attainment

Failure to achieve improvement as a result of inadequate challenge and support from the Council.

**Risk Code: CRR010**

**Inherent Status: High (9)**

**Inherent Risk Severity: High**

**Inherent Risk Likelihood: High**

**Date Identified: 21 Sep 2009**

**Service: CYPs - Enjoy & Achieve**

#### Mitigation records

Status	Mitigation	Info	Person	Date Identified	Last Review Date
Completed	Appoint independent chair of JIP		Annie Hudson	21/09/2009	01/11/2009
On schedule	Conduct Primary Review		Annie Hudson	21/09/2009	01/11/2009
On schedule	Determine schools engagement in Children's Trust		Annie Hudson	21/09/2009	01/11/2009
On schedule	Implement CYP Plan	Continuing rise in good/outstanding Ofsted inspection grades. Positive KS2 results (August 2009); and gap between Bristol and other LA's reduced.	Annie Hudson	21/09/2009	01/11/2009
On schedule	Implement Excellence for All package of work		Annie Hudson	21/09/2009	01/11/2009
Completed	Implement JAR Action Plan		Annie Hudson	21/09/2009	01/11/2009
Completed	Implement New Management structure		Annie Hudson	21/09/2009	01/11/2009
On schedule	Seek further decline in fixed term exclusion		Nick Batchelar	21/09/2009	01/11/2009
On schedule	Work in partnership with a range of agencies		Nick Batchelar	21/09/2009	01/11/2009

**Current Status: Medium (4)**

**Current Risk Severity: Medium**

**Current Risk Likelihood: Medium**

**Responsible Officer: Nick Batchelar, Claudia McConnell**

### Risk: Transport infrastructure

Failure to achieve improvements in performance (in particular, reducing congestion) and to provide infrastructure to support growth in housing numbers.

**Risk Code: CRR026**

**Inherent Status: High (9)**

**Inherent Risk Severity: High**

**Inherent Risk Likelihood: High**

**Date Identified: 21 Sep 2009**

**Service: Major Projects**

#### Mitigation records

Status	Mitigation	Info	Person	Date Identified	Last Review Date
Completed	Audit Commission assessment of 'fair/promising prospects' for transport (2007).		David Bishop	08/10/2009	01/11/2009
On schedule	Bus services improvement	Bottom half of M32 Bus Lane completed. Poor performance of local bus operator being addressed by new management. Showcase 2 Bus Corridor complete, patronage up.	David Bishop	21/09/2009	01/11/2009
Completed	Cabot Circus transport infrastructure successfully completed and working efficiently.		David Bishop	21/09/2009	01/11/2009
On schedule	Cycling City status and £11.4m grant secured.	City Cycling Project underway.	David Bishop	21/09/2009	01/11/2009
Completed	GBBN approved, RFA refresh successful. TIF/BRT/major schemes in development	Transport Capital Programme being amended to address capacity issues to deliver strategic transport scheme programme on the back of RFA success. GBBN underway.	David Bishop	21/09/2009	01/11/2009
On schedule	Highway infrastructure survey	Danger of highway infrastructure, e.g. traffic signals failing due to increasing age. Survey will identify those at greatest risk so that funding can be targeted.	David Bishop	21/09/2009	01/11/2009
On schedule	Parking improvements	Residents parking proposals endorsed by Cabinet. Resident parking pilots in design. Parking management issues being addressed.	David Bishop	21/09/2009	01/11/2009

## Corporate Risk Management Report (mitigation)

<b>Risk: Transport infrastructure</b>					<b>Risk Code: CRR026</b>	
Failure to achieve improvements in performance (in particular, reducing congestion) and to provide infrastructure to support growth in housing numbers.						
<b>Inherent Status: High (9)</b>		<b>Inherent Risk Severity: High</b>	<b>Inherent Risk Likelihood: High</b>	<b>Date Identified: 21 Sep 2009</b>	<b>Service: Major Projects</b>	
<b>Mitigation records</b>						
Status	Mitigation	Info	Person	Date Identified	Last Review Date	
Completed	Severn Beach Line Rail Services improved, patronage up.		David Bishop	21/09/2009	01/11/2009	
On schedule	Strengthened strategic scheme delivery	Strengthened strategic scheme delivery being developed through WoE, Service Director – Major Projects, and Service Director - Transport.	David Bishop	21/09/2009	01/11/2009	
On schedule	Sub-regional governance arrangements in development -joint committee and delivery vehicle.	Stronger WoE RFA position being developed with subregional colleagues, in context of RSS and growth prospects. Growth points allocations (08/09)	David Bishop	21/09/2009	01/11/2009	
Completed	Urban Traffic Control Centre	Urban Traffic Control Centre transformation completed, being managed effectively with Transport operator partners	David Bishop	21/09/2009	01/11/2009	
<b>Current Status: Medium (4)</b>		<b>Current Risk Severity: Medium</b>	<b>Current Risk Likelihood: Medium</b>	<b>Responsible Officer: Alun Owen</b>		

<b>Risk: Recruitment, retention and restructuring</b>					<b>Risk Code: CRR005</b>	
Failure to deliver services/ improvements because of difficulty in securing the right staff.						
Risk of temporary adverse impact on delivery as a result of restructuring.						
<b>Inherent Status: Medium (4)</b>		<b>Inherent Risk Severity: Medium</b>	<b>Inherent Risk Likelihood: Medium</b>	<b>Date Identified: 21 Sep 2009</b>	<b>Service: Human Resources</b>	
<b>Mitigation records</b>						
Status	Mitigation	Info	Person	Date Identified	Last Review Date	
On schedule	Corporate and departmental workforce plans	Need to strengthen workforce planning and workforce development planning in the new structure.	Robert Britton	21/09/2009	01/11/2009	
Completed	Council-wide process / timetable for 2nd/3rd tier restructuring	Need to complete 3rd tier restructuring. Process facilitates direct appointments where appropriate Rephase other HR support work to match available capacity.	Robert Britton	21/09/2009	01/11/2009	
On schedule	Monitoring of turnover/vacancies.	Vacancy management in anticipation of change programmes restricts external recruitment . New Opportunities Programme optimising redeployment.	Robert Britton	21/09/2009	01/11/2009	
Completed	Pay policy in place, including scope for market supplements.	Few current instances of serious recruitment/retention difficulties- specialist transport/planning staff the principal exception. Changes to pay ranges implemented for 2nd /3rd tier.	Robert Britton	21/09/2009	01/11/2009	
On schedule	Revised process for temporary staff in place	Corporate temporary staff project.	Robert Britton	21/09/2009	01/11/2009	
On schedule	Senior Induction	Develop/implement induction arrangements for incoming senior managers.	Robert Britton	21/09/2009	01/11/2009	
<b>Current Status: Medium (4)</b>		<b>Current Risk Severity: Medium</b>	<b>Current Risk Likelihood: Medium</b>	<b>Responsible Officer: Robert Britton</b>		

<b>Risk: Financial management</b>					<b>Risk Code: CRR011</b>	
Disruption to service plans because of failure to plan and manage budgets or implement agreed efficiency savings.						
<b>Inherent Status: High (6)</b>		<b>Inherent Risk Severity: High</b>	<b>Inherent Risk Likelihood: Medium</b>	<b>Date Identified: 21 Sep 2009</b>	<b>Service: Finance</b>	
<b>Mitigation records</b>						
Status	Mitigation	Info	Person	Date Identified	Last Review Date	
On schedule	3 year MTFP	MTFP Proposals to be developed by Cabinet and SLT.	Peter Robinson	21/09/2009	01/11/2009	



## Corporate Risk Management Report (mitigation)

**Risk: Financial management**  
Disruption to service plans because of failure to plan and manage budgets or implement agreed efficiency savings.

**Risk Code: CRR011**

**Inherent Status: High (6)**    **Inherent Risk Severity: High**    **Inherent Risk Likelihood: Medium**    **Date Identified: 21 Sep 2009**    **Service: Finance**

### Mitigation records

Status	Mitigation	Info	Person	Date Identified	Last Review Date
On schedule	Budget responsibilities defined.	Bristol Financial Manager competence standards defined, and training provided. External Auditor financial management assessment of 3 (2008).	Peter Robinson	21/09/2009	01/11/2009
On schedule	Capital programme oversight by Infrastructure and Development Board	Large shortfall in projected capital receipts ('credit crunch'), being bridged by temporary borrowing.	Peter Robinson	21/09/2009	01/11/2009
Behind schedule	Finance BPR		Peter Robinson	21/09/2009	01/11/2009
On schedule	Formal quarterly budget/capital programme monitors and monthly monitors of risk areas.	Treasury management policy reviewed, post Iceland, by Resources Scrutiny Commission.	Peter Robinson	21/09/2009	01/11/2009
Behind schedule	H&SC budget containment 09/10		Cathy Morgan	21/09/2009	01/11/2009
On schedule	Improved financial reporting (following systems review).	Budget management is being conscientiously applied. Concerns remain in respect of overly optimistic assumptions whilst budget setting. 08/09 spending was within budget. Specific current risks-H&SC	Peter Robinson	21/09/2009	01/11/2009
Completed	Internal Audit Plan in place.		Dick Powell	21/09/2009	01/11/2009
Completed	Performance and finance to be considered by cabinet in one paper	Need to increase detail and strengthen links to Service plans	Peter Robinson	21/09/2009	01/11/2009
Completed	Vision for financial management agreed, following external audit report.		Peter Robinson	21/09/2009	01/11/2009

**Current Status: Medium (4)**    **Current Risk Severity: Medium**    **Current Risk Likelihood: Medium**    **Responsible Officer: Peter Robinson**

**Risk: Political capacity**  
Risk of being unable to make progress for Bristol due to  
i, financial constraint  
ii, cross party

**Risk Code: CRR029**

**Inherent Status: High (9)**    **Inherent Risk Severity: High**    **Inherent Risk Likelihood: High**    **Date Identified: 21 Sep 2009**    **Service: Performance Improvement & Policy**

**Inherent Status: High (9)**    **Inherent Risk Severity: High**    **Inherent Risk Likelihood: High**    **Date Identified: 21 Sep 2009**    **Service: Performance Improvement & Policy**

### Mitigation records

Status	Mitigation	Info	Person	Date Identified	Last Review Date
On schedule	Bethan Evans review of the constitution		Stephen McNamara	21/09/2009	01/11/2009
Behind schedule	Financial environment	Public sector financial arrangements post a general election will impact on the administration. Cross party support for delivery difficult. Strategic choices against a challenging climate are likely to	Jan Ormondroyd	21/09/2009	01/11/2009
Completed	Party Group Leaders meetings	Facilities to ensure confidential briefings	Jan Ormondroyd	21/09/2009	01/11/2009
On schedule	Review of progress on implementing key benefits for Bristol.	Via the Party Group Leaders meeting	Stephen McNamara	21/09/2009	01/11/2009
On schedule	Scrutiny involvement in policy development/pre-decision scrutiny.		Stephen McNamara	21/09/2009	01/11/2009

**Current Status: Medium (4)**    **Current Risk Severity: Medium**    **Current Risk Likelihood: Medium**    **Responsible Officer: Stephen McNamara**

**Risk: Civil Contingencies**  
Civil Contingencies -SLT to ensure CPU are adequately resourced and financed; inadequate response to major incident resulting in impact on reputation; scrutiny by Government and the media; legal action through inquiries and subsequent financial penalties; inability to support the community or partner agencies (including business continuity)

**Risk Code: CRR013**

**Inherent Status: High (9)**    **Inherent Risk Severity: High**    **Inherent Risk Likelihood: High**    **Date Identified: 21 Sep 2009**    **Service: Performance Improvement & Policy**

**Inherent Status: High (9)**    **Inherent Risk Severity: High**    **Inherent Risk Likelihood: High**    **Date Identified: 21 Sep 2009**    **Service: Performance Improvement & Policy**

## Corporate Risk Management Report (mitigation)

**Risk: Civil Contingencies**  
Civil Contingencies -SLT to ensure CPU are adequately resourced and financed; inadequate response to major incident resulting in impact on reputation; scrutiny by Government and the media; legal action through inquiries and subsequent financial penalties; inability to support the community or partner agencies (including business continuity)

**Risk Code: CRR013**

**Inherent Status: High (9)**      **Inherent Risk Severity: High**      **Inherent Risk Likelihood: High**      **Date Identified: 21 Sep 2009**      **Service: Performance Improvement & Policy**

Mitigation records					
Status	Mitigation	Info	Person	Date Identified	Last Review Date
On schedule	2008 BC template includes incident management procedures and testing and review schedule	Progress report presented in January 2008 to the Audit Committee on latest BCP developments. Further report on BCP issues eg Communication Strategy, submitted in September 2008.	Kelvin Hattersley	21/09/2009	01/11/2009
On schedule	Active Council participation in multi-agency resilience work.		Kelvin Hattersley	21/09/2009	01/11/2009
On schedule	BC related PMDS objectives for key staff	Lack of 2nd tier contingency champions due to reorganisation has hindered embedding BC across the Council .The annual review of Critical Services will take place one organisational changes complete	Jon House	21/09/2009	01/11/2009
Behind schedule	Corporate Civil Contingencies Group (CCCG) chaired by DCX with Directorate reps at 2nd tier level.	Reorganisation means that 2nd tier champions are not in place across the Authority, potentially reducing the ability of the CCCG to act in a crisis. This should be rectified in the Autumn.	Jon House	21/09/2009	01/11/2009
Completed	Corporate Continuity exercise, Noah, held in March 09		Kelvin Hattersley	21/09/2009	01/11/2009
On schedule	Departmental plans in preparation. Testing and review schedule.	Directorate Audits undertaken by Internal Audit have been completed for CLS, NH, HSC and are underway for CD and CYPS. The Audit opinion returned have been 'needs improvement' for NH and HSC and 'sat	Kelvin Hattersley	21/09/2009	01/11/2009
On schedule	Plans in place for critical services. Corporate plan endorsed by CMT July 2008	Internal Audit have reported that satisfactory progress has been made in BC planning. However, department plans require completing, BC arrangements require consolidation and testing.	Kelvin Hattersley	21/09/2009	01/11/2009
On schedule	Procedures for embedding appropriate BC arrangements in future contracts		John Charters	21/09/2009	01/11/2009
On schedule	Programme of exercises.		Kelvin Hattersley	21/09/2009	01/11/2009
Behind schedule	Qualified and experienced Emergency Planning staff with appropriate resources to fulfil roles.	Arrangements proved satisfactory for the small incidents experienced in 2008. City Emergency Plan and specific plans in place.	Jon House	21/09/2009	01/11/2009
On schedule	Recognition of very high risks identified in LRF Risk Register eg flooding and Pandemic Flu	With resources focussed on dealing with Pandemic Flu and the anticipated impact of a second and further waves, the Council response to a separate emergency could be stretched	Kelvin Hattersley	21/09/2009	01/11/2009
On schedule	Resources for planning and testing	New Directorates to identify the resources needed to deliver planning and testing outcomes	Kelvin Hattersley	21/09/2009	01/11/2009
On schedule	Senior managers trained and on callout rota.	Call out arrangements under continuous review.	Kelvin Hattersley	21/09/2009	01/11/2009
Behind schedule	Sufficient trained staff and volunteers to fulfil emergency response, but more needed.	The CPU is currently underfunded by 1 post, reducing the ability of the team to deliver legal duties.	Kelvin Hattersley	21/09/2009	01/11/2009

**Current Status: Medium (4)**      **Current Risk Severity: Medium**      **Current Risk Likelihood: Medium**      **Responsible Officer: John Charters, Kelvin Hattersley**

**Risk: Industrial relations**  
Disruption to services or unplanned increase in costs as a result of breakdown in industrial relations.

**Risk Code: CRR014**

**Inherent Status: High (6)**      **Inherent Risk Severity: High**      **Inherent Risk Likelihood: Medium**      **Date Identified: 21 Sep 2009**      **Service: Human Resources**

Mitigation records					
Status	Mitigation	Info	Person	Date Identified	Last Review Date
Completed	'Single status' implemented.		Robert Britton	21/09/2009	01/11/2009
Completed	Clearly defined local policies and framework core policies/ procedures.		Robert Britton	21/09/2009	01/11/2009
On schedule	DJCC, EJCC consultation arrangements, and informal C Ex/TU and HR/TU meetings, including meetings o	Major service reviews/ transformation projects have the potential to cause disruption. Consultation/ engagement arrangements in place, but need to keep under review.	Robert Britton	21/09/2009	01/11/2009



## Corporate Risk Management Report (mitigation)

<b>Risk: Industrial relations</b>					<b>Risk Code: CRR014</b>	
Disruption to services or unplanned increase in costs as a result of breakdown in industrial relations.						
<b>Inherent Status: High (6)</b>		<b>Inherent Risk Severity: High</b>	<b>Inherent Risk Likelihood: Medium</b>	<b>Date Identified: 21 Sep 2009</b>	<b>Service: Human Resources</b>	
<b>Mitigation records</b>						
Status	Mitigation	Info	Person	Date Identified	Last Review Date	
Completed	HR Committee/HOPs approval and appeal mechanism.		Robert Britton	21/09/2009	01/11/2009	
Completed	National terms and conditions applied.		Robert Britton	21/09/2009	01/11/2009	
On schedule	Staff consultation /engagement of specific issues	SITA strike in May 2009. National pay award potentially in dispute. National proposals re: support staff in schools also a risk area.	Robert Britton	21/09/2009	01/11/2009	
<b>Current Status: Low (2)</b>		<b>Current Risk Severity: Medium</b>	<b>Current Risk Likelihood: Low</b>	<b>Responsible Officer: Robert Britton</b>		

<b>Risk: Health and Safety</b>					<b>Risk Code: CRR012</b>	
Reputational risk of incidents leading to prosecution						
<b>Inherent Status: High (6)</b>		<b>Inherent Risk Severity: High</b>	<b>Inherent Risk Likelihood: Medium</b>	<b>Date Identified: 21 Sep 2009</b>	<b>Service: Human Resources</b>	
<b>Mitigation records</b>						
Status	Mitigation	Info	Person	Date Identified	Last Review Date	
On schedule	CEHSCC and 2nd tier co-ordinators meet regularly, and regular meetings with the Trade Unions	Implement new Safety Board arrangements	Paul Fudgell	21/09/2009	01/11/2009	
On schedule	Corporate and Directorate policies and procedures in place. Responsibilities clarified for period o	There are no outstanding HSE notices, and an internal BCC notice (Schools to Home Transport) is on course to be signed off.	Robert Britton	28/09/2009	01/11/2009	
Behind schedule	Greater investment in ICT solutions to manage H&S information ie intranet based systems etc		Paul Fudgell	21/09/2009	01/11/2009	
On schedule	High risk areas identified and annual action plans (corporate and departmental) in place.	Directorates to complete 09/10 action plans. Stress action plan is behind schedule but in progress.	Paul Fudgell	28/09/2009	01/11/2009	
On schedule	Mandatory training of Managers .	Ensure training of new managers	Paul Fudgell	28/09/2009	01/11/2009	
On schedule	Programme of audits of risk assessments/arrangements.	After some delay, progress on new Fire Regs. satisfactory. Need to meet Brigade re: fire risk assessments	Paul Fudgell	28/09/2009	01/11/2009	
<b>Current Status: Low (2)</b>		<b>Current Risk Severity: Medium</b>	<b>Current Risk Likelihood: Low</b>	<b>Responsible Officer: Robert Britton</b>		

<b>Risk: Bristol Partnership/LAA</b>					<b>Risk Code: CRR019</b>	
Failure to achieve the benefits of partnership working, with an adverse effect on outcomes, CAA and resources.						
<b>Inherent Status: High (6)</b>		<b>Inherent Risk Severity: High</b>	<b>Inherent Risk Likelihood: Medium</b>	<b>Date Identified: 21 Sep 2009</b>	<b>Service: Bristol Partnership</b>	
<b>Mitigation records</b>						
Status	Mitigation	Info	Person	Date Identified	Last Review Date	
Completed	Bristol Partnership Performance Challenge Group	Review of effectiveness completed in June 2008, reporting to SLT quarterly and to new BP executive Board once established.	Darren Hall	21/09/2009	01/11/2009	
Completed	LAA	18 month review of LAA1 and 6 month review of LAA2 successfully completed and signed off Dec 2008	Helen Ball	21/09/2009	01/11/2009	
On schedule	New Bristol Partnership being developed, and Director appointed.	Partnership Boards chaired by partners. Partnership checklist agreed.	Darren Hall	21/09/2009	01/11/2009	

## Corporate Risk Management Report (mitigation)

**Risk: Bristol Partnership/LAA**  
Failure to achieve the benefits of partnership working, with an adverse effect on outcomes, CAA and resources.

**Risk Code: CRR019**

**Inherent Status: High (6)**    **Inherent Risk Severity: High**    **Inherent Risk Likelihood: Medium**    **Date Identified: 21 Sep 2009**    **Service: Bristol Partnership**

### Mitigation records

Status	Mitigation	Info	Person	Date Identified	Last Review Date
		Bristol Partnership risk register updated May 2009. Idea Peer Review of 1st year planned Autumn 2009.			
On schedule	Sustainable City Strategy	Interim Strategic Statement agreed by Full Council in June 2008. State of City Conference successfully held in Dec 08. BP strategy currently indraft, sign off due in Sep 09.	Darren Hall	21/09/2009	01/11/2009

**Current Status: Low (2)**    **Current Risk Severity: Medium**    **Current Risk Likelihood: Low**    **Responsible Officer: Darren Hall**

**Risk: Performance Information**  
Failure to achieve improvement because of the lack of appropriate performance information, associated with (1) unsuccessful transition from BVPIs to 198NIS, (2) unclear identification of local indicators (3) uncoordinated partnership working on targets.

**Risk Code: CRR007**

**Inherent Status: High (6)**    **Inherent Risk Severity: High**    **Inherent Risk Likelihood: Medium**    **Date Identified: 21 Sep 2009**    **Service: Performance Improvement & Policy**

### Mitigation records

Status	Mitigation	Info	Person	Date Identified	Last Review Date
Completed	Annual Performance Plan includes performance targets.	Technical transition from BVPI's to NIS achieved, with every target having a responsible officer and a responsible Executive Member. But data collection for many new indicators has not yet been proven	Nick Harris	21/09/2009	01/11/2009
Completed	Data Quality Policy in place.	Some definitions not yet available nationally.  Progress has been achieved on National Indicators, but staff performance metrics require sustained improvement.	Nick Harris	21/09/2009	01/11/2009
On schedule	Regular reporting to Leader's Review Group.		Nick Harris	21/09/2009	01/11/2009
On schedule	Scrutiny of performance information by the Performance and Improvements Team/Internal Audit	Positive report from external auditor.	Nick Harris	21/09/2009	01/11/2009
On schedule	SDPs include PIs and performance targets.		Nick Harris	21/09/2009	01/11/2009

**Current Status: Low (1)**    **Current Risk Severity: Low**    **Current Risk Likelihood: Low**    **Responsible Officer: Nick Harris**

**Risk: Neighbourhood-level planning and engagement**  
Risk of failure to achieve engagement and added value

**Risk Code: CRR030**

**Inherent Status: High (9)**    **Inherent Risk Severity: High**    **Inherent Risk Likelihood: High**    **Date Identified: 21 Sep 2009**    **Service: Equalities & Community Cohesion**

### Mitigation records

Status	Mitigation	Info	Person	Date Identified	Last Review Date
No Data available	Engagement with key service areas	Improved engagement and interface with key service areas: particularly street scene, anti-social behaviour and working with young people . Potential policy movement towards devolved decision making an	Gillian Douglas	21/09/2009	01/11/2009
No Data available	Models of neighbourhood working	Sub group of Thriving Neighbourhood Board established to look at models of neighbourhood working. Outcome to be consulted Autumn 2009.	Gillian Douglas	21/09/2009	01/11/2009
No Data available	Neighbourhood Board to be established.	Initial staff and funding activities agreed. Terms of reference, senior officer champions , and success criteria agreed. All 14 Neighbourhood Partnerships now established, with local action plans	Gillian Douglas	21/09/2009	01/11/2009
No	Relationship with Bristol	The relationship with the Bristol Partnership to be clarified as part of re-formation of Bristol Partnership, through the now established Thriving	Graham	21/09/2009	01/11/2009

## Corporate Risk Management Report (mitigation)

Risk: Neighbourhood-level planning and engagement  
Risk of failure to achieve engagement and added value

Risk Code: CRR030

**Inherent Status: High (9)**

**Inherent Risk Severity: High**

**Inherent Risk Likelihood: High**

**Date Identified: 21 Sep 2009**

**Service: Equalities & Community Cohesion**

### Mitigation records

Status	Mitigation	Info	Person	Date Identified	Last Review Date
Data available	Partnership	Neighbourhoods Board.	Sims		

**Current Status: Review Overdue (0)**

**Current Risk Severity: 0 - No Data**

**Current Risk Likelihood: 0 - No Data**

**Responsible Officer: Gillian Douglas**

Printed by: Pete Franklin

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Print Date: 29 December 2009 13:08

Risk No.	Risk Risk Owner Corporate Vision/Values/Priority
CRR033	<u>Pandemic Influenza -</u> <i>Risk Owner: J House/ K Hattersley</i>
CRR031	<u>Recession</u> <i>Risk Owner: J House</i>
CRR028	<u>Waste management</u> <i>Risk Owner: G Sims</i>
CRR016	<u>Children in need -</u> <i>Risk Owner: A Hudson/ I McDowall/</i>
CRR024	<u>Business Transformation Programme</u> <i>Risk Owner: D Trussler</i>
CRR029	<u>Political uncertainty:</u> <i>Risk Owner: J Ormondroyd</i>
CRR008	<u>Value for Money -</u> <i>Risk Owner: W Godfrey/P Robinson/ J House</i>
CRR023	<u>MAA</u> <i>Risk Owner: J Ormondroyd</i>
CRR027	<u>Information security .</u> <i>Risk Owner: D Trussler</i>
CRR010	<u>Educational Attainment</u> <i>Risk Owner: A Hudson/ N Batchelar</i>
CRR026	<u>Transport infrastructure</u> <i>Risk Owner: D Bishop</i>

Risk No.	Risk Risk Owner Corporate Vision/Values/Priority
CRR004	<u>Management and Delivery of Major Infra-structure Projects</u> <i>Risk Owner: J Ormondroyd/ A Owen</i>
CRR011	<u>Financial management</u> <i>Risk Owner: W Godfrey/P Robinson</i>
CRR007	<u>Performance Information</u> <i>Risk Owner: J House/K Eastwood</i>
CRR019	<u>BristolPartnership/LAA</u> <i>Risk Owner: J House</i>
CRR030	<u>Neighbourhood-level planning and engagement -</u> <i>Risk Owner: G Sims</i>
CRR025	<u>Adult Care</u> <i>Risk Owner: C Morgan</i>
CRR05	<u>Recruitment, retention and restructuring -</u> <i>Risk Owner: D Trussler</i>
CRR012	<u>Health and Safety -</u> <i>Risk Owner: W Godfrey</i>
CRR014	<u>Industrial relations -</u> <i>Risk Owner: W Godfrey/R Britton</i>
CRR013	<u>Civil Contingencies</u> <i>Risk Owner: J House/K Hattersley</i>
CRR035	<u>Payroll IT System</u> <i>Risk Owner: P. Arrigoni</i>