

INFORMATION REPORT TO THE AUDIT COMMITTEE

18th JUNE 2010

PURPOSE OF REPORT:

SUBMISSION OF CORPORATE RISK REGISTER (Version 32) FOR INFORMATION

REPORT AUTHOR:

DICK POWELL, CHIEF INTERNAL AUDITOR

BACKGROUND:

The Corporate Risk Register (CRR) was previously submitted to the Audit Committee on 15th January 2010 (Version 27). Since that time there have been changes to some risks, and software enhancements to the SPAR.net system used to compile the CRR have been completed. Responsibility for representing the Members as risk champion has recently been passed on to Councillor Dr. Mark Wright.

RECENT CHANGES TO THE CORPORATE RISK REGISTER :

The main content changes are summarised in the CRR document header attached. Most notably :

- there is one new risk ie *CRR 036 Delivery of LAA1 by March 2010 and LAA2 by March 2011*. Two risks have been deleted, ie *CRR019 Bristol Partnership/LAA*, and *CRR 007 Performance Information*.

Future reviews of the CRR will require to take account as appropriate of:

- outcomes from the AGS process
- objectives identified within the Sustainable Community Strategy or 20:20 Plan, (including climate change)
- the national policy/public sector financial context
- further cross referencing to the West of England risk register

SOFTWARE ENHANCEMENTS TO THE SPAR.net CRR SYSTEM

The attached current Quarter 4 version of the CRR has been produced fully using the enhanced SPAR.net software capability and is submitted for review and approval by the Audit Committee. Specifically, the software enhancements have improved the system functionality to incorporate :

- a more sophisticated register reporting style which includes risk ownership details and current status "direction of travel".
- automated reminders at quarterly intervals (eg. on 16th June e-mail reminders go out for the Quarter 1 2010/11 review to commence).
- the ability to filter risk reports by Directorate/Portfolio and/or theme.
- better clarity of the mitigations for each risk.

- greater ownership and accountability of the identified mitigations.
- a built-in automated audit trail.
- an easier way to update and view the CRR.
- system-wide linkages to Directorate (& potential for extension to Partnership) Risk Registers.

2009/10 - QUARTER 4 RISK REPORT

CORPORATE RISK REGISTER

	<i>No.</i>	<i>Day</i>	<i>Month</i>	<i>Year</i>
VERSION	32	18th	June	2010

VERSION CONTROL HISTORY

Version No.	Reviewed By:	Review Date	Version No.	Reviewed By:	Review Date
18	Informal Cabinet	11/3/09	26	Strategic Leadership Team (Revised)	22/12/09 (Quarter 2)
19	Strategic Leadership Team	26/5/09	27	Audit Committee	15/1/10 (Quarter 2)
20	Strategic Leadership Team (Revised)	26/5/09	28	Cabinet Briefing	21/1/10 (Quarter 2)
21	Audit Committee	17/7/09	29	Risk Management Group	8/4/10 (Quarter 3)
22	Strategic Leadership Team	25/8/09	30	Strategic Leadership Team	11/5/10 (Quarter 4)
23	Strategic Leadership Team (Revised)	25/8/09	31	Cabinet Briefing	27/5/10 (Quarter 4)
24	Informal Cabinet	22/10/09	32	Audit Committee	18/6/10 (Quarter 4)
25	Strategic Leadership Team	22/12/09 (Quarter 2)			

SIGNIFICANT CHANGES

Mitigations previously reported to the 15th January Audit Committee as "COMPLETE" are no longer contained in the body of this report (although remain in the SPAR.net database).

Main variations to the risk register since the previous submission (Version 27) are as follows:

Risk No.	RISK [Title, and Current (Severity/Likelihood) Status score in brackets]	Current Risk Ranking	Previous Risk Ranking	VARIATION (inclusive of additional mitigations highlighted in italics)
31	Recession (9)	1	1	No change
30	Neighbourhood-level Planning and Engagement (9)	2	23	No change
34	Health & Adult Social Care overspend (9)	3	2	No change
16	Children in Need (6)	4	3	<i>Child protection procedures regularly inspected, reviewed and updated.</i> <i>Implementing:</i> <ul style="list-style-type: none"> • <i>actions from OfSTED inspections</i> • <i>practice improvement project</i> • <i>recommendations from safeguarding review</i> • <i>revised arrangements for CRB checks</i> <i>Integrating Family Support Services programme.</i> <i>Put in place Information Sharing Protocols and 'working together' initiatives</i> <i>Put in place stringent policies & procedures for the recruitment and retention of staff.</i> <i>Training of staff to ensure that required</i>

				<i>standards are achieved and maintained.</i>
24	Transforming Bristol Portfolio (6)	5	4	<i>Define Portfolio Risk Register</i>
27	Information Security (6)	6	12	<i>Achieve PCI DSS compliance.</i>
4	Management and Delivery of Major Infra-structure Projects (6)	7	6	<i>Introduce Internal Gateway Review Revise guidance on procurement and project management</i>
23	MAA (6)	8	7	<i>Information cross-reference to the risk register being developed by the West of England Partnership. Prioritise delivery of MAA actions related to the economy.</i>
35	Payroll IT System (6)	9	8	No change
36	Delivery of LAA1 by March 2010, and LAA2 by March 2011 (6)	10	N/A	NEW RISK
28	Waste Management (4)	11	10	No change
8	Value for Money (4)	12	11	<i>Demonstration of outcomes from improvement works Departmental Finance Teams to focus more on VFM by releasing resources from budget monitoring</i>
10	Educational Attainment (4)	13	13	<i>Deliver National Challenge trust at Orchard School Bristol Develop partnership with National Education Trust</i>
26	Transport Infrastructure (4)	14	14	No change
5	Recruitment, Retention and Restructuring (4)	15	15	<i>Wording of the risk amended to include reference to budgetary restraints. People strategy</i>
25	Adult Care (4)	16	5	No change
11	Financial Management (4)	17	16	No change
29	Political capacity (4)	18	17	No change
13	Civil Emergency (4)	19	18	<i>Community risks identified and communicated Critical Services and staff identified and continuity plans in place Directorate Plans in preparation, for testing and review Emergency Plans exercised and reviewed on a regular basis</i>
33	Pandemic Flu (3)	20	9	<i>Liaison with Health partners regarding the changing risk posed by the H1N1 Swine Flu virus</i>
14	Industrial Relations (2)	21	19	<i>Information reference to the public sector pay cap.</i>
12	Health & Safety (2)	22	20	No change
7	Performance Information	N/A	22	DELETED RISK Full risk description: Failure to achieve improvement because of 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.
19	Bristol Partnership/LAA	N/A	21	DELETED RISK Full risk description: Failure to achieve the benefits of partnership working, with an adverse effect on outcomes, CAA and resources.

1. Risk Management Report - CRR only

Report for 2009-2010
 Filtered by Prefix: Include Risk Prefix: CRR
 Not Including Child Projects records, Including Mitigation records

Key to Performance Status:

Mitigation	Well behind schedule	Behind schedule	On schedule	Completed	No Data available
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Risks:	Review Overdue (0+)	High (6+)	Medium (3+)	Low (1+)
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1. Risk Management Report - CRR only

Risk: Recession Risk of failing to minimise impact on Bristol as a City, and risk of specific implications for the Council. **Risk Code: CRR031**

Inherent Status: High (9) **Inherent Risk Severity: High** **Inherent Risk Likelihood: High**

Date Identified: 01 Apr 2009 **Service: Performance & Improvement**

Mitigation records					
Status	Mitigation	Info	Person	Date Identified	Last Review Date
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	01/04/2009	31/03/2010
On schedule	Focussed support on 16-24 age group into ETE	BCC apprenticeship scheme and Future Jobs Fund programme in place for targeted 16-24 year olds.	Jane Taylor	01/04/2009	31/03/2010
Completed	Monitoring performance in the benefits service		Nick Harris	01/04/2009	31/03/2010
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	01/04/2009	31/03/2010

1. Risk Management Report - CRR only

Risk: Recession Risk of failing to minimise impact on Bristol as a City, and risk of specific implications for the Council.					Risk Code: CRR031	
Inherent Status: High (9)		Inherent Risk Severity: High		Inherent Risk Likelihood: High		
Date Identified: 01 Apr 2009				Service: Performance & Improvement		
Mitigation records						
Status	Mitigation	Info		Person	Date Identified	Last Review Date
On schedule	Working with partnerships - West of England local authorities/MAA partners			Marvin Rees	01/04/2009	31/03/2010
Current Status: High (9)		Previous Status: High (9)		Current Risk Severity: High		Current Risk Likelihood: High
Risk Champion: Christine Castle				Risk Owner: Jon House		
Review Note:						

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: 01 Apr 2009				Service: Equalities & Community Cohesion		
Mitigation records						
Status	Mitigation	Info		Person	Date Identified	Last Review Date
Completed	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	01/04/2009	31/03/2010
Completed	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	01/04/2009	31/03/2010
On schedule	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	01/04/2009	31/03/2010
Completed	Relationship with Bristol Partnership	The relationship with the Bristol Partnership to be clarified as part of re-formation of Bristol Partnership, through the now established Thriving Neighbourhoods Board.		Graham Sims	01/04/2009	31/03/2010
Current Status: High (9)		Previous Status: Medium (4)		Current Risk Severity: High		Current Risk Likelihood: High
Risk Champion: Simon Bowker				Risk Owner: Di Robinson		
Review Note:						

1. Risk Management Report - CRR only

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: 01 Apr 2009 **Service: Adult Services**

Mitigation records

Status	Mitigation	Info	Person	Date Identified	Last Review Date
Completed	Action plan prepared by HASC DLT with Cabinet endorsement	Overspend of £3.5m for 09/10. New Action Plan in place to deliver 10/11 savings.	Cathy Morgan	01/04/2009	01/04/2010
On schedule	Additional resources examining demand model	Demand model not yet complete so additional growth may not be covered	Cathy Morgan	01/04/2009	01/04/2010
On schedule	Regular monthly monitoring		Peter Robinson	01/04/2009	01/04/2010

Current Status: High (9) **Previous Status: High (9)** **Current Risk Severity: High** **Current Risk Likelihood: High**

Risk Champion: Denise Hunt **Risk Owner: Cathy Morgan**

Review Note:

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: 01 Apr 2009 **Service: Safeguarding & Specialist Services**

Mitigation records

Status	Mitigation	Info	Person	Date Identified	Last Review Date
On schedule	Child protection procedures regularly inspected, reviewed and updated	Procedures inspected & reviewed both internally and by external inspectors - positive unannounced OfSTED inspection	Ian McDowall	01/10/2009	01/04/2010
On schedule	Co-ordinated local action plan	To address Laming 2 recommendations and Government response - in place	Ian McDowall	01/04/2009	01/04/2010
On schedule	CRB checks for relevant staff		Ian McDowall	22/01/2010	01/04/2010
On schedule	Implement actions from OfSTED inspections	Actions included in OfSTED Business Plan	Ian McDowall	22/01/2010	01/04/2010

1. Risk Management Report - CRR only

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: 01 Apr 2009			Service: Safeguarding & Specialist Services		
Mitigation records					
Status	Mitigation	Info	Person	Date Identified	Last Review Date
On schedule	Implement practice improvement project		Ian McDowall	22/01/2010	01/04/2010
On schedule	Implement recommendations from safeguarding review	Incorporated in BSCB Buisness Plan	Ian McDowall	22/01/2010	01/04/2010
On schedule	Implement revised arrangements for CRB checks	This applies to Social Workers & other relevant staff; in light of the actions arising from the inquiries into the Soham murders.	Ian McDowall	22/01/2010	01/04/2010
On schedule	Integrate Family Support Services programme	Services include adoption, fostering etc..All brought together into one service	Annie Hudson	22/01/2010	01/04/2010
On schedule	Put in place Information Sharing Protocols and 'working together' initiatives		Ian McDowall	22/01/2010	01/04/2010
On schedule	Put in place stringent policies & procedures for the recruitment and retention of staff	Ensure safeguarding protocols are adhered to to attract high qulaity child protection staff	Ian McDowall	22/01/2010	01/04/2010
Completed	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- completed.	Ian McDowall	01/04/2009	01/04/2010
On schedule	Staff trained and supervised		Annie Hudson	01/04/2009	01/04/2010
On schedule	Train staff to ensure that required standards are achieved & maintained	The training will include inter-agency child protection issues	Ian McDowall	01/10/2009	01/04/2010
Current Status: High (6)		Previous Status: High (6)	Current Risk Severity: High	Current Risk Likelihood: Medium	
Risk Champion: Craig Bolt			Risk Owner: Annie Hudson		
Review Note:					

1. Risk Management Report - CRR only

Risk: Transforming Bristol Portfolio 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: 01 Apr 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	01/04/2009	01/04/2010
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	01/04/2009	01/04/2010
On schedule	Corporate Co-ordination is through portfolio delivery team		David Trussler	01/04/2009	01/04/2010
On schedule	Define Portfolio Risk Register	Risks associated with the delivery of the Transforming Bristol Portfolio as a whole are identified in a Portfolio Risk Register, reported directly to SLT (Portfolio & Commissioning Board)	David Trussler	22/01/2010	01/04/2010
Behind schedule	Portfolio Risk Register -- Benefits Realisation	Critical that the benefits from programmes are captured. Where appropriate, benefits should be transferred to the Transformation Reserve to repay borrowing and/or to fund future programmes.	Chris Tatner	01/01/2010	01/04/2010
On schedule	Programme-level risks	Risks to the delivery of individual change programmes are contained and mitigated through dedicated programme risk registers.	Chris Tatner	01/04/2009	01/04/2010

Current Status: High (6) **Previous Status: High (6)** **Current Risk Severity: High** **Current Risk Likelihood: Medium**

Risk Champion: Rob Logan **Risk Owner: David Trussler**

Review Note:

Risk: Information security Failure to take adequate steps to properly safeguard sensitive and confidential personal data. **Risk Code: CRR027**

Inherent Status: High (9) **Inherent Risk Severity: High** **Inherent Risk Likelihood: High**

Date Identified: 01 Apr 2009 **Service: Information, Communications & Technology**

1. Risk Management Report - CRR only

Risk: Information security Failure to take adequate steps to properly safeguard sensitive and confidential personal data. **Risk Code: CRR027**

Inherent Status: High (9) **Inherent Risk Severity: High** **Inherent Risk Likelihood: High**
Date Identified: 01 Apr 2009 **Service: Information, Communications & Technology**

Mitigation records

Status	Mitigation	Info	Person	Date Identified	Last Review Date
Behind schedule	Achieve PCI DSS compliance.	Process and technical work to meet external standards for Payment Card data security.	Russ Darling	29/03/2010	29/03/2010
On schedule	Carry out reviews to identify weaknesses in data transfer / mobile devices	Reviews are currently in progress/planned across the Council	Dick Powell	01/04/2009	29/03/2010
Completed	Incident reporting and recording system to be developed.	System and procedures now in operation	Rob Scott	01/04/2009	29/03/2010
Completed	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.	Rob Scott	01/04/2009	29/03/2010
On schedule	Information systems classified according to new scheme.		Rob Scott	01/04/2009	29/03/2010
On schedule	New IT structure	New IT structure to incorporate enhanced provision for information security.	Paul Arrigoni	01/04/2009	29/03/2010
On schedule	Revise and rollout policy and standards	Review and update Security Policy and standards by Mar 2011.	Rob Scott	01/04/2009	29/03/2010
Behind schedule	Security training for all staff	E-learning package written, delivery system due for implementation.	Rob Scott	01/04/2009	29/03/2010

Current Status: High (6) **Previous Status: High (6)** **Current Risk Severity: High** **Current Risk Likelihood: Medium**

Risk Champion: Rob Logan **Risk Owner: Rob Scott, David Trussler**

Review Note:

Risk: Management and Delivery of Major Infra-structure Projects Risk of increased costs and delay as a result of weaknesses in project planning and management. **Risk Code: CRR004**

Inherent Status: High (9) **Inherent Risk Severity: High** **Inherent Risk Likelihood: High**
Date Identified: 01 Apr 2009 **Service: Major Projects**

1. Risk Management Report - CRR only

Risk: Management and Delivery of Major Infra-structure Projects Risk of increased costs and delay as a result of weaknesses in project planning and management.					Risk Code: CRR004
Inherent Status: High (9)		Inherent Risk Severity: High	Inherent Risk Likelihood: High		
Date Identified: 01 Apr 2009			Service: Major Projects		
Mitigation records					
Status	Mitigation	Info	Person	Date Identified	Last Review Date
On schedule	Infrastructure and Development Board monitors progress of major projects	Improved arrangements for reporting. Quarterly reports on overall capital planning now in place.	Alun Owen	01/04/2009	01/04/2010
Completed	Introduce Internal Gateway Review	Now in place	Alun Owen	01/01/2010	01/04/2010
On schedule	Leader's Briefing Group receives progress reports.		Alun Owen	01/04/2009	01/04/2010
On schedule	Revise guidance on procurement and project management	Follow the Redland Green external audit report.	Alun Owen	01/01/2010	01/04/2010
Current Status: High (6)		Previous Status: High (6)	Current Risk Severity: High	Current Risk Likelihood: Medium	
Risk Champion: Mike Harding			Risk Owner: David Bishop		
Review Note:					

Risk: MAA Failure to achieve sub-regional goals, because of political changes, unrealistic targets or inadequate delivery mechanisms.					Risk Code: CRR023
Inherent Status: High (6)		Inherent Risk Severity: High	Inherent Risk Likelihood: Medium		
Date Identified: 01 Apr 2009			Service: Performance & Improvement		
Mitigation records					
Status	Mitigation	Info	Person	Date Identified	Last Review Date
Completed	Important sub-regional work being undertaken by officers	High level group comprising local authority and partners' CEOs established to monitor MAA delivery and address particular blockages as they arise.	Jan Ormondroyd	01/04/2009	31/03/2010
On schedule	Prioritise delivery of MAA actions related to the economy.	Employer-led Skills & Competitiveness Board established to deliver competitiveness elements of the MAA and develop a skills strategy for the sub region.	Jan Ormondroyd	01/01/2010	31/03/2010
Completed	Recruitment of lead BCC	The Head of Executive Office has been assigned the external agenda.	Jan	01/04/2009	31/03/2010

1. Risk Management Report - CRR only

Risk: MAA Failure to achieve sub-regional goals, because of political changes, unrealistic targets or inadequate delivery mechanisms. **Risk Code: CRR023**

Inherent Status: High (6) **Inherent Risk Severity: High** **Inherent Risk Likelihood: Medium**

Date Identified: 01 Apr 2009 **Service: Performance & Improvement**

Mitigation records

Status	Mitigation	Info	Person	Date Identified	Last Review Date
	officer for MAA		Ormondroyd		
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. A risk register is being developed by the West of England Partnership.	Jan Ormondroyd	01/04/2009	31/03/2010

Current Status: High (6) **Previous Status: Medium (4)** **Current Risk Severity: High** **Current Risk Likelihood: Medium**

Risk Champion: Christine Castle **Risk Owner: Jan Ormondroyd**

Review Note:

Risk: Payroll IT System 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. **Risk Code: CRR035**

Inherent Status: High (6) **Inherent Risk Severity: High** **Inherent Risk Likelihood: Medium**

Date Identified: 31 Dec 2009 **Service: Shared Transactional Services**

Mitigation records

Status	Mitigation	Info	Person	Date Identified	Last Review Date
Completed	Consider bureau payroll service (as contingency)	Initial investigations into the cost and feasibility of using a bureau service have been progressed, but will not be taken further at this stage but held as a contingency.	Jill Mikkelson	01/10/2009	30/03/2010
Completed	Consider ESCROW agreement (as contingency)	We will not be lodging the software under an ESCROW agreement as we now have a commitment for ongoing support with the supplier	Paul Arrigoni	01/10/2009	30/03/2010
On	ERP Business Case	The procurement of an ERP solution has been approved by cabinet members.	Paul	01/10/2009	30/03/2010

1. Risk Management Report - CRR only

Risk: Payroll IT System 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.

Risk Code: CRR035

Inherent Status: High (6)		Inherent Risk Severity: High		Inherent Risk Likelihood: Medium	
Date Identified: 31 Dec 2009				Service: Shared Transactional Services	
Mitigation records					
Status	Mitigation	Info	Person	Date Identified	Last Review Date
schedule		plans are to procure by October 2010 and implement by December 2012.	Arrigoni		
On schedule	Obtain options and costs from the present supplier to extend the support for the current system	Support options have been received from the supplier and agreement has been reached to extend the support arrangements until the end of 2012 (it was due to expire in 2011) This will give us a 12 month contingency while ERP is implemented, ensuring we have cover for changes to payroll for 2012/13.	Paul Arrigoni	01/10/2009	30/03/2010
Current Status: High (6)		Previous Status: High (6)		Current Risk Severity: High	
Risk Champion: Rob Logan			Risk Owner: Paul Arrigoni		
Review Note:					

Risk: Delivery of LAA1 by March 2010, and LAA2 by March 2011 Delivery of LAA1 by March 2010, and LAA2 by March 2011, to maximise delivery of targets achieved

Risk Code: CRR036

Inherent Status: High (9)		Inherent Risk Severity: High		Inherent Risk Likelihood: High	
Date Identified: 14 Jan 2010				Service: Bristol Partnership	
Mitigation records					
Status	Mitigation	Info	Person	Date Identified	Last Review Date
On schedule	Partnership-level performance management	LAA self assessment completed successfully in December 2009 and accepted by GOSW. Performance Challenge Group (PCG) reviews performance on a quarterly basis, and escalates areas of concern to BP Governance Group for action.	Helen Ball	01/04/2009	01/04/2010
Current Status: High (6)		Previous Status: High (6)		Current Risk Severity: High	
Risk Champion: Christine Castle			Risk Owner: Helen Ball		
Review Note:					

1. Risk Management Report - CRR only

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: 01 Apr 2009					Service: Environmental and Leisure Services	
Mitigation records						
Status	Mitigation	Info	Person	Date Identified	Last Review Date	
Behind schedule	Implement permanent project team at West of England Partnership	No longer the case since Phase 3 withdrawn	Pam Jones	01/04/2009	01/04/2010	
On schedule	Revise Bristol collection/recycling arrangements	Numerous initiatives delivered and progressing to reduce use of landfill	Pam Jones	01/04/2009	01/04/2010	
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	01/04/2009	01/04/2010	
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	01/04/2009	01/04/2010	
On schedule	Waste reduction and recycling measures continue to be developed	Good recycling performance, plans for further improvement in development, and implementation.	Pam Jones	01/04/2009	01/04/2010	
Current Status: Medium (4)		Previous Status: Medium (4)		Current Risk Severity: Medium		Current Risk Likelihood: Medium
Risk Champion: Simon Bowker				Risk Owner: Graham Sims		
Review Note:						

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: 01 Apr 2009					Service: Finance	
Mitigation records						
Status	Mitigation	Info	Person	Date Identified	Last Review Date	
On schedule	A new VFM strategy has been agreed which sets out how we will judge vfm & highlights priority areas.		Will Godfrey	01/04/2009	01/04/2010	
On	Demonstration of outcomes from	On schedule and ongoing, through Performance Clinics and	Nick Harris	22/01/2010	01/04/2010	

1. Risk Management Report - CRR only

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: 01 Apr 2009 **Service: Finance**

Mitigation records

Status	Mitigation	Info	Person	Date Identified	Last Review Date
schedule	improvement work	Health Checks.			
On schedule	Departmental Finance Teams to focus more on VFM by releasing resources from budget monitoring.	More resources identified; benchmarking undertaken.	Peter Robinson	22/01/2010	01/04/2010
Behind schedule	Departmental VFM indicators included in Service Delivery Plans.	Department VFM Economy and Effectiveness indicators to be in place by end of Q1 10/11 (June 2010). VFM Efficiency measures by end of March 2011.	Nick Harris	01/04/2009	01/04/2010
On schedule	Development of the Transformation programme	Transformation programme workstreams being developed, and prioritised according to impact and VFM	David Trussler	01/04/2009	01/04/2010
Completed	MTFP sets targets for efficiency improvement.	MTFP (including efficiency targets) has now been agreed	Will Godfrey	01/04/2009	01/04/2010
On schedule	Performance clinics	Performance clinics and Directorate Health Checks are underway, on schedule and ongoing.	Nick Harris	01/04/2009	01/04/2010
Completed	SLT to identify priorities for improvement	The VFM strategy agreed by SLT includes clear priorities for action	Will Godfrey	01/04/2009	01/04/2010
Completed	Tactical Efficiencies programme		David Trussler	01/04/2009	01/04/2010

Current Status: Medium (4) **Previous Status: Medium (4)** **Current Risk Severity: Medium** **Current Risk Likelihood: Medium**

Risk Champion: Christine Castle **Risk Owner: Will Godfrey**

Review Note:

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: 01 Apr 2009 **Service: Learning, Achievement & Schools**

1. Risk Management Report - CRR only

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: 01 Apr 2009 **Service: Learning, Achievement & Schools**

Mitigation records

Status	Mitigation	Info	Person	Date Identified	Last Review Date
On schedule	Conduct Primary Review		Annie Hudson	22/01/2010	01/04/2010
Completed	Deliver National Challenge Trust at Orchard School Bristol		Nick Batchelar	01/10/2009	01/04/2010
On schedule	Determine schools engagement in Children's Trust		Annie Hudson	22/01/2010	01/04/2010
On schedule	Develop partnership with National Education Trust	To drive Primary educational improvement	Nick Batchelar	01/10/2009	01/04/2010
On schedule	Implement CYP Plan	World Class Primary Plan submitted to DCSF January 2010	Annie Hudson	01/04/2009	01/04/2010
On schedule	Implement Excellence for All package of work		Annie Hudson	01/04/2009	01/04/2010
On schedule	Implement National Challenge Plan	For selected secondary schools in Bristol	Nick Batchelar	01/10/2009	01/04/2010
On schedule	Seek further decline in fixed term exclusion	Continuing reduction to end of Term 3 2010	Nick Batchelar	01/04/2009	01/04/2010
On schedule	Work in partnership with a range of agencies		Nick Batchelar	01/04/2009	01/04/2010

Current Status: Medium (4) **Previous Status: Medium (4)** **Current Risk Severity: Medium** **Current Risk Likelihood: Medium**

Risk Champion: Craig Bolt **Risk Owner: Annie Hudson**

Review Note:

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: 01 Apr 2009 **Service: Major Projects**

1. Risk Management Report - CRR only

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: 01 Apr 2009 **Service: Major Projects**

Mitigation records

Status	Mitigation	Info	Person	Date Identified	Last Review Date
Completed	Adopt new process for community engagement. To ensure buy-in, enabling successful delivery.	Implementation of effective on-line customer engagement mechanisms currently underway. Residents parking pilots imminent.	David Bishop	01/01/2010	01/04/2010
On schedule	Appoint Cycling City Project Manager and establish Team	Cycling City projects underway	David Bishop	01/04/2009	01/04/2010
Completed	Appoint Major Projects Director and establish Project Team.		David Bishop	01/04/2009	01/04/2010
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	01/04/2009	01/04/2010
On schedule	Cycling City status and £11.4m grant secured.	City Cycling Project underway.	David Bishop	01/04/2009	01/04/2010
On schedule	Deliver strategic transport schemes according to programme.	Greater Bristol Bus Network (GBBN) and Bristol Rapid Transport (BRT) projects on programme. Transport & Works Order imminent. BRT3 Hengrove to North Fringe on programme for bid submission - Spring 20	David Bishop	01/04/2009	01/04/2010
On schedule	Establish Joint Transport Committee to strengthen local governance	Working effectively albeit decision not to undertake Integrated Transport Authority (ITA) review disappointing.	David Bishop	01/04/2009	01/04/2010
Completed	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	01/04/2009	01/04/2010
On schedule	Parking improvements	Residents parking proposals endorsed by Cabinet. Resident parking pilots in design. Parking management issues being addressed.	David Bishop	01/04/2009	01/04/2010

1. Risk Management Report - CRR only

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: 01 Apr 2009					Service: Major Projects		
Mitigation records							
Status	Mitigation	Info			Person	Date Identified	Last Review Date
On schedule	Secure West of England transport funds at regional funding allocation (RFA) stage.	RFA refresh scheme protection secured, but imminent budget cut/re-prioritisation in a major risk.			David Bishop	01/04/2009	01/04/2010
Current Status: Medium (4)		Previous Status: Medium (4)		Current Risk Severity: Medium		Current Risk Likelihood: Medium	
Risk Champion: Mike Harding				Risk Owner: David Bishop			
Review Note:							

Risk: Recruitment, retention and restructuring 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 and budgetary constraints.					Risk Code: CRR005		
Inherent Status: Medium (4)			Inherent Risk Severity: Medium		Inherent Risk Likelihood: Medium		
Date Identified: 01 Apr 2009					Service: Human Resources		
Mitigation records							
Status	Mitigation	Info			Person	Date Identified	Last Review Date
On schedule	Monitoring of turnover/vacancies.	Maintaining Vacancy Management Process aimed at reducing the size of the workforce. New Opportunities Programme optimising redeployment.			Robert Britton	01/04/2009	01/04/2010
On schedule	New regulations regarding Agency Employees	Planned reduction from 500 Agency workers			Robert Britton	01/04/2009	01/04/2010
On schedule	People Strategy	Need to implement 1st phase of 2010/15 People Strategy			Mark Williams	23/01/2010	01/04/2010
Completed	Senior Induction	Develop/implement induction arrangements for incoming senior managers.			Robert Britton	01/04/2009	01/04/2010
Current Status: Medium (4)		Previous Status: Medium (4)		Current Risk Severity: Medium		Current Risk Likelihood: Medium	
Risk Champion: Christine Castle				Risk Owner: Robert Britton			
Review Note:							

1. Risk Management Report - CRR only

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: 01 Apr 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	01/04/2009	31/03/2010
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	01/04/2009	31/03/2010
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	01/04/2009	31/03/2010
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	01/04/2009	31/03/2010
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	01/04/2009	31/03/2010
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	01/04/2009	31/03/2010
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	01/04/2009	31/03/2010
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	01/04/2009	31/03/2010

Current Status: Medium (4) **Previous Status: Review Overdue** **Current Risk Severity: Medium** **Current Risk Likelihood: Medium**

Risk Champion: Denise Hunt **Risk Owner: Cathy Morgan**

1. Risk Management Report - CRR only

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: 01 Apr 2009		Service: Adult Services	
Review Note:			

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: 01 Apr 2009		Service: Finance	

Mitigation records					
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	01/04/2009	01/04/2010
Completed	Budget responsibilities defined.	Bristol Financial Manager competence standards defined, and training provided. External Auditor financial management assessment of 3 (2008).	Peter Robinson	01/04/2009	01/04/2010
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	01/04/2009	01/04/2010
Completed	Finance BPR		Peter Robinson	01/04/2009	01/04/2010
On schedule	Formal quarterly budget/capital programme monitors and monthly monitors of risk areas.		Peter Robinson	01/04/2009	01/04/2010
Behind schedule	H&SC budget containment 09/10		Cathy Morgan	01/04/2009	01/04/2010
On schedule	Improved financial reporting	Budget management is being conscientiously applied. Concerns remain in respect of overly optimistic assumptions whilst budget setting.	Peter Robinson	01/04/2009	01/04/2010
Current Status: Medium (4)		Previous Status: Medium (4)	Current Risk Severity: Medium	Current Risk Likelihood: Medium	
Risk Champion: Christine Castle			Risk Owner: Will Godfrey		
Review Note:					

1. Risk Management Report - CRR only

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: 01 Apr 2009			Service: Performance & Improvement			
Mitigation records						
Status	Mitigation	Info	Person	Date Identified	Last Review Date	
Completed	Bethan Evans review of the constituton		Stephen McNamara	01/04/2009	01/04/2010	
On 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.	Jan Ormondroyd	01/04/2009	01/04/2010	
On schedule	Review of progress on implementing key benefits for Bristol.	Via the Party Group Leaders meeting	Stephen McNamara	01/04/2009	01/04/2010	
On schedule	Scrutiny involvement in policy development/pre-decision scrutiny.		Stephen McNamara	01/04/2009	01/04/2010	
Current Status: Medium (4)		Previous Status: Medium (4)		Current Risk Severity: Medium		Current Risk Likelihood: Medium
Risk Champion: Christine Castle			Risk Owner: Jan Ormondroyd			
Review Note:						

Risk: Civil Emergency Inadequate response to a major incident or emergency resulting in avoidable injury or loss of life, disruption to critical service delivery, reputational damage, financial loss and protracted recovery.					Risk Code: CRR013	
Inherent Status: High (9)			Inherent Risk Severity: High		Inherent Risk Likelihood: High	
Date Identified: 01 Apr 2009			Service: Performance & Improvement			
Mitigation records						
Status	Mitigation	Info	Person	Date Identified	Last Review Date	
Completed	2008 BC template includes incident management procedures and testing and review schedule	2009 Critical Service BC Plan review complete. Progress report presented in September 2009 to the Audit Committee. 2010 review of Critical Service plans scheduled for April / May 2010	Kelvin Hattersley	01/04/2009	01/04/2010	

1. Risk Management Report - CRR only

Risk: Civil Emergency Inadequate response to a major incident or emergency resulting in avoidable injury or loss of life, disruption to critical service delivery, reputational damage, financial loss and protracted recovery. **Risk Code: CRR013**

Inherent Status: High (9) **Inherent Risk Severity: High** **Inherent Risk Likelihood: High**

Date Identified: 01 Apr 2009 **Service: Performance & Improvement**

Mitigation records

Status	Mitigation	Info	Person	Date Identified	Last Review Date
Completed	Active participation in the Local Resilience Forum	BCC leading or involved in Crowded Places, CBRN, Fuel Shortage, Warning and Informing, COMAH, Mass Fatalities and Communications LRF Planning Groups	Kelvin Hattersley	01/04/2009	01/04/2010
Behind 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	01/04/2009	01/04/2010
On schedule	Community risks identified and communicated	Local Resilience Forum (LRF) Community Risk Register regularly reviewed; Bristol focussed Risk Register under development by CPU;	Jon House	23/01/2010	01/04/2010
On schedule	Critical Services and staff identified for each Directorate and continuity plans in place	Critical Service list to be reviewed before April 2010; 'Continuity Cycle' calendar to be published on the Source by April 2010; Reviewed templates for BC plans to be published on the Source by May	Kelvin Hattersley	23/01/2010	01/04/2010
Completed	Directorate Plans in preparation. Testing and review schedule.	Directorate Plans still require completing for new post-Transformation Directorates.	Kelvin Hattersley	23/01/2010	01/04/2010
On schedule	Emergency Plans exercised and reviewed on a regular basis	Exercise and Review schedule under production at both BCC and LRF levels, tying in where possible to national exercises.	Jon House	23/01/2010	01/04/2010
Completed	Procedures for embedding appropriate BC arrangements in future contracts		John Charters	01/04/2009	01/04/2010
Completed	Procedures for embedding appropriate BC arrangements in future contracts	Corporate Procurement aims to ensure all contractors understand BCC responsibilities relating to civil emergencies, and provide appropriate support	John Charters	01/04/2009	01/04/2010
Completed	Resources for planning and testing	New Directorates to identify the resources needed to deliver planning and testing outcomes	Kelvin Hattersley	01/04/2009	01/04/2010
Behind	Second Tier Contingency Champions	Re-organisation has hindered the identification of Champions.	Kelvin	01/04/2009	01/04/2010

1. Risk Management Report - CRR only

Risk: Civil Emergency Inadequate response to a major incident or emergency resulting in avoidable injury or loss of life, disruption to critical service delivery, reputational damage, financial loss and protracted recovery. **Risk Code: CRR013**

Inherent Status: High (9) **Inherent Risk Severity: High** **Inherent Risk Likelihood: High**
Date Identified: 01 Apr 2009 **Service: Performance & Improvement**

Mitigation records					
Status	Mitigation	Info	Person	Date Identified	Last Review Date
schedule	identified for each Directorate		Hattersley		
On schedule	Senior managers trained and on a 24/7 call-out rota	'Silver Command' training held for senior managers; Further opportunities to train with multi-agency partners will be offered to managers as they arise; Officers attending live incidents as required	Kelvin Hattersley	01/04/2009	01/04/2010
Behind schedule	Sufficient trained staff and volunteers	The CPU is currently underfunded by 1 post; Training schedule for volunteers being developed; Regular training held for key emergency roles.	Kelvin Hattersley	01/04/2009	01/04/2010

Current Status: Medium (4) **Previous Status: Medium (4)** **Current Risk Severity: Medium** **Current Risk Likelihood: Medium**

Risk Champion: Christine Castle **Risk Owner: Jon House**

Review Note:

Risk: Pandemic Flu World Health Organisation (WHO) declared a pandemic on 11 June 2009 and the H1N1 virus transmitted rapidly through the UK between June and October. As of 1 Feb 2010, the WHO maintain that the Pandemic is ongoing, although new infections in the UK have dropped off significantly since October. There is still uncertainty about how the virus will behave over the coming months and years. The risk of a further new strain of the flu virus remains, but currently the WHO are not warning of a new strain. Should a pandemic take hold, it could lead to mass illness and death, undermining the ability of the Council and the wider community to operate normally. **Risk Code: CRR033**

Inherent Status: High (9) **Inherent Risk Severity: High** **Inherent Risk Likelihood: High**
Date Identified: 01 Apr 2009 **Service: Performance & Improvement**

Mitigation records					
Status	Mitigation	Info	Person	Date Identified	Last Review Date
Completed	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	01/04/2009	29/03/2010
On schedule	Excess mortality plan	LA Excess mortality arrangements are being coordinated by the LRF Enhanced Port Health surveillance capability.	Kelvin Hattersley	01/04/2009	29/03/2010

1. Risk Management Report - CRR only

Risk: Pandemic Flu World Health Organisation (WHO) declared a pandemic on 11 June 2009 and the H1N1 virus transmitted rapidly through the UK between June and October. As of 1 Feb 2010, the WHO maintain that the Pandemic is ongoing, although new infections in the UK have dropped off significantly since October. There is still uncertainty about how the virus will behave over the coming months and years. The risk of a further new strain of the flu virus remains, but currently the WHO are not warning of a new strain. Should a pandemic take hold, it could lead to mass illness and death, undermining the ability of the Council and the wider community to operate normally.

Risk Code: CRR033

Inherent Status: High (9)

Inherent Risk Severity: High

Inherent Risk Likelihood: High

Date Identified: 01 Apr 2009

Service: Performance & Improvement

Mitigation records

Status	Mitigation	Info	Person	Date Identified	Last Review Date
Completed	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	01/04/2009	29/03/2010
Completed	Hygiene facilities available at all shared work and training areas		Kelvin Hattersley	01/04/2009	29/03/2010
On schedule	Liaison with Health partners regarding the changing risk posed by the H1N1 Swine Flu virus	Strategic level liaison through the Director of Public Health	Hugh Annett	01/01/2010	29/03/2010
Completed	Port Health Authorities working closely with the Health Protection Agency (HPA)		Kelvin Hattersley	01/04/2009	29/03/2010
On schedule	Vaccination	Staff in 'high risk' groups have been encouraged to have the vaccine; a joint programme with the PCT to vaccinate frontline Health and Social Care staff completed 29/1/10; CYPS to support the vaccina	Hugh Annett	01/04/2009	29/03/2010

Current Status: Medium (3)

Previous Status: Medium (3)

Current Risk Severity: High

Current Risk Likelihood: Low

Risk Champion: Christine Castle

Risk Owner: Jon House

Review Note:

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: 01 Apr 2009

Service: Human Resources

1. Risk Management Report - CRR only

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: 01 Apr 2009				Service: Human Resources		
Mitigation records						
Status	Mitigation	Info	Person	Date Identified	Last Review Date	
On schedule	DJCC, JERB consultation arrangements, and informal C Ex/TU and HR/TU meetings	New integrated employee relations framework.	Mark Williams	01/04/2009	01/04/2010	
On schedule	National terms and conditions applied.	Implementation date of the new national agreement is delayed, pending government approval of the implementation date of the new national negotiating body for school support staff. The new national agreement for school support staff may increase staffing costs.	Mark Williams	01/04/2009	01/04/2010	
On schedule	Participation in NJC pay settlement	The 2010 pre budget report indicated a 1% public sector pay cap. BCC is setting a 0% pay increase.	Robert Britton	01/01/2010	01/04/2010	
On schedule	Use External Counsel in relation to Employment tribunal defence	Prevention of equal pay claims	Robert Britton	23/01/2010	01/04/2010	
Current Status: Low (2)		Previous Status: Low (2)		Current Risk Severity: Medium		Current Risk Likelihood: Low
Risk Champion: Christine Castle			Risk Owner: Will Godfrey			
Review Note:						

Risk: Health and Safety Reputational risk of incidents leading to prosecution					Risk Code: CRR012	
Inherent Status: High (6)		Inherent Risk Severity: High		Inherent Risk Likelihood: Medium		
Date Identified: 01 Apr 2009				Service: Human Resources		
Mitigation records						
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	Work is now in progress to drafting out the detailed terms of reference for the Safety Board, and to achieve synergy with the authority's other safety management and consultation systems.	Paul Fudgell	01/04/2009	01/04/2010	
On schedule	Corporate and Directorate policies and procedures in place. Responsibilities clarified for period o	There are no internal or external health and safety notices within the Authority. The authority's Health and Safety policy framework is being adapted to reflect organisational change.	Paul Fudgell	01/04/2009	01/04/2010	

1. Risk Management Report - CRR only

Risk: Health and Safety Reputational risk of incidents leading to prosecution					Risk Code: CRR012	
Inherent Status: High (6)			Inherent Risk Severity: High		Inherent Risk Likelihood: Medium	
Date Identified: 01 Apr 2009					Service: Human Resources	
Mitigation records						
Status	Mitigation	Info	Person	Date Identified	Last Review Date	
On schedule	Greater investment in ICT solutions to manage H&S information ie intranet based systems etc	Individual work streams have been identified. ICT solution is dependent on enterprise architecture. Existing systems are being adapted to reflect organisational change, and statutory reporting times	Paul Fudgell	01/04/2009	01/04/2010	
On schedule	High risk areas identified and annual action plans (corporate and departmental) in place.	Directorates to complete annual H&S action plans. Stress action plan behind schedule, but the range of this area of work is being expanded to link in with the healthy workplaces agenda.	Paul Fudgell	01/04/2009	01/04/2010	
On schedule	Mandatory training of Managers .	Ensure training of all new managers, and refresher training of existing managers. Managerial competence checked via the Managers' Safety Toolkit and programme site H&S audits.	Paul Fudgell	01/04/2009	01/04/2010	
On schedule	Programme of audits of risk assessments/arrangements.	Schedules agree with directorates, audits being undertaken, plus remedial action plans when appropriate. Fire regulations directorates have a responsibility to ensure accurate records are kept.	Paul Fudgell	01/04/2009	01/04/2010	
Current Status: Low (2)		Previous Status: Low (2)		Current Risk Severity: Medium		Current Risk Likelihood: Low
Risk Champion: Christine Castle			Risk Owner: Will Godfrey			
Review Note: Q4 risk levels remain the same as Q3.						
Printed by: Pete Franklin			SPAR.net		Print Date: 20 May 2010 10:05	