

**INFORMATION REPORT TO THE AUDIT COMMITTEE**

**28th JANUARY 2011**

**PURPOSE OF REPORT:**

SUBMISSION OF CORPORATE RISK REGISTER (Version 38, Quarter 3 2010/11) FOR INFORMATION

**REPORT AUTHOR:**

DICK POWELL, CHIEF INTERNAL AUDITOR

**BACKGROUND:**

The Corporate Risk Register (CRR) was previously submitted to the Audit Committee on 18<sup>th</sup> June 2010 (Version 32, 4<sup>th</sup> Quarter 2009/10). At 9<sup>th</sup> December 2010, Cabinet Briefing received and approved the CRR (Version 37, 2<sup>nd</sup> Quarter 2010/11). The CRR (Version 38) attached at Appendix 1 is a snapshot as at 18<sup>th</sup> January 2011 for the 3<sup>rd</sup> Quarter 2010/11 review as it had progressed at that date and which is currently ongoing.

The CRR is administered via the SPAR.net computer system which sends out email reminders to risk and mitigation owners as a quarterly review becomes due. The date of each review is recorded against individual risks. Should a gap of more than 3 months elapse since the "Last Review Date" the *Current Status* for a particular risk is flagged "Review Overdue". Individual risk reviews as yet incomplete at 19<sup>th</sup> January appear at the end of the CRR report, flagged "Review Overdue".

**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 037 Local Enterprise Partnership: - Failure to engage in new arrangements regarding establishing and reporting against the Local Enterprise Partnership*
- CRR 29 Political capacity: risk descriptor amended to replace "cross party" reference with "*limited political consensus*".

The ongoing review of the CRR will require to take account as appropriate of:

- emerging outcomes from the AGS process
- objectives identified within the Sustainable Community Strategy or 20:20 Plan, (including climate change)
- resourcing Customer Services workloads

# APPENDIX 1

## 2010/11 - QUARTER 3 (WIP) RISK REPORT

### CORPORATE RISK REGISTER

	No.	Day	Month	Year
<b>VERSION</b>	<b>38</b>	<b>28th</b>	<b>Jan</b>	<b>2011</b>

#### VERSION CONTROL HISTORY

Version No.	Reviewed By:	Review Date	Version No	Reviewed By:	Review Date
22	Strategic Leadership Team	25/8/09	31	Cabinet Briefing	27/5/10 <b>(Quarter 4)</b>
23	Strategic Leadership Team (Revised)	25/8/09	32	Audit Committee	18/6/10 <b>(Quarter 4)</b>
24	Informal Cabinet	22/10/09	33	Strategic Leadership Team	17/8/10 <b>(Quarter 1)</b>
25	Strategic Leadership Team	22/12/09 <b>(Quarter 2)</b>	34	Executive Briefing	<b>1/9/10</b> <b>(Quarter 1)</b>
26	Strategic Leadership Team (Revised)	22/12/09 <b>(Quarter 2)</b>	35	Cabinet Briefing	16/9/10 (Quarter 1)
27	Audit Committee	15/1/10 <b>(Quarter 2)</b>	36	Strategic Leadership Team ("Offline" review))	<b>23/11/10</b> <b>(Quarter 2)</b>
28	Cabinet Briefing	21/1/10 <b>(Quarter 2)</b>	37	Executive Briefing	08/12/10 <b>(Quarter 2)</b>
29	Risk Management Group	8/4/10 <b>(Quarter 3)</b>	37	Cabinet Briefing	09/12/10 <b>(Quarter 2)</b>
30	Strategic Leadership Team	11/5/10 <b>(Quarter 4)</b>	38	Audit Committee	<b>28/1/11</b> <b>(Quarter 3 WIP)</b>

#### SIGNIFICANT CHANGES

Mitigations previously reported may no longer be contained in the body of this report if no longer relevant to controlling the risk (although remain in the SPAR.net database).

Main variations to the risk register since the previous submission to the 18<sup>th</sup> June 2010 Audit Committee Meeting (Version 32) are as follows:

Risk No.	RISK	Current Risk Ranking	VARIATION TO RISK			
			Previous Risk Ranking	Direction of travel		(inc. new/deleted risk, additional mitigations/information)
				Current Status	Previous Status	
16	Children in Need	1	4	<b>6</b>	<b>6</b>	Additional information: OfSTED inspection of Safeguarding and Looked after Children Services graded Bristol as "good" on all 4 key judgements, and Action plan developed in response to the OfSTED Areas for Improvement is progressing well.

Risk No.	RISK	Current Risk Ranking	VARIATION TO RISK			
			Previous Risk Ranking	Direction of travel		(inc. new/deleted risk, additional mitigations/information)
			Current Status	Previous Status		
24	Transforming Bristol Portfolio	2	5	6	6	Formerly a Transformation Directorate risk, now overseen by DCX.  Additional mitigation : All business cases scrutinised by Strategic Options Delivery Board (SODB) and Cabinet. Additional information: SODB has regular opportunities at monthly meetings to review co-ordination of the programmes and their implication. Currently a benefit framework is being developed to ensure benefit tracking through programme delivery into benefit realisation plans. Looking to introduce risk categorisation to gain a better view of risk profile across all programmes.
27	Information Security	3	6	6	6	Additional information: One vacancy remains in the Security team. Recruitment in progress. E-learning package rolled out to staff.
35	Payroll IT System	4	9	6	6	Formerly a Transformation Directorate risk, now overseen by Corporate Services. Additional information: <i>Interim payroll options</i> - A report to STS steering group on interim payroll options was presented on 27/9/10. This identified two feasible options for replacing the HR/Payroll IT system which were developed further and presented to the board in Dec 2010 - when the decision was taken to replace the existing payroll system with an upgraded version of the product. Project now initiated, led by STS Payroll Service, and due for implementation by November 2011.
37	Local Enterprise Partnership	5	N/A	6	N/A	<b>NEW RISK</b> Full description: Failure to engage in new arrangements regarding establishing and reporting against the Local Enterprise Partnership.
28	Waste Management	6	11	4	4	No change
26	Transport Infrastructure	7	14	4	4	No change
5	Recruitment, Retention and Restructuring	8	15	4	4	Additional information: Regular reports are being submitted to SLT and to HR Committees including all starter and leaver data. Planned reduction from 500 agency workers - now exceeding 350 reduction. Monitoring of agency workers and consultants by the VM Panel is continuing and will be completed by 31 March 2011. New governance arrangements planned for people Strategy.
25	Adult Care	9	16	4	4	No change
11	Financial Management	10	17	4	4	Additional information:

Risk No.	RISK	Current Risk Ranking	VARIATION TO RISK			
			Previous Risk Ranking	Direction of travel		(inc. new/deleted risk, additional mitigations/information)
				Current Status	Previous Status	
						MTFP to be updated by end of Dec '10 in light of publication of comprehensive spending review. Capital receipts continue to be lower than anticipated due to impact of recession. This may impact upon the future capital programme. Action plan in place to deliver 2010/11 H&SC savings.
4	Management and Delivery of Major Infrastructure Projects	11	7	4	6	Additional Mitigations: Capital Programme Board Continuous liaison Gov discussions for WoEP Member updates on project benefits Monitoring of SWof E Project Fund Online customer engagement Review and Monitor Capital Recharges Review major expenditure areas. Sign off of projects by Transformation Board
34	Health & Adult Social Care overspend	12	3	4	9	Additional information: Overspend of £1m for 10/11 (compared with £3.5m 09/10) . New action plan in place to deliver 10/11 savings and achieve a balanced budget.
14	Industrial Relations	13	21	3	2	Additional information: Council has now introduced voluntary severance policy, and is committed to avoiding compulsory redundancies wherever possible. Participation in the NJC pay settlement by attendance at the SW Regional Pay Conference and written submissions to the national employers. Equal pay claims reduced from 300 to 198 since Dec 09. This work continuing with advice from Counsel.
12	Health & Safety	14	22	2	2	Additional information: Redefinition of the relationship between CEHSCC and 2 <sup>nd</sup> tier Safety Co-ordinators group. Potential fire safety issues identified in social housing stock. Roll out of the Corporate Health and Safety management System will improve monitoring and review.
30	Neighbourhood-level Planning and Engagement	15	2	1	9	All mitigations completed.
36	Delivery of LAA1 by March 2010, and LAA2 by March 2011	16	10	1	6	Additional information: LAA1 claim submitted on deadline. Will receive fullpayment (at reduced level of 50%) by March 2011. LAA2 abolished by gov. However targets are continuing to be monitored at a local level. Performance Challenge Group reviews performance quarterly and escalates areas of concern to Bristol Partnership Governance Group for action. Last review Nov 2010.

Risk No.	RISK		VARIATION TO RISK			
			Previous Risk Ranking	Direction of travel		(inc. new/deleted risk, additional mitigations/information)
				Current Status	Previous Status	
Current Risk Ranking	Previous Risk Ranking	Current Status	Previous Status			
31	Economic recovery	17	1	Review overdue	9	17 <sup>th</sup> Aug SLT meeting agreed to delete this risk, formerly entitled as <i>Recession</i> . However, at 16 <sup>th</sup> Sep Cabinet Briefing it was agreed to retain the risk but to re-frame it in terms of how the Council could continue to support the local economy towards recovery.
29	Political capacity	18	18	Review overdue	4	Risk descriptor amended to replace "cross party" reference with "limited political consensus".
23	MAA	19	8	Review overdue	6	Following the election of the new government the status of the MAA is now unclear.  Additional information: LEP submission made September 2010. Awaiting decision by CLG.
8	Value for Money	20	12	Review overdue	4	Additional information: Work is now taking place to complete the baseline data. This will provide a consistent basis from which to establish trend data. First scorecards produced and reported to SLT August 2010 and Cabinet Sep 2010. Safeguarding is recognised as providing good VFM by Ofsted and has the lowest unit cost of the CoreCities. Directorate Health checks now to be replaced by quarterly service plan reviews. New topics for performance clinics be decided in Nov 2010.
10	Educational Attainment	21	13	Review overdue	4	Outcome of ongoing risk review awaited. Additional information: Commissioning process to supplement school provision to raise BME attainment concluded.
13	Civil Emergency	22	19	Review overdue	4	Arising from restructuring this risk to be transferred to Neighbourhoods
33	Pandemic Flu	23	20	Review overdue	3	Arising from restructuring this risk to be transferred to Neighbourhoods

## Corporate Risk Register (CRR only)

**Report for 2010-2011**  
**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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### Corporate Risk Register (CRR only)

**Risk: Children in need** Failure to meet corporate responsibilities to protect children in need. **Risk Code: CRR016**

<b>Inherent Status: High (9)</b>	<b>Inherent Risk Severity: High</b>	<b>Inherent Risk Likelihood: High</b>
<b>Date Identified: 01 Apr 2009</b>	<b>Service: Safeguarding &amp; Specialist Services</b>	

Mitigation records					
Mitigation Status	Mitigation	Info	Person	Date Identified	Last Review Date
On schedule	Complete CRB checks for relevant staff		Ian McDowall	22/01/2010	16/11/2010
On schedule	Ensure investment in targeted services is maintained		Ian McDowall	01/09/2010	16/11/2010
On schedule	Implement actions from OfSTED inspections	Full Ofsted inspection of safeguarding and looked after childrens services graded Bristol as 'good' on all 4 key judgements - positive outcome compared to similar authorities. Action plan developed in response to the Ofsted Areas for Improvement and is progressing well	Ian McDowall	22/01/2010	16/11/2010
On schedule	Implement practice improvement project		Ian McDowall	22/01/2010	16/11/2010
On schedule	Implement recommendations from safeguarding review	Incorporated in BSCB Buisness Plan	Ian McDowall	22/01/2010	16/11/2010
Completed	Implement revised arrangements	This applies to Social Workers & other relevant staff; in light of the actions	Ian	22/01/2010	16/11/2010

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<b>Corporate Risk Register (CRR only)</b>					
<b>Risk: Children in need</b> Failure to meet corporate responsibilities to protect children in need.					<b>Risk Code: CRR016</b>
<b>Inherent Status: High (9)</b>		<b>Inherent Risk Severity: High</b>		<b>Inherent Risk Likelihood: High</b>	
<b>Date Identified: 01 Apr 2009</b>				<b>Service: Safeguarding &amp; Specialist Services</b>	
<b>Mitigation records</b>					
<b>Mitigation Status</b>	<b>Mitigation</b>	<b>Info</b>	<b>Person</b>	<b>Date Identified</b>	<b>Last Review Date</b>
	for CRB checks	arising from the inquiries into the Soham murders.	McDowall		
On schedule	Integrate Family Support Services programme	Services include adoption, fostering etc..All brought together into one service	Annie Hudson	22/01/2010	16/11/2010
Completed	Produce action plan for BSCB Children's Partnership Board in Septemebr and October		Ian McDowall	01/09/2010	16/11/2010
On schedule	Produce and implement co-ordinated local action plan	To address Laming 2 recommendations and Government response - in place	Ian McDowall	01/04/2009	16/11/2010
Completed	Put in place Information Sharing Protocols and 'working together' initiatives		Ian McDowall	22/01/2010	16/11/2010
On schedule	Put in place stringent policies & procedures for the recruitment and retention of staff	Ensure safeguarding protocols are adhered to in order to attract high quality child protection staff	Ian McDowall	22/01/2010	16/11/2010
On schedule	Review and update child protection procedures regularly to ensure compliance	The recent full OfSTED inspection of Safeguarding and Looked after Children Services, graded Bristol as "good" on all four key judgements. This represents a very positive outcome for the service and compares well to similar authorities.	Ian McDowall	01/10/2009	16/11/2010
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	16/11/2010
On schedule	Staff trained and supervised		Annie Hudson	01/04/2009	16/11/2010
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	16/11/2010
<b>Current Status: High (6)</b>		<b>Previous Status: High (6)</b>		<b>Current Risk Severity: High</b>	
<b>Risk Champion: Craig Bolt</b>			<b>Current Risk Likelihood: Medium</b>		
<b>Risk Owner: Annie Hudson</b>					
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## Corporate Risk Register (CRR only)

<b>Risk: Transforming Bristol Portfolio</b> 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					<b>Risk Code: CRR024</b>
<b>Inherent Status: High (9)</b>		<b>Inherent Risk Severity: High</b>		<b>Inherent Risk Likelihood: High</b>	
<b>Date Identified: 01 Apr 2009</b>				<b>Service: Corporate Indicators (DCX)</b>	
<b>Mitigation records</b>					
<b>Mitigation Status</b>	<b>Mitigation</b>	<b>Info</b>	<b>Person</b>	<b>Date Identified</b>	<b>Last Review Date</b>
On schedule	All business cases scrutinised by SODB and Cabinet	Each constituent element of the programme requires a business case, which is examined and approved by SODB	Graham Sims	01/12/2010	16/12/2010
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.	Graham Sims	01/04/2009	16/12/2010
On schedule	Corporate co-ordination and ownership is through portfolio delivery team and SODB	Strategic Options Delivery Board (SODB) has regular opportunities at monthly meetings to review co-ordination of the programmes and their implication	Graham Sims	01/04/2009	16/12/2010
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, reporting directly to SODB	Graham Sims	22/01/2010	16/12/2010
On schedule	Portfolio Risk Register -- Benefits Realisation	Critical that the benefits from programmes are captured. Where appropriate, financial benefits should be transferred to the Transformation Reserve to repay borrowing and/or to fund future programmes. Currently a benefit framework is being developed to ensure benefit tracking through programme delivery into benefit realisation plans. BRP will be developed for all key projects and programmes aligned to SODB reporting of financial benefit delivery	Chris Tatner	01/01/2010	16/12/2010
On schedule	Programme-level risks	Risks to the delivery of individual change programmes are contained and mitigated through dedicated programme risk registers. We are looking into introduce risk categorisation to gain a better view of risk profile across all programmes	Chris Tatner	01/04/2009	16/12/2010
<b>Current Status: High (6)</b>		<b>Previous Status: High (6)</b>		<b>Current Risk Severity: High</b>	
<b>Risk Champion: Christine Castle</b>				<b>Current Risk Likelihood: Medium</b>	
<b>Risk Owner: Graham Sims</b>					
<b>Review Note:</b>					



## Corporate Risk Register (CRR only)

<b>Risk: Information security</b> Failure to take adequate steps to properly safeguard sensitive and confidential personal data.					<b>Risk Code: CRR027</b>
<b>Inherent Status: High (9)</b>		<b>Inherent Risk Severity: High</b>	<b>Inherent Risk Likelihood: High</b>		
<b>Date Identified: 01 Apr 2009</b>			<b>Service: Information, Communications &amp; Technology</b>		
<b>Mitigation records</b>					
<b>Mitigation Status</b>	<b>Mitigation</b>	<b>Info</b>	<b>Person</b>	<b>Date Identified</b>	<b>Last Review Date</b>
Completed	Achieve PCI DSS compliance.	Temporary procedures in place in ICS team.	Russ Darling	29/03/2010	11/01/2011
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	11/01/2011
Completed	Incident reporting and recording system to be developed.	System and procedures now in operation	Rob Scott	01/04/2009	11/01/2011
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	11/01/2011
On schedule	Information systems classified according to new scheme.		Rob Scott	01/04/2009	11/01/2011
Behind schedule	New IT structure	One vacancy remains in the Security team. Recruitment in progress	Rob Scott	01/04/2009	11/01/2011
Behind schedule	Revise and rollout policy and standards	Review and update Security Policy and standards by Mar 2011.	Rob Scott	01/04/2009	11/01/2011
Behind schedule	Security training for all staff	E-learning package rolled out to staff but take up currently 15%	Rob Scott	01/04/2009	11/01/2011
<b>Current Status: High (6)</b>		<b>Previous Status: High (6)</b>	<b>Current Risk Severity: High</b>	<b>Current Risk Likelihood: Medium</b>	
<b>Risk Champion: Christine Castle</b>			<b>Risk Owner: Rob Scott</b>		
<b>Review Note:</b> Full rollout of security training and review of operational risks will be needed to reduce likelihood to low.					

## Corporate Risk Register (CRR only)

<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: 31 Dec 2009</b>				<b>Service: Shared Transactional Services</b>		
<b>Mitigation records</b>						
Mitigation Status	Mitigation	Info	Person	Date Identified	Last Review Date	
On schedule	Interim payroll options	A report to STS steering group on interim payroll options was presented on 27/9/10. This identified two feasible options for replacing the HR/Payroll IT system, which were developed further and presented to the board in December 2010 - when the decision was taken to replace the existing payroll system with an upgraded version of the product. Project now initiated, led by STS Payroll Service, and due for implementation by November 2011.	Paul Arrigoni	30/09/2010	11/01/2011	
<b>Current Status: High (6)</b>		<b>Previous Status: High (6)</b>		<b>Current Risk Severity: High</b>		<b>Current Risk Likelihood: Medium</b>
<b>Risk Champion: Christine Castle</b>				<b>Risk Owner: Paul Arrigoni</b>		
<b>Review Note:</b>						

<b>Risk: Local Enterprise Partnership</b> Failure to engage in new arrangements regarding establishing and reporting against the Local Enterprise Partnership (LEP)					<b>Risk Code: CRR037</b>	
<b>Inherent Status: High (6)</b>		<b>Inherent Risk Severity: High</b>		<b>Inherent Risk Likelihood: Medium</b>		
<b>Date Identified: 17 Aug 2010</b>				<b>Service: Corporate Indicators (DCX)</b>		
<b>Mitigation records</b>						
Mitigation Status	Mitigation	Info	Person	Date Identified	Last Review Date	
On schedule	A submission is being made by Bristol & West of England to establish a LEP	DCLG has agreed to accept the Bristol & West of England submission to create a Local Enterprise Partnership. Work is ongoing to establish the appropriate governance arrangements. Once these are in place the LEP will become the main focus for driving economic growth across Bristol and the West of England.	Will Godfrey	17/08/2010	07/12/2010	
Behind schedule	Move quickly to establish governance arrangements	Needs to be joint arrangements between business and unitary authorities.	Jan Ormondroyd	04/10/2010	07/12/2010	
<b>Current Status: High (6)</b>		<b>Previous Status: High (6)</b>		<b>Current Risk Severity: High</b>		<b>Current Risk Likelihood: Medium</b>
<b>Risk Champion: Christine Castle</b>				<b>Risk Owner: Jan Ormondroyd</b>		
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**Corporate Risk Register (CRR only)**

<b>Risk: Local Enterprise Partnership</b> Failure to engage in new arrangements regarding establishing and reporting against the Local Enterprise Partnership (LEP)			<b>Risk Code: CRR037</b>		
<b>Inherent Status: High (6)</b>		<b>Inherent Risk Severity: High</b>	<b>Inherent Risk Likelihood: Medium</b>		
<b>Date Identified: 17 Aug 2010</b>			<b>Service: Corporate Indicators (DCX)</b>		
<b>Review Note:</b>					

<b>Risk: Waste management</b> Risk of failure to reduce the use of landfill.					<b>Risk Code: CRR028</b>	
<b>Inherent Status: High (6)</b>		<b>Inherent Risk Severity: High</b>	<b>Inherent Risk Likelihood: Medium</b>			
<b>Date Identified: 01 Apr 2009</b>			<b>Service: Environmental and Leisure Services</b>			
<b>Mitigation records</b>						
<b>Mitigation Status</b>	<b>Mitigation</b>	<b>Info</b>	<b>Person</b>	<b>Date Identified</b>	<b>Last Review Date</b>	
Behind schedule	Implement permanent project team at West of England Partnership	No longer the case since Phase 3 withdrawn	Pam Jones	01/04/2009	04/11/2010	
Behind schedule	Revise Bristol collection/recycling arrangements	Numerous initiatives delivered and progressing to reduce use of landfill	Pam Jones	01/04/2009	04/11/2010	
On 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	04/11/2010	
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	04/11/2010	
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	04/11/2010	
<b>Current Status: Medium (4)</b>		<b>Previous Status: Medium (4)</b>	<b>Current Risk Severity: Medium</b>		<b>Current Risk Likelihood: Medium</b>	
<b>Risk Champion: Mike Harding</b>			<b>Risk Owner: Graham Sims</b>			
<b>Review Note:</b>						

<b>Risk: Transport infrastructure</b> Failure to achieve improvements in performance (in particular, reducing congestion) and to provide infrastructure to support growth in housing numbers.					<b>Risk Code: CRR026</b>	
<b>Inherent Status: High (9)</b>		<b>Inherent Risk Severity: High</b>	<b>Inherent Risk Likelihood: High</b>			
<b>Date Identified: 01 Apr 2009</b>			<b>Service: Major Projects</b>			

## Corporate Risk Register (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					
Mitigation Status	Mitigation	Info	Person	Date Identified	Last Review Date
Well behind schedule	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	17/01/2011
On schedule	Appoint Cycling City Project Manager and establish Team	Cycling City projects underway	David Bishop	01/04/2009	17/01/2011
On schedule	Appoint Major Projects Director and establish Project Team.		David Bishop	01/04/2009	17/01/2011
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	17/01/2011
On schedule	Cycling City status and £11.4m grant secured.	City Cycling Project underway.	David Bishop	01/04/2009	17/01/2011
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	17/01/2011
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	17/01/2011
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	01/04/2009	17/01/2011
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	17/01/2011

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## Corporate Risk Register (CRR only)

<b>Risk: Transport infrastructure</b> Failure to achieve improvements in performance (in particular, reducing congestion) and to provide infrastructure to support growth in housing numbers.					<b>Risk Code: CRR026</b>
<b>Inherent Status: High (9)</b>		<b>Inherent Risk Severity: High</b>	<b>Inherent Risk Likelihood: High</b>		
<b>Date Identified: 01 Apr 2009</b>			<b>Service: Major Projects</b>		
<b>Mitigation records</b>					
<b>Mitigation Status</b>	<b>Mitigation</b>	<b>Info</b>	<b>Person</b>	<b>Date Identified</b>	<b>Last Review Date</b>
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	17/01/2011
<b>Current Status: Medium (4)</b>		<b>Previous Status: Medium (4)</b>	<b>Current Risk Severity: Medium</b>	<b>Current Risk Likelihood: Medium</b>	
<b>Risk Champion: Mike Harding</b>			<b>Risk Owner: David Bishop</b>		
<b>Review Note:</b>					

<b>Risk: Recruitment, retention and restructuring</b> Failure to effectively manage the downsizing of the organisation through a period of significant change, through not having the appropriate staff in place to lead the change required.					<b>Risk Code: CRR005</b>
<b>Inherent Status: Medium (4)</b>		<b>Inherent Risk Severity: Medium</b>	<b>Inherent Risk Likelihood: Medium</b>		
<b>Date Identified: 01 Apr 2009</b>			<b>Service: Human Resources</b>		
<b>Mitigation records</b>					
<b>Mitigation Status</b>	<b>Mitigation</b>	<b>Info</b>	<b>Person</b>	<b>Date Identified</b>	<b>Last Review Date</b>
On schedule	Monitoring of turnover/vacancies	Regular reports are being submitted to SLT and to HR Committee including starter and leaver data.	Robert Britton	01/04/2009	14/01/2011
On schedule	New regulations regarding Agency Employees	Planned reduction from 500 agency workers - the reduction now exceeding 350 agency workers. Monitoring of agency workers and consultants by the VM Panel is continuing and will be completed by 31 March 2011. In addition HR STS will not pay any agency worker (or consultant) without VM Panel approval.	Robert Britton	01/04/2009	14/01/2011
On schedule	People Strategy	New governance arrangements planned to be introduced for People Strategy, to ensure priorities are delivered. Annual reporting to SLT and HR Committee re progress/delivery of initiatives.	Mark Williams	23/01/2010	14/01/2011
<b>Current Status: Medium (4)</b>		<b>Previous Status: Medium (4)</b>	<b>Current Risk Severity: Medium</b>	<b>Current Risk Likelihood: Medium</b>	
<b>Risk Champion: Christine Castle</b>			<b>Risk Owner: Robert Britton</b>		
<b>Review Note:</b>					

<b>Corporate Risk Register (CRR only)</b>					
<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: 01 Apr 2009</b>			<b>Service: Adult Services</b>		
<b>Mitigation records</b>					
<b>Mitigation Status</b>	<b>Mitigation</b>	<b>Info</b>	<b>Person</b>	<b>Date Identified</b>	<b>Last Review Date</b>
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.	Netta Meadows	01/04/2009	29/12/2010
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	Netta Meadows	01/04/2009	29/12/2010
Behind 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".	Netta Meadows	01/04/2009	29/12/2010
Behind 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)	Netta Meadows	01/04/2009	29/12/2010
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	Netta Meadows	01/04/2009	29/12/2010
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	29/12/2010
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	Netta Meadows	01/04/2009	29/12/2010
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	29/12/2010
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## Corporate Risk Register (CRR only)

<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: 01 Apr 2009</b>				<b>Service: Adult Services</b>	
<b>Current Status: Medium (4)</b>		<b>Previous Status: Medium (4)</b>		<b>Current Risk Severity: Medium</b>	
<b>Risk Champion: Denise Hunt</b>				<b>Risk Owner: David Johnstone</b>	
<b>Review Note:</b>					

<b>Risk: Financial management</b> Disruption to service plans because of failure to plan and manage budgets, implement agreed efficiency savings, or identify savings to address significant government grant reductions from 2011/12 to 2014/15				<b>Risk Code: CRR011</b>	
<b>Inherent Status: High (6)</b>		<b>Inherent Risk Severity: High</b>		<b>Inherent Risk Likelihood: Medium</b>	
<b>Date Identified: 01 Apr 2009</b>				<b>Service: Finance</b>	
<b>Mitigation records</b>					
Mitigation Status	Mitigation	Info	Person	Date Identified	Last Review Date
On schedule	3 year MTFP	MTFP to be updated by the end of December '10 in light of publication of comprehensive spending review	Will Godfrey	01/04/2009	07/01/2011
On schedule	Capital programme oversight by Infrastructure and Development Board	Capital receipt levels continue to be lower than anticipated due to impact of recession. This may impact on the future capital programme	Will Godfrey	01/04/2009	07/01/2011
Behind schedule	CYPS budget containment in relation to growth in safeguarding	Effect of the overspend to be reduced through greater use of in-house foster carers, plus identification of savings in other areas of CYPS.	Annie Hudson	01/04/2010	07/01/2011
On schedule	Formal quarterly budget/capital programme monitors and monthly monitors of risk areas.		Peter Robinson	01/04/2009	07/01/2011
On schedule	H&SC budget containment	Action Plan in place to deliver 2010/11 savings.	David Johnstone	01/04/2009	07/01/2011
On schedule	Scenario planning is taking place to identify the impact of the comprehensive spending review	This is an ongoing piece of work, following the CSR announcement on 20 October 2010 and the financial settlement in December 2010.	Will Godfrey	19/08/2010	07/01/2011
<b>Current Status: Medium (4)</b>		<b>Previous Status: Medium (4)</b>		<b>Current Risk Severity: Medium</b>	
<b>Risk Champion: Christine Castle</b>				<b>Risk Owner: Peter Robinson</b>	
<b>Review Note:</b>					

## Corporate Risk Register (CRR only)

<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: 01 Apr 2009</b>			<b>Service: Major Projects</b>		
<b>Mitigation records</b>					
<b>Mitigation Status</b>	<b>Mitigation</b>	<b>Info</b>	<b>Person</b>	<b>Date Identified</b>	<b>Last Review Date</b>
On schedule	Capital Programme Board	Capital Programme Board established to monitor key progress, spend, issues and risks monthly.	Alistair Cox	17/01/2011	17/01/2011
On schedule	Continuous liaison	Continuous liaison between Capital Programme Officers and Project Managers to review progress, spend, issues and risks.	Alistair Cox	17/01/2011	17/01/2011
On schedule	Government discussions for West of England Partnership	Continuous discussions with Government departments to ensure best decisions are made for West of England Partnership	Tracey Kerr	17/01/2011	17/01/2011
Completed	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	17/01/2011
On schedule	Internal gateway review	Continue the internal gateway review process for major projects	David Bishop	17/01/2011	17/01/2011
Completed	Leader's Briefing Group receives progress reports.		Alun Owen	01/04/2009	17/01/2011
On schedule	Member updates on project benefits	Frequent updates to Members on benefits of projects, in particular major regeneration projects, e.g. Lockleaze and Knowle West	David Bishop	17/01/2011	17/01/2011
On schedule	Monitoring of SW of E Project Fund	Regular monitoring of the South west of England Transport Project Fund FRA refresh scheme that has been secured - imminent budget cut/prioritisation is major risk.	Alun Owen	17/01/2011	17/01/2011
On schedule	On-line customer engagement	Implement a new effective on-line customer engagement mechanism to provide for community engagement to ensure buy-in, enabling successful delivery.	Alun Owen	17/01/2011	17/01/2011
On schedule	Review and Monitor Capital recharges		Alistair Cox	17/01/2011	17/01/2011
On schedule	Review major expenditure areas	Undertake a review of the major expenditure areas to ensure sufficient performance monitoring information is available to assess VFM of expenditure.	Alistair Cox	17/01/2011	17/01/2011

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## Corporate Risk Register (CRR only)

<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: 01 Apr 2009</b>			<b>Service: Major Projects</b>		
<b>Mitigation records</b>					
<b>Mitigation Status</b>	<b>Mitigation</b>	<b>Info</b>	<b>Person</b>	<b>Date Identified</b>	<b>Last Review Date</b>
Completed	Revise guidance on procurement and project management	Follow the Redland Green external audit report.	Alun Owen	01/01/2010	17/01/2011
On schedule	Sign-off of projects by Transformation Board	All projects to be signed-off by Transformation Board, comprising both strategic and service Directors.	David Bishop	17/01/2011	17/01/2011
<b>Current Status: Medium (4)</b>		<b>Previous Status: High (6)</b>	<b>Current Risk Severity: Medium</b>		<b>Current Risk Likelihood: Medium</b>
<b>Risk Champion: Mike Harding</b>			<b>Risk Owner: David Bishop</b>		
<b>Review Note:</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: 01 Apr 2009</b>			<b>Service: Adult Services</b>		
<b>Mitigation records</b>					
<b>Mitigation Status</b>	<b>Mitigation</b>	<b>Info</b>	<b>Person</b>	<b>Date Identified</b>	<b>Last Review Date</b>
On schedule	Action plan prepared by HASC DLT with Cabinet endorsement	Overspend of £1.0m for 10/11. New Action Plan in place to deliver 10/11 savings and achieve a balanced budget.	David Johnstone	01/04/2009	29/12/2010
Behind schedule	Additional resources examining demand model	Demand model updated for Older People but further service modelling is required for other service areas.	David Johnstone	01/04/2009	29/12/2010
On schedule	Regular monthly monitoring		Peter Robinson	01/04/2009	29/12/2010
<b>Current Status: Medium (4)</b>		<b>Previous Status: Medium (4)</b>	<b>Current Risk Severity: Medium</b>		<b>Current Risk Likelihood: Medium</b>
<b>Risk Champion: Denise Hunt</b>			<b>Risk Owner: David Johnstone</b>		
<b>Review Note:</b>					

**Corporate Risk Register (CRR only)**

<b>Risk: Industrial relations</b> Disruption to services or unplanned increase in costs as a result of breakdown in industrial relations.					<b>Risk Code: CRR014</b>	
<b>Inherent Status: High (6)</b>			<b>Inherent Risk Severity: High</b>		<b>Inherent Risk Likelihood: Medium</b>	
<b>Date Identified: 01 Apr 2009</b>				<b>Service: Human Resources</b>		
<b>Mitigation records</b>						
<b>Mitigation Status</b>	<b>Mitigation</b>	<b>Info</b>	<b>Person</b>	<b>Date Identified</b>	<b>Last Review Date</b>	
On schedule	Application of national terms and conditions of service	Strengthened through publication of revised HR delegations on The Source, that reflect vacancy management arrangements and incorporate closer integration of Strategic HR and HR STS.	Mike Watts	01/04/2009	14/01/2011	
Behind schedule	DJCC, JERB consultation arrangements, and informal C Ex/TU and HR/TU meetings	Council has now introduced voluntary severance policy, and is committed to avoiding compulsory redundancies wherever possible.	Mark Williams	01/04/2009	14/01/2011	
On schedule	Participation in the NJC pay settlement	Through attendance at the SW Regional Pay Conference, and by written submissions to the national employers (ref BCC's position in relation to pay/affordability etc).	Robert Britton	01/01/2010	14/01/2011	
On schedule	Use of External Counsel in relation to multiple equal pay claims	Strategy is being effective. Claims have reduced from 300 to 198 since December 2009, and the withdrawal of another 86 claims is being pursued. This work is continuing with advice from Counsel. Outcome of remaining claims will not be known until mid-2011.	Mark Williams	23/01/2010	14/01/2011	
<b>Current Status: Medium (3)</b>		<b>Previous Status: Medium (3)</b>		<b>Current Risk Severity: High</b>		<b>Current Risk Likelihood: Low</b>
<b>Risk Champion: Christine Castle</b>				<b>Risk Owner: Will Godfrey</b>		
<b>Review Note:</b>						

<b>Risk: Health and Safety</b> Reputational risk of incidents leading to prosecution					<b>Risk Code: CRR012</b>	
<b>Inherent Status: High (6)</b>			<b>Inherent Risk Severity: High</b>		<b>Inherent Risk Likelihood: Medium</b>	
<b>Date Identified: 01 Apr 2009</b>				<b>Service: Human Resources</b>		
<b>Mitigation records</b>						
<b>Mitigation Status</b>	<b>Mitigation</b>	<b>Info</b>	<b>Person</b>	<b>Date Identified</b>	<b>Last Review Date</b>	
Behind schedule	CEHSCC and 2nd tier co-ordinators meet regularly, and regular meetings with the Trade Unions	Redefinition of the relationship between CEHSCC and 2nd Tier Safety Co-ordinators' group. This has resulted in slippage to this item of work. (Completion date October 2011).	Paul Fudgell	01/04/2009	13/12/2010	
On	Corporate and Directorate policies and	Potential fire safety (RR(FS)O) issues identified in the	Paul	01/04/2009	13/12/2010	
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**Corporate Risk Register (CRR only)**

<b>Risk: Health and Safety</b> Reputational risk of incidents leading to prosecution					<b>Risk Code: CRR012</b>	
<b>Inherent Status: High (6)</b>		<b>Inherent Risk Severity: High</b>		<b>Inherent Risk Likelihood: Medium</b>		
<b>Date Identified: 01 Apr 2009</b>				<b>Service: Human Resources</b>		
<b>Mitigation records</b>						
<b>Mitigation Status</b>	<b>Mitigation</b>	<b>Info</b>	<b>Person</b>	<b>Date Identified</b>	<b>Last Review Date</b>	
schedule	procedures in place, and responsibilities clarified	management of the social housing stock. Mitigation plan being formulated at Directorate level, with corporate support. (3 year project from November 2010.)	Fudgell			
On schedule	Greater investment in ICT solutions to manage H&S information ie intranet based systems etc	Dependent upon corporate ICT projects. Developing local solutions to upgrade existing system via Microsoft programme which would be compatible with the authority's long term ICT solutions.	Paul Fudgell	01/04/2009	<b>13/12/2010</b>	
On schedule	High risk areas identified and annual action plans (corporate and departmental) in place	Progressing, but there are issues with reconciliation of data due to organisational change. Dependent on ICT project to achieve target.	Paul Fudgell	01/04/2009	<b>13/12/2010</b>	
On schedule	Mandatory training of managers	Ensure training of all new managers, and refresher training of existing managers. The roll-out of the Corporate Health and Safety Management System (CHaSMS) will improve monitoring and review.	Paul Fudgell	01/04/2009	<b>13/12/2010</b>	
On schedule	Programme of audits of risk assessments/arrangements	The roll-out of the Corporate Health and Safety Management System (CHaSMS) will improve monitoring and review.	Paul Fudgell	01/04/2009	<b>13/12/2010</b>	
<b>Current Status: Low (2)</b>		<b>Previous Status: Low (2)</b>		<b>Current Risk Severity: Medium</b>		<b>Current Risk Likelihood: Low</b>
<b>Risk Champion: Christine Castle</b>				<b>Risk Owner: Will Godfrey</b>		
<b>Review Note:</b>						

<b>Risk: Neighbourhood-level planning and engagement</b> Risk of failure to achieve engagement and added value					<b>Risk Code: CRR030</b>	
<b>Inherent Status: High (9)</b>		<b>Inherent Risk Severity: High</b>		<b>Inherent Risk Likelihood: High</b>		
<b>Date Identified: 01 Apr 2009</b>				<b>Service: Equalities &amp; Community Cohesion</b>		
<b>Mitigation records</b>						
<b>Mitigation Status</b>	<b>Mitigation</b>	<b>Info</b>	<b>Person</b>	<b>Date Identified</b>	<b>Last Review Date</b>	
Completed	Engagement with key	Improved engagement and interface with key service areas: particularly street	Gillian	01/04/2009	<b>04/11/2010</b>	
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## Corporate Risk Register (CRR only)

<b>Risk: Neighbourhood-level planning and engagement</b> Risk of failure to achieve engagement and added value					<b>Risk Code: CRR030</b>	
<b>Inherent Status: High (9)</b>		<b>Inherent Risk Severity: High</b>		<b>Inherent Risk Likelihood: High</b>		
<b>Date Identified: 01 Apr 2009</b>				<b>Service: Equalities &amp; Community Cohesion</b>		
<b>Mitigation records</b>						
<b>Mitigation Status</b>	<b>Mitigation</b>	<b>Info</b>	<b>Person</b>	<b>Date Identified</b>	<b>Last Review Date</b>	
	service areas	scene, anti-social behaviour and working with young people . Potential policy movement towards devolved decision making an	Douglas			
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	04/11/2010	
Completed	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	04/11/2010	
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	04/11/2010	
<b>Current Status: Low (1)</b>		<b>Previous Status: Medium (4)</b>		<b>Current Risk Severity: Low</b>		<b>Current Risk Likelihood: Low</b>
<b>Risk Champion: Mike Harding</b>			<b>Risk Owner: Di Robinson</b>			
<b>Review Note:</b>						

<b>Risk: Delivery of LAA1 by March 2010, and LAA2 by March 2011</b> Delivery of LAA1 by March 2010, and LAA2 by March 201, to maximise delivery of targets achieved					<b>Risk Code: CRR036</b>	
<b>Inherent Status: High (9)</b>		<b>Inherent Risk Severity: High</b>		<b>Inherent Risk Likelihood: High</b>		
<b>Date Identified: 14 Jan 2010</b>				<b>Service: Bristol Partnership</b>		
<b>Mitigation records</b>						
<b>Mitigation Status</b>	<b>Mitigation</b>	<b>Info</b>	<b>Person</b>	<b>Date Identified</b>	<b>Last Review Date</b>	
On schedule	Partnership-level performance management	LAA1 claim submitted on deadline. Will receive full payment (at reduced level of 50%) by March 2011.  LAA2 abolished by government. However targets are continuing to be monitored at a local level. Performance Challenge Group reviews performance quarterly and escalates areas of concern to Bristol Partnership Governance Group for action. Last review November 2010.	Helen Ball	01/04/2009	10/12/2010	

**Corporate Risk Register (CRR only)**

<b>Risk: Delivery of LAA1 by March 2010, and LAA2 by March 2011</b> Delivery of LAA1 by March 2010, and LAA2 by March 201, to maximise delivery of targets achieved				<b>Risk Code: CRR036</b>	
<b>Inherent Status: High (9)</b>		<b>Inherent Risk Severity: High</b>		<b>Inherent Risk Likelihood: High</b>	
<b>Date Identified: 14 Jan 2010</b>				<b>Service: Bristol Partnership</b>	
<b>Current Status: Low (1)</b>		<b>Previous Status: Medium (4)</b>		<b>Current Risk Severity: Low</b>	
				<b>Current Risk Likelihood: Low</b>	
<b>Risk Champion: Christine Castle</b>			<b>Risk Owner: Helen Ball</b>		
<b>Review Note:</b> Severity of risk is decreasing. LAA1 completed and LAA2 abolished, and so it is recommended that the risk be deleted post March 2011. (HB)					

<b>Risk: Economic Recovery</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: 01 Apr 2009</b>				<b>Service: Corporate Indicators (DCX)</b>		
<b>Mitigation records</b>						
<b>Mitigation Status</b>	<b>Mitigation</b>	<b>Info</b>	<b>Person</b>	<b>Date Identified</b>	<b>Last Review Date</b>	
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.	Kate Davenport	01/04/2009	11/10/2010	
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	11/10/2010	
On schedule	Working with partnerships - West of England local authorities to develop a LEP	Recovery is a priority in the MAA. West of England partners are also progressing plans for a Local Enterprise Partnership to drive economic recovery in the sub region.	Jan Ormondroyd	01/04/2009	11/10/2010	
<b>Current Status: Review Overdue</b>		<b>Previous Status: High (9)</b>		<b>Current Risk Severity: High</b>		<b>Current Risk Likelihood: Medium</b>
<b>Risk Champion: Christine Castle</b>			<b>Risk Owner: Will Godfrey</b>			
<b>Review Note:</b>						

<b>Risk: Political capacity</b> Risk of being unable to make progress for Bristol due to i, financial constraint ii, limited political consensus					<b>Risk Code: CRR029</b>	
<b>Inherent Status: High (9)</b>		<b>Inherent Risk Severity: High</b>		<b>Inherent Risk Likelihood: High</b>		
<b>Date Identified: 01 Apr 2009</b>				<b>Service: Corporate Indicators (DCX)</b>		

**Corporate Risk Register (CRR only)**

<b>Risk: Political capacity</b> Risk of being unable to make progress for Bristol due to i, financial constraint ii, limited political consensus					<b>Risk Code: CRR029</b>	
<b>Inherent Status: High (9)</b>		<b>Inherent Risk Severity: High</b>		<b>Inherent Risk Likelihood: High</b>		
<b>Date Identified: 01 Apr 2009</b>				<b>Service: Corporate Indicators (DCX)</b>		
<b>Mitigation records</b>						
<b>Mitigation Status</b>	<b>Mitigation</b>	<b>Info</b>	<b>Person</b>	<b>Date Identified</b>	<b>Last Review Date</b>	
Completed	Bethan Evans review of the constitution		Stephen McNamara	01/04/2009	18/10/2010	
On schedule	Financial environment	Public sector financial arrangements as announced by government are impacting on the administration. Cross party support for delivery difficult. Strategic choices against a challenging climate will be necessary.	Jan Ormondroyd	01/04/2009	18/10/2010	
On schedule	Review of progress on implementing key benefits for Bristol.	Via the Party Group Leaders meeting	Stephen McNamara	01/04/2009	18/10/2010	
On schedule	Scrutiny involvement in policy development/pre-decision scrutiny.		Stephen McNamara	01/04/2009	18/10/2010	
<b>Current Status: Review Overdue</b>		<b>Previous Status: Medium (4)</b>		<b>Current Risk Severity: High</b>		<b>Current Risk Likelihood: Medium</b>
<b>Risk Champion: Christine Castle</b>				<b>Risk Owner: Jan Ormondroyd</b>		
<b>Review Note:</b>						

<b>Risk: MAA (NB following election of the new government the status of the MAA is now unclear)</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: 01 Apr 2009</b>				<b>Service: Corporate Indicators (DCX)</b>		
<b>Mitigation records</b>						
<b>Mitigation Status</b>	<b>Mitigation</b>	<b>Info</b>	<b>Person</b>	<b>Date Identified</b>	<b>Last Review Date</b>	
On schedule	Establish new governance arrangements for West of England, in form of LEP and agreed MAA priorities	Submission made September 2010. Awaiting decision by CLG.	Will Godfrey	29/06/2010	18/10/2010	
Completed	Important sub-regional work being	High level group comprising local authority and partners'	Jan	01/04/2009	18/10/2010	
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## Corporate Risk Register (CRR only)

<b>Risk: MAA (NB following election of the new government the status of the MAA is now unclear)</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: 01 Apr 2009</b>			<b>Service: Corporate Indicators (DCX)</b>		
<b>Mitigation records</b>					
<b>Mitigation Status</b>	<b>Mitigation</b>	<b>Info</b>	<b>Person</b>	<b>Date Identified</b>	<b>Last Review Date</b>
	undertaken by officers	CEOs established to monitor MAA delivery and address particular blockages as they arise.	Ormondroyd		
On schedule	Prioritise delivery of MAA actions related to the economy, through the LEP	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	18/10/2010
Completed	Recruitment of lead BCC officer for MAA	The Head of Executive Office has been assigned the external agenda.	Jan Ormondroyd	01/04/2009	18/10/2010
Completed	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	18/10/2010
<b>Current Status: Review Overdue</b>		<b>Previous Status: High (6)</b>	<b>Current Risk Severity: High</b>	<b>Current Risk Likelihood: Medium</b>	
<b>Risk Champion: Christine Castle</b>			<b>Risk Owner: Jan Ormondroyd</b>		
<b>Review Note:</b>					

<b>Risk: Value for money</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>Risk Code: CRR008</b>
<b>Inherent Status: High (9)</b>		<b>Inherent Risk Severity: High</b>	<b>Inherent Risk Likelihood: High</b>		
<b>Date Identified: 01 Apr 2009</b>			<b>Service: Finance</b>		
<b>Mitigation records</b>					
<b>Mitigation Status</b>	<b>Mitigation</b>	<b>Info</b>	<b>Person</b>	<b>Date Identified</b>	<b>Last Review Date</b>

## Corporate Risk Register (CRR only)

<b>Risk: Value for money</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>Risk Code: CRR008</b>
<b>Inherent Status: High (9)</b>		<b>Inherent Risk Severity: High</b>	<b>Inherent Risk Likelihood: High</b>		
<b>Date Identified: 01 Apr 2009</b>			<b>Service: Finance</b>		
<b>Mitigation records</b>					
<b>Mitigation Status</b>	<b>Mitigation</b>	<b>Info</b>	<b>Person</b>	<b>Date Identified</b>	<b>Last Review Date</b>
Completed	A new VFM strategy has been agreed which sets out how we will judge Vfm & highlights priority areas	Work is now taking place to complete the baseline data. This will provide a consistent basis from which to establish trend data. First scorecards produced and reported to SLT August 2010 and Cabinet September 2010.	Will Godfrey	01/04/2009	08/10/2010
On schedule	Demonstration of outcomes from improvement work	On schedule and ongoing, through Performance Clinics and Health Checks. Directorate Health Checks now to be replaced by quarterly service plan reviews. New topics for performance clinics be decided in November 2010.	Nick Harris	22/01/2010	08/10/2010
On schedule	Departmental Finance Teams to focus more on VFM by releasing resources from budget monitoring	More resources identified, benchmarking undertaken and improvements in VFM identified, eg safeguarding is recognised as providing good VFM by Ofsted and has the lowest unit cost of the Core Cities.	Peter Robinson	22/01/2010	08/10/2010
On schedule	Departmental VFM indicators included in Service Delivery Plans	Department VFM Economy and Effectiveness indicators to be in place by end of Q2 10/11 (Sept 2010). VFM Efficiency measures by end of December 2010.	Nick Harris	01/04/2009	08/10/2010
On schedule	Development of the Transformation programme	Transformation programme workstreams being developed, and prioritised according to impact and VFM	Graham Sims	01/04/2009	08/10/2010
<b>Current Status: Review Overdue</b>		<b>Previous Status: Medium (4)</b>	<b>Current Risk Severity: Medium</b>	<b>Current Risk Likelihood: Medium</b>	
<b>Risk Champion: Christine Castle</b>			<b>Risk Owner: Will Godfrey</b>		
<b>Review Note:</b>					

<b>Risk: Educational Attainment</b> Failure to achieve improvement as a result of inadequate challenge and support from the Council.					<b>Risk Code: CRR010</b>
<b>Inherent Status: High (9)</b>		<b>Inherent Risk Severity: High</b>	<b>Inherent Risk Likelihood: High</b>		
<b>Date Identified: 01 Apr 2009</b>			<b>Service: Learning, Achievement &amp; Schools</b>		



<b>Corporate Risk Register (CRR only)</b>					
<b>Risk: Educational Attainment</b> Failure to achieve improvement as a result of inadequate challenge and support from the Council.					<b>Risk Code: CRR010</b>
<b>Inherent Status: High (9)</b>		<b>Inherent Risk Severity: High</b>	<b>Inherent Risk Likelihood: High</b>		
<b>Date Identified: 01 Apr 2009</b>			<b>Service: Learning, Achievement &amp; Schools</b>		
<b>Mitigation records</b>					
<b>Mitigation Status</b>	<b>Mitigation</b>	<b>Info</b>	<b>Person</b>	<b>Date Identified</b>	<b>Last Review Date</b>
Completed	Commission supplementary school provision to raise BME attainment	Commissioning process conducted and concluded	Nick Batchelar	01/07/2010	06/10/2010
On schedule	Conduct Primary Review	Phase 2 implementation under way	Annie Hudson	22/01/2010	06/10/2010
Completed	Deliver National Challenge Trust at Orchard School Bristol		Nick Batchelar	01/10/2009	06/10/2010
On schedule	Determine schools engagement in Children's Trust	REview of Children's Trust arrangements completed	Annie Hudson	22/01/2010	06/10/2010
Completed	Develop partnership with National Education Trust	To drive Primary educational improvement - due to end July 2010	Nick Batchelar	01/10/2009	06/10/2010
On schedule	Implement CYP Plan	World Class Primary Plan submitted to DCSF January 2010	Annie Hudson	01/04/2009	06/10/2010
Completed	Implement Excellence for All package of work		Annie Hudson	01/04/2009	06/10/2010
Completed	Implement National Challenge Plan	For selected secondary schools in Bristol	Nick Batchelar	01/10/2009	06/10/2010
On schedule	Implement outcomes of review of out of school provision	The review has been completed and "Back on Track" strategy published	Nick Batchelar	01/07/2010	06/10/2010
On schedule	Seek further decline in fixed term exclusion	Data shows continuing decline	Nick Batchelar	01/04/2009	06/10/2010
On schedule	Work in partnership with a range of agencies		Nick Batchelar	01/04/2009	06/10/2010
<b>Current Status: Review Overdue</b>		<b>Previous Status: Medium (4)</b>	<b>Current Risk Severity: Medium</b>		<b>Current Risk Likelihood: Medium</b>
<b>Risk Champion: Craig Bolt</b>			<b>Risk Owner: Annie Hudson</b>		
<b>Review Note:</b>					

## Corporate Risk Register (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					
Mitigation 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	01/10/2010
On schedule	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	01/10/2010
Behind schedule	BC related PMDS objectives for key staff	CCCG met 7 October 2010 with new Champions and agreed BC Strategy and Policy in which PMDS aspects will be included, which DCX will lead on. It also will include an annual review .	Graham Sims	01/04/2009	01/10/2010
On schedule	Community risks identified and communicated	Local Resilience Forum (LRF) Community Risk Register regularly reviewed; Bristol focussed Risk Register under development by CPU;	Graham Sims	23/01/2010	01/10/2010
On schedule	Critical Services and staff identified for each Directorate and continuity plans in place	Critical Service list reviewed June 2010. Critical Service Business Continuity Plans review is on schedule.	Kelvin Hattersley	23/01/2010	01/10/2010
Behind schedule	Directorate Plans in preparation. Testing and review schedule.	Directorate Plans still require completing for new post-Transformation Directorates.	Kelvin Hattersley	23/01/2010	01/10/2010
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.	Graham Sims	23/01/2010	01/10/2010
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	01/10/2010
Completed	Procedures for embedding appropriate BC arrangements in future contracts		John Charters	01/04/2009	01/10/2010
Behind schedule	Resources for planning and testing	New Directorates to identify the resources needed to deliver planning and testing outcomes	Kelvin Hattersley	01/04/2009	01/10/2010

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## Corporate Risk Register (CRR only)

<b>Risk: Civil Emergency</b> 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.					<b>Risk Code: CRR013</b>
<b>Inherent Status: High (9)</b>		<b>Inherent Risk Severity: High</b>		<b>Inherent Risk Likelihood: High</b>	
<b>Date Identified: 01 Apr 2009</b>			<b>Service: Performance &amp; Improvement</b>		
<b>Mitigation records</b>					
Mitigation Status	Mitigation	Info	Person	Date Identified	Last Review Date
On schedule	Second Tier Contingency Champions identified for each Directorate	Completed but likely to be affected by changes resulting from forthcoming restructuring.	Kelvin Hattersley	01/04/2009	01/10/2010
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	01/10/2010
Behind schedule	Sufficient trained staff and volunteers	CPU will be affected by retirement of manager (January 2011) and in consequence elements of service delivery may be impacted, ie training; LRF strategic work etc .	Kelvin Hattersley	01/04/2009	01/10/2010
<b>Current Status: Review Overdue</b>		<b>Previous Status: Medium (4)</b>	<b>Current Risk Severity: Medium</b>		<b>Current Risk Likelihood: Medium</b>
<b>Risk Champion: Christine Castle</b>			<b>Risk Owner: Graham Sims</b>		
<b>Review Note:</b>					

<b>Risk: Pandemic Flu</b> 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.					<b>Risk Code: CRR033</b>
<b>Inherent Status: High (9)</b>		<b>Inherent Risk Severity: High</b>		<b>Inherent Risk Likelihood: High</b>	
<b>Date Identified: 01 Apr 2009</b>			<b>Service: Safer Bristol Partnership</b>		
<b>Mitigation records</b>					
Mitigation 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	Simon Creed	01/04/2009	01/10/2010
Completed	Excess mortality plan	LA Excess mortality arrangements are being coordinated by the LRF	Simon	01/04/2009	01/10/2010
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## Corporate Risk Register (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: Safer Bristol Partnership**

### Mitigation records

Mitigation Status	Mitigation	Info	Person	Date Identified	Last Review Date
		Enhanced Port Health surveillance capability.	Creed		
Completed	Forecasting	The first wave of Pandemic Flu has passed. Health Authorities are awaiting the autumn/winter season 2010 to evaluate the likely impact of the second and third waves.	Hugh Annett	01/04/2009	01/10/2010
Completed	Hygiene facilities available at all shared work and training areas		Simon Creed	01/04/2009	01/10/2010
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	01/10/2010
On schedule	Port Health Authorities working closely with the Health Protection Agency (HPA)		Simon Creed	01/04/2009	01/10/2010
Completed	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	01/10/2010

**Current Status: Review Overdue**

**Previous Status: Medium (3)**

**Current Risk Severity: Low**

**Current Risk Likelihood: Low**

**Risk Champion: Christine Castle**

**Risk Owner: Graham Sims**

**Review Note:** The World Health Organisation announced on 10 August 2010 that the H1N1 Swine Flu pandemic had entered a 'post pandemic' phase and was no longer a pandemic. It is proposed, therefore, that the Pandemic Flu risk be removed from the BCC Corporate Risk Register.

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