

INFORMATION REPORT TO THE AUDIT COMMITTEE

8th JULY 2011

PURPOSE OF REPORT:

SUBMISSION OF CORPORATE RISK REGISTER (Version 41, Quarter 4 2010/11) FOR INFORMATION

REPORT AUTHOR:

DICK POWELL, CHIEF INTERNAL AUDITOR

BACKGROUND:

The Corporate Risk Register attached at Appendix A shows the final position for the 4th Quarter 2010/11. The Corporate Risk Register (CRR) was previously submitted to the Audit Committee on 28th January 2011 (Version 38, provisional review 3rd Quarter 2010/11).

The cycle for review of the CRR is established as:

Mitigation & Risk owners - quarterly.

Strategic Leadership Team, Executive Briefing, Cabinet Briefing - 6 monthly.

Director of Corporate Services "offline" review (staggered midway between SLT reviews) - 6 monthly.

Audit Committee (information report) - 6 monthly.

RECENT CHANGES TO THE CORPORATE RISK REGISTER :

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

5 new risks:

- CRR42 Flood risk. *The risk affecting over 16,000 properties, 30,000 expected in future in addition to major trunk roads (eg A4, M5, M49, M32) and 15,000 properties in business and industry.*
- CRR41 Customer Services. *Lack of staff and higher than forecast volume has led to poor performance. Significant savings from Integrated Customer Services will be required from April 2012. Lack of capacity could result in a further reduction in performance and a failure to deliver the modernisation programme and consequential savings.*
- CRR39 Housing Benefits. *Failure to provide a Housing Benefits service of an adequate standard and to maximise the subsidy receivable from the Government. Failure to deliver against the recommendations of the Audit Commission inspection and internal audit reports.*
- CRR40 Climate Change - future proofing Bristol. *Failure to lead the climate change*

future proofing of Bristol over the next ten years resulting in a city which is poorly adapted to the impacts of climate change (Bristol 20:20 Plan priority).

- CRR38 Performance Management. *Failure to ensure that appropriate performance management arrangements are in place to deliver stated outcomes against corporate priorities.*

6 deleted risks:

- CRR28 Waste Management
Mitigations completed, and about to award the waste disposal contract in the next 6 weeks. The only risk remaining is being overseen by the Neighbourhoods Directorate Risk Register item NH002 ie the mobilisation phase of the project.
- CRR26 Transport Infrastructure.
Residual CRR26 issues now incorporated within the CRR4 Management and Delivery of Major Infra-structure Projects risk.
- CRR23 MAA
Residual West of England LEP issue formerly itemised in CRR23 now incorporated within the CRR37 Local Enterprise Partnership risk.
- CRR33 Pandemic Flu
The risk of a 'Human Pandemic Disease' remains the 'number 1' risk on the National Risk Register, but this is a more general risk that is managed globally rather than locally. Both the Joint Director Public Health and the Civil Protection Manager agreed for it to be removed from the CRR.
- CRR30 Neighbourhood-level Planning and Engagement
All the mitigating actions have been completed and future administration will be part of business as usual.
- CRR36 Delivery of LAA1 by March 2010, and LAA2 by March 2011
Both LAA1 and LAA2 have been abolished.

2010/11 - QUARTER 4 RISK REPORT

CORPORATE RISK REGISTER

	No.	Day	Month	Year
VERSION	41	8th	July	2011

VERSION CONTROL HISTORY

Version No.	Reviewed By:	Review Date	Version No	Reviewed By:	Review Date
27	Audit Committee	15/1/10 (Quarter 2)	36	Strategic Leadership Team ("Offline" review))	23/11/10 (Quarter 2)
28	Cabinet Briefing	21/1/10 (Quarter 2)	37	Executive Briefing	08/12/10 (Quarter 2)
29	Risk Management Group	8/4/10 (Quarter 3)	37	Cabinet Briefing	09/12/10 (Quarter 2)
30	Strategic Leadership Team	11/5/10 (Quarter 4)	38	Audit Committee	28/1/11 (Quarter 3 WIP)
31	Cabinet Briefing	27/5/10 (Quarter 4)	39	Strategic Leadership Team	8/3/11 (Quarter 3)
32	Audit Committee	18/6/10 (Quarter 4)	39	Executive Briefing	9/3/11 (Quarter 3)
33	Strategic Leadership Team	17/8/10 (Quarter 1)	40	Cabinet Briefing	24/3/11 (Quarter 3)
34	Executive Briefing	1/9/10 (Quarter 1)	41	Strategic Director Corporate Services "Offline" Review	3/6/11 (Quarter 4)
35	Cabinet Briefing	16/9/10 (Quarter 1)	41	Audit Committee	8/7/11 (Quarter 4)

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 shown below are as compared with the previous submission to the 28th January Audit Committee (Version 38):

Risk No.	RISK	Current Risk Ranking	VARIATION TO RISK			Additional information: (inc. amended/new/deleted risk, additional mitigations/information)
			Previous Risk Ranking	Direction of travel		
			Current Status	Previous Status		
16	Children in Need	1	1	6	6	Additional information: Local action plan being developed to address Munro Review, which will synchronise with a national government response due in July. Review being undertaken of safeguarding recruitment processes across all agencies including CYPS. New staff training plan being developed for 11/12.
24	Transforming Bristol Portfolio	2	2	6	6	Additional information: A benefits management board now established, led by Strategic Director Corporate Services and

Risk No.	RISK	Current Risk Ranking	VARIATION TO RISK			
			Previous Risk Ranking	Direction of travel		(inc. amended/new/deleted risk, additional mitigations/information)
				Current Status	Previous Status	
						the DCX, to regularly review the delivery of financial and non-financial benefits.
27	Information Security	3	3	6	6	<u>Additional information:</u> E-learning package being rolled out to staff - 71% take up.
29	Political capacity	4	18	6	4	<u>Additional mitigations:</u> Implementation of new legislation. Strengthen links with and opportunities to influence govt and civil service in key policy areas.
35	Payroll IT System	5	4	6	6	<u>Additional information:</u> Decision taken to replace the existing payroll system with an upgraded version of the product. Payroll Project Team and governance in place. Project supplier also a member of the board to improve supplier/client relationship. Outline timetable to run from May to December 2011 with 'go live' January 2012.
42	Flood risk	6	N/A	6	N/A	NEW RISK
41	Customer Services	7	N/A	6	N/A	NEW RISK
31	Economic recovery	8	17	4	Review overdue	<u>Additional mitigations:</u> Finance reporting to Resources Scrutiny Commission Bristol Partnership action within 20:20 priorities on disproportionality of economic impact Bristol Partnership is giving leadership to work on child poverty and youth employability. LEP is being established with the delivery of jobs and economic growth at its core.
8	Value for Money	9	20	4	Review overdue	<u>Additional information:</u> Performance & Improvement Team is focused on working with directorates on VFM priority areas as identified in the VFM strategy. Finance Teams renewing focus on VFM. Budget holders will be required to work with Finance Teams to demonstrate VFM in 2011/12. H&SC & CYPS transformation programmes designed to deliver VFM. VFM strategy reviewed Feb 2011. Report to SLT in March on greater efficiency savings in 2011/12. 26 priority areas identified for VFM focus.
10	Educational Attainment	10	21	4	Review overdue	<u>Additional mitigations:</u> Undertake governor recruitment drive. <u>Additional information:</u> Underperforming School PAn submitted in April 2011 awaiting feedback from the DfE. Significant rise in Summer 2010 results.
5	Recruitment, Retention and Restructuring	11	8	4	4	<u>Additional information:</u> Monthly reporting to SODB on headcount, including casuals, agency workers and employees. People Strategy to be refreshed to reflect changing organisational context. Monitoring of agency workers through SODB takes place on a monthly basis. Appointment of consultants requires Vacancy Management Panel

Risk No.	RISK	Current Risk Ranking	VARIATION TO RISK			
			Previous Risk Ranking	Direction of travel		(inc. amended/new/deleted risk, additional mitigations/information)
				Current Status	Previous Status	
						approval in every case. In addition, STS will not pay any agency worker or consultant without VMP approval.
25	Adult Care	12	9	4	4	No change
11	Financial Management	13	10	4	4	<p><u>Additional information:</u> Reduced CYPs overspend in 10/11 of 496k against Q3 forecasted overspend of 1.2 million, achieved by bringing forward planned savings from other areas. However, significant recurrent overspend remains in placement budgets, due to tear on year increase in no. of looked after children and being mitigated by active recruitment of in-house foster carers. A detailed new MTFP will be prepared during 2011/12. H&SC Action Plan completed to achieve a balanced budget for 2010/11. 2010/11 outturn indicates budget overspend of 602k. MTFP agreed for 2011/12 with savings of £7,360k built into balanced budget. Savings identified within operational areas and monitoring system set up to review in year progress for 2011/12 and 2012/13. Scenario planning completed to identify comprehensive spending review savings for 2011/12.</p>
4	Management and Delivery of Major Infra-structure Projects	14	11	4	4	No change.
13	Civil Emergency	15	22	4	Review overdue	No change
37	Local Enterprise Partnership	16	5	4	6	<p><u>Additional mitigations:</u> Determine adequate resourcing arrangements for the LEP Ensure strong engagement from partners and embedding of LEP priorities in partners' priorities.</p>
39	Housing Benefits	17	N/A	4	N/A	NEW RISK
40	Climate Change	18	N/A	4	N/A	NEW RISK
38	Performance Management	19	N/A	3	N/A	NEW RISK
14	Industrial Relations	20	13	2	3	No change.
12	Health & Safety	21	14	2	2	No change.
34	Health & Adult Social Care overspend	22	12	2	4	<p><u>Additional mitigations:</u> Create and use of reserves and provisions consistent with accounting standards. Identify resources of additional funding. Maintain financial controls and governance arrangements.</p>
28	Waste Management	N/A	6	N/A	4	DELETED RISK

Risk No.	RISK	Current Risk Ranking	VARIATION TO RISK			
			Previous Risk Ranking	Direction of travel	(inc. amended/new/deleted risk, additional mitigations/information)	
				Current Status	Previous Status	
26	Transport Infrastructure	N/A	7	N/A	4	DELETED RISK
23	MAA	N/A	19	N/A	Review overdue	DELETED RISK
33	Pandemic Flu	N/A	23	N/A	Review overdue	DELETED RISK
30	Neighbourhood-level Planning and Engagement	N/A	15	N/A	1	DELETED RISK
36	Delivery of LAA1 by March 2010, and LAA2 by March 2011	N/A	16	N/A	1	DELETED RISK

Corporate Risk Register (CRR only)

Report for 2011-2012
 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

Risks: Review Overdue (0+) High (6+) Medium (3+) Low (1+)

Corporate Risk Register (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						
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date	
Completed	Implement practice improvement project	completed	Ian McDowall	22/01/2010	17/05/2011	
On schedule	Produce and implement co-ordinated local action plan	Plan being developed to address Munro Review. Munro report published on 10 May 2010 and work is underway to produce a local action plan which will synchronise with a national government response due in July.	Ian McDowall	01/04/2009	17/05/2011	
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. Review being undertaken of safeguarding recruitment processes across all agencies including CYPS.	Ian McDowall	22/01/2010	17/05/2011	
On schedule	Review and update child protection procedures regularly to ensure compliance	The 2010 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. Completion dependent on outcome of Munro Review and recommendations.	Ian McDowall	01/10/2009	17/05/2011	
On schedule	Train staff to ensure that required standards are achieved & maintained	The training will include inter-agency child protection issues. New training plan being developed for 11/12.	Ian McDowall	01/10/2009	17/05/2011	
Current Status: High (6)			Previous Status: High (6)		Current Risk Severity: High	
Risk Champion: Craig Bolt				Current Risk Likelihood: Medium		
Risk Owner: Annie Hudson						
Review Note:						

Corporate Risk Register (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: Information, Communications & Technology		
Mitigation records						
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date	
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 and Cabinet.	Will Godfrey	01/12/2010	11/03/2011	
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.	Will Godfrey	01/04/2009	11/03/2011	
On schedule	Corporate co-ordination and ownership is through portfolio delivery team and SODB	Strategic Options Delivery Board (SODB) regularly reviews co-ordination of the programmes and their implications.	Will Godfrey	01/04/2009	11/03/2011	
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 on a regular basis.	Will Godfrey	22/01/2010	11/03/2011	
On schedule	Portfolio Risk Register -- Benefits Realisation	Critical that benefits from programmes are captured. A benefit framework is being developed to ensure benefit tracking through programme delivery into benefit realisation plans. BRP to be developed for all key projects and programmes aligned to SODB reporting of financial benefit delivery. A benefits management board now established, led by the Strategic Director Corporate Services and the DCX, to regularly review the delivery of financial and non-financial benefits, first meeting in March 2011.	Paul Arrigoni	01/01/2010	11/03/2011	
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 to introduce risk categorisation to gain a better view of risk profile across all programmes	Paul Arrigoni	01/04/2009	11/03/2011	
Current Status: High (6)		Previous Status: High (6)		Current Risk Severity: High		Current Risk Likelihood: Medium
Risk Champion: Christine Castle				Risk Owner: Will Godfrey		
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		
Mitigation records						
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date	
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	20/04/2011	
Completed	Incident reporting and recording system to be developed.	System and procedures now in operation	Rob Scott	01/04/2009	20/04/2011	
On schedule	Information systems classified according to new scheme.		Rob Scott	01/04/2009	20/04/2011	
Behind schedule	New IT structure	One vacancy remains in the Security team. Recruitment in progress	Rob Scott	01/04/2009	20/04/2011	
Behind schedule	Revise and rollout policy and standards	Review and update of Security Policy and standards is planned - expected completion date tbc.	Rob Scott	01/04/2009	20/04/2011	
Behind schedule	Security training for all staff	E-learning package being rolled out to staff, and take up currently 71%	Rob Scott	01/04/2009	20/04/2011	
Current Status: High (6)		Previous Status: High (6)		Current Risk Severity: High		Current Risk Likelihood: Medium
Risk Champion: Christine Castle				Risk Owner: Rob Scott		
Review Note:						

Corporate Risk Register (CRR only)

Risk: Political capacity Risk of being unable to make progress for Bristol due to: i, financial constraint ii, limited political consensus iii, impact of Localism Bill					Risk Code: CRR029	
Inherent Status: High (9)		Inherent Risk Severity: High		Inherent Risk Likelihood: High		
Date Identified: 01 Apr 2009				Service: Corporate Indicators (DCX)		
Mitigation records						
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date	
Behind schedule	Financial environment	Proposals to be developed to meet ongoing financial challenge	Will Godfrey	01/04/2009	23/05/2011	
On schedule	Implementation of new legislation	Members have been given a detailed briefing on emerging legislation such as the Localism Bill including Mayoral and Police Commissioner proposals. A programme of work is needed to prepare the Council for these substantial changes.	Jan Ormondroyd	28/02/2011	23/05/2011	
On schedule	Review of progress on implementing key benefits for Bristol	Via the Party Group Leaders meeting	Jan Ormondroyd	01/04/2009	23/05/2011	
On schedule	Strengthen links with and opportunities to influence govt and civil service in key policy areas	Ministerial meetings sought with briefings to be provided in advance. Engagement with Core Cities as a highly influential group. Ongoing engagement through the LGA. Maintain direct relationships with senior officials and Ministerial offices.	Jan Ormondroyd	28/02/2011	23/05/2011	
Current Status: High (6)		Previous Status: High (6)		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						
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date	
On schedule	Payroll solution	Decision taken to replace the existing payroll system with an upgraded version of the product. Payroll Project Team and governance in place. Project supplier also a member of the board to improve supplier/client relationship. Outline timetable to run from May to December 2011 with 'go live' January 2012.	Jill Mikkelson	30/09/2010	13/04/2011	
Current Status: High (6)		Previous Status: High (6)		Current Risk Severity: High		Current Risk Likelihood: Medium
Risk Champion: Christine Castle				Risk Owner: Jill Mikkelson		
Review Note:						

Corporate Risk Register (CRR only)

Risk: Flood Risk The risk affecting over 16,000 properties, 30,000 expected in future in addition to major trunk roads (e.g. A4, M5, M49, M32) and 15,000 properties in business and industry					Risk Code: CRR042
Inherent Status: High (6)		Inherent Risk Severity: High		Inherent Risk Likelihood: Medium	
Date Identified: 20 Sep 2010			Service: Engineering Group		
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
On schedule	Adequate insurance	Ensure all Council premises and housing stock are adequately insured.	Elaine Carpenter	28/04/2011	28/04/2011
On schedule	Barrier equipment	Ensure sufficient flood barrier equipment is in place, maintained and staff training is provided.	Simon Creed	28/04/2011	28/04/2011
On schedule	BCC Flood Plan	Complete a BCC Flood Plan	Simon Creed	28/04/2011	28/04/2011
Behind schedule	Business case for Highways drainage and watercourses	Prepare business case to secure funding required to catch-up on works to improve the highway drainage and watercourses.	Steven Sodek	01/10/2010	28/04/2011
On schedule	Conduct Central Area Flood Risk Assessment	A study to understand the level of protection of defences along the River Avon and its tributaries now and in the future (climate change and sea level rise).	Steven Sodek	01/10/2010	28/04/2011
On schedule	Conduct Surface Water Management Plan Study	To understand the impact of rainfall run-off over the whole city	Steven Sodek	01/10/2010	28/04/2011
On schedule	Continued flood support Council wide	Continued support to flooding response from Highways and Waste teams	Jim Creamer	28/04/2011	28/04/2011
On schedule	Develop a Strategy document	As required by the Flood Water Maintenance Act 2010, following the outcome of the studies.	Steven Sodek	01/10/2010	28/04/2011
On schedule	Develop Water Management Policy	To develop a Water Management Policy within the Core Strategy to manage how water is used	Peter Mann	15/12/2010	28/04/2011
Behind schedule	Dundry Hill Flood Risk Assessment	A study to improve the asset database and understand the risks that the unique topography of the area poses towards properties in South Bristol	Steven Sodek	01/10/2010	28/04/2011
On schedule	Establish a register	As required by the Flood Water Maintenance Act to log all flood incidents.	Steven Sodek	01/10/2010	28/04/2011
On schedule	Establish an automated system to improve delivery and compliance	Establish an automated system to improve the delivery and compliance with maintenance contracts	Steven Sodek	01/10/2010	28/04/2011
On schedule	Establish close working liaison with Civil Contingency Unit	Close working liaison to be established with Civil Contingency Unit in order to be prepared for major floods.	Steven Sodek	01/10/2010	28/04/2011
On schedule	Exercise Watermark	Complete the multi-agency flood planning and exercising (Exercise Watermark March 2011).	Simon Creed	28/04/2011	28/04/2011
On schedule	Flood awareness	Undertake awareness work around rapid catchment area - Brislington Brook.	Simon Creed	28/04/2011	28/04/2011
On schedule	Insurance for Council tenants	Undertake work to increase the take-up of building contents insurance by Council tenants.	Elaine Carpenter	28/04/2011	28/04/2011
On schedule	Preliminary Flood Risk Assessment	To complete a preliminary Flood Risk Assessment as required by the EU Floods Directive.	Steven Sodek	01/10/2010	28/04/2011
On schedule	Property protection	Work to improve the individual property protection to the Council social housing stock.	Elaine Carpenter	28/04/2011	28/04/2011
On schedule	Recovery Plan	Complete a BCC Recovery Plan	Simon Creed	28/04/2011	28/04/2011
Behind schedule	Review of funding to protect Avonmouth	Review of the funding to improve defences and mitigate the risks to protect the future of Avonmouth to proceed with the business case.	Peter Mann	01/10/2010	28/04/2011
On schedule	Sustainable drainage systems	Co-ordinate and obtain approval for sustainable drainage systems for new developments	Steven Sodek	01/10/2010	28/04/2011

Corporate Risk Register (CRR only)					
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
Behind schedule	To identify additional land	Additional land to be identified for development control to be safeguard for flood prevention measures.	Steven Sodek	01/10/2010	28/04/2011
On schedule	Warnings and forecasts	Ensure continuation of information reviewed relating to EA flood warnings and Met Office weather forecasts.	Simon Creed	28/04/2011	28/04/2011
Current Status: High (6)		Previous Status: High (6)		Current Risk Severity: High	
Risk Champion: Mike Harding			Risk Owner: None		
Review Note:					

Risk: Customer Services Lack of staff and higher than forecast volume has led to poor performance. Significant savings from Integrated Customer Services will be required from April 2012. Lack of capacity could result in a further reduction in performance and a failure to deliver the modernisation programme and consequential savings.					
Inherent Status: High (9)					
Inherent Risk Severity: High		Inherent Risk Likelihood: High			
Date Identified: 10 Oct 2010			Service: Integrated Customer Services		
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
On schedule	Corporate ownership of ICS and channel shift	Blueprint and draft business case for modernisation approved by SODB April 2011. Full business case to be approved by Cabinet June 2011. On going work with Process owners - through BPR - to reduce failure demand (and therefore volume) and improve processes.	Will Godfrey	10/10/2010	05/05/2011
Behind schedule	Ensure current operations are resourced effectively	We now have an agreed workforce plan to manage the workforce establishment more proactively and with certainty which enables us to match volume to demand better. IVR goes live this summer to reduce the volume of calls coming to advisors.	Julia James	10/10/2010	05/05/2011
Current Status: High (6)		Previous Status: High (6)		Current Risk Severity: High	
Risk Champion: Christine Castle			Risk Owner: Will Godfrey		
Review Note:					

Risk: Economic Recovery Risk of failing to restore economic growth for Bristol as a City, with specific implications for the Council.					
Inherent Status: High (9)					
Inherent Risk Severity: High		Inherent Risk Likelihood: High			
Date Identified: 01 Apr 2009			Service: Corporate Indicators (DCX)		
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
On schedule	Bristol Partnership action within 20:20 priorities on disproportionality of economic impact	Bristol Partnership has agreed a specific action within the 20:20 priorities as at January 2011, to 'address the potential risks of the cumulative impact of the current economic and fiscal decisions affecting some communities and groups disproportionately'. Implementation will be through the Bristol Partnership governance group.	Kathy Eastwood	01/04/2009	26/05/2011
On schedule	Bristol Partnership is giving leadership to work on child poverty and youth employability	Bristol Partnership executive board in January 2011 agreed to give leadership to work on child poverty and youth unemployment. Child poverty strategy due to be agreed by summer 2011. Actions to tackle youth unemployment to be agreed at Partnership executive board June 2011.	Kathy Eastwood	01/04/2009	26/05/2011
On schedule	Finance reporting to Resources Scrutiny Commission	Regular reporting to Resources Scrutiny on the impact of the economic downturn on the Council, identifying where there is deterioration and what actions are being taken to address the issues.	Peter Robinson	28/02/2011	26/05/2011
On schedule	LEP is being established with the delivery of jobs and economic growth at its core	LEP established and work is now focused on agreeing targets and implementation.	Jan Ormondroyd	01/04/2009	26/05/2011
Current Status: Medium (4)		Previous Status: Medium (4)		Current Risk Severity: Medium	
Risk Champion: Christine Castle			Risk Owner: Will Godfrey		
Review Note:					

Corporate Risk Register (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						
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date	
On schedule	Demonstration of outcomes from improvement work	Performance & Improvement team is focused on working with directorates on VFM priority areas as identified in the VFM Strategy, to deliver improvement.	Denise Hunt	22/01/2010	31/05/2011	
On schedule	Departmental Finance Teams to focus more on VFM by releasing resources from budget monitoring	Finance teams are renewing their focus on VFM as part of identifying potential areas for future years' savings to achieve the Council's MTFP. Joint working with the Performance & Improvement team is being established to roll out and embed the principles and practice required by the new VFM Strategy.	Peter Robinson	22/01/2010	31/05/2011	
On schedule	Departmental VFM indicators included in Service Delivery Plans	VFM indicators are being reviewed in the light of benchmark data, and budget holders will be required to work with Finance teams to demonstrate VFM in 2011/12. This will be achieved by the requirement for every service area to have at least one Economy or Cost measure, and at least one Efficiency or Effectiveness measure, to be registered on SPAR.net and used as evidence in the mandatory VFM self-assessment required of every budget-holding manager.	Peter Robinson	01/04/2009	31/05/2011	
On schedule	Development of the Transformation programme	Key transformation programmes are taking place in H&SC and CYPS alongside corporate transformation programmes, designed to deliver VFM.	Paul Arrigoni	01/04/2009	31/05/2011	
On schedule	Implement VFM Strategy	Launch due for June 2011, supported by a defined programme of communications and hands-on support to be delivered throughout the remainder of 2011/12. The corporate Performance & Improvement team are providing advice and guidance in directorates for the mandatory self-assessments.	Denise Hunt	31/05/2011	31/05/2011	
Completed	The VFM strategy agreed March 2010 sets out how we will judge VFM and highlights priority areas	Strategy reviewed in February 2011. Report to SLT in March on the refreshed strategy and the approach to be taken to VFM in 2011/12 to deliver greater efficiency savings. 26 priority areas were identified for VFM focus.	Will Godfrey	01/04/2009	31/05/2011	
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:						

Corporate Risk Register (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						
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date	
On schedule	Achieve further decline in fixed term exclusion	Data shows continuing decline at Primary and Secondary.	Nick Batchelar	01/04/2009	17/05/2011	
On schedule	Build partnership agreement with schools	Establish strong partnership agreements with schools in light of the changes outlined in the Schools White Paper Nov 2010.	Nick Batchelar	16/05/2011	17/05/2011	
Completed	Commission supplementary school provision to raise BME attainment	Commissioning process conducted and concluded	Nick Batchelar	01/07/2010	17/05/2011	
Completed	Conduct Primary Review	Review has been put on back burner	Annie Hudson	22/01/2010	17/05/2011	
Completed	Deliver National Challenge Trust at Orchard School Bristol		Nick Batchelar	01/10/2009	17/05/2011	
Completed	Determine schools engagement in Children's Trust	Review of Children's Trust arrangements completed	Annie Hudson	22/01/2010	17/05/2011	
Completed	Develop partnership with National Education Trust	To drive Primary educational improvement - due to end July 2010	Nick Batchelar	01/10/2009	17/05/2011	
On schedule	Implement CYP Plan actions	Under Performing School Plan submitted in April 2011 awaiting feedback from the DfE. Significant rise in summer 2010 results	Nick Batchelar	01/04/2009	17/05/2011	
Completed	Implement Excellence for All package of work	No longer Central Government policy	Annie Hudson	01/04/2009	17/05/2011	
Completed	Implement National Challenge Plan	For selected secondary schools in Bristol. No longer a Central Government initiative.	Nick Batchelar	01/10/2009	17/05/2011	
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	17/05/2011	
On schedule	Undertake governor recruitment drive		Nick Batchelar	08/02/2011	17/05/2011	
On schedule	Work in partnership with a range of agencies		Nick Batchelar	01/04/2009	17/05/2011	
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:						

Corporate Risk Register (CRR only)

Risk: Recruitment, retention and restructuring 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.					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						
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date	
On schedule	Monitoring of turnover/vacancies	Monthly reporting to SODB on headcount, including casuals, agency workers and employees	Mike Watts	01/04/2009	14/04/2011	
On schedule	People Strategy	People Strategy to be refreshed and rewritten to reflect changing organisational context	Mark Williams	23/01/2010	14/04/2011	
On schedule	Use of agency workers and consultants	Monitoring of agency workers through SODB takes place on a monthly basis. Appointment of consultants requires Vacancy Management Panel approval in every case. In addition STS will not pay any agency worker or consultant without VMP approval.	Mike Watts	01/04/2009	14/04/2011	
Current Status: Medium (4)		Previous Status: Medium (4)		Current Risk Severity: Medium		Current Risk Likelihood: Medium
Risk Champion: Christine Castle				Risk Owner: Mike Watts		
Review Note:						

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: Corporate Indicators (HSC)		
Mitigation records						
Mitigation Status	Mitigation	Info	Responsible 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.	Netta Meadows	01/04/2009	31/03/2011	
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	31/03/2011	
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	31/03/2011	
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	31/03/2011	
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	31/03/2011	
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	31/03/2011	
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	31/03/2011	
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	31/03/2011	
Current Status: Medium (4)		Previous Status: Medium (4)		Current Risk Severity: Medium		Current Risk Likelihood: Medium
Risk Champion: Denise Hunt				Risk Owner: David Johnstone		
Review Note:						

Corporate Risk Register (CRR only)

Risk: Financial management 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					Risk Code: CRR011	
Inherent Status: High (6)			Inherent Risk Severity: High		Inherent Risk Likelihood: Medium	
Date Identified: 01 Apr 2009				Service: Finance		
Mitigation records						
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date	
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	24/05/2011	
Behind schedule	CYPS budget containment in relation to growth in safeguarding	Reduced overspend in 10/11 of 496k against Q3 forecasted overspend of 1.2 million, achieved by bringing forward planned savings from other areas. However significant recurrent overspend remains in placement budgets, due to year on year increase in no. of looked after children and being mitigated by active recruitment of in-house fosters carers.	Annie Hudson	01/04/2010	24/05/2011	
On schedule	Financial forecast	A detailed new MTFP will be prepared during 2011/12.	Will Godfrey	01/04/2009	24/05/2011	
On schedule	Formal quarterly budget/capital programme monitors and monthly monitors of risk areas.		Peter Robinson	01/04/2009	24/05/2011	
On schedule	H&SC budget containment	Action Plan completed to achieve a balanced budget for 2010/11. 2010/11 outturn indicates budget underspend of £602k. MTFP agreed for 2011/12 with savings of £7,360k built into balanced budget. Savings identified within operational areas and monitoring system set up to review in-year progress for 2011/12 and 2012/13.	Alison Comley	01/04/2009	24/05/2011	
Completed	Scenario planning is taking place to identify the impact of the comprehensive spending review	Scenario planning completed to identify savings for 2011/12.	Will Godfrey	19/08/2010	24/05/2011	
Current Status: Medium (4)		Previous Status: Medium (4)		Current Risk Severity: Medium		Current Risk Likelihood: Medium
Risk Champion: Christine Castle				Risk Owner: Peter Robinson		
Review Note:						

Corporate Risk Register (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								
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date			
On schedule	Capital Programme Board	Capital Programme Board established to monitor key progress, spend, issues and risks monthly.	Alistair Cox	17/01/2011	25/05/2011			
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	25/05/2011			
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	25/05/2011			
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	25/05/2011			
On schedule	Internal gateway review	Continue the internal gateway review process for major projects	David Bishop	17/01/2011	25/05/2011			
Completed	Leader's Briefing Group receives progress reports.		Alun Owen	01/04/2009	25/05/2011			
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	25/05/2011			
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	25/05/2011			
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	25/05/2011			
On schedule	Review and Monitor Capital recharges		Alistair Cox	17/01/2011	25/05/2011			
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	25/05/2011			
Completed	Revise guidance on procurement and project management	Follow the Redland Green external audit report.	Alun Owen	01/01/2010	25/05/2011			
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	25/05/2011			
Current Status: Medium (4)			Previous Status: Medium (4)			Current Risk Severity: Medium		
Risk Champion: Mike Harding			Risk Owner: David Bishop			Current Risk Likelihood: Medium		
Review Note:								

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: Safer Bristol Partnership		
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible 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	Simon Creed	01/04/2009	25/05/2011
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	Simon Creed	01/04/2009	25/05/2011
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 .	Alison Comley	01/04/2009	25/05/2011
On schedule	Community risks identified and communicated	Local Resilience Forum (LRF) Community Risk Register regularly reviewed; Bristol focussed Risk Register under development by CPU;	Alison Comley	23/01/2010	25/05/2011
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.	Simon Creed	23/01/2010	25/05/2011
Behind schedule	Directorate Plans in preparation. Testing and review schedule.	Directorate Plans still require completing for new post-Transformation Directorates.	Simon Creed	23/01/2010	25/05/2011
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.	Alison Comley	23/01/2010	25/05/2011
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	25/05/2011
Completed	Procedures for embedding appropriate BC arrangements in future contracts		John Charters	01/04/2009	25/05/2011
Behind schedule	Resources for planning and testing	New Directorates to identify the resources needed to deliver planning and testing outcomes	Simon Creed	01/04/2009	25/05/2011
On schedule	Second Tier Contingency Champions identified for each Directorate	Completed but likely to be affected by changes resulting from forthcoming restructuring.	Simon Creed	01/04/2009	25/05/2011
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	Simon Creed	01/04/2009	25/05/2011
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 .	Simon Creed	01/04/2009	25/05/2011
Current Status: Medium (4)		Previous Status: Medium (4)		Current Risk Severity: Medium	
Risk Champion: Elaine Carpenter		Current Risk Likelihood: Medium			
Risk Owner: Alison Comley					
Review Note:					

Corporate Risk Register (CRR only)

Risk: Local Enterprise Partnership Failure to engage in new arrangements regarding establishing and reporting against the Local Enterprise Partnership (LEP)					Risk Code: CRR037	
Inherent Status: High (6)		Inherent Risk Severity: High		Inherent Risk Likelihood: Medium		
Date Identified: 17 Aug 2010				Service: Corporate Indicators (DCX)		
Mitigation records						
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date	
On schedule	Determine adequate resourcing arrangements for the LEP	Determine the future level of Unitary Authority resources for delivering LEP activity, including the future of the existing West of England partnership office.	Will Godfrey	28/02/2011	23/05/2011	
Behind schedule	Ensure strong engagement from partners and embedding of LEP priorities in partners' priorities	Priorities of the LEP need to form part of the 'DNA' of the Council and all partner organisations. Effective communication is required. Moving quickly from structures and governance to delivery is also imperative to keeping businesses engaged.	Paul Taylor	28/02/2011	23/05/2011	
On schedule	Move quickly to establish full Board and detailed governance arrangements	LEP Board has been established and is in the process of defining its priorities and agreeing governance arrangements. Full Board to be established in June 2011.	Jan Ormondroyd	04/10/2010	23/05/2011	
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:						

Corporate Risk Register (CRR only)

Risk: Housing Benefits Failure to provide a Housing Benefits service of an adequate standard and to maximise the subsidy receivable from the Government. Failure to deliver against the recommendations of the Audit Commission inspection and internal audit reports.					Risk Code: CRR039	
Inherent Status: High (9)		Inherent Risk Severity: High		Inherent Risk Likelihood: High		
Date Identified: 15 Nov 2010				Service: Integrated Customer Services		
Mitigation records						
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date	
On schedule	Benefits improvement board	Establishment of a benefits improvement board to deliver action plan, incorporating the recommendations of the Audit Commission inspection report. This, alongside the ongoing regular liaison meetings held with area offices, advice agencies and RSLs will reduce the risk of reputational damage to BCC if improvements are not recognised by customers, stakeholders and the wider community.	Paul Sherwood	15/11/2010	24/05/2011	
On schedule	Financial work system improvements	BPR 1 is designed to deliver efficiency savings. BPR 2 will focus on overpayment recovery and debt management as "early win". Regular close monitoring of budget, overpayment recovery and DRT expenditure will continue - close monitoring and quality checks of LA errors are essential to obtain enhanced subsidy payments. Regular subsidy monitoring takes place with benefit / finance team meetings, and a finance officer embedded in the benefits team.	Paul Sherwood	15/11/2010	24/05/2011	
On schedule	Improvements in IT service	Regular liason meetings held and forward work programs agreed. One manager has IT lead	Paul Sherwood	15/11/2010	24/05/2011	
On schedule	Improvements in work processes	Effective monitoring and reporting of service performance to identify any problems re service delivery. BPR completed and new process in place which is currently bedding in. Regular joint reviews with ICS of whole end-to-end process are being undertaken	Paul Sherwood	15/11/2010	24/05/2011	
Completed	Private sector accomodation engagement	Additional training for staff on financial exclusion issues, and partnership with Bristol credit union. Ongoing monitoring of safeguard decisions, and any additional referrals homeless prevention. Ongoing landlord events for feedback on LHA. The above is in place to mitigate the risk of a fall in supply of private sector accomodation available for homelessness prevention and wider Bristol.	Paul Sherwood	15/11/2010	24/05/2011	
On schedule	Qualified Audit Reports	Subsidy qualification currently being challenged in order to reduce the amount of subsidy requested back by the DWP. New processes in place going forward to minimise the risk of late identification of issues and a more structured engagement process with external auditors.	Paul Sherwood	15/11/2010	24/05/2011	
Completed	Resource management	Resource requirements now established and work force plan ready for sign off.	Paul Sherwood	15/11/2010	24/05/2011	
Current Status: Medium (4)		Previous Status: High (6)		Current Risk Severity: Medium		Current Risk Likelihood: Medium
Risk Champion: Christine Castle				Risk Owner: Julia James		
Review Note: Risk rating reduced due to progress made with mitigations, and favourable comment from DWP on progress and plans post the Audit Commission report.						

Corporate Risk Register (CRR only)

Risk: Climate Change - future proofing Bristol Failure to lead the climate change future proofing of Bristol over the next ten years resulting in a city which is poorly adapted to the impacts of climate change (Bristol 20:20 Plan priority)					Risk Code: CRR040
Inherent Status: High (9)		Inherent Risk Severity: High	Inherent Risk Likelihood: High		
Date Identified: 14 Mar 2011			Service: Corporate Indicators (CD)		
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
On schedule	3 Year Climate adaptation delivery plan	Production of a 3-year Climate Adaptation delivery Plan: a) Draft Delivery Plan 2011-2014 b) Final Delivery Plan 2011-2014 c) 1st Annual Review	Alex Minshull	14/03/2011	31/03/2011
On schedule	Climate change risk register	Production of a BCC Climate Change Risk Register a) Draft Climate Change Risk Register 2011/12 b) Final Climate Change Risk Register 2011/12 c) 1st Annual Review	Alex Minshull	14/03/2011	31/03/2011
On schedule	Production of Corporate Guidance on addressing climate change risks	a) Update the Eco-Impact Assessment Guidance b) Update the risk management guidance on business continuity c) Update the risk management guidance on decision making, SDP's and partnerships	Alex Minshull	14/03/2011	31/03/2011
Current Status: Medium (4)		Previous Status: High (9)	Current Risk Severity: Medium	Current Risk Likelihood: Medium	
Risk Champion: Mike Harding			Risk Owner: David Bishop		
Review Note:					

Corporate Risk Register (CRR only)

Risk: Performance Management Failure to ensure that appropriate performance management arrangements are in place to deliver stated outcomes against corporate priorities					Risk Code: CRR038	
Inherent Status: High (6)		Inherent Risk Severity: High		Inherent Risk Likelihood: Medium		
Date Identified: 06 Jan 2011				Service: Finance		
Mitigation records						
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date	
On schedule	Deliver the Value for Money Strategy implementation plan	Presently working on the delivery plan and identifying resources available.	Denise Hunt	15/03/2011	15/03/2011	
On schedule	Develop and produce the Corporate Plan for 2011/14	At early stage of development.	Kathy Eastwood	15/03/2011	15/03/2011	
On schedule	Embed the 20:20 Plan reporting arrangements	Report cards are in place and are reported quarterly across the Partnership.	Graham Sims	15/03/2011	15/03/2011	
On schedule	Embed the Corporate Plan reporting arrangements	Reported to Cllr Wright at present. The original thrust of the scorecards was to address the CP reporting, but moved towards a directorate focus.	Denise Hunt	15/03/2011	15/03/2011	
Completed	Implement revised SDP process, with robust objective setting and linked to performance targets	Agreed at SLT November 2010 and guidance issued to Service Delivery Plan co-ordinators in January 2011.	Kathy Eastwood	15/03/2011	15/03/2011	
On schedule	Maintain regular performance benchmarking with other local authorities	Used a number of data sources, including DCLG publications, PWC and CIPFA benchmarking tools. Directorates are also encouraged to carry out service-specific benchmarking with appropriate groups.	Denise Hunt	15/03/2011	15/03/2011	
On schedule	Report progress against agreed programmes to the Strategic Options Delivery Board	SODB receives monthly status reports on the progress of all major programmes and projects, together with a review of key risks areas.	Paul Arrigoni	15/03/2011	15/03/2011	
Completed	Review and update the Performance Management Strategy	The Performance Management Strategy was refreshed and presented to SLT in August 2010.	Helen Ball	15/03/2011	15/03/2011	
Completed	Review and update the Value for Money Strategy	Approved by SLT March 2011.	Denise Hunt	15/03/2011	15/03/2011	
Completed	Review the Performance Management Strategy implementation plan	Actions against the implementation plan were monitored in January 2011.	Denise Hunt	15/03/2011	15/03/2011	
Current Status: Medium (3)		Previous Status: High (6)		Current Risk Severity: High		Current Risk Likelihood: Low
Risk Champion: Christine Castle				Risk Owner: Peter Robinson		
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		
Mitigation records						
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date	
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	14/04/2011	
On schedule	Effective consultation framework with Trade Unions and other stakeholders	Council has now introduced voluntary severance policy, and is committed to avoiding compulsory redundancies wherever possible.	Mark Williams	01/04/2009	14/04/2011	
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). No pay award in 2011/12.	Mark Williams	01/01/2010	14/04/2011	
On schedule	Use of External Counsel in relation to multiple equal pay claims	Strategy is being effective. Claims have reduced from 300 to 114 since December 2009. This work is continuing with advice from Counsel. Outcome of remaining claims will not be known until late 2011.	Mark Williams	23/01/2010	14/04/2011	
Current Status: Low (2)		Previous Status: Medium (3)		Current Risk Severity: Medium		Current Risk Likelihood: Low
Risk Champion: Christine Castle				Risk Owner: Will Godfrey		
Review Note:						

Corporate Risk Register (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						
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date	
On 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. Completion date October 2011.	Paul Fudgell	01/04/2009	11/03/2011	
On schedule	Corporate and Directorate policies and procedures in place, and responsibilities clarified	Potential fire safety (RR(FS)O) issues identified in the management of the social housing stock. Mitigation plan being formulated at Directorate level, with corporate support. (3 year project from November 2010.)	Paul Fudgell	01/04/2009	11/03/2011	
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	11/03/2011	
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	11/03/2011	
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	11/03/2011	
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	11/03/2011	
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:						

Corporate Risk Register (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: Corporate Indicators (HSC)		
Mitigation records						
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date	
Completed	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	24/03/2011	
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	24/03/2011	
On schedule	Create and use of reserves and provisions consistent with accounting standards		David Johnstone	22/03/2011	24/03/2011	
On schedule	Identify resources of additional funding		Gillian Vickers	22/03/2011	24/03/2011	
Completed	Maintain financial controls and governance arrangements	ie capacity to spend, cost guidelines. Report to budget holders and agree actions to respond to forecast overspends and underspends.	Denise Hunt	22/03/2011	24/03/2011	
Completed	Regular monthly monitoring	Monitor in year budget v actual, income and expenditure together with identification of corrective action.	Peter Robinson	01/04/2009	24/03/2011	
On schedule	Report to line management	Executive and other elected members as necessary on the financial position.	Denise Hunt	22/03/2011	24/03/2011	
Completed	Set realistic budgets within known resources		David Johnstone	22/03/2011	24/03/2011	
Current Status: Low (2)		Previous Status: Medium (4)		Current Risk Severity: Medium		Current Risk Likelihood: Low
Risk Champion: Denise Hunt				Risk Owner: David Johnstone		
Review Note:						