

INFORMATION REPORT TO THE AUDIT COMMITTEE

11th November 2011

TITLE: DIRECTORATE RISK REGISTER FOR CORPORATE SERVICES

REPORT AUTHOR: Christine Castle, Business Support Manager, Corporate Services

1. PURPOSE:

- 1.1 To brief the Audit Committee on the review and update of the Directorate Risk Register for Corporate Services (CS).

2. RECOMMENDATIONS:

- 2.1 To note the amendments to the register.

3. BACKGROUND:

- 3.1 The Corporate Services Directorate Risk Register attached at Appendix 1 shows the final position for the 2nd Quarter 2011/12. Directorate level risk registers exist for every Directorate, and each register is the subject of a report to the Audit Committee annually. The majority of risks managed by Corporate Services are of a cross-cutting corporate nature and are consequently also entered into the Corporate Risk Register which was previously submitted for information to the Audit Committee on 8th July 2011.

- 3.2 Organisational restructuring during the last year saw the realignment of teams from Transformation (TF) and Deputy Chief Executive (DCX) to CS (among other directorates). The CS risk register therefore contains risks which formerly pertained to the now-disbanded TF and DCX directorates. Housing Benefits, formerly part of Neighbourhoods, is also now part of CS, and so its associate risk is included in the CS risk register.

4. CONTENT:

- 4.1 The main content changes are tabulated in the risk register document header at the beginning of Appendix 1.
- 4.2 There are currently 16 key risks on the Corporate Services risk register (including 12 which are corporate risks in the Corporate Risk Register).
- 4.3 There is one new risk (a corporate risk):
CRR044 Welfare Reform - A range of forthcoming Welfare Reform changes will impact upon customers, the City and the organisation, and interact with other agendas (eg Personalisation). If poorly managed, there is scope for negative (and possibly multiple) impacts on customers and poor response to demand for services by the Council, as well as financial impacts and reputational risk. This is a new area that is facing all Authorities.
- 4.4 Four risks (all directorate risks) have been deleted:
RE 003 Unplanned increase in employee costs (terms and conditions)

RE 012 Failure to ensure lawful elections
TR 025 Directorate register of fraud risks
TR 023 Impact of recession on income

- 4.3 All risks were reviewed by the risk owners during the last three months (August to October) and mitigations updated accordingly.
- 4.4 A copy of the SPAR.net risk register is attached at Appendix 1.

2011/12 - QUARTER 2 RISK REPORT

**CORPORATE SERVICES
DIRECTORATE RISK REGISTER**

	No.	Day	Month	Year
VERSION	10	11th	Nov	2011

VERSION CONTROL HISTORY

Version No.	Reviewed By:	Review Date	Version No	Reviewed By:	Review Date
	Registers for Former Resources/Transformation/DCX combined:		4b(ii)	Resources DLT	21/4/10
3	Audit Committee	25/9/09	4b(iii)	“ “	27/07/10
4a	Transformation DLT	2/11/09	5	Audit Committee	24/9/10
4a(i)	“ “	1/2/10	6	Resources DLT	19/10/10
4a(ii)	“ “	17/3/10	Registers for restructured Corporate Services:		
4a(iii)	“ “	5/5/10	7	Clr Hopkins, Exec Member	09/03/11
4a(iv)	“ “	3/8/10	8	Corporate Services DLT	26/07/11(Qtr 1)
4b	Resources DLT	16/12/09	9	Corporate Services DLT	03/11/11 (Qtr2)
4b(i)	“ “	6/4/10	10	Audit Committee	11/11/11 (Qtr 2)

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 **Directorate** risks (Risk No.'s prefixed CS---) shown below are as compared with the previous submission to the Audit Committee on 24th September 2010, Version 5. Main variations to the **Corporate** risks (Risk No.'s prefixed CRR---) managed by Corporate Services Directorate are as compared with the previous submission to the Audit Committee on 8th July 2011, CRR Version 41.

Risk No.	RISK		VARIATION TO RISKS		
	Brief risk narrative	Current Risk Ranking	Direction of travel	(inc. amended/new/deleted risk, additional mitigations/information)	
			Current Status	Previous Status	
CRR024	Bristol Change Programme	1	6	6	Corporate Risk Risk title changed from <i>Transforming Bristol Portfolio</i> to <i>Bristol Change Programme</i> . <u>Additional information:</u> The development by SLT of a set of strategic design principles and priorities will further strengthen the alignment of the portfolio.
CRR027	Information Security	2	6	6	Corporate Risk <u>Additional information:</u> New IT structure - recruitment completed.
CRR035	Payroll IT System	3	6	6	Corporate Risk <u>Additional information:</u> Payroll build and configuration now

Risk No.	RISK		VARIATION TO RISKS		
	Brief risk narrative	Current Risk Ranking	Direction of travel		(inc. amended/new/deleted risk, additional mitigations/information)
			Current Status	Previous Status	
					complete, with August testing.
CS009	Failure to achieve capital receipts target	4	6	6	<u>Additional Mitigations:</u> Capital receipts programme is reviewed and updated on a monthly basis]. Quarterly reporting on capital receipts to the Executive Member for Housing & Regeneration.
CS022	Overspend due to reduced income (Local Land Charges and Commercial Estate)	5	6	6	<u>Additional Mitigations:</u> Additional budgetary provision has been made in the accounts to mitigate against bad debts. A reminder practice note issued to all relevant staff to ensure that all new ground leases are granted on the basis of "upwards only" rent reviews.
CRR008	Value for Money	6	4	4	Corporate Risk <u>Additional information:</u> A planning process underway to deliver a revised change plan for the Council that aligns with the budget reduction required to deliver the MTFP
CRR005	Recruitment, retention and restructuring	7	4	4	Corporate Risk <u>Additional information:</u> Headcount full time equivalent less than budgeted full time equivalent excluding casual and agency spend, but starting to include spend on agency and casual staff. New controls to be introduced for recruitment of casual workers.
CRR011	Financial Management	8	4	4	Corporate Risk <u>Additional information:</u> C&YPS : Forecast overspend at the end of the second budget monitor of £2.3m arising from an exceptional number (39) of young people taken into care in April & May 2011. A plan produced identifying savings during 2011/12 which should secure a balanced budget by 31 March 2012. The savings plan will be reviewed monthly and remedial action taken to compensate for slippage. H&SC: MTFP agreed for 2011/12 with savings of £7,360k built into balanced budget.
CRR041	Customer Services	9	4	6	Corporate Risk <u>Additional information:</u> 1/3 rd of savings from Modernisation business case contingent upon reconfiguring of Customer Service Points. The Modernisation business case not yet approved but will now commence BPR work to start in September to reduce failure demand.
CRR038	Performance Management	10	3	3	Corporate Risk <u>Additional information:</u> The VFM Strategy has been refreshed, and

Risk No.	RISK		VARIATION TO RISKS		
	Brief risk narrative	Current Risk Ranking	Direction of travel		(inc. amended/new/deleted risk, additional mitigations/information)
			Current Status	Previous Status	
					<p>the delivery plan is now at the implementation stage.</p> <p>The Corporate Plan will comprise a "strategic narrative" to accompany the Budget at the Council meeting on 28th Feb 2012.</p> <p>Recommendations on performance scorecards have been received from the external auditor and are being reviewed. The demise of the national performance data set means that Council directorates are required to carry this out as part of the annual VFM self-assessment process.</p>
CRR044	Welfare Reform	11	3	N/A	<p>NEW Corporate Risk</p> <p>Risk detail: A range of forthcoming Welfare Reform changes will impact upon customers, the City and the organisation, and interact with other agendas (eg Personalisation). If poorly managed, there is scope for negative (and possibly multiple) impacts on customers and poor response to demand for services by the Council, as well as financial impacts and reputational risk. This is a new area that is facing all Authorities.</p>
CRR014	Industrial relations	12	2	2	<p>Corporate Risk</p> <p>No change.</p>
CRR012	Health and Safety	13	2	2	<p>Corporate Risk</p> <p><u>Additional information:</u> Additional fire warden training is being rolled out city wide in 2011. Additional resources are being deployed within the section to increase ICT capabilities. Organisational change is impacting upon management training and 'gap analysis' is proving difficult to verify.</p>
CS005	Loss of Council funds from borrowing/lending activity	14	2	2	<p><u>Additional Mitigations:</u> Quarterly reporting. Treasury Management Strategy reviewed annually. Use of external Treasury Management adviser.</p>
TR016	Failure to implement, and derive benefits from, purchase-to-pay system (COPS)	15	2	4	<p><u>Additional Mitigations:</u> A readiness checklist sent to each school to ensure they are able to access and use the system. Extensive training and support is available. 60 schools have responded to date, no significant issues.</p>
CRR039	Housing Benefits	16	2	4	<p>Corporate Risk</p> <p><u>Additional information:</u> A combined Housing Benefit/Local Tax debt collection team is now established who are robustly managing the caseload within the revised debt write-off policy and viable debt</p>

Risk No.	RISK		VARIATION TO RISKS		
	Brief risk narrative	Current Risk Ranking	Direction of travel		(inc. amended/new/deleted risk, additional mitigations/information)
			Current Status	Previous Status	
					<p>collection targets. Further improvements will be informed by learning from Core Cities and recent case law.</p> <p>IT - Online Benefits is not yet up and running but will be subject to contractual arrangements with the supplier.</p> <p>Process owners board up and running which looks at how whole end-to-end processes are being undertaken. The DWP starts work with us commencing 12 September to use "Lean" methodology to improve new claims and change in circumstance processes.</p> <p>Now revising the eligibility claim (re subsidy recovery) in line with consultants advice to improve subsidy recovery.</p> <p><u>Additional Mitigation:</u></p> <p>Welfare Reform - Changes to HB between now and 2013, and HB moving to Universal Credit as well as other welfare reforms (crisis loans/Council Tax benefit), are being managed via creation of a corporate WR Board as well as a programme approach within ICS. Work is ongoing to coordinate/communicate internally and externally, combined with analysis of the customers affected and the impact on them and the organisation.</p>
RE 003	Unplanned increase in employee costs (terms and conditions)	N/A	N/A	4	<p>DELETED (FORMER RESOURCES) DIRECTORATE RISK .</p> <p>There were two main elements to this risk - equal pay claims and pension costs. The former are now contained within CRR014, and the latter are under control.</p>
RE 012	Failure to ensure lawful elections	N/A	N/A	2	<p>DELETED (FORMER RESOURCES) DIRECTORATE RISK - fully mitigated and completed.</p>
TR 025	Directorate register of fraud risks	N/A	N/A	2	<p>DELETED (FORMER TRANSFORMATION) DIRECTORATE RISK - fully mitigated and completed.</p>
TR 023	Impact of recession on income	N/A	N/A	6	<p>DELETED (FORMER TRANSFORMATION) DIRECTORATE RISK - risk considered to be no longer relevant, since we are no longer in recession, and in any event income is being regularly monitored on an ongoing basis.</p>

Corporate Services - ALL RISKS (CRR and DRR)

Report for 2011-2012 For Corporate Services 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 Services - ALL RISKS (CRR and DRR)

Risk: Bristol Change Programme Failure to deliver performance improvements/cost reductions as a result of inadequate resourcing, and system(s) failure as too many poorly specified uncoordinated major changes are implemented.					Risk Code: CRR024
Inherent Status: High (9)		Inherent Risk Severity: High		Inherent Risk Likelihood: High	
Date Identified: 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	07/09/2011
On schedule	All programmes will go through detailed definition of work and strategic prioritisation	SLT has developed a set of strategic design principles and priorities to test the alignment of the change programme.	Will Godfrey	01/04/2009	07/09/2011
On schedule	Corporate co-ordination and ownership through programme managers' group and SODB	Strategic Options Delivery Board (SODB) regularly reviews co-ordination of the programmes and their implications.	Paul Arrigoni	01/04/2009	07/09/2011
On schedule	Define Portfolio Risk Register	Risks associated with the delivery of the Bristol portfolio of change programmes as a whole are identified in a Portfolio Risk Register, reporting directly to SODB on a regular basis.	Paul Arrigoni	22/01/2010	07/09/2011
On schedule	Portfolio Risk Register -- Benefits Realisation	A benefit framework is being developed to ensure benefit tracking through programme delivery into benefit realisation contracts (BRCs). BRCs to be developed for all key projects and programmes aligned to SODB reporting of financial benefit delivery. Benefits realisation board established and meeting quarterly as of March 2011, led by the Strategic Director Corporate Services, to regularly review the delivery of financial and non-financial benefits.	Paul Arrigoni	01/01/2010	07/09/2011
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	07/09/2011
Current Status: High (6)		Previous Status: High (6)		Current Risk Severity: High	
Risk Champion: Christine Castle			Risk Owner: Will Godfrey		
Review Note: Formerly entitled 'Transforming Bristol Portfolio' but redesignated to reflect current terminology					

Corporate Services - ALL RISKS (CRR and DRR)

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 indentify weaknesses in data transfer / mobile devices	Reviews are currently in progress/planned across the Council	Dick Powell	01/04/2009	19/08/2011	
On schedule	Information systems classified according to new scheme.	Currently in progress.	Rob Scott	01/04/2009	19/08/2011	
Completed	New IT structure	No further recruitment	Rob Scott	01/04/2009	19/08/2011	
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	19/08/2011	
Completed	Security training for all staff	E-learning package being rolled out to staff, 90% of staff trained and have passed the test.	Rob Scott	01/04/2009	19/08/2011	
Current Status: High (6)		Previous Status: High (6)		Current Risk Severity: High		Current Risk Likelihood: Medium
Risk Champion: Christine Castle				Risk Owner: Bernadette Keen, Rob Scott		
Review Note: We are currently undertaking a major revision of this risk. Following this process the revised risk and mitigations will be published Oct 2011.						

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	The existing payroll system is being replaced with an upgraded version of the product, to go live in January 2012. Payroll Project Team and governance are in place, with project supplier as a member of the board to improve supplier/client relationship. Payroll build and configuration are completed, and user test results are positive. Parallel running of current and upgraded systems will begin in October/ November 2011.	Jill Mikkelson	30/09/2010	24/10/2011	
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 Services - ALL RISKS (CRR and DRR)

Risk: Failure to achieve capital receipts target Consequences -- Deferral of capital investment and increased financing costs.					Risk Code: DRR - CS009	
Inherent Status: High (9)			Inherent Risk Severity: High		Inherent Risk Likelihood: High	
Date Identified: 31 Dec 2009			Service: Finance			
Mitigation records						
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date	
On schedule	Capital Receipts Group monitors progress	Improved liaison via Property Business Partners with Planning/ SBCG/ Housing Enabling. Establish policy re: affordable housing, Community Asset Transfer.	Rod Taplin	01/04/2009	21/10/2011	
On schedule	Oversight by Infrastructure & Development Board (I&DB)	Monthly meetings take place to review priorities of major projects.	Will Godfrey	01/04/2009	21/10/2011	
On schedule	Receipts programme defined and opportunities register maintained	Receipts programme is reviewed and updated on a monthly basis.	Rod Taplin	01/04/2009	21/10/2011	
On schedule	Reporting to the Executive Member on capital receipts	Quarterly reporting to the Executive Member for Housing, Property Services and Regeneration.	Rod Taplin	09/04/2010	21/10/2011	
Current Status: High (6)		Previous Status: High (6)		Current Risk Severity: High		Current Risk Likelihood: Medium
Risk Champion: Christine Castle			Risk Owner: Rod Taplin			
Review Note:						

Risk: Overspend due to reduced income (Local Land Charges and Commercial Estate) Overspend due to reduced income (Local Land Charges and Commercial Estate). Consequences -- Disruption of services due to identification of additional, compensatory savings					Risk Code: DRR - CS022	
Inherent Status: High (9)			Inherent Risk Severity: High		Inherent Risk Likelihood: High	
Date Identified: 31 Dec 2009			Service: Finance			
Mitigation records						
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date	
On schedule	Budgetary provision	Additional provision has been made in the accounts to mitigate against bad debts.	Rod Taplin	15/07/2011	21/10/2011	
On schedule	Corporate contingency and directorate reserves set aside in the event of downturn		Steve Skinner	01/04/2009	21/10/2011	
On schedule	Ensure that all new ground leases are granted on the basis of "upwards only" rent reviews	A reminder practice note has been issued to all relevant staff.	Rod Taplin	27/01/2011	21/10/2011	
On schedule	Monthly monitoring of income against budgets	To judge robustness of budget.	Steve Skinner	01/04/2009	21/10/2011	
Current Status: High (6)		Previous Status: High (6)		Current Risk Severity: Medium		Current Risk Likelihood: High
Risk Champion: Christine Castle			Risk Owner: Stephen McNamara, Rod Taplin			
Review Note:						

Corporate Services - ALL RISKS (CRR and DRR)

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.	Alison Mullis	22/01/2010	30/09/2011	
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	30/09/2011	
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	30/09/2011	
On schedule	Development of the Transformation programme	Key transformation programmes are taking place in H&SC, CYPS and Finance, together with a service prioritisation plan for NH/CD directorate, designed to deliver VFM. A planning process is underway to deliver a revised change plan for the Council that aligns with the budget reduction required to deliver the MTFP.	Paul Arrigoni	01/04/2009	30/09/2011	
On schedule	Implement VFM Strategy	Launched in June 2011, and to be facilitated through a programme of communications and hands-on support throughout the remainder of 2011/12. The corporate Performance & Improvement team are continuing to offer advice and guidance in directorates for the mandatory self-assessments.	Alison Mullis	31/05/2011	30/09/2011	
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:						

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. Headcount fte < budgeted fte excluding casual and agency spend, but starting to include spend on agency and casual staff.	Mike Watts	01/04/2009	24/10/2011	
On schedule	People Strategy	A new People Strategy is on target for publication early January 2012. A 'people plan' is being established as an enabler to the corporate Change Plan, and will also be used to lever change and ensure that the milestones/outcomes in the People Strategy are delivered.	Mark Williams	23/01/2010	24/10/2011	
On schedule	Use of agency workers and consultants	Monthly monitoring of agency workers through SODB. Appointment of consultants requires Vacancy Management Panel approval in every case, and STS will not pay any agency worker or consultant without VMP approval. New controls were introduced for recruitment of casual workers wef 1 August, and this has led to a reduction in placements.	Mike Watts	01/04/2009	24/10/2011	
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:						

Corporate Services - ALL RISKS (CRR and DRR)

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	07/09/2011
Behind schedule	CYPS budget containment in relation to growth in safeguarding	Forecast overspend at the end of the second budget monitor of £2.3m arising from an exceptional number (39) of young people taken into care in April & May 2011. CYPS has produced a savings plan identifying savings during 2011/12 which should secure a balanced budget by 31 March 2012. The savings plan will be reviewed monthly and remedial action taken to compensate for slippage.	Annie Hudson	01/04/2010	07/09/2011
On schedule	Financial forecast	A detailed new MTFP will be prepared during 2011/12.	Will Godfrey	01/04/2009	07/09/2011
On schedule	Formal quarterly budget/capital programme monitors and monthly monitors of risk areas		Peter Robinson	01/04/2009	07/09/2011
On schedule	H&SC budget containment	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	07/09/2011
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	07/09/2011
Current Status: Medium (4)		Previous Status: Medium (4)		Current Risk Severity: Medium	
Risk Champion: Christine Castle			Current Risk Likelihood: Medium		
Risk Owner: Peter Robinson			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.					Risk Code: CRR041
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 Modernising Customer Services (MCS) approved by SODB October 2010, and full MCS business case agreed by Cabinet September 2011.	Will Godfrey	10/10/2010	24/10/2011
Behind schedule	Ensure current operations are resourced effectively	The agreed workforce plan and new recruitment process (being piloted) will help match volume to demand, and secure sufficient staff with the right skills. BPR in Housing Benefits will reduce failure demand. Benefits Process ownership board is helping manage the Benefits/Customer Services interface, and performance is improving – but recruitment/ training remains difficult. Full IVR delayed but should go live Oct 2011. Benefits online now available, and will also reduce demand.	Julia James	10/10/2010	24/10/2011
Current Status: Medium (4)		Previous Status: Medium (4)		Current Risk Severity: Medium	
Risk Champion: Christine Castle			Current Risk Likelihood: Medium		
Risk Owner: Will Godfrey			Review Note:		

Corporate Services - ALL RISKS (CRR and DRR)

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	The Value for Money Strategy has been refreshed, and the delivery plan is now at the implementation stage. Requirements have been communicated and compliance is being monitored. H&SC DLT has advised there will be some delays in implementation due to current restructuring activity.	Alison Mullis	15/03/2011	21/10/2011	
On schedule	Develop and produce the Corporate Plan for 2011/14	The Corporate Plan is being developed in line with MTFP and organisational priorities, and will comprise a 'strategic narrative' to accompany the Budget at the Council meeting on 28 February 2012.	Paul Taylor	15/03/2011	21/10/2011	
On schedule	Embed the Corporate Plan reporting arrangements	Scorecards have been in place for a year, and are being refined to further improve reporting. This includes bringing forward these reports on a more timely basis. Recommendations have been received from the External Auditor, and are being reviewed.	Alison Mullis	15/03/2011	21/10/2011	
On schedule	Maintain regular performance benchmarking with other local authorities	The demise of the national performance data set means that Council directorates are required to carry this out as part of the annual VFM self-assessment process.	Alison Mullis	15/03/2011	21/10/2011	
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. In addition the Benefits Realisation Board reviews and tracks delivery.	Paul Arrigoni	15/03/2011	21/10/2011	
Current Status: Medium (3)		Previous Status: Medium (3)		Current Risk Severity: High		Current Risk Likelihood: Low
Risk Champion: Christine Castle				Risk Owner: Peter Robinson		
Review Note:						

Risk: Welfare Reform A range of forthcoming Welfare Reform changes will impact on customers, the city and the organisation, and interact with other agendas (e.g. Personalisation). If poorly managed, there is scope for negative (and possibly multiple) impacts on customers and poor response to demand for services by the Council, as well as financial impacts and reputational risk. This is a new area that is facing all Local Authorities.					Risk Code: CRR044	
Inherent Status: Medium (3)		Inherent Risk Severity: High		Inherent Risk Likelihood: Low		
Date Identified: 01 Oct 2011				Service: Integrated Customer Services		
Mitigation records						
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date	
On schedule	Ensure staff understanding and awareness of Welfare Reform changes and impacts/implications	ICS staff being briefed on WR on an 'open house' basis, internally October 2011.	Julia James	01/10/2011	01/10/2011	
On schedule	Establish corporate Welfare Reform group for strategic oversight of WR changes	Group to be set up, with Terms of Reference and action planning. To report to SLT, and to oversee strategy and operational aspects of WR, including working with external agencies/stakeholders.	Will Godfrey	01/10/2011	01/10/2011	
On schedule	Integrate activities arising from Welfare Reform changes through a WR portfolio within ICS	A Welfare Reform portfolio to be set up within ICS, to integrate activities, ensure a consistent approach to customers and feed up into the corporate WR group. This is an evolving area, but it is now built into ICS planning and management.	Julia James	01/10/2011	01/10/2011	
On schedule	Provision of information and support to corporate Welfare Reform group by Executive Support Office	Executive Support Office to provide information and support, to enable the corporate WR group to keep abreast of legislation, core city approaches, lobbying of government.	Paul Taylor	01/10/2011	01/10/2011	
Current Status: Medium (3)		Previous Status: No previous review		Current Risk Severity: High		Current Risk Likelihood: Low
Risk Champion: Christine Castle				Risk Owner: Will Godfrey		
Review Note:						

Corporate Services - ALL RISKS (CRR and DRR)

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	24/10/2011	
On schedule	Effective consultation framework with Trade Unions and other stakeholders	The Council has introduced a voluntary severance policy, and is committed to avoiding compulsory redundancies wherever possible. A new consultation framework is in development, to reduce bureaucracy and improve relationships with Trade Unions.	Mark Williams	01/04/2009	24/10/2011	
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	24/10/2011	
On schedule	Use of External Counsel in relation to multiple equal pay claims	Strategy is being effective. Claims have reduced from 300 in December 2009 to currently 89 claimants. This work is continuing with advice from Counsel. Outcome of remaining claims will not be known until 2012.	Mark Williams	23/01/2010	24/10/2011	
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:						

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	03/10/2011	
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.) Additional fire warden training is being rolled out citywide in 2011.	Paul Fudgell	01/04/2009	03/10/2011	
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. Additional resources are being deployed within the section to increase ICT capabilities.	Paul Fudgell	01/04/2009	03/10/2011	
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. Progress will be dependent on corporate ICT solutions, and development of local system upgrades.	Paul Fudgell	01/04/2009	03/10/2011	
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. Organisational change is impacting on this area of work, and 'gap analysis' is proving difficult to verify.	Paul Fudgell	01/04/2009	03/10/2011	
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	03/10/2011	
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 Services - ALL RISKS (CRR and DRR)

Risk: Loss of Council funds from borrowing/lending activity Consequences - Additional cost, short term or long term					Risk Code: DRR - CS005	
Inherent Status: High (6)			Inherent Risk Severity: High		Inherent Risk Likelihood: Medium	
Date Identified: 31 Dec 2009			Service: Finance			
Mitigation records						
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date	
On schedule	Internal Audit review		Dick Powell	01/04/2009	27/10/2011	
On schedule	Quarterly reporting		Peter Robinson	01/04/2009	27/10/2011	
On schedule	Treasury Management Strategy reviewed annually	Review reported to Cabinet at six-monthly intervals.	Peter Robinson	01/04/2009	27/10/2011	
On schedule	Use of external Treasury Management adviser		Peter Robinson	01/04/2009	27/10/2011	
Current Status: Low (2)		Previous Status: Low (2)		Current Risk Severity: Medium		Current Risk Likelihood: Low
Risk Champion: Christine Castle			Risk Owner: Peter Robinson			
Review Note:						

Risk: Failure to implement, and derive benefits from purchase-to-pay system (COPS) Consequences -- There are risks to the reputation of transformational change, to disruption of supplies and to the achievement of planned savings.					Risk Code: DRR - TR016	
Inherent Status: High (9)			Inherent Risk Severity: High		Inherent Risk Likelihood: High	
Date Identified: 31 Dec 2009			Service: Shared Transactional Services			
Mitigation records						
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date	
Completed	On-going migration of new services to COPS	There are reputational risks to not completing.	Russ Darling	01/01/2010	18/10/2011	
Well behind schedule	Preparation of suppliers	Steps to prepare suppliers included a communications plan.	Russ Darling	01/01/2010	18/10/2011	
Completed	Schools migration	A readiness checklist has been sent to each school to ensure they are able to access and use the system. Extensive training and support is available. 60 schools have responded to date, no significant issues.	Russ Darling	01/01/2010	18/10/2011	
Completed	Staff training	Steps to prepare staff included provision of a training programme , managers' awareness and identification of local change agents.	Russ Darling	01/01/2010	18/10/2011	
Completed	System testing	Steps to prepare the system include comprehensive text, pilot operations and an independent review.	Russ Darling	01/01/2010	18/10/2011	
On schedule	Transfer coordination from Corporate Procurement to STS F&P	Role has been transferred, but there remain a significant amount of system admin to complete.	Russ Darling	01/01/2010	18/10/2011	
Current Status: Low (2)		Previous Status: Medium (4)		Current Risk Severity: Medium		Current Risk Likelihood: Low
Risk Champion: Christine Castle			Risk Owner: Russ Darling			
Review Note:						

Corporate Services - ALL RISKS (CRR and DRR)

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 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.	Sheralynn McCarthy	15/11/2010	30/09/2011
On schedule	Financial work system improvements	A combined Housing Benefit/Local Tax debt collection team is now established, who are robustly managing the caseload within the revised debt write-off policy and viable debt collection targets. Further improvements will be informed by learning from Core Cities and recent case law.	Sheralynn McCarthy	15/11/2010	30/09/2011
On schedule	Improvements in IT service	Regular liaison meetings held and forward work programs agreed. One manager has IT lead. Online Benefits is now up and running, and will start being advertised following the initial 'bedding in' stage.	Sheralynn McCarthy	15/11/2010	30/09/2011
On schedule	Improvements in work processes	Effective monitoring and reporting of service performance to identify any problems re service delivery. Process owners board up and running, which looks at how whole end-to-end processes are being undertaken. The DWP started work with us on 12 September, to use 'Lean' methodology to improve new claims and change in circumstance processes.	Sheralynn McCarthy	15/11/2010	30/09/2011
On schedule	Qualified Audit Reports	Subsidy qualification 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. Now revising the eligibility claim for this and 10/11 year in line with consultant's advice to improve subsidy recovery.	Sheralynn McCarthy	15/11/2010	30/09/2011
On schedule	Welfare Reform (WR)	Changes to HB between now and 2013, and HB moving to Universal Credit as well as other welfare reforms (crisis loans / council tax benefit), are being managed via creation of a corporate WR board as well as a programme approach within ICS. Work is ongoing to coordinate / communicate internally and externally, combined with analysis of the customers affected and the impact on them and the organisation.	Sheralynn McCarthy	26/09/2011	30/09/2011
Current Status: Low (2)		Previous Status: Medium (4)	Current Risk Severity: Medium		Current Risk Likelihood: Low
Risk Champion: Christine Castle			Risk Owner: Julia James		
Review Note:					