

**INFORMATION REPORT TO THE AUDIT COMMITTEE**

**3<sup>rd</sup> FEBRUARY 2012**

**PURPOSE OF REPORT:**

SUBMISSION OF CORPORATE RISK REGISTER (Version 45, Quarter 3, 2011/12 )  
FOR INFORMATION

**REPORT AUTHOR:**

DICK POWELL, CHIEF INTERNAL AUDITOR

**BACKGROUND:**

The Corporate Risk Register (CRR) was previously submitted to the Audit Committee on 8<sup>th</sup> July 2011 (Version 41, 4th Quarter 2010/11). At 29<sup>th</sup> September 2011, Cabinet Briefing received and approved the CRR (Version 43, 1<sup>st</sup> Quarter 2011/12). The CRR (Version 45) attached at Appendix 1 is a snapshot view of the register as at 3<sup>rd</sup> January 2012 part way through the ongoing 3<sup>rd</sup> Quarter 2011/12 review.

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 DEVELOPMENTS AND CHANGES TO THE CORPORATE RISK REGISTER :**

Arising from a recent (Corporate Risk Management Group) Workshop review of the content and structure of the register the opportunity was taken to benchmark with Core Cities. The findings indicated a marked similarity with the types of risk being managed at Bristol with those elsewhere.

Consideration was also given to research work undertaken by Zurich, the leading public sector insurer and risk manager in the UK, resulting from which the following principal risk categories were identified to be:

Managing partnerships with other organisations	Climate change	Vulnerable groups in the Community
Funding and good financial management	Project management	Customer satisfaction
Human resource issues	Changes in population	Miscellaneous
Crisis planning	Information Technology	

Consequently, and forming part of the summary header sheet to the CRR at Appendix 1, individual corporate risks are now presented in descending high risk order within each of these categories. The presentation of the attached CRR itself remains unaltered, ie

highest risk to lowest risk irrespective of categorisation. The main status changes to the individual risks are summarised in the summary header attached. Most notably there are: 3 new risks:

- CRR43 Shortage of Primary School places in Bristol. *Failure to provide enough Primary School places.*
- CRR44 Welfare reform. *A range of forthcoming Welfare Reform changes will impact on 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 Local Authorities.*
- CRR45 Senior management capacity. *Risk that the reduced number of Strategic and Service Directors will lead to a significant increase in the workload of senior management with a potential impact on management capacity and delivery of planned budget proposals.*

## 2011/12- QUARTER 3 (WIP) RISK REPORT

**CORPORATE RISK REGISTER**

	No.	Day	Month	Year
<b>VERSION</b>	<b>45</b>	<b>3rd</b>	<b>Feb</b>	<b>2012</b>

**VERSION CONTROL HISTORY**

Version No.	Reviewed By:	Review Date	Version No	Reviewed By:	Review Date
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)
36	Strategic Leadership Team ("Offline" review))	23/11/10 (Quarter 2)	42	Strategic Leadership Team	30/8/11 (Quarter 1)
37	Executive Briefing	08/12/10 (Quarter 2)	43	Leaders Briefing	15/9/11 (Quarter 1)
37	Cabinet Briefing	09/12/10 (Quarter 2)	43	Cabinet Briefing	29/9/11 (Quarter 1)
38	Audit Committee	28/1/11 (Quarter 3 WIP)	44	Strategic Director Corporate Services "Offline" Review	Dec 2011 (Quarter 2)
39	Strategic Leadership Team	8/3/11 (Quarter 3)	45	Audit Committee	3/2/12 (Quarter 3 WIP)

**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 are as shown below - compared with the previous quarterly review submitted to the 8<sup>th</sup> July Audit Committee (Version 41):**

Risk No.	RISK	Current Risk Ranking	Previous Risk Ranking	Direction of travel		(inc. amended/new/deleted risk, additional mitigations/information)
				Current Status	Previous Status	

**Managing partnerships with other organisations**

37	Local Enterprise Partnership	16	16	4	4	<p><u>Additional mitigation:</u> Ensure successful delivery of the Temple Quarter Enterprise Zone - Work has been commissioned to review the financial modelling assumptions underpinning the Enterprise Zone (EZ) plans. The EZ formally commences on 1 April 2012.</p> <p><u>Additional information:</u> A review of the West of England support arrangements is underway and aims to be completed by the end of 2011.</p>
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Risk No.	RISK	Current Risk Ranking	VARIATION TO RISK			(inc. amended/new/deleted risk, additional mitigations/information)
			Previous Risk Ranking	Direction of travel	Current Status	
						Executive Office function will align LEP objectives within the Council's strategic framework. Bristol Futures to lead on economic development priorities.
<b>Funding and good financial management</b>						
24	Bristol Change Programme	3	2	6	6	<u>Additional information:</u> SLT has developed a set of strategic design principles and priorities to test the alignment of the change programme Portfolio Management Group and Programme Managers' team now established to manage dependencies and resources. A portfolio change plan is now in place and will move to formal change management control from February, once the budgets have been confirmed. Portfolio Management Group has established a review process, and a revised approach to risk ownership will be proposed at the December SODB.
45	Senior management capacity	7	N/A	6	N/A	<b>NEW RISK</b> as agreed at the 30 <sup>th</sup> August 2011 Strategic Leadership Team and approved for inclusion in the Corporate Risk Register at 29 <sup>th</sup> Sep 2011 Cabinet Briefing.
31	Economic recovery	1	8	6	4	<u>Additional mitigation:</u> Addressing impact on local people of legislative changes in Universal Credit and devolved CT benefit <u>Additional information:</u> Bristol Partnership has agreed to 'address the potential risks of the cumulative impact of the current economic and fiscal decisions affecting some communities and groups disproportionately'. Budget setting/MTFP process refined to deliver PSED and identify multiple impact. Consultation on MTFP (with EqIAs) opened 24 Nov and an event for community stakeholders to be held on 8 Dec, to inform an Equalities Impact Statement for the budget. Final budget proposals to be decided 26 Jan 2012.
8	Value for Money	8	9	4	4	<u>Additional information:</u> Key change programmes are taking place in H&SC, CYPS, Corporate Services and Finance, together with a service prioritisation plan for NH/CD directorate, designed to deliver VFM. A revised Change Plan for the Council has been delivered that aligns with the budget reduction required to deliver the MTFP
11	Financial Management	13	13	4	4	<u>Additional information:</u> 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

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			Previous Risk Ranking	Direction of travel	Current Status	
						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.
34	Health & Adult Social Care overspend	25	22	2	2	<p><u>Additional information:</u> Forecast overspend of £315k for 11/12. Action Plan to deliver 11/12 savings and achieve a balanced budget. Transformation Programme is continuing to develop demand modelling to predict future needs and demographic changes in order to inform the MTFP and commissioning strategies.</p>
38	Performance Management	20	19	3	3	<p><u>Additional information:</u> VFM Strategy Requirements have been communicated and compliance is being monitored. H&amp;SC DLT has advised there will be some delays in implementation due to current restructuring activity. 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. Scorecards - recommendations have been received from the External Auditor, and are being reviewed. Benchmarking - 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. Benefits Realisation Board - reviews and tracks delivery of agreed programmes</p>
<b>Human resource issues</b>						
5	Recruitment, Retention and Restructuring	11	11	4	4	<p><u>Additional information:</u> 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.</p> <p>New controls introduced for recruitment of casual workers at 1 August has led to a reduction in placements.</p>
14	Industrial Relations	21	20	2	2	<p><u>Additional information:</u> A new consultation framework is in development, to reduce bureaucracy and improve relationships with Trade Unions.</p>
12	Health & Safety	22	21	2	2	<p><u>Additional information:</u> The authority's 2nd Tier co-ordinators' group has now ceased to meet (with the option of reforming were a significant H&amp;S issue to emerge). A Health &amp; Safety Board has been established and met for the first time in October 2011. The CEHSCC has now become the Corporate Safety Consultative</p>

Risk No.	RISK		VARIATION TO RISK			
	Current Risk Ranking	Previous Risk Ranking	Direction of travel	(inc. amended/new/deleted risk, additional mitigations/information)		
			Current Status	Previous Status		
						<p>Committee (CSCC), with a revised constitution and membership which will be fully implemented in 2012/13.</p> <p>Centralisation of H&amp;S-specific ICT systems has taken place in 2011 - SYPOL (COSHH) and Safety Media (DSE). These systems will be available for the whole authority to use. Enabling works have taken place to define future ICT needs of the corporate safety section. In 2012/13 detailed work will be undertaken on an audit system and online accident reporting, which will need to be included in the MTFP discussions.</p> <p>re organisational change process: needs monitoring to ensure critical areas of work are not neglected. A concern is that key personnel may leave and organisational knowledge be lost, which can cause systemic H&amp;S failures to occur but to go un-noticed. It is envisaged that the CHaSMS system will act as a mitigation to this potential risk. Currently assessed as on-schedule, but slippage may occur by mid-2012.</p> <p>Organisational change is impacting on the training area of work, and 'gap analysis' is proving difficult to verify. This process will be repeated for the next three years to ensure compliance, as a recurring work item.</p>

**Crisis planning**

42	Flood risk	6	6	6	6	<p><b>Additional information:</b></p> <p>Investigate potential locations for best use of the mobile barrier equipment (100m) which is ready for deployment, all staff have been trained, to be completed by March 2012.</p> <p>Transport Asset Management Plan (TAMP) will provide the business case and data collection of the assets will take nine to twelve months. An update is expected by the end of 2012 (re Highways drainage &amp; watercourses improvements).</p> <p>re Central Area Flood Risk - Outcomes of low defences will require immediate attention/funding. Expected to be complete by March 2012.</p> <p>Surface Water Management - High risk areas now identified and broad scale options are being developed. Phase 2 to start shortly and additional grants have been applied for.</p> <p>re Flood Water strategy - Additional resources are now in place to complete this task, consultation paper currently being drafted and Strategy completion target is June 2012.</p> <p>re Development of an understanding how to improve defences and mitigate risks to protect Avonmouth - Bid for funding submitted to DEFRA. Result of bid is due in Feb 2012.</p> <p>re Dundry Hill Flood Risk assessment -Approvals from the Environment Agency have taken longer than expected. Outcomes of low defences will</p>
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			Previous Risk Ranking	Direction of travel	(inc. amended/new/deleted risk, additional mitigations/information)	
				Current Status	Previous Status	
						require immediate attention/funding. Study now started and due completion before Spring 2012 re Gully cleansing - reports have now been received. New contracts and development of the TAMP will progress this further in the coming year.
13	Civil Emergency	15	15		4	<p><u>Additional information:</u> re Business Continuity related PMDS objectives - CPU will raise the auditing procedures issue on CCG 15th November 2011 and a paper will be forwarded to Graham Sims by 1st Feb 2012 outlining the issues.</p> <p>re Continuity Plans in place - Managers identified and trained, reviewed annually, plus Plans to be completed for new post-Transformation Directorates by 31st March 2012 .</p> <p>re trained staff - Following a restructure, reprioritising of work and programming has brought this training back on schedule. Training is ongoing.</p>
<b>Climate change</b>						
40	Climate Change	19	18	4	4	<p><u>Additional mitigation:</u> Climate adaptation annual report - Production of a short report for members and SLT summarising progress in future-proofing Bristol. Identifying key trends, successes and areas which need improvement by end of November 2012. A publicly available version is also planned.</p> <p><u>Additional information:</u> Production of guidance for posting on the intranet to assist officers in the application of the Climate Change Risk Register to their work. To be delivered by end of March 2012.</p>
<b>Project management</b>						
4	Management and Delivery of Major Infrastructure Projects	14	14	4	4	<p><u>Additional mitigation:</u> Transport Capital Programme Quality Assurance Scheme Design - Introduction of a new quality assurance scheme to ensure holistic scheme design meeting the objectives of the Council and reducing the risk of objections or modifications throughout design stages.</p>
<b>Changes in population</b>						
43	Shortage of Primary School places in Bristol	17	N/A	4	N/A	<p><b>NEW RISK</b> as agreed at the 30<sup>th</sup> August 2011 Strategic Leadership Team and approved for inclusion in the Corporate Risk Register at 29<sup>th</sup> Sep 2011 Cabinet Briefing.</p>
<b>Information Technology</b>						
27	Information Security	9	3	4	6	<p><u>Additional mitigation:</u> Build in security best practice , guidance and standards into all change processes Deliver refresher security training for all staff Ensure that sensitive data is shared appropriately</p>

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			Previous Risk Ranking	Direction of travel	Current Status	
						<p>between ourselves and partners</p> <p>Implement secure E-mail facilities which are easy to use</p> <p>Improve control of information assets.</p> <p>Reduce exposure of sensitive documents through printing in shared areas.</p> <p>Reduce risk of data breach from all new and existing laptop computers / tablets, and unencrypted memory sticks.</p>
35	Payroll IT System	5	5	6	6	<p><u>Additional information:</u></p> <p>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.</p>
<b>Vulnerable groups in the community</b>						
16	Children in Need	2	1	6	6	<p><u>Additional mitigation</u></p> <p>Ensure safeguarding processes reflect good VFM and are effective - this is monitored by the Bristol Safeguarding Children Board.</p> <p><u>Additional information:</u></p> <p>Munro report published on 10 May 2010 and recommendations accepted in the DfE response of July 2011. A Local Action Plan has been drafted and is to be signed off by the Bristol Safeguarding Children Board in September 2011.</p> <p>Recent Ofsted unannounced inspection identified recruitment and retention as a strength, ensuring a good quality workforce with manageable caseloads.</p> <p>A recent Ofsted evaluation of Serious Case Review (SCR) was judged "oustanding" (1% of SCRs are graded such) which is a positive reflection of local SCR arrangements.</p> <p>New training plan in place for 11/12.</p> <p>Work being undertaken to address streamlined arrangements for 2012/13 and beyond.</p>
10	Educational Attainment	10	10	4	4	<p><u>Additional mitigation:</u></p> <p>Retention and recruitment of Governors - Actively seeking new opportunities to promote governor recruitment. Promoting training to aid governor retention and to increase effectiveness. In March the vacancy rate for were Bristol 9.7% compared with National average of 11.7% and South West average of 11.4%.</p> <p><u>Additional information:</u></p> <p>Improving Under Performing School Plan submitted to DfE in April 2011. Response received July 2011. Action underway.</p>
25	Adult Care	12	12	4	4	<p><u>Additional information:</u></p> <p>Additional resources allocated to safeguarding</p>



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				Current Status	Previous Status	
						service in order to ensure appropriate response times.
44	Welfare reform	24	N/A	3	N/A	<b>NEW RISK</b> at 1 <sup>st</sup> October 2011
<b>Customer satisfaction</b>						
41	Customer Services	18	7	4	6	<u>Additional information:</u> 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.
<b>Miscellaneous</b>						
29	Political capacity	4	4	6	6	<u>Additional mitigation:</u> Cross-party working to deliver key strategic priorities for Bristol - via the party group leaders and through cross-party working groups.
39	Housing Benefits	23	17	2	4	<u>Additional mitigation:</u> 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.  Revised working practices for Exempt Accommodation (EA) claims - Two new Policy Officers recruited to assist determination of rents. New Supporting People Officer to be recruited to assist premises inspections and claimant interviews. New EA Policy written explaining how rents and services are calculated for HB purposes and issued to all providers. Contrivance rules now applied and all payments withheld in cases of excessive rent charges. External and internal legal assistance in place. Review of all rents paid in progress. <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 collection targets. Further improvements will be informed by learning from Core Cities and recent case law.  Online Benefits is now up and running, and will start being advertised following the initial 'bedding in' stage.

Risk No.	RISK		VARIATION TO RISK			
		Current Risk Ranking	Previous Risk Ranking	Direction of travel	(inc. amended/new/deleted risk, additional mitigations/information)	
				Current Status	Previous Status	
						Revising the eligibility claim for current and 2010/11 year in line with consultant's advice to improve subsidy recovery. 2010/11 subsidy claim audit successfully completed with no financial qualification expected

## 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)

<b>Rank 1 Risk: Economic Recovery</b> Risk of failing to restore economic growth for Bristol as a City, with specific implications for the Council.					<b>Risk Code: CRR031</b>	
<b>Inherent Status: High (9)</b>			<b>Inherent Risk Severity: High</b>		<b>Inherent Risk Likelihood: High</b>	
<b>Date Identified: 01 Apr 2009</b>				<b>Service: Corporate Indicators (DCX)</b>		
<b>Mitigation records</b>						
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date	
On schedule	Addressing impact on local people of legislative changes in Universal Credit and devolved CT benefit	Cross-council working group established to determine impact of Universal Credit on the people of Bristol and mitigations. Working group established to examine how Council Tax benefit could be administered differently if devolved to local authorities in April 2013.	Peter Robinson	07/12/2011	31/12/2011	
On schedule	Bristol Partnership action within 20:20 priorities on disproportionality of economic impact	Bristol Partnership has agreed to 'address the potential risks of the cumulative impact of the current economic and fiscal decisions affecting some communities and groups disproportionately'. Budget setting/MTFP process refined to deliver PSED and identify multiple impact. Consultation on MTFP (with EqlAs) opened 24 Nov and an event for community stakeholders to be held on 8 Dec, to inform an Equalities Impact Statement for the budget. Final budget proposals to be decided 26 Jan 2012.	Paul Taylor	01/04/2009	31/12/2011	
On schedule	Bristol Partnership is giving leadership to work on child poverty and youth unemployment	Bristol Partnership executive board in Jan 2011 agreed to leadership addressing child poverty and youth unemployment. Child Poverty Strategy has concluded public consultation, including third sector groups and frontline services. It will be taken to Cabinet on 15 Dec. The Partnership launched Backing Young Bristol, for the recruitment of young people and a challenge to business to create and additional 2,000 placements in the city.	Paul Taylor	01/04/2009	31/12/2011	
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	31/12/2011	
On schedule	LEP in place, leading on economic development & growth with LAs & businesses across West of England	The LEP has been established with the core objectives of generating 95,000 new jobs, a 3.4% cumulative increase in productivity, and £1 billion of new inward investment by 2050.	Jan Ormondroyd	01/04/2009	31/12/2011	
<b>Current Status: High (6)</b>		<b>Previous Status: Medium (4)</b>		<b>Current Risk Severity: High</b>		<b>Current Risk Likelihood: Medium</b>
<b>Risk Champion: Christine Castle</b>				<b>Risk Owner: Will Godfrey</b>		
<b>Review Note:</b>						

## Corporate Risk Register (CRR only)

<b>Rank 2 Risk: Children in need</b> Failure to meet corporate responsibilities to protect children in need.					<b>Risk Code: CRR016</b>	
<b>Inherent Status: High (9)</b>		<b>Inherent Risk Severity: High</b>		<b>Inherent Risk Likelihood: High</b>		
<b>Date Identified: 01 Apr 2009</b>				<b>Service: Safeguarding &amp; Specialist Services</b>		
<b>Mitigation records</b>						
<b>Mitigation Status</b>	<b>Mitigation</b>	<b>Info</b>	<b>Responsible Person</b>	<b>Date Identified</b>	<b>Last Review Date</b>	
On schedule	Ensure safeguarding processes reflect good VFM and are effective	Ensuring that services are operating effectively and providing VFM through remodelling activity in a climate of reducing resources. This is monitored by the Bristol Safeguarding Children Board.	Jean Pollard	05/08/2011	24/10/2011	
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 recommendations accepted in the DfE response of July 2011. A Local Action Plan has been drafted and is to be signed off by the Bristol Safeguarding Children Board in September 2011.	Jean Pollard	01/04/2009	24/10/2011	
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. Recent Ofsted unannounced inspection identified recruitment and retention as a strength, ensuring a good quality workforce with manageable caseloads.	Jean Pollard	22/01/2010	24/10/2011	
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. A recent Ofsted evaluation of Serious Case Review (SCR) was judged "oustanding" (1% of SCRs are graded such) which is a positive reflection of local SCR arrangements.	Jean Pollard	01/10/2009	24/10/2011	
On schedule	Train staff to ensure that required standards are achieved & maintained	The training will include inter-agency child protection issues. New training plan in place for 11/12. Work being undertaken to address streamlined arrangements for 2012/13 and beyond.	Jean Pollard	01/10/2009	24/10/2011	
<b>Current Status: High (6)</b>		<b>Previous Status: High (6)</b>		<b>Current Risk Severity: High</b>		<b>Current Risk Likelihood: Medium</b>
<b>Risk Champion: Craig Bolt</b>				<b>Risk Owner: Annie Hudson</b>		
<b>Review Note:</b>						

## Corporate Risk Register (CRR only)

<b>Rank 3 Risk: Bristol Change Programme</b> Failure to deliver performance improvements/cost reductions as a result of inadequate resourcing, and system(s) failure as too many poorly specified uncoordinated major changes implemented.					<b>Risk Code: CRR024</b>
<b>Inherent Status: High (9)</b>		<b>Inherent Risk Severity: High</b>	<b>Inherent Risk Likelihood: High</b>		
<b>Date Identified: 01 Apr 2009</b>			<b>Service: Information, Communications &amp; Technology</b>		
<b>Mitigation records</b>					
<b>Mitigation Status</b>	<b>Mitigation</b>	<b>Info</b>	<b>Responsible Person</b>	<b>Date Identified</b>	<b>Last Review Date</b>
On schedule	All business cases scrutinised by SODB and Cabinet	Each constituent element of the programme requires a business case, which is examined and approved by SODB and Cabinet.	Will Godfrey	01/12/2010	07/12/2011
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	07/12/2011
On schedule	Corporate co-ordination and ownership through programme managers' group and SODB	Strategic Options Delivery Board (SODB) regularly reviews the overall change portfolio. Portfolio Management Group and Programme Managers' team now established to manage dependencies and resources. A portfolio change plan is now in place and will move to formal change management control from February, once the budgets have been confirmed.	Paul Arrigoni	01/04/2009	07/12/2011
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. Portfolio Management Group has established a review process, and a revised approach to risk ownership will be proposed at the December SODB.	Paul Arrigoni	22/01/2010	07/12/2011
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 implemented by January 2012 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	07/12/2011
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	07/12/2011
<b>Current Status: High (6)</b>		<b>Previous Status: High (6)</b>	<b>Current Risk Severity: High</b>		<b>Current Risk Likelihood: Medium</b>
<b>Risk Champion: Christine Castle</b>			<b>Risk Owner: Will Godfrey</b>		
<b>Review Note:</b>					

## Corporate Risk Register (CRR only)

<b>Rank 4 Risk: Political capacity</b> Risk of being unable to make progress for Bristol due to: i, financial constraint ii, limited political consensus iii, impact of Localism Bill						<b>Risk Code: CRR029</b>	
<b>Inherent Status: High (9)</b>		<b>Inherent Risk Severity: High</b>		<b>Inherent Risk Likelihood: High</b>			
<b>Date Identified: 01 Apr 2009</b>				<b>Service: Corporate Indicators (DCX)</b>			
<b>Mitigation records</b>							
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date		
On schedule	Cross-party working to deliver key strategic priorities for Bristol	Via the party group leaders and through cross-party working groups	Jan Ormondroyd	01/04/2009	31/12/2011		
On schedule	Financial environment	The Administration's 2012/13 budget has been published for consultation. MTFP to be published in spring 2012.	Will Godfrey	01/04/2009	31/12/2011		
On schedule	Implementation of new legislation	Members briefed in detail on emerging legislation such as the Localism Bill including Mayoral and Police Commissioner proposals. Legislative updates and a programme of workshops with both officers and members will ensure the Council's ongoing change plan takes full account of the legislative environment.	Jan Ormondroyd	28/02/2011	31/12/2011		
On schedule	Strengthen links 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. Identified need to strengthen links with the LGA and to establish reinforced contacts with MPs, government departments and ministerial offices. Development of new 'growth deal' with Cities Minister. Regular briefings for local MPs.	Jan Ormondroyd	28/02/2011	31/12/2011		
<b>Current Status: High (6)</b>		<b>Previous Status: High (6)</b>		<b>Current Risk Severity: High</b>		<b>Current Risk Likelihood: Medium</b>	
<b>Risk Champion: Christine Castle</b>				<b>Risk Owner: Jan Ormondroyd</b>			
<b>Review Note:</b>							

<b>Rank 5 Risk: Payroll IT System</b> Unable to deliver payroll services due to failure of the supporting IT system. The payroll system runs on obsolete technology. The supplier has given notice they they are withdrawing support from March 2012. They have also confirmed they are dependant on a single individual to make system changes. The current supplier requires the Council to upgrade to their new payroll system to continue support beyond this date. This does not fit with Council's strategy, which is to move to an integrated (ERP) system for back office support. We also have low confidence in the current supplier.						<b>Risk Code: CRR035</b>	
<b>Inherent Status: High (6)</b>		<b>Inherent Risk Severity: High</b>		<b>Inherent Risk Likelihood: Medium</b>			
<b>Date Identified: 31 Dec 2009</b>				<b>Service: Shared Transactional Services</b>			
<b>Mitigation records</b>							
Mitigation Status	Mitigation	Info	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		
<b>Current Status: High (6)</b>		<b>Previous Status: High (6)</b>		<b>Current Risk Severity: High</b>		<b>Current Risk Likelihood: Medium</b>	
<b>Risk Champion: Christine Castle</b>				<b>Risk Owner: Jill Mikkelson</b>			
<b>Review Note:</b>							

## Corporate Risk Register (CRR only)

Rank 6 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: Highways and Traffic		
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.	Simon Creed	28/04/2011	05/10/2011
On schedule	Barrier equipment	Investigate potential locations for best use of the mobile barrier equipment (100m) which is ready for deployment, all staff have been trained, to be completed by March 2012.	Simon Creed	28/04/2011	05/10/2011
On schedule	Business case for Highways drainage and watercourses	To secure funding required to catch-up on works to improve the highway drainage and watercourses. Transport Asset Management Plan (TAMP) will provide the business case and data collection of the assets will take nine to twelve months. The outcomes of which will assist funding options, an update is expected by the end of 2012.	Steven Sodek	01/10/2010	05/10/2011
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). Outcomes of low defences will require immediate attention/funding. Expected to be complete by March 2012.	Steven Sodek	01/10/2010	05/10/2011
On schedule	Conduct Surface Water Management Plan Study	To understand the impact of rainfall run-off over the whole city. High risk areas now identified and broad scale options are being developed. Phase 2 to start shortly and additional grants have been applied for.	Steven Sodek	01/10/2010	05/10/2011
On schedule	Continued flood support Council wide	Assisting Civil Protection team with the development of the Flood Plan and continued support to flooding response from Highways and Waste teams.	Alistair Cox	28/04/2011	05/10/2011
Behind schedule	Develop a strategy as required by the Flood Water Maintenance Act 2010	Additional resources are now in place to complete this task, consultation paper currently being drafted and Strategy completion target is June 2012.	Steven Sodek	01/10/2010	05/10/2011
Behind schedule	Develop an understanding of how to improve defences and mitigate risks to protect Avonmouth	Bid for funding submitted to DEFRA, result of bid is due in Feb 2012 but may be refused due to small number of residential properties within the area.	Steven Sodek	01/10/2010	05/10/2011
On schedule	Develop Water Management Policy	To develop a Water Management Policy within the Core Strategy to manage how water is used. This mitigation is now complete, as full adoption of policy has been confirmed.	Steven Sodek	15/12/2010	05/10/2011
On 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. Approvals from the Environment Agency have taken longer than expected. Outcomes of low defences will require immediate attention/funding. Study now started and due completion before Spring 2012.	Steven Sodek	01/10/2010	05/10/2011
On schedule	Establish a register	A recording mechanism is now in place to log all flood incidents on a Register as required by the Flood Water Maintenance Act, this mitigation is now complete.	Steven Sodek	01/10/2010	05/10/2011
On schedule	Establish an automated system to improve delivery and compliance with maintenance contracts	Reports for the gully cleansing have now been received. New contracts are out to tender and will be awarded in March 2012. Development of the TAMP will progress this mitigation further in the coming year.	Steven Sodek	01/10/2010	05/10/2011
On schedule	Flood awareness	Undertake awareness work around rapid catchment area - Brislington Brook.	Simon Creed	28/04/2011	05/10/2011
On schedule	Insurance for Council tenants	Undertake work to increase the take-up of building contents insurance by Council tenants.	Tim Bruce	28/04/2011	05/10/2011
On schedule	Property protection	Work to improve the individual property protection to the Council social housing stock.	Tim Bruce	28/04/2011	05/10/2011
On schedule	Sustainable drainage systems approval responsibility	Co-ordinate and obtain approval for sustainable drainage systems for new developments. Preparation and further guidance from DEFRA has been deferred until Autumn 2012.	Steven Sodek	01/10/2010	05/10/2011
On schedule	To identify open spaces suitable for flood management	Additional land to be identified and safeguarded for flood prevention measures. The study is now being scoped in conjunction with the P&GSS. Expected completion is Summer 2012.	Steven Sodek	01/10/2010	05/10/2011
On schedule	Update Recovery Plan	The plan was issued in 2006 and will be reviewed by 31st March 2012.	Simon Creed	28/04/2011	05/10/2011
On schedule	Warnings and forecasts	A process is in place to ensure all information received relating to EA flood warnings and Met Office weather forecasts are reviewed to instigate further action if required.	Simon Creed	28/04/2011	05/10/2011

<b>Corporate Risk Register (CRR only)</b>			
<b>Current Status: High (6)</b>	<b>Previous Status: High (6)</b>	<b>Current Risk Severity: High</b>	<b>Current Risk Likelihood: Medium</b>
Risk Champion: Karen Rollinson		Risk Owner: Alistair Cox, Steven Sodek	
Review Note:			

<b>Rank 7 Risk: Senior Management Capacity</b> Risk that the reduced number of Strategic and Service Directors will lead to a significant increase in the workload of senior management with a potential impact on management capacity and delivery of planned budget proposals. <b>Risk Code: CRR045</b>					
<b>Inherent Status: High (9)</b>	<b>Inherent Risk Severity: High</b>	<b>Inherent Risk Likelihood: High</b>			
Date Identified: 31 Aug 2011		Service: Corporate Indicators (DCX)			
<b>Mitigation records</b>					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
On schedule	Ensure the service delivery planning framework is effective, efficient and responsive to change	Development of a strategic framework to dovetail with the 20:20 strategy, Bristol change programme and performance framework, to be launched alongside the budget in February 2012.	Paul Taylor	31/08/2011	31/12/2011
On schedule	Establish new Executive Office to provide day to day policy and strategic support to SLT	Executive Office established, with ongoing recruitment to posts in the team.	Paul Taylor	31/08/2011	31/12/2011
On schedule	Extended SLT (ELT) is taking responsibility for change planning across the organisation	Regular ELT briefings in place on change plans and portfolio governance. ELT members now taking leadership roles as SROs on key programmes. Portfolio Management Group (at Service Director level) is now established as a formal part of change governance to manage resources, dependencies and risks for the change portfolio, to report to SODB.	Paul Arrigoni	31/08/2011	31/12/2011
<b>Current Status: High (6)</b>	<b>Previous Status: High (6)</b>	<b>Current Risk Severity: High</b>	<b>Current Risk Likelihood: Medium</b>		
Risk Champion: Christine Castle		Risk Owner: Jan Ormondroyd			
Review Note:					

<b>Rank 8 Risk: Value for money</b> Failure to demonstrate improvement in value for money as a result of the lack of a consistently strong focus on value for money across the Council. <b>Risk Code: CRR008</b>					
<b>Inherent Status: High (9)</b>	<b>Inherent Risk Severity: High</b>	<b>Inherent Risk Likelihood: High</b>			
Date Identified: 01 Apr 2009		Service: Finance			
<b>Mitigation records</b>					
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	29/12/2011
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	29/12/2011
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	29/12/2011
On schedule	Development of the Bristol Change programme	Key change programmes are taking place in H&SC, CYPS, Corporate Services and Finance, together with a service prioritisation plan for NH/CD directorate, designed to deliver VFM. A revised Change Plan for the Council has been delivered that aligns with the budget reduction required to deliver the MTFP.	Paul Arrigoni	01/04/2009	29/12/2011
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	29/12/2011
<b>Current Status: Medium (4)</b>	<b>Previous Status: Medium (4)</b>	<b>Current Risk Severity: Medium</b>	<b>Current Risk Likelihood: Medium</b>		
Risk Champion: Christine Castle		Risk Owner: Will Godfrey			
Review Note:					



## Corporate Risk Register (CRR only)

Rank 9 Risk: Information security Failure to take adequate steps to properly safeguard sensitive and confidential 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	Build in security best practice , guidance and standards into all change processes	Security screening from the initial Business Design stage. Build in risk assessment support and advice throughout all change processes.	Bernadette Keen	01/10/2011	15/12/2011	
On schedule	Carry out reviews to indentify weaknesses in data transfer / mobile devices	Reviews have been completed and the implementation of recommendations followed up. One key recommendation had not been implemented at the time of the follow-up review, but action is now underway to resolve it.	Dick Powell	01/04/2009	15/12/2011	
On schedule	Deliver refresher security training for all staff	Publish updated security training material via E-Learning portal to support a programme of annual security awareness training for all staff.	Bernadette Keen	01/10/2011	15/12/2011	
No Data available	Ensure that sensitive data is shared appropriately between ourselves and partners	Collate and review Information Sharing Protocols.	Bernadette Keen	01/10/2011	15/12/2011	
No Data available	Implement secure E-mail facilities which are easy to use	Implement a solution to permit secure delivery of electronic mail to non Government organisations / voluntary groups.	Bernadette Keen	01/10/2011	15/12/2011	
On schedule	Improve control of information assets.	Create an Information Asset catalogue with appropriate Business Impact classifications assigned following HMG standards. Implement Protective Marking scheme.	Bernadette Keen	01/10/2011	15/12/2011	
On schedule	Information systems classified according to new scheme.	Currently in progress.	Rob Scott	01/04/2009	15/12/2011	
Completed	New IT structure	No further recruitment	Rob Scott	01/04/2009	15/12/2011	
On schedule	Reduce exposure of sensitive documents through printing in shared areas.	Implement Follow Me Printing across all shared environments.	Bernadette Keen	01/10/2011	15/12/2011	
On schedule	Reduce risk of data breach from all new laptop computers / tablets	Implement disc encryption on all newly deployed laptops.	Bernadette Keen	01/10/2011	15/12/2011	
On schedule	Reduce risk of data breach from existing laptop computers	Issue revised policy and guidance following implementation of laptop encryption	Bernadette Keen	01/10/2011	15/12/2011	
On schedule	Reduce risk of data breach from existing laptop computers	Replace existing laptops which are not compatible with Windows7 and ecrypt using Bitlocker (150 devices)	Bernadette Keen	01/10/2011	15/12/2011	
On schedule	Reduce risk of data breach from existing laptop computers	Implement disc encryption on existing laptops compatible with Windows7 (800 devices)	Bernadette Keen	01/10/2011	15/12/2011	
No Data available	Reduce risk of data breach from unencrypted memory sticks	Restrict use of USB devices.	Bernadette Keen	01/10/2011	15/12/2011	
On 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	15/12/2011	
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	15/12/2011	
Current Status: Medium (4)		Previous Status: High (6)		Current Risk Severity: Medium		Current Risk Likelihood: Medium
Risk Champion: Christine Castle				Risk Owner: Bernadette Keen, Rob Scott		
Review Note: Key mittigations have been completed. Following review new mittigations have been planned.						

## Corporate Risk Register (CRR only)

Rank 10 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	
Behind schedule	Achieve further decline in fixed term exclusion	Data shows continuing decline at primary and increase at secondary.	Nick Batchelar	01/04/2009	28/10/2011	
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. Partnership Statement agreed Jan 2011. Partnership Conference to be held on 3 November 2011.	Nick Batchelar	16/05/2011	28/10/2011	
On schedule	Implement CYP Plan actions	Improving Under Performing School Plan submitted to DfE in April 2011. Response received July 2011. Action underway.	Nick Batchelar	01/04/2009	28/10/2011	
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	28/10/2011	
On schedule	Retention and Recruitment of Governors	Actively seeking new opportunities to promote governor recruitment. Promoting training to aid governor retention and to increase effectiveness. In March the vacancy rate for were Bristol 9.7% compared with National average of 11.7% and South West average of 11.4%.	Nick Batchelar	08/02/2011	28/10/2011	
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:						

Rank 11 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 Risk Register (CRR only)

Rank 12 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		Netta Meadows	01/04/2009	20/12/2011
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 and reported to CQC where appropriate.  Additional resources allocated to safeguarding service in order to ensure appropriate response times.	Mike Hennessey	01/04/2009	20/12/2011
On schedule	Ceasing admissions to care homes where concerns have been reported.	Recent monitoring “inspections” by contract compliance staff have assisted in raising the standards with Care Homes. The majority of in-house services are now rated good.	Netta Meadows	01/04/2009	20/12/2011
On schedule	Compliance with care management policies / procedures.	Team manager authorisation and review of care plans and regular case sampling by Senior Management Team. (Approval by Panel process)	Mike Hennessey	01/04/2009	20/12/2011
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 waiting for CRB clearance.	Mike Hennessey	01/04/2009	20/12/2011
On schedule	Regular inspection and regulatory processes undertaken by CQC	All regulated services managed by the City Council are quality monitored by CQC.	Vareta Bryan	01/04/2009	20/12/2011
On schedule	Safe recruitment processes / CRB checks for staff working with vulnerable adults.	Staff employed by the Council are all CRB checked prior to commencement of employment. Care staff are NVQ trained to appropriate standards and regularly supervised. They also receive an annual PMDS.	Vareta Bryan	01/04/2009	20/12/2011
On schedule	We regularly monitor all services against a structured quality monitoring framework	Providers are quality monitored in a proactive way to ensure high standards of care. This allows for essential scrutiny of services and gives an additional opportunity to talk to staff and users regarding the service	Netta Meadows	01/04/2009	20/12/2011
Current Status: Medium (4)		Previous Status: Medium (4)		Current Risk Severity: Medium	
Risk Champion: Simon Merrett				Current Risk Likelihood: Medium	
Risk Owner: Alison Comley				Review Note:	

## Corporate Risk Register (CRR only)

<b>Rank 13 Risk: Financial management</b> Disruption to service plans because of failure to plan and manage budgets, implement agreed efficiency savings, or identify savings to address significant government grant reduction 2011/12 to 2014/15					<b>Risk Code: CRR011</b>
<b>Inherent Status: High (6)</b>		<b>Inherent Risk Severity: High</b>		<b>Inherent Risk Likelihood: Medium</b>	
<b>Date Identified: 01 Apr 2009</b>			<b>Service: Finance</b>		
<b>Mitigation records</b>					
<b>Mitigation Status</b>	<b>Mitigation</b>	<b>Info</b>	<b>Responsible Person</b>	<b>Date Identified</b>	<b>Last Review Date</b>
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. Recent government announcements re infrastructure investment may provide some additional resources.	Will Godfrey	01/04/2009	06/12/2011
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	06/12/2011
On schedule	Financial forecast	A detailed new MTFP will be prepared during 2011/12.	Will Godfrey	01/04/2009	06/12/2011
On schedule	Formal quarterly budget/capital programme monitors and monthly monitors of risk areas		Peter Robinson	01/04/2009	06/12/2011
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.	Alison Comley	01/04/2009	06/12/2011
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	06/12/2011
<b>Current Status: Medium (4)</b>		<b>Previous Status: Medium (4)</b>		<b>Current Risk Severity: Medium</b>	
<b>Risk Champion: Christine Castle</b>			<b>Current Risk Likelihood: Medium</b>		
<b>Risk Owner: Peter Robinson</b>			<b>Review Note:</b>		

**Corporate Risk Register (CRR only)**

<b>Rank 14 Risk: Management and Delivery of Major Infra-structure Projects</b> Risk of increased costs and delay as a result of weaknesses in project planning and management. <b>Risk Code: CRR004</b>					
<b>Inherent Status: High (9)</b>		<b>Inherent Risk Severity: High</b>	<b>Inherent Risk Likelihood: High</b>		
<b>Date Identified: 01 Apr 2009</b>			<b>Service: Major Projects</b>		
<b>Mitigation records</b>					
<b>Mitigation Status</b>	<b>Mitigation</b>	<b>Info</b>	<b>Responsible Person</b>	<b>Date Identified</b>	<b>Last Review Date</b>
On schedule	Capital Programme Board	Capital Programme Board established to monitor key progress, spend, issues and risks monthly.	Alistair Cox	17/01/2011	16/11/2011
Completed	Continuous liaison	Continuous liaison between Capital Programme Officers and Project Managers to review progress, spend, issues and risks. This risk is now closed as covered by Capital Programme Board mitigation.	Alistair Cox	17/01/2011	16/11/2011
On schedule	Government discussions for West of England Partnership	Continuous discussions with regional engagement team for the Department for Transport around major scheme submissions	Alistair Cox	17/01/2011	16/11/2011
On schedule	Internal gateway review	Continue the internal gateway review process for major projects	Alun Owen	17/01/2011	16/11/2011
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	Graham Sims	17/01/2011	16/11/2011
Completed	Monitoring of SW of E Project Fund	Mitigation closed, South West RFA no longer in existence following Comprehensive Spending Review.	Alun Owen	17/01/2011	16/11/2011
On schedule	Review and Monitor Capital recharges	Regularly reviewed as part of Capital Programme Board	Alistair Cox	17/01/2011	16/11/2011
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	16/11/2011
On schedule	Revise guidance on procurement and project management	Follow the Redland Green external audit report.	Alun Owen	01/01/2010	16/11/2011
On schedule	Sign-off of projects by Transformation Board	All projects to be signed-off by Transformation Board, comprising both strategic and service Directors.	Graham Sims	17/01/2011	16/11/2011
On schedule	Transport Capital Programme Quality Assurance Scheme Design	Introduction of a new quality assurance scheme to ensure holistic scheme design meeting the objectives of the Council and reducing the risk of objections or modifications throughout design stages	Alistair Cox	16/11/2011	16/11/2011
<b>Current Status: Medium (4)</b>		<b>Previous Status: Medium (4)</b>	<b>Current Risk Severity: Medium</b>		<b>Current Risk Likelihood: Medium</b>
<b>Risk Champion: Karen Rollinson</b>			<b>Risk Owner: Graham Sims</b>		
<b>Review Note:</b>					

## Corporate Risk Register (CRR only)

<b>Rank 15 Risk: Civil Emergency</b> Inadequate response to a major incident or emergency resulting in avoidable injury or loss of life, disruption to critical service delivery, reputational damage, financial loss and protracted recovery <b>Risk Code: CRR013</b>					
<b>Inherent Status: High (9)</b>		<b>Inherent Risk Severity: High</b>		<b>Inherent Risk Likelihood: High</b>	
<b>Date Identified: 01 Apr 2009</b>			<b>Service: Safer Bristol Partnership</b>		
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
On schedule	Active participation in the Local Resilience Forum	BCC leading or involved in Crowded Places, CBRN, Fuel Shortage, Warning and Informing, COMAH, Risk Assessment Group Mass Fatalities, Training and exercising LRF Planning Groups	Simon Creed	01/04/2009	05/10/2011
Behind schedule	Business Continuity 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. CPU will raise the auditing procedures issue on CCCG 15th November 2011.	Graham Sims	01/04/2009	05/10/2011
On schedule	Community risks identified and communicated	Local Resilience Forum (LRF) Community Risk Register regularly reviewed; Draft Bristol focussed Risk Register to go to CCCG on 15th November 2011.	Simon Creed	23/01/2010	05/10/2011
On schedule	Critical Services and staff identified for each Directorate and continuity plans in place	Critical Service list reviewed June 2011. Critical Service Business Continuity Plans review is on schedule. Managers identified and trained - this an annual review.	Simon Creed	23/01/2010	05/10/2011
On schedule	Directorate Plans in preparation. Testing and review schedule.	Plans to be completed for new post-Transformation Directorates by 31st March 2012.	Simon Creed	23/01/2010	05/10/2011
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.	Rick Palmer	23/01/2010	05/10/2011
On schedule	Resources for planning and testing	New directorates to identify the resources needed to deliver planning and testing outcomes by 31st March 2012.	Simon Creed	01/04/2009	05/10/2011
On schedule	Sufficient trained staff and volunteers	Following a restructure, reprioritising of work and programming has brought this training back on schedule. Training is ongoing.	Simon Creed	01/04/2009	05/10/2011
<b>Current Status: Medium (4)</b>		<b>Previous Status: Medium (4)</b>		<b>Current Risk Severity: Medium</b>	
<b>Risk Champion: Karen Rollinson</b>			<b>Risk Owner: Rick Palmer</b>		
<b>Review Note:</b>					

<b>Rank 16 Risk: Local Enterprise Partnership</b> Failure to engage in new arrangements regarding establishing and reporting against the Local Enterprise Partnership (LEP) <b>Risk Code: CRR037</b>					
<b>Inherent Status: High (6)</b>		<b>Inherent Risk Severity: High</b>		<b>Inherent Risk Likelihood: Medium</b>	
<b>Date Identified: 17 Aug 2010</b>			<b>Service: Corporate Indicators (DCX)</b>		
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
On schedule	Determine adequate resourcing arrangements for the LEP	A review of the West of England support arrangements is underway and aims to be completed by the end of 2011.	Will Godfrey	28/02/2011	31/12/2011
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. Executive Office function will align LEP objectives within the Council's strategic framework. Bristol Futures to lead on economic development priorities.	Paul Taylor	28/02/2011	31/12/2011
On schedule	Ensure successful delivery of the Temple Quarter Enterprise Zone	Work has been commissioned to review the financial modelling assumptions underpinning the Enterprise Zone (EZ) plans. The EZ formally commences on 1 April 2012.	Will Godfrey	07/09/2011	31/12/2011
Completed	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 established in June 2011. Business plan in development for November 2011, with Annual Conference on 15 November 2011.	Jan Ormondroyd	04/10/2010	31/12/2011
<b>Current Status: Medium (4)</b>		<b>Previous Status: Medium (4)</b>		<b>Current Risk Severity: Medium</b>	
<b>Risk Champion: Christine Castle</b>			<b>Risk Owner: Jan Ormondroyd</b>		
<b>Review Note:</b>					

## Corporate Risk Register (CRR only)

Rank 17 Risk: Shortage of Primary School places in Bristol Failure to provide enough Primary School places						Risk Code: CRR043
Inherent Status: High (6)		Inherent Risk Severity: High		Inherent Risk Likelihood: Medium		
Date Identified: 01 Sep 2010			Service: Education Strategy & Targeted Services			
Mitigation records						
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date	
On schedule	Complete DfE Surplus Place return	This is an annual process. Completed for 2011	Catherine Filmer	01/09/2010	10/10/2011	
On schedule	Deliver outcomes identified in School Organisation Strategy - long term	Capital projects re-constructed to free up resources. Applications for additional capital funding to be submitted to central government over the autumn.	Michael Branaghan	28/07/2011	10/10/2011	
On schedule	Deliver outcomes identified in School Organisation Strategy - medium term	Feasibility for medium term agreed by Cabinet 21/7/11 subject to capital funding from central government.	Michael Branaghan	17/05/2011	10/10/2011	
On schedule	Deliver outcomes identified in School Organisation Strategy - short term	Short term proposals approved by Cabinet 24/3/11. Working towards September 2012 projects	Michael Branaghan	17/05/2011	10/10/2011	
Current Status: Medium (4)		Previous Status: Medium (4)		Current Risk Severity: Medium		Current Risk Likelihood: Medium
Risk Champion: Craig Bolt			Risk Owner: Craig Bolt, Michael Branaghan			
Review Note:						

Rank 18 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 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	
On 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		Current Risk Likelihood: Medium
Risk Champion: Christine Castle			Risk Owner: Will Godfrey			
Review Note:						

## Corporate Risk Register (CRR only)

<b>Rank 19 Risk: Climate Change - future proofing Bristol</b> 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 (Bri 20:20 Plan priority)						<b>Risk Code: CRR040</b>
<b>Inherent Status: High (9)</b>		<b>Inherent Risk Severity: High</b>		<b>Inherent Risk Likelihood: High</b>		
<b>Date Identified: 14 Mar 2011</b>				<b>Service: Corporate Indicators (CD)</b>		
<b>Mitigation records</b>						
<b>Mitigation Status</b>	<b>Mitigation</b>	<b>Info</b>	<b>Responsible Person</b>	<b>Date Identified</b>	<b>Last Review Date</b>	
On schedule	Climate adaptation annual report	Production of a short report for members and SLT summarising progress in future-proofing Bristol. Identifying key trends, successes and areas which need improvement by end of November 2012. A publicly available version is also planned.	Alex Minshull	14/03/2011	18/10/2011	
On schedule	Climate change risk register	Production of a BCC Climate Change Risk Register a) Draft Climate Change Risk Register 2011/12 by end of July 2011 - this has been actioned. b) Final Climate Change Risk Register (version 1) 2011/12 by end of October 2011. c) Review and produce Climate Change Risk Register (version 2) end of October 2012.	Alex Minshull	14/03/2011	18/10/2011	
On schedule	Guidance on climate risks on the Source	Update the Eco-Impact Assessment Guidance by end of October 2011 - this action now complete. Production of guidance for posting on the intranet to assist officers in the application of the Climate Change Risk Register to their work. To be delivered by end of March 2012.	Alex Minshull	14/03/2011	18/10/2011	
<b>Current Status: Medium (4)</b>		<b>Previous Status: Medium (4)</b>		<b>Current Risk Severity: Medium</b>		<b>Current Risk Likelihood: Medium</b>
<b>Risk Champion: Karen Rollinson</b>				<b>Risk Owner: Graham Sims</b>		
<b>Review Note:</b>						

<b>Rank 20 Risk: Performance Management</b> Failure to ensure that appropriate performance management arrangements are in place to deliver stated outcomes against corporate priorities						<b>Risk Code: CRR038</b>
<b>Inherent Status: High (6)</b>		<b>Inherent Risk Severity: High</b>		<b>Inherent Risk Likelihood: Medium</b>		
<b>Date Identified: 06 Jan 2011</b>				<b>Service: Finance</b>		
<b>Mitigation records</b>						
<b>Mitigation Status</b>	<b>Mitigation</b>	<b>Info</b>	<b>Responsible Person</b>	<b>Date Identified</b>	<b>Last Review Date</b>	
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	
<b>Current Status: Medium (3)</b>		<b>Previous Status: Medium (3)</b>		<b>Current Risk Severity: High</b>		<b>Current Risk Likelihood: Low</b>
<b>Risk Champion: Christine Castle</b>				<b>Risk Owner: Peter Robinson</b>		
<b>Review Note:</b>						



## Corporate Risk Register (CRR only)

<b>Rank 21 Risk: Industrial relations</b> Disruption to services or unplanned increase in costs as a result of breakdown in industrial relations.					<b>Risk Code: CRR014</b>	
<b>Inherent Status: High (6)</b>			<b>Inherent Risk Severity: High</b>		<b>Inherent Risk Likelihood: Medium</b>	
<b>Date Identified: 01 Apr 2009</b>			<b>Service: Human Resources</b>			
<b>Mitigation records</b>						
<b>Mitigation Status</b>	<b>Mitigation</b>	<b>Info</b>	<b>Responsible Person</b>	<b>Date Identified</b>	<b>Last Review Date</b>	
On schedule	Application of national terms and conditions of service	Strengthened through publication of revised HR delegations on The Source, that reflect vacancy management arrangements and incorporate closer integration of Strategic HR and HR STS.	Mike Watts	01/04/2009	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	
<b>Current Status: Low (2)</b>		<b>Previous Status: Low (2)</b>		<b>Current Risk Severity: Medium</b>		<b>Current Risk Likelihood: Low</b>
<b>Risk Champion: Christine Castle</b>			<b>Risk Owner: Will Godfrey</b>			
<b>Review Note:</b>						

## Corporate Risk Register (CRR only)

Rank 22 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
Completed	CEHSCC and 2nd tier co-ordinators meet regularly, and regular meetings with the Trade Unions	The authority's 2nd Tier co-ordinators' group has now ceased to meet (with the option of reforming were a significant H&S issue to emerge). A Health & Safety Board has been established and met for the first time in October 2011. The CEHSCC has now become the Corporate Safety Consultative Committee (CSCC), with a revised constitution and membership which will be fully implemented in 2012/13.	Paul Fudgell	01/04/2009	31/12/2011
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 and in elderly person's residential/people with dementia homes (2011). Mitigation plan being formulated at Directorate level for social housing, with corporate support. New work stream for elderly persons commenced October 2011. Additional fire warden training and other fire safety training is being rolled out citywide in 2012/13.	Paul Fudgell	01/04/2009	31/12/2011
On schedule	Greater investment in ICT solutions to manage H&S information ie intranet based systems etc	Centralisation of H&S-specific ICT systems has taken place in 2011 - SYPOL (COSHH) and Safety Media (DSE). These systems will be available for the whole authority to use. Enabling works have taken place to define future ICT needs of the corporate safety section. In 2012/13 detailed work will be undertaken on an audit system and online accident reporting, which will need to be included in the MTFP discussions.	Paul Fudgell	01/04/2009	31/12/2011
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. The change process needs monitoring to ensure critical areas of work are not neglected. A concern is that key personnel may leave and organisational knowledge be lost, which can cause systemic H&S failures to occur but to go un-noticed. It is envisaged that the CHaSMS system will act as a mitigation to this potential risk. Currently assessed as on-schedule, but slippage may occur by mid-2012.	Paul Fudgell	01/04/2009	31/12/2011
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. This process will be repeated for the next three years to ensure compliance, as a recurring work item.	Paul Fudgell	01/04/2009	31/12/2011
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. Project to be completed by 2012/13.	Paul Fudgell	01/04/2009	31/12/2011
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)

<b>Rank 23 Risk: Housing Benefits</b> 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 Commission inspection and internal audit reports. <b>Risk Code: CRR039</b>					
<b>Inherent Status: High (9)</b>		<b>Inherent Risk Severity: High</b>		<b>Inherent Risk Likelihood: High</b>	
<b>Date Identified: 15 Nov 2010</b>			<b>Service: Integrated Customer Services</b>		
<b>Mitigation records</b>					
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	29/12/2011
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	29/12/2011
On schedule	Improvements in IT service	Regular liason 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	29/12/2011
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	29/12/2011
On schedule	Qualified Audit Reports	2009/10 subsidy claim qualification challenged to reduce the amount of subsidy requested back by DWP. New processes now in place to minimise the risk of late identification of issues, and a more structured engagement process with external auditors. Revising the eligibility claim for current and 2010/11 year in line with consultant's advice to improve subsidy recovery. 2010/11 subsidy claim audit successfully completed with no financial qualification expected.	Sheralynn McCarthy	15/11/2010	29/12/2011
On schedule	Revised working practices for Exempt Accommodation (EA) claims	Two new Policy Officers recruited to assist determination of rents. New Supporting People Officer to be recruited to assist premises inspections and claimant interviews. New EA Policy written explaining how rents and services are calculated for HB purposes and issued to all providers. Contrivance rules now applied and all payments withheld in cases of excessive rent charges. External and internal legal assistance in place. Review of all rents paid in progress.	Sheralynn McCarthy	05/12/2011	29/12/2011
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	29/12/2011
<b>Current Status: Low (2)</b>		<b>Previous Status: Low (2)</b>		<b>Current Risk Severity: Medium</b>	
<b>Risk Champion: Christine Castle</b>			<b>Current Risk Likelihood: Low</b>		
<b>Risk Owner: Julia James</b>			<b>Review Note:</b>		

## Corporate Risk Register (CRR only)

<b>Rank 24 Risk: Welfare Reform</b> 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 significant 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.						<b>Risk Code: CRR044</b>
<b>Inherent Status: Medium (3)</b>		<b>Inherent Risk Severity: High</b>		<b>Inherent Risk Likelihood: Low</b>		
Date Identified: 01 Oct 2011			Service: Integrated Customer Services			
<b>Mitigation records</b>						
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date	
On schedule	Corporate Welfare Reform group set up for strategic oversight of WR changes	To report to SLT, and to oversee strategy and operational aspects of WR, including working with external agencies/stakeholders.	Will Godfrey	01/10/2011	31/12/2011	
On schedule	Ensure staff understanding and awareness of Welfare Reform changes and impacts/implications	ICS staff briefed on WR on an 'open house' basis, internally October 2011, and other BCC staff also being briefed through open sessions (ongoing).	Jane Whiteman	01/10/2011	31/12/2011	
On schedule	Integrate activities arising from Welfare Reform changes through a WR portfolio within ICS	A Welfare Reform portfolio has been set up within ICS, to integrate activities, ensure a consistent approach to customers and feed up into the corporate WR group. It is now built into ICS planning and management.	Julia James	01/10/2011	31/12/2011	
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	31/12/2011	
<b>Current Status: Low (2)</b>		<b>Previous Status: Medium (3)</b>		<b>Current Risk Severity: Medium</b>		<b>Current Risk Likelihood: Low</b>
Risk Champion: Christine Castle			Risk Owner: Will Godfrey			
Review Note:						

<b>Rank 25 Risk: Health and Adult Social Care overspend</b> Failure to implement budget containment measures or do not predict growth in demand leading to budget overspend. Disruption to Authority Services as unplanned cuts are made elsewhere to balance budget. This would mean reputational damage, drop in CAA performance, failure to achieve VFM.						<b>Risk Code: CRR034</b>
<b>Inherent Status: High (9)</b>		<b>Inherent Risk Severity: High</b>		<b>Inherent Risk Likelihood: High</b>		
Date Identified: 01 Apr 2009			Service: Corporate Indicators (HSC)			
<b>Mitigation records</b>						
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date	
On schedule	Action Plan prepared by HSC DLT with Cabinet endorsement	Forecast overspend of £315k for 11/12. Action Plan to deliver 11/12 savings and achieve a balanced budget.	Alison Comley	01/04/2011	20/12/2011	
On schedule	Additional resources examining demand model	Transformation Programme is continuing to develop demand modelling to predict future needs and demographic changes in order to inform the MTFP and commissioning strategies.	Netta Meadows	01/04/2009	20/12/2011	
On schedule	Create and use of reserves and provisions consistent with accounting standards		Alison Comley	22/03/2011	20/12/2011	
On schedule	Identify sources of additional funding		Vareta Bryan	22/03/2011	20/12/2011	
On schedule	Maintain financial controls and governance arrangements	Report to budget holders and agree actions to respond to forecast overspends and underspends.	Rob Murphy	22/03/2011	20/12/2011	
On schedule	Regular monthly monitoring	Monitor in year budget v actual, income and expenditure together with identification of corrective action.	Peter Robinson	01/04/2009	20/12/2011	
On schedule	Report to line management	Executive and other elected members as necessary on the financial position.	Rob Murphy	22/03/2011	20/12/2011	
<b>Current Status: Low (2)</b>		<b>Previous Status: Medium (4)</b>		<b>Current Risk Severity: Low</b>		<b>Current Risk Likelihood: Medium</b>
Risk Champion: Simon Merrett			Risk Owner: Alison Comley			
Review Note:						