

**BRISTOL CITY COUNCIL  
Audit Committee  
29<sup>th</sup> June 2012**

**Report of:** Strategic Director Corporate Services

**Report Title:** Corporate Risk Register (CRR)

**Ward:** Citywide

**Officer presenting report:** Will Godfrey, Strategic Director Corporate Services

**Contact Telephone Number:** 0117 92 24420

**RECOMMENDATION**

The Audit Committee review, and comment upon the Corporate Risk Register (CRR) to ensure that the register properly reflects Members current opinion.

**SUMMARY**

This report covers the fourth review in 2011/12 of the CRR, which is attached at Appendix A.

**The significant issues in the report are:**

The detailed content changes and variations to the risks since the previous quarter last reported to the 3rd February 2012 Audit Committee are tabulated in the header to the CRR at Appendix A, and summarised in para. 2 below.

**Policy**

The twice yearly review of the CRR at the Audit Committee is a stated aim of the Risk Management Policy. Historically, it has been presented as an information item, however, it was recently agreed by the Audit Committee for reports to be presented as a main agenda item.

**Consultation:**

**Internal:** Officers from all Directorates, including risk owners, mitigation owners, risk champions and Strategic Directors were consulted.

**External:** None necessary

**1. Background**

1.1 The cycle of review for the CRR is established as:

Mitigation & Risk Owners - quarterly

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

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

Audit Committee - 6 monthly

## 2. Principal amendments

2.1 Since the previous report to the 3<sup>rd</sup> February 2012 Audit Committee, the principal amendments which have been made to the CRR were agreed at the 28<sup>th</sup> February 2012 Strategic Leadership Team, 15<sup>th</sup> February 2012 Leaders Briefing, and the 12<sup>th</sup> April 2012 Cabinet Briefing, as follows:

- *CRR039 Housing Benefits*  
*CRR034 Health & Adult Social Care overspend* - the current (residual) risk status for both these risks has been significantly reduced down to green. Consequently, both risks have been withdrawn from the CRR and will in future be reviewed as part of the respective Directorate level risk registers within Corporate Services, and Health and Social Care.
- *CRR046 Significant Children & Young People's Services revenue budget overspend* - addition of a new corporate risk which had previously been managed as part of the Directorate level risk register.
- *CRR024 Bristol Change Programme* - concerns around potential IT resilience issues have been incorporated within the risk mitigations.
- *CRR011 Financial Management* - concerns around potential fraud and corruption issues have been incorporated within the risk mitigations (in line with recent National Fraud Authority guidelines).
- *CRR031 Economic Recovery* - addition of a new mitigation referring to the need to "keep aware of and respond to the national agenda; actively seeking additional resources when available".
- CR029 Political Capacity - wording of the risk amended to incorporate the uncertainty over the mayoral referendum.

2.2 Currently, the Strategic Director Corporate Services is overseeing the review of risks relevant to:

- the transitional stages for the inward transfer of Public Health responsibilities
- the mayoral referendum in May resulted in a vote in favour of an elected mayor. The election is due to take place on 15 November 2012. In the lead up to the election there is a risk that decisions will be deferred.
- generic risk categories identified by the Portfolio Management Group in respect of the change portfolio
- development of the the Performance Management Strategy and risk mapping the Strategic Outcomes

At the conclusion of these reviews the CRR will be updated accordingly for the first quarter 2012/13.

## 3. Risk Assessment

3.1 There are no risks arising directly from this report, although clearly the risk management process minimises the risk of failures in the Council's service provision, and supports the internal control environment and governance arrangements. The risk management process provides for Member involvement in ensuring that risks facing the Council are properly addressed and managed.

#### **4. Equalities Impact Assessment**

4.1 None necessary for this report

#### **5. Legal and Resource Implications**

5.1 **Legal** - N/A

5.2 **Resource** - N/A

#### **Appendices**

Appendix A - Quarter 4 2011/12 Corporate Risk Register

#### **LOCAL GOVERNMENT ACCESS TO INFORMATION**

**Background Papers** Relevant background details held on SPAR.net

## 2011/12- QUARTER 4 RISK REPORT

**CORPORATE RISK REGISTER - SUMMARY HEADER**

	No.	Day	Month	Year
<b>VERSION</b>	<b>51</b>	<b>29<sup>th</sup></b>	<b>June</b>	<b>2012</b>

**VERSION CONTROL HISTORY**

Version No.	Reviewed By:	Review Date	Version No	Reviewed By:	Review Date
41	Audit Committee	8/7/11 (Quarter 4)	46	Strategic Leadership Team	28/2/12 (Quarter 3)
42	Strategic Leadership Team	30/8/11 (Quarter 1)	47	Leaders Briefing	15/3/12 (Quarter 3)
43	Leaders Briefing	15/9/11 (Quarter 1)	48	Cabinet Briefing	12/4/12 (Quarter 3)
43	Cabinet Briefing	29/9/11 (Quarter 1)	49	Strategic Director Corporate Services "Offline" Review	Mid - May 2012 (Quarter 4)
44	Strategic Director Corporate Services "Offline" Review	Mid-Dec 2011 (Quarter 2)	50	Executive Briefing	11/6/12 (Quarter 4)
45	Audit Committee	3/2/12 (Quarter 3 WIP)	51	Audit Committee	29/6/12 (Quarter 4)

<p><b>RISK ASSESSMENT METHODOLOGY</b></p> <p>Each risk is assessed according to the potential impact and likelihood (low [=1], medium [=2] or high [=3]) of the risk occurring, and scored by cross multiplying.</p>	<b>I M P A C T</b>	High	H/L 3x1=3	H/M 3x2=6	H/H 3x3=9
		Med	M/L 2x1=2	M/M 2x2=4	M/H 2x3=6
		Low	L/L 1x1=1	L/M 1x2=2	L/H 1x3=3
		Nil	Low	Med	High
	<b>RISK</b>	<b>LIKELIHOOD</b>			

**SUMMARY OF RISKS - CHANGES IN STATUS /MITIGATIONS SINCE PREVIOUS QUARTER 3**  
*ie compared with the previous quarterly review submitted to the 3<sup>rd</sup> February Audit Committee (Version 45)*

Current Risk Ranking	RISK	Direction of travel		CHANGES IN RISKS & MITIGATIONS
		Current Status	Previous Status	
<b>Managing partnerships with other organisations</b>				
18	Local Enterprise Partnership (CRR37)	4	4	<u>Additional mitigation:</u> Ensure LEP priorities are embedded in the Council's strategic priorities - the 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>				
1	CYPS Significant revenue budget overspend (CRR46)	9	N/A	<b>NEW RISK</b> (Transferred from CYPS Directorate Risk Register)
2	Economic recovery (CRR31)	6	6	<u>Additional mitigation:</u> Keeping aware of and responding to the national agenda, seeking additional resources when available. Maintain strong relationships with the business community via the LEP.

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*ie compared with the previous quarterly review submitted to the 3<sup>rd</sup> February Audit Committee (Version 45)*

Current Risk Ranking	RISK	Direction of travel		CHANGES IN RISKS & MITIGATIONS
		Current Status	Previous Status	
3	Bristol Change Programme (CRR24)	6	6	<p><u>Additional mitigation:</u>                      Availability of technology and associated services to support change. The Information Management and Technology Steering Group (IMTSG) is responsible for the planning and prioritisation of the technology investment programme as part of the overall change portfolio. This is underpinned by an ICT strategy and business-owned 'route maps' for technology investment in each business area. All core technologies needed are now ready for deployment and a programme planner is now in place to ensure business and ICT delivery plans are aligned.</p>
7	Senior management capacity (CRR45)	6	6	<p><u>Additional mitigation:</u>                      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, launched alongside the budget in February 2012.</p>
9	Value for Money (CRR8)	4	4	<p><u>Additional Information:</u>                      SLT agreed an extended deadline of 31/3 to complete the VFM self-assessments and a further progress report is due end of April 2012.</p>
14	Financial Management (CRR11)	4	4	<p><u>Risk description:</u> amended to also encompass threat from fraud and corruption.  <u>Additional Mitigation:</u>                      Review of Anti-Fraud Bribery and Corruption arrangements;roll out of management counter-fraud training.                      A counter fraud strategy has been developed in line with recommendations made by the National Fraud Authority, due for consideration at 16th Feb 2012 Leaders Briefing. During 2011 a bribery risk assessment was undertaken, and an e-learning course in Fraud Awareness successfully rolled out to management. A further e-learning management course is in preparation to cover Bribery &amp; Corruption for issue in 2012. Fraud Bulletins to staff continue to be issued at regular intervals.  <u>Additional Information:</u>                      DfE allocation of an additional £23m to Bristol in April 2012 for new primary schools reduces the 'gap' in £151m funding required by 2015 to provide required school places to £7m                      CYPS - Forecast overspend of £2.2m as at 31st March (reduced from £2.3m at end of second budget monitor), due to an exceptional number of (39) of young people taken into care in April &amp; May 2011. MTFP formally signed off by Cabinet 29 March 2012.                      H&amp;ASC - MTFP reduction of £5m agreed for 2012/13. Detailed plans including revisiting Residential Futures programme, streamlining care management processes, reviewing delivery of day care opportunities and creating alternatives to residential and nursing care. Savings identified within operational areas and monitoring system set up to review in-year progress.</p>
21	Performance Management (CRR38)	3	3	<p><u>Additional Information:</u>                      A quality check of initial VFM self-assessments is currently underway and improvement support and advice will be offered by the P&amp;I team as appropriate. Results of this review were reported to SLT in February, with an updated report in April. Work to embed the strategy continues.                      A revised Corporate Performance Management Framework is in draft for implementation from April 2012. The emphasis is on more streamlined and focused reporting against strategic priorities, and promoting greater challenge and better improvement planning.</p>

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				<u>Additional Mitigation:</u> Ensure our budget plans are accompanied by a clear statement of the Council's strategic priorities - Corporate planning has been brought alongside financial planning, with the 'Corporate Priorities and MediumTerm Financial Plan 2012/13 to 2014/15' adopted by Cabinet on 29 March 2012.
N/A	Health & Adult Social Care overspend (CRR34)	N/A	2	Risk <b>TRANSFERRED</b> to the Health & Adult Social Care Directorate Risk Register
<b>Human resource issues</b>				
12	Recruitment, Retention and Restructuring (CRR5)	4	4	<u>Additional Information:</u> The new People Programme mandate was approved by SODB in December 2011. Programme brief signed off by SODB in March 2012. Outline business case to be considered at May 2012 SODB. The deployment and use of casual workers is being reviewed in all service areas
22	Industrial Relations (CRR14)	2	2	<u>Additional Information:</u> HR delegations on The Source are currently under review. The Leader of the Council has requested the National Employers to consider a pay award for low paid staff for April 2012.
23	Health & Safety (CRR12)	2	2	<u>Additional Information:</u> Corporate fire safety policy to be produced, with review of fire safety risk assessments and to produce fire plans for all sites.
<b>Crisis planning</b>				
5	Flood risk (CRR42)	6	6	<u>Additional Information:</u> For insurance purposes, all directorates informed of their properties located in the flood plan. New Transport Asset Management Plan (TAMP) Development Manager has been recently appointed to assist in securing funds for priority areas. The Central Area Flood Risk Assessment will inform investment requirements over the next 10, 20 and 30 years. Draft report including hydraulic modelling completed, final report to be produced by October 2012 following consultation with key stakeholders. Surface Water Management Plan Study completed and awaiting consultation prior to issuing final report. Two flood fairs have been held and a further one will be held in 2012. The Police have agreed to a training package for Community Beat Officers. Insurance information is now part of the standard sign up procedures for every new tenancy, once all properties are identified in the risk zones for flooding then further correspondence will be sent to tenants. A working group is tasked to identify properties at greatest risk of flooding and to attract grant funding to provide essential flood mitigation equipment.
16	Civil Emergency (CRR13)	4	4	<u>Additional Information:</u> A report was presented to the Senior Leadership Team (SLT) on 27th March 2012 by Rick Palmer, (Safer Bristol Service Director). It was agreed as part of a 3 year review process that all critical service managers will have an element of Business Continuity in their PMDS from 2012/13 and it will form part of the service planning process from 2012/13. All Strategic Directors will be notified to ensure new measures are raised with all critical services managers. Draft Bristol focussed Risk Register went to CCG on 15th November 2011 and is now published for comment. Olympic risks

**SUMMARY OF RISKS - CHANGES IN STATUS /MITIGATIONS SINCE PREVIOUS QUARTER 3**  
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		Current Status	Previous Status	
				are now added to the CRR. The exercise Argon Shield, Watermark completed. Resources for planning to be tested 17 <sup>th</sup> May 2012. New staff training dates for May 2012 published.
<b>Climate change</b>				
20	Climate Change (CRR40)	4	4	No change.
<b>Project management</b>				
15	Management and Delivery of Major Infra-structure Projects (CRR4)	4	4	<u>Additional Information:</u> The Capital Programme Board has successfully been embedded as a monthly management tool to monitor the key progress, spend, issues, capital recharges and risks. Its use has been extended to cover resource planning and manage performance, this mitigation is now completed. Transport Capital programme - A Quality Assurance scheme is now embedded as a monthly management tool to ensure holistic scheme design meets the objectives of the Council and reduces the risk of objections or modifications throughout the design stages, any amendments are effectively actioned, this mitigation is now completed.
<b>Changes in population</b>				
19	Shortage of Primary School places in Bristol (CRR43)	4	4	<u>Additional Information:</u> Long Term - Additional funding has been secured from central government, including <ul style="list-style-type: none"> <li>• £18.3m for 11/12 additional basic needs;</li> <li>• £22.8m for 12/13 ";</li> </ul> Annual funding from central government: <ul style="list-style-type: none"> <li>• £14.9m for 11/12 basic needs</li> <li>• £23.9m for 12/13 "</li> </ul> Additional funding approved by Cabinet: <ul style="list-style-type: none"> <li>• £20m Prudential borrowing</li> </ul> We await the outcome of work being undertaken by Partnership for Schools on the Priority School Building Programme to see if there will be additional investment within the City.  Medium Term - Cabinet approved expenditure for 2012, to create 370 extra reception places and 2380 additional primary places for 2012. Forecasts from 2013 will be identified in may/June 2012.
<b>Information Technology</b>				
10	Information Security (CRR27)	4	4	No change.
17	Payroll IT System (CRR35)	4	6	Contract between BCC and supplier of the payroll system is now in place. The payroll project continues until the completion of all year-end returns, with the final Payroll Project Board taking place on 9 May 2012. There continue to be 'teething' problems with the system but these are being progressed as BAU.
<b>Vulnerable groups in the community</b>				
6	Welfare reform (CRR44)	6	2	Risk status adjusted from 2 to 6 in light of current uncertainties around the consequences of Welfare reform. <u>Additional mitigation:</u> Set up 2-strand programme to manage legislative changes and prepare for impacts and opportunities - Governance to include multi-executive input/ownership, since Welfare Reform and its impact will

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				cross-cut many departments. Paper has been to informal cabinet and SLT with an agreement on the way forward (two stands of approach, legislative and preparedness). Updates will be included monthly for SODB. A fund has been put aside to resource the work needed. <u>Additional Information:</u> Corporate Welfare Reform group focusing on managing the legislative changes needed (eg local Council Tax benefit) and assessing impact to determine other changes needed to prepare customer, city and BCC for WR. Stakeholder group meeting 1 May, plus a Core Cities group set up. Monthly reports to SODB.
8	Children in Need (CRR16)	6	6	<u>Additional Mitigation:</u> Munro Review - Ensure offer of "Early Help" is in place. Pathways project being progressed in conjunction with CYPS Target Operating Model work. <u>Additional Information:</u> Work to implement (Munro) recommendations is underway as Government guidance emerges. Bristol is part of the South West Consortium of authorities that oversee the South West Consortium of authorities that oversee the South West region and Child Protection Procedures.
11	Educational Attainment (CRR10)	4	4	<u>Additional Mitigations:</u> Develop link between highly effective and low performing schools: The majority of secondary schools are now, or shortly will be, academies. There are a number of primary academies, including sponsored academies, which replace low performing maintained primaries Partnership Structures being reviewed: Bristol is one of 8 new local authorities in the DfE/LGA Active Research on the changing role of the local authority with schools. Review and change trading offer from BCC and schools: Corporate and Education services offered on a traded basis are currently being reviewed, with changes to take effect from April 2013.
13	Adult Care (CRR25)	4	4	<u>Additional Information:</u> The Quality Assurance Framework in use to monitor all services will be reviewed and updated in 2012/13.

**Customer satisfaction**

24	Customer Services (CRR41)	1	4	<u>Additional Information:</u> Full Modernising Customer Services (MCS) business case agreed by Cabinet September 2011 and due to finish by March 2012. The Customer and Process programme will be the next phase of this work, but will now be corporate and take a more holistic view of both customers and processes. MCS has meant that numbers of staff have reduced, and channel shift / improvements in Housing Benefits has meant that service standards are being met. The new Waste contract has been problematic because of IT / operational Waste issues but extra staff were recruited to take these calls. IVR has also assisted
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**Miscellaneous**

4	Political capacity (CRR29)	6	6	<u>Risk description:</u> amended from - Risk of being able to make progress for Bristol due to (i) financial constraint, (ii) limited political consensus, (iii) impact of Localism Bill to - Risk of being able to make progress for Bristol due to impact of Localism Bill, in particular uncertainty over mayoral referendum.
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**SUMMARY OF RISKS - CHANGES IN STATUS /MITIGATIONS SINCE PREVIOUS QUARTER 3**  
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Current Risk Ranking	RISK	Direction of travel		CHANGES IN RISKS & MITIGATIONS
		Current Status	Previous Status	
N/A	Housing Benefits (CRR39)	N/A	2	Risk <b>TRANSFERRED</b> to the Corporate Services Directorate Risk Register

## 11/12 Corporate Risk Register (CRR only) Version 51

Report for 2011-2012 Quarter 4

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+)	

### 11/12 Corporate Risk Register (CRR only)

<b>Risk Rank 1: CYPS Significant revenue budget overspend</b> Managing overspend					<b>Risk Code: CRR046</b>
<b>Inherent Status: High (9)</b>		<b>Inherent Risk Severity: High</b>		<b>Inherent Risk Likelihood: High</b>	
<b>Date Identified: 01 Sep 2010</b>			<b>Service: Corporate Indicators - CYPS</b>		
<b>Mitigation records</b>					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
On 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 increase in number of young people taken into care in 2011/12. CYPS produced a savings plan identifying savings during 2011/12 which helped to balance budget by 31 March 2012. The savings plan was reviewed monthly and remedial action taken to compensate for slippage.	Annie Hudson	07/03/2012	08/05/2012
On schedule	Ensure DLT and Executive member receive updated protocols	Required to authorise and monitor spend of specific grants	Geraldine Mead	01/09/2010	08/05/2012
On schedule	Ensure that resources & priorities are regular item on the monthly DLT agenda	Q3 overspend reduced by £0.6m to £1.5m by end March	Annie Hudson	01/09/2010	08/05/2012
On schedule	Ensure that the MTFP is linked to service delivery plans	VFM plans replaced service delivery plans - VFM plans submitted April 2012	Geraldine Mead	01/09/2010	08/05/2012
On schedule	Focus on achieving 'Value For Money', as a priority	Directorate wide value for money analysis has been undertaken focusing on service manage portfolios. VFM improvement plan being drafted to align with CYPS change programme target operating model work Some work to be done on finalising some vfm measures.	Lucia Dorrington	01/09/2010	08/05/2012
On schedule	In year monitoring of budget against actual income & expenditure	complete for 2012/13	Geraldine Mead	01/09/2010	08/05/2012
Completed	Mid-year policy practice/changes to create offsetting savings		Annie Hudson	01/09/2010	08/05/2012
On schedule	Scrutinise new legislation and professional journals	To raise awareness and keep up to date with funding sources available	Geraldine Mead	01/09/2010	08/05/2012
On schedule	Submit regular report to budget holders with agreed actions on how to respond to forecast overspend	The reports are submitted monthly	Geraldine Mead	01/09/2010	08/05/2012
On schedule	Work commenced on structural issues within child protection		Geraldine Mead	27/01/2012	08/05/2012
<b>Current Status: High (9)</b>		<b>Previous Status: High (9)</b>		<b>Current Risk Severity: High</b>	
<b>Risk Champion: Craig Bolt</b>			<b>Risk Owner: Annie Hudson</b>		
<b>Review Note:</b> This risk continues into 2012/13. there is a structural deficit caused by demographics that needs addressing					

## 11/12 Corporate Risk Register (CRR only)

Risk Rank 2: Economic Recovery Risk of failing to restore economic growth for Bristol as a City, with specific implications for the Council.					Risk Code: CRR031	
Inherent Status: High (9)		Inherent Risk Severity: High		Inherent Risk Likelihood: High		
Date Identified: 01 Apr 2009				Service: Corporate Indicators (CX)		
Mitigation records						
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.	Julia James	07/12/2011	13/03/2012	
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	13/03/2012	
On schedule	Keeping aware of and responding to the national agenda, seeking additional resources when available	Maintain strong network with Government departments, particularly CLG, Treasury & Cabinet Office. Raise Bristol's profile with policy-makers in central Government, as well as opinion-formers in other national bodies such as think-tanks. Use networks such as Core Cities to maximise influence over policy making and resource allocation. Current examples include work to strike a 'City Deal' with Government.	Paul Taylor	01/03/2012	13/03/2012	
On schedule	Maintain strong relationships with the business community via the LEP	The LEP provides a forum for ensuring that strategies and accompanying funding streams both for the LEP and the constituent authorities are focused on driving economic growth.	Jan Ormondroyd	01/04/2009	13/03/2012	
Current Status: High (6)		Previous Status: High (6)		Current Risk Severity: High		Current Risk Likelihood: Medium
Risk Champion: Christine Castle				Risk Owner: Will Godfrey		
Review Note:						

## 11/12 Corporate Risk Register (CRR only)

<b>Risk Rank 3: 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	13/04/2012	
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	13/04/2012	
On schedule	Availability of technology and associated services to support change	The Information Management and Technology Steering Group (IMTSG) is responsible for the planning and prioritisation of the technology investment programme as part of the overall change portfolio. This is underpinned by an ICT strategy and business-owned 'route maps' for technology investment in each business area. All core technologies needed are now ready for deployment and a programme planner is now in place to ensure business and ICT delivery plans are aligned.	Paul Arrigoni	14/02/2012	13/04/2012	
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 (PMG) and Programme Managers' team now established to manage dependencies and resources. A portfolio change plan is now in place and has moved under formal change control.	Paul Arrigoni	01/04/2009	13/04/2012	
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 (PMG) has established a review process, and a joint SODB/PMG workshop on high priority risks took place in February 2012.	Paul Arrigoni	22/01/2010	13/04/2012	
On schedule	Implementation of Bristol Workplace to underpin and support delivery of the change programme	Cabinet has provided a sufficient steer to enable a strategic outline business case to be prepared. This will be presented to Cabinet in June 2012.	Graham Sims	01/04/2012	13/04/2012	
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	13/04/2012	
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	13/04/2012	
<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>						

## 11/12 Corporate Risk Register (CRR only)

<b>Risk Rank 4: Political capacity</b> Risk of being unable to make progress for Bristol due to impact of Localism Bill, in particular uncertainty over mayoral referendum					<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 (CX)</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	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	13/03/2012	
On schedule	Financial environment	The Administration's 2012/13 budget has been agreed. MTFP to be published spring 2012.	Will Godfrey	01/04/2009	13/03/2012	
On schedule	Implementation of new legislation	Members briefed in detail on emerging legislation such as the Localism Bill including Mayoral and Police Commissioner proposals. 'In the Loop' 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.	Paul Taylor	28/02/2011	13/03/2012	
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	13/03/2012	
<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>						

## 11/12 Corporate Risk Register (CRR only)

<b>Risk Rank 5: Flood Risk</b> 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					<b>Risk Code: CRR042</b>	
<b>Inherent Status: High (6)</b>			<b>Inherent Risk Severity: High</b>		<b>Inherent Risk Likelihood: Medium</b>	
<b>Date Identified: 20 Sep 2010</b>			<b>Service: Corporate Indicators (CD)</b>			
<b>Mitigation records</b>						
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. All directorates informed of what properties they own are in the flood plan areas.	Nicky Debbage	28/04/2011	20/04/2012	
On schedule	Barrier equipment	Investigate potential locations for best use of the mobile barrier equipment (80m) which is ready for deployment, all staff have been trained, to be completed by September 2012. There has been a delay due to unavailability of staff and funding to cover the trainees attendance costs.	Simon Creed	28/04/2011	20/04/2012	
Completed	Business case for Highways drainage and watercourses	The Transport Asset Management Plan (TAMP) will provide the business case to assist with securing funds for priority areas identified, a new TAMP Development Manager has recently been appointed to progress this work to be completed by March 2013, mitigation now closed.	Alistair Cox	01/10/2010	20/04/2012	
On schedule	Conduct Central Area Flood Risk Assessment	This study will provide an understanding of the level of protection of defences along the River Avon and its tributaries now and in the future. It will address the risk from climate change and sea level rises and will inform investment requirements over the next 10, 20 and 30 years. Outcomes of low defences will require immediate attention/funding. Draft report including hydraulic modelling completed, final report to be produced by October 2012 following consultation with key stakeholders.	Alistair Cox	01/10/2010	20/04/2012	
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. Surface Water Management Plan Study is completed and awaiting consultation prior to issuing the final report.	Alistair Cox	01/10/2010	20/04/2012	
On schedule	Continued flood support Council wide	Assist the Civil Protection team with the development of the Flood Plan which is now completed and continued support to flooding responses from Highways and Waste teams.	Alistair Cox	28/04/2011	20/04/2012	
On 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 August 2012.	Alistair Cox	01/10/2010	20/04/2012	
On schedule	Develop an understanding of how to improve defences and mitigate risks to protect Avonmouth	Bid for funding submitted to DEFRA was unsuccessful in February 2012. Initial study work completed and further engagement with the Environment Agency and other bodies underway.	Alistair Cox	01/10/2010	20/04/2012	
Completed	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. The study has been completed and indicative funding is available from the Environment Agency for mitigation measures to be delivered during 2012/13 financial year, this mitigation is now completed.	Alistair Cox	01/10/2010	20/04/2012	
On schedule	Establish an automated system to improve delivery and compliance with maintenance contracts	Reports for the gully cleansing have now been received, contract award to take place during April 2012. Development of the TAMP will progress this mitigation further in the coming year.	Alistair Cox	01/10/2010	20/04/2012	
On schedule	Flood awareness	Undertake awareness work around rapid catchment area - Brislington Brook. Two flood fairs have been held and a further one will be held in 2012. The Police have agreed to a training package for Community Beat Officers.	Simon Creed	28/04/2011	20/04/2012	
On schedule	Insurance for Council tenants	Insurance information is now part of the standard sign up procedures for every new tenancy, once all properties are identified in the risk zones for flooding then further correspondence will be sent to tenants.	Nicky Debbage	28/04/2011	20/04/2012	
On schedule	Property protection	Improve the individual property protection to the Council Social Housing stock, a working group is tasked to identify properties at greatest risk of flooding and to attract grant funding to provide essential flood mitigation equipment.	Nicky Debbage	28/04/2011	20/04/2012	
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. Early consultation work with internal stakeholders is underway.	Alistair Cox	01/10/2010	20/04/2012	
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 and the expected completion is Summer 2012.	Alistair Cox	01/10/2010	20/04/2012	
Behind schedule	Update Recovery Plan	The plan was issued in 2006 and the review has been delayed from March 2012, the expected completion date is now June 2012.	Simon Creed	28/04/2011	20/04/2012	
On schedule	Warnings and forecasts	A process is in place to ensure all information received relating to Environment Agency flood warnings and Met Office weather forecasts, the severity of these warnings act as triggers to part or all of the BCC Flood Plan. Any affected staff and teams have been added to the instant warning distribution list which is reviewed annually and the process published to departments through the CCG.	Simon Creed	28/04/2011	20/04/2012	
<b>Current Status: High (6)</b>			<b>Previous Status: High (6)</b>		<b>Current Risk Severity: High</b>	
<b>Risk Champion: Karen Rollinson</b>			<b>Current Risk Likelihood: Medium</b>			
<b>Risk Owner: Graham Sims</b>			<b>Review Note:</b>			

## 11/12 Corporate Risk Register (CRR only)

<b>Risk Rank 6: Welfare Reform (WR)</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 Risk 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. <b>Risk Code: CRR044</b>					
<b>Inherent Status: High (9)</b>		<b>Inherent Risk Severity: High</b>		<b>Inherent Risk Likelihood: High</b>	
<b>Date Identified: 01 Oct 2011</b>			<b>Service: Integrated Customer Services</b>		
Mitigation records					
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 oversee strategy and operational aspects of WR, including working with external agencies/stakeholders. Focusing on managing the legislative changes needed (eg local Council Tax benefit) and assessing impact to determine other changes needed to prepare customer, city and BCC for WR. Stakeholder group meeting 1 May, plus a Core Cities group set up. Monthly reports to SODB.	Will Godfrey	01/10/2011	07/03/2012
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 though open sessions (ongoing).	Jane Whiteman	01/10/2011	07/03/2012
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	07/03/2012
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	07/03/2012
On schedule	Set up 2-strand programme to manage legislative changes and prepare for impacts and opportunities	Governance to include multi-executive input/ownership, since Welfare Reform and its impact will cross-cut many departments. Paper has been to informal cabinet and SLT with an agreement on the way forward (two stands of approach, legislative and preparedness). Updates will be included monthly for SODB. A fund has been put aside to resource the work needed.	Will Godfrey	22/02/2012	07/03/2012
<b>Current Status: High (6)</b>		<b>Previous Status: Low (2)</b>		<b>Current Risk Severity: High</b>	
<b>Risk Champion: Christine Castle</b>			<b>Risk Owner: Will Godfrey</b>		
<b>Review Note:</b> Risk status adjusted from 2 to 6 in the light of current uncertainty around the consequences of Welfare Reform (SLT recommendation following review of CRR on 28 February 2012)					

<b>Risk Rank 7: 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>	
<b>Date Identified: 31 Aug 2011</b>			<b>Service: Corporate Indicators (CX)</b>		
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
On schedule	Ensure senior managers have high quality, relevant information on future policy and political change	The role of the Executive Office is to provide senior managers with policy and strategic support, to enable them not to lose sight of the external challenges while focused on reshaping the Council.	Paul Taylor	31/08/2011	05/04/2012
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, launched alongside the budget in February 2012.	Paul Taylor	31/08/2011	05/04/2012
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	05/04/2012
<b>Current Status: High (6)</b>		<b>Previous Status: High (6)</b>		<b>Current Risk Severity: High</b>	
<b>Risk Champion: Christine Castle</b>			<b>Risk Owner: Jan Ormondroyd</b>		
<b>Review Note:</b>					

## 11/12 Corporate Risk Register (CRR only)

Risk Rank 8: Children in need Failure to meet corporate responsibilities to protect children in need.					Risk Code: CRR016	
Inherent Status: High (9)		Inherent Risk Severity: High		Inherent Risk Likelihood: High		
Date Identified: 01 Apr 2009				Service: Children and Young People		
Mitigation records						
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date	
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. Resource Allocation review underway, reporting February 2012.	Jean Pollard	05/08/2011	08/05/2012	
On schedule	Munro Review – Ensure offer of “Early Help” is in place	Pathways project being progressed in conjunction with CYPS Target Operating Model work.	Jean Pollard	27/01/2012	08/05/2012	
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. Work to implement recommendations is underway as Government guidance emerges.	Jean Pollard	01/04/2009	08/05/2012	
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	08/05/2012	
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. Bristol is part of the South West consortium of authorities that oversee the south west region and Child protection Procedures .	Jean Pollard	01/10/2009	08/05/2012	
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 12/13.	Jean Pollard	01/10/2009	08/05/2012	
Current Status: High (6)		Previous Status: High (6)		Current Risk Severity: Medium		Current Risk Likelihood: High
Risk Champion: Craig Bolt				Risk Owner: Annie Hudson		
Review Note:						

Risk Rank 9: Value for money (VFM) 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 has focused on working with directorates on VFM priority areas as identified in the VFM Strategy, to deliver improvement.	Alison Mullis	22/01/2010	12/04/2012	
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 2012/13. 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	12/04/2012	
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	12/04/2012	
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 continue to offer advice and guidance to directorates on the mandatory self-assessments. Progress across the Council is inconsistent. SLT agreed an extended deadline of 31/3 to complete the self-assessments and a further progress report is due end of April 2012.	Alison Mullis	31/05/2011	12/04/2012	
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:						

## 11/12 Corporate Risk Register (CRR only)

Risk Rank 10: 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	29/03/2012	
On schedule	Carry out reviews to identify 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	29/03/2012	
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	29/03/2012	
On schedule	Ensure that sensitive data is shared appropriately between ourselves and partners	Collate and review Information Sharing Protocols.	Bernadette Keen	01/10/2011	29/03/2012	
On schedule	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	29/03/2012	
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	29/03/2012	
On schedule	Information systems classified according to new scheme	Currently in progress.	Rob Scott	01/04/2009	29/03/2012	
On schedule	New IT structure	No further recruitment	Rob Scott	01/04/2009	29/03/2012	
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	29/03/2012	
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	29/03/2012	
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	29/03/2012	
On schedule	Reduce risk of data breach from existing laptop computers	Replace existing laptops which are not compatible with Windows7 and encrypt using Bitlocker (150 devices)	Bernadette Keen	01/10/2011	29/03/2012	
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	29/03/2012	
On schedule	Reduce risk of data breach from unencrypted memory sticks	Restrict use of USB devices.	Bernadette Keen	01/10/2011	29/03/2012	
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	29/03/2012	
On schedule	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	29/03/2012	
Current Status: Medium (4)		Previous Status: Medium (4)		Current Risk Severity: Medium		Current Risk Likelihood: Medium
Risk Champion: Christine Castle				Risk Owner: Bernadette Keen, Rob Scott		
Review Note: Risk reviewed.						

## 11/12 Corporate Risk Register (CRR only)

Risk Rank 11: Educational Attainment Failure to achieve improvement.				Risk Code: CRR010	
Inherent Status: High (9)		Inherent Risk Severity: High		Inherent Risk Likelihood: High	
Date Identified: 01 Apr 2009				Service: Education	
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
On schedule	Achieve further decline in fixed term exclusion	2011/12 data Terms 1-4 shows continuing reduction at primary and secondary.	Nick Batchelar	01/04/2009	09/05/2012
On schedule	Develop link between highly effective and low performing schools	The majority of secondary schools are now, or shortly will be, academies. There are a number of primary academies, including sponsored academies, which replace low performing maintained primaries.	Jackie Turner	27/01/2012	09/05/2012
Completed	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	09/05/2012
Completed	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	09/05/2012
On schedule	Partnership Structures being reviewed	Bristol is one of 8 local authorities in the DfE/LGA Active Research on the changing role of the local authority with schools	Nick Batchelar	02/05/2012	09/05/2012
Completed	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	09/05/2012
On schedule	Review and change trading offer from BCC and schools	Corporate and Education services offered on a traded basis are currently being reviewed, with changes to take effect from April 2013	Nick Batchelar	02/05/2012	09/05/2012
Current Status: Medium (4)		Previous Status: Medium (4)		Current Risk Severity: Medium	
Risk Champion: Craig Bolt			Risk Owner: Annie Hudson		
Review Note:					

Risk Rank 12: 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 reports to SODB on headcount, including casuals, agency workers and employees, and actual spend on severance payments and employee expenses on a monthly basis.	Mike Watts	01/04/2009	02/05/2012
On schedule	People Strategy	The new People Programme mandate was approved by SODB in December 2011. Programme brief signed off by SODB in March 2012. Outline business case to be considered at May 2012 SODB.	Mark Williams	23/01/2010	02/05/2012
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 code of practice on recruitment of casual workers (August 2011) has led to improved controls on placements. The deployment and use of casual workers is being reviewed in all service areas.	Mike Watts	01/04/2009	02/05/2012
Current Status: Medium (4)		Previous Status: Medium (4)		Current Risk Severity: Medium	
Risk Champion: Christine Castle			Risk Owner: Mike Watts		
Review Note:					

## 11/12 Corporate Risk Register (CRR only)

Risk Rank 13: 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	26/03/2012
On schedule	Adherence to professional standards, supervision, pmads.	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	26/03/2012
On schedule	Ceasing admissions to care homes where concerns have been reported.	Ongoing monitoring visits 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	26/03/2012
On schedule	Compliance with care management policies / procedures.	Team manager authorisation and review of care plans and regular case sampling by Senior Management Team.	Mike Hennessey	01/04/2009	26/03/2012
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	26/03/2012
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	26/03/2012
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 QCF trained to appropriate standards and regularly supervised. They also receive an annual PMDS.	Vareta Bryan	01/04/2009	26/03/2012
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. The Quality Assurance Framework in use will be reviewed and updated in 2012/13.	Netta Meadows	01/04/2009	26/03/2012
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:		

## 11/12 Corporate Risk Register (CRR only)

<b>Risk 14: Financial management</b> Disruption to service plans because of failure to plan and manage budgets, implement agreed efficiency savings, identify savings to address significant government grant reductions from 2011/12 to 2014/15, or fraud and corruption					<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	DfE allocation of an additional £23m to Bristol in April 2012 for new primary schools reduces the 'gap' in £151m funding required by 2015 to provide required school places to £7m.	Will Godfrey	01/04/2009	12/04/2012	
On schedule	CYPS budget containment in relation to growth in safeguarding	Actual overspend reduced to £1.5m as a result of continuing action through the year to mitigate the impact of the additional costs incurred. The majority of the overspend relates to the increase in the number of young people taken into care during 2012/13.	Annie Hudson	01/04/2010	12/04/2012	
On schedule	Financial forecast	MTFP formally signed off by Cabinet 29 March 2012.	Will Godfrey	01/04/2009	12/04/2012	
On schedule	Formal quarterly budget/capital programme monitors and monthly monitors of risk areas		Peter Robinson	01/04/2009	12/04/2012	
On schedule	H&SC budget containment	MTFP reduction of £5m agreed for 2012/13. Detailed plans including revisiting Residential Futures programme, streamlining care management processes, reviewing delivery of day care opportunities and creating alternatives to residential and nursing care. Savings identified within operational areas and monitoring system set up to review in-year progress.	Alison Comley	01/04/2009	12/04/2012	
On schedule	Review of Anti-Fraud Bribery and Corruption arrangements; roll out of management fraud training	A counter fraud strategy has been approved in line with recommendations made by the National Fraud Authority, to be launched at the same time as the National Fraud Strategy (planned April 2012). A bribery risk assessment was undertaken in 2011, and an e-learning course in Fraud Awareness successfully rolled out to management. A further e-learning management course is in preparation to cover Bribery & Corruption for issue in 2012. Regular Fraud Bulletins to staff continue to be issued.	Alison Mullis	10/02/2012	12/04/2012	
<b>Current Status: Medium (4)</b>		<b>Previous Status: Medium (4)</b>		<b>Current Risk Severity: Medium</b>		<b>Current Risk Likelihood: Medium</b>
<b>Risk Champion: Christine Castle</b>				<b>Risk Owner: Peter Robinson</b>		
<b>Review Note:</b>						

## 11/12 Corporate Risk Register (CRR only)

Risk Rank 15: Management and Delivery of Major Infra-structure Projects Risk of increased costs and delay as a result of weaknesses in project planning and management.				Risk Code: CRR004	
Inherent Status: High (9)		Inherent Risk Severity: High		Inherent Risk Likelihood: High	
Date Identified: 01 Apr 2009				Service: Major Projects	
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
Completed	Capital Programme Board	The Capital Programme Board has successfully been embedded as a monthly management tool to monitor the key progress, spend, issues, capital recharges and risks. Its use has been extended to cover resource planning and manage performance, this mitigation is now completed.	Alistair Cox	17/01/2011	20/04/2012
On schedule	Internal gateway review	Continue the internal gateway review process for major projects.	Alun Owen	17/01/2011	20/04/2012
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	20/04/2012
Completed	Review major expenditure areas	Reports are completed at project closedown for the major expenditure areas to ensure sufficient performance monitoring information is available to assess VFM of expenditure e.g. Cycling City end of year report, this mitigation is now completed.	Alistair Cox	17/01/2011	20/04/2012
On schedule	Revise guidance on procurement and project management	Follow the Redland Green external audit report, further discussions with the external auditors and an update has been completed.	Alun Owen	01/01/2010	20/04/2012
On schedule	Sign-off of projects by the Infrastructure Development Board (IDB)	All projects to be reviewed and signed-off by the Infrastructure Development Board (IDB) previously reviewed by the Transformation Board.	Graham Sims	17/01/2011	20/04/2012
Completed	Transport Capital Programme Quality Assurance Scheme Design	A Quality Assurance scheme is now embedded as a monthly management tool to ensure holistic scheme design meets the objectives of the Council and reduces the risk of objections or modifications throughout the design stages, any amendments are effectively actioned, this mitigation is now completed.	Alistair Cox	16/11/2011	20/04/2012
Current Status: Medium (4)		Previous Status: Medium (4)		Current Risk Severity: Medium	
Risk Champion: Karen Rollinson			Current Risk Likelihood: Medium		
Review Note:			Risk Owner: Graham Sims		

## 11/12 Corporate Risk Register (CRR only)

<b>Risk Rank 16: 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 re <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 (LRF)	Continuing process, BCC leading or involved in Olympic risks and planning, 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	20/04/2012
On schedule	Business Continuity (BC) related PMDS objectives for key staff	A report was presented to the Senior Leadership Team (SLT) on 27th March 2012 by Rick Palmer, (Safer Bristol Service Director). It was agreed as part of a 3 year review process that all critical service managers will have an element of Business Continuity in their PMDS from 2012/13 and it will form part of the service planning process from 2012/13. All Strategic Directors will be notified to ensure new measures are raised with all critical services managers.	Graham Sims	01/04/2009	20/04/2012
On schedule	Community risks identified and communicated	Local Resilience Forum (LRF) Community Risk Register (CRR) regularly reviewed which now includes Olympic risks. Draft Bristol focussed Risk Register went to CCG on 15th November 2011, comments received Risk Register to be published during April 2012.	Simon Creed	23/01/2010	20/04/2012
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 reviewed. Managers identified and trained, to be reviewed annually.	Simon Creed	23/01/2010	20/04/2012
Completed	Directorate Plans in preparation. Testing and review schedule.	Plans completed for new post-Transformation Directorates by 31st March 2012, mitigation completed.	Simon Creed	23/01/2010	20/04/2012
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. The exercise Argon Shield, Watermark completed.	Rick Palmer	23/01/2010	20/04/2012
Behind schedule	Resources for planning and testing	Plans yet to be tested, exercise schedule for 17th May 2012.	Simon Creed	01/04/2009	20/04/2012
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. New training dates for May 2012 published.	Simon Creed	01/04/2009	20/04/2012
<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>Risk Rank 17: 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 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>		
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
On schedule	Payroll solution	Contract between BCC and supplier of the payroll system is now in place. The payroll project continues until the completion of all year-end returns, with the final Payroll Project Board taking place on 9 May 2012. There continue to be 'teething' problems with the system but these are being progressed as BAU.	Jill Mikkelson	30/09/2010	23/04/2012
<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: Jill Mikkelson</b>		
<b>Review Note:</b>					

## 11/12 Corporate Risk Register (CRR only)

Risk Rank 18: Local Enterprise Partnership Failure to engage in new arrangements regarding establishing and reporting against the Local Enterprise Partnership (LEP)						Risk Code: CRR037
Inherent Status: High (6)		Inherent Risk Severity: High		Inherent Risk Likelihood: Medium		
Date Identified: 17 Aug 2010				Service: Corporate Indicators (CX)		
Mitigation records						
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date	
On schedule	Determine adequate resourcing arrangements for the LEP	A LEP executive has been established, with oversight of the partnership office work programme and resourcing arrangements.	Will Godfrey	28/02/2011	13/04/2012	
On schedule	Ensure LEP priorities are embedded in the Council's strategic priorities	The 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	13/04/2012	
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	13/04/2012	
On schedule	Move quickly to establish full Board and detailed governance arrangements	LEP board has been established and is in the process of defining its priorities and agreeing governance arrangements. Full Board established in June 2011. Business plan in development for November 2011, with Annual Conference on 15 November 2011.	Jan Ormondroyd	04/10/2010	13/04/2012	
Current Status: Medium (4)		Previous Status: Medium (4)		Current Risk Severity: Medium		Current Risk Likelihood: Medium
Risk Champion: Christine Castle			Risk Owner: Jan Ormondroyd			
Review Note:						

Risk Rank 19: 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: Resource Planning and Performance		
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. Completion due by August 2013	Catherine Filmer	01/09/2010	02/05/2012	
On schedule	Deliver outcomes identified in School Organisation Strategy - long term	<p>Additional funding has been secured from central government, including</p> <ul style="list-style-type: none"> <li>• £18.3m for 11/12 additional basic needs;</li> <li>• £22.8m for 12/13 "</li> </ul> <p>Annual funding from central government:</p> <ul style="list-style-type: none"> <li>• £14.9m for 11/12 basic needs</li> <li>• £23.9m for 12/13 "</li> </ul> <p>Additional funding approved by Cabinet:</p> <ul style="list-style-type: none"> <li>• £20m Prudential borrowing</li> </ul> <p>We await the outcome of work being undertaken by Partnership for Schools on the Priority School Building Programme to see if there will be additional investment within the City.</p>	Michael Branaghan	28/07/2011	02/05/2012	
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. Cabinet approved expenditure for 2012, to create 370 extra reception places and 2380 additional primary places for 2012. Forecasts from 2013 will be identified in May/June 2012.	Michael Branaghan	17/05/2011	02/05/2012	
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	02/05/2012	
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:						

## 11/12 Corporate Risk Register (CRR only)

<b>Risk Rank 20: 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 (Bris 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 (CX)</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	03/05/2012	
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	03/05/2012	
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 June 2012.	Alex Minshull	14/03/2011	03/05/2012	
<b>Current Status: Medium (4)</b>		<b>Previous Status: Medium (4)</b>		<b>Current Risk Severity: Medium</b>		<b>Current Risk Likelihood: Medium</b>
<b>Risk Champion: Christine Castle</b>				<b>Risk Owner: Jan Ormondroyd</b>		
<b>Review Note:</b>						

<b>Risk Rank 21: 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	VFM Strategy has been refreshed and delivery plan is being implemented. Requirements have been communicated and compliance is being monitored. A quality check of initial VFM self-assessments has been undertaken, and improvement support and advice is being offered by the P&I team as appropriate. Results of this review were reported to SLT in February, with an updated report in April. Work to embed the strategy continues.	Alison Mullis	15/03/2011	02/05/2012	
On schedule	Embed performance reporting arrangements	A revised Corporate Performance Management Strategy is in draft for implementation from April 2012. The emphasis is on more streamlined and focused reporting against strategic priorities, and promoting greater challenge and better improvement planning.	Alison Mullis	15/03/2011	02/05/2012	
On schedule	Ensure budget plans are accompanied by a clear statement of the Council's strategic priorities	Corporate planning has been brought alongside financial planning, with the 'Corporate Priorities and MediumTerm Financial Plan 2012/13 to 2014/15' adopted by Cabinet on 29 March 2012.	Paul Taylor	15/03/2011	02/05/2012	
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	02/05/2012	
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	02/05/2012	
<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>						

## 11/12 Corporate Risk Register (CRR only)

Risk Rank 22: 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. Delegations are currently under review.	Mike Watts	01/04/2009	02/05/2012	
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 being put in place from April 2012, to reduce bureaucracy and improve relationships with Trade Unions.	Mark Williams	01/04/2009	02/05/2012	
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. The Leader of the Council has requested the National Employers to consider a pay award for low paid staff for April 2012.	Mark Williams	01/01/2010	02/05/2012	
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. Remaining claims are being assessed with advice from Counsel. Outcome of cases will not be known until early 2013.	Mark Williams	23/01/2010	02/05/2012	
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 Rank 23: 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	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	13/04/2012	
On schedule	Corporate and Directorate policies and procedures in place, and responsibilities clarified	Potential fire safety issues identified in social housing and elderly persons' residential homes. Mitigation plan in place at Directorate level for social housing, with corporate support. New work stream for elderly persons' began October 2011. Additional fire warden/fire safety training planned for 2012/13. Corporate fire safety arrangements are under review. Corporate fire safety policy to be produced, with review of fire safety risk assessments and to produce fire plans for all sites.	Paul Fudgell	01/04/2009	13/04/2012	
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 - SYPOL (COSHH) and Safety Media (DSE). Some delays in rolling out to the whole council, but should be concluded by 2012/13. 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. This will be included in the council's People Programme.	Paul Fudgell	01/04/2009	13/04/2012	
On schedule	High risk areas identified and annual action plans (corporate and departmental) in place	Progressing, but there are data reconciliation issues 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 on-schedule, but may slip by mid-2012 due to organisational change issues.	Paul Fudgell	01/04/2009	13/04/2012	
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 (2012/15) to ensure compliance, as a recurring work item.	Paul Fudgell	01/04/2009	13/04/2012	
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. Additional training on the system being rolled out in 2012/13.	Paul Fudgell	01/04/2009	13/04/2012	
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:						

**11/12 Corporate Risk Register (CRR only)**

**Risk Rank 24: 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 lead to 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
Completed	Corporate ownership of ICS and channel shift	Full Modernising Customer Services (MCS) business case agreed by Cabinet September 2011 and finished March 2012. The Customer and Process programme will be the next phase of this work, but will now be corporate and take a more holistic view of both customers and processes.	Will Godfrey	10/10/2010	02/05/2012
Completed	Ensure current operations are resourced effectively	MCS has meant that numbers of staff have reduced, and channel shift / improvements in Housing Benefits have ensured that service standards are being met. The new Waste contract was problematic because of IT / operational Waste issues but extra staff were recruited to take these calls and the issue addressed. IVR has also assisted.	Julia James	10/10/2010	02/05/2012

**Current Status: Low (1)** **Previous Status: Low (2)** **Current Risk Severity: Low** **Current Risk Likelihood: Low**

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

**Review Note:** This programme is now complete - largely met objectives, on time and to budget