

**BRISTOL CITY COUNCIL**  
**Audit Committee**  
**18<sup>th</sup> January 2013**

**Report of:** Interim Strategic Director Corporate Services

**Report Title:** Corporate Services Directorate Risk Register

**Ward:** Citywide

**Officer presenting report:** Peter Robinson, Service Director Finance, Corporate Services

**Contact Telephone Number:** 0117 92 22419

**RECOMMENDATION**

The Audit Committee review, and comment upon the Corporate Services Directorate Risk Register (DRR) attached at Appendix A, to ensure that the register properly reflects Members current opinion.

**SUMMARY**

This report covers the review of the 2012/13 DRR as at Quarter 2, which is attached at Appendix A.

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

The detailed content changes and variations to the risks between Quarter 4 (2011/12) and Quarter 2 (2012/13) are tabulated in the header to the DRR at Appendix A, and the principal amendments summarised in para. 3 below.

**1. Policy**

The annual review of the DRR 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 the Corporate Services Directorate, including risk owners, mitigation owners, risk champions, Service and Strategic Directors were consulted.

**External:** None necessary

**2. Background**

2.1 At quarterly cycles the DRR is reviewed and reported; narratives are updated by mitigation and risk owners, and reviewed by Service Directors and the Strategic Director. The final report is presented to Corporate Services Leadership Team and to

the appropriate Portfolio Executive Members, and an annual presentation is made to the Audit Committee.

- 2.2 There are currently 14 risks in the DRR, including 9 which are also listed as corporate risks in the Corporate Risk Register (CRR).

### 3. Principal amendments

- 3.1 The principal amendments occurring to the register since January 2012 were as follows:

#### New Risk

**CS10 Corporate Services Change Programme** - *Ability of the directorate to support and deliver the corporate change agenda, and deliver financial targets*

#### Deleted Risks

**CS6 Housing Benefits** - *Failure to provide a Housing Benefits service of an adequate standard and to maximise the subsidy receivable from the government. Failure to deliver against the recommendations of the Audit Commission inspection and internal audit reports.*

The risk was written in following the 2010 Audit Commission report which rated the service as “poor” with average processing time in excess of 40 days and the subsequent move of the service to Corporate Services. The average processing time is now 22 days (compared to a national average of 24 days) and the risk is completed and will be archived. Improved performance was achieved by concentrating on accuracy, efficiency and working on the whole process with contact centre and CSP staff as well as processors.

**CRR35 Payroll IT system (Corporate Risk)** - *Unable to deliver payroll services due to failure of IT system. The payroll system runs on obsolete technology. The supplier has given notice they are withdrawing support March 2012. They also confirmed they are dependent 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 strategy, which is to move to an integrated (ERP) system for back office support. We also have low confidence in the current supplier.*

Successful 'go live' of updated Payroll system March 12. Payroll Project signed off by Project Board May 12. Risk fully mitigated and removed from the risk register.

**CRR 41 Customer Services (Corporate Risk)** - *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.*

Programme complete; largely met objectives, on time and to budget. Customer and Process programme will be the next phase of this work, but corporate in scope and a more holistic view of both customers and processes

#### **4. Risk Assessment**

- 4.1 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.

#### **5. Equalities Impact Assessment**

- 5.1 None necessary for this report

#### **6. Legal and Resource Implications**

- 6.1 **Legal** - N/A

- 6.2 **Resource** - N/A

#### **Appendices**

Appendix A - Corporate Services Risk Register

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

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

**2012/13 - QUARTER 2 RISK REPORT**  
**CORPORATE SERVICES RISK REGISTER**  
**SUMMARY HEADER**

	<i>No.</i>	<i>Day</i>	<i>Month</i>	<i>Year</i>
<b>VERSION</b>	<b>9</b>	<b>18th</b>	<b>Jan</b>	<b>2013</b>

**VERSION CONTROL HISTORY**

Version No.	Reviewed By:	Review Date	Version No.	Reviewed By:	Review Date
1	Corporate Services Leadership Team	<b>31/1/12 (Qtr3)</b>	6	Follow up report to issues raised at 28/5/12 Executive Member Informal Briefing. [ Cllr Jon Rogers]	<b>18/6/12 (Qtr 4)</b>
2	Executive Member Informal Briefing [Cllr Gary Hopkins]	<b>22/2/12 (Qtr 3)</b>		First Quarter review of risks for 2012/13 by the Leadership Team/Exec Member put back pending suspension of 'normal' business reporting to concentrate upon the future council operating model. The risks were, however, reviewed by individual risk owners and continuously monitored at 1:1's between the Directorate Risk Champion and the Strategic Director.	
3	Follow up report to issues raised at 22/2/12 Executive Member Informal Briefing. [Cllr Gary Hopkins]	<b>25/4/12 (Qtr 3)</b>	7	Corporate Services Leadership Team	<b>5/12/12 (Qtr 2)</b>
4	Corporate Services Leadership Team	<b>8/5/12 (Qtr 4)</b>	8	Executive Member Informal Briefing [Cllr Geof Gollop]	<b>5/12/12 (Qtr 2)</b>
5	Executive Member Informal Briefing [Cllr Jon Rogers & Cllr Gary Hopkins]	<b>28/5/12 (Qtr 4)</b>	9	Audit Committee	<b>18/1/13 (Qtr 2)</b>

<p align="center"><b>RISK ASSESSMENT</b></p> <p align="center"><b>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	<b>H/L</b> 3x1=3	<b>H/M</b> 3x2=6	<b>H/H</b> 3x3=9
		Med	<b>M/L</b> 2x1=2	<b>M/M</b> 2x2=4	<b>M/H</b> 2x3=6
		Low	<b>L/L</b> 1x1=1	<b>L/M</b> 1x2=2	<b>L/H</b> 1x3=3
		Nil	Low	Med	High
	<b>RISK</b>	<b>LIKELIHOOD</b>			

**SUMMARY OF RISKS**  
**DEVELOPMENTS: JANUARY 2012 TO JANUARY 2013**

Current Risk Ranking	RISK	Direction of travel		SUMMARY DETAILS (for more detailed analysis of the Corporate (CRR) risks - the CRR report refers)
		Current Status (Version 9)	Previous Status (Version 1)	
1	Bristol Change Programme (CRR24)	<b>6</b>	<b>6</b>	Current risk status unchanged due to scale & complexity, but will reduce as plans firm up.
2	Failure to achieve capital receipts target (CS009)	<b>6</b>	<b>6</b>	Review of Terms of Reference completed for the Strategic Investment Board to ensure better coordination of property management, major projects and regeneration.

**SUMMARY OF RISKS**  
**DEVELOPMENTS: JANUARY 2012 TO JANUARY 2013**

Current Risk Ranking	RISK	Direction of travel		SUMMARY DETAILS (for more detailed analysis of the Corporate (CRR) risks - the CRR report refers)
		Current Status (Version 9)	Previous Status (Version 1)	
3	Welfare Reform (CRR44)	6	2	Risk level increased due to some slippage on Welfare Reform programme and integration of activities.
4	Corporate Services Change Programme (CS10)	6	N/A	<b>NEW RISK</b> (Feb 2012)
5	Value for money (CRR8)	6	4	Risk level increased due to slippage in implementation of VfM strategy
6	Overspend due to reduced income (local land charges and commercial estate) (CS22)	6	6	
7	Information security CRR27	4	4	No change
8	Recruitment, retention and restructuring (CRR5)	4	4	Outline People Programme business case approved May 2012. Full business case due in place. Approval will be given by the Programme Board as soon as the financials have been finalised.
9	Financial management (CRR11)	4	4	Plans being finalised to address further government grant reductions beyond 12/13.
10	Failure to implement and derive benefits from purchase-to-pay system (TR16)	4	4	Original targets will be achieved once new finance system and 'E-marketplace' are in place.
11	Performance Management (CRR38)	3	3	
12	Industrial relations (CRR14)	2	2	
13	Health & Safety (CRR12)	2	2	
14	Loss of Council funds from borrowing/lending activity (CS5)	2	2	Treasury Management Strategy reviewed annually and reported to Full Council
N/A	Housing Benefits (CS6)	N/A	2	<b>DELETED RISK</b> Processing time now 22 days compared with national average of 24 days (and 40+ days at time of 2010 Audit Commission report), and risk fully addressed
N/A	Payroll IT system (CRR35)	N/A	4	<b>DELETED RISK</b> Successful 'go live' of updated Payroll system March 12. Payroll Project signed off by Project Board May 12. Risk fully mitigated and removed from the risk register
N/A	Customer Services (CRR41)	N/A	2	<b>DELETED RISK</b> Programme complete; largely met objectives, on time and to budget. Customer and Process programme will be the next phase of this work, but corporate in scope and a more holistic view of both customers and processes

## Corporate Services - ALL RISKS (CRR and DRR) Qtr 1

### Report for 2012-2013 For Corporate Services Not Including Child Projects records, Including Mitigation records

#### Key to Performance Status:

Mitigation:	<b>Well behind schedule</b>	<b>Behind schedule</b>	<b>On schedule</b>	<b>Completed</b>	<b>No Data available</b>
Risks:	<b>Review Overdue (0+)</b>	<b>High (6+)</b>	<b>Medium (3+)</b>	<b>Low (1+)</b>	

## Corporate Services - ALL RISKS (CRR and DRR)

<b>Risk Rank 1: 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 are implemented.					<b>Risk Code: CRR024</b>
<b>Inherent Status: High (9)</b>		<b>Inherent Risk Severity: High</b>	<b>Inherent Risk Likelihood: High</b>		
Date Identified: 01 Apr 2009			Service: Information, Communications & Technology		
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
On schedule	All business cases scrutinised by SLT and Cabinet	Each constituent element of the programme requires a business case, which is examined and approved by SLT (formerly SODB) and Cabinet.	Will Godfrey	01/12/2010	01/11/2012
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	01/11/2012
On schedule	Availability of technology and associated services to support change	Technology investment programme is planned and prioritised by the Information Management & Technology Steering Group, 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 to be deployed, with a programme to ensure business and ICT delivery plans are aligned. ICT investment costs consolidated through Portfolio Management Group and reported to SLT.	Paul Arrigoni	14/02/2012	01/11/2012
On schedule	Corporate co-ordination and ownership through programme managers' group and SLT	SLT 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 in place and under formal change control, although quality of plan needs improvement. This has been prioritised by the Portfolio Management Office. SLT have further amended the change governance arrangements, to increase leadership capacity and speed up decision making, to be implemented by Dec 2012.	Paul Arrigoni	01/04/2009	01/11/2012
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, reported directly to SLT on a regular basis. Portfolio Management Group (PMG) has established a review process, and a joint SLT/PMG workshop on high priority risks took place in February 2012. Risks are now regularly reviewed as part of the PMG business agenda. External Gateway reviews are now implemented for all major change programmes.	Paul Arrigoni	22/01/2010	01/11/2012
On schedule	Implementation of Bristol Workplace to underpin and support delivery of the change programme	Cabinet approved a strategic outline business case for Bristol Workplace (BWP) on 4 July 2012. The various workstreams are being implemented and recruitment to create the BWP team has taken place. Building options will be presented to the Mayor mid-December and further work programmes will flow from that.	Paul Taylor	01/04/2012	01/11/2012
On schedule	Portfolio Risk Register -- Benefits Realisation	A benefit framework has been developed to ensure benefit tracking through programme delivery into benefit realisation contracts. Benefits Realisation Board is established and meets quarterly, led by the Strategic	Paul Arrigoni	01/01/2010	01/11/2012
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<b>Corporate Services - ALL RISKS (CRR and DRR)</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>
		Director Corporate Services, to regularly review the delivery of financial and non-financial benefits.			
On schedule	Programme-level risks	Risks to the delivery of individual change programmes are contained and mitigated through dedicated programme risk registers.	Paul Arrigoni	01/04/2009	01/11/2012
<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>					

<b>Risk Rank 2: Failure to achieve capital receipts target</b>				Consequences -- Deferral of capital investment and increased financing costs. Potential influence of community asset transfer, community right to bid and other Localism Bill provisions.		<b>Risk Code: DRR - CS009</b>	
<b>Inherent Status: High (9)</b>		<b>Inherent Risk Severity: High</b>		<b>Inherent Risk Likelihood: High</b>			
<b>Date Identified: 31 Dec 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 Receipts Group monitors progress	Improved liaison via Property Business Partners with Planning/ SBCG/ Housing Enabling. Establish policy re: affordable housing, Community Asset Transfer.	Jeremy Screen	01/04/2009	15/11/2012		
On schedule	Oversight by Strategic Investment Board	Monthly meetings take place to review priorities of major projects. Review of Terms of Reference to ensure better co-ordination of property management, major projects and regeneration.	Will Godfrey	01/04/2009	15/11/2012		
On schedule	Receipts programme defined and opportunities register maintained	Receipts programme is reviewed and updated on a monthly basis.	Jeremy Screen	01/04/2009	15/11/2012		
Behind schedule	Reporting to the Executive Member on capital receipts	Quarterly reporting to the Executive Member for Housing, Property Services and Regeneration.	Jeremy Screen	09/04/2010	15/11/2012		
<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: Jeremy Screen</b>			
<b>Review Note:</b>							

## Corporate Services - ALL RISKS (CRR and DRR)

<b>Risk Rank 3: Welfare Reform (WR)</b> A range of forthcoming Welfare Reform changes will impact on customers, the and the organisation, and interact with other agendas (e.g. Personalisation). If poorly managed, there is scope for negative (and possibly multiple) impacts on customers and poor response to demand for services by the Council, as well as financial impacts and reputational risk. This is a new area that is facing all Local Authorities.					<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>		
<b>Mitigation records</b>					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
Behind schedule	2-strand programme set up to manage legislative changes and prepare for impacts and opportunities	To report to SLT and oversee strategy and operational aspects of Welfare Reform, including working with external agencies/stakeholders. Governance to include multi-executive input/ownership, since WR and its impact will cross-cut many departments. Funding to resource the work not identified beyond 2012/13. Local Council Tax reduction scheme schedule and decision are challenging.	Julia James	22/02/2012	15/11/2012
On schedule	Ensure staff understanding and awareness of Welfare Reform changes and impacts/implications	Staff briefed on Welfare Reform on an 'open house' basis, as well as via SLT / informal cabinet, executive briefings, DLTs, The Source, programme managers' forum, etc.	Jane Whiteman	01/10/2011	15/11/2012
Behind schedule	Integrate activities arising from Welfare Reform changes through a WR programme	A Welfare Reform programme has been set up. First strand of work is administrative responsibilities (local council tax benefit and changes to housing benefit, for example). Second strand of work is 'preparedness' for Council and customers as well as partners. Programme manager appointed.	Julia James	01/10/2011	15/11/2012
<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: Will Godfrey</b>		
<b>Review Note:</b> Support now comes from Welfare Reform programme itself not the Exec Support office.					

<b>Risk Rank 4: Corporate Services Change Programme fails to deliver objectives</b> Ability of the directorate to support and deliver the corporate change agenda, and deliver financial targets					<b>Risk Code: DRR - CSCS010</b>
<b>Inherent Status: High (6)</b>		<b>Inherent Risk Severity: High</b>		<b>Inherent Risk Likelihood: Medium</b>	
<b>Date Identified: 20 Feb 2012</b>			<b>Service: Finance</b>		
<b>Mitigation records</b>					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
On schedule	Effective implementation of Corporate Services target operating model	DLT are concluding work to define the future operating model for support and strategic core processes across the council, in the context of the wider future council operating model and our internal customers' requirements for support services. This will define a revised programme of change to deliver the new model – to include current changes in Finance, Legal and ICT, with additional changes in CS and more widely across the council – and ensure a more consistent approach to support processes.	Paul Arrigoni	20/02/2012	29/11/2012
Behind schedule	Effective implementation of Legal review and change programme	Project Board in place, but currently without a Project Executive until January 2013. Managing Change process delayed significantly impacting project timescales and benefits, but other workstreams are progressing well. Benefits on track for delivery in 2012/13, but benefits for 2014/15 considerably reduced due to delays.	Stephen McNamara	20/02/2012	29/11/2012
On schedule	Effective implementation of the Finance change programme	Contract signed for new system, with go live target of April 2013. Work underway to agree system design with Agresso. Stakeholder groups of budget managers and operational employees are reviewing and feeding back on changed working practices within the organisation.	Peter Robinson	20/02/2012	29/11/2012
<b>Current Status: High (6)</b>		<b>Previous Status: Medium (4)</b>		<b>Current Risk Severity: High</b>	
<b>Risk Champion: Christine Castle</b>			<b>Risk Owner: Will Godfrey</b>		
<b>Review Note:</b> Risk level increased due to delays in Legal change programme.					



## Corporate Services - ALL RISKS (CRR and DRR)

<b>Risk Rank 5: Value for money (VFM)</b> Failure to demonstrate improvement in value for money as a result of the la consistently strong focus on value for money across the Council.					<b>Risk Code: CRR008</b>
<b>Inherent Status: High (9)</b>		<b>Inherent Risk Severity: High</b>		<b>Inherent Risk Likelihood: High</b>	
<b>Date Identified: 01 Apr 2009</b>			<b>Service: Finance</b>		
<b>Mitigation records</b>					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
On schedule	Demonstration of outcomes from improvement work	Work on priority improvement areas by Performance & Improvement team completed in February 2012. Targeted work now taking place in CS to develop a detailed action plan for improvement in this area.	Alison Mullis	22/01/2010	13/11/2012
Behind schedule	Departmental VFM indicators included in Service Delivery Plans	SLT has committed to acting collectively to ensure One Council consistency in producing VFM data/information (SLT meeting 24/7/12). An initial review of economy, efficiency and effectiveness measures across all directorates has been completed and has identified the need for more robust measures in many areas. P&I team are working with performance staff across directorates to ensure a robust set of measures from which SLT can determine the baseline for future VFM improvement measurement.	Peter Robinson	01/04/2009	13/11/2012
On schedule	Development of the Bristol Change programme	The Council's change programme is fully aligned with MTFP savings, with progress being tracked through the change governance framework.	Paul Arrigoni	01/04/2009	13/11/2012
Well behind schedule	Implement VFM Strategy	There has been inconsistent engagement from directorates with the VFM strategy. There are limited resources available in directorate performance teams to support VFM initiatives in the face of higher priorities (eg change agendas and TOM). Performance & Improvement team is working with directorate teams to identify and implement practical solutions.	Alison Mullis	31/05/2011	13/11/2012
<b>Current Status: High (6)</b>		<b>Previous Status: Medium (4)</b>		<b>Current Risk Severity: Medium</b>	
<b>Risk Champion: Christine Castle</b>			<b>Risk Owner: Will Godfrey</b>		
<b>Review Note:</b> Some slippage in relation to VFM strategy implementation and overall risk level increased compared to Q1.					

<b>Risk Rank 6: Overspend due to reduced income (Local Land Charges and Commercial Estate)</b> Overspend due to reduced income (Local Land Charges and Commercial Estate). Consequences -- Disruption of services due to identification of additional, compensatory savings					<b>Risk Code: DRR - CS022</b>
<b>Inherent Status: High (9)</b>		<b>Inherent Risk Severity: High</b>		<b>Inherent Risk Likelihood: High</b>	
<b>Date Identified: 31 Dec 2009</b>			<b>Service: Finance</b>		
<b>Mitigation records</b>					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
On schedule	Budgetary provision	Additional provision has been made in the accounts to mitigate against bad debts.	Jeremy Screen	15/07/2011	15/11/2012
On schedule	Corporate contingency and directorate reserves set aside in the event of downturn		Steve Skinner	01/04/2009	15/11/2012
On schedule	Ensure that all new ground leases are granted on the basis of "upwards only" rent reviews	A reminder practice note has been issued to all relevant staff.	Jeremy Screen	27/01/2011	15/11/2012
On schedule	Monthly monitoring of income against budgets	To judge robustness of budget.	Steve Skinner	01/04/2009	15/11/2012
<b>Current Status: High (6)</b>		<b>Previous Status: High (6)</b>		<b>Current Risk Severity: Medium</b>	
<b>Risk Champion: Christine Castle</b>			<b>Risk Owner: Stephen McNamara, Jeremy Screen</b>		
<b>Review Note:</b>					

## Corporate Services - ALL RISKS (CRR and DRR)

Risk Rank 7: Information security Failure to take adequate steps to properly safeguard sensitive and confident 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	01/11/2012
On schedule	Carry out reviews to identify weaknesses in data transfer / mobile devices	Reviews completed and the implementation of recommendations followed up. A business change mandate to identify & procure a secure email/file transfer facility has stalled and a project is only now starting up. Risk remains, identified specifically in Legal but likely also in other areas of the council. Another council was recently fined £120k by ICO for a solicitor sending child protection emails to the wrong address.	Alison Mullis	01/04/2009	01/11/2012
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	01/11/2012
On schedule	Ensure that sensitive data is shared appropriately between ourselves and partners	Collate and review Information Sharing Protocols.	Bernadette Keen	01/10/2011	01/11/2012
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	01/11/2012
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	01/11/2012
On schedule	Information systems classified according to new scheme	Currently in progress.	Rob Scott	01/04/2009	01/11/2012
Completed	New IT structure	No further recruitment	Rob Scott	01/04/2009	01/11/2012
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	01/11/2012
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	01/11/2012
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	01/11/2012
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	01/11/2012
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	01/11/2012
Behind schedule	Reduce risk of data breach from unencrypted memory sticks	Restrict use of USB devices.	Bernadette Keen	01/10/2011	01/11/2012
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	01/11/2012
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	01/11/2012

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<b>Corporate Services - ALL RISKS (CRR and DRR)</b>			
<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: Bernadette Keen, Rob Scott</b>	
<b>Review Note:</b>			

<b>Risk Rank 8: Recruitment, retention and restructuring</b>			Failure to effectively manage the downsizing of the organisation through a period of significant change, through not having the appropriate staff in place to lead the change required.			<b>Risk Code: CRR005</b>
<b>Inherent Status: Medium (4)</b>		<b>Inherent Risk Severity: Medium</b>		<b>Inherent Risk Likelihood: Medium</b>		
<b>Date Identified: 01 Apr 2009</b>				<b>Service: Human Resources</b>		
<b>Mitigation records</b>						
<b>Mitigation Status</b>	<b>Mitigation</b>	<b>Info</b>	<b>Responsible Person</b>	<b>Date Identified</b>	<b>Last Review Date</b>	
On schedule	Monitoring of turnover/vacancies	Monthly reports to SLT 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	07/11/2012	
On schedule	People Strategy	Mandate for the new People Programme approved by SLT December 2011, programme brief signed off March 2012 and outline business case approved May 2012. Full business case in place. Approval will be given by the Programme Board as soon as the financials have been finalised.	Mark Williams	23/01/2010	07/11/2012	
On schedule	Use of agency workers and consultants	Monthly monitoring of agency workers through SLT. 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 reviewed continuously.	Mike Watts	01/04/2009	07/11/2012	
<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: Mike Watts</b>			
<b>Review Note:</b>						

## Corporate Services - ALL RISKS (CRR and DRR)

<b>Risk Rank 9: 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>					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
Behind schedule	Agreed savings across the next three years	The government has said it will make further reductions in grant to local authorities. Plans are not yet in place to address this adequately beyond the current financial year.	Peter Robinson	14/11/2012	14/11/2012
On schedule	Capital programme oversight by Strategic Investment 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 primary school places to £7m. Long-term secondary position funding needs to be addressed.	Will Godfrey	01/04/2009	14/11/2012
On schedule	CYPS budget containment in relation to growth in safeguarding	Projected overspend on safeguarding of £3 million. Mitigated by one-off resources in 2012/13, with a strategy to address in the 2013/14 budget process.	Annie Hudson	01/04/2010	14/11/2012
On schedule	Financial forecast	MTFP formally signed off by Cabinet 29 March 2012. This sets the financial targets to 2014/15. Regular reporting to SLT, and plans in place to agree budgets for 2013/14.	Will Godfrey	01/04/2009	14/11/2012
On schedule	Formal quarterly budget/capital programme monitors and monthly monitors of risk areas		Peter Robinson	01/04/2009	14/11/2012
On schedule	H&SC budget containment	MTFP reduction of £8m set for 2012/13 of which £7m agreed as deliverable in-year with balance carried forward into 2014/15. Plans to deliver the savings are in place, and savings identified within operational budgets with monitoring and review of in-year progress. Currently forecasting an overspend against budget of £126m of £300k, reported to HSC Scrutiny 6/11/2012.	Alison Comley	01/04/2009	14/11/2012
On schedule	Review of Anti-Fraud Bribery and Corruption arrangements; roll out of management fraud training	Bribery, Fraud and Corruption Policy approved and in place. Fraud Awareness training successfully rolled out to managers in 2011/12. Targetted training currently being developed for staff in specific areas of highest fraud risk. Bribery & Corruption e-learning rolled out to high risk staff in 2012, take up being monitored. Currently assessing the highest fraud risks to the Council and the Council's response to prevention and detection of these risks.	Alison Mullis	10/02/2012	14/11/2012
<b>Current Status: Medium (4)</b>		<b>Previous Status: Medium (3)</b>		<b>Current Risk Severity: Medium</b>	
<b>Risk Champion: Christine Castle</b>			<b>Risk Owner: Peter Robinson</b>		
<b>Review Note:</b>					

## Corporate Services - ALL RISKS (CRR and DRR)

**Risk Rank 10: Failure to implement, and derive benefits from purchase-to-pay system (COPS) Consequences** Risk Code: DRR - TR016  
 There are risks to the reputation of transformational change, to disruption of supplies and to the achievement of planned savings.

**Inherent Status: High (9)** Inherent Risk Severity: High Inherent Risk Likelihood: High  
 Date Identified: 31 Dec 2009 Service: Shared Transactional Services

### Mitigation records

Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
Well behind schedule	Maximise the use of e-invoicing	Recruitment of suppliers who are able to invoice the City Council electronically. Target is for 85% of invoices to be electronic by 31 March 2014, compared with 24% at present. There are system admin issues outstanding.	Russ Darling	01/01/2010	18/10/2012
Completed	Transfer coordination from Corporate Procurement to STS F&P	Role has been transferred.	Russ Darling	01/01/2010	18/10/2012

**Current Status: Medium (4)** Previous Status: Medium (4) Current Risk Severity: Medium Current Risk Likelihood: Medium

Risk Champion: Christine Castle Risk Owner: Russ Darling

**Review Note:** The current P to P supplier (Proactis) cannot provide the support to suppliers we have recruited to trade electronically. Notice has now been given to Proactis and a procurement exercise is underway to recruit an 'E Marketplace' to interface with Agresso Business World from April 2013. Agresso Business World is the new Corporate Financial System. This will enable us to relaunch the supplier adoption to attain the targets originally set. The procurement will be completed on the 23rd October 2012.

**Risk Rank 11: Performance Management** Failure to ensure that appropriate performance management arrangements are in place to deliver stated outcomes against corporate priorities Risk Code: CRR038

**Inherent Status: High (6)** Inherent Risk Severity: High Inherent Risk Likelihood: Medium  
 Date Identified: 06 Jan 2011 Service: Finance

### Mitigation records

Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
On schedule	Embed performance reporting arrangements	A revised Corporate Performance Management Strategy with a shift to performance reporting against priority outcomes has been agreed. Performance reports for Q1 were delivered on schedule and were well received. A workshop has been held to review the Q1 approach and improvements made for Q2 reports which are in preparation. Executive Support Office have been asked by SLT to progress a new approach to corporate objective setting and planning.	Alison Mullis	15/03/2011	13/11/2012
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. Work is also in progress to research the benefits of using other facilities available for benchmarking eg LGinform.	Alison Mullis	15/03/2011	13/11/2012
On schedule	Report progress against agreed programmes to SLT	SLT (formerly 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. This is underpinned by independent review by the Portfolio Management Office.	Paul Arrigoni	15/03/2011	13/11/2012

**Current Status: Medium (3)** Previous Status: Medium (3) Current Risk Severity: High Current Risk Likelihood: Low

Risk Champion: Christine Castle Risk Owner: Peter Robinson

Review Note:

## Corporate Services - ALL RISKS (CRR and DRR)

<b>Risk Rank 12: Industrial relations</b> Disruption to services or unplanned increase in costs as a result of breakdown 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>					
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. Delegations are currently under review and new arrangements will be in place with effect from 1 December 2012.	Mike Watts	01/04/2009	<b>07/11/2012</b>
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 corporate consultation framework has been in place since April 2012, to strengthen working improve relationships with Trade Unions. Further work is being undertaken as part of the People Programme.	Mark Williams	01/04/2009	<b>07/11/2012</b>
On schedule	Participation in the NJC pay settlement	Through attendance at the SW Regional Pay Conference No pay award in 2012/13. However the Council has made a non-consolidated pay award to low paid workers in 2012/13.	Mark Williams	01/01/2010	<b>07/11/2012</b>
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. Claims are being assessed with advice from Counsel. Outcome of cases will not be known until 2013.	Mark Williams	23/01/2010	<b>07/11/2012</b>
<b>Current Status: Low (2)</b>		<b>Previous Status: Low (2)</b>		<b>Current Risk Severity: Medium</b>	
<b>Current Risk Likelihood: Low</b>		<b>Risk Champion: Christine Castle</b>			
<b>Risk Owner: Will Godfrey</b>				<b>Review Note:</b>	

## Corporate Services - ALL RISKS (CRR and DRR)

<b>Risk Rank 13: Health and Safety</b> Reputational risk of incidents leading to prosecution				<b>Risk Code: CRR012</b>	
<b>Inherent Status: High (6)</b>		<b>Inherent Risk Severity: High</b>		<b>Inherent Risk Likelihood: Medium</b>	
<b>Date Identified: 01 Apr 2009</b>				<b>Service: Human Resources</b>	
<b>Mitigation records</b>					
<b>Mitigation Status</b>	<b>Mitigation</b>	<b>Info</b>	<b>Responsible Person</b>	<b>Date Identified</b>	<b>Last Review Date</b>
On schedule	Corporate and Directorate policies and procedures in place, and responsibilities clarified	The authority's Fire Safety Group (FSG) is now established and meets quarterly. It is producing a citywide fire safety policy with extensive stakeholder involvement. Work is underway on a corporate landlord function and issues around 'statutory compliance' in buildings related to H&S. This is a potential high risk area for the authority.	Paul Fudgell	01/04/2009	30/10/2012
On schedule	Greater investment in ICT solutions to manage H&S information ie intranet based systems etc	This area of work is being covered by specific workstreams in the HR People Programme. A specification has now been drafted and adequate funding provision made.	Paul Fudgell	01/04/2009	30/10/2012
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, although the roll-out of this system is subject to the same pressures.	Paul Fudgell	01/04/2009	30/10/2012
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, linked to the HR People Programme.	Paul Fudgell	01/04/2009	30/10/2012
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 specific training is available for managers on how to use the CHaSMS system. There has been some slippage with the situation in educational establishments.	Paul Fudgell	01/04/2009	30/10/2012
<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: Will Godfrey</b>					
<b>Review Note:</b>					

## Corporate Services - ALL RISKS (CRR and DRR)

<b>Risk Rank 14: Loss of Council funds from borrowing/lending activity</b> Consequences - Additional cost, short or long term					<b>Risk Code: DRR - CS005</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: Finance</b>		
<b>Mitigation records</b>					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
On schedule	Quarterly reporting to Cabinet and Leader		Peter Robinson	01/04/2009	15/11/2012
On schedule	Regular internal and external audit review		Alison Mullis	01/04/2009	15/11/2012
On schedule	Risk averse strategy to lending	Icelandic bank investment recovered.	Peter Robinson	18/01/2012	15/11/2012
On schedule	Treasury Management Strategy reviewed annually and reported to Full Council	Review reported to Cabinet at six-monthly intervals, and reported annually to Full Council.	Peter Robinson	01/04/2009	15/11/2012
On schedule	Use of external Treasury Management adviser		Peter Robinson	01/04/2009	15/11/2012
<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: Peter Robinson</b>		
<b>Review Note:</b>					