

**BRISTOL CITY COUNCIL
Audit Committee
18th January 2013**

Report of: Interim Strategic Director Corporate Services

Report Title: Corporate Risk Register (CRR)

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 Risk Register (CRR) to ensure that the register properly reflects Members current opinion.

SUMMARY

This report covers the second quarterly review in 2012/13 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 29th June 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. 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 Principal amendments to the risks, as successively agreed by 29th June Audit Committee, 4th September Strategic Leadership Team, Resources Executive Member at 10th September, 27th September Cabinet Briefing, and 12th December Mayoral review have been as follows:

- *CRR34 Health & Social Care overspend* - **TRANSFERRED** to the Health & Adult Social Care Directorate Risk Register. (Agreed by the 29th June Audit Committee as this Risk status had been significantly reduced down to green)
- *CRR35 Payroll IT system* - **DELETED RISK**. Mitigations completed and the risk status significantly reduced down to green.
- *CRR41 Customer Services* - **DELETED RISK**. Reported to 29th June Audit Committee that this programme is now complete - largely met objectives, on time and to budget.
- CRR47 Preparation/planning/governance arrangements for elected Mayor - **NEW RISK**
- CRR39 Housing Benefits - **TRANSFERRED** to the Corporate Services Directorate Risk Register. (Agreed by the 29th June Audit Committee as this Risk status had been significantly reduced down to green)

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

2012/13 - QUARTER 2 RISK REPORT

CORPORATE RISK REGISTER - SUMMARY HEADER

	No.	Day	Month	Year
VERSION	57	18th	Jan	2013

VERSION CONTROL HISTORY

Version No.	Reviewed By:	Review Date	Version No	Reviewed By:	Review Date
45	Audit Committee	3/2/12 (Quarter 3 WIP)	52	Strategic Leadership Team	4/9/12 (Quarter 1)
46	Strategic Leadership Team	28/2/12 (Quarter 3)	53	Resources Informal Executive Briefing	10/9/12 (Quarter 1)
47	Leaders Briefing	15/3/12 (Quarter 3)	54	Cabinet Briefing	27/9/12 (Quarter 1)
48	Cabinet Briefing	12/4/12 (Quarter 3)	55	Strategic Director Corporate Services "Offline" Review	Nov 2012 (Quarter 2)
49	Strategic Director Corporate Services "Offline" Review	Mid - May 2012 (Quarter 4)	56	Mayor's Briefing	12/12/12 (Quarter 2)
50	Executive Briefing	11/6/12 (Quarter 4)	57	Audit Committee	18/1/13 (Quarter 2)
51	Audit Committee	29/6/12 (Quarter 4)			

<p>RISK ASSESSMENT METHODOLOGY</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>	I M P A C T	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
	RISK	LIKELIHOOD			

SUMMARY OF RISKS - DEVELOPMENTS IN STATUS / MITIGATIONS SINCE PREVIOUS AUDIT COMMITTEE REVIEW AT 29th JUNE 2012, Version 51)

Current Risk Ranking	RISK	Direction of travel		DEVELOPMENTS: June 2012 to December 2012
		Current Status (Version 57)	Previous Status (Version 51)	
Managing partnerships with other organisations				
17	Local Enterprise Partnership (CRR37)	4	4	<p><u>Additional mitigations:</u> Ensure successful delivery of the Temple Quarter Enterprise Zone -the Enterprise Zone (EZ) formally commenced on 1 April 2012. Work was commissioned to review the financial modelling assumptions underpinning the EZ plans. This work has now been completed and confirms that the original financial assumptions were correct. The current economic climate, however, continues to make development difficult for developers and contractors.</p> <p>Ensure appropriate capacity and resources are available to the LEP to deliver its objectives.</p>

**SUMMARY OF RISKS - DEVELOPMENTS IN STATUS / MITIGATIONS SINCE PREVIOUS
AUDIT COMMITTEE REVIEW AT 29th JUNE 2012, Version 51)**

Current Risk Ranking	RISK	Direction of travel		DEVELOPMENTS: June 2012 to December 2012
		Current Status (Version 57)	Previous Status (Version 51)	

Funding and good financial management

6	CYPS Significant revenue budget overspend (CRR46)	6	9	<p><u>Additional information:</u> Forecast overspend at the start of the year was projected at £5million, attributable to demographic growth. CYPS budget was increased by £2m from corporate resources in May 2012. CYPS to identify £0.5m savings, including actions brought forward from 2013/14. Potential to contribute one-off funds, reducing overspend to £900k. Budgets are being reviewed to identify further savings. Budget increased by £2m as a result of Q1 budget monitor (re structural issues within child protection).</p> <p>TOM aims to reduce duplication and better target resources.</p> <p>Key risks reviewed monthly.</p>
3	Economic recovery (CRR31)	6	6	<p><u>Additional mitigations</u> Develop projects and initiatives targeting support, particularly for young people into work - targeted initiatives, including Opportunity Bristol, Backing Young People in Bristol and Mentoring Plus, have been developed and are being delivered. Further projects and initiatives are to be developed in line with the emerging Employment & Enterprise Strategy (consultation draft disseminated October 2012, final version scheduled for January 2013).</p> <p>Maintain level of economic evidence and intelligence - production of quarterly economic briefing for officers and members, analysing local data and identifying local implications of national data. Ad hoc specific reports in response to requests from officers or members. Input into LEP Economic Intelligence through the LEP Economic Intelligence Panel and Quarterly Bulletin. Planned refresh of Local Economic Assessment, in 2013, using 2011 Census data.</p> <p><u>Additional information</u> Cross-council Welfare Reform programme to prepare Council and customers for WR changes that are already underway and will continue. Impact assessment work being done to measure impacts locally. Proposals at Cabinet 26/7/12 for consultation with stakeholders on a new local council tax support scheme, to be implemented by April 2013. Work done on identifying financial impact of each option on customers/council.</p>
5	Bristol Change Programme (CRR24)	6	6	<p><u>Additional information:</u> 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.</p> <p>Improvement of the portfolio change plan 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.</p> <p>Risks are now regularly reviewed as part of the PMG business</p>

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				<p>agenda. External Gateway reviews are now implemented for all major change programmes.</p> <p>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.</p> <p>Cabinet approved a strategic outline business case for the <i>Implementation of Bristol Workplace</i> programme on 4 July 2012. Implementation of the various work streams will now commence.</p>
2	Senior management capacity (CRR45)	9	6	<p><u>Additional information:</u> ELT regularly briefed on change plans and portfolio governance, and ELT members taking leadership roles (SROs) on key programmes. Portfolio Management Group (Service Director level) established as a formal part of change governance, reporting to SLT. SLT are currently considering how to prioritise more leadership resource to lead change programmes at SRO level.</p> <p><u>Additional mitigation</u> Succession planning for senior management - talent mapping and succession planning is being embedded for Extended Leadership Team, to ensure resilience of senior management capacity. Further work in this area will be rolled out to service managers in 2013/14.</p>
9	Value for Money (CRR8)	6	4	<p><u>Additional information:</u> SLT has committed to acting collectively to ensure One Council consistency in producing VFM data/information (SLT meeting 24/7/12). A review of the extent to which robust Economy, Efficiency and Effectiveness measures have been identified is currently under way, to assist SLT in determining a baseline for future VFM improvement measurement which will be integrated into performance reporting in line with the Corporate Performance Management Strategy.</p> <p>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.</p> <p>The Council's change programme is fully aligned with MTFP savings, with progress being tracked through the change governance framework.</p>
14	Financial Management (CRR11)	4	4	<p><u>Additional Mitigation:</u> 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.</p> <p><u>Additional Information:</u> Projected overspend on CYPS safeguarding of £3 million. Mitigated by one-off resources in 2012/13, with a strategy to address in the 2013/14 budget process.</p>

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				<p>MTFP sets the financial targets to 2014/15. Regular reporting to SLT, and plans in place to agree budgets for 2013/14.</p> <p>HSC 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</p> <p>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.</p>
21	Performance Management (CRR38)	3	3	<p><u>Additional Information:</u> 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.</p> <p>Work is in progress to research the benefits of using other facilities available for benchmarking eg LGinform.</p>
N/A	Health & Adult Social Care overspend (CRR34)	N/A	2	<p>TRANSFERRED RISK - to the Health & Adult Social Care Directorate Risk Register. (Agreed by the 29th June Audit Committee as this Risk status had been significantly reduced down to green)</p>
Human resource issues				
12	Recruitment, Retention and Restructuring (CRR5)	4	4	<p><u>Additional Information:</u> 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. .</p>
22	Industrial Relations (CRR14)	2	2	<p><u>Additional Information:</u> Arrangements for revised HR delegations will be in place from December 2012.</p> <p>Further work being undertaken as part of the People Programme to strengthen the consultation framework.</p> <p>The Council has made a non-consolidated pay award to low paid workers.</p>
23	Health & Safety (CRR12)	2	2	<p><u>Additional Information:</u> 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</p>

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				<p>authority.</p> <p>ICT solutions to H&S information - this area of work is being covered by specific work streams in the HR People Programme, and the authority's wider ICT strategy which underpins it.</p>

Crisis planning

7	Flood risk (CRR42)	6	6	<p><u>Additional Information:</u> The first of the Phase 2 (Surface Water Management Plan Study) schemes is underway (Trowbridge Road) and additional grants have been applied for from DEFRA via the 2012/13 medium term plan, expected indicative allocation announcement due early 2013. Phase 1 Surface Water Management Plan Study is completed and has been published on-line.</p> <p>Planned consultation during 2012/13 is based on the outcomes of the Central Area Flood Risk Assessment, Surface Water Management Plan, and the Harbour Asset Condition Assessment, with a view to achieving an agreed strategy by the end of 2013.</p> <p>Joint work is underway between the Environment Agency, Bristol City Council and key stakeholders to agree an approach to flood risk and planning for the Avonmouth area. Following the City Deal announcement business rate retention is a potential means to contribute towards flood risk measures, this will need to be explored further with the Local Enterprise Partnership (LEP).</p> <p>Flag up on Keystone database those properties in flood risk areas to enable consideration of flood mitigation measures as part of rolling maintenance programme.</p> <p>The current Recovery Plan was issued in 2006 and, although fit for purpose, needs updating with recent changes in organisations and some other procedures. These updates cannot be confirmed until the Local Resilience Forums (LRF) strategic recovery plan has been reviewed, the review due to be completed by March 2013</p> <p><u>Additional mitigation</u> Mobile barrier equipment - GIS mapping to identify possible locations for mobile barrier equipment (80m) has been completed. Further work is required to establish the priority sites for deployment. Flood barrier training programme is close to completion and it is hoped that some of our other flood response partners can be included in this. A suitable training site has now been identified and a training date will be announced shortly.</p>
16	Civil Emergency (CRR13)	4	4	<p><u>Additional Information:</u> A snap survey revealed the previously agreed procedure for Business Continuity reference within PMDS and service planning not yet fully taken up with critical service managers.</p> <p>Community Risks - Risk Register was published in April 2012 and a Capabilities work programme to minimise the highest risks has been completed in draft form, and will be being considered by CCG. Estimated completion in February 2013, to be rolled out in the new financial year.</p>

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				<p>Critical services plans to be tested in October 2012.</p> <p>Exercise Furball to test rest centre and animal welfare plan completed in July 2012. The October event Laveer was cancelled due to CYPS re-organisation project and new desktop implementation. It has been rescheduled for 5th December 2012 to test areas such as Business Continuity, Incident Management and the Flood Plan.</p>

Climate change

19	Climate Change (CRR40)	4	4	<p><u>Additional Information:</u> Progress on the climate adaptation actions, included in the Climate Change & Energy Security Framework (CCESF), will be reported on annually in the Council's Environmental Statement which will be publicly available. Due December 2012.</p>
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Project management

15	Management and Delivery of Major Infra-structure Projects (CRR4)	4	4	<p><u>Additional mitigations:</u> All major projects reported to the Strategic Investment Board (SIB).</p> <p>Completion and regular monitoring of project risk registers.</p> <p>Completion of regular internal gateway reviews.</p> <p>Early intervention on projects to minimise exposure.</p> <p>Implement strong governance on all major projects.</p> <p>Obtain independent financial advice on all projects</p>
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Changes in population

18	Shortage of Primary School places in Bristol (CRR43)	4	4	<p><u>Additional Information:</u> 3 Bristol schools have successfully applied for additional investment via the Priority School Building Programme.</p> <p>Bristol continue to lobby DfE due to there still being a £37m projected shortfall.</p> <p>Cabinet approved actions within the School Organisation Strategy on 27th September 2012. We will revise the strategy in 2013.</p> <p>Awaiting notification of 2013/14 allocations. Schemes relying on this funding are at risk until we have the funding announcement.</p>
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Information Technology

10	Information Security (CRR27)	4	4	<p><u>Additional Information:</u> 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.</p>
N/A	Payroll IT System (CRR35)	N/A	4	<p>DELETED RISK - mitigations completed and the risk status significantly reduced down to green.</p>

Vulnerable groups in the community

8	Welfare reform	6	6	<p><u>Additional information:</u></p>
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	(CRR44)			<p>First strand of Welfare Reform programme 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.</p> <p>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</p>
4	Children in Need (CRR16)	6	6	<p><u>Additional mitigation:</u> Ensure staffing levels are sufficient - Adopt strategy to overcome continuous difficulties of retaining all staff or recruiting other than newly qualified social workers.</p>
11	Educational Attainment (CRR10)	4	4	<p><u>Additional Information:</u> Cabinet made decision to establish internal Schools Trading Unit with effect from April 2013.</p>
13	Adult Care (CRR25)	4	4	<p><u>Additional Information:</u> Completion of corporate H&S management system (CHASMS) by all managers and reviewed.</p> <p>Service provider staff undertake training and development. Currently reviewing the quality assurance framework in Care Homes.</p>
Customer satisfaction				
N/A	Customer Services (CRR41)	N/A	1	<p>DELETED RISK - Reported to 29th June Audit Committee that this programme is now complete - largely met objectives, on time and to budget.</p>
Miscellaneous				
1	Political capacity (CRR29)	9	6	<p><u>Risk description amended:</u> from - <i>Risk of being able to make progress for Bristol due to impact of Localism Bill, on particular uncertainty over mayoral referendum</i> to - <i>Risk that the Council is unable to manage significant change in a climate of uncertainty associated with the move to a mayoral authority, combined with the sheer scale and pace of legislative and/or financial change.</i></p> <p><u>Additional mitigation:</u> Mayor-member and cross-party working to deliver key strategic priorities for Bristol - Via the party group leaders and through cross-party working groups.</p> <p><u>Additional information:</u> Current comprehensive spending review period indicates a requirement to find total savings of £95 million by 2014/15. By the end of 2012/13 the Council will have delivered £55 million of this target. Future budget processes must focus on the long-term financial sustainability of the Council.</p>
20	New governance arrangements with elected Mayor (CRR47)	4	N/A	<p>NEW RISK</p>

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N/A	Housing Benefits (CRR39)	N/A	2	TRANSFERRED RISK - to the Corporate Services Directorate Risk Register. (Agreed by the 29 th June Audit Committee as this Risk status had been significantly reduced down to green)

12/13 Corporate Risk Register (CRR only) Qtr2 V57

Report for 2012-2013

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+)	

12/13 Corporate Risk Register (CRR only)

Risk Rank 1: Political capacity Risk that the Council is unable to manage significant change in a climate of uncertainty associated with the move to a mayoral authority, combined with the sheer scale and pace of legislative and/or financial change					Risk Code: CRR029
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	Financial environment	Current comprehensive spending review period indicates a requirement to find total savings of £95 million by 2014/15. By the end of 2012/13 the Council will have delivered £55 million of this target. Future budget processes must focus on the long-term financial sustainability of the Council.	Will Godfrey	01/04/2009	30/10/2012
On schedule	Implementation of new legislation	Members briefed in detail on implementation of legislation such as the Localism Act including Mayoral and Police Commissioner proposals. 'In the Loop' legislative updates and a programme of workshops with both officers and members are ensuring that the Council's ongoing change plan takes full account of the legislative environment.	Paul Taylor	28/02/2011	30/10/2012
On schedule	Mayor-member and cross-party working to deliver key strategic priorities for Bristol	Via the party group leaders and through cross-party working groups	Graham Sims	01/04/2009	30/10/2012
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.	Graham Sims	28/02/2011	30/10/2012
Printed by: Dick Lawrence		SPAR.net		Print Date: 03 January 2013 14:41	

12/13 Corporate Risk Register (CRR only)					
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
		Development of new 'growth deal' with Cities Minister. Regular briefings for local MPs.			
Current Status: High (9)		Previous Status: High (9)		Current Risk Severity: High	Current Risk Likelihood: High
Risk Champion: Christine Castle			Risk Owner: Graham Sims		
Review Note:					

Risk Rank 2: Senior Management Capacity Risk that the reduced number of Strategic a						Risk Code: CRR045
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, and that resilience will not be maintained						
Inherent Status: High (9)		Inherent Risk Severity: High		Inherent Risk Likelihood: High		
Date Identified: 31 Aug 2011			Service: Corporate Indicators (CX)			
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	30/10/2012	
On schedule	Extended SLT (ELT) is taking responsibility for change planning across the organisation	ELT regularly briefed on change plans and portfolio governance, and ELT members taking leadership roles (SROs) on key programmes. Portfolio Management Group (Service Director level) established as a formal part of change governance, reporting to SLT. SLT are currently considering how to prioritise more leadership resource to lead change programmes at SRO level.	Paul Arrigoni	31/08/2011	30/10/2012	
On schedule	Succession planning for senior management	Talent mapping and succession planning is being embedded for Extended Leadership Team, to ensure resilience of senior management capacity. Further work in this area will be rolled out to service managers in 2013/14.	Mike Watts	01/08/2012	30/10/2012	
Current Status: High (9)		Previous Status: High (6)		Current Risk Severity: High	Current Risk Likelihood: High	
Risk Champion: Christine Castle			Risk Owner: Graham Sims			
Review Note:						

12/13 Corporate Risk Register (CRR only)

Risk Rank 3: Economic Recovery Risk of failing to restore economic growth for Bristol 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 Welfare Reform	Cross-council Welfare Reform programme to prepare Council and customers for WR changes that are already underway and will continue. Impact assessment work being done to measure impacts locally. Proposals at Cabinet 26/7/12 for consultation with stakeholders on a new local council tax support scheme, to be implemented by April 2013. Work done on identifying financial impact of each option on customers/council.	Julia James	07/12/2011	30/10/2012
On schedule	Develop projects and initiatives targeting support, particularly for young people into work	Targeted initiatives, including Opportunity Bristol, Backing Young People in Bristol and Mentoring Plus, have been developed and are being delivered. Further projects and initiatives are to be developed in line with the emerging Employment & Enterprise Strategy (consultation draft disseminated October 2012, final version scheduled for January 2013).	Karen King	31/05/2012	30/10/2012
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	30/10/2012
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	30/10/2012
On schedule	Maintain level of economic evidence and intelligence	Production of quarterly economic briefing for officers and members, analysing local data and identifying local implications of national data. Ad hoc specific reports in response to requests from officers or members. Input into LEP Economic Intelligence through the LEP Economic Intelligence Panel and Quarterly	Chris Hackett	31/05/2012	30/10/2012

12/13 Corporate Risk Register (CRR only)

Mitigation records

Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
		Bulletin.			
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.	Graham Sims	01/04/2009	30/10/2012
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:					

12/13 Corporate Risk Register (CRR only)

Risk Rank 4: 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	Ensure that services are operating effectively. This is monitored by the Bristol Safeguarding Children Board. Resource Allocation review complete and social workers reallocated.	Jean Pollard	05/08/2011	29/10/2012
Behind schedule	Ensure staffing levels are sufficient	Adopt strategy to overcome continuous difficulties of retaining all staff or recruiting other than newly qualified social workers.	Jean Pollard	29/10/2012	29/10/2012
Completed	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. Bristol action plan updated - mitigation complete	Jean Pollard	01/04/2009	29/10/2012
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	29/10/2012
Current Status: High (6)		Previous Status: High (6)		Current Risk Severity: High	
				Current Risk Likelihood: Medium	
Risk Champion: Craig Bolt			Risk Owner: Annie Hudson		
Review Note:					

12/13 Corporate Risk Register (CRR only)

Risk Rank 5: Bristol Change Programme Failure to deliver performance improvements/reductions as a result of inadequate resourcing, and system(s) failure as too many poorly specified uncoordinated major changes are implemented.					Risk Code: CRR024
Inherent Status: High (9)		Inherent Risk Severity: High	Inherent Risk Likelihood: High		
Date Identified: 01 Apr 2009			Service: Information, Communications & Technology		
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
On schedule	All business cases scrutinised by 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 of 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	Paul Arrigoni	22/01/2010	01/11/2012
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12/13 Corporate Risk Register (CRR only)					
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
		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.			
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 Director Corporate Services, to regularly review the delivery of financial and non-financial benefits.	Paul Arrigoni	01/01/2010	01/11/2012
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
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:					

12/13 Corporate Risk Register (CRR only)

Risk Rank 6: CYPS Significant revenue budget overspend Managing overspend Risk Code: CRR046

Inherent Status: High (9) **Inherent Risk Severity: High** **Inherent Risk Likelihood: High**

Date Identified: 01 Sep 2010 **Service: Corporate Indicators - CYPS**

Mitigation records

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 start of the year was projected at £5million, attributable to demographic growth. CYPS bas budget was increased by £2m from corporate resources in May 2012. CYPS to identify £0.5m savings, including actions brought forward from 2013/14. Potential to contribute one-off funds, reducing overspend to £900k. Budgets are being reviewed to identify further savings.	Annie Hudson	07/03/2012	29/10/2012
Behind schedule	Ensure that resources & priorities are regular item on the monthly DLT agenda	Budget increased by £2m as a result of Q1 budget monitor	Annie Hudson	01/09/2010	29/10/2012
On schedule	Ensure that the MTFP is linked to Target Operating Model	TOM aims to reduce duplication and better target resources	Geraldine Mead	01/09/2010	29/10/2012
On schedule	Focus on achieving 'Value For Money', as a priority	VFM plans submitted April 2012	Lucia Dorrington	01/09/2010	29/10/2012
On schedule	In year monitoring of budget against actual income & expenditure	Key risks reviewed monthly	Geraldine Mead	01/09/2010	29/10/2012
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	29/10/2012
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	29/10/2012
On schedule	Work commenced on structural issues within child protection	Resulting in £2m added to CYPS budget	Geraldine Mead	27/01/2012	29/10/2012

Current Status: High (6) **Previous Status: High (6)** **Current Risk Severity: High** **Current Risk Likelihood: Medium**

Risk Champion: Craig Bolt **Risk Owner: Annie Hudson**

Review Note:

12/13 Corporate Risk Register (CRR only)

Risk Rank 7: Flood Risk The risk affecting over 16,000 properties, 30,000 expected in flood in addition to major trunk roads (e.g. A4, M5, M49, M32) and 15,000 properties in business and industry **Risk Code: CRR042**

Inherent Status: High (6) **Inherent Risk Severity: High** **Inherent Risk Likelihood: Medium**
Date Identified: 20 Sep 2010 **Service: Corporate Indicators (CD)**

Mitigation records

Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
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 in November 2012 following consultation with key stakeholders.	Alistair Cox	01/10/2010	12/10/2012
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. The first of the Phase 2 schemes is underway (Trowbridge Road) and additional grants have been applied for from DEFRA via the 2012/13 medium term plan, expected indicative allocation announcement due early 2013. Phase 1 Surface Water Management Plan Study is completed and has been published on-line.	Alistair Cox	01/10/2010	12/10/2012
On schedule	Develop a strategy as required by the Flood Water Management Act 2010	Planned consultation during 2012/13 based on the outcomes of the Central Area Flood Risk Assessment, Surface Water Management Plan, and the Harbour Asset Condition Assessment, with a view to achieving an agreed strategy by the end of 2013.	Alistair Cox	01/10/2010	12/10/2012
On schedule	Develop an understanding of how to improve defences and mitigate risks to protect Avonmouth	Joint work is underway between the Environment Agency, Bristol City Council and key stakeholders to agree an approach to flood risk and planning for the Avonmouth area. Following the City Deal announcement business rate retention is a potential means to contribute towards flood risk measures, this will need to be explored further with the Local Enterprise Partnership (LEP).	Alistair Cox	01/10/2010	12/10/2012

12/13 Corporate Risk Register (CRR only)					
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
On schedule	Flood awareness	Undertake awareness work around rapid catchments area - Brislington Brook. Two flood fairs have been held and a further one will be held in November 2012. The Police have agreed to a training package for Community Beat Officers.	Simon Creed	28/04/2011	12/10/2012
Behind schedule	Mobile Barrier equipment	GIS mapping to identify possible locations for mobile barrier equipment (80m) has been completed. Further work is required to establish the priority sites for deployment. Flood barrier training programme is close to completion and it is hoped that some of our other flood response partners can be included in this. A suitable training site has now been identified and a training date will be announced shortly.	Simon Creed	28/04/2011	12/10/2012
On schedule	Property protection	Flag up on Keystone database those properties in flood risk areas to enable consideration of flood mitigation measures as part of rolling maintenance programme.	Nicky Debbage	28/04/2011	12/10/2012
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 Spring 2013. BCC are liaising with Bristol University to identify potential 4th year engineering students who may be able to assist.	Alistair Cox	01/10/2010	12/10/2012
Behind schedule	Update Recovery Plan	The current plan was issued in 2006 and, although fit for purpose, needs updating with recent changes in organisations and some other procedures. These updates cannot be confirmed until the Local Resilience Forums (LRF) strategic recovery plan has been reviewed, the review due to be completed by March 2013.	Simon Creed	28/04/2011	12/10/2012
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 was subject to an annual review held in May 2012, the process is published to	Simon Creed	28/04/2011	12/10/2012

12/13 Corporate Risk Register (CRR only)					
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
		departments through the Corporate Civil Contingencies Group (CCCG).			
Current Status: High (6)		Previous Status: High (6)	Current Risk Severity: High	Current Risk Likelihood: Medium	
Risk Champion: Karen Rollinson			Risk Owner: Rick Palmer		
Review Note:					

12/13 Corporate Risk Register (CRR only)

Risk Rank 8: Welfare Reform (WR) A range of forthcoming Welfare Reform changes will on customers, the city and the organisation, and interact with other agendas (e.g. Personalisation). If poorly managed, there is scope for negative (and possibly multiple) impacts on customers and poor response to demand for services by the Council, as well as financial impacts and reputational risk. This is a new area that is facing all Local Authorities.					Risk Code: CRR044
Inherent Status: High (9)		Inherent Risk Severity: High		Inherent Risk Likelihood: High	
Date Identified: 01 Oct 2011			Service: Integrated Customer Services		
Mitigation records					
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
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: Support now comes from Welfare Reform programme itself not the Exec Support office.					

12/13 Corporate Risk Register (CRR only)

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	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
Current Status: High (6)		Previous Status: Medium (4)		Current Risk Severity: Medium	
				Current Risk Likelihood: High	
Risk Champion: Christine Castle			Risk Owner: Will Godfrey		
Review Note: Some slippage in relation to VFM strategy implementation and overall risk level increased compared to Q1.					

12/13 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	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

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12/13 Corporate Risk Register (CRR only)					
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
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
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:					

12/13 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	24/10/2012
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	24/10/2012
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	24/10/2012
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	24/10/2012
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	24/10/2012
On schedule	Retention and Recruitment of Governors	Actively seeking new opportunities to promote governor recruitment. Promoting training to aid governor retention and to increase effectiveness. In March the vacancy rate for Bristol was 9.7% compared with National average of 11.7% and South West average of 11.4%.	Nick Batchelar	08/02/2011	24/10/2012
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. Cabinet made decision to establish internal Schools Trading Unit with effect from April 2013.	Nick Batchelar	02/05/2012	24/10/2012
Current Status: Medium (4)		Previous Status: Medium (4)		Current Risk Severity: Medium	
				Current Risk Likelihood: Medium	
Risk Champion: Craig Bolt			Risk Owner: Annie Hudson		
Review Note:					

12/13 Corporate Risk Register (CRR only)

Risk Rank 12: Recruitment, retention and restructuring Failure to effectively manage 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 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
Current Status: Medium (4)		Previous Status: Medium (4)		Current Risk Severity: Medium	
				Current Risk Likelihood: Medium	
Risk Champion: Christine Castle			Risk Owner: Mike Watts		
Review Note:					

12/13 Corporate Risk Register (CRR only)

Risk Rank 13: Adult Care An adult older or vulnerable person suffers avoidable death, 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.	Completion of corporate H&S management system (CHASMS) by all managers and reviewed.	Netta Meadows	01/04/2009	20/11/2012
On schedule	Adherence to professional standards, supervision, pmds.	Safeguarding adults board and joint working with partner agencies – Police, probation, NHS, shared protocols / joint working. All safeguarding concerns are carefully followed up and reported to CQC where appropriate. Additional resources allocated to safeguarding service in order to ensure appropriate response times. Service provider staff undertake training and development	Mike Hennessey	01/04/2009	20/11/2012
On schedule	Ceasing admissions to care homes where concerns have been reported.	Ongoing monitoring visits by quality assurance officers have assisted in raising the standards with Care Homes. Currently reviewing the quality assurance framework.	Netta Meadows	01/04/2009	20/11/2012
On schedule	Compliance with care management policies / procedures.	Team manager authorisation and review of care plans and regular case sampling by Senior Manager.	Mike Hennessey	01/04/2009	20/11/2012
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 reviewed by planning boards. This has assisted in improving practice. All new appropriately identified staff are CRB checked and robust risk assessments in place whilst waiting for CRB clearance.	Mike Hennessey	01/04/2009	20/11/2012
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	20/11/2012
On schedule	Safe recruitment processes / CRB checks for staff working with vulnerable adults.	Appropriately identified 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	Vareta Bryan	01/04/2009	20/11/2012
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12/13 Corporate Risk Register (CRR only)					
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
		annual PMDS.			
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 is being currently reviewed and updated in 2012/13.	Netta Meadows	01/04/2009	20/11/2012
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:		

12/13 Corporate Risk Register (CRR only)

Risk Rank 14: Financial management Disruption to service plans because of failure to p
manage budgets, implement agreed efficiency savings, identify savings to address
significant government grant reductions from 2011/12 to 2014/15, or fraud and
corruption

Risk Code: CRR01

Inherent Status: High (6) **Inherent Risk Severity: High** **Inherent Risk Likelihood: Medium**

Date Identified: 01 Apr 2009

Service: Finance

Mitigation records

Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
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	MTEP 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	MTEP 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	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	Alison Mullis	10/02/2012	14/11/2012

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12/13 Corporate Risk Register (CRR only)					
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
	training	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.			
Current Status: Medium (4)		Previous Status: Medium (3)		Current Risk Severity: Medium	
Risk Champion: Christine Castle			Current Risk Likelihood: Medium		
Risk Owner: Peter Robinson			Review Note:		

12/13 Corporate Risk Register (CRR only)

Risk Rank 15: Management and Delivery of Major Infra-structure Projects				Risk of in costs and delay as a result of weaknesses in project planning and management.		Risk Code: CRR004	
Inherent Status: High (9)		Inherent Risk Severity: High		Inherent Risk Likelihood: High			
Date Identified: 01 Apr 2009				Service: Major Projects			
Mitigation records							
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date		
On schedule	All major projects reported to the Strategic Investment Board (SIB)	Regular reports are presented to the Strategic Investment Board (SIB) which has replaced the Infrastructure Development Board (IDB). The reports include the current position of the project and identify information on key risks. Senior Officers will then regularly report the key issues and concerns arising to the Executive member and other key stakeholders.	Alun Owen	13/07/2012	12/10/2012		
On schedule	Completion and regular monitoring of project risk registers	Project risk registers are regularly reviewed by the Project Manager and reported to the Project Board. Key risks are identified and re-assessments of Quantitative Risk Assessments (QRA) undertaken. The Senior Responsible Officer (SRO) will escalate issues to the Strategic Investment Board and Members as necessary.	Alun Owen	13/07/2012	12/10/2012		
On schedule	Completion of regular Internal gateway reviews	Complete Internal Gateway reviews at appropriate intervals to establish progress against project objectives and to ensure that the project is still providing Value for Money. This also ensures an independent assessment of the project status is considered.	Alun Owen	17/01/2011	12/10/2012		
On schedule	Early intervention on projects to minimise exposure	Completion of comprehensive feasibility studies and risk assessments at the first stages of a project to ensure minimum exposure at the earliest opportunity.	Alun Owen	13/07/2012	12/10/2012		
On schedule	Implement strong governance on all major projects	All projects to have appropriate Project Boards to enable effective and auditable decision making processes. The senior responsible officer (SRO) will make further escalation of issues to the Strategic Investment Board and Members.	Alun Owen	13/07/2012	12/10/2012		
On schedule	Obtain independent financial advice on all projects	All projects are subject to independent financial advice, and monthly updates on outturn costs are reported direct to appropriate Project Board.	Alun Owen	13/07/2012	12/10/2012		
Current Status: Medium (4)		Previous Status: Medium (4)		Current Risk Severity: Medium		Current Risk Likelihood: Medium	
Risk Champion: Karen Rollinson				Risk Owner: Rick Palmer			
Review Note:							

12/13 Corporate Risk Register (CRR only)

Risk Rank 16: Civil Emergency Inadequate response to a major incident or emergency resulting in avoidable injury or loss of life, disruption to critical service delivery, reputational damage, financial loss and protracted recovery.					Risk Code: CRR013
Inherent Status: High (9)		Inherent Risk Severity: High		Inherent Risk Likelihood: High	
Date Identified: 01 Apr 2009			Service: Safer Bristol Partnership		
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
On schedule	Active participation in the Local Resilience Forum (LRF)	Continuing process, BCC leading or involved in Work Programme group, 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	12/10/2012
On schedule	Business Continuity (BC) related PMDS objectives for key staff	Report presented to Senior Leadership Team in March 2012. It was agreed all critical service managers will have an element of Business Continuity in their PMDS and it will form part of the service planning process from 2012/13. All Service Directors have been informed to ensure new measures are raised with all critical services managers. A snap survey revealed it has not been fully taken up, the item was on the agenda for the Corporate Civil Contingencies Group (CCCG) meeting in Sept 2012.	Rick Palmer	01/04/2009	12/10/2012
On schedule	Community risks identified and communicated	Local Resilience Forum (LRF) Community Risk Register (CRR) regularly reviewed. Risk Register was published in April 2012 and a Capabilities work programme to minimise the highest risks has been completed in draft form, and will be being considered by CCCG. Estimated completion in February 2013, to be rolled out in the new financial year.	Simon Creed	23/01/2010	12/10/2012
On schedule	Critical Services and staff identified for each Directorate and continuity plans in place	Critical Service list reviewed June 2012. Critical Service Business Continuity Plans reviewed. Managers identified and trained, to be reviewed annually. Critical services plans to be tested in October 2012.	Simon Creed	23/01/2010	12/10/2012
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. Exercise Furball to test rest centre and animal welfare plan successfully completed in July 2012.	Gillian Douglas	23/01/2010	12/10/2012
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12/13 Corporate Risk Register (CRR only)					
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
Behind schedule	Resources for planning and testing	Exercise Furball (rest centre and animal welfare plan) was completed in July 2012. The October event Laveer was cancelled due to CYPs re-organisation project and new desktop implementation. It has been rescheduled for 5th December 2012 to test areas such as Business Continuity, Incident Management and the Flood Plan.	Simon Creed	01/04/2009	12/10/2012
On schedule	Sufficient trained staff and volunteers	Following a restructure, re-prioritising of work and programming has brought this training back on schedule. Training is an ongoing operation, with sessions scheduled up until October 2012, after which new dates will be published.	Simon Creed	01/04/2009	12/10/2012
Current Status: Medium (4)		Previous Status: Medium (4)		Current Risk Severity: Medium	
Risk Champion: Karen Rollinson		Risk Owner: Rick Palmer			
Review Note:					

12/13 Corporate Risk Register (CRR only)

Risk Rank 17: Local Enterprise Partnership and City Deal Failure to engage in new arrangements regarding establishing and reporting against the Local Enterprise Partnership (LEP). Failure to take full advantage of the City Deal mechanism which would impact on the future economic growth of the city.					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	Ensure appropriate capacity and resources are available to the LEP to deliver its objectives	This involves ensuring that governance arrangement subgroups etc have appropriate secretariats; that appropriate resources are in place for major programme and project delivery eg major transport schemes; and that joint west of England non-LEP activity is also appropriately resourced.	Paul Taylor	30/10/2012	30/10/2012
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	30/10/2012
On schedule	Ensure maximum advantage from the Bristol & West of England City Deal signed with UK Govt July 2012	The City Deal process is a long term commitment and we are still at a very early stage. Initial focus has been on establishing clear governance arrangements, particularly around the financial modelling requirements of the growth incentive element of the deal. This work is critical to secure the desired outcomes for Bristol.	Graham Sims	01/10/2012	30/10/2012
On schedule	Ensure successful delivery of the Temple Quarter Enterprise Zone	The Enterprise Zone (EZ) formally commenced on 1 April 2012. Work was commissioned to review the financial modelling assumptions underpinning the EZ plans. This work has now been completed and confirms that the original financial assumptions were correct. The current economic climate, however, continues to make development difficult for developers and contractors.	Alun Owen	07/09/2011	30/10/2012
Current Status: Medium (4)		Previous Status: Medium (4)		Current Risk Severity: Medium	
				Current Risk Likelihood: Medium	
Risk Champion: Christine Castle			Risk Owner: Graham Sims		
Review Note:					

12/13 Corporate Risk Register (CRR only)

Risk Rank 18: Shortage of Primary School places in Bristol Failure to provide enough				Risk Code: CRR043	
Primary School places					
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. 2012 Completed, next submission due by August 2013.	Catherine Filmer	01/09/2010	09/10/2012
On schedule	Deliver outcomes identified in School Organisation Strategy - long term	<p>Additional funding has been secured from central government:</p> <ul style="list-style-type: none"> • £18.3m for 11/12 additional basic needs; • £22.8m for 12/13 <p>Annual funding from central government:</p> <ul style="list-style-type: none"> • £14.9m for 11/12 basic needs • £23.9m for 12/13 <p>Additional funding approved by Cabinet:</p> <ul style="list-style-type: none"> • £20m Prudential borrowing <p>3 Bristol schools have successfully applied for additional investment via the Priority School Building Programme. Bristol continue to lobby DfE due to there still being a £37m projected shortfall.</p>	Michael Branaghan	28/07/2011	09/10/2012
On schedule	Deliver outcomes identified in School Organisation Strategy - medium term	Cabinet approved actions within the Strategy on 27th September 2012. We will revise the strategy in 2013. Awaiting notification of 2013/14 allocations. Schemes relying on this funding are at risk until we have the funding announcement.	Michael Branaghan	17/05/2011	09/10/2012
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	09/10/2012
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:					

12/13 Corporate Risk Register (CRR only)

Risk Rank 19: Climate Change - future proofing Bristol Failure to lead the climate change future proofing of Bristol over the next ten years resulting in a city which is poorly adapted to the impacts of climate change (Bristol 20:20 Plan priority)					Risk Code: CRR040
Inherent Status: High (9)		Inherent Risk Severity: High		Inherent Risk Likelihood: High	
Date Identified: 14 Mar 2011			Service: Corporate Indicators (CX)		
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
On schedule	Climate adaptation reporting	Progress on the climate adaptation actions, included in the Climate Change & Energy Security Framework (CCESF), will be reported on annually in the Council's Environmental Statement which will be publicly available. Due December 2012.	Alex Minshull	14/03/2011	01/11/2012
On schedule	Climate change strategic risk register	Production of a BCC Climate Change Strategic Risk Register: a) Draft Climate Change Strategic Risk Register 2011/12 by end of July 2011 - actioned. b) Final Climate Change Strategic Risk Register (version 1) 2011/12 by end of October 2011 - actioned. c) Review and produce Climate Change Risk Register (version 2) by end of November 2012.	Alex Minshull	14/03/2011	01/11/2012
On schedule	Guidance on climate risks on the Source	a) Update the Eco-Impact Assessment Guidance by end of October 2011 - this action now complete. b) Production of guidance for posting on the intranet to assist officers in the application of the Climate Change Strategic Risk Register to their work. To be delivered by end of December 2012.	Alex Minshull	14/03/2011	01/11/2012
Current Status: Medium (4)		Previous Status: Medium (4)		Current Risk Severity: Medium	
Risk Champion: Christine Castle				Current Risk Likelihood: Medium	
Risk Champion: Christine Castle			Risk Owner: Graham Sims		
Review Note:					

12/13 Corporate Risk Register (CRR only)

Risk Rank 20: New governance arrangements with elected mayor Risk that the organ					Risk Code: CRR047
(including elected members) does not make the most of the opportunity of new ways of working most effectively with the new Mayor and his appointed Cabinet					
Inherent Status: High (9)		Inherent Risk Severity: High		Inherent Risk Likelihood: High	
Date Identified: 01 Jul 2012			Service: Corporate Indicators (CX)		
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
On schedule	Ensure involvement of a broad constituency of members in decision making	Forward plan discussions taking place on cross-party basis to ensure effective member consultation and involvement in budget setting. Work on an effective scrutiny model to support mayoral authority is progressing, with any changes to be capable of implementation from May 2013. The Mayor's decision to create a rainbow Cabinet will help to ensure effective member engagement with the new mayor.	Graham Sims	01/07/2012	29/11/2012
On schedule	Focused officer support for the mayor	Service Director Communications & Marketing is acting as mayoral 'staff officer' pending appointment of a mayoral assistant which will be taking place shortly.	Peter Holt	15/11/2012	29/11/2012
Completed	Management of corporate mayoral transition programme	Cross-council officer Mayoral Transition Co-ordination Group has been meeting every two weeks. Eight key workstreams identified and progressed, with oversight from SLT though bi-weekly feedback. Planned actions completed (eg Mayoral welcome pack and in-tray) and final 'lessons learned' meeting of Transition Group scheduled for post-election.	Peter Holt	01/07/2012	29/11/2012
Current Status: Medium (4)		Previous Status: Medium (4)		Current Risk Severity: Medium	
Current Risk Likelihood: Medium		Risk Champion: Christine Castle			
Risk Owner: Graham Sims				Review Note:	

12/13 Corporate Risk Register (CRR only)

Risk Rank 21: 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:					

12/13 Corporate Risk Register (CRR only)

Risk Rank 22: Industrial relations Disruption to services or unplanned increase in cost 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. Delegations are currently under review and new arrangements will be in place with effect from 1 December 2012.	Mike Watts	01/04/2009	07/11/2012
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 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	07/11/2012
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	07/11/2012
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. Claims are being assessed with advice from Counsel. Outcome of cases will not be known until 2013.	Mark Williams	23/01/2010	07/11/2012
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:					

12/13 Corporate Risk Register (CRR only)

Risk Rank 23: Health and Safety Reputational risk of incidents leading to prosecuti **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	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 unnoticed. 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	Paul Fudgell	01/04/2009	30/10/2012

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12/13 Corporate Risk Register (CRR only)					
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
		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.			
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
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:					

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