

BRISTOL CITY COUNCIL

Audit Committee

28th June 2013

Report of: Interim Strategic Director Corporate Services

Report Title: Corporate Risk Register Quarter 4 2012/13

Ward: Citywide

Officer presenting report: Pete Robinson, Service Director Finance, Corporate Services

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RECOMMENDATION

The Audit Committee

1. review and approve the Corporate Risk Register at Appendix 3, and
2. note proposed changes to the risk review methodology.

SUMMARY

This report covers the final quarterly review for 2012/13 of the Corporate Risk Register, which is attached at Appendix 3.

The significant issues in the report are:

- para"s. 2 .4 to 2.6 – the findings from a risk improvement analysis, which indicate that over the period since the previous quarter, and over the past year as a whole, the levels of current risk have not improved
- para. 3 - proposed changes to the methodology to strengthen the Council"s approach and culture towards the management of risk

Policy

The twice yearly review of the Corporate Risk Register 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 Corporate Risk Register (CRR) is established as:

- Mitigation & Risk Owners - quarterly
- Strategic Leadership Team, Executive Member Briefing, Cabinet / SLT Executive Board - 6 monthly
- Strategic Director Corporate Services “offline” review (staggered midway between SLT reviews) - 6 monthly
- Audit Committee - 6 monthly

2. Quarter 4 – CRR Review

2.1 Appendix 1 provides full details of the current corporate risks and how these risks are being managed.

2.2 Currently there are 18 risks recorded on the risk register and these are presented in order of highest current risk. Six risks are demonstrating a current risk status as high as follows:

- Senior Management Capacity
- Impact of Economic Climate
- Children in Need
- Bristol Change Programme
- Flood Risk
- Welfare Reform

2.3 The remaining twelve risks are currently considered as medium (11) or low (1) risk when considering the effectiveness of current mitigation in place to manage the risk.

2.4 At its January 2013 meeting, the Committee requested inclusion of „target risk“ and the direction of travel since the previous quarter to be included and this analysis has progressed and is shown in Appendix 2. The addition of this information identifies that :

- For 5 of the 18 risks it is considered that they have achieved the accepted level of risk set in the target. This includes 1 risk in which the Council is operating at a high risk level. (Flood Risk)
- For 5 of the 6 highest risks, it is anticipated that the risk level can be further reduced although for two of these risks, external factors impact on our ability to achieve this. In each of these cases, the detailed mitigations recorded in the register are predominantly recorded as „on schedule“,

- although all 6 of these risks have been on the register for several years.
- The current risk status for all risks compared to that reported in the previous quarter has remained the same ie it has not been improved which is concerning.

2.5 Further analysis at Appendix 3 summarises the changes to the corporate risks over the past 12 months. Of the 26 risks in the Corporate Risk Register at June 2012, 8 have been completely deleted, plus 5 deleted as a result of either being re-worded or subsumed within 5 either existing or new risks. The analysis at Appendix 3 helps identify:

- a rapid turnover/amendment to risks as the Council adapts to the changing environment, but
- for 13 of the current risks which were in the register at June 2012, the current risk status has remained the same for 12 risks, and has declined for 1 risk. None have improved despite the majority of mitigations being recorded as „on schedule“.

2.6 There is now an opportunity to develop the risk management methodology and make it more effective in reducing „Current risk“ levels. Further detailed work is now required by Risk Owners to review and challenge the information in the register and the effectiveness of the risk management strategies in respect of each risk. The CRR report (at Appendix 1) will be re-structured in future to reflect the most important of the strategic risks and ensure they receive effective executive review.

3. Risk Management Methodology

3.1 The above analysis has identified opportunities to improve our risk management methodology, and overall cultural approach towards taking strategic risk decisions to deliver our objectives, as follows:

- future decision making will consider risk strategies that both remove barriers to and maximise chances of success of achieving objectives – moving to effective risk management rather than focussing on risk avoidance.
- risk will more directly shape and lead the agenda at management leadership team meetings
- risk appetite and tolerance to be better understood by management and Members to ensure the limits within which we operate to maximise our success in delivering our objectives is clear for each risk
- available resources/management review will be more effectively directed across those risks for which there is an identified potential for realistic risk reduction
- existing “Inherent” and “Current” risk status will routinely be supplemented with an additional “Target” risk status by which to set risk appetite and to measure achievement of potential risk reduction
- clear target dates will be set for the achievement of “Target” risk status
- the Risk Management Strategy and Policy will be reviewed and revised to reflect this approach

3.2 Officers are giving consideration towards integrating risk management more cohesively with performance management and decision making, to develop management by high risk and exception. As a first step, the exercise currently in progress to set improvement “Target risk ” projections will form a basis by which to i) rationalise risks with no potential

for further risk reduction and ii) identify timescaled improvement plans for risk reductions which are both practical and achievable. This will result in better risk information that can inform decision making and management team agendas

3.3 The SPAR.net computer system continues to provide the corporate platform for risk capture and management by the risk owners. Modest software development work will be necessary to create additional reporting capability associated with this proposal.

3.4 As a result of a current wide ranging review into how risk is managed in the City Council, further proposals to improve strategic risk management are currently being developed but fundamentally include:

- strengthening business planning processes to ensure they include effective challenge around risk strategy, appetite and management of risk
- strengthening strategic performance management process to enable early identification of the effectiveness of risk strategies in the achievement of objectives

3.5 Following completion of the current review of risk management arrangements a revised policy and implementation timetable will be brought to the September Audit Committee.

4. Risk Assessment

4.1 A robust and effective risk management process serves to minimise the risk of failures in the Council's service provision. It supports the internal control environment and governance arrangements, whilst providing 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 1 - 4th Qtr Corporate Risk Register 2012/13

Appendix 2 - Risk Improvement -Target Projection

Appendix 3 - Summary of changes to the Corporate Risk Register between June 2012 and June 2013

LOCAL GOVERNMENT ACCESS TO INFORMATION

Background Papers Relevant background details held on SPAR.net

APPENDIX (15) A

2012/13 - QUARTER 4 RISK REPORT

CORPORATE RISK REGISTER - SUMMARY HEADER

	<i>No.</i>	<i>Day</i>	<i>Month</i>	<i>Year</i>
VERSION	62	28th	June	2013

VERSION CONTROL HISTORY

Version No.	Reviewed By:	Review Date	Version No	Reviewed By:	Review Date
46	Strategic Leadership Team	28/2/12 (Quarter 3)	55	Strategic Director Corporate Services "Offline" Review	Nov 2012 (Quarter 2)
47	Leaders Briefing	15/3/12 (Quarter 3)	56	Mayor's Briefing	12/12/12 (Quarter 2)
48	Cabinet Briefing	12/4/12 (Quarter 3)	57	Audit Committee	18/1/13 (Quarter 2)
49	Strategic Director Corporate Services "Offline" Review	Mid - May 2012 (Quarter 4)	58	Strategic Leadership Team	5/3/13 (Quarter 3)
50	Executive Briefing	11/6/12 (Quarter 4)	59	Finance & Corporate Services Executive Briefing	14/3/13 (Quarter 3)
51	Audit Committee	29/6/12 (Quarter 4)	60	Cabinet/SLT Exec Board Briefing	13/5/13 (Quarter 3)
52	Strategic Leadership Team	4/9/12 (Quarter 1)	61	Risk Management Group	17/6/13 (Quarter 4)
53	Resources Informal Executive Briefing	10/9/12 (Quarter 1)	62	Audit Committee	28/6/13 (Quarter 4)
54	Cabinet Briefing	27/9/12 (Quarter 1)			

<p style="text-align: center;">RISK ASSESSMENT</p> <p style="text-align: center;">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			

APPENDIX 1

2013/14 Corporate Risk Register (CRR only)

Report for 2013-2014

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
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Risks:	Review Overdue (0+)	High (6+)	Medium (3+)	Low (1+)
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2013/14 Corporate Risk Register (CRR only)

Risk: Senior Management Capacity Risk that the reduced number of Strategic and Service Directors will lead to a significant increase in the workload of senior management with a potential impact on management capacity and delivery of planned budget proposals, and that resilience will not be maintained					Risk Code: CRR045
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	Senior structural review	Interim structure agreed with Party Group Leaders. Proposals for a permanent structure to be taken to HR Committee in July, with a view to all appointments to commence January 2014.	Nicola Yates	01/05/2013	07/05/2013
On schedule	Service Directors now taking responsibility for change planning across the organisation	Service Directors are now allocated as Senior Responsible Owners (SROs) for all change programmes, reporting to an SLT member as programme sponsor. This has significantly increased the leadership capacity on change programmes. The SROs are now members of the Portfolio Management Group established as a formal part of the change governance.	Paul Arrigoni	31/08/2011	07/05/2013
On schedule	Strengthened/expanded senior leadership	New resources being sought on an interim basis including strategic-level support for Regeneration and Organisational Development.	Nicola Yates	06/02/2013	07/05/2013
On schedule	Succession planning for senior management	Talent mapping and succession planning is being embedded for Extended Leadership Team, to ensure resilience of senior	Richard Billingham	01/08/2012	07/05/2013
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2013/14 Corporate Risk Register (CRR only)					
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
		management capacity. Further work in this area will be rolled out to service managers in 2013/14. Performance Business Partners will be leading their directorates through the process starting in February.			
Current Status: High (9)		Previous Status: High (9)		Current Risk Severity: High	
Risk Champion: Christine Castle			Current Risk Likelihood: High		
Risk Owner: Nicola Yates			Risk Owner: Nicola Yates		
Review Note:					

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2013/14 Corporate Risk Register (CRR only)

Risk: Impact of Economic Climate Risk that continuing economic challenges nationally and locally will impact on local growth, and lead to greater demands on Council services with possible adverse impact on quality and quantity				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 and economy of legislative changes in Welfare Reform (WR)	Cross-council Welfare Reform programme set up to prepare Council and customers for WR changes that are already underway and will continue. Impact assessment work continues to measure impacts locally. Local Council Tax Reduction Scheme agreed for 13/14 and to be reviewed for 14/15. Working with VOSCUR to ensure effective partnership work; signposting and information for customers.	Julia James	07/12/2011	08/05/2013
On schedule	Deliver Bristol & West of England City Deal signed with UK Government July 2012	Growth incentive on track for full sign-up across West of England. Reports drafted and unitary authority chief executives and leaders briefed. Briefing provided to Cabinet and Party Group Leaders. To be considered at Full Council on 19th July 2013.	Angie Ridgwell	01/10/2012	08/05/2013
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, consultation phase extended and final version due in April 2013).	Karen King	31/05/2012	08/05/2013
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 been completed and has confirmed 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	08/05/2013
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	Peter Robinson	28/02/2011	08/05/2013

APPENDIX 1

2013/14 Corporate Risk Register (CRR only)					
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
		being taken to address the issues.			
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 Bulletin.	Chris Hackett	31/05/2012	08/05/2013
Current Status: High (6)		Previous Status: High (6)		Current Risk Severity: High	
				Current Risk Likelihood: Medium	
Risk Champion: Christine Castle			Risk Owner: Nicola Yates		
Review Note:					

APPENDIX 1

2013/14 Corporate Risk Register (CRR only)

Risk: Bristol Change Programme Failure to deliver performance improvements/cost reductions as a result of inadequate resourcing, and system(s) failure as too many poorly specified uncoordinated major changes are implemented.					Risk Code: CRR024
Inherent Status: High (9)		Inherent Risk Severity: High	Inherent Risk Likelihood: High		
Date Identified: 01 Apr 2009			Service: Information, Communications & Technology		
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
On schedule	Availability of technology and associated services to support change	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 are consolidated through Portfolio Management Group and reported to SLT. An overall programme of ICT investment has been established, both to monitor delivery and also to ensure that the best value is achieved from cross-council investment.	Paul Arrigoni	14/02/2012	07/05/2013
On schedule	Corporate co-ordination and ownership through programme managers' group and SLT	SLT regularly review the overall change portfolio. PMG (SROs from all major change programmes) and programme managers are managing dependencies and resources. Portfolio change plan is in place and under formal change control, with training for project managers to improve the quality of planning, prioritised by PMO. SLT have brought in new change governance to increase leadership capacity and speed up decision making. PMO has recently run dependency-planning sessions with all programme managers.	Paul Arrigoni	01/04/2009	07/05/2013
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 has established a regular risk review process as part of its regular business agenda. External Gateway reviews are now implemented for all major change programmes.	Paul Arrigoni	22/01/2010	07/05/2013
On schedule	Implementation of Bristol Workplace to underpin and support delivery of the change programme	New building purchased March 2013. Programme blueprint to be signed off by SLT April 2013. Design contract to be awarded by end May 2013. City Hall refurbishment to begin January 2014, with all staff temporarily relocated to Temple	Paul Taylor	01/04/2012	07/05/2013
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2013/14 Corporate Risk Register (CRR only)					
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
		Street.			
On schedule	Portfolio Risk Register -- Benefits Realisation	A benefit framework has been developed to ensure benefit tracking through programme delivery into benefit realisation contracts. SLT is acting as a benefits review board to regularly review the delivery of key financial and non-financial benefits. Quarterly reviews with SROs and programme managers of key benefits are now in place, with issues escalated to the Portfolio Management Group (PMG).	Paul Arrigoni	01/01/2010	07/05/2013
On schedule	Programme-level risks	Risks to the delivery of individual change programmes are assessed and mitigated through dedicated programme risk registers.	Paul Arrigoni	01/04/2009	07/05/2013
Current Status: High (6)		Previous Status: High (6)		Current Risk Severity: High	Current Risk Likelihood: Medium
Risk Champion: Christine Castle			Risk Owner: Angie Ridgwell		
Review Note:					

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2013/14 Corporate Risk Register (CRR only)

Risk: Flood Risk The risk affecting over 16,000 properties, 30,000 expected in future in addition to major trunk roads (e.g. A4, M5, M49, M32) and 15,000 properties in business and industry					Risk Code: CRR042
Inherent Status: High (6)		Inherent Risk Severity: High		Inherent Risk Likelihood: Medium	
Date Identified: 20 Sep 2010			Service: Corporate Indicators (CD)		
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
Completed	Conduct Central Area Flood Risk Assessment	This study will be signed off in May 2013. Funding has already been allocated to carry out River Avon Strategic Defence preliminary study. Funding from DERFA, via the 2013/14 medium term financial plan is being used to carry out investigations into mitigation measures in the Docks area. Further conclusions of this study will inform our Local Flood Risk Management Strategy being drafted in 2013/14	Alistair Cox	01/10/2010	11/04/2013
On schedule	Develop a strategy as required by the Flood Water Management Act 2010	Officers are developing our draft Local Flood Risk Management Strategy with the aim of having a draft strategy available by the autumn/winter 2013. Consultation on this draft strategy will take place through Neighbourhood Partnerships.	Alistair Cox	01/10/2010	11/04/2013
On schedule	Develop an understanding of how to improve defences and mitigate risks to protect Avonmouth	WSAtkins have been commissioned by South Glos. to undertake investigations, as part of the Avonmouth Severnside Development Strategy, to look at flood risk associated with Avonmouth and Severnside. This is part of the joint working between the Environment Agency, BCC and key stakeholders to agree an approach to flood risk and planning for this area. The potential for Business Rate retention to contribute towards flood risk measures will be explored with the Local Enterprise Partnership (LEP).	Alistair Cox	01/10/2010	11/04/2013
On schedule	Flood awareness	Flood risk management workshop being organised completed by August 2013, Review of Brislington Brook progress to be completed with Environment Agency and Flood Risk Management team.	Simon Creed	28/04/2011	11/04/2013
Behind schedule	Mobile Barrier Equipment	Flood barrier training completed January 2013. Will be repeated annually. List of volunteers obtained to provide out of hours response system agreed to be rolled out May 2013.	Simon Creed	28/04/2011	11/04/2013
Behind schedule	Property protection	Flag up on Keystone database those properties in flood risk areas to	Nicky Debbage	28/04/2011	11/04/2013
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2013/14 Corporate Risk Register (CRR only)					
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
		enable consideration of flood mitigation measures - as part of a cross tenure approach to be agreed with other departments			
On schedule	Surface Water Management Plan	This study provided an understand the impact of rainfall run-off over the whole city. High risk areas now identified and broad scale options are being developed. Grants have been allocated from DEFRA, via the 2013/14 medium term plan, for the implementation of phase 2 works on Dundry Hills, Trowbridge Road, Southmead and early design works for Fonthill Park.	Alistair Cox	01/10/2010	11/04/2013
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 Parks & Green Space Strategy and the expected completion is Autumn/Winter 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	11/04/2013
Behind schedule	Update Recovery Plan	The current plan was issued in 2006, and although fit for purpose needs updating with recent changes in the organisations involved and some procedures. These updates cannot be confirmed until the Local Resilience Forums (LRF) Strategic Recovery Plan has been reviewed, which is due to be completed by March 2013. Review entered into CPU's work programme for 2013/14.	Simon Creed	28/04/2011	11/04/2013
Completed	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 directorates through the Corporate Civil Contingencies Group (CCCG).	Simon Creed	28/04/2011	11/04/2013
Current Status: High (6)		Previous Status: High (6)		Current Risk Severity: High	
				Current Risk Likelihood: Medium	
Risk Champion: Rob Gilmore			Risk Owner: Rick Palmer		
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2013/14 Corporate Risk Register (CRR only)

Review Note:

Risk: Welfare Reform (WR) A range of forthcoming Welfare Reform changes will impact on customers, the city and the organisation, and interact with other agendas (e.g. Personalisation). If poorly managed, there is scope for negative (and possibly multiple) impacts on customers and poor response to demand for services by the Council, as well as financial impacts and reputational risk. This is a new area that is facing all Local Authorities.

Risk Code: CRR044

Inherent Status: 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
On schedule	Ensure understanding and awareness of Welfare Reform changes and impacts/implications	Staff and stakeholders 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. Booklets printed and distributed. VOSCUR event held and plans in hand to develop co-ordinated communications with them for claimants. Communications Officer in place.	Jane Whiteman	01/10/2011	10/05/2013
On schedule	Integrate activities arising from Welfare Reform changes through a WR programme	The Welfare Reform programme is part of the corporate portfolio, and the programme plan has been formally agreed. A business case has been developed to assess the impact on the city and residents, and therefore what action BCC should take corporately and at a service level. Impact assessment completed.	Julia James	01/10/2011	10/05/2013
On schedule	Working with Customer and Process Programme and corporate debt project	We are working with the C&P programme to ensure that expected demand is managed, and the corporate debt project to help customers and ourselves. The corporate debt project is underway, to identify more effective ways of debt collection and improve customer service. The C&P programme has within it review of face-to-face services and revised processes, with increased automation including social media.	Julia James	07/02/2013	10/05/2013

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

Risk Champion: Christine Castle **Risk Owner: Angie Ridgwell**

Review Note:

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2013/14 Corporate Risk Register (CRR only)

Risk: Information security Failure to take adequate steps to properly safeguard sensitive and confidential data.					Risk Code: CRR027
Inherent Status: High (9)	Inherent Risk Severity: High		Inherent Risk Likelihood: High		
Date Identified: 01 Apr 2009			Service: Information, Communications & Technology		
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
On schedule	Build in security best practice , guidance and standards into all change processes	Security screening from the initial Business Design stage. Build in risk assessment support and advice throughout all change processes.	Bernadette Keen	01/10/2011	16/05/2013
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	16/05/2013
On schedule	Ensure that sensitive data is shared appropriately between ourselves and partners	Collate and review Information Sharing Protocols.	Bernadette Keen	01/10/2011	16/05/2013
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	16/05/2013
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	16/05/2013
On schedule	Information systems classified according to new scheme	Currently in progress.	Bernadette Keen	01/04/2009	16/05/2013
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	16/05/2013
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	16/05/2013
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	16/05/2013
On schedule	Reduce risk of data breach from existing laptop computers	Replace existing laptops which are not compatible with Windows7 and ecrypt using Bitlocker (150 devices)	Bernadette Keen	01/10/2011	16/05/2013
On	Reduce risk of data	Implement disc encryption on	Bernadette	01/10/2011	16/05/2013
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2013/14 Corporate Risk Register (CRR only)					
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
schedule	breach from existing laptop computers	existing laptops compatible with Windows7 (800 devices)	Keen		
Behind schedule	Reduce risk of data breach from unencrypted memory sticks	Restrict use of USB devices.	Bernadette Keen	01/10/2011	16/05/2013
On schedule	Revise and rollout policy and standards	Review and update of Security Policy and standards is planned - expected completion date tbc.	Bernadette Keen	01/04/2009	16/05/2013
Current Status: Medium (4)		Previous Status: Medium (4)		Current Risk Severity: Medium	
				Current Risk Likelihood: Medium	
Risk Champion: Christine Castle			Risk Owner: Bernadette Keen		
Review Note:					

APPENDIX 1

2013/14 Corporate Risk Register (CRR only)

Risk: 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	11/06/2013
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	11/06/2013
On schedule	Implement CYP Plan actions	Improving Under Performing School Plan submitted to DfE in April 2011. Response received July 2011. Action underway.	Nick Batchelar	01/04/2009	11/06/2013
On schedule	Implement outcomes of review of out of school provision	The review has been completed and "Back on Track" strategy published	Nick Batchelar	01/07/2010	11/06/2013
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	11/06/2013
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	11/06/2013
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	11/06/2013
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:	

APPENDIX 1

2013/14 Corporate Risk Register (CRR only)

Risk: Recruitment, retention and restructuring Failure to effectively manage the downsizing of the organisation through a period of significant change, through not having the appropriate staff in place to lead the change required.				Risk Code: CRR005	
Inherent Status: Medium (4)		Inherent Risk Severity: Medium		Inherent Risk Likelihood: Medium	
Date Identified: 01 Apr 2009				Service: Human Resources	
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
On schedule	Monitoring of turnover/vacancies	Monthly reporting to SLT on headcount (including casuals, agency workers and employees) and actual spend on severance payments and employee expenses; also monthly reporting to SLT on sickness absence.	Richard Billingham	01/04/2009	07/05/2013
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. To optimise benefits, the programme was subsequently realigned with the new Council Target Operating Model, and the full business case approved in March 2013.	Mark Williams	23/01/2010	07/05/2013
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. 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.	Richard Billingham	01/04/2009	07/05/2013
Current Status: Medium (4)		Previous Status: Medium (4)		Current Risk Severity: Medium	
				Current Risk Likelihood: Medium	
Risk Champion: Christine Castle			Risk Owner: Richard Billingham		
Review Note:					

APPENDIX 1

2013/14 Corporate Risk Register (CRR only)

Risk: Adult Care An adult older or vulnerable person suffers avoidable death, serious injury or abuse whilst under the care of the council.				Risk Code: CRR025	
Inherent Status: High (6)		Inherent Risk Severity: High		Inherent Risk Likelihood: Medium	
Date Identified: 01 Apr 2009			Service: Corporate Indicators (HSC)		
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
On schedule	Adherence to H&S requirements, risk assessments with adequate mitigations for risk in place.	Completion of corporate H&S management system (CHASMS) by all managers and reviewed.	Netta Meadows	01/04/2009	09/05/2013
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	09/05/2013
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	09/05/2013
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	09/05/2013
On schedule	Lessons learnt report on serious incidents (national and local eg. Winterbourne View) and complaints	Lessons Learnt from recent safeguarding complaints have been shared with practitioners and reviewed by planning boards. This has assisted in improving practice. Lessons from the Winterbourne View Serious case Review, and the Francis report have been shared with managers and practitioners. All new appropriately identified staff are CRB checked and robust risk assessments in place whilst waiting for CRB clearance.	Mike Hennessey	01/04/2009	09/05/2013
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	09/05/2013
On schedule	Safe recruitment processes / CRB	Appropriately identified staff employed by the Council are all	Vareta Bryan	01/04/2009	09/05/2013
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APPENDIX 1

2013/14 Corporate Risk Register (CRR only)					
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
	checks for staff working with vulnerable adults.	CRB checked prior to commencement of employment. Care staff are QCF trained to appropriate standards and regularly supervised. They also receive an 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	09/05/2013
Current Status: Medium (4)		Previous Status: Medium (4)		Current Risk Severity: Medium	
				Current Risk Likelihood: Medium	
Risk Champion: Mark Wakefield			Risk Owner: Alison Comley		
Review Note:					

Risk: Financial management 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				Risk Code: CRR011	
Inherent Status: High (6)		Inherent Risk Severity: High		Inherent Risk Likelihood: Medium	
Date Identified: 01 Apr 2009			Service: Finance		
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
On schedule	Agreed MTFS for the next three years	Process in place for determining organisational priorities and agreeing delivery plans, with MTFS to be finalised by November 2013.	Peter Robinson	14/11/2012	11/04/2013
On schedule	Successful implementation and embedding of new finance system	ABW went live on 1 April 2013 as planned. Reporting arrangements and process modifications to be embedded across the organisation by August 2013.	Peter Robinson	01/04/2013	11/04/2013
Current Status: Medium (4)		Previous Status: Medium (4)		Current Risk Severity: Medium	
				Current Risk Likelihood: Medium	
Risk Champion: Christine Castle			Risk Owner: Peter Robinson		
Review Note: Additional mitigations to be worked up & added on (a) PFI funding gap, and (b) adverse impact of BRT slippage on ability to claim funding					

APPENDIX 1

2013/14 Corporate Risk Register (CRR only)

Risk: Management and Delivery of Major Infra-structure Projects				Risk of increased costs and delay as a result of weaknesses in project planning and management.	Risk Code: CRR004
Inherent Status: High (9)		Inherent Risk Severity: High		Inherent Risk Likelihood: High	
Date Identified: 01 Apr 2009			Service: Major Projects		
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
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	11/04/2013
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	11/04/2013
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	11/04/2013
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	11/04/2013
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	11/04/2013
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	11/04/2013
Current Status: Medium (4)		Previous Status: Medium (4)		Current Risk Severity: Medium	
Risk Champion: Rob Gilmore				Current Risk Likelihood: Medium	
Risk Owner: Rick Palmer			Review Note:		

APPENDIX 1

2013/14 Corporate Risk Register (CRR only)

Risk: 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, Chemical, Biological, Radiation or Nuclear (CBRN), Fuel Shortage, Warning and Informing, Control of Major Accident Hazards (COMAH), Risk Assessment Group Mass Fatalities, training and exercising LRF Planning Groups.	Simon Creed	01/04/2009	10/04/2013
Behind schedule	Business Continuity (BC) related PMDS objectives for key staff	In March 2012 the Senior Leadership Team agreed all Critical Service Managers (CSMs) will have Business Continuity in their PMDS and that it would form part of the Service Planning process from 2012/13. A survey revealed it has not been fully taken up, and the issue was raised at the Corporate Civil Contingencies Group (CCCG) meeting in September 2012. CCG Champions reported on actions to be taken in 2013/14 at February 2013 meeting. All CCCG champions to raise issue in time for 2013/14 PMDS'.	Rick Palmer	01/04/2009	10/04/2013
On schedule	Community risks identified and communicated	Local Resilience Forum (LRF) Community Risk Register (CRR) being reviewed 2-3 May 2013. Risk Register was published in April 2012 and a Capabilities Work Programme to minimise the highest risks has commenced, and being rolled out.	Simon Creed	23/01/2010	10/04/2013
On schedule	Critical Services and staff identified for each Directorate and continuity plans in place	Critical Service list in process of being reviewed completion June 2013. Critical Service Business Continuity Plans in process of being reviewed. Managers identified and trained, to be reviewed annually. Critical Services Plans tested (Exercise Laver 5th December 2012).	Simon Creed	23/01/2010	10/04/2013
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	Gillian Douglas	23/01/2010	10/04/2013
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2013/14 Corporate Risk Register (CRR only)					
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
		successfully completed in July 2012. Exercise Laver completed in December 2012. Exercise programme for 2013/14 to be finalised May 2013			
On schedule	Resources for planning and testing	Exercise Furball (Rest Centre and Animal Welfare Plan) was completed in July 2012. Exercise Laver completed 6th December 2012, submitted to Corporate Civil Contingencies Group (CCCG) in February 2013. Exercise to test Rest Centre and Animal Welfare plans to be tested July 2013, COMAH plan to be tested February 2014, Incident response and Business continuity plans to be tested January 2014	Simon Creed	01/04/2009	10/04/2013
On schedule	Sufficient trained staff and volunteers	Training prospectus and programme for 2013/4 to be completed by July 2013, Dates for Local Resilience Forum IEM training for Strategic and Tactical officers circulated, Emergency Volunteer training commencing June and finishing July to enable participation in July Rest Centre and Animal Welfare plans.	Simon Creed	01/04/2009	10/04/2013
Current Status: Medium (4)		Previous Status: Medium (4)	Current Risk Severity: Medium	Current Risk Likelihood: Medium	
Risk Champion: Rob Gilmore			Risk Owner: Rick Palmer		
Review Note:					

APPENDIX 1

2013/14 Corporate Risk Register (CRR only)

Risk: Delivery of the Capital programme Risk of insufficient resources to meet medium and long term requirements including delivery of sufficient school places				Risk Code: CRR020	
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	Continued engagement with delivery partners.	Majority of schemes have been delivered on time and on budget. Continued engagement with delivery partners needed to ensure a high standard of delivery.	Craig Bolt	08/11/2012	30/05/2013
On schedule	Ensure school properties are suitable and sufficient to meet curriculum needs	LA emphasis is on meeting statutory requirement of sufficient school places. Central government published (19 July 2011) annual priority school building programme which includes PFI option for Primary and Secondary. Outcome of the priority schools building programme has been published. BCC has benefited with three schools being included: - 2 as PFI - Hillfields and St Annes Park Primary - 1 as a grant - St Ursulas Delivery timetable to be confirmed by DfE.	Bob Rutherford	01/09/2010	30/05/2013
On schedule	Ensure that for changes to contract the formal change process is maintained	Formal process is currently being maintained ongoing. Procurement of project managers for each scheme and review of briefs and change process ongoing	Bob Rutherford	01/09/2010	30/05/2013
Completed	Ensure the SOS identifies communication with schools and parents as an essential requirement	Pupil forecasts are in place and consultation with schools took place in June 2013. Revised strategy to be published in Sept 2013.	Bob Rutherford	01/09/2010	30/05/2013
On schedule	Funding available which has been allocated to the medium term capital programme	Additional funding has been secured from central government, including • £18.3m for 11/12 additional basic needs; • £22.8m for 12/13 Annual funding from central government: • £14.9m for 11/12 basic needs • £23.9m for 12/13	Bob Rutherford	27/07/2011	30/05/2013

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2013/14 Corporate Risk Register (CRR only)					
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
		Additional funding approved by Cabinet: • £20m Prudential borrowing			
On schedule	Prepare School Organisation Strategy and Investment Strategy	Cabinet approved medium term strategy September 2012 subject to capital funding from central government. The first review of the SOS completed with approval of capital projects. September 2012. SOS to be reviewed again and to be tabled at Cabinet in September 2013.	Bob Rutherford	01/09/2010	30/05/2013
On schedule	Produce monthly reports to: Infrastructure Board BSF/PFI Project Boards and the Capital Prog Board	Ongoing. System in place. New reporting requirement on a quarterly basis to Executive Members for Children and Young People and Capital Projects.	Bob Rutherford	01/09/2010	30/05/2013
On schedule	Review AMP on an annual basis	School organisation strategy completed and linked to AMP.	Bob Rutherford	01/09/2010	30/05/2013
Current Status: Medium (4)		Previous Status: Medium (4)	Current Risk Severity: Medium	Current Risk Likelihood: Medium	
Risk Champion: Craig Bolt			Risk Owner: None		
Review Note:					

APPENDIX 1

2013/14 Corporate Risk Register (CRR only)

Risk: 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. This has been actioned for the 2011/12 report. The 2012/13 report is due December 2013.	Alex Minshull	14/03/2011	22/05/2013
On schedule	Climate change and energy security framework	a) Review and update climate adaptation and resilience actions by December 2013. b) Develop project on vulnerability mapping to improve strategic and emergency planning - December 2014.	Alex Minshull	20/05/2013	22/05/2013
Behind 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 on The Source to assist officers in the application of the Climate Change Strategic Risk Register to their work. Original delivery date of March 2013 now put back to end of December 2013.	Alex Minshull	14/03/2011	22/05/2013
Current Status: Medium (4)		Previous Status: Medium (4)		Current Risk Severity: Medium	
Current Risk Likelihood: Medium		Risk Champion: Christine Castle			
Risk Owner: Stephen Hilton				Review Note:	

APPENDIX 1

2013/14 Corporate Risk Register (CRR only)

Risk: Potential Unitary Charge Shortfall Declining pupil numbers means that there is a potential significant shortfall in the Unitary Charge to be paid for PFI school buildings, which is to be paid over the remaining life of the PFI scheme (c. 25years).					Risk Code: CRR032
Inherent Status: High (9)		Inherent Risk Severity: High	Inherent Risk Likelihood: High		
Date Identified: 25 Jul 2011			Service: Resource Planning and Performance		
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
On schedule	Approach DfE for contribution	DfE have confirmed that current position will be reconsidered as part of their next spending review	Bob Rutherford	01/08/2011	30/05/2013
On schedule	Commence discussions with PFI companies and schools/academies	Revised arrangements implemented for 2013/14 financial year with further review signaled for 2014/15	Bob Rutherford	22/08/2011	30/05/2013
On schedule	Develop forecasting model	Develop in-depth understanding and robust forecast of model spend.	Bob Rutherford	08/11/2012	30/05/2013
On schedule	Impact of current primary numbers	Current primary pupil numbers will impact favourably on PFI schools by 2016/17. Given the primary pupil population increase, the surplus capacity will be filled by 2016/17. Plans developed to utilise interim capacity.	Bob Rutherford	01/08/2011	30/05/2013
On schedule	Review of operational processes to identify opportunities for savings	In accordance with HM Treasury guidance. Monthly meetings underway to identify opportunities. Opportunities identified in terms of review of service provision. Skills of new finance business partners being used. Review of Utilities in Skanska FM schemes may result in some additional charges. With BAM FM schemes these charges are already resolved.	Bob Rutherford	22/08/2011	30/05/2013
Current Status: Medium (4)		Previous Status: Medium (4)	Current Risk Severity: Medium	Current Risk Likelihood: Medium	
Risk Champion: Craig Bolt			Risk Owner: Michael Branaghan		
Review Note:					

APPENDIX 1

2013/14 Corporate Risk Register (CRR only)

Risk: Changing to a Mayoral authority Risk that the organisation (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					Risk Code: CRR047
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	Development of corporate strategy	A new Corporate Strategy will draw out our over-arching organisational priorities (Mayoral priorities, the Council TOM, MTFP etc), be clear about how we are organised/will re-organise to deliver the priorities and set out how we know whether we've succeeded in achieving our goals, and will provide a framework for individual and team performance within the organisation. A high level steering group will guide the progress of this work.	Paul Taylor	22/01/2013	07/05/2013
On schedule	Ensure Constitution is properly amended to reflect mayoral authority	Constitution revised to reflect the different governance structures of a mayoral authority, to be considered by Full Council on 21 May 2013.	Liam Nevin	01/05/2013	07/05/2013
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. Mayor has finalised Cabinet following the recent local elections. Mayor is making use of task and finish member working groups to consider issues of particular concern, such as affordable housing and the living wage.	Angie Ridgwell	01/07/2012	07/05/2013
Behind schedule	Focused officer support for the mayor	A Mayoral co-ordination team of senior leaders/officers is meeting the Mayor several times a week to facilitate greater joining-up of work and to aid communication. Issues around admin support to the Mayor have been resolved but not yet fully embedded.	Paul Taylor	15/11/2012	07/05/2013
Current Status: Medium (4)		Previous Status: Medium (4)		Current Risk Severity: Medium	
Current Risk Likelihood: Medium		Risk Champion: Christine Castle			
Risk Owner: Nicola Yates				Review Note:	

APPENDIX 1

2013/14 Corporate Risk Register (CRR only)

Risk: Employee relations Disruption to services or unplanned increase in costs as a result of breakdown in employee 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	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	07/05/2013
Current Status: Low (2)		Previous Status: Low (2)		Current Risk Severity: Medium	
Risk Champion: Christine Castle			Current Risk Likelihood: Low		
Risk Owner: Angie Ridgwell			Review Note:		

APPENDIX 1

2013/14 Corporate Risk Register (CRR only)

Risk: 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	18/01/2013
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	18/01/2013
On schedule	Produce and implement co-ordinated local action plan	Plan being developed to address Munro Review. Munro report published on 10 May 2010 and recommendations accepted in the DfE response of July 2011. Work to implement recommendations is underway as Government guidance emerges. Bristol action plan updated - mitigation complete	Jean Pollard	01/04/2009	18/01/2013
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	18/01/2013
Current Status: Review Overdue		Previous Status: High (6)		Current Risk Severity: High	
				Current Risk Likelihood: Medium	
Risk Champion: Craig Bolt			Risk Owner: Annie Hudson		
Review Note:					

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CRR: QUARTER 4 2012/13
RISK IMPROVEMENT - TARGET PROJECTION

SITUATION AS AT QTR4 2012/13					IMPROVEMENT TARGET PROJECTION				
Inherent Risk Status	Current Risk Status	Title	Last Review Date	Risk Owner	Improvement Target Status	Improvement Target Date	Risk owner recommendation		
	High (=> 6)								
9	9	↔	Senior Management Capacity CRR45	07/05/2013	Nicola Yates	2	Q3 2013/14	Retain as live corporate risk. Further potential remaining to reduce risk. Required to develop pro-active action planning to supplement existing mitigation to achieve target status/date.	
9	6	↔	Impact of Economic Climate CRR31	08/05/2013	Nicola Yates	3	Q1 2013/14	Retain as live corporate risk. Aspiration is amber but there are external factors beyond BCC control. Statistical trends to be established, to enable progress to be more objectively assessed and to more accurately determine timescale.	
9	6	↔	Children in need CRR16	13/06/2013	Annie Hudson	4	Planned improvements through delivery of change programme up to 2015	Retain as live corporate risk. Further mitigations and timelines developing through Children First programme.	
9	6	↔	Bristol Change Programme CRR24	07/05/2013	Angie Ridgwell	4	Q1 2013/14	Retain as live corporate risk. Effective mitigation through overarching governance structure, a stringent monitoring regime and control via business cases etc. However there remains a significant tranche of change to be achieved for the future council TOM and cost savings. Require to develop explicit performance metrics.	
6	6	↔	Flood Risk CRR42	11/04/2013	Rick Palmer	↔	The impact of a significant flooding incident is likely to always be High in the foreseeable future.	There is an ongoing programme of works, however at this stage it is not possible to set a realistic target date to reduce this level of risk.	
9	6	↔	Welfare Reform (WR) CRR44	07/05/2013	Angie Ridgwell	3	Q3 2013/14	Retain as live corporate risk. Further potential to reduce risk but much depends on DWP. Require to develop explicit performance measures as basis for monitoring progress towards target risk status.	
	Medium (=> 3)								
9	4	↔	Information security CRR27	16/05/2013	Bernadette Keen	3	Q1 2014/15	Retain as live corporate risk. Changes to ways of working as Bristol Workplace Programme gathers momentum will mean greater usage of mobile devices (tablets etc). This could heighten potential to compromise data security, so risk needs to be kept corporate and live.	
9	4	↔	Educational attainment CRR10	11/06/2013	Annie Hudson	2	Planned improvements through delivery of change programme	Retain as live corporate risk. Partnership approach to engagement with educational stakeholders is of corporate interest.	
4	4	↔	Recruitment, retention and restructuring CRR5	07/05/2013	Richard Billingham	2	Q3 2013/14	Retain as live corporate risk. Given unprecedented level of change which the organisation is experiencing, need to maintain attention on recruitment, retention and restructuring to avoid adverse impact on service delivery while delivering the MTF&S & the change required.	
6	4	↔	Adult Care CRR25	16/01/2013	Alison Comley	↔	No further potential for reduction below actual at Qtr 4 2012/13	Retain as live corporate risk. There is not a realistic prospect of this risk reducing further. Complex relationships between BCC as commissioners and our service providers, as well as the existence of a national regulator which in a state of transition warrant this risks continued monitoring in the CRR.	
6	4	↔	Financial management CRR11	11/04/2013	Peter Robinson	3	Q3 2013/14	Retain as live corporate risk. Mitigations to be revised to reflect 3-year MTF&S, new finance system, PFI funding gap, financial impact of BRT slippage	
9	4	↔	Management and Delivery of Major Infra-structure Projects CRR4	11/01/2013	Rick Palmer	↔	4	There is no further potential to reduce this level of risk, given the scale and complexity of the projects involved.	Retain as live corporate risk. The current level of risk has been achieved through the development and implementation of robust project management, supported by Gateway Reviews. However, given the current period of ongoing change and the need to achieve savings through the MTFP, there is a risk that the current mitigations may be compromised and it would therefore be prudent to continue reporting on this risk until the full impact of the changes are known.
9	4	↔	Civil Emergency CRR13	10/04/2013	Rick Palmer	↔	4	Retain as live corporate risk. The risk exposure cannot be improved any further, and is based on the current structure and level of resources. The impact of the ongoing Transformation Programme and the need to deliver savings through the MTFP, which will reduce corporate resilience, will need to be assessed and may result in the risk being increased (e.g. loss of the Chief Executive, loss of Incident Management Room, Contracted Out Services etc.). There are also a number of outside factors that may raise the status of the risk (e.g. climate change, increase in terrorism activity, political and social instability etc.).	
6	4		Delivery of the capital programme CRR20	30/05/2013	Bob Rutherford	2	Commencement of academic year - Sept 2015	Proposed new risk – to replace and incorporate CRR43 Shortage of Primary School places CRR43. The delivery of extra school places to meet exceptional pupil growth is a key element of the programme	
9	4	↔	Climate Change - future proofing Bristol CRR40	22/05/2013	Stephen Hilton	Target risk to be confirmed	Timetable to be confirmed	Retain as live corporate risk. Target risk and timetable to be confirmed. As part of a review of the Climate Change and Energy Security Framework (to start shortly) we will review and improve the mitigation actions and develop better indicators of risk amelioration	
9	4		Potential unitary charge shortfall CRR32	30/05/2013	Craig Bolt Bob Rutherford	↔	4	Linked to review of national funding methodology 2016	Proposed new risk – risk escalated from DRR to CRR. Significant funding shortfall expected even after actions implemented over the last year and taking into account pupil growth. Government policies, e.g. Free Schools, increase risk in relation to pupil numbers and surplus provision in PFI schools. PFI contracts remain the largest contracts the Council currently has across any of its services and addressing potential funding shortfall needs to be considered as part of the Council 3 year budget process

9	4	↔	Changing to a Mayoral authority CRR47	07/05/2013	Nicola Yates
Low (=>1)					
6	2	↔	Employee relations CRR14	07/05/2013	Angie Ridgwell

3	Q3 2013/14	Retain as live corporate risk. Still in the early days of being a mayoral authority and this risk now combined with the risk previously known as Political Capacity.
1	Q2 13/14	Retain as live corporate risk. There remains still a significant corporate risk on equal pay challenge resulting in increased costs to the organisation and we need to keep monitoring it. To be removed once current outstanding claims are resolved.

DELETED FROM CRR					
			Political capacity CRR29	01/05/13	
			Value for money CRR8	01/05/13	
			Local Enterprise Partnership and City Deal CRR37	01/05/13	
			Performance management CRR38	01/05/13	
			Shortage of Primary School places	01/05/13	
			Significant CYPS revenue budget overspend	01/05/13	
			Health & Safety CRR12	01/05/13	

COMMENTARY	
<i>Please give reason for deletion from CRR, ie unable to lower risk any further/risk dissipated, and transferred elsewhere or simply deleted</i>	
Overlap with risk on Changing to a Mayoral Authority CRR47. Risks combined and Political Capacity CRR29 deleted.	
Value for Money is an embedded underpinning strand of business activity not a standalone risk, so deleted.	
Subsumed within risk on Impact of Economic Climate CRR31 and separate risk on LEP CRR37 deleted.	
There has been a corporate shift to performance reporting against priority outcome which fulfills the risk as originally envisaged, so deleted.	
Proposed deletion of risk – to be combined within new risk Delivery of the Capital programme CRR20	
Transferred to CYPS Directorate Risk Register	
No further potential for reduction. However H&S considerations will be kept under review and the risk reactivated if necessary.	

Key:

↔ No movement in current risk compared with previous quarter

↔ No reduction in projected risk compared with current risk

APPENDIX 3

CHANGES COVERING PAST 12 MONTHS

CORPORATE RISK REGISTER

SUMMARY OF CHANGES IN CURRENT RISK STATUS BETWEEN JUNE 2012 AND JUNE 2013			
RISKS AS AT JUNE 2012	Direction of travel		CHANGES
	Current Status at June 2012	Current Status at June 2013	
Local Enterprise Partnership (CRR37)	4	N/A	Deleted risk at June 2013 – subsumed within risk on Impact of economic climate.
CYPS Significant revenue budget overspend (CRR46)	9	N/A	Deleted risk - transferred to CYPS DRR at June 2013
Economic recovery (CRR31)	6	6	Re-worded risk at June 2013 as :- Impact of economic climate
Bristol Change Programme (CRR24)	6	6	
Senior management capacity (CRR45)	6	9	
Value for Money (CRR8)	4	N/A	Deleted risk at June 2013
Financial Management (CRR11)	4	4	
Performance Management (CRR38)	3	N/A	Deleted risk at June 2013
Health & Adult Social Care overspend (CRR34)	2	N/A	Deleted risk – transferred to HSC DRR at July 2012
Recruitment, Retention and Restructuring (CRR5)	4	4	
Industrial Relations (CRR14)	2	2	Re-worded as :- Employee relations
Health & Safety (CRR12)	2	N/A	Deleted risk at June 2013
Flood risk (CRR42)	6	6	
Civil Emergency (CRR13)	4	4	
Climate Change (CRR40)	4	4	
Management and Delivery of Major Infra-structure Projects (CRR4)	4	4	
Shortage of Primary School places in Bristol (CRR43)	4	N/A	Deleted risk at June 2013 and incorporated within new risk :- Delivery of the capital programme
Information Security (CRR27)	4	4	

**SUMMARY OF CHANGES IN CURRENT RISK STATUS BETWEEN JUNE 2012
AND JUNE 2013**

RISKS AS AT JUNE 2012	Direction of travel		CHANGES
	Current Status at June 2012	Current Status at June 2013	
Payroll IT System (CRR35)	4	N/A	Deleted risk at July 2012
Welfare reform (CRR44)	6	6	
Children in Need (CRR16)	6	6	
Educational Attainment (CRR10)	4	4	
Adult Care (CRR25)	4	4	
Customer Services (CRR41)	1	N/A	Deleted at July 2012
Political capacity (CRR29)	6	N/A	Deleted risk at June 2013 – subsumed within risk on Changing to a Mayoral authority
Housing Benefits (CRR39)	2	N/A	Deleted at July 2012
NEW RISKS SINCE JUNE 2012			
(Reworded existing risk) Delivery of the capital programme (CYPS)		4	June 2013
Potential unitary charge shortfall (CYPS)		4	June 2013
Changing to a Mayoral authority		4	December 2012
(Reworded existing risk) Impact of economic climate.		6	June 2013
(Reworded existing risk) Employee relations		2	June 2013