BRISTOL CITY COUNCIL

Audit Committee

29th January 2016

Report of: Strategic Director Business Change

Report Title: Corporate Risk Register Six Month Review

Ward: Citywide

Officer presenting report: Alison Mullis, J/S Chief Internal Auditor.

Contact Telephone Number: 0117 92 22448

RECOMMENDATION

The Committee review and scrutinise the Corporate Risk Register which is attached to this report at Appendix 2.

SUMMARY

This report presents the third full review of the revised Corporate Risk Register since it was redeveloped in July 2014. Going forward, it is anticipated that the register will be reviewed quarterly by the Strategic Leadership Team with the Audit Committee receiving it twice a year.

The significant issues in the report are:

- The process for reviewing the Corporate Risk Register (Paragraph 2)
- Significant amendments made to the Corporate Risk Register as a result of the review (Paragraph 3)
- A summary of the risk position for each risk (Appendix 1)
- The updated risk management policy (Appendix 6)

Policy

This report is submitted in accordance with the Audit Committee's Terms of Reference which requires the Committee to provide independent assurance to the Council regarding the effectiveness of its strategic risk management arrangements.

Consultation:

> **Internal:** Extended (ELT) and Strategic Leadership Teams (SLT) / Officers/ Executive Board/ Deputy Mayor - Resources
>
> **External:** None

1. Background

1.1. The Corporate Risk Register (CRR) is an integral element of the Council's Strategic Risk Management arrangements and aims to support the delivery of the Council's objectives by setting out the strategic high level risks facing the Council in delivering its plans and how they are ensuring these risks are effectively managed.

1.2. The CRR is used by the Strategic Leadership Team to monitor risk levels and take assurance that all necessary steps are being taken to ensure the risks are managed to a level acceptable to them.

1.3. The Audit Committee last received the CRR to review and scrutinise at their meeting on 25th September 2015. An update has now been completed and can be seen at Appendix 2 to this report. As a reminder, also appended to this report are:
   - The Council's corporate risk matrix (Appendix 3)
   - Guidance parameters used to measure impact (Appendix 4)
   - Guidance parameters used to measure likelihood (Appendix 5)

2. Corporate Risk Register – Review Process

2.1. In reviewing and updating the CRR, the following process has been undertaken. The review was facilitated and co-ordinated by Internal Audit staff who have also provided an element of independent verification and challenge concerning the status of mitigations and further actions included in the register.

ELT
- **10th November 2015:**
- The Extended Leadership Team (ELT) overviewed the regiser to identify any new/emerging risks or any risks which needed refocussing/removing from the register
- Overviewed the positioning of the risks on the risk matrix to ensure these were still reflective of the levels of risk.

Officer Review
- **November - December 2015**
- Each officer named as a Responsible Officer has reviewed the entries to confirm , or other wise, that the current mitigations remain effective (on schedule) and provide a progress report for implementation of action plans previously agreed.

Risk Owner
- **December 2015**
- Each Risk Owner has overviewed their updated risk to ensure it accurately reflects the position and risk level.

SLT
- **5th January 2016**
- The Strategic Leadership Team (SLT) have reveiwed the register to ensure it is reflective of their views of the Councils Strategic Risks and ensures priority actions are in place to manage the risks.

Deputy Mayor
- **6th January 2016**
- The Deputy Mayor (Finance and Resources) has reviewed the Register

Exec Board
- **12th January 2016**
- The Executive Board have reviewed the CRR to ensure it is reflective of risks and that risk levels are acceptable.

Audit Committee
- **29th January 2016**
- The Audit Committee will review and scrutinse the Corporate Risk Register

3.   Summary of significant amendments made to the Risk Register

3.1   As a result of the above process, the following amendments have been made to the CRR:

- Risk 2 – Organisational Achievement and Resilience – the risk level has reduced due to an increased number of effective mitigations and further actions are clearly progressing. However the external threat level from cyber-attacks is increasing and the register has been updated to include this.

- Risk 5 – Community Resilience – the risk level has increased due to changes in relation to Welfare Reform.

- Risk 6 – Finance – the risk level has increased due to current absence of key staff, some slippage in further actions and the potential impact of Welfare Reform changes on income collection.

- Former Risk 9 - Partnerships - the various elements of this risk have been moved to the risk headings that they relate (Risk 3 Governance, Risk 9 Devolution) to better reflect that Partnerships are part of the solution as opposed to the risk.

- Risk 9 – Devolution – this was a newly identified risk area and the register has now been updated with current mitigations and further actions.

- Risk 10 – Delivering Democracy – the current risk level has reduced to amber due to the progress made with regards to the further actions identified and additional mitigations now in place.

The current risk levels for the following risks have stayed the same:

- Risk 1 – Safeguarding – some actions are yet to be fully implemented and coupled with the serious nature of the potential impact, background of ongoing changes to legislation and work load pressures it was not felt that the current risk level had reduced.

- Risk 3 – Governance – progress has been made but this has been balanced by current absences of key staff absences and the incorporation of risks relating to partnerships.

- Risk 8 – Demographic and Service pressures – implementation dates for the majority of further actions identified have not yet been reached.

- Risk 11 – Traded Companies – newly added to the risk register and would not expect a reduction in risk level at this stage as identified mitigations need time to become embedded and further actions to be progressed.

3.2   The risks in the Corporate Risk Register are by their nature, often medium to long term risks for the Council and as such it is not anticipated that each review will result in significantly different risk levels. However, further actions recorded in the risk registers should ensure the target levels of risk are

achieved over time. Appendix 1 of this report summarises the risk levels and direction of travel for each risk.

4.   Risk Management Policy:

4.1   The Risk Management Policy has been in place for just over 12 months. The views of ELT on its effectiveness and any improvements needed have been sought. A revised policy is included at Appendix 6. The amendments include clarifying the Council's risk appetite and tolerance and strengthening the links between the CRR and Directorate Risk Registers.

Other Options Considered

None necessary

Risk Assessment

Robust and effective strategic risk management arrangements are essential in helping the Council manage its business and deliver its priorities.

Equalities Impact Assessment

None necessary for this report

Environmental Impact Assessment

None necessary for this report

Legal and Resource Implications

Legal - none sought

Resource - None arising from this report

Appendices

- Appendix 1   Risk and Risk Movement Summary
- Appendix 2   Corporate Risk Register
- Appendix 3   Risk Matrix
- Appendix 4   Guidance parameters used to measure impact
- Appendix 5   Guidance parameters used to measure likelihood
- Appendix 6   Updated risk management policy

LOCAL GOVERNMENT (ACCESS TO INFORMATION) ACT 1985

Background Papers   None.

Summary of Corporate Risk Movement/Direction of Travel

	Risk Title	Risk Level Dec 2014	Risk Level July 2015	Risk Level Dec 2015	Target Risk Level (Risk Horizon)	Direction of travel
1	Safeguarding	Possible/ Critical (9)	Possible/ Critical (9)	Possible/ Critical (9)	Unlikely/Critical (6) (Current and ongoing)	⬅➡ Neutral – no change. Some actions are yet to be fully implemented and coupled with the serious nature of the potential impact, background of ongoing changes to legislation and work load pressures
2	Organisation Achievement and Resilience	Possible/ Critical (9)	Possible/ Critical (9)	Possible/ Critical (9)	Possible/ Significant (6) (1 – 3 Years)	⬇ Risk Reducing. Decreased due to mitigating actions completed / progressing.
3	Governance	Probable / Significant (8)	Probable / Significant (8)	Probable / Significant (8)	Possible/ Significant (6) (Current and ongoing)	⬅➡ Neutral – no change. Progress has been made but this has been balanced by current absences of key staff and the incorporation of risks relating to partnerships.
4	Infrastructure	Probable/ Catastrophic (16)	Probable/ Critical (12)	Probable/ Critical (12)	Possible /Critical (9) (5-10 Years)	⬇ Risk Reducing. Decreased due to mitigating actions completed / progressing.
5	Community Resilience	Probable / Critical (12)	Probable / Critical (12)	Likely / Critical (15)	Possible /Critical (9) (5 – 10 Years)	⬆ Risk Increasing. Increased due to Welfare Reform changes.

#	Risk					Direction of Travel
6	Finance	Possible/ Critical (9)	Possible/ Critical (9)	Possible/ Critical (9)	Possible/ Significant (6) (1 – 5 Years)	Risk Increasing — Increased due to current absences of key staff, some slippage in further actions and the potential impact of Welfare Reform changes on income collection.
7	Educational Attainment	Possible / Critical (9)	Possible/ Critical (9)	Possible/ Critical (9)	Unlikely/ Critical (6) (2 – 4 Years)	Risk Reducing — Decreased due to mitigating actions completed / progressing.
8	Demographic and Service Pressures	Possible /Critical (9)	Possible/ Critical (9)	Possible/ Critical (9)	Unlikely /Critical (6) (2 – 4 years)	Neutral – no change — Implementation dates for the majority of further actions identified have not yet been reached.
9	Devolution	N/A	N/A	Likely / Critical (15)	Possible/ Critical (9) (1-5 years)	New risk therefore direction of travel assessment not applicable.
10	Delivering Democracy	N/A	Likely / Critical (15)	Possible/ Critical (9)	Possible / Significant (6) (1 year)	Risk Reducing — Decreased due to mitigating actions completed / progressing.
11	Trading Company Operations	N/A	Possible/ Critical (9)	Possible/ Critical (9)	Unlikely /Critical (6) (2-5 years)	Neutral – no change — Newly added to the risk register and would not expect a reduction in risk level at this stage as identified mitigations need time to become embedded and further actions to be progressed.

Appendix 2 - CORPORATE RISK REGISTER – Version Dec 2015.2

	Risk Description, Causes, Consequences and Horizon	Risk Owner	Current Risk Management Arrangements (Current Mitigation) Responsible officer (RO):	Status of Current Mitigation	Current Risk Like/Imp	Target Risk Like/Imp	Further Actions Required	Time frame for Action	Responsible Officer for Action	Risk Review Period
1.	**Safeguarding**									
	Risk Description: The Council fails to ensure adequate safeguarding measures are in place, resulting in harm or death to a vulnerable adult or child.

Causes Lack of adherence to procedures, poor practice, lack of capacity.

Consequences Culpable for harm or fatality of vulnerable person. Litigation. Financial costs. Reputational damage.

Horizon: Current and on-going | John Readman | Safe recruitment processes / Disclosure and Barring Service checks for staff working with vulnerable adults, children and monitoring of commissioned services is robust.

The Safeguarding Boards (Adults and Children) maintain oversight; monitoring performance, quality and learning from serious incidents; deliver training and lead on key strategic priorities, providing scrutiny and challenge where required. Both are independently chaired

RO = Mike Hennessey/Hilary Brooks

<u>Vulnerable Adults</u>

Best practice outlined in the Care Act 2014 is embedded in processes which are monitored and refinements made to as needed.

Strong relationship with regional Quality Surveillance Group and Care Quality Commission. Six weekly meetings take place to collate intelligence to inform decision making around registered providers.

Provider accreditation and quality assurance framework is in place for all providers.

A Contracts and Quality Service Manager is in post and responsible for overseeing the quality of services delivered.

Work with the Voluntary and Community Sector and Health watch to support our Quality Assurance function. RSVP have been commissioned to do this.

RO = Mike Hennessey

Thresholds guidance, accreditation and other key policies and Quality Assurance Frameworks are implemented. These are regularly reviewed in line with Care | Ongoing

Ongoing

Ongoing

Ongoing

Ongoing

Ongoing

Ongoing

On schedule | **Possible/ Critical**

(9)

Risk Direction Neutral

⬌ | **Unlikely/ Critical**

(6) | Independent chair of Bristol Safeguarding Adult's Board is overseeing an overhaul of the Board including a new preventative strategy; a revised Terms of Reference of sub groups; sorting and securing chief officer buy in; and working with the Bristol Safeguarding Children's Board to secure a single unit to work with both boards.

<u>Vulnerable Adults</u>

Full roll out of updated approach to Making Safeguarding Personal to be completed following the successful recent pilot. This is now being utilised across a number of teams.

The Quality Assurance Framework is in the process of being implemented and some aspects are being discussed with providers to ensure joined up working.

. | 30th Sep 2015 revised date Mar 2016

30th Nov 2015 revised date Mar 2016

March 2016 | Mike Hennessey / Hilary Brooks

Mike Hennessey

Mel Rogers | Quarterly reporting to SLT, Cabinet as part of normal business.

ELT to review quarterly as part of quarterly risk register review. |

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			Assurance.							
			RO = Hilary Brooks/Mike Hennessey							
			Work with practitioners by effective use of continuing professional development, performance and supervision to ensure clarity of functions and understanding and implementation of best practice. Use professional capabilities framework to evaluate practice.	On schedule						
			RO = Hilary Brooks/Mike Hennessey							
			Children							
			An Early Help Service is now in place for children's services using a triage process to ensure that needs are met early, costs are minimised and pressure on social care is reduced.	On schedule						
			Comprehensive workforce development programme has been implemented	On schedule						
			Children's Service Improvement plan is in place and focussed on key areas for improvement for safeguarding and children in care services. Implementation of the plan is overseen by an Improvement Board.	On schedule						
			A Child Sexual Exploitation Strategy led by the Bristol Safeguarding Children Board is in place and its effectiveness is being monitored.	On schedule						
			RO = Hilary Brooks							
			Housing - Reducing Homelessness				Develop commissioning process for emergency accommodation needs in longer term. Joint Process with South Glos underway. 15 bids from contractors received, now being evaluated. Aim is to create more capacity. In the system and competition between providers. Intended to operate from 1 April 2016. All on schedule.	March 2016	Gillian Douglas	
			Working with private sector and voluntary and community sector providers to ensure an adequate supply of emergency accommodation for families. St Mungo's Broadway is commissioned to deliver outreach services to rough sleepers and a severe weather emergency protocol (SWEP) is in place to support rough sleepers if there is severe weather.	On schedule but ongoing signs of service pressure.						
			Housing Advice – Website self service information is available for people affected by homelessness. Advice and guidance is	On schedule						

	Risk Description, Causes, Consequences and Horizon	Risk Owner	Current Risk Management Arrangements (Current Mitigation) Responsible officer (RO):	Status of Current Mitigation	Current Risk Like/Imp	Target Risk Like/Imp	Further Actions Required	Time frame for Action	Responsible Officer for Action	Risk Review Period
			also available to citizens through the CSP at 100 Temple Street.							
			Ongoing location of a Social Worker in Housing Advice to respond to 16/17 year olds affected by homelessness. Joint working/training between Early Help and Housing Options is being monitored to ensure this interface is effective. Monitoring indicates is effective as service well used. **RO = Gillian Douglas**	On schedule						
2.	**Organisational Achievement and Resilience**									
	Risk description: The Council fails to maximise opportunities afforded by the Single Change Programme to deliver and achieve the Mayoral and corporate objectives and maintain its resilience into the future. Cause: Costs outweigh benefits realisation. Pace of delivery is too slow. Insufficient resilience for continued delivery of services. IT failure. Consequences: Opportunities not realised. Organisation remains unfit for purpose. Reputational damage. Savings not realised in full. The Council is bankrupted. Interruptions to business continuity. Failure to meet statutory duties. Horizon: Short term – 1 – 3 years	Max Wide	A Single Change Board, led by the Strategic Director – Business Change and supported by professional expertise in the Programme Management Office has been established to oversee the change programme. The Board meets fortnightly and is made up of senior management including all of SLT and Service Directors. The Board monitors progress and reviews the effectiveness of the change projects including monitoring the level of savings. Progress 'exceptions' are flagged and discussed for issues resolution. Key projects designed to ensure the Council has resilience going forward and is fit for purpose have been identified and the progress of each project is monitored monthly by the change board. Each project has been assigned an accountable Service Director, supported by a project manager. Each change project is also assigned a member of the Enterprise Architecture and Design Team to ensure the use of new technologies supports service re-designs and maximises digital service delivery. Emerging risks are identified to the Change Board in 'raid logs' and decisions made/actions determined to address these risks. **RO = Max Wide/Paul Arrigoni** The Council has re-organised to achieve a structure that is affordable. A People Panel is in place to ensure the	On Schedule On schedule On schedule On schedule There are several areas where capacity	Possible/ Critical (9) Risk Decreasing	Possible/ Significant (6)	Roll out of Applied Programme for Service Improvement to all service managers to ensure services better manage demand and maximise use of joint working in service delivery. The Applied Programme Improvement has been rolled out to four cohorts of service managers with a range of service improvements currently being implemented. Further cohorts will commence in early 2016 and reports on progress will be regularly made through Change Board. A further £14.9m of service redesign benefits need to be delivered in 2016/17 to complete delivery of the programme. Change board has actions in place to establish firm delivery plans for this work. The redesigned individual performance management framework was rolled out in July 2015 and is now being used to capture staff objectives and performance. Full benefit will be seen in 2016-17 Work now ongoing to support managers to use the system to	March 2016 March 2016 January 2016 April 2016 April 2016	Max Wide Max Wide Max Wide Richard Billingham Richard Billingham	Reviewed weekly by Single Change Board. Regular progress reporting to Cabinet established ELT to review quarterly as part of quarterly risk register review.

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			organisation structure remains affordable and that cost is only added back where service demand requires it. The Panel meet weekly to review and approve amendments to the organisation structure. HR staff will not process recruitments without a people panel approval. **RO = R Billingham**	issues have arisen following restructure and difficulty in recruiting skills needed has been experienced.			record performance management objectives. First review period will commence in April 2016 with new objectives set for 2016/17.			
			New individual performance management framework in place that includes an online system that will provide assurance management information on qualitative and quantitative performance management measure.	Embedding			A new Workforce Planning approach will enable the analysis of the impact on recruitment and retention of the upturn in the local economy at the same time as further austerity measures are implemented across Local Government. Determine the current and likely future impact that will have on the Council's capacity and expertise to deliver services across the Council.	February 2016	Richard Billingham	
			Ongoing annual review of impact on recruitment and retention of state of local economy. **RO = R Billingham**	On schedule			A review of pay, reward and benefits is currently underway to ensure that BCC's employment proposition is competitive in the local employment market, in particular for senior 'hard-to-fill' roles. The review will be reflected in the 2016 Annual Pay Policy Decisions needed on whether to develop service plans for period from April 2016 to cover until a new Corporate Plan is in place.	February 2016	SLT	
			Progress has been made in ensuring plans are in place linking corporate plan outcomes and strategic themes to directorate, team and individual activity. Plans are now in place for 2015/16 including those for Mayor's themes.	Ongoing						
			Progress has been made in ensuring the suite of PIs is up to date and used effectively to manage performance and take timely mitigating action as required. Suite of indicators is now in place for 2015/16. Monitoring ongoing through quarterly reports **RO = Patricia Greer**	Ongoing			A process and timing needs to be developed and agreed to develop the next corporate and business plan after the mayoral election.	April 2016	Patricia Greer	
			A Corporate complaints system is in place to monitor areas where service delivery is not to standard for remedial action. A new system went live October 2015 and appears to be working well. **RO = Vanessa Blake**	Ongoing			There is now a full pipeline of new digital services being delivered. The delivery capacity of the organisation needs to be expanded by bringing in more resource from our suppliers so we can ensure we have the capacity to deliver at the pace the	January 2016	Paul Arrigoni	

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			The Employee Assistance Programme offers a confidential support service to staff but also monitors the impact of the redesigned organisation structure on the workforce. Monitoring aims to identify demand pressures in the structure which may need review. Additionally, managers are required to ensure all staff completes a workplace pressure assessment which will highlight areas where the organisation structure needs review. The results of these reviews are reported quarterly to HR and H&S sections for appropriate action. **RO = R Billingham**	Ongoing			organisation requires, Change Board has approved moving from 2 to 4 delivery teams for a period of around 6 months.			
			The council has invested in new technology to facilitate digital delivery of services and improve efficiency of working practices/processes.	On schedule						
			The Applied Programme for Service Improvement is designed to build capacity and capability across the organisation going forward. The Programme aims to ensure that all key change projects result in service re-design that: • Maximises the opportunity for digital service delivery • Aligns to customer needs • Minimises costs of service provision A new web site enabling full digital transactions went live in October 2015. **RO = Paul Arrigoni/Gavin Beckett/S Johnston**	Ongoing						
			Information security officer constantly reviews the IT security threat level to the Council.	Ongoing						
			Arrangements in place to respond to cyber attacks. **RO = Bernadette Keen**	Ongoing						

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3.	**Governance**									
	Risk description: The Council fails to comply with internal controls and to effectively meet the framework of obligations within the statutory Annual Governance Statement and the Code of Corporate Governance. **Cause:** Culture of non-compliance. Lack of adherence to financial/legal procedures. Conflicts between policy and key decisions. Insufficient business planning/ performance/risk management data and processes. Partnership governance poses particular difficulties where there may be a mismatch between culture, ambitions and priorities of different partners **Consequence:** Legal or financial non-compliance. Reputational damage. Loss of political confidence. Outcomes are not delivered. Special measures are enforced. Processes result in inefficiency and officer time wasted in servicing a bureaucracy. For partnerships lost opportunities – strategic and financial and failure to agree and deliver sub-regional aims. **Horizon:** Current and on going	Max Wide	The Council has a constitution which sets out how the council operates and its decision making processes. The Constitution is reviewed annually in May and as necessary when issues requiring clarity are identified. The 2015 review was completed consulting with Party leaders and the constitution updated on the new website. **RO = S Daya** The Senior Leadership Team is in post and providing strong leadership capacity. Statutory Officers have been appointed: • Head of Paid Service • Monitoring Officer • Section 151 Officer • Director of Public Health • Children and Adult Services • Senior Information Risk Owner • Scrutiny Officer The officers meet approximately six weekly with the City Director to discuss and resolves issue of governance or non-compliance. Chief Internal Auditor also attends as appropriate. Monitoring officer reviews statutory complaints against Councillors and legal requirements. These are reported periodically to the Audit Committee. A Policy, Strategy and Communications Team is in place to ensure the Mayor's and Council's ambitions are effectively translated into strategic plans and a policy framework and that there are measures in place to monitor progress in achievement of these ambitions. The Corporate Plan is publically available on the Council's web page. A Forward Plan is in place to regulate that decision reports are written in good time to enable appropriate legal and other advice to be obtained before consideration. The 'Decision Pathway' sets out clear guidance	On schedule On schedule except Monitoring Officer and Scrutiny Officer are currently interim On schedule On schedule On schedule. However Service Director is seconded with an interim in place On Schedule	**Probable/ Significant** **(8)** **Risk Direction Neutral** ⟷	**Possible/ Significant** **(6)**	Action plan to address issues and recommendations raised following review by the Centre for Public Scrutiny to be implemented. 10 recommendations were made, 7 have been addressed, with 3 in progress for completion by March 2016. Develop a complete list of the Council's key policies including statutory and non-statutory policies and monitoring when these policies require refreshing. Further develop annual scrutiny work plans into a 3 year rolling plan for policy development and review by Scrutiny. Rescheduled to after the elections. Strengthen Financial governance: • Review of financial regulations and schemes of delegation. This will now be considered as part of the 2016 review of Constitution • Upgrade of HR and Payroll systems	31 March 2016 January 2016 October 2016 Slippage from Aug 2015 to May 2016 Slippage from Dec 2015 to April 2016	Andrea Dell Kay Russell Andrea Dell Julie Oldale (interim S151) Julie Oldale (interim S151)	DLT Quarterly

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			to officers of the required consultation that must take place for each type of decision required. This includes the whole process from inception of a new idea to full approval by Cabinet and Council. **RO S Daya / A Dell**							
			Full Council and Cabinet meetings include provision for public and Councillor questions to be responded to at the start of each meeting. User guides are available to help those wishing to raise questions, file petitions etc. **RO = S Daya**	On Schedule						
			An Overview and Scrutiny Management Board (OSMB) oversees an annual work programme of four scrutiny commissions that mirror the Council's Directorate Structure. Each Directorate Scrutiny Commission meets 10 times a year with OSMB meeting 4 times each year. **RO= P Greer**	On Schedule Work developing.						
			Overview and Scrutiny monitor achievement of strategic ambitions via reports detailing progress against top level performance measures. These reporting arrangements continue to develop and focus on the departmental scrutiny commissions to ensure the detail information and action is available at the right level of the organisation. **RO = M Wakefield**	On schedule						
			Directorate Risk Registers are in place and regular reporting ensures robust scrutiny of those registers: • Quarterly review by DLT's • 6 monthly submission for Directorate scrutiny and challenge • Annual submission to Audit Committee for assurances that Directorate risks are identified and managed. **RO Strategic Directors**	On Schedule						
			A team of Finance Managers are in place who are responsible to ensure compliance	Behind schedule						

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			with Financial Regulations and that robust financial governance arrangement are in place. The S151 Officer oversees that the Finance Managers are carrying out this role effectively. **RO – Julie Oldale (interim S151)**							
			A non-pay panel is in place to ensure that expenditure incurred by the Council is necessary and provides value for money. **RO – Alison Comley**	On schedule						
			Internal Audit completes a programme of work to provide assurance around control and compliance. Where there is continued non-compliance, matters are escalated to Senior Management and the Audit Committee. **RO = A Mullis/ M Henchy-McCarthy**	On schedule						
			Partnerships Mapping of all of the local partnerships and partnership boards which the Council is a member of is underway including those which are statutory, non-statutory and distinguishing between those which are aiming for 'system change' to ensure that there is complete visibility on the partnerships that the Council has entered into and the commitments or decision making route for each. This will also provide the opportunity for the Council to review its membership of partnerships to ensure that resources are focused effectively. This work is clarifying the resources required to run partnerships and the decision making route into the 'top tier' of partnerships which are aiming for system change.	Mapping of high level partnerships is complete. Mapping of lower level partnerships to be completed by 31 March 2016. Mapping and reviewing the hierarchy between the levels will be complete by 31 March 2016.			Agreeing a shared suite of measurements with partners that capture both financial value and social value. Establishing a written agreement with local health partners on actions that will be taken if evaluation of joint projects shows a need for a shift in funding across the health and social care 'system'. Developing a Partnership Toolkit to be used in conjunction with a policy on Social Value."	31 March 2016 31 March 2016 31 March 2016	Patricia Greer John Readman (for Better Care Bristol) Patricia Greer	ELT to review 6 monthly. Possible focus session at ELT on whether we should be increasing partnership working.
			A process for staff to follow before the Council can be committed to a new partnership is being drawn up and will be in place by 31 March.	Ongoing from April 2016			Develop a stronger evidence base which demonstrates the benefits of partnership working.	31 March 2016	Patricia Greer	
			All ongoing partnerships will in future be required to develop an annual strategic	On schedule			Members and senior management to meet in	On-going	Nicola Yates	

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			action plan that demonstrates the links with the Council's Corporate Plan and show achievement against the priorities in the same. **RO = Patricia Greer/Kay Russell**				informal settings to debate opportunities for partnership working and provide leadership which promotes a culture change towards delivering services jointly wherever possible and appropriate.			
4.	**Infrastructure**									
	Risk description: The Council fails to generate the investment necessary to maximise its influence upon the delivery and maintenance of a sustainable infrastructure which will support the City to grow and prosper. **Cause:** Reduced public sector funding impacting on the resources available. Lack of adequate strategic planning and resources. Lack of resilience to external factors beyond Council's influence e.g. changes in demand, rapidly growing population, the age profile of the population, legal challenges, and climate change. Lack of political / community buy-in. Lack of joined up planning / decision making / effective project management. **Consequence:** The City is unable to grow and prosper. Impact on community. Reputational damage.	**Barra Mac Ruairí**	The Capital Programme Board, constituted of the Strategic Leadership Team, meets monthly to ensure capital investment is effectively prioritised to programmes and projects aimed at delivering and maintaining a sustainable infra-structure. The Board routinely reassess and challenge the capital commitment and project slippage.	On schedule	**Probable/ Critical** **(12)**	**Possible / Critical** **(9)**				
			Additionally a number of strategic infrastructure projects are identified for delivery as part of the Strategic Economic Plan (SEP). This plan was published in July 2014 and major projects have achieved sign off. Uncertainties around funding continue for some of the projects, although there has been major success in securing funding for others (e.g. Metrobus, MetroWest, Terabit West and Avonmouth & Severnside).	On Schedule	**risk reducing**					
			A major projects Unit within the Place Directorate has been established which secures the co-location of key teams delivering key infrastructure projects.	On schedule						
			A Programme, Project and Performance Board has been established to have oversight of all programme and project work. The Board meets monthly and receives highlight reports in respect of each programme area. **RO: Barra Mac Ruairí**	On schedule						
			4.1 Transport Infrastructure							
			i) Joint Local Transport plan in place providing a robust policy basis.	Achieved			Joint Local Transport Plan is due to be refreshed during 2016. Study work is under way jointly with the four regional local authorities.	December 2016	Tracey Dow	Quarterly except where indicated

	Risk Description, Causes, Consequences and Horizon	Risk Owner	Current Risk Management Arrangements (Current Mitigation) Responsible officer (RO):	Status of Current Mitigation	Current Risk Like/Imp	Target Risk Like/Imp	Further Actions Required	Time frame for Action	Responsible Officer for Action	Risk Review Period
	Loss of confidence in the Council and the city.						Consultation later in 2016.			
	Future investors are not attracted to Bristol. Operational impacts e.g. Transport problems. Long term uncertain revenue returns on finance borrowing for capital schemes. Risk of flooding. **Horizon:** Medium to long term		ii) Funding for each of the three MetroBus projects and integration programme has been agreed by Government. All three projects now in construction phase and due for completion by mid-2017.	On schedule			Delivery of infrastructure, through the £9.5 million of negotiated funding, that provides significant advantage to pedestrians, cyclists and public transport users to reduce the car reliance of Cribbs Patchway New Neighbourhood and therefore minimise the negative impacts of this development.	Governance Structure BCC & SGC December 2015 Delivery from 2016/17 onwards	Peter Mann	
			iii) A Joint Transport Board is in place to oversee delivery of the major scheme work programme (not just MetroBus). The board, comprising all four WoE authorities and LEP business reps, meets quarterly to review progress and resolve issues.	On Schedule						
			iv) The Board is supported by a MetroBus Programme Assurance Board (PAB) of strategic officers from each of the four sub-regional local authorities. The PAB reviews progress of the transport projects included in the programme.	On schedule						
			v) Governance arrangements for Metrobus, including decision making guidance, are set out in the Programme Manual.	On schedule						
			vi) Each Project in the Metrobus programme has a project board with representatives from each local authority. The boards meet together each month along with the Integration Board to make decisions and collaborate on progress.	On schedule						
			vii) Legal agreements with partner authorities are in place for the MetroBus programme.	On schedule						
			viii) Gateway Reviews are regularly conducted for the Metrobus programme overall, and for each of its constituent projects. Actions arising from these reviews are built into project plans.	On schedule						

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			ix) Transport Further work to be programmed to assess the overall condition and cost of maintenance and renewal of existing transport assets including traffic signals, traffic control systems and structures including bridges, retaining walls and multi-storey car parks. **RO: Peter Mann**	Schedule to be set						
			4.2 Housing							
			i) Assess and deliver to objectively assess housing need via effective Local Plan policies. Production of the West of England Joint Planning Strategy, taking on board the outcomes of the Strategic Housing Market Assessment (SHMA) **RO: Zoe Willcox**	On schedule			Joint Spatial Plan Strategy pre-commencement from January 2015 and Preferred Strategy consultation from September 2016. Review of BCC Core Strategy housing provision by June 2016	September 2016 June 2016	Zoe Wilcox Zoe Wilcox	
			ii) Affordable Housing Programme Board and Bristol Retirement Living Board receive monthly exception reports to ensure that programmes are effectively implemented and annual delivery targets met**.**	Ongoing			.			Six Monthly
			iii) An Affordable Housing Delivery Framework (AHDF) Action Plan which takes into account the Homes Commission recommendations is in place and approved by Cabinet. The Action Plan was reviewed by Scrutiny in January 2015 and a new framework and programme of delivery from September 2015 published. **RO: Alistair Reid**	Achieved			Review affordable housing delivery strategy to identify alternative viable delivery models in response to recent policy changes.	March 2016	Alistair Reid	
			4.3 Cultural / Education							
			i) Developing a cultural infrastructure that promotes Bristol as a major European cultural destination will ensure inward investment. Funding secured for cultural infrastructure from Heritage Lottery Fund (HLF), Arts Council and Association for	On Schedule			Decision on future direction of Colston Hall Planned developments are in place for the Arena, Old Vic and Colston Hall but a review of the other capital requirements is required.	Spring 2016	Alistair Reid	

		Risk Description, Causes, Consequences and Horizon	Risk Owner	Current Risk Management Arrangements (Current Mitigation) Responsible officer (RO):	Status of Current Mitigation	Current Risk Like/Imp	Target Risk Like/Imp	Further Actions Required	Time frame for Action	Responsible Officer for Action	Risk Review Period
				Cultural Enterprises. (ACE). This has led to planned development of the city's key cultural venues including funded projects at the Arena and Bristol Old Vic. Proposed projects include amongst others Colston Hall refurbishment, Bristol Museum and Art Gallery refurbishment. **RO: Alistair Reid**							
				ii) School Organisation Strategy 2013 to 2016 to ensure meeting of statutory duty for pupil places. Annual monitoring of pupil projections / estimates for unforeseen fluctuations in 'quality of life' factors. **RO: Paul Jacobs**	Ongoing						
				iii) Develop and implement the new Integrated Education and Capital Strategy 2016 to 2022. The Strategy will define the required works & be supported by data. This can be used to attract the correct level of funding. **RO: Alistair Reid / Paul Jacobs**	On schedule			The draft Strategy is out for consultation. Strategy and initial capital schemes using available funding to be approved by the Mayor through the Learning City Partnership Board in January 2016. The Strategy is being shared with the Education Funding Agency, Department for Education and Regional Schools Commissioner to seek their support in influencing funding for Bristol. There remains a high risk that the funding available will be insufficient to deliver the new Integrated Education & Capital Strategy 2016 to 2022. This would lead to a failure to meet our statutory duty to provide sufficient school places and Learning City aspirations. The development of a robust strategy remains therefore of key importance.	January 2016	Alistair Reid and Paul Jacobs	March 2016
				iv) Programme 3, delivering the outcomes of the new Integrated Education and Capital Strategy 2016 to 2022, may require realignment should future pupil projections change through birth rate, improved economy and/or changes in teaching standards, or other.	Ongoing						

	Risk Description, Causes, Consequences and Horizon	Risk Owner	Current Risk Management Arrangements (Current Mitigation) Responsible officer (RO):	Status of Current Mitigation	Current Risk Like/Imp	Target Risk Like/Imp	Further Actions Required	Time frame for Action	Responsible Officer for Action	Risk Review Period
			Ongoing monitoring of pupil projections / estimates for unforeseen fluctuations in 'quality of life' factors. Changes to pupil numbers are likely to change the magnitude of spend and delivery programme. The consequences of any increase, or reduction, in spending commitment and possible failure of the Authority's statutory duty to provide sufficient pupil places - resulting in Judicial Review. Reputation to Bristol; **RO: Alistair Reid/Paul Jacobs**							
			4.4 Energy							
			The Council has an Energy service which manages the energy infrastructure for the City. The Service works to a programme of 5 key theme areas each with a programme manager: • Domestic Sector Energy efficiency; • Investments (e.g. in renewable energy and managing our own corporate energy demand) • Energy supply (purchase of energy, carbon reduction, energy consumption) • Environmental Performance • Infrastructure (heating and power networks, alternative power sources) Clear outcomes from each theme are measured and reported to the Programme, Project and performance Board on a monthly basis. Financial reports and forecasts are also prepared monthly. Bristol Energy a separate energy company created to enable strategic management of the City's energy, drive forward economic prosperity/ social equality and reduce environmental impact of energy consumption has now been established and is trading. **RO: Bill Edrich**	On schedule Ongoing			Feasibility study commissioned concerning the options for protecting a National Oil Pipeline from potential for wind turbine damage. The option report done by the independent consultant that provides advice to the pipeline agency will be completed by February 2016, which will summarise a course of action to reduce the risk of the wind turbines damaging the pipeline based upon the most probably risk profile. £20m of insurance purchased to cover liability maybe amended after the short risk assessment.	February 2016, slipped from August 2015	Bill Edrich	
			4.5 Environment							

	Risk Description, Causes, Consequences and Horizon	Risk Owner	Current Risk Management Arrangements (Current Mitigation) Responsible officer (RO):	Status of Current Mitigation	Current Risk Like/Imp	Target Risk Like/Imp	Further Actions Required	Time frame for Action	Responsible Officer for Action	Risk Review Period
			i) The Council uses an Eco Management and Audit Scheme (EMAS) to identify and drive environmental improvements, prevent pollution and ensure legal compliance. The scheme is British Standard 14001 compliant and is regularly inspected by external regulators.	On Schedule			Most recent audit November 2015 successfully completed. Short update to Place DLT on 23/12/15. Next audit due May 2016: all teams due to be audited will be briefed/ prepared as necessary. Short up-date to Place DLT and if appropriate SLT. Key risk is the preparation of evidence that the Council is responding to the identified issue of awareness of Environment legal requirements as part of staff's job description and roles and responsibilities.	On-going through 2016	Bill Edrich	
			ii) Product supply chains have been identified but now require audit.				Environmental performance team to undertake audits of our supply chain concentrating on the services with the highest risk. Typically these are: • Products sourced from overseas developing countries • Products that have lots of supply chains / sub-contractors • Services that we procure from third parties rather than direct deliver. Report results to SLT.	Initial start meeting January 2016, slipped from October 2015	Bill Edrich	
			iii) Watching brief on the on-going crisis in Ukraine and Russian involvement. **RO: Bill Edrich**							
			4.6 Flooding							
			i) Joint working with South Gloucestershire and other key agencies and stakeholders to identify preferred option for managing flood risk in the Avonmouth / Severnside Enterprise Area. Outline defence options study complete, Project Manager (joint S.Glos and BCC). Funding streams agreed to deliver detailed designs and business case	On Schedule			Deliver ASEA infrastructure phase 1 – development of detailed designs and business case.	July 2015 – April 2017	Zoe Willcox / Peter Mann	Annual

	Risk Description, Causes, Consequences and Horizon	Risk Owner	Current Risk Management Arrangements (Current Mitigation) Responsible officer (RO):	Status of Current Mitigation	Current Risk Like/Imp	Target Risk Like/Imp	Further Actions Required	Time frame for Action	Responsible Officer for Action	Risk Review Period
			ii) Investment in maintenance of existing flood defence infrastructure in the city centre. Feasibility study for improved City Centre defences completed. Funding secured to develop business case for strategic scale flood defences.	On Schedule			Business Plan and Strategy expected spring / summer 2016.	Spring / Summer 2016	John Roy	Annual
			iii) Lack of information on the condition and ownership / responsibility for existing flood assets in and along the River Avon. Need for a costed asset management plan to be developed and implemented. **ROs: Zoe Willcox / Peter Mann**	Behind Schedule			The situation is still being managed through responsive repairs however the Transport Asset Management (TAM), Docks, Highways and Flood teams are working together to develop recommendation for how a combined asset management strategy, which will cover flood risk management covering both the City Docks and River Avon, could be delivered. This will be shared with each service's management team before being presented to Place Management Team in January/February 2016.	February 2016	John Roy	
			iv) The City Docks and associate assets are critical to protecting the City Centre from flooding**.** **ROs: Zoe Willcox / Peter Mann / Robert Orrett**	On Schedule			The situation is still being managed through responsive repairs however the Transport Asset Management (TAM), Docks, Highways and Flood teams are working together to develop recommendation for how a combined asset management strategy, which will cover flood risk management covering both the City Docks and River Avon, could be delivered. This will be shared with each service's management team before being presented to Place Management Team in January/February 2016.	February 2016	Adrian Randall	
			v) Surface water management plan in place that provides information on infrastructure at risk of surface water flooding. Utilisation of data in conjunction with Met Office and Environment Agency forecast	On Schedule			Report on Local Flood Risk Management Strategy to the Place Scrutiny Commission in September 2016.	September 2016	John Roy	

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	Risk Description, Causes, Consequences and Horizon	Risk Owner	Current Risk Management Arrangements (Current Mitigation) Responsible officer (RO):	Status of Current Mitigation	Current Risk Like/Imp	Target Risk Like/Imp	Further Actions Required	Time frame for Action	Responsible Officer for Action	Risk Review Period
			information. Local Flood Risk Management Strategy approved at Cabinet November 2014 detailing Action Plan for managing flood risk across City. LLFA Working Group established to embed LLFA actions within the authority.							
			vi) Bristol City Council's work programmes and funding streams have been aligned with actions detailed in our adopted Local Flood Risk Management Strategy which mitigate surface water flooding. In additional to this Bristol City Council, as Lead Local Flood Authority, is working with other Risk Management Authorities such as Environment Agency and Wessex Water to mitigate surface water flooding. Report on Local Flood Risk Management Strategy to the Place Scrutiny Commission in September 2015. Another report due September 2016. **RO: Peter Mann**	Ongoing						
			vii) Flood Plan and Recovery Plan in place that details the Council's response to flooding. **RO: Simon Creed**	On Schedule			The Flood Plan and Recovery Plan have both been through the Corporate Resilience Group (CRG) but have yet to go to the Strategic Leadership Team (SLT). A paper and presentation to SLT has recently been postponed, however both plans are considered fit for purpose and are currently in use. The paper and presentation to SLT has been further postponed and now a paper will go to ELT in 2016 with a date to be confirmed.	Slipped, date in 2016 for SLT consideration not set.	Simon Creed	Annual
			4.7 Employment							
			i) Under the West of England City Deal with government in 2012, the Council has worked with the other Local Authorities to enable the retention and pooling of income from business rates growth to create a £500m Economic Development Fund (EDF). Agreement	On Schedule						

		Risk Description, Causes, Consequences and Horizon	Risk Owner	Current Risk Management Arrangements (Current Mitigation) Responsible officer (RO):	Status of Current Mitigation	Current Risk Like/Imp	Target Risk Like/Imp	Further Actions Required	Time frame for Action	Responsible Officer for Action	Risk Review Period
				has been reached on the business rates pooling mechanism and the allocation to EDF projects. This will finance new physical and economic infrastructure which will catalyse the creation and safeguarding of sustainable employment (circa 30,000 jobs) in Bristol Temple Quarter Enterprise Zone (BTQEZ), and the Avonmouth / Severnside and Filton Enterprise Areas over the next 25 years. **RO: Alistair Reid**							
				ii) Other funds have been secured from EU and UK government for improving ICT infrastructure, adopting and/or scaling up renewable energy systems and other 'Smart / Future City' technologies for a more sustainable urban infrastructure.	Achieved						
				ELENA grant funding has been secured for investment projects. Monthly monitoring of the required ELENA leverage against grant spend is completed and spending of the grant is controlled and monitored, particularly around consultancy budget. **RO: Bill Edrich**	Achieved						
				iii) Secured a commitment from Government to improve access to super-fast broadband for businesses. **RO: Stephen Hilton**	On Schedule			The original budget was £11.7m, however following negotiation with the funders (the Department for Culture, Media & Sport (DCMS)) it was agreed that spend would be repositioned and funding reduced on one of the sub-projects. The new total budget is £11,310m. Grant claims made to the end of March 2015 totalled £5,737m. Remaining budget for 2015/16 was £5,573m. We are on track to claim for all of the remaining spend in	March 2016	Stephen Hilton / Suzanne Wilson	

Risk Description, Causes, Consequences and Horizon	Risk Owner	Current Risk Management Arrangements (Current Mitigation) Responsible officer (RO):	Status of Current Mitigation	Current Risk Like/Imp	Target Risk Like/Imp	Further Actions Required	Time frame for Action	Responsible Officer for Action	Risk Review Period
						2015/16 Q1 except for Connection Vouchers where the scheme has now ended. Committed vouchers can be claimed but any unspent is now rolled into the DCMS scheme for the following year. We are now in the 15/16 business broadband connection vouchers scheme, where we do not have a specific allocation but instead will compete with other authorities on a first come first served basis			
						The connection voucher scheme has now closed due to reaching its full national allocation of £40m and is in the close down process. Final number of vouchers awarded (and SMEs benefitted) in Bristol confirmed as 1687. This translates to a total scheme award of £1,516m. Final claims are to be submitted to DCMS during 15/16 and 16/17 (awaiting notification of final claim deadline from funders). There is currently no expectation of further funding in 16/17.			
		iv) The Council has been active in shaping the economic strategy and plans of the West of England LEP as set out in the Strategic Economic Plan (SEP) and European Strategic Investment Framework (ESIF) for 2014-20 (prospective investment of £479 m). The SEP was published in June 2014 and major projects signed off by the LEP investment board in October 2014. **ROs: Alistair Reid**	On Schedule			Identify match funding for projects and work with project owners and partners on development of viable business cases and delivery plans.	On going	Alistair Reid	

		Risk Description, Causes, Consequences and Horizon	Risk Owner	Current Risk Management Arrangements (Current Mitigation) Responsible officer (RO):	Status of Current Mitigation	Current Risk Like/Imp	Target Risk Like/Imp	Further Actions Required	Time frame for Action	Responsible Officer for Action	Risk Review Period
				v) The Invest in Bristol and Bath (IBB) service, which promotes Bristol, its Enterprise Zones / Enterprise Areas and 5 key economic sectors to UK and overseas investors was established in 2012. Lead discussion within Local Enterprise Partnership (LEP) on future strategy and funding of IBB and/or redesign of investor promotion services to secure Bristol's objectives. Funding now secured for five years from the Economic Development Fund **RO: Alistair Reid**	On schedule						
5.	**Community Resilience**										
		Risk description: Failure of the Council and the community at large to anticipate, sufficiently mitigate, respond to or recover quickly enough from a significant and unexpectedly disruptive event. This risk is focused on how the Council and communities can adapt to significant changes in society over time rather than focussing on the Council's physical infrastructure that is in place to contribute when such an event occurs – this is considered in risk 4 – Infrastructure. **Cause:** Natural disasters, e.g. flooding caused by climate change. Health hazards. Economic adjusters, e.g. the changing shape of local employment, welfare reform, poverty levels. A dependency culture resulting from strategies which fail to empower individuals/ communities to develop and support themselves and each	Alison Comley	The Bristol Health Protection Committee meets quarterly to monitor relevant public health outcomes and review preparedness for and responses to public health hazards. The Committee reports to the Health and Wellbeing Board. **RO = B Pollard** A Neighbourhoods network is in place to build capacity in identified neighbourhoods. There is a need to build staff capacity and develop innovative strategies which are joined up. Neighbourhoods & Communities has committed to develop an overt skills and values piece of work across all community development practice which is focussed explicitly on building community capacity and social capital in areas where this capacity is low and where community networks are scare or non existent. The intention is to spread this approach via both our own and others means across the city over the next 2-3 years. The work is focussed on building the confidence, skills and self directed social action in marginalised communities with a clear intention around supporting communities to build their resilience to initially, support their own aims and aspirations but also to build their resilience to withstand shocks and stresses impacting on their lives and	Annual Report to Health and Well Being Board in Spring 2016 Ongoing Work is progressing to the Service Plan	**Likely/ Critical (15)** **Risk Increasing** ⬆	**Possible/ Critical (9)**	Development of a public health strategy to feed into the Health and Well Being Board Strategy. This has been delayed due to restructuring of Public Health function and new appointments. Draft now due March. The values and approaches are also being embedded in the future Voluntary and Community Sector Prospectus development, which will shape and delivery up to £7.5 million pounds of grant investment, including the current re-commissioning of advice provision across the city. All organisations wishing to work with this funding stream will be required to demonstrate their commitment to building community resilience in line with the ABCD values. The work has been underway for 8 months, areas of focus have been identified and the area based work is progressing. Two further BCC teams have been trained in the ABCD approach, with a plan emerging of the next teams to	March 2016 Timescale to be confirmed Timescale to be confirmed	Becky Pollard Di Robinson Di Robinson	6 monthly reviews by SLT.

Risk Description, Causes, Consequences and Horizon	Risk Owner	Current Risk Management Arrangements (Current Mitigation) Responsible officer (RO):	Status of Current Mitigation	Current Risk Like/Imp	Target Risk Like/Imp	Further Actions Required	Time frame for Action	Responsible Officer for Action	Risk Review Period
other. A lack of integration and cohesion in our people/community focussed recovery strategies.

Consequences:
Civil unrest. Social breakdown in Community cohesion. Individuals and communities may not reach their full potential and the inequalities gap may increase in terms of skills, health, wealth etc. Financial implications, e.g. investment negated. Reputation impacted.

Horizon:
Long term risk horizon – 5 to 10 years. | | communities.

This work is being led through the Community development teams in N&C established in April 2014, and being developed across Public Health community development/health improvement teams. A Community Development Service Plan March 2015 -2017 is in place.

RO = Di Robinson

The **Food** Policy Council is in place to coordinate efforts city wide in improving access to healthy food that is affordable and fairly available to Bristol residents and visitors and where workers involved in the food system are fairly treated, and with production, distribution, retail and supply systems that are sustainable and resilient to the impacts of projected climate change and fossil fuel depletion.
RO = Stephen Hilton/ Kathy Derrick

Bristol delivers and commissions a range of employment and skills opportunities for individuals from less privileged communities e.g. On Site; Apprenticeships, Work Placements; Community Learning and Skills. These services help build social and economic inclusion through improved support and progression into work. The current infrastructure is largely dependent on external funding contracts that are not secure beyond July 2016.
RO = Paul Jacobs

Joint Local Transport plan is in place providing sound policy basis which seeks to ensure that the transport system for the sub-region now and in the future is designed in such a way that it enhances health, wellbeing and prosperity for all residents, and contributes to reducing health inequalities. (Ref risk 4 and refresh of Joint local transport plan)
RO – Peter Mann

A Bristol, North Somerset and S Glos | On schedule

On schedule

On schedule

Achieved

Achieved | | | be included. Plus some early adopter VCS organisations are already working alongside our emergent community of practice; eg: Bristol Aging better whose commissioning of community development will work to this values base. This work is connected into the Resilient City work and the Cities Of Service social action/impact volunteering work.

Project being run to ensure resilience and integration of existing strategies (ref infrastructure risk) to ensure our approaches provide a fully integrated and cohesive approach to people and community issues has been delayed due to diversion of staff on to other work.

Coordinated response to future rollout of universal credit (March 2017) and wider welfare reforms being developed corporately and in partnership with third sector and social landlords.

Bristol Health Protection Committee in place and monitoring development and updating emergency planning plans.

The Bristol City Council pandemic flu plan will be updated in light of the BNSSG plan - overseen by the Health Protection Committee.

Continue to develop Bristol Open Data Platform. Start procurement of a permanent platform, (replace the current |

March 2016, revised from December 2015

September 2016 (expected benefit cap roll out)

December 2015

March 2016

January 2016 |

Patricia Greer/ Kay Russell

Patsy Mellor / Max Wide

Becky Pollard

Becky Pollard

Katherine Rooney | |

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			(BNSSG) multiagency pandemic flu plan has been signed off by the Avon and Somerset Local Health Resilience Partnership. **RO – Becky Pollard** Mapping exercise to identify all the streams of funding relating to hardship complete. Now being factored into the coordinated response to the greater number of citizens facing hardship due to the Welfare reform changes. Universal Credit initial rollout completed and processes in place to support those affected. **RO – Patsy Mellor**	Achieved			Pilot /Beta version), to enable Bristol Open Data to be available and useable into the longer term. Ongoing activity to promote and encourage use of data to enhance the quality of 'real' community intelligence we have eg datasets on the Bristol Open Data Platform: Real time air quality data, Real time traffic congestion data, River levels, Quality of Life survey results, etc Discussions on the updating and re-shaping of the Joint Strategic Needs Assessment include trying to ensure that we are looking at new approaches to include real citizen data. It has been agreed that a Chapter on community information will be included in the JSNA.			
								Timescales to be confirmed	Becky Pollard/Mark Wakefield	
							The Neighbourhood Management Team has supported the development of Neighbourhood Partnership Priority plans, which include evidence based priorities across a wide number of themes within 14 NP areas across the city. This information is being systematically fed into the mainstream service and partner service agendas to deliver direct influence over service planning priorities.	Timescales to be confirmed	Di Robinson/Mark Wakefield	
							Investment in the data dome alongside At Bristol and Bristol university/UWE. This offers the opportunity to visualise data in 3 dimensions and provides a new way of looking at what's happening across the city. The BCC deal with this development is that communities will have the opportunity to explore how to	Timescales to be confirmed	Di Robinson/Mark Wakefield	

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							use this facility to enable their view of the city and to explore key questions or issues.			
							Future Cities is supporting a project led by the Knowle West Media Centre to develop a Citizen Sensing programme in areas of the city. This programme will explore the potential of communities as makers of sensors and as users of the accrued data in a new way, in order to inform both their own local action and that of the wider city.	Timescales to be confirmed	Di Robinson/Mark Wakefield	
							Development of a cross-agency city resilience plan. The plan should be in place by June 2016.	June 2016.	Stephen Hilton/Sarah Toy	
							A Preliminary Resilience Assessment (Phase I) in draft format for approval by the 100 Resilient Cities.	December 2015	Stephen Hilton/Sarah Toy	
							Phase II of the assessment has identified 4 focus areas and 12 diagnostic questions for further research. This will be undertaken by small working groups of internal/external stakeholders with support from strategy partner Arup.			
							The governance structures and communication plan to 2017 are being defined.	Briefing SLT on proposed structure in Jan 2016	Stephen Hilton/Sarah Toy	
							The aim is to have a resilience strategy or roadmap followed by an implementation plan.	March 2016 June 2016	Stephen Hilton/Sarah Toy	
							A Bristol Employment and Skills Strategy is under development to secure city wide support for increasing	March 2016	Paul Jacobs	

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							skills and employment opportunities for disadvantaged citizens. This will be presented to the Learner City Partnership Board.			
6.	**Finance**									
	Risk description: a) Failure to deliver the Medium Term Financial Plan (2014 – 2017) but particularly to deliver the £76m savings included in this plan. b) Need to deliver further savings as a result of next Government Spending Review announcement. Initial modelling indicates the City Council could face additional savings. **Cause:** Failure to achieve required savings. Pension deficit not controlled/pensions investment benefit is not supportive of growth in Bristol. Inadequacy of cash resources. Unaffordable capital programme. Demographic pressures. Demand management strategies ineffective, government pressures on Welfare Benefit funding. PFI funding shortfall. Key staff availability. **Consequence:** Savings not achieved. Budget not met. Financial shortfall. Budget deficit. Unplanned reductions in services. Corporate objectives not met. Lack of	Nicola Yates	A three year financial plan (2014 – 2017) has been developed, consulted on and approved. The three year financial plan is aligned to the Mayor's vision/objectives. Each year of the three year cycle, the underlying budget assumptions are reviewed for continuing relevance and any required amendments resulting from factors affecting the original budget assumptions are re-approved by Council. **RO = Julie Oldale (interim S151)** There is strong corporate focus on delivering the savings in the financial plan by both SLT and the Change Programme. The programme is broadly on target to deliver with base budget savings of £21.2m achieved as planned with the remainder to be delivered via service re-design, particularly through the applied programme. Change Board Month 6 monitor indicates £30.2m delivered; £17.9m good confidence with £15.9m to be identified Financial implications (savings and costs) of the Change Programme are monitored and reported to the Change Board monthly and to Cabinet quarterly. . **RO = Max Wide/ Julie Oldale (interim S151)** Budgeting timetable is in place and publicised to ensure maximum corporate and public buy in to the budget review process is achieved. Quarterly budget monitors and monthly flash reports are provided to SLT, scrutiny and cabinet. These reports provide details of the revenue and capital budgets, treasury management activity, the reserves position	On schedule (MTFS was reviewed during 2014/15 and rolled forward for a further year; currently being reviewed for approval by Council in Feb 2016) On schedule 2015/16, may impact 2016/17 Spend on schedule broadly as budgeted. On schedule On-going and on schedule.	**Possible/ Critical** **(9)** **Increasing risk**	**Possible/ Significant** **(6)**	A sustainable business plan is being developed to manage demand and deliver financial savings within the People Directorate. Implementation plans are being put in place. Implement enhanced module and latest release of financial system to enable interrogation of HR and Payroll data and better management around establishment costs. Close monitoring of the property/assets savings work streams of the change programme to assess the impact on the budget of savings that were less than those planned. Reflect latest central government funding implications in budget for 2016/17 – provisional Local Government Finance Settlement due Dec 2015. Full update of the MTFS 2017/18 – 2019/20. The detail emerging from the Spending Review will be used to inform a full update of the MTFS including identification of a revised baseline and future years detailed saving plans. Complete evidence based analysis of the base budget position across the Council to inform updated MTFS 2017/18 – 2019/20: • Revisit activity based	February 2016, revised from October 2015 April 2016 and ongoing review. December 2015 and throughout MTFS period January 2016, revised from September 2015 September 2016 September 2016, revised from December 2015	John Readman/ Mike Hennessey Julie Oldale (interim S151)/ R Billingham Julie Oldale (interim S151)/ R Orrett Julie Oldale (interim S151) Julie Oldale (interim S151) Julie Oldale (interim S151)	A local monitoring group has been established within the Directorate. Quarterly review and challenge by SLT via the quarterly budget monitors. 6 monthly reviews by ELT for update. Reserves position – annual review by SLT.

	Risk Description, Causes, Consequences and Horizon	Risk Owner	Current Risk Management Arrangements (Current Mitigation) Responsible officer (RO):	Status of Current Mitigation	Current Risk Like/Imp	Target Risk Like/Imp	Further Actions Required	Time frame for Action	Responsible Officer for Action	Risk Review Period
	organisational resilience. Impact on services of welfare reform. **Horizon:** Medium Term		and bad debt position. A financial calendar is in place which sets out a detailed work programme of timetabled financial and corporate planning activity to ensure a cohesive and integrated approach to the setting and delivery of financial plans. **RO = Julie Oldale (interim S151)** Sensible levels of financial reserves are maintained balancing service delivery priorities against the need to secure financial resilience for the Council. The level of reserves required is reviewed annually. **RO = Julie Oldale (interim S151)** In year changes to the budget or financial plan are centrally controlled and subject to Finance Director approval. **RO = Julie Oldale (interim S151)** Capital Programme Board routinely reassesses and challenges the capital commitment and project slippage. **RO = Barra Mac Ruairi**	On schedule On-going and on schedule On-going and on schedule. On-going and broadly on schedule – latest monitor indicates some reprofiling into future years			costing exercise • Carry out a priority based budget exercise • Revisit spans and layers work to inform any future restructure activity • Develop a greater understanding of the financial opportunities open to the Council including income generation – KPMG review. Ongoing review of schools capital programme and funding linked to PFI arrangements for both education and leisure services. Awaiting Deloittes report on Schools PFI. Targeted work with managers to improve transparency of in year budget position, particularly focussing on better forecasting of budget out-turns at service level. Ongoing improvements to capital programme monitoring and support to the Capital Programme Board. Further develop timetabling to ensure closer integration with corporate planning process. Continue seeking to increase representation on the Local Government Pension Scheme Board to help shape Pension Investment Programme. The development of Investment Board within the Fund provides opportunity to influence. To assess the impact of Welfare Reform changes on rent collection and council tax income and debt recovery.	January 2016 February 2016, revised from December 2015 January 2016 March 2016 Timescale to be confirmed On going Initial projections March 2016, then ongoing as recovery analysis continues.	Julie Oldale (interim S151) John Readman Julie Oldale (interim S151)/ Richard Billingham Janet Ditte Julie Oldale (interim S151) Julie Oldale (interim S151) Julie Oldale (interim S151) Patsy Mellor / Sheralynn McCarthy	

	Risk Description, Causes, Consequences and Horizon	Risk Owner	Current Risk Management Arrangements (Current Mitigation) Responsible officer (RO):	Status of Current Mitigation	Current Risk Like/Imp	Target Risk Like/Imp	Further Actions Required	Time frame for Action	Responsible Officer for Action	Risk Review Period
							Appointment of interim staff to support Finance to final accounts.	January 2016	Max Wide	
7	**Educational Attainment**									
	Risk description: Failure to focus and prioritise resources to effect the changes necessary to ensure the equality of educational opportunities across all ages and all communities. **Cause:** Variation in needs of learners in different parts of the City. Variation in performance of City schools. Strong private education sector in adjacent environment. **Consequences:** Inequalities are not addressed. Schools do not improve fast enough in both GCSE and A levels. Impairment of life chances for Bristol citizens i.e. reduced earnings capacity/lifelong dependency on benefits. Divided City. Reputation tarnished. Further schools are required to become academies as "coasting schools". **Horizon:** Medium term	John Readman	The City Council has an Education and Skills Service which is structured to enable Bristol City Council to both fulfil its statutory role of education provision and to ensure it can play a key role in education systems leadership and development across the City. **RO = Paul Jacobs** The Trading with Schools Service is in place to provide support to schools in being self-improving and quality services. The service also provides a link between the Council and schools providing intelligence on schools performance and their contribution to achievement of the Council's statutory role of education delivery. An income strategy is in place. **RO = Paul Jacobs** Inclusion and equalities policies have been established and a coherent Inclusion Strategy drafted that will ensure robust focus on equality of access and outcomes has been established. **RO = Paul Jacobs** The Children and Families Board meet six times each year and focus on improving outcomes, with strategic oversight of priority areas and taking joint action accordingly. Membership of the Board is periodically refreshed and their terms of reference agreed. Work Programme agreed. **RO = Paul Jacobs** An effective plan to secure better outcomes for children in care and care leavers is in place and monitored by the Board. **RO = Paul Jacobs**	On schedule On schedule On schedule On schedule On schedule	**Possible/ Critical** **(9)** **Risk reducing**	**Unlikely/ Critical** **(6)**	Develop the governance and business model further for Trading with Schools to ensure a successful sustainable future model in line with the principles of "Learning City." Inclusion Strategy to ensure equality of access and outcomes to be communicated widely to all stakeholders and relevant actions mapped to ensure a coherent response. The work plan for the Children and Families Board to be implemented and identified KPIs tracked by the Board. The Children Services Improvement Plan action plan is further implemented and impact monitored through the Improvement Board. The Challenge groups need to embed and wider communication and engagement secured with partners and more widely with citizens.	July 2016 July 2016 July 2016 July 2016 July 2016	Paul Jacobs/Jackie Turner Paul Jacobs Paul Jacobs/Hilary Brooks Paul Jacobs/Hilary Brooks Paul Jacobs/Hilary Brooks	ELT to review quarterly as part of quarterly risk register review.

	Risk Description, Causes, Consequences and Horizon	Risk Owner	Current Risk Management Arrangements (Current Mitigation) Responsible officer (RO):	Status of Current Mitigation	Current Risk Like/Imp	Target Risk Like/Imp	Further Actions Required	Time frame for Action	Responsible Officer for Action	Risk Review Period
			A Learning City Board has been established to strengthen school to school partnerships, focussing on outcomes and will focus on implementation of the recommendations following both the Education and skills Commission launch and the 14 – 19 action plans. It met for the first time in February 2015. Challenging groups are being set up. The Mayor has now declared 2016 'The Year of Learning' which will further raise the profile of this work. **RO = Paul Jacobs**	On schedule						
			All aspect of education performance is regularly reviewed by the Directorate scrutiny commission. Links between Directorate scrutiny and that provided by the Learning City Board have been determined. **RO = Paul Jacobs**	On schedule.						
8.	**Demographic and Service Pressures**									
	Risk description: The Council fails to appropriately manage demand for its services and does not maximise all potential delivery methods to ensure that services are provided in the most cost effective way. **Cause:** Increased demand due to changing demographics. Lack of data intelligence to understand genuine demand. Lack of market management, and demand modelling. Changes in legislation that affective demand for services. **Consequences:** Significant cost escalation if we fail to manage demand. Potential for poor quality and inefficient services. Potential increase in time taken to	John Readman/ Max Wide	**Commissioning and Procurement:** The Council has an 'Enabling Commissioning' approach - a commissioning framework which requires all commissioning activity to operate around the whole '*commissioning cycle*' (Analyse, Plan, Do, Review) ensuring a strong understanding of demand and user need, comprehensive market analysis and development, and rigorous management of contractual relationships with internal and external providers. The framework also provides decommissioning guidance for planning and managing a service reduction or terminating services in line with commissioning objectives. The provision of commissioned services is monitored to ensure the continued quality and delivery of those services. Where performance monitoring suggests services are not to standard, the delivery mechanism for those services is reviewed and appropriate action taken. **RO = Service Managers**	On schedule	**Possible / Critical** **(9)** ⟷	**Unlikely / Critical** **(6)**	Develop our ability to market manage services and to respond to the changing dynamics of the provider market (irrespective of sector) This can be achieved by: • improved commissioning intentions, with consideration of how we disclose our intentions to the market. • Ensuring we always have clear commissioning strategies that articulate our future demands for service provision. • where applicable publish commissioning intentions which are regularly updated. Commissioning intentions/ forward programme to be published.	July 2016 Date to be confirmed	Alison Slade All commissioning Service Directors Alison Slade	6 months

Risk Description, Causes, Consequences and Horizon	Risk Owner	Current Risk Management Arrangements (Current Mitigation) Responsible officer (RO):	Status of Current Mitigation	Current Risk Like/Imp	Target Risk Like/Imp	Further Actions Required	Time frame for Action	Responsible Officer for Action	Risk Review Period
deliver services. Damage to reputation if services not delivered properly. **Horizon:** Medium-Long Term		The Corporate Procurement Team also support commissioning officers, both in the technical procurement aspects of commissioning, but also to understand market shaping and market dynamics. They are also responsible for • disseminating commissioning and procurement best practice ,lessons learned and providing guidance / advice in respect of the EU, National and BCC procurement regulations and • Ensuring contracting processes are transparent and fair, facilitating the involvement of the broadest range of suppliers. **RO = A Slade** Joint Commissioning opportunities with other major commissioning organisations both within the city and with neighbouring Councils are always explored and this is enabled through internal and external mechanisms such as such as the Health and Wellbeing board , Children's &Families board , West of England Local transport Body etc. **RO = All Commissioning Managers.** The City Council has recently reorganised, with renewed focus on commissioning in the largest directorate (People). Joint commissioning opportunities are always considered in order to bring together other major commissioning partners across the City. This is enabled via the Health & Wellbeing Board and the Children's & Families Board etc. In managing People Services demand, the whole care pathway is considered to enable an understanding of the key drivers that result in demand. The Council receives 'Better Care' funding, operates section 75 agreements and has pooled budgets with the CCG to help resource our management of demand.	On schedule On Schedule On schedule On schedule			A consolidated list is now in place for major projects and subject to individual in house client agreement. The list will be published on the BCC external website with links to new e-tendering portal and updated quarterly. In addition, commissioners and the procurement team are involved in early market engagement activities on a project by project basis and publishing more frequently "future opportunities" on the Contracts Finder site. Funding received from learning and development to run in conjunction with the Crown commercial services an early market engagement course This will be run on "train the trainer" basis so that the best practice can be cascaded through the business. Ensure that all commissioners use the Enabling Commissioning Framework via the introduction of "checkpoints" to ensure consistency, best practice and appropriate strategic connections. Complete for Commissioners in People Directorate. To continue to ensure that all commissioners use and understand the Enabling Commissioning Framework. Develop use of the digital services infrastructure including the Citizen Account (once developed) to ensure we have info to better understand service user needs to inform our strategies.	February 2016 February 2016 July 2016 Ongoing January 2016 to build infrastructure Then ongoing roll out for each service redesign.	Alison Slade Alison Slade Netta Meadows All commissioning Service Directors Paul Arrigoni	

	Risk Description, Causes, Consequences and Horizon	Risk Owner	Current Risk Management Arrangements (Current Mitigation) Responsible officer (RO):	Status of Current Mitigation	Current Risk Like/Imp	Target Risk Like/Imp	Further Actions Required	Time frame for Action	Responsible Officer for Action	Risk Review Period
			RO – Netta Meadows							
			Understanding and Managing demand:							
			Regular reviews of our Joint Strategic Needs Assessment (JSNA) are undertaken which informs our future commissioning by identifying trends, gaps and opportunities for improved outcomes. The process in delivering the JSNA has recently been refreshed to include a more explicit contribution from commissioners. Their involvement in the specification of the analysis ensures that commissioning decisions are based on appropriate trends and assessments of the future needs of a population. Public health specialists are now integrated into BCC, and will take a leading role in focussing the JSNA on the needs of commissioners and planners.	On Schedule			Build capability in the Performance and Improvement Team over time to develop more sophisticated demand modelling techniques. This is evidenced by the team being more responsive to users of the team's outputs and better understanding of their needs. Also by aligning report requirement gathering to the implementation of business systems ensures new forecasting products can be delivered as business areas identify them.	2016/17	Mark Wakefield	
			In depth analysis of demographic changes are regularly undertaken and core population data is systematically updated with every new data set released by the Office of National Statistics. A Quality of Life Survey is regularly undertaken to understand Citizens views of our services and this informs our understanding of service needs across the City.	Ongoing						
			Bespoke demand models are developed in response to individual project and programme requirements, taking into account both demographic and service data. For example the building schools for the future programme.	Ongoing						
			RO = Mark Wakefield							
			Engagement							
			As part of contract management and commissioning we undertake consultation and engagement with service users, citizens, providers and stakeholders. This enables us to explore gaps in provision, quality and to co-produce where appropriate.	Ongoing						
			RO = Service Managers							

	Risk Description, Causes, Consequences and Horizon	Risk Owner	Current Risk Management Arrangements (Current Mitigation) Responsible officer (RO):	Status of Current Mitigation	Current Risk Like/Imp	Target Risk Like/Imp	Further Actions Required	Time frame for Action	Responsible Officer for Action	Risk Review Period
			Care Management Embedding the work to review our customer journey to help ensure an efficient and proportionate response to the extra demand for care and support including:				Applied Programme cohort 3 have plan for embedding of culture change to deliver 3 tier model, IAG and RAS projects through innovation sites.	Commence January and throughout 2016	Stephen Beet, Phoebe Whishaw, Rob Logan, Jane Stiddard, Sue Waring, Jayne Clifford	
			Using the Three tier model for promoting independence and managing demand.	Ongoing						
			Establishing online tools for self-assessment and support planning.	Ongoing			Applied Programme cohort 3 present initial saving targets to Change Board for approval and release of resources to deliver.	December 2015	Mike Hennessey	
			Shifting the emphasis of practitioner work to support those who need help to complete their self-assessments and support plans, providing help to enable them to move on.	Ongoing						
			Preventative approach supported by accessible Information, Advice and Guidance.	Ongoing			Care Act Steering Group overseeing delivery of transformation projects to deliver a social care system in Bristol that ensures the best possible customer experience for citizens, while managing demand and making best use of the resources available.	January 2016 and ongoing	Mike Hennessey	
			Recalibration of the Resource Allocation System and embed consistent application.	Ongoing						
			Support and training for practitioners to ensure a risk-enabled and proportionate approach to support people needing help.	On schedule						
			Review of Hospital Social Work to reduce delayed transfers of care through the use of 'Discharge to Assess' schemes and integrated discharge services which are now operating in both Acute Trusts.	On schedule			Review 2015/16 Adult Care & Support cost savings plans to evaluate impact on year end and plan 16/17 savings plan Recalibration of the Resource Allocation System and embed consistent application.	January 2016	Stephen Beet, Phoebe Whishaw, Sue Waring, Jane Stiddard, Jayne Clifford	
			Social Care Practitioners in ED and additional OT support working with REACT team in ED in order to avoid unnecessary Admissions to Acute Hospitals.	Ongoing						
			Budget Managers undertake regular reviews and forecasting. Use of area based pod meetings to understand specific budget pressures and trends. Monthly Analysis of budget matrix with accountants. **RO = Stephen Beet, Phoebe Whishaw, Sue Waring, Jane Stiddard**	Ongoing						
9.	**Devolution**									
	Risk description: Failure of the Council to work with the neighbouring	Nicola Yates	There is commitment from the leaders of BCC and the 3 neighbouring authorities (BANES, South Gloucestershire and North	On-going	**Likely / Critical**	**Possible / Critical**	Cross Council drafting of 4 workstream proposals to be completed for West of England	December 2015	Nicola Yates/ Patricia Greer	SLT 3 monthly

	Risk Description, Causes, Consequences and Horizon	Risk Owner	Current Risk Management Arrangements (Current Mitigation) Responsible officer (RO):	Status of Current Mitigation	Current Risk Like/Imp	Target Risk Like/Imp	Further Actions Required	Time frame for Action	Responsible Officer for Action	Risk Review Period
	authorities and the community at large to maximise the benefits of the Government devolution agenda to the best advantage of the people of Bristol and across the West of England. **Cause:** The Council does not engage with neighbouring authorities to deliver coherent plans for delivering the Government' devolution agenda across the West of England. The Council does not develop convincing proposals which are accepted by government. **Consequences:** The people of Bristol do not benefit from the increases in funding and autonomy of decision making and local control associated with devolution. **Horizon:** Medium risk horizon – 1 to 5 years.		Somerset) to the West of England Partnership to strengthen joint working arrangements for cross boundary working. A West of England Joint Leaders Board has been established and the constitution of each partner is being changed to reflect the roles and responsibilities of the Joint Leaders Board. Informal briefing and information sharing sessions with the leaders of each partner are aimed at identifying and engaging shared ambitions across the region. Effective governance arrangements are being developed to ensure the West of England partnership objectives progress as planned. A Local Enterprise Partnership (LEP) Board has been established and is now appropriately resourced to support the work of the Joint Leadership Board. **RO = Nicola Yates** The devolution project is underway with West of England Partnership, working with the business community to develop devolution proposals. The project has appropriate governance and reporting and sign off arrangements in place and is actively managing project risks. There are weekly briefings to SLT, weekly CEO meetings with Partnership counterparts and weekly meetings with the LEP CEO. **RO – Patricia Greer/ Nicola Yates**	On-going On-going On-going On-going On-going On-going On-going	**(15)**	**(9)**	Partnership agreement. Presentation of proposals to government early in 2016. Active stakeholder management at local and national level – ensure a clear stakeholder management strategy is in place. Weekly meetings with SLT and service directors to ensure that there is sufficient Bristol input and grip on the proposals being developed and negotiated.	January 2016 Ongoing Ongoing	Nicola Yates/Patricia Greer Nicola Yates/Patricia Greer Nicola Yates/Patricia Greer	
10	**Delivering Democracy**									
	Risk description: Failure to deliver statutory elections and comply with all legal requirements. **Cause:** Three elections taking place simultaneously:	Nicola Yates	Technical team of election specialists are in place who are responsible for the electoral register and delivery of statutory elections and referenda. The team structure has been reviewed and additional appointments are being made. Interim cover is in place.	On schedule Appointed	**Possible / critical (9)** **Risk Reducing**	**Possible / significant (6)**	All appointments to the team of election specialists now made interim cover in place until posts taken up. A budget allocation has been determined but has yet to be formally agreed.	March 2016 January 2016	Yvonne Dawes Julie Oldale (interim S151)	Quarterly

	Risk Description, Causes, Consequences and Horizon	Risk Owner	Current Risk Management Arrangements (Current Mitigation) Responsible officer (RO):	Status of Current Mitigation	Current Risk Like/Imp	Target Risk Like/Imp	Further Actions Required	Time frame for Action	Responsible Officer for Action	Risk Review Period
	Police & Crime Commissioner, Mayoral, Whole Council elections for the first time. Possibility of European in / out referendum. The Council is not clear on what constitutes ultra vires acts in the use of Council resources by the Mayor and / or Councillors. **Consequence:** Disenfranchisement of the electorate. Financial implications of having to re-run elections. Reputational damage to the Council in terms of its operation and democratic legitimacy. **Horizon:** Short to Medium term with elections taking place on **5th May 2016** and the counts following.		There is a returning officer and deputy returning officer and electoral registration officer and deputy electoral registration officer appointed by full Council. Board meetings held every 6 weeks and chaired by Nicola Yates with Section 151, Monitoring Officer and representatives from Communications & Marketing and Electoral Services attending. Planning for successful delivery is ongoing. Recognition of whole Council responsibility for the elections, reinforced by the City Director being appointed as the returning officer. It has been confirmed that BANES are co-ordinating the Police & Crime Commissioner election meaning BCC will administer 2 not 3. This is subject to potential EU referendum. A venue for the election count has been identified at Park View and arrangements for the administration of this are being made. The 1st electoral register required under the new statutory requirements has been published. Arrangements for subsequent editions are in place. A clear policy on Councillor and officer conduct outside of the pre-election period was published in December, with briefings for the Mayor held and for party leaders in January A meeting with the Police and Electoral Commission was held in December to discuss electoral integrity.	Ongoing Ongoing Ongoing Ongoing Ongoing Ongoing Achieved Achieved			Member / (Prospective) Candidate briefings covering election matters and general Council information via meetings and email. Particular attention will be given to electoral integrity. Bulletin 1 issued 2 December. Electoral Services will attend Electoral Commission briefings and supply live data for them to evaluate progress.	Ongoing to May 2016 Ongoing to May 2016	Andrea Dell / Stephanie Bowen Yvonne Dawes	
11.	**Trading Company Operations**									
	Risk description: Successfully managing the trading companies where the Council is the majority Shareholder, or has an interest in the Company.	Max Wide	The Council has agreed on 15th December 2015 (Cabinet) that we will use a Code of Practice to clearly set out governance arrangements for current companies which the Council is a Shareholder, and any future companies.	Completed	Possible/ Critical (9)	Unlikely/ Critical (6)	There is now a clear Code of Practice in place for how we will consider the future of any other company initiatives. However, there may need to be some prioritisation matrix in	July 2016	Client Function Lead along with MD of Holding Company (Bill Edrich)	Half yearly thereafter

Risk Description, Causes, Consequences and Horizon	Risk Owner	Current Risk Management Arrangements (Current Mitigation) Responsible officer (RO):	Status of Current Mitigation	Current Risk Like/Imp	Target Risk Like/Imp	Further Actions Required	Time frame for Action	Responsible Officer for Action	Risk Review Period
Cause: 1. Unsound business cases for the creation of companies. 2. Poorly managed governance between commercial rigour and democratic accountability. 3. Poor oversight between the company finances and the Council finances. 4. Poor governance arrangements. 5. Failure to monitor performance and whether shareholder expectations are being met. **Consequence:** The companies fail as economic enterprises and fail to deliver social and policy goals. Legal or regulatory failure. **Horizon:** Medium – long term generally.		*RO – Barra Mac Ruairí, John Readman* Updated business cases for Bristol Energy and Bristol Waste have been taken to the Shareholder Group and to Cabinet in December 2015. **RO – Bill Edrich, Acting MD of Bristol Holding Company** For each Start Up Proposal, the most appropriate legal entity and governance arrangements are considered and agreed Cabinet (or by delegation) as part of the business case. Governance arrangements for each Council trading company set out the intention of the Council in the relationship it has with the trading company. This agreement has been approved by Cabinet and updated within the Code of Practice document. **RO = Nicola Yates** A business plan for each Company is submitted to the Shareholder Group for review and then to the Mayor in his role as Shareholder for approval annually. The success of the trading company will be measured by its performance in delivering against the business plan. The Council has created a Client and lead Shareholder function to validate and examine key performance information. **RO – SLT** A Shareholder Group has been established to advise the Mayor as Shareholder representative going forward. **RO – Bill Edrich, Acting MD of Bristol Holding Company** The first draft performance pack for companies is due to be presented at Holding company board in early February. This includes both financial and non-	Completed for: Energy Waste Completed – Code of Practice in place Completed for 2015 Client function established, but appointments to be made Completed – Shareholder Group is in place and has met twice in 2015. Due to be presented at the holding company			place to determine which opportunities to progress. There is also a need to ensure reporting of the companies takes place in a structured and regular way, to monitor performance and to ensure the Shareholder is receiving the assurances required.	March 2016	Client Function	Quarterly.

	Risk Description, Causes, Consequences and Horizon	Risk Owner	Current Risk Management Arrangements (Current Mitigation) Responsible officer (RO):	Status of Current Mitigation	Current Risk Like/Imp	Target Risk Like/Imp	Further Actions Required	Time frame for Action	Responsible Officer for Action	Risk Review Period
			financial information. The performance pack will be presented to SLT and the Shareholder Group on a monthly basis. Subsequently, updates and summary reports will be provided to Audit committee on a quarterly basis. **RO – BCC Finance / BCC Legal / Energy Co. Finance** Following the cabinet approval of the Energy Company business plan, finance and legal are currently working together to progress further financing arrangements that need to be put in place to support the Energy Company's ongoing operation.	board in early February 2016 Due to be completed by February 2016			To conduct soft market testing regarding the terms & conditions of loans required, assessing the commerciality and obtaining independent views / evidence to support the state aid test. Cost recharges from BCC to the Energy Company need to be timed with the signing of loan agreements to ensure sufficient cash flow for the Company's operation.	February 2016	Client Function (Finance & Legal)	Monthly

CORPORATE RISK REGISTER

Risk Matrix – with corporate risks plotted (December 2015)

Likelihood			Marginal 1	Significant 2	Critical 3	Catastrophic 4
6	Almost Certain		6	12	18	24
5	Likely		5	10	15 **5, 9**	20
4	Probable		4	8 **3**	12 **4**	16
3	Possible		3	6	9 **1,2, 6,7, 8, 10,11**	12
2	Unlikely		2	4	6	8
1	Almost Impossible		1	2	3	4

Impact

Risk 1   Safeguarding

Risk 2   Organisational Achievement and Resilience

Risk 3   Governance

Risk 4   Infrastructure

Risk 5   Community Resilience

Risk 6   Finance

Risk 7   Educational Attainment

Risk 8   Demographic and Service Pressures

Risk 9   Devolution

Risk 10   Delivering Democracy

Risk 11 Trading Company Operations

Appendix 4: Severity of Impact Guidance

		Effect on service provision	Potential Financial loss/gain	Potential Fraud & Corruption loss	Reputation	Legal	Environmental	Communities	Personal safety
1	Marginal	Very limited effect (positive or negative) on service provision. Impact can be managed within normal working arrangements	Under £0.5m	Under £50k	Minimal and transient loss of public trust. Contained within the individual service	No significant legal implications or action is anticipated	No effect (positive/negative) on the environment/community	Minimal effect on community	Minor injury to citizens or staff may result or can be prevented.
2	Significant	Noticeable and significant effect (positive or negative) on service provision. Effect may require some additional resource, but manageable in a reasonable time frame.	Between £0.5m - £5m	Between £50k - £100k	Significant public interest although limited potential for enhancement of or damage to reputation. Dissatisfaction reported through Council Complaints procedure but contained within the Council Local MP involvement Some local media/social media interest.	Tribunal/ BCC legal team involvement required (potential for claim)	Short term effect (positive or negative) on the natural and or built environment.	Short term effect (positive or negative) on a small number of vulnerable groups/ individuals	Significant injury or ill health of citizens or staff may result or be prevented.

3	Critical	Severe effect on service provision or a corporate Plan priority area. Effect may require considerable additional resource but will not require a major strategy change.	Between £5m - £10m	Between £100k - £1m	Serious potential for enhancement of or damage to reputation. Dissatisfaction regularly reported through Council Complaints procedure. Higher levels of local or national interest. Higher levels of local media/social media interest.	Criminal prosecution anticipated and or civil litigation.	Serious local discharge of pollutant or source of community annoyance that requires remedial action.	Medium term effect (positive or negative) on a significant number of vulnerable groups/ individuals.	Major injury or ill health of citizens or staff may result or be prevented. Long term disability/absence from work.
4	Catastrophic	Extremely severe service disruption. Significant customer opposition. Legal action. Effect could not be managed within a reasonable time frame or by a short term allocation of resources and may require major strategy changes. The Council risks 'special measures' Officer/Member forced to resign.	More than £10m	More than £1m	Highly significant potential for enhancement of or damage to reputation Intense local, national and potentially international media attention. 'Viral' on line social media Public enquiry or poor external assessor report.	Criminal prosecution anticipated and or civil litigation (> 1 person)	Lasting effect on the natural and or built environment.	Lasting effect positive or negative) on a significant number of vulnerable groups/ individuals.	(Avoidable) Death of citizens or staff may result or be prevented. Long term disability/absence from work.

Assessment of the likelihood guidance

	Likelihood	Likelihood Descriptors	Numerical likelihood
1	Almost impossible	This will probably never happen	Less than 1%
2	Unlikely	Do not expect it to happen, but it is possible it may do so	Less than 25%
3	Possible	Might happen on rare occasions	Less than 50%
4	Probable	Probably will happen on rare occasions	50% or more
5	Likely	Probably will happen at regular intervals	75% or more
6	Almost certain	Surely will happen and possibly frequently	99% or more

Risk
Management
Policy   January 2016

The Golden Rules for effective risk management in Bristol City Council:

Being risk aware; (not risk averse – some risks are worth taking in achievement of our objectives but just need careful management)

Member/Senior Officer active ownership;

Keeping it simple; (risk management is not difficult)

Consistent methodology ; (corporate processes & technology)

Effective challenge and review.

V1.0

Risk Management Policy

1. Risk Management Policy Statement

Executive Summary

Bristol City Council views risk management as an integral part of good internal control and corporate governance. The way in which we manage our risks impacts our success in achieving our objectives, and in delivering services to the community. It has never been more important to ensure that we target our service delivery efficiently and cost effectively.

Risk management makes good business sense because management of risk is inseparable from effective management of performance. The benefits from an effective risk management framework are:

- better decision making
- improved customer service, and better outcomes
- improved strategic, operational and financial management, and value for money
- enhanced reputation, and securing trust from out stakeholders
- enhanced resilience
- continuity of knowledge
- improved compliance.

Attitude to Risk

As a modern local authority, we are committed to delivering quality services to our citizens and communities. We are aware that risk arises as much from failing to capture opportunities when pursuing strategic and operational objectives as it does from a threat that something bad will happen.

Our over-riding attitude to risk is that it should be managed rather than avoided. Innovative solutions are encouraged, and while they often involve risk, they can be implemented with awareness and management of the risks that they carry.

Aims of the policy
Introducing a robust system of risk management will help the Council to:
- deliver its objectives more effectively by aligning the processes for risk and opportunity management with those for performance review of strategic objectives
- sustain service improvement by prioritising cost effective actions to manage risk, and to exploit areas of potential
- minimise and manage unacceptable and avoidable errors and serious incidents, and minimise the Council's vulnerability to fraud and corruption
- develop a culture where risk management is an integral part of management
- uphold its reputation as a community leader, service provider, and employer.

Principles
Risk Management needs to be part of how services are developed and delivered, and of how performance is monitored. The Council is committed to considering risk in all key management processes:
- policy and decision making
- strategic and service planning (at all levels)
- operational management
- implementing change
- business continuity planning
- project management
- partnership working
- health and safety arrangements
- performance management.

Responsibility for Risk Management
This policy requires elected Members and officers alike to assist in, and take responsibility for, identifying, and controlling risk and opportunities (and better use of resources) in all their activities and areas of responsibility. A full description of roles and responsibilities is in section 5.

2. Risk Management Approach

Risk Management – Important Definitions

Risk is the chance of something uncertain happening that will have an impact (positive or negative) on achievement of objectives

Risk Assessment is the measurement of the likelihood and impact on objectives, of an uncertain action or event

Risk Management is the planned and systematic approach to the identification, evaluation, prioritisation and control of risks and opportunities facing the Council.

Options for Managing Risk

Embrace – take authorised advantage of opportunity risks, but apply safeguards

Eliminate – terminate the operation in full or just the part that gives rise to the risk

Reduce – implement additional controls to mitigate the risk

Avoid – terminate a course of action and implement an alternative action to that giving rise to the risk

Transfer – change ownership of the risk by insuring or outsourcing

Accept – take no action, accepting the current level of risk but reviewing regularly to ensure it remains acceptable

Risk Appetite and Tolerance

The Council's general risk tolerance level is indicated in the risk matrix in section 3 below.

However the Council recognises that it must take risks. Indeed, only by taking risks can we work innovatively to achieve our aims and deliver beneficial outcomes to our stakeholders. We must however, take risks with full knowledge and acceptance of the level of risk we are taking. The level of acceptable risk for each risk is recorded in the risk register as the 'target' risk level with actions intended to achieve that target level. It is acknowledged that due to the current environment of increasing budget restrictions there may be areas where we need to work within a higher level of risk than previously. A robust risk management framework should enable us to do that appropriately.

Strategic Risk Framework

Risk Registers
The Council maintains registers for three different types of risk :

- **Strategic**
  ie the Corporate and Directorate Risk Registers, which record high level risks
- **Operational**
  ie the Service, Programme, Project, Partnership risk registers, which record risks affecting day to day operations and underpin the Directorate Risk Register
- **Associated risks**
  ie Health & Safety, Civil Protection and Business Continuity Planning, and Climate Change

Each register contains:
- the risk's description, causes, consequences, and timeframe (the risk 'horizon')
- the risk owner
- the controls in place to mitigate the risk, and residual risk remaining (current risk)
- the level of risk the Council is willing to accept in pursuance of its objectives (target risk)
- an action plan to change the level of risk to the accepted level, naming those responsible for delivery.

The *Corporate Risk Register* (**CRR**) contains risks:

- with an unacceptably high risk score on the risk matrix (see section 3)
- that could mean the Council will fail in achieving its key objectives.

The CRR is 'owned' by the Strategic Director - Business Change, who leads a quarterly review of the risks in the register before presenting it to the Strategic Leadership Team to challenge.

The Extended Leadership Team assists the Strategic Director - Business Change in the quarterly review of the CRR by:

- providing a forum for open and challenging risk discussions
- critically reviewing the information in the risk register for currency and accuracy
- providing continuity of understanding and escalation of risks from Directorate Risk Registers to the CRR.

In addition, views of other key officers are sought at each CRR review including the Chief Internal Auditor, the Performance Manager, Business Resilience, and the Insurance Officer to aid a thorough risk identification process.

The *Directorate Risk Registers* (**DRR**) detail risks faced by each Directorate in delivering their Directorate Plan.

These registers are owned by the relevant Strategic Directors, and are reviewed quarterly by Directorate Leadership Teams. When reviewing the DRR regard is also had to the CRR and how any actions taken at Directorate level impact on it.

Where a Directorate Risk has a corporate impact and management across the Council needs to understand its role in managing the risk, the issue is escalated to the CRR. In such circumstances, the Audit Manager - Risk should be advised who will ensure that the issue is included in the CRR and is included in ELT discussion.

Decision Making
Reports to the Cabinet and Strategic Directors requiring decisions are supported by risk assessments to inform decisions.

Scrutiny and Review of Strategic Risks:

Review of risks is one of 4 essential elements of risk management:

Corporate Risk Register:

The *Audit Committee* provides independent assurance on the effectiveness of risk management and internal control. It fulfils this responsibility by scrutinising the CRR every six months, as does the Executive Board and Deputy Mayor.

Directorate Risk Registers:
Directorate Scrutiny Commissions
scrutinise each DRR every six months. However, should risks change significantly in the intervening period, the Commission will scrutinise the registers quarterly.

The Audit Committee will receive the DRR and confirmation of their scrutiny every year to provide assurance that DRR reviews are taking place.

Operational and Associated Risk Registers:
Service and team level risks will be reviewed on a quarterly basis at the Divisional Management Team meetings; and will form an integral part of the review process for Service and Team Plans. It is the responsibility of service managers to

monitor and if necessary escalate risks to Service Directors.

Programme and Project risk will be monitored as part of the governance arrangements at the relevant Board meetings on a regular basis. Specialist risk registers are maintained for 'associated' risk.

3. Risk Analysis

Once risks have been identified they need to be assessed and prioritised using the following risk matrix. The matrix measures the potential impact and the likelihood of the risk, prioritising risks for review and action:

Likelihood			Marginal 1	Significant 2	Critical 3	Catastrophic 4
6	Almost Certain		6	12	18	24
5	Likely		5	10	15	20
4	Probable		4	8	12	16
3	Possible		3	6	9	12
2	Unlikely		2	4	6	8
1	Almost Impossible		1	2	3	4

Impact

The matrix should be used to assess whether the current level of risk is acceptable. If it is not an action plan is needed. Where the level of risk falls outside of the green areas, risks may need escalation to a Directorate or the Corporate Risk Register as determined by the DLT/SLT/ELT, particularly where current risk levels are in the red or purple areas. This will ensure SLT and Members are aware of the highest risks and are comfortable to be working at such levels of risk.

In *measuring the likelihood of a risk*, the following guidance should be used:

	Likelihood	Likelihood Descriptors	Numerical likelihood
1	Almost impossible	This will probably never happen	Less than 1%
2	Unlikely	Do not expect it to happen, but it is possible it may do so	Less than 25%
3	Possible	Might happen on rare occasions	Less than 50%
4	Probable	Probably will happen on rare occasions	50% or more
5	Likely	Probably will happen at regular intervals	75% or more
6	Almost certain	Surely will happen and possibly frequently	99% or more

In *measuring the impact of the risk*, the following table should be used:

		Effect on service provision	Potential Financial loss/gain	Potential Fraud & Corruption loss	Reputation	Legal	Environmental	Communities	Personal safety
1	Marginal	Very limited effect (positive or negative) on service provision. Impact can be managed within normal working arrangements	Under £100k	Under £10k	Minimal and transient loss of public trust. Contained within the individual service	No significant legal implications or action is anticipated	No effect (positive/negative) on the environment /community	Minimal effect on community	Minor injury to service users or staff may result or can be prevented.
2	Significant	Noticeable and significant effect (positive or negative) on service provision. Effect may require some additional resource, but manageable in a reasonable time frame.	Between £100k - £0.5m.	Between £10k –£50k	Significant public interest although limited potential for enhancement of or damage to reputation. Dissatisfaction reported through Council Complaints procedure but contained within the Council	Tribunal/ BCC legal team involvement required (potential for claim)	Short term effect (positive or negative) on the natural and or built environment.	Short term effect (positive or negative) on a small number of vulnerable groups/individuals	Significant injury or ill health of service users or staff may result or be prevented.
3	Critical	Severe effect on service provision or a corporate Plan priority area. Effect may require considerable additional resource but will not require a major strategy change.	Between £0.5m - £10m	Between £50k - £1m	Serious potential for enhancement of or damage to image. Dissatisfaction regularly reported through Council Complaints procedure. Local or national interest. Local MP involvement.	Criminal prosecution anticipated and or civil litigation.	Serious local discharge of pollutant or source of community annoyance that requires remedial action.	Medium term effect (positive or negative) on a significant number of vulnerable groups/individuals.	Major injury or ill health of service users or staff may result or be prevented. Long term disability/absence from work.
4	Catastrophic	Extremely severe service disruption. Significant customer opposition. Legal action. Effect could not be managed within a reasonable time frame, or by a short term allocation of resources and may require major strategy changes. The Council risks 'special measures'	More than £10m	More than £1m	Highly significant potential for enhancement of or damage to image. Intense local and national media attention. Public enquiry or poor external assessor report. Officer member forced to resign	Criminal prosecution anticipated and or civil litigation (>1 person)	Lasting effect on the natural and or built environment.	Lasting effect positive or negative) on a significant number of vulnerable groups/individuals.	(Avoidable) Death of service users or staff may result or be prevented. Long term disability/absence from work.

4. Framework for Managing Risk – Illustration:
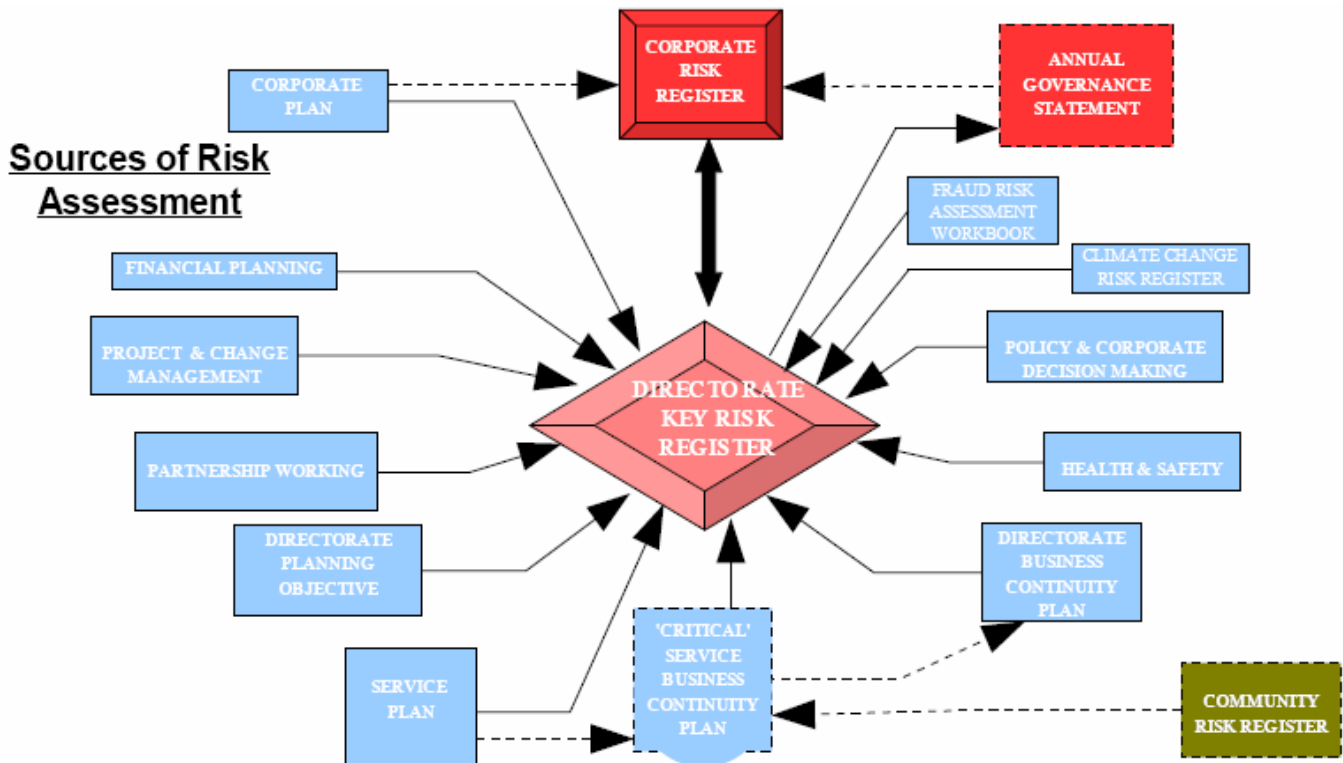
5. Roles & Responsibilities

The roles and responsibilities of individuals and groups in implementing the Risk Management Policy are:

MEMBERS	
Group/Individual	Responsibilities
1. Mayor and Cabinet	• ensure consideration of risk in decisions • Mayor to sign the Annual Governance Statement as an accurate reflection of internal control, risk management and governance.
2. Deputy Mayor – Finance and Resources	• oversee Corporate Risk Register updating and monitoring • oversee quality assurance of risk management.
3. Executive Board	• consider risks associated with decisions, arising from reports submitted • six monthly review of the Corporate Risk Register.
4. Scrutiny	• six monthly review of Directorate Risk Registers, or quarterly where risks change significantly. • challenge decisions made by the Cabinet where risks have not been considered.

5. Audit Committee	- review and approve the Risk Management Policy - provide independent assurance to the Council on the effectiveness of risk management and internal control by: ==scrutising the Corporate Risk Register every six months to ensure it is reflective of the strategic risks to the delivery of the Council's objectives== - scrutising the Annual Governance Statement to ensure it is a correct reflection of internal control, risk management and governance - receiving reports from Internal Audit, External Audit and other inspection bodies indicating weakness in internal control, risk management or governance.

OFFICERS

Group/Individual	Responsibilities
6. City Director and Strategic Leadership Team	Overall responsibility to: - ensure the Annual Governance Statement is an accurate reflection of internal control, risk management and governance (City Director to sign) - oversee corporate and cross cutting risks, and resolve conflicts and competing demands for resources.
7. Strategic Director – Business Change	- own the Corporate Risk Register, oversee its updating and monitoring - lead a periodic review of Corporate Risks with the Strategic Leadership Team, and the Executive Board.
8. Strategic Director Neighbourhoods	Overall responsibility for Civil Contingency and Business Continuity Planning, (informed by the Corporate Risk Register, Directorate Risk Registers and by liaison with Civil Protection Unit), and: - act as the Business Continuity lead officer - ensure that strategic decisions do not undermine organisational resilience, or adversely affect the ability of the Council to respond, and maintain the delivery of critical services, during emergencies and disruptions. ==act as the Senior Information Risk Owner (SIRO) for the Council==
9. Strategic Directors	Overall responsibility to ensure that: - effective risk management exists in their directorate - that actions to deliver agreed risk mitigations are clearly identified in the relevant directorate/service/team plans, and through this to individual "My Performance" objectives. - the Directorate Risk Register is maintained, is reviewed quarterly by the Directorate Leadership Team, and six monthly by the Directorate Scrutiny Commission - key decision reports contain a balanced and considered risk assessments - key risks to ==directorate== and service plans are identified, owned and managed to maximise achievement of objectives, and contingency planning and business continuity arrangements are resourced and

	reviewed
	• risks are considered for all key operations, including Partnership working
	• key fraud and corruption risks are considered as part of the Directorate Risk Register
	• approve actions/plans with residually high risk ie those outside the City Council's risk tolerance and where necessary are escalate to SLT
	• directorate training plans reflect risk management issues
	• officers understand and comply with the requirements of the Risk Management Policy Statement and related guidance.
10. Monitoring Officer	Provide assurances regarding overall legal risk management of the Council for the Annual Governance Statement and input to risk registers as required.
11. Service Director: Finance	Identify and monitor key revenue budget and capital programme risks. Ensure appropriate external insurance cover, and as s151 Officer provide assurances regarding overall financial risk management of the Council for the Annual Governance Statement, signing the statement.
12. Service Directors, third and fourth tier/Service Plan(s) managers	Ensure that risks to services are properly managed and that: • service team risk registers are maintained as needed and reviewed regularly • any significant new risks identified through the business planning process are fed through to the line manager, and escalated for consideration by the Directorate Leadership Team • the Risk Management Framework is embedded in their Service areas, and that staff are aware of the underlying risk management principles. • that delivery of mitigations is clearly identified through the business planning process. Report all fraud and corruption incidents to the Chief Internal Auditor to inform fraud risk assessment and management.
13. Internal Audit	As Risk Managers: • support the roll-out of a risk management framework across the Council • facilitate review and challenge of the Corporate Risk Register • provide advice, support, and training on risk management (including to Members) • report progress with risk management to Members, particularly the Audit Committee, and to Strategic Directors • help formulate the risk management strategy • arrange for the annual review of the risk management policy. As Auditors: • plan audit work to take into account key risks, and how effectively they are managed so as to providing assurances for the Annual Governance Statement and the Corporate Risk Register • undertake periodic reviews of the effectiveness of risk management • undertake proactive fraud prevention and detection work based on

	an assessment of fraud risk to the Council • prepare, on behalf of the Mayor and City Director, the Annual Governance Statement.
14. Civil Contingency Manager	Ensure: • service continuity risks affecting a critical service are addressed in a Business Continuity Plan, and reflected in the Directorate Business Continuity Plan • the Directorate Leadership Teams are aware of emerging new high risks to business continuity planning.
15. Performance Improvement Team	• Supporting the development of strategic and service planning which ensures robust consideration of risk.
16. Councillor(s) Support Officers	• Monitor inclusion of a risk assessment in all reports to Cabinet requiring a decision.
18 Civil Protection Unit	• Ensure Corporate Continuity Planning takes account of risks in the Corporate, Directorate and Service Planning Risk Registers, as well as external risks in the Community Risk Register. • Promote and assist contingency planning and business continuity at Corporate, Directorate and Service Delivery level to mitigate risks outside the Council's risk tolerance.
19 Corporate Safety Team	• Provide technical and advisory assistance to Strategic Directors, Managers and staff to promote and maintain effective safety, health, and welfare services. • Conduct audits of health and safety arrangements, including the completion of Health and Safety risk assessments.
20. All Staff	Be familiar with the Risk Management policy. Maintain an awareness of risks, and feed into the formal processes, including alerting management to: • risks which are inappropriately managed, or the level of current (residual) risk is unacceptably high • incidents or near misses.

6.Further Guidance

❑ Risk management intranet Source pages