

# Resources Scrutiny Commission Supplementary Information



**Date:** Monday, 24 September 2018

**Time:** 3.00 pm

**Venue:** Room 1P05, 1st Floor - City Hall, College Green, Bristol, BS1 5TR

## Distribution:

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**Date:** Friday, 21 September 2018



# Supplementary Agenda

## 11. Corporate Risk Management Report and Corporate Risk Register

The Resources Commission are asked to consider the biannual review of the Resources Directorate Risk Register and comment on any areas of interest.

**(Pages 3 - 25)**



# Resources Scrutiny Commission

24<sup>th</sup> September 2018



**Report of:** Director Finance, S151

**Title:** Resources Directorate Risk Register Update

**Ward:** Citywide

**Officer Presenting Report:** Denise Murray – Director of Finance, S151

**Contact Telephone Number:** 0117 3576255

## Recommendation

The Resources Commission are asked to consider the biannual review of the Resources Directorate Risk Register and comment on any areas of interest.

## Summary

The risks defined in this report are captured by service sections with the Resources Directorate:

The following represent the most significant risk for Resources as at June 2018:

- 1) IT Infrastructure
- 2) Cyber-attack threats and implications
- 3) Corporate Health and Safety
- 4) Asbestos
- 5) Procurement and Commercial Framework
- 6) Fraud and Corruption



## 1. Policy

- 1.1. The Audit Committee is responsible for providing independent assurance to the Council regarding the effectiveness of its strategic risk management arrangements. The Council has a Risk Management Policy which requires strategic risks to the Council, and details of how they are managed, to be recorded in the form of the Corporate Risk Register Report and Directorate Risk Registers (strategic risk registers).
- 1.2. Whilst the Corporate Risk Register Report is scrutinised by the Audit Committee on a six monthly basis, it was agreed at Overview and Scrutiny Management Board, that the Directorate Risk Registers will be scrutinised by each Directorate scrutiny twice a year. They will however also be provided once each year to Audit Committee, for information (not scrutiny) to provide the Audit Committee with assurance that Directorate Risk registers in place and effectively scrutinised.

## 2. Risk Management and the Corporate Risk Register (CRR)

- 1.3. As part of good governance, the Council manages and maintains a register of its significant risks assigning named individuals as responsible officers for ensuring the risks and their treatment measures are monitored and effectively managed.
- 1.4. The Corporate Risk Register (CRR) is a critical tool for capturing and reporting on risk activity, the organisations risk profile and an integral element of the Council's internal governance and performance frameworks. The risk register is a working document and the data within the register is used to inform the business of the threats and opportunities it faces in delivering outcomes and services to the Council. It is used to ensure the organization operates effectively and Leadership Teams take assurance that all necessary steps are being taken to ensure the risks are managed to a level acceptable to them. The Corporate Risk Register was last reported to Cabinet on 3<sup>rd</sup> July 2018 and the Audit Committee on 16<sup>th</sup> July 2018.

## 3. Consultation

- a. **Internal** - First to fourth tier managers, Leadership Team, Corporate Leadership Team, Cabinet Member, Finance, Governance and Performance.
- b. **External** - None

## 4. The Resources Directorate Risk Register (RDRR)

- 4.1. The RDRR informs the council on significant risks to the achievement of the Resources Directorate Objectives to ensure it is anticipating and managing key risks to optimise the achievement of the council's objectives and prioritise actions for managing those risks. The RDRR provides assurance to management and Members that the Resources significant risks have been identified and arrangements are in place to manage those risks within the tolerance levels agreed.
- 4.2. The RDRR is an important tool in managing risk. It aims to provide an overview of the significant risks facing Resources and how they are being managed. The RDRR attached to this report at Appendix A is the latest formal iteration following a review by members of the council's Resources Executive Directors Management Team (EDM) and Corporate Leadership Board (CLB) in June 2018. The risk review has included managers from across the Council.

- 4.3. The RDRR was reviewed by the Resources EDM in June 2018. The directorate reports biannually to Members, ensuring that they are aware of the significant critical and high level risks facing the directorate and how the council are ensuring these risks are effectively managed.
- 4.4. As strategic planning, resource management and resilience processes are strengthened; the identification, management and communication of risk to the achievement of the Council's strategic priorities and objectives will continue to embed.
- 4.5. The RDRR was developed following:
- Risk identification and assignment of a risk owner who is responsible to ensure each risk is effectively managed; current mitigations and further actions to ensure the risk is identified and interventions planned,
  - Review by EDM to ensure risk levels are correctly identified; and target risk levels where stated are acceptable.
- 4.6. The Resources Directorate Risk Register is attached at Appendix 1. The register is presented in the standard format agreed by CLB and uses the risk management methodology in the risk management policy agreed by Cabinet in January 2018.
- 4.7. Appendix 1 pages 16 and 17 will assist Members in understanding risk levels recorded in the register. The risk matrix, guidance parameters used to measure impact and Guidance parameters used to measure likelihood and the supporting scoring criteria.
- 4.8. The RDRR sets out the significant critical and high rated risks. All other business risks reside on the Resource Service Risk Registers (RSRR). The Resources Directorate Risk Register (RDRR) as June 2018 contains: No Critical risks, 7 high risks and 1 new risk. 6 risks improved in quarter 1. A summary of the progress of risk for this reporting period is set out below.
- 4.9. The following paragraphs summarise the key changes to the Resources Risk Register since its last presentation:

### **Improved risks**

#### **1) Resources Directorate and CLB Risk**

**Leadership:** If there is a lack of leadership or management skills then this could impact on performance and the ability to deliver positive change. The risk improved from 4x5 (20) high risk to 2x5 (10) medium risk. The council has made significant progress on the development of its leadership and management skills to help deliver positive change. This risk is managed and monitored on the Resources Risk Register.

#### **2) Policy and Strategy Risks**

**Strategy Management:** The council fails to produce or embed a Corporate Strategy with clear links through to business planning and performance management, resulting in less effective implementation of policy, use of resources and/or partnership working. The risk improved from 2x7(14) high to 1x7 (7) a medium risk. The council has made significant progress on the Strategy Management to help deliver BCC's Corporate Plan 2018-23. This risk is managed and monitored on the Resources Risk Register.

### 3) Human Resources and Workforce Strategy Risks

- **Service Review:** If the organisation is not able to redesign its services quickly enough, a reduction in staffing levels and loss of experienced and skilled staff will have an impact on service delivery, and on remaining staff. This has improved from 4x5 (20) high risk to 3x5 (15) high risk. The senior management restructure is nearing completion and the external support from the Local Government Association (LGA) on the recruitment process has led to all roles being recruited against in the new leadership framework. This approach will be rolled out to the wider organisation as part of the performance and talent management refresh. There have been regular internal communications with staff, members and key stakeholders to keep everyone up to date with developments. The senior management restructures are scheduled for completion by end of July 2018. This risk is managed and monitored on the Resources Risk Register.

### 4) Finance Service Risks

**Financial Framework & Medium Term Financial Planning:** Failure to reasonably estimate and agree the financial 'envelope' available, both annually and in the medium-term and the council is unable to set a balanced budget improved from 2x7 (14) high risk to 2x5 (10) medium risk. The council has developed a strong rolling Medium-term financial planning process and is working to ensure a rigorous structure exists to oversee the budgetary control process from budget setting through to monitoring, oversight & scrutiny. This risk is managed and monitored on the Resources Risk Register.

### 5) Legal and Democratic Service Risks

**Information Governance - Introduction of the General Data Protection Regulations (GDPR):** The council has made significant progress on compliance with the General Data Protection Regulations (GDPR). The risk improved from 2x7 (14) high risk to 2x5 (10) medium risk. The next steps are to deliver a Business Case to the Statutory and Policy Board (SPB) in June 2018. This risk is managed and monitored on the Resources Risk Register.

#### New risk

### 6) Procurement and Commercial Service

The risk that procurement and commercial practices on the supply and buy side not being efficient and effective.

All identified risks were reviewed in light of the revised scoring and set the performance for future reviews. All risks on the RDRR have management actions in place. The RDRR is currently subject to a refresh during 2018.

As with all risks, it is not possible to eliminate the potential of failure entirely without significant financial and social costs. The challenge is to make every reasonable effort to mitigate and manage risks effectively, and where failure occurs, to learn and improve.

Further details are contained in Appendix A: The summary of the risks are set out on pages 1 to 13 including controls and management actions, a summary of risk performance on page 14 and 15, the risk matrix on page 16 and the risk scoring criteria on page 17. A more in-depth risk register is available on request.

## 5. Public Sector Equality Duties

- 5a) Before making a decision, section 149 Equality Act 2010 requires that each decision-maker considers the need to promote equality for persons with the following “protected characteristics”: age, disability, gender reassignment, pregnancy and maternity, race, religion or belief, sex, sexual orientation. Each decision-maker must, therefore, have due regard to the need to:
- i) Eliminate discrimination, harassment, victimisation and any other conduct prohibited under the Equality Act 2010.
  - ii) Advance equality of opportunity between persons who share a relevant protected characteristic and those who do not share it. This involves having due regard, in particular, to the need to --
    - remove or minimise disadvantage suffered by persons who share a relevant protected characteristic;
    - take steps to meet the needs of persons who share a relevant protected characteristic that are different from the needs of people who do not share it (in relation to disabled people, this includes, in particular, steps to take account of disabled persons' disabilities);
    - encourage persons who share a protected characteristic to participate in public life or in any other activity in which participation by such persons is disproportionately low.
  - iii) Foster good relations between persons who share a relevant protected characteristic and those who do not share it. This involves having due regard, in particular, to the need to –
    - tackle prejudice; and
    - promote understanding.
- 5b) No equalities assessment necessary for this report.

### Appendices:

**Appendix A – Resources Directorate Risk Register** - The summary of the risks are set out on pages 1 to 13 including controls and management actions, a summary of risk performance on page 14 and 15, the risk matrix on page 16 and the risk scoring criteria on page 17.

## LOCAL GOVERNMENT (ACCESS TO INFORMATION) ACT 1985

### Background Papers:

Risk Management Policy

Resources Risk Register as at June 2018 - Risks to the achievement of Bristol City Councils Objectives: Service Area – Resources – Head of Paid Service and CLB									
Risk title and description	What we have done	Performance	Current Risk Level			What we are doing	Tolerance Risk Level		
			Likelihood	Impact	Risk Rating		Likelihood	Impact	Risk Rating
<p><b>DRR1: Leadership.</b></p> <p>If there is a lack of leadership or management skills then this could impact on performance and the ability to deliver positive change.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>• Loss of experienced managers.</li> <li>• New skills sets required to meet new challenges.</li> <li>• Poor communication regarding change and new initiatives.</li> <li>• Need to make savings / increase income.</li> </ul>	<p>A senior management restructure is almost complete which will bring permanency and stability for the leadership team.</p> <p>A new Leadership Framework sets out the leadership behaviours and qualities expected of our managers and aspiring managers. Applicants for senior leadership roles are tested against these qualities.</p> <p>An organisation-wide leadership development and engagement programme will support colleagues during the time of transition. The Leadership Framework will be rolled out to provide support to enable our staff to become confident and supportive leaders for our workforce.</p> <p>To promote a positive culture within the organisation, a set of organisation values and behaviours has been created in collaboration with staff focus groups; this will help set the tone of the organisation and assist, in conjunction with the Corporate Strategy priorities, in providing clarity of purpose. It will link directly through to a new performance framework that will provide clarity to staff about the expectations and how their work contributes to the success of the organisation. This will feature in the Workforce Plan which is currently being drafted.</p> <p>Learning and development is available to support staff to meet the expectations of the organisation.</p> <p>The Corporate Strategy and associated Business Plans will provide clarity on priorities and help our workforce focus its attention and resources on the areas that derive greatest results for our communities and residents.</p>	<p>↑</p>	2	5	10	<p>The Senior leadership restructure is complete with recruitment underway for remaining vacant roles. A full permanent team will be in place by January 2019 and appropriate arrangements are in place to cover vacant roles whilst we are recruiting.</p> <p>The organisation values and behaviours have been adopted as part of Corporate Strategy and are being rolled out to all employees via team workshops.</p> <p>A new leadership Framework is in place and used as the assessment framework to recruit new senior leaders against. A development programme for the new team is in the planning stages - to help the new team work effectively together.</p> <p>A leadership development programme is underway for team leaders and managers (4/5 tiers) 148 are currently on the programme with further intakes to follow. Leadership development planning is underway for third tier managers.</p> <p>Learning and development support is available to all staff to help them develop their skills and confidence in their roles.</p> <p>A performance appraisal cycle is underway for 2018/19 with individual objectives set against business plan objectives from the Corporate Strategy. A new approach to performance and talent management is being developed for launch in April 2019.</p> <p>We continue with regular communication briefs with staff and key stakeholders to keep them up to date with organisational priorities and progress on recruitment of the senior leadership team.</p> <p>The developing Workforce Plan will detail the actions we will take to meet the future needs of the organisation and equip colleagues to contribute to the delivery of the corporate strategy priorities.</p>	1	5	5
<p>Risk Owner: Head of Paid Service and CLB.</p>	<p>Action Owner: Head of Paid Service and CLB.</p>	<p>Portfolio Flag: Finance, Governance and Performance.</p>	<p>Strategy Theme: Our Organisation.</p>						



Resources Risk Register as at June 2018 - Risks to the achievement of Bristol City Councils Objectives: Service Area - Policy and Strategy								
Risk title and description	What we have done	Performance	Current Risk Level			Tolerance Risk Level		
			Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p><b>DRR2: Bristol City Council Strategy Management.</b></p> <p>The council fails to produce or embed a Corporate Strategy with clear links through to business planning and performance management, resulting in less effective implementation of policy, use of resources and/or partnership working.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>Plans, policies, budget and/or resource not aligned to the Corporate Strategy.</li> </ul> <p>Significant changes in senior management roles and personnel results in lack of knowledge or a feeling of ownership in relation to the Corporate Strategy.</p>	<p>Full Council received and approved the Corporate Strategy 2018 - 2023 in February 2018.</p> <p>Cabinet received the BCC Business Plan 2018/19 to note in May 2018. This was based on key elements of Service Plans for every department.</p> <p>We have completed and approved the Performance Framework via Statutory and Policy Board in June 2018. The refreshed Performance Framework follows through the golden thread from Corporate Strategy through to KPIs and management information.</p> <p>Communications plan for embedding Corporate Strategy and Business Plans, including full briefing of all Tier 1 - 3 managers and inclusion in My Performance reviews for all colleagues.</p> <p>An ongoing review of the Medium Term Financial Plan (MTFP) and wider policy / strategy framework to check alignment with Corporate Strategy.</p>	↑	1	7	7	1	5	5
<p>Risk Owner: Section 151 Officer, Acting Executive Director Resources.</p>	<p>Action Owner: Acting Director: Policy and Strategy.</p>	<p>Portfolio Flag: Finance, Governance and Performance.</p>			<p>Strategy Theme: Our Organisation.</p>			

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Resources Risk Register as at June 2018 - Risks to the achievement of Bristol City Councils Objectives: Service Area - Human Resources and Workforce Development								
Risk title and description	What we have done	Performance	Current Risk Level			Tolerance Risk Level		
			Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p><b>DRR3: Service Review.</b></p> <p>The organisation is not able to redesign its leadership team quickly enough, which may result in a reduction in staffing levels. The loss of experienced and skilled staff will have an impact on service delivery, and on remaining staff.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>Staff leaving due to service redesign, reduction/ceasing of some service areas, automation of processes, pace of change, efficiency/savings requirements.</li> </ul> <p>Poor morale due to the impact of change and the working environment.</p> <p>Potential increased staff sickness levels.</p>	<p>A senior management restructure is almost complete which will bring permanency and stability for the leadership team.</p> <p>A new Leadership Framework sets out the leadership behaviours and qualities expected of our managers and aspiring managers. Applicants for senior leadership roles are tested against these qualities.</p> <p>An organisation-wide leadership development and engagement programme will support colleagues during the time of transition. The Leadership Framework will be rolled out to provide support to enable our staff to become confident and supportive leaders for our workforce.</p> <p>To promote a positive culture within the organisation, a set of organisation values and behaviours has been created in collaboration with staff focus groups; this will help set the tone of the organisation and assist, in conjunction with the Corporate Strategy priorities, in providing clarity of purpose. It will link directly through to a new performance framework that will provide clarity to staff about the expectations and how their work contributes to the success of the organisation. This will feature in the Workforce Plan which is currently being drafted.</p> <p>Learning and development is available to support staff to meet the expectations of the organisation.</p> <p>The Corporate Strategy and associated Business Plans will provide clarity on priorities and help our workforce focus its attention and resources on the areas that derive greatest results for our communities and residents.</p>	↑	3	5	15	2	5	10
Risk Owner: Head of Paid Service.	Action Owner: Director of Workforce Change.	Portfolio Flag: Finance, Governance and Performance.			Strategy Theme: Our Organisation, Wellbeing.			

Resources Risk Register as at June 2018 - Risks to the achievement of Bristol City Councils Objectives: Service Area - Human Resources and Workforce Development									
Risk title and description	What we have done	Performance	Current Risk Level			What we are doing	Tolerance Risk Level		
			Likelihood	Impact	Risk Rating		Likelihood	Impact	Risk Rating
<p><b>DRR4: Failure to Manage Asbestos.</b></p> <p>Failure to manage the asbestos management plan for properties.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>• Staff availability to carry out work plans in a safe way.</li> <li>• Lack of appropriate training.</li> <li>• Lack of oversight and control by local management.</li> <li>• Lack of information on the potential or known risks.</li> <li>• Inadequate contract management arrangements.</li> <li>• Lack of effective processes and systems consistently being applied.</li> <li>• Policies are not kept up to date.</li> <li>• Budget pressures.</li> </ul>	<p>We have an ongoing plan for properties to be surveyed prior to any work being undertaken by Asbestos Consultants plus an ongoing programme of surveys is being carried out.</p> <p>Funding for Contractor training was agreed in February 2018.</p> <p>There is a process for reporting Asbestos exposure incidents to the HSE via F2508 form. Asbestos incidents are reported via the Corporate health and safety accident/incident process. Asbestos incidents are investigated in-house and appropriate actions taken. Significant asbestos issues are reported to the appropriate Health &amp; Safety Committees, senior management and executive.</p> <p>Corporate Asbestos arrangements have been reviewed and published on the Source, 12th June 2018.</p>	↔	3	7	21	<p>A corporate review of Asbestos arrangements is being carried out by end Q2 2018/19.</p> <p>All managers will be informed of reviewed Asbestos arrangements by use of CHaSMS by end August 2018.</p> <p>Housing and Property Service are reviewing and updating the service area Asbestos arrangement procedures in December 2018.</p> <p>Contractor training to inform of BCC's expectations of standards, whilst on our sites arrangements is being carried out by end Q2 2018/19.</p>	1	7	7
<p>Risk Owner: Head of Paid Service and Executive Director Growth and Regeneration.</p>	<p>Action Owner: Director of Workforce Change.</p>	<p>Portfolio Flag: Finance, Governance and Performance.</p>			<p>Strategy Theme: Our Organisation.</p>				

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Resources Risk Register as at June 2018 - Risks to the achievement of Bristol City Councils Objectives: Service Area - Human Resources and Workforce Development									
Risk title and description	What we have done	Performance	Current Risk Level			What we are doing	Tolerance Risk Level		
			Likelihood	Impact	Risk Rating		Likelihood	Impact	Risk Rating
<p><b>DRRS: Corporate Health, Safety and Wellbeing.</b></p> <p>If the City Council does not meet its wide range of Health &amp; Safety requirements then there could be a risk to the safety of citizens.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>• If services do not have sufficient staff numbers to carry out work plans in a safe way.</li> <li>• If services are not able to order appropriate equipment required for staff safety.</li> </ul> <p>Lack of appropriate equipment.                      Lack of appropriate training.                      Lack of oversight and control by local management.                      Lack of information on the potential or known risks.</p> <ul style="list-style-type: none"> <li>• Inadequate contract management arrangements.</li> <li>• Lack of effective processes and systems consistently being applied.</li> <li>• Policies are not kept up to date.</li> <li>• Budget pressures.</li> </ul>	<p>The Corporate Health &amp; Wellbeing (HS&amp;W) team is in place to support the council and provide advice and guidance. The Corporate Policy Statement, service specific policies, procedures and systems of work and safety arrangements are in place and routinely reviewed.</p> <p>BCC has a Corporate Health and Safety Management System (CHaSMS) to identify and monitor hazards, risks and appropriate actions. Each manager (with staff and /or premises responsibilities) have an action plan which is completed by all Managers on a quarterly basis. Once completed the (HS&amp;W) team check the returns, and give relevant feedback to the individual Managers and report the overall results to Senior Management.</p> <p>The accident/incident reporting procedure is in place to monitor injury to colleagues and communicated. All incidents are subject to the investigation procedure to reduce potential for recurrences.</p> <p>Corporate procedures and a risk assessment pro-forma exist for core safety functions including arrangements for fire risk assessment of all workplaces. A register is in place for potential asbestos exposures. We have reviewed and further invested in statutory health surveillance equipment and training and a programme of work in place within council housing post Grenfell.</p> <p>BCC has a programme of e-learning and personal face to face course delivery available to all staff and members. Ongoing specific training on H&amp;S and excessive pressure/ personal resilience is also available. Stress management training and stress risk assessment training is available for managers and employees.</p> <p>An independent occupational health support (NHS Avon Partnership Occupational Health Service) is in place to provide advice, employee support, management medical opinion and advice to support managers dealing with employee ill-health and absence. A pre-employment health screening service is in place to ensure reasonable adjustments are identified to support employees and also an HGV driver medical support service. A confidential Employee Assistance Programme, Wellbeing telephone helpline operates (24hrs / 7 days a week); this programme also includes a range of Wellbeing information via a website. Partnerships with external providers of counselling and physiotherapy services are in place to provide fast-track access to these services. The council is routinely monitoring these services.</p> <p>The Intelligence network including the Corporate Safety Information System is in place to share details of the addresses to the Citizens of Bristol considered to present risks to staff.</p> <p>Corporate Health and Safety is reported to the Leadership team quarterly using the CHaSMS to help monitor compliance.</p> <p>BCC also has a system of Trade Union Consultation with Health and Safety trained Representatives.</p> <p>Benchmarking and annual reports are provided to BCC along with the annual performance report.</p> <p>All contracts set up with external providers include checking their relevant Health and Safety competency.</p> <p>The councils audit programme monitors compliance with statutory duty and best practices.</p>	↔	3	7	21	<p>A revised electronic accident /incident database will be launched in April 2019 which will inform on the annual report and action plan.</p> <p>A revised approach to Health and Safety compliance will be reviewed and aligned to the Corporate H&amp;S Management System (CHaSMS) by April 2019.</p> <p>A review of H&amp;S serious cases will be completed in September 2018.</p> <p>A review of the Directorate H&amp;S Co-ordinators Group (DHSWCG) and its reporting of H&amp;S issues will be carried out by September 2018.</p> <p>The programme of work post Grenfell which will be further developed in line with any emerging themes/outcomes from the Public Enquiry.</p>	1	7	7
<p>Risk Owner: Head of Paid Service and Executive Director Growth and Regeneration.</p>	<p>Action Owner: Director of Workforce Change.</p>	<p>Portfolio Flag: Finance, Governance and Performance.</p>	<p>Strategy Theme: Our Organisation.</p>						

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Resources Risk Register as at June 2018 - Risks to the achievement of Bristol City Councils Objectives: Service Area - Finance								
Risk title and description	What we have done	Performance	Current Risk Level			Tolerance Risk Level		
			Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p><b>DRR6: Financial Framework and MTFP.</b></p> <p>Failure to reasonably estimate and agree the financial 'envelope' available, both annually and in the medium-term and the council is unable to set a balanced budget.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>Inadequate budgeting &amp; budgetary control/Financial Settlements &amp; wider fiscal policy changes:                             <ul style="list-style-type: none"> <li>The potential for new funding formulas such as fair funding, business rates retention, new national funding formula for schools and High Needs to significantly reduce the government funding available to the council alongside possible increase in demand for council services.</li> <li>Political failure to facilitate the setting of a lawful budget.</li> <li>Unable to agree a deliverable programme of propositions that enable the required savings to be achieved.</li> <li>Insufficient reserves to mitigate risks and liabilities and provide resilience.                                     <ul style="list-style-type: none"> <li>Rising inflation could lead to increased costs.</li> </ul> </li> </ul> </li> <li>Economic uncertainty impact on locally generated revenues - business rates and housing growth, impacting on council tax, new homes bonus and business rate income.</li> <li>Brexit - the general uncertainty affecting the financial markets, levels of trade &amp; investment.</li> <li>Judicial review.</li> </ul>	<p>BCC manages its financial risks through a range of controls including budget preparation, budget setting and a Budget Accountability Framework. Roles and responsibilities for managing, monitoring and forecasting income and expenditure against approved budgets have been updated.</p> <p>The council has developed a strong rolling Medium-term financial planning process to enable the strategic objectives and statutory duties are met. We are working to ensure a rigorous structure exists to oversee the budgetary control process from budget setting through to monitoring, oversight and scrutiny including:</p> <ul style="list-style-type: none"> <li>The level of reserves and balances are regularly reviewed to ensure that account is taken of any financial risk.</li> <li>Financial Regulations and Financial Scheme of Delegation is in place.</li> <li>Regular in-year monitoring and reporting, review of future financial plans and assessment of financial risks and reserves are undertaken to ensure the financial plans are delivered.</li> <li>2018/19 Budget and Capital Programme agreed by Full Council in February 2018 with agreed savings programme and outline capital programme to 2023.</li> <li>Medium Term Financial Strategy agreed by Cabinet in July 2017 and refreshed annually detailing savings, growth, and risks.</li> <li>The Mid-Year Treasury Report for 2017/18 presented to Audit Committee and Full Council in accordance with the Council's Treasury Management Process.</li> <li>Challenge meetings to challenge 2018/23 budget process are ongoing.</li> <li>The ongoing production of a programme of propositions that exceed the forecasted budget gap to provide members with options and headroom for variations in financial estimates.</li> <li>Changes to propositions are maintained in the DWG Tracker.</li> <li>The ongoing agreement of initial budget, proposals and key assumptions by Corporate Leadership Board and Executive and submission to scrutiny.</li> <li>The ongoing assessment of the adequacy of general reserves and any specific reserve which takes into account an assessment of the risks related to the budget estimates and financial/economic climate.</li> <li>The maintaining of the evolving financial model that reflects in a timely manner changes in national and local assumptions.</li> </ul>	<p>↑</p>	2	5	10	1	5	7
<p>Risk Owner: S151 Officer and Director of Finance.</p>	<p>Action Owner: Section 151 Officer, Acting Executive Director Resources and Acting Director of Finance.</p>	<p>Portfolio Flag: Finance, Governance and Performance.</p>	<p>Strategy Theme: Our Organisation.</p>					

Resources Risk Register as at June 2018 - Risks to the achievement of Bristol City Councils Objectives: Service Area - Finance									
Risk title and description	What we have done	Performance	Current Risk Level			What we are doing	Tolerance Risk Level		
			Likelihood	Impact	Risk Rating		Likelihood	Impact	Risk Rating
<p><b>DRR7: Financial Deficit.</b></p> <p>The council's financial position goes into significant deficit in the current year resulting in reserves (actual or projected) being less than the minimum specified by the council's reserves policy.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>• A failure to appropriately plan and deliver savings unscheduled loss of material income streams.</li> <li>• Increase in demography, demand and costs for key council services.</li> <li>• The inability to generate the minimum anticipated level of capital receipts.</li> <li>• Insufficient reserves to facilitate short term mitigations, risks and liabilities.</li> <li>• Interest rate volatility impacting on the council's debt costs.</li> </ul>	<p>BCC's Financial framework ensures that we have in place sound arrangements for financial planning, management, monitoring and reporting. New spend decisions and borrowing is only supported where the source of revenue resources to meet the costs is clearly identified and availability confirmed by Finance. Getting our accounts produced on time and without audit qualification is important to ensure that we can properly account for the resources we have used during the year.</p> <p>Corporate Revenue Monitoring Reports with identified risks are reported to Cabinet, overspending departments prepare action plans with responsible Directors identified.</p> <p>The ongoing review and due diligence of all budget savings by Delivery working Group and Delivery Executive, Corporate Leadership Board and the Executive. The pipeline of propositions to be incorporated into the DWG tracker, due diligence undertaken and subject to DWG/DE governance and assurance process.</p> <p>The ongoing regular monitoring reports to Corporate Leadership Team and Cabinet management reports setting out progress on delivery of savings and other risks and opportunities in addition to the forecast expenditure.</p> <p>We have continual oversight and ongoing management of the council's financial risks.</p> <p>Internal audit also undertakes a number of reviews of our financial planning and monitoring arrangements.</p>	↔	2	5	10	<p>A review of robustness of forecasting in light of YTD run rates and other associated evidence.</p> <p>Budget Improvement – The executive will review service recovery/delivery plans, options for mitigation and their viability, risk and priority outcome implications - both immediate and the wider MTFP impact.</p> <p>Where viable in year recovery/delivery plans cannot be achieved, Strategic Directors will report to the Mayor and Cabinet seeking a supplementary funding approval in accordance with the council's delegated executive approval powers (up to £1,000,000 for an area of activity).</p> <p>Where viable in year recovery/delivery plans cannot be achieved, Strategic Directors will report to prepared for Full Council (in accordance with the Budget &amp; Policy framework ) to seek agreement to a supplementary estimate (&gt; £1,000,000 for an area of activity).</p> <p>We will seek agreement from the Executive of the alternative measures held in abeyance across other General Fund services e.g. which will be offset and advise all associated Strategic Directors appropriately.</p> <p>We will carry out a re-assessment of service delivery risks and opportunities and risk and other reserves.</p>	1	5	5
Risk Owner: S151 Officer and Director of Finance.	Action Owner: Section 151 Officer, Acting Executive Director Resources and Acting Director of Finance.	Portfolio Flag: Finance, Governance and Performance.			Strategy Theme: Our Organisation.				

Resources Risk Register as at June 2018 - Risks to the achievement of Bristol City Councils Objectives: Service Area: Legal and Democratic Services									
Risk title and description	What we have done	Performance	Current Risk Level			What we are doing	Tolerance Risk Level		
			Likelihood	Impact	Risk Rating		Likelihood	Impact	Risk Rating
<p><b>DRR8: Information Governance.</b></p> <p>Introduction of the General Data Protection Regulations (GDPR).</p> <p>If the City Council fails to prepare for successful implementation of the General Data Protection Regulations (GDPR) then it may fail to fully comply with its statutory requirements.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>• Failure to adequately plan for the implementation of the GDPR being introduced in May 2018.</li> <li>• Failure to invest in the required systems, equipment and posts required to implement these regulations.</li> <li>• Failure to adequately train staff in the requirements of the regulations.</li> <li>• Lack of resource (capacity or expertise) to manage Subject Access Requests.</li> </ul>	<p>A project team was put in place November 2017 and a plan developed around the Information Commissioners Office (ICO) 12 step plan January 2018. A 'Senior Information Risk Owner' was appointed (SIRO) February 2018 and Project Manager in November 2017, funding for additional Project Resource was approved by Statutory and Policy Board, April 2018. An informed Health Check with a supporting action plan was put in place February 2018 refocussing the project on essential elements of compliance for 25 May 2018. An Assurance Group is in place to support the SIRO and will continue to meet to manage and monitor the plan. The Extended Director Management Team has been briefed and weekly progress updates provided.</p> <p>The Data Protection/ Data Retention Policies have been updated and Data Protection (DP) guidance has been revised. The Data Protection Officer is in post and the Statutory Data Protection Officer has been appointed Q4. 2017/18. We have reviewed and implemented the Privacy Impact Assessment process and updated data sharing agreements with external partners and written to 1,200 highest risk suppliers to advise changes to contract.</p> <p>A Data Protection Audit of Personal Data held has been carried out and the Record of Processing Activities (ROPA's) completed.</p> <p>Interim improvements have been made to the Subject access request process to centralise the receipt of requests. The anticipated increase in requests has not yet materialised and improvements have been made to the way Data breaches are reported.</p> <p>Support has been provided to schools including a brief, guidance and templates and access to a data protection lawyer. Assurance that GDPR companies and schools are compliant was reviewed in Q4. 2018 and is ongoing. Members have been briefed and template ROPA's and Privacy Notices provided in Q4. 2017/18.</p> <p>A staff E-Learning package was launched and 99.9% of staff completed this. A training package was also been launched for staff who do not have access to ICT systems. New notices have been made available on the council web site detailing how we use personal data in a more transparent manner.</p> <p>Communication has been via the Source with council wide GDPR Communication in May 2018 as well as the ask GDPR mailbox, twice weekly drop-in sessions and the intranet - Source page has been updated with guidance, templates and examples for GDPR actions.</p> <p>There is regular reporting to the Cabinet Member for Finance, Governance and Performance, Deputy Mayor Cllr. Cheney, on progress against GDPR plan with updates provided to the Audit Committee quarterly.</p>	<p>↑</p>	2	5	10	<p>We have made significant progress on compliance with the General Data Protection Regulations (GDPR). Our next steps are to deliver a Business Case to the Statutory and Policy Board (SPB) in June 2018.</p> <p>This risk has improved within the quarter and will be moved to the Resources Directorate Risk Register to continue to be managed and monitored.</p>	2	3	6
<p>Risk Owner: Senior Information Risk Owner (SIRO).</p>	<p>Action Owner: Senior Information Risk Owner (SIRO) and GDPR Project Manager.</p>	<p>Portfolio Flag: Finance, Governance and Performance.</p>	<p>Strategy Theme: Our Organisation.</p>						

Resources Risk Register as at June 2018 - Risks to the achievement of Bristol City Councils Objectives: Service Area - Information Technology (IT)									
Risk title and description	What we have done	Performance	Current Risk Level			What we are doing	Tolerance Risk Level		
			Likelihood	Impact	Risk Rating		Likelihood	Impact	Risk Rating
<p><b>DRR9: IT Infrastructure.</b></p> <p>IT Infrastructure does not meet service delivery requirements then there could be serious implications for the organisation and the people it serves.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>• Lack of infrastructure investment in IT.</li> <li>• Reliance on legacy systems.</li> <li>• Limited integration with corporate systems.</li> <li>• Lack of skilled staff.</li> <li>• Retention of skilled staff.</li> <li>• Confidence in resilience of IT infrastructure response.</li> <li>• Limited business engagement to identify appropriate IT solutions.</li> <li>• Limited identity and access management.</li> </ul>	<p>A Future State Assessment (FSA) review has been undertaken of the performance of the IT service and the technology in use. The FSA Rollout 2018/19 is ongoing subject to cabinet approvals and funding in July 2018.</p> <p>An Internal Audit of FSA review was carried out May/June 2018.</p> <p>The IT Strategy was developed May/June 2018 and the FSA transition plan completed May/June 2018.</p> <p>The financial envelope created and financial review April 2018.</p> <p>The IT Impact assessment is in place and will be communicated and trained during Q2/3. 2018.</p> <p>IT resilience improvements have been made to underlying data storage, data centre capability and network resilience during 2018/19.</p> <p>There is an on-going programme of review relating to IT Disaster Recovery and Business Continuity. All internal IT security incidents are logged and reviewed from an IT and wider Information Governance perspective.</p>	<p>↔</p>	3	7	21	<p>BCC continues to delivery against the FSA Plan to 2023 which includes the future investment, improvements to legacy IT, solution based integration to future systems, business engagement and confidence in our resilience of operational for out IT Infrastructure.</p> <p>BCC will review of the skills within the IT team as set out in the FSA Plan by Q3. 2018/19. The transition planning (projects delivery) initial resources recruitment is underway Q1. 2018/19.</p> <p>A phased implementation of a series of key projects identified as part of the FSA review and prioritised to deliver mitigation against the risks identified starting in Q2. 18/19 planned completion by end 2021. Key projects include:</p> <ul style="list-style-type: none"> <li>• The Cloud migration project.</li> <li>• A phased Cloud productivity solution</li> <li>• A phased implementation for a Customer Relationship management solution.</li> <li>• A single customer view.</li> <li>• End User Platform.</li> <li>• IT Security.</li> <li>• IT Service support.</li> <li>• Identity and Access Management (IDAM).</li> <li>• Integrated Communications.</li> <li>• Intranet.</li> <li>• IT Service Management (ITSM).</li> <li>• Management information and Business Information MI/BI including Knowledge Management.</li> </ul> <p>Skills assessment of the IT is underway, and a planned restructure will be implemented to support the needed skills and resourcing profile to achieve the FSA transition plan July – December 2018.</p> <p>Core IT processes need to be implemented/re-engineered to drive the service towards more proactive ways of working to support the wider organisations drive to achieve savings and service change July 2018 - July 2019.</p> <p>The decision pathway for release of funds is underway - target completion is Q2. 2018/19.</p> <p>The review of business continuity/contingency plans is progressing well and due by Q3. 2018/19.</p> <p>FSA Project Risk Register update and quarterly reporting is ongoing during lifetime of the project.</p>	1	3	3
Risk Owner: Interim Director: IT.	Action Owner: Interim Director: IT.	Portfolio Flag: Finance, Governance and Performance.			Strategy Theme: Our Organisation, Fair and Inclusive, Well Connected, Wellbeing.				



Resources Risk Register as at June 2018 - Risks to the achievement of Bristol City Councils Objectives: Service Area - Information Technology (IT)								
Risk title and description	What we have done	Performance	Current Risk Level			Tolerance Risk Level		
			Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p><b>DRR10: Cyber-attack threats and implications.</b></p> <p>There could be a risk if the IT service areas are unable to protect the organisation from a successful Cyber-attack, which could impact on data integrity/loss of operational systems across the City Council. This may be due to a successful deliberate or accidental infection of council systems with malware or other intrusive or destructive virus. (e.g. ‘Phishing’ scam) leading to loss or unauthorised access to sensitive business data, deliberate or accidental leak of sensitive information into the public domain, system security arrangements impacted, intelligence availability on latest security arrangement/threats.</p> <p>The impact could result in critical services and business as usual activities could be seriously disrupted, impacting on the services delivered, potential Data protection breach, the cost of recovery from Cyber prevent the impact on colleagues or citizens due to their personal information being obtained along with Information Commissioners (ICO) Sanctions, financial, legal and reputational implications for the council.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>• Successful deliberate or accidental infection of council systems with malware or other intrusive or destructive virus (e.g. ‘Phishing’ scam).</li> <li>• Successful deliberate or accidental leak of sensitive information into the public domain.</li> <li>• System security arrangements not maintained or updated on a timely basis.</li> <li>• Lack of information or training on latest security arrangement / threats.</li> <li>• Human error through lack of training or poor process design.</li> </ul>	<p>The Information Security Policy as revised in August 2016 and the BCC systems have been reconfigured in line with best practice security controls proportionate to the business information being handled.</p> <p>Systems are risk assessed and reviewed to ensure compliance is maintained as a multi layered defence. The Policy, assessment is subject to a formal annual review. External reviews of the council’s Security Compliance is carried out to maintain accreditation and confirm best practice and applied annually.</p> <p>An information security risk assessment was completed to identify risks, lessons learnt and an action plan developed. This assessment and plan informs on the Internal Audit plan for 2018/19.</p> <p>Electronic Communications Users Policy, Virus reporting procedure and Social Media Guidelines are in place.</p> <p>Staff/Members and Partner information security training is provided and ongoing. ‘Enterprise phishing’ training was carried out in 2017.</p> <p>BCC has in place external third party IT support for incident management.</p> <p>We monitor threats, network behaviours and data transfers to seek out possible breaches and take appropriate action.</p>	↔	3	5	15	2	5	10
Risk Owner: Section 151 Officer, Acting Executive Director Resources.	Action Owner: Interim Director IT, Resources.		Portfolio Flag: Finance, Governance and Performance.			Strategy Theme: Our Organisation.		

Resources Risk Register as at June 2018 - Risks to the achievement of Bristol City Councils Objectives: Service Area - Procurement									
Risk title and description	What we have done	Performance	Current Risk Level			What we are doing	Tolerance Risk Level		
			Likelihood	Impact	Risk Rating		Likelihood	Impact	Risk Rating
<p><b>DRR11: Procurement and Commercial Framework.</b></p> <p>The risk that procurement and commercial practices on the supply and buy side not being efficient and effective</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>• Poor or weak contract management</li> <li>• Supplier failure and missed opportunities of warning signs</li> <li>• Poor forward planning</li> <li>• Ineffective Supply chain</li> </ul>	<p>The Commissioning and Procurement Group commenced oversight of contract placement.</p> <p>BCC has adopted a Category Management approach to develop commercial practices and ensure the effective and efficient placement of contracts for BCC as the means to making strategic development to procurement &amp; commercial decision making, and identifying new value for money opportunity.</p> <p>The managing the procurement change agenda has been reviewed and Category Management Plans are now in place.</p>	New	3	5	15	<p>We are currently socialising the Category Management approach with Service areas to align with Service planning.</p> <p>We are developing procurement pipelines which will identify when contracts expire to facilitate upfront planning and future procurements needs.</p> <p>Annual Value for money procurement targets is being established, together with corporate agreement on what can be claimed as cash and non-cash releasing benefit and procurement and commercial performance tracking.</p> <p>A review of the mechanism for identifying and achieving value for money (Vfm) through the procurement activities</p> <p>We are matching capabilities to align expectations with the capabilities and resources available for realising the value for money (Vfm) objectives.</p> <p>Tendering based on upfront design of performance criteria, including contract management and early warning signs linked to supplier failure.</p>	1	5	5
<p>Risk Owner: Section 151 Officer, Acting Executive Director Resources.</p>	<p>Action Owner: Interim Head of Procurement</p>	<p>Portfolio Flag: Finance, Governance and Performance.</p>			<p>Strategy Theme: Our Organisation.</p>				

Resources Risk Register as at June 2018 - Risks to the achievement of Bristol City Councils Objectives: Service Area - Internal Audit									
Risk title and description	What we have done	Performance	Current Risk Level			What we are doing	Tolerance Risk Level		
			Likelihood	Impact	Risk Rating		Likelihood	Impact	Risk Rating
<p><b>DRR12: Fraud and Corruption.</b></p> <p>Failure to prevent or detect acts of significant fraud or corruption against the council from either internal or external sources.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>• Failure of management to implement a sound system of internal control and/or to demonstrate commitment to it at all times.</li> <li>• Not keeping up to date with developments, in new areas of fraud.</li> </ul> <p>Insufficient risk assessment of new emerging fraud issues.</p> <p>Lack of clear management control of responsibility, authorities and / or delegation.</p> <p>Lack of resources to undertake the depth of work required to minimise the risks of fraud /avoidance.</p> <ul style="list-style-type: none"> <li>• Under investment in fraud prevention and detection technology and resource.</li> </ul>	<p>We are continually improving the comprehensive system of control which aims to prevent fraud and increase the likelihood of detection. This includes a strong and robust policy on anti-fraud, corruption and bribery.</p> <p>We take a strong stance when fraud is found and seek financial recovery through a strong and effective counter fraud team.</p> <p>The team concentrates on areas of high fraud risk, investigates fraud promptly where suspected and sanctions appropriately. By, investing in specialist fraud prevention and detection software and utilising cross organisation data to minimise the council's exposure to fraud risk and aid early detection / prevention. An accessible route to report suspected fraud is available to both the public and employees via a Whistleblowing Policy Anti-Fraud, Bribery and Corruption Policy and web page. This ensures that the council's financial systems accurately record the financial transactions and robust control processes are in place which maximise the opportunity to prevent and detect fraud or inaccuracies.</p> <p>Employees are aware of probity standards expected of them via an Employee Code of Conduct, improving awareness of fraud and compliance through a process of reminders about ethics and conduct, fraud awareness training and other publicity, continual maintenance of Counter Fraud information on Web pages and monitoring and review of the effectiveness of the Counter Fraud Arrangements.</p> <p>Key Counter Fraud Objectives were defined for 2018/19.</p> <p>Counter Fraud Performance is monitored by Audit Committee via the Annual Counter Fraud Update, periodic Internal Audit Updates and the Annual review of arrangements against CIPFA Count Fraud Assessment Tool. Improvements are highlighted an action plan which is monitored by Audit Committee.</p>	↔	3	5	15	<p>We are monitoring fraud indicators (warning signs and fraud alerts) to ensure anti- fraud approach is correctly targeted.</p> <p>Capacity and priorities within Internal Audit are to be re-considered. The scale of whistleblowing/fraud referrals received is impacting on the team's ability to deliver preventative work and proactive fraud work which returns savings and other benefits to the council.</p> <p>Legal and financial support arrangements for Counter Fraud work are to be reviewed to ensure recoveries are maximised.</p> <p>The availability, costs and benefits of fraud prevention technology will be reviewed for potential future investment decision.</p> <p>A corporate project to deliver fraud and avoidance savings by March 2019 by improved use of data will be established. We will review of bribery and corruption fraud controls.</p>	2	5	10
<p>Risk Owner: Section 151 Officer, Acting Executive Director Resources and Acting Director of Finance.</p>	<p>Action Owner: Acting Director of Finance and Chief Internal Auditor.</p>	<p>Portfolio Flag: Finance, Governance and Performance.</p>			<p>Strategy Theme: Our Organisation.</p>				

**Key External Risk and Civil Contingency Risks to note - Brexit**

Corporate Risk Register as at August 2018 - Opportunity Risks									
Risk title and description	What we have done	Performance	Current Risk Level			What we are doing	Tolerance Risk Level		
			Likelihood	Impact	Risk Rating		Likelihood	Impact	Risk Rating
<p><b>Brexit.</b></p> <ul style="list-style-type: none"> <li>The uncertainty around Brexit (and the resulting 'deal') may an impact on the local economy, local funding and delivery of council services. The wider ramifications of the decision to leave the European Union are yet to be fully realised and felt in national and local economy. Whilst there will be some opportunities there is also uncertainty that may affect areas of the economy, financial markets, interest and exchange rates, construction, grants from the EU, Investment and other non-financial aspects.</li> </ul> <p>The Mayor has in 2016 set up a city-wide response group to better understand the impacts of leaving the EU on our city which now operates virtually - with members updating us on sectoral impact and with the Public Affairs team we are working to ensure that Bristol's interests are represented in the Brexit negotiations, and that the city's voice is heard by UK Government. We have contributed to a national call for information by Government (handled by the Local Government Association (LGA)) seeking input on likely impact of Brexit in different regions. We have lobbied through the Core Cities network seeking clarity over how the Government plans to address the potential EU funding gap.</p> <p>We may see a gradual slow down during period of uncertainty. A potential council impact (+/-) on: Inward investment and EU funding which could reduce and could in turn impact on the council, the city's universities, LEP and the housing market, capital costs resulting from increased cost of labour which could slow business rates growth (Inflation risk is reflected within risk 2 and based on latest OBR predictions), workforce pressures e.g. social care providers, procurement costs, inflationary pressures caused by fluctuations in sterling value and potentially a loss of EU grants funding.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>Workforce pressures e.g. social care providers.</li> <li>Inflationary pressures caused by fluctuations in sterling value.</li> <li>Loss of EU grant funding.</li> </ul>	<p>The wider ramifications of the decision to leave the European Union are yet to be fully realised and felt in national and local economy. Whilst there will be some opportunities there is also uncertainty that may affect areas of the economy, financial markets, interest and exchange rates, construction, grants from the EU, Investment and other non-financial aspects.</p> <p>The Mayor has in 2016 set up a city-wide response group to better understand the impacts of leaving the EU on our city which now operates virtually - with members updating us on sectoral impact and with the Public Affairs team we are working to ensure that Bristol's interests are represented in the Brexit negotiations, and that the city's voice is heard by UK Government. We have contributed to a national call for information by Government (handled by the Local Government Association (LGA)) seeking input on likely impact of Brexit in different regions. We have lobbied through the Core Cities network seeking clarity over how the Government plans to address the potential EU funding gap.</p>	↔	4	3	12	<p>We continue to use lobbying networks (Core Cities, LGA etc.) to seek clarity over how the Government plans to address the potential EU funding gap, retain highly skilled migrants and support trade.</p> <p>Key milestones include supporting and attending the Brexit Hearing in European Parliament in Q2. 2018/19.</p> <p>Attending the Core Cities' 'Beyond Brexit' cities summit event in Q2. 2018/19 which aims to lobby Government on regional impact and requirements post Brexit and to reconvene the Bristol Brexit response group in Q3. 2018/19 to assess impact.</p>	4	3	12
Risk Owner: Head of Paid Service.	Action Owner: Acting Head of Policy and Public Affairs.	Portfolio Flag: Finance, Governance and Performance.	Strategy Theme: Our Organisation.						

Corporate Risk Performance Summary for 'Significant Risks' and 'Event' Risks				Quarter 4 January – March 17/18		Quarter 1 April - June 18/19		Quarter 2 July - September 18/19		Quarter 3 October - December 18/19		Quarter 4 January - March 18/19	
Appendix Page	Risk ID	Risk	Risk Owner	Rating	Travel	Rating	Travel	Rating	Travel	Rating	Travel	Rating	Travel
<b>Resources – Head of Paid Service and CLB</b>													
1	DRR1 (CRR16)	Leadership	Acting Head of Policy and Public Affairs	4x5=20	↔	2x5=10	↑						
<b>Policy and Strategy</b>													
2	DRR2 (CRR17)	Strategy Management	Acting Director of Policy and Strategy	2x7=14	↔	1x7=7	↑						
<b>Human Resources and Workforce Development</b>													
3	DRR3 (CRR8)	Service Review	Director of Workforce Change.	4x5=20	↔	3x5=15	↑						
4	DRR4 (CRR3)	Asbestos Management	Director of Workforce Change.	3x7=21	↔	3x7=21	↔						
5	DRR5 (CRR4)	Corporate Health, Safety and Wellbeing	Director of Workforce Change.	3x7=21	↔	3x7=21	↔						
<b>Finance</b>													
6	DRR6 (CRR13)	Financial Framework and MTFP	Director of Finance, S151 Officer	2x7=14	↔	2x5=10	↑						
7	DRR7 (CRR15)	Financial Deficit	Director of Finance, S151 Officer	2x5=10	↔	2x5=10	↔						
<b>Legal and Governance</b>													
8	DRR8 (CRR14)	Information Governance Introduction of the General Data Protection Regulations (GDPR)	Senior Information Risk Owner (SIRO)	2x7=14	↔	2x5=10	↑						
<b>Information Technology (IT)</b>													
9	DRR9 (CRR2)	IT Infrastructure	Interim Director IT	3x5=15	↔	3x7=21	↔						
10	DRR10 (CRR7)	Cyber-attack threats and implications	Interim Director IT	3x5=15	↔	3x5=15	↔						
<b>Procurement</b>													
11	DRR11	Procurement and Commercial Framework	Interim Head of Procurement			3x5 = 15	New						
<b>Internal Audit</b>													

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12	DRR12 (CRR6)	Fraud and Corruption.	Chief Internal Auditor	3x5=15	↔	3x5=15	↔						
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**Resources Directorate Risk Performance Summary  
for External and Civil Contingency risks**

The risks are set out by the highest risk rating first in the Q2 18/19 column.

Appendix Page	Risk ID	Risk	Risk Owner	Quarter 4 January – March 17/18		Quarter 1 April - June 18/19		Quarter 2 July - September 18/19		Quarter 3 October - December 18/19		Quarter 4 January - March 18/19	
				Rating	Travel	Rating	Travel	Rating	Travel	Rating	Travel	Rating	Travel
13	RDRR1 (BCCC2)	Brexit	Head of Paid Service			4x3=12	↔	4x3=12	↔				

**Risk Matrix**

<b>Likelihood</b>	4	4	12	20	28
	3	3	9	15	21
	2	2	6	10	14
	1	1	3	5	7
		1	3	5	7
	<b>Impact</b>				

Level of risk	Action required by level risk	
28	Critical:	<b>Action required.</b> Escalate (if a Directorate level risk, escalate to the Corporate Risk Register. Escalate corporate risks to the attention of the Cabinet Lead to confirm action to be taken).
14 - 21	High:	Must be addressed. If Directorate level consider escalating to the Corporate Risk Register. If a corporate risk consider escalating to the Cabinet Lead.
5 - 12	Medium:	Action required, manage and monitor at the Directorate level.
1 - 4	Low:	May not need any further action / monitor at the service level.

Current and Tolerance risk ratings:

The 'Current' risk rating refers to the current level of risk taking into account any management actions, controls and fall back plans already in place.

The 'Tolerance' rating represents what is deemed to be a realistic level of risk to be achieved once additional actions have been put in place. On some occasions the aim will be to contain the level of the risk at the current level.



## LIKELIHOOD AND IMPACT RISK RATING SCORING

## Likelihood Guidance

Likelihood	Likelihood Ratings 1 to 4			
	1	2	3	4
Description	Might happen on rare occasions.	Will possibly happen, possibly on several occasions.	Will probably happen, possibly at regular intervals.	Likely to happen, possibly frequently.
Numerical Likelihood	Less than 10%	Less than 50%	50% or more	75% or more

Severity of Impact Guidance (Risk to be assessed against all of the Categories, and the highest score used in the matrix).

Impact Category	Impact Levels 1 to 7			
	1	3	5	7
Service provision	Very limited effect (positive or negative) on service provision. Impact can be managed within normal working arrangements.	Noticeable and significant effect (positive or negative) on service provision.  Effect may require some additional resource, but manageable in a reasonable time frame.	Severe effect on service provision or a Corporate Strategic Plan priority area. Effect may require considerable additional resource but will not require a major strategy change.	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.
Communities	Minimal impact on community.	Noticeable (positive or negative) impact on the community or a more manageable impact on a smaller number of vulnerable groups / individuals which is not likely to last more than six months.	A more severe but manageable impact (positive or negative) on a significant number of vulnerable groups / individuals which is not likely to last more than twelve months.	A lasting and noticeable impact on a significant number of vulnerable groups / individuals.
Environmental	No effect (positive or negative) on the natural and built environment.	Short term effect (positive or negative) on the natural and or built environment.	Serious local discharge of pollutant or source of community annoyance that requires remedial action.	Lasting effect on the natural and or built environment.
Financial Loss / Gain	Under £0.5m	Between £0.5m - £3m	Between £3m - £5m	More than £5m
Fraud & Corruption Loss	Under £50k	Between £50k - £100k	Between £100k - £1m	More than £1m
Legal	No significant legal implications or action is anticipated.	Tribunal / BCC legal team involvement required (potential for claim).	Criminal prosecution anticipated and / or civil litigation.	Criminal prosecution anticipated and or civil litigation (> 1 person).
Personal Safety	Minor injury to citizens or colleagues.	Significant injury or ill health of citizens or colleagues causing short-term disability / absence from work.	Major injury or ill health of citizens or colleagues may result in. long term disability / absence from work.	Death of citizen(s) or colleague(s). Significant long-term disability / absence from work.
Programme / Project Management (Including developing commercial enterprises)	Minor delays and/or budget overspend, but can be brought back on schedule with this project stage.  No threat to delivery of the project on time and to budget and no threat to identified benefits / outcomes.	Slippage causes significant delay to delivery of key project milestones, and/or budget overspends.  No threat to overall delivery of the project and the identified benefits / outcomes.	Slippage causes significant delay to delivery of key project milestones; and/or major budget overspends.  Major threat to delivery of the project on time and to budget, and achievement of one or more benefits / outcomes.	Significant issues threaten delivery of the entire project.  Could lead to project being cancelled or put on hold.
Reputation	Minimal and transient loss of public or partner trust. Contained within the individual service.	Significant public or partner 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.	Serious potential for enhancement of, or damage to, reputation and the willingness of other parties to collaborate or do business with the council. Dissatisfaction regularly reported through council complaints procedure.  Higher levels of local or national interest. Higher levels of local media / social media interest.	Highly significant potential for enhancement of, or damage to, reputation and the willingness of other parties to collaborate or do business with the council. Intense local, national and potentially international media attention.  Viral social media or online pick-up. Public enquiry or poor external assessor report.