

Audit Committee

Agenda



Date: Monday, 25 January 2021

Time: 2.00 pm

Venue: Remote Access

Distribution:

Councillors: Nicola Bowden-Jones, Chris Jackson, Olly Mead, Liz Radford, Clive Stevens, Tim Kent, Adebola Adebayo, Simon Cookson and Mark Brain

Copies to: Simba Muzarurwi (Chief Internal Auditor), Mike Jackson (Chief Executive), Denise Murray (Director - Finance & Section 151 Officer), Nancy Rollason (Head of Legal Service), Alison Mullis, Tony Whitlock, Lucy Fleming (Head of Democratic Engagement) and Michael Pilcher

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Date: Tuesday, 19 January 2021



Agenda

11. Corporate Risk Report Q3

Please find attached this supplementary report as indicated on the original agenda.

(Pages 3 - 33)





Audit Committee

Monday 28th September 2020

Report of: Director Finance, S151

Title: Q3 2020/21 Corporate Risk Report Update.

Ward: Citywide

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

Contact Telephone Number: 0117 3576255

Recommendation

The Audit Committee review and comment the Q3 2020/21 Corporate Risk Report (CRR) Appendix A.

Summary

Managing risks are an integral element to the achievement of the Bristol City Council's (BCC) Corporate Strategy (CS) deliverables. The Corporate Risk report sets out the council's current significant risks and summarises progress in managing the risks as at Quarter 3 2020-21. The Q3 Corporate Risk Management Report was presented to Cabinet in January 2021.

The CRR summary of risks is attached to this report at Appendix A is the latest formal iteration following a review by members of the council's Corporate Leadership Board (CLB) in January 2021.

The significant issues in the report are:

- The CRR is an important tool in managing risk. It aims to provide an overview of the significant risks facing the council and how they are being managed. The CRR attached to this report at Appendix A and is the latest formal iteration following a review by members of the council's Corporate Leadership Board (CLB) in January 2021. The Q3 2020/21 risk review included managers from across the Council.



1 Policy

The Accounts and Audit Regulations 2015 require the council to have in place effective arrangements for the management of risk. These arrangements are reviewed each year and reported as part of the Annual Governance Statement (AGS). The Council is required to comment on the effectiveness of its arrangements in this regard. The statement must also identify any significant governance issues that may have resulted from failures in governance and risk management.

Risk Management is an integral part of good governance to which the Council is committed. Risk Management provides the framework and processes that enables the Council to manage uncertainty in a systematic way. As part of the Risk Management arrangements the Council reviews the Risk Management Assurance Policy on an annual basis.

It is considered good practice to regularly review and update the Risk Management Assurance Policy to ensure it strengthens the Council's approach to its risk management and assurance arrangements.

Ensuring that the Corporate Risk Report (CRR) is soundly based will help the council 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 CRR provides assurance to management and Members that the Bristol City Council's significant risks have been identified and arrangements are in place to manage those risks within the tolerance levels agreed.

The CRR is a management tool and needs regular review to ensure that the occurrence of obstacles or events that may put individual's safety at harm, impact upon service delivery and the council's reputation are minimised, opportunities are maximised and when risks happen, they are managed and communicated to minimise the impact.

The CRR has been prepared and presented in line with the Risk Management Assurance Policy that was approved by Cabinet in January 2019.

The output from the CRR will annually contribute to the annual Audit Plan.

2 Consultation

Internal - First to fourth tier managers, Extended Leadership Team, Corporate Leadership Team, Cabinet Member, Finance, Governance and Performance.

External – None

3 Context

3.1 The Corporate Risk Register (CRR)

3.1.1.1 The Corporate Leadership Board (CLB) reviewed the CRR in January 2021 and accepts it as a working summary report of the critical and significant risks from the Service Risk Registers which will need continued improvement as it embeds. The CRR was presented to Cabinet in January 2021.

The CRR (Appendix A) sets out the significant critical and high rated risks both threats and opportunities. All other business risks reside on the Service Risk Registers and reported in through the Directorate Risk Reports (DRR) and the CRR.

The CRR as January 2021 contained:

Threats	Opportunities	External / Contingency Risks
<ul style="list-style-type: none"> • 3 critical • 16 high • 2 new • 4 improving • 1 deteriorating • 1 closed 	<ul style="list-style-type: none"> • 0 significant • 3 high • 0 new • 1 improving • 1 deteriorating • 0 closed 	<ul style="list-style-type: none"> • 1 critical • 1 high • 0 new • 1 improving • 0 deteriorating • 0 closed

A summary of risks (Threat and Opportunities) for this reporting period are set out below.

There are three critical threat risks:

- CRR41: Long Term Major Capital projects. The risk rating being 4x7 (28) critical threat risk. This risk is managed on the Growth and Regeneration Service Risk Registers.
- CRR9: Safeguarding Vulnerable Children. The risk rating being 4x7 (28) critical threat risk. This risk is managed on the People Service Risk Registers.
- CRR32: Failure to deliver enough affordable Homes to meet the City's needs. The risk rating being 4x7 (28) critical threat risk. This risk is managed on the Growth and Regeneration Service Risk Registers.

There are four improving threat risks:

- CRR5: Business Continuity and Council Resilience. The risk rating being 4x5 (20) high threat risk. This risk is managed on the Growth and Regeneration Service Risk Registers.
- CRR6: Fraud and Corruption. The risk rating being 3x5 (15) high threat risk. This risk is managed on the Resources Service Risk Registers.
- CRR12: Failure to deliver suitable emergency planning measures, respond to and manage emergency events when they occur. The risk rating being 4x5 (20) high threat risk. This risk is managed on the Growth and Regeneration Service Risk Registers.
- CRR34: Corporate Equalities. The risk rating being 1x5 (5) medium threat risk. This risk is managed on the Resources Service Risk Registers.

There are two new threat risks:

- CRR40: Unplanned Investment in Subsidiary Companies. The risk rating being 2x7 (14) high threat risk. This risk is managed on the Resources Service Risk Registers.
- CRR41: Long Term Major Capital projects. The risk rating being 4x7 (28) critical threat risk. This risk is managed on the Growth and Regeneration Service Risk Registers.

There is one closed threat risk:

- The risk CRR1: Lack of long term commercial investments and major projects has been reviewed, closed and replaced by, CRR40: Unplanned Investment in Subsidiary Companies, CRR41: Long Term Major Capital Projects and Financial Investments. The Financial Investment risk 2x5 (10) medium risk resides on the Resources Service Risk Registers.

There is one improving opportunity risk:

- OPP3: Devolution. The risk rating being 3x7 (21) high opportunity risk. This risk is managed on the Resources Service Risk Registers.

There is one deteriorating opportunity risk:

- OPP2: Corporate Strategy. The risk rating being 3x7 (21) high opportunity risk. This risk is managed on the Resources Service Risk Registers.

The risks BCCC2/OPP4 - Brexit is an unpredictable external threat and opportunity, and because of this the reporting for these entries may already be out of date. These risks are being managed within the Resources Service Risk Registers via a council-wide Brexit Project Board (for general preparedness) and Brexit Coordination Group (a tactical response group to manage any immediate issues presented in a 'no deal' scenario).

The external / contingency risk BCCC3: COVID -19 reflects the positive action and pace of change the Council has adapted to delivering its services. This risk is being overseen by the Corporate Leadership Team, Gold Meetings and within the Growth and Regeneration Director by the Resilience Director.

All risks on the CRR have management actions in place.

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 threat risks is set out on pages 1 to 17 opportunity risks pages 18 to 19, and external and civil contingency risks on page 20 and 21 all including controls and management actions. A summary of risk performance on pages 22 and 23 by level of risk, the risk matrix on page 24 and the risk scoring criteria on page 25. More detail is available on request.

4 Proposal

The Audit Committee review and comment upon the Corporate Risk Report (CRR) as a source of assurance the Bristol City Council's significant and critical risks have been identified and arrangements are in place to manage those risks within the tolerance levels agreed.

5 Other Options Considered

None necessary. Having robust risk management processes in place is a requirement of the City Council. The CRR has been developed in line with the Risk Management Assurance Policy.

6 Risk Assessment

The Risk Management Assurance Policy and the CRR will further develop risk management assessment within the City Council, and help the management of risk arrangements embed.

7 Public Sector Equality Duties

- 8a)** 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:
- Eliminate discrimination, harassment, victimisation and any other conduct prohibited under the Equality Act 2010.
 - 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.

8b) No equalities assessment necessary for this report.

8 Legal and Resource Implications

Legal - N/A

Financial - N/A

Land - N/A

Personnel - N/A

9 Appendices:

Appendix A - Corporate Risk Report. The summary of the threat risks is set out on pages 1 to 17 opportunity risks pages 18 to 19, and external and civil contingency risks on page 20 and 21 all including controls and management actions. A summary of risk performance on pages 22 and 23 by level of risk, the risk matrix on page 24 and the risk scoring criteria on page 25. More detail is available on request.

LOCAL GOVERNMENT (ACCESS TO INFORMATION) ACT 1985

Background Papers:

Risk Management Assurance Policy.

Corporate Risk Register as at January 12 2021 – Threat Risks to the achievement of Bristol City Councils Objectives.								
Risk title and description	What we have done	Performance	Current Risk Level			Tolerance Risk Level		
			Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p>CRR2: Failure to Manage Asbestos. Failure to manage the asbestos management plan for properties.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • Staff availability to carry out work plans in a safe way. • Lack of appropriate training. • Lack of oversight and control by local management. • Lack of information on the potential or known risks. • Inadequate contract management arrangements. • Lack of effective processes and systems consistently being applied. • Policies are not kept up to date. • Budget pressures. • Restrictions for operating normally caused by external factors beyond the control of BCCL, e.g. Covid-19 pandemic. 	<p>The previous action plan of 2019 has laid foundation for improved processes to manage asbestos and this continues to be effectively embedded within the culture of the service.</p> <p>The main elements of the plan have been implemented and full completion will be presumed once the Asbestos Management Plan has had a final review, currently in process and due December 2020.</p> <p>Management proactivity and training across the service has seen a fall of asbestos incidents and strong processes exist to manage exposure incidents should they in future arise. Asbestos surveys and information contained therein form a key element to reduce asbestos exposure risk. Because of their importance they feature strongly throughout work processes within Planned Programmes and Response and Void services. Historic surveys are readily available for use and scrutiny but to provide added assurance new asbestos surveys are completed both ahead of works and subsequently thereafter.</p> <p>Improvements to manage asbestos risk within housing stock has been made over the previous 12 months with long outstanding surveys relevant to house-block type flats having now been completed. Asbestos surveys and removal works within high rise blocks have also been undertaken, removal works will continue throughout 2021.</p> <p>The Covid pandemic has resulted in an interruption of asbestos awareness training for the bulk of 2020 but decisions made this month will allow face to face training to be reinstated whilst also being Covid secure. The resumption of this successful training package for new staff and staff requiring refresher training is planned this year.</p> <p>In the previous 12 months the housing safety team has grown in number and has had a direct and positive input with investigating incidents and reducing asbestos risk through their intervention. Property Services have improved the contract management arrangements with MSS, the surveyor to ensure that all inspections are carried out according to required timescales.</p> <p>Evidencing asbestos compliance to satisfy the Housing Regulator has been given a significant focus this quarter.</p> <p>Property CHASM project is underway, to ensure all premises report on compliance.</p> <p>Action Owner: Director of Housing and Landlord Services (for Social Housing), Director HR, Workforce and Organisational Design.</p>	↔	2	5	10	1	5	5
<p>Risk Owner: Executive Director Growth and Regeneration, Director HR, Workforce and Organisational Design.</p>	<p>Action Owner: Director Housing and Landlord Services; Director HR, Workforce and Organisational Design.</p>	Portfolio Flag: Finance, Governance and Performance.	Strategy Theme: Our Organisation.					

Corporate Risk Register as at January 12 2021 – Threat Risks to the achievement of Bristol City Councils Objectives.									
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>CRR4 Corporate Health, Safety and Wellbeing. If the City Council does not meet its wide range of Health & Safety requirements then there could be a risk to the safety of employees, visitors, contractors, citizens and BCC corporate body.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • If services do not have sufficient staff numbers to carry out work plans in a safe way. • If services are not able to order appropriate equipment required for staff safety. • 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. • Inadequate contract management arrangements. • Lack of effective processes and systems consistently being applied • Policies are not kept up to date. 	<p>The Corporate Safety, Health & Wellbeing (SH&W) team support the council and provide advice and guidance. The Corporate Policy Statement, service specific policies, procedures and systems of work/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) has an action plan which is completed on a quarterly basis. Once completed the HS&W team check the returns and give relevant feedback to the individual Managers and report the overall results to Senior Management/EDM and develop appropriate action plans.</p> <p>BCC has a comprehensive programme of e-learning and personal face to face course delivery available to all directors, managers, staff and members.</p> <p>There is a corporate accident/incident reporting procedure. The Corporate Safety Information System is in place to share with staff details of addresses which due to potential violence & aggression or police notification are considered to present risks.</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 a check of their relevant Health and Safety competency.</p> <p>The council's audit programme monitors compliance with statutory duty and best practices.</p> <p>We have reviewed the Health and Safety Management arrangements and developed a (project) service development and improvement plan.</p>	↔	4	5	20	<p>We have agreed in principle a new accident incident reporting system. We will be looking to pilot small and scale up quickly in January 2021.</p> <p>A new strategy for Health Safety and Wellbeing has been developed which sets out an integrated approach for the next five years. This has been agreed by Resources EDM and is currently out to consultation with key stakeholders. A new operating model and staffing structure has been developed to support the delivery of the strategy. The strategy will run from January 2021 – December 2026. A delivery plan is included within the strategy.</p> <p>We continue to support the organisation to be COVID-19 secure. 95% of buildings including schools have been given a COVID secure certificate. A fire safety and building compliance report has been agreed by Resources EDM and a final report with action and delivery plan is being presented to CLB on 3rd November 2020. The health and wellbeing plan continues to support the workforce organisational strategy and key actions including reasonable adjustments training and the launch of Mental Health First Aiders are on track.</p> <p>A new integrated Occupational Health Employee Assistance Programme (EAP) and physiotherapy contract is in its final stages of the procurement process and an award of contract is imminent.</p>	3	5	15
<p>Risk Owner: Chief Executive and Corporate Leadership Board (CLB), Director of Workforce Change.</p>	<p>Action Owner: Director of Workforce Change, Head of Health Safety and Wellbeing.</p>	<p>Portfolio Flag: Finance, Governance and Performance.</p>	<p>Strategy Theme: Our Organisation.</p>						

Corporate Risk Register as at January 12 2021 – Threat Risks to the achievement of Bristol City Councils Objectives.								
Risk title and description	What we have done	Performance	Current Risk Level			Tolerance Risk Level		
			Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p>CRR5: Business Continuity (BC) and Councils Service Resilience.</p> <p>If the council has a Business Continuity disruption and is unable to ensure the resilience of key BCC operations and business activities, then the impact of the event may be increased with a greater impact on people and council Services.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • Strikes (People, Fuel). • Loss of key staff (communicable diseases and influenza epidemics). • Loss of suppliers. • Loss of accommodation to deliver key services. • Loss of equipment. • Any event which may cause major disruption. • Unavailability of IT and/or Telecoms. • Loss of staff/staff availability. • Knowledge loss. <p>Reduced chances of preventing/responding to incidents due to a lack of forward planning or investment.</p>	<p>Responding to Covid has accelerated BC planning in keys areas (e.g. homeworking and managing resilient supply chains) and increased resilience.</p> <p>A Business Continuity survey has been released to all Heads of Service (completion date 16 Oct) requiring services to reflect on the Covid experience and their BC plans / resilience. The survey points out the likely challenges ahead and asks services to consider their 'critical activities' and the resources they need to deliver them, as well as consider other risks to the continuity of their services.</p> <p>The Agile and Resilient Working Group chaired by John Walsh has been established and is meeting regularly to address staffing resilience, including IT to support homeworking, in response to the ongoing homeworking now necessary due to Covid.</p> <p>Supply chain resilience vis a vis Covid and Brexit is being addressed through the Brexit Project Board, chaired by Tim Borrett. A supply chain survey has been sent out by the Procurement Team to all Council suppliers and contractors. Analysis of the survey is ongoing.</p> <p>Usual winter preparations are underway and the Severe Weather Team, chaired by Pete Anderson has met to coordinate preparations and understand the impact of Covid on usual arrangements.</p> <p>A number of Policies, procedures and arrangements are in place including duty rotas for key service areas and the Duty Director rota. The Incident Response Plan updated in Decembers 2019.</p>	<p>↑</p>	4	5	20	1	5	5
<p>Risk Owner: Executive Director Growth and Regeneration Chief Executive, Director Management of Place.</p>	<p>Action Owner: Director Management of Place and Civil Protection Manager.</p>	<p>Portfolio Flag: Finance, Governance and Performance.</p>	<p>Strategy Theme: Our Organisation, Wellbeing.</p>					


Corporate Risk Register as at January 12 2021 – Threat Risks to the achievement of Bristol City Councils Objectives.									
Risk title and description	What we have done	Performance	Current Risk Level			Tolerance Risk Level			
			Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating	
<p>CRR6: Fraud and Corruption. 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"> Heightened levels of fraud, including cyber fraud, as criminals attempt to exploit the COVID-19 pandemic. Relaxation of controls in current emergency environment (Covid 19) as payments and support are being dispersed quickly in line with government requirement. Failure of management to implement a sound system of internal control and/or to demonstrate commitment to it at all times. Not keeping up to date with developments, in new areas of fraud. Insufficient risk assessment of new emerging fraud issues. Lack of clear management control of responsibility, authorities and / or delegation. Lack of resources to undertake the depth of work required to minimise the risks of fraud /avoidance. This potential cause is highlighted at this time given the potential impact of the current pandemic situation and with staff redeployed to support the emergency response. Under investment in fraud prevention and detection technology and resource. 	<p>A Policy is in place on anti-fraud, corruption and bribery. It is reviewed annually and was approved by CLB and the Audit Committee in November 2020.</p> <p>Emergency financial measures being implemented in response to the pandemic (Covid-19) were subject to fraud risk assessment by the Counter Fraud team and advice provided on process, documentation and checks on the business support schemes. Pre and post -payment fraud checks in respect of significant support being distributed by the Council to businesses has been a key focus throughout the year as distributions continue to be made.</p> <p>An accessible route to report suspected fraud is available to the public and employees. New whistleblowing arrangements are in place from 1st April 2020 with strengthened co-ordination, monitoring and reporting of such reports to Internal Audit.</p> <p>Fraud awareness training has been delivered via the learning pool and directly to staff in high fraud risk areas. Additionally, this quarter, a council wide awareness campaign has been undertaken in support of international fraud awareness week and the counter fraud web pages have been update.</p> <p>Counter Fraud Performance is been report to management and Audit Committee via the half yearly Counter Fraud Update.</p> <p>Mandate approved for the establishment of a regional fraud hub that will maximise the use of data in fraud prevention and detection by widening data sets available for counter fraud work, regularising current ad hoc fraud prevention/detection exercises and improving efficiency by greater use of technology.</p>	↑	3	5	15	<p>The Council's exposure to fraud has increased due to Covid and the uncertainty with the pandemic coupled with another national lockdown means that more proactive and reactive work needs to be undertaken to support the business to ensure that fraud losses are minimised. As the government continues to avail large support grants to businesses and individuals, we are using analytic tools and increased resource to undertake both pre-payment fraud checks and post payment fraud assurance checks.</p> <p>Strengthening our arrangements for collating, sharing and analysing intelligence through joint prepayment checks involving West of England Combined Authority Councils and North Somerset</p> <p>Recognising the economic impact of the pandemic and other potential recessional pressures, we are monitoring and reassessing all other types of fraud ensuring that appropriate prevention and detection controls are in place.</p> <p>Given the increased threat of cybercrime we are strengthening our fraud and cyber controls to ensure they are adequate to meet the challenge.</p> <p>Continuously participating in anti-fraud exercises including the National Fraud Initiative</p> <p>Establishment of a regional fraud hub that will maximise the use of advanced analytics and more datasets is progressing and will be key in tackling fraud as this risk increases.</p> <p>Commissioning an independent review of our whistleblowing arrangements to obtain assurance on the adequacy and effectiveness of arrangements.</p>	3	3	9
<p>Risk Owner: Chief Executive and Director of Finance (S151 Officer).</p>	<p>Action Owner: Director of Finance, Chief Internal Auditor.</p>	<p>Portfolio Flag: Finance, Governance and Performance.</p>	<p>Strategy Theme: Our Organisation.</p>						

Corporate Risk Register as at January 12 2021 – Threat Risks to the achievement of Bristol City Councils Objectives.									
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>CRR7: Cyber-Security. The Council's risk level in regards to Cyber-security is higher than should be expected.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> Lack of investment in appropriate technologies. Reliance on in-house expertise, and self-assessments (PSN). Lack of formal approach to risk management (ISO27001). Historic lack of focus. 	<p>Budget provision for Cyber Security was allocated within the Future State Assessment Plan (FSA) as approved by Cabinet June 2018. Independent full security assessments have been carried out November 2018. Increased training - Phishing attacks November 2018. An Information Governance Board has been established to provide oversight of information security and an escalation point to the Council's Senior Information Risk Owner (SIRO). Head of Information Assurance commenced in post September 2019.</p> <p>The Council is using a SIRO checklist to capture and escalate cyber security risks. IG team have an operational level risk register that is used to track local operational risks further aligning ourselves with best practice. COVID-19 has brought new challenges to Information Governance including new systems and ways of working being rolled out. The team are working closely with relevant services such as ICT to ensure that Information Governance is considered in these changes. IG team have an operational level risk register that is being used to track local operational risks further aligning ourselves with best practice.</p>	↔	4	5	20	<p>The IT Transformation Programme (ITTP) (formerly FSA Programme) currently has plans to implement technology platforms to move the Council from file storage to document storage platforms, increase team collaboration without use of email, implement file retention policies, introduce document marking and rights management, implement data classification and improve federated search across structured and unstructured data stores. As well as technical controls, the Council continues to carry out regular Phishing attack exercises where we are sending emails to staff to see how users react to this type of Cyber Attack. Anyone clicking on links is directed towards targeted training. The Information Assurance and ICT team will continue to work together to support the SIRO to develop appropriate targeted training for all Council staff relating to cyber security. The IG Team are continuing to work with ICT and Microsoft on the ITTP programme to ensure that this is done in line with industry best practice and recognised standards. Resources have been appointed to facilitate the improvements required as per the agreed budget. These will also be needed to support capital projects. New ITTP Tooling is being configured and refined to provide a clear picture of the threat to BCC infrastructure.</p>	1	5	5
Risk Owner: Chief Executive, Senior Information Risk Owner (SIRO).	Action Owner: Head of Information Assurance, Information Governance.	Portfolio Flag: Finance, Governance and Performance.			Strategy Theme: Our Organisation.				

Corporate Risk Register as at January 12 2021 – Threat Risks to the achievement of Bristol City Councils Objectives.									
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>CRR9: Safeguarding Vulnerable Children. The council fails to ensure that adequate safeguarding measures are in place, resulting in harm or death to a vulnerable child.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> Failure to meet the requirements of the Children Act and associated legislation. Inadequate controls result in harm. Demand for services exceeds its capacity and capability. Increase in complex safeguarding risks, criminal exploitation, serious youth violence and gang affiliation. During Covid-19, in line with Govt guidelines tiers, lockdown and infection control, there may be a reduction in the frequency of face to face visits to families. Risk assessments are required to assess whether a face to face visit is required. This is kept under review with services operating as near normal as is possible within the guidelines. Placement failure due to COVID infection across children's home or fostering household. An increase in demand of up to 5% is anticipated as a result of Covid and economic downturn, with some children more vulnerable to exploitation and abuse as a result of lost safe, stable and nurturing relationships. Increased destitution in families, impacting on mental ill health, managing increased infection within children and young people population and their parents. 	<p>The Keeping Bristol Safe Board provides independent scrutiny of children's safeguarding arrangements in the city and holds BCC and partner agencies to account. This includes delivery of Safer Communities and the Prevent Duty.</p> <p>BCC works with partners to effectively identify victims and perpetrators of extra-familial abuse including Child Sexual exploitation, Criminal Exploitation and Serious Violence, taking action to disrupt and protect.</p> <p>Bristol's published policies and procedures, comprehensive training and development and monthly professional supervision help ensure safe practice and adequate control of risks.</p> <p>Bristol has invested in an integrated localities and team around the school and family approach aimed at meeting the needs of children and families at the earliest point.</p> <p>Children and Families' Services invests in its workforce and provides career progression opportunities.</p> <p>Bristol has established Violence Reduction Unit focussing on prevention, disruption and recovery from serious youth violence and is working with the University of Bedfordshire to develop its approach to contextual safeguarding in the city.</p> <p>Activity continues as planned with partner engagement.</p> <p>Children and Coronavirus Amendment Regulations are understood and will be invoked when needed. There is Senior Officer sign-off for their use.</p>	↓	4	7	28	<p>Information sharing and analysis to improve our ability to understand and respond to children at risk of criminal exploitation and going missing.</p> <p>In response to identified and increasing risk of serious youth violence and criminal exploitation a multiagency plan is in place and will be monitored by the Serious Violence Exec Group.</p> <p>Service Delivery Plans for 2020-21 have been reviewed and set out further actions to mitigate risks identified and deliver on our ambitions for children and families.</p> <p>Response is to run services as near to normal as possible flexing to accommodate increased demand and potential gaps in workforce due to COVID impacting services.</p> <p>Implementing testing for care staff and prioritising in vaccine programme.</p>	1	7	7
Risk Owner: Executive Director People, Director Children's and Families Services.	Action Owner: Director Children's and Families Services.	Portfolio Flag: Children and Young People.			Strategy Theme: Our Organisation, Empowering and Caring, Wellbeing.				

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Corporate Risk Register as at January 12 2021 – Threat Risks to the achievement of Bristol City Councils Objectives.									
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>CRR10: Safeguarding Adults at Risk with Care and support needs. The council fails to ensure adequate safeguarding measures are in place, Adults at risk.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • Adequacy of controls. • Management and operational practices. • Demand for services exceeds capacity and capability. • Poor information sharing. • Lack of capacity or resources to deliver safe practice. • Failure to commission safe care for adults at risk. • Failure to meet the requirements of the 'Prevent Duty' placed on Local Authorities. • Increased destitution in families, impacting on mental ill health, managing increased infection within the population. (COVID19) • Increased isolation. (COVID19) • Care strain / resilience. (COVID19) • Absence of building based services whilst we have reduced community solutions. (COVID19) 	<p>The Adults Safeguarding Board has been reconstituted into the Keeping Bristol Safe Partnership (KBSP), which also covers Children and Community Safety. The Board has senior executive representation and will ensure a strong focus on matters of strategic concern. The Partnership has oversight of adult safeguarding priorities.</p> <p>Safeguarding improvement plans are in place for Older People, Physical Disability and Disabled Children and the Capability framework for safeguarding and the Mental Capacity Act have been introduced.</p> <p>The Adult Social Care Transformation programme has been established to implement policy objectives of delivering financial sustainability and 'right positioning' care delivery in the Bristol health, care and wellbeing system. (See PDRR23)</p> <p>An active strategy in place to attract, recruit and retain social workers through a variety of routes with particular emphasis on experienced social workers. The Adult South West Recruitment and Retention Strategy has been drafted, the risks and costs identified. Regular strategies and campaigns support the recruitment and retention of high calibre social workers and managers, with competent agency social workers and managers used on temporary basis to fill vacancies.</p> <p>All key staff working with people directly at risk are trained in the essentials of safeguarding and BCC has an ongoing awareness-raising 'Prevent' training programme.</p> <p>Regular reporting on safeguarding is taking place quarterly for Directors and Cabinet Members, with an annual report for Elected Members to allow for scrutiny of progress. The quality assurance framework and performance framework is routinely monitored and reported on.</p> <p>Focused work is being undertaken to address the backlog in safeguarding referrals and good progress has been made in bringing the number outstanding down to more manageable numbers.</p> <p>The Adults Delivery Group is up and running and a new Transitions theme has also been instituted. Activity continues as planned.</p>	↔	3	7	21	<p>Social workers working with multi-agency partners supporting adults and older people to live safely within their families and communities.</p> <p>Commissioning capacity has increased this to lead on monitoring and assuring quality in the care sector.</p> <p>Review of the Safeguarding Pathway.</p> <p>Transforming the Safeguarding Adults Board.</p> <p>Considering transformational approaches to home care re-commissioning that may offer a more flexible employment offer.</p> <p>Planning placed based approaches to include working with micro providers.</p> <p>The Adults Delivery Group is up and running and a new Transitions theme has also been instituted. Whilst the Covid-19 'lockdown' situation has changed the complexion of adult safeguarding, it is anticipated that the likelihood and impact of incidence will be similar.</p> <p>Work plan will be signed off by KBSP in coming months.</p> <p>Response is to run services as near to normal as possible with increased demand and potential gaps in workforce impacting. Hence elevated risk rating.</p>	1	7	7
Risk Owner: Executive Director People, Director Adult Social Care.	Action Owner: Director Adult Social Care.		Portfolio Flag: Adult Social Care.			Strategy Theme: Our Organisation, Empowering others and Caring, Fair and Inclusive, Well connected, Wellbeing.			

Corporate Risk Register as at January 12 2021 – Threat Risks to the achievement of Bristol City Councils Objectives.									
Risk title and description	What we have done	Performance	Current Risk Level			What we are doing	Tolerance Risk Level		
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<p>CRR12: Failure to deliver suitable emergency planning measures and respond to and manage emergency events when they occur. (Civil Contingency and Resilience)</p> <p>If the City has a Major Incident, Contractor Failure or the council inadequately responds, then the impact of the event may be increased with a greater impact on people and businesses.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • Critical services unprepared or have ineffective emergency and business continuity plans and associated activities. • Lack of resilience in the supply chain hampers effective response to incidents. • Lack of trained and available strategic staff. 	<p>BCC plays a leading role in the Avon and Somerset Local Resilience Forum (LRF), the multi-agency partnership of all the organisations needed to prepare for an emergency in the LRF area. It includes the emergency services, health services, Maritime and Coastal Agency, Environment Agency, volunteer agencies, utility companies, transport providers and the five councils of Bath and North East Somerset, Bristol, North Somerset, Somerset and South Gloucestershire. The Avon and Somerset works to the Avon and Somerset Community Risk Register.</p> <p>A system is in place for ongoing monitoring of severe weather events (SWIMS).</p> <p>Emergency planning training has been rolled and a multi-agency exercise is regularly conducted to test different elements of BCC emergency arrangements with partners. The most recent exercises being Day Two May 2018, Dark Zodiac April 2018, Saxon Resolve November 2017 and major COMAH training exercise in November 2018 (Operation Spitfire).</p> <p>A senior management on-call rota has been devised, agreed and is monitored. Emergency volunteers have been recruited to aid emergency responses. Duty rotas in other key service delivery areas (e.g. Housing and Social Care) are also in place.</p> <p>The Bristol Operations Centre capacity to support multi-agency operations has been tested.</p> <p>BCC took receipt the South West’s share of the National Emergency Mortuary Equipment in July 2018 and arrangements for establishing Flax Bourton Public Mortuary as a dedicated disaster mortuary are in place.</p> <p>A progress paper on Civil Contingency is scheduled to go to the Corporate Leadership Board in early 2020.</p> <p>Recruitment and training of additional Emergency Centre Managers and Emergency Volunteers is ongoing.</p> <p>A review and exercise of the COMAH (Control of Major Accident Hazards) Plan is complete.</p> <p>The Covid-19 emergency has stretched the Council’s emergency response capacity and created additional strains and pressures across all responding agencies and the city systems in place to manage emergencies.</p> <p>The risk of a concurrent emergency during the Covid crisis is arguably higher than before the crisis. Covid pressures and additional safety considerations with regards to response have required the OOH CPU service reduce to a telephone only service. Partner agencies are aware.</p> <p>Measures for managing a concurrent emergency have been discussed with emergency services and e.g. the Fire Service has arrangements to support residential evacuations during this period. A ‘concurrent emergency’ plan is being drafted.</p> <p>Emergency Planning College (EPC)-led Strategic Incident Management Training session was delivered to senior officers in November 2019.</p> <p>We tested the Bristol Operations Centre capacity to support multi-agency operations.</p> <p>BCC took receipt the South West’s share of the National Emergency Mortuary Equipment in July 2018.</p> <p>BCC led the ASLRF Excess Death Management Coordination through the 1st Covid Wave.</p>		4	5	20	<p>The ongoing recovery and recovery to Covid have exercised, informed and improved emergency response.</p> <p>However, learning needs to be absorbed and the risk landscape continues to look challenging with Covid, EU Exit and winter pressures converging.</p> <p>We continue to respond to and recover from the most significant Civil Contingencies challenge since WWII, testing and improving command and control and emergency response capacity in logistics, excess death management and recovery.</p> <p>An ‘Introduction to Emergency Planning’ e-learning package is in progress.</p> <p>Voluntary agency capacity to support incidents has been reviewed by BCC through the LRF.</p> <p>Training for staff to support incident response and recovery (admin, logging, logistics and support to victims, survivors and evacuees) is ongoing.</p> <p>We are in close contact with emergency services regarding the heightened risk of a concurrent emergency during Covid-19.</p> <p>‘Concurrent’ emergency arrangements are being put in place with partners.</p> <p>A ‘concurrent emergency plan’ is being drafted.</p>	1	5	5
Risk Owner: Executive Director Growth and Regeneration, Director Management of Place.	Action Owner: Director Management of Place, and Civil Protection Manager.		Portfolio Flag: Finance, Governance and Performance.			Strategy Theme: Our Organisation, Wellbeing.			

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<p>CRR13: Financial Framework and Medium Term Financial Plan (MTFP). Failure to be able 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"> • Failure to achieve Business Rates income- appeals/general economic growth/loss of major sites (in budget setting). • Economic uncertainty impact on locally generated income - business rates and housing growth, impacting on council tax, new homes bonus and sales, fee and charges income. • Brexit - the general uncertainty affecting the financial markets, levels of trade & investment. • Governments spending review 2021. • Review of local Government funding through fair funding formula and business rates retention. • 2023 Pension actuarial Review • Impact of Covid-19 on key income sources. • Inadequate budgeting & budgetary control/Financial Settlements & wider fiscal policy changes: <ul style="list-style-type: none"> ▪ The potential for new funding formulas such as fair funding, business rates attention to significantly reduce the government funding available to the council alongside possible increase in demand for council services. ▪ Embedding of the new national funding formula for schools and High Needs. ▪ Political failure to facilitate the setting of a lawful budget. ▪ Unable to agree a deliverable programme of propositions that enable the required savings to be achieved. ▪ Insufficient reserves to mitigate risks and liabilities and provide resilience. ▪ Rising inflation could lead to increased cost. ▪ Judicial review. 	<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>2020 Budget presented and approved by Cabinet February 2020.</p> <p>The council has developed a strong rolling Medium-term financial planning process to enable the strategic objectives and the 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"> • The maintaining of the evolving financial model that reflects in a timely manner changes in national and local assumptions. • The level of reserves and balances are regularly reviewed to ensure that account is taken of any financial/economic risk and the adequacy of general reserves is determined as part of this exercise. • Financial Regulations and Financial Scheme of Delegation is in place. • 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. • Changes to savings in year are monitored by delivery executive. <p>We have restructured the finance team. Planned skills development remains a key priority which will include commercial and business acumen. This will be an ongoing and aligned with professional development.</p> <p>Ensuring that Bristol City Council is engaged with or receiving timely feedback from the range of Government working groups exploring future local funding.</p> <p>Refreshed of the MTFP and Capital Strategy and expanded our model to take in a longer-term view.</p>	↔	3	7	21	<p>The impact of Covid-19 has had a significant impact on the financial sustainability of the organisation in the short term and long term. There is a significant immediate reduction in some of the Council's key income streams and also significant costs associated with the response.</p> <p>All underlying assumptions in the financial outlook will be reviewed as any economic downturn will significantly impact Council Tax growth and receipts as well as business rates retention.</p> <p>A review will be ongoing to identify a programme of propositions that exceed the forecasted budget gap to provide members with options and headroom for variations in financial estimates.</p> <p>CIPFA Financial Management Code for Local Authorities has been released for full implementation from April 2021 which will have some additional requirements for the Council's financial management and governance.</p>	2	3	6
Risk Owner: Chief Executive and Director of Finance (S151 Officer).	Action Owner: Director of Finance (S151 Officer), Chief Accountant.		Portfolio Flag: Finance, Governance and Performance.			Strategy Theme: Our Organisation.			

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<p>CRR15: In-Year Financial Deficit. 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"> • A failure to appropriately plan and deliver savings. • Unscheduled loss of material income streams. • Increase in demography, demand and costs for key council services. • The inability to generate the minimum anticipated level of capital receipts. • Insufficient reserves to facilitate short term mitigations, risks and liabilities. • Interest rate volatility impacting on the council's debt costs. • Impairments in our commercial investments are realised. 	<p>BCC's Financial framework ensures that we have in place sound arrangements for financial planning, management, monitoring and reporting through to Corporate Leadership Team and Cabinet.</p> <p>The ongoing review and due diligence of all budget savings by Delivery Executive, Corporate Leadership Board and the Executive continues to be captured and monitored in the reports to Cabinet.</p> <p>We refreshed the Policy and Budget Framework and provided greater clarity in relation to the approval process for supplementary funding both capital and revenue.</p> <p>We have continual oversight and ongoing management of the council's financial risks and deep dives in areas reported of non-containable pressures.</p> <p>Regular reviews have been undertaken on the level and appropriateness of the earmarked reserves and where redirections have been south reported to Cabinet.</p>	↔	4	3	12	<p>The latest budget monitoring is forecasting an overspend on in-year budget increasing the likelihood of an overspend at year end. The impact of Covid-19 has been offset in part by additional Government funding and there are corporate mitigations for the residual pressures.</p> <p>The overspend not related to Covid will require individual recovery plans and mitigation which are to be developed in the coming months to reduce the likelihood of unplanned drawdown from reserves at year end.</p> <p>Ensuring engagement at local, regional and national level in round table and working groups to keep abreast the spending review, Business Rates retention and new funding formulas for Local Government. To ensure funding for Bristol is maximised and impact of changes are fed into our long term financial planning and strategic planning.</p> <p>Ensure that there are sufficient reserves available to provide the Council with some resilience to material variations in spend forecasting and economic shocks.</p> <p>We will carry out frequent re-assessment of service delivery risks and opportunities and risk and other reserves.</p>	1	5	5	
Risk Owner: Director of Finance (S151 Officer).	Action Owner: Director of Finance (S151 Officer), Chief Accountant.	Portfolio Flag: Finance, Governance and Performance.			Strategy Theme: Our Organisation.					

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<p>CRR18: Failure to deliver enough homes to meet the City's needs. (Previously the risk of failing to deliver the range of housing to meet Bristol's needs and not realise the ambition to deliver 2000 homes, of which 800 are affordable, per annum by 2020).</p> <p>Strategies and delivery models designed to further stimulate growth in the housing market and deliver diversity of the housing offer across the city prove to be ineffective and do not attract and retain economically active residents.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • Not enough planning applications submitted. • Not enough permission granted. • Insufficient housing land identified in planning documents. • Inability of the housebuilding industry to deliver at this level. • Increased uncertainty in the market due to Brexit and Covid-19. 	<p>Granted planning permissions.</p> <p>Secured additional grant funding for infrastructure.</p> <p>Released land.</p> <p>Issued grants to Registered Providers (RPs).</p> <p>Established a Local Housing Company (Goram Homes).</p> <p>Secured funding from Homes England under HIF and Accelerated Construction and Community Development in order to release further housing land.</p> <p>Established a grant funding programme to subsidise the delivery of affordable homes.</p> <p>Introduced the Affordable Housing Practice Note.</p> <p>Worked collaboratively with Homes England to maximise subsidy in schemes to provide as much affordable housing as possible.</p> <p>Required a minimum of 30% affordable housing on land released by the Council.</p> <p>Revised the Affordable Housing Grant Funding Policy to ensure it is relevant and assist the delivery of new affordable homes.</p> <p>Created a single multi-disciplinary Housing Delivery Team and additional capacity with Property, Planning, Highways and Legal.</p>	↔	3	5	15	<p>Monitoring and review the impact of the coronavirus on the Housing Market, on Housing Association and Developer Partners delivery Programmes.</p> <p>We refocus the HDT delivery programme to de-risk sites to create a pipeline of investable development opportunities to bring forward for development once the impact of Covid-19 on the housing market are clearer.</p> <p>We have ongoing active engagement with Housing Association Partners to offer enabling support and grant funding to increase the provision of affordable housing at every opportunity. Looking at ways in which the HRA development programme can be accelerated.</p> <p>We are addressing all areas of provision including: Community Led Housing (CLH), Registered Providers (RPs) and Direct Delivery, (New Council Homes).</p> <p>We are recruiting to new posts in the Housing Delivery Team.</p> <p>We are looking at opportunities to fund the acquisition of additional homes on development sites.</p> <p>Working closely with Homes England to ensure additional subsidy is secured.</p> <p>Continue to promote the Affordable Housing Grant Funding Programme to maximise the opportunities to deliver affordable housing potentially unlocking stalled sites.</p> <p>We are considering amending the Affordable Housing Practice Note and Grant Funding Policy to stimulate delivery of affordable homes.</p>	2	5	10	
Risk Owner: Executive Director Growth and Regeneration, Director Development of Place.	Action Owner: Director Development of Place.	Portfolio Flag: Housing.			Strategy Theme: Fair and Inclusive.					

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Risk title and description	What we have done	Performance	Current Risk Level			What we are doing	Tolerance Risk Level		
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<p>CRR19: Tree Management. Risk of trees and tree limbs falling and causing harm to people or property due to unfavourable weather conditions and tree diseases.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> The Council has 100,000 trees. Severe weather conditions and / or disease can lead to tree failure. Lack of maintenance of trees can result in tree failure. Some council trees are not being managed or inspected, increasing the chance of failure. Failure to carry out regular and programmed tree inspections could result in tree and limb failure. 	<p>The service is rolling out a new Quantified Tree Risk Assessment (QTRA) system which increases efficiency of tree inspections - raising the capacity to inspect with the same resources. Trees are being grouped and brought in to the new system and the process will continue through 2020 to 2022.</p> <p>The tree management contract has been re-tendered and a new five year contract began on 1 April 2020. The contract provides new scope to bring all trees on council-owned land in to management.</p> <p>The cost of this will be covered by the departments on whose land the trees are situated - more finance work is needed on this. One additional officer is being recruited to assess trees on land not currently proactively managed.</p> <p>The cabinet report of June 2019 proposed using the Parks reserve to pay for this post until the role can be mainstreamed into the council's revenue budget. GIS analysis work on trees is underway.</p>	↔	3	5	15	<p>Analysis continues on trees potentially at risk.</p> <p>The tree management contract has been renewed from April 1st 2020 for 5+5 and incorporates potential uplift to manage a higher number of trees in council ownership.</p> <p>Carry out in-depth audit of non-managed sites to identify costs to service areas.</p> <p>Analysis of all trees is the main task and this takes time to complete. Desktop mapping is completed and trees will need to be assessed. Cabinet report approval means that additional personnel resource is being recruited to undertake the work. Finance work to identify budget to pay for tree maintenance works from landowning departments still needs to be done. Departments were alerted initially Oct 2019.</p> <p>Budget uplift for new contract is proposed to be taken from land owning departments but this needs to be confirmed by finance and departments. Not yet agreed at service level. Relevant service asset managers have been advised.</p> <p>We continue to bring more trees and sites into scope as part of the ongoing work.</p> <p>Carry out in-depth audit of non-managed sites to identify costs to service areas.</p>	1	5	5
Risk Owner: Executive Director Growth and Regeneration, Director Management of Place.	Action Owner: Director Management of Place.	Portfolio Flag: Communities.			Strategy Theme: Our Organisation, Wellbeing.				

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<p>CRR21: General Data Protection Regulation (GDPR) compliance. If the Council fails to maintain a defensible and compliant response to the Data Protection Act 2018 and General Data Protection Regulation (GDPR) then it will fail to fully comply with its statutory requirements.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> Failure to invest in the required systems, equipment and posts required to implement these regulations. Failure to adequately train staff in the requirements of the regulations. Lack of resource (capacity or expertise) to manage Subject Access Requests. 	<p>A Steering Group and Working Group is in place. Regular reports continue to be provided to Executive Directors Meetings (EDM's) to ensure that the high-level of engagement and buy-in across all levels of the organisation is maintained. Improved data breach reporting for EDM's.</p> <p>Guidance on GDPR compliance and breach reporting has been published on the Council's intranet (Source).</p> <p>We have an improved PIA process and PIA register.</p> <p>Business Continuity plan has been updated to reflect new Information Governance Service (IG) Service.</p> <p>The Council provides e-learning training for new starters on data protection. Data protection staff have attended training courses to maintain up to date knowledge and expertise.</p> <p>An operational level risk register is maintained and monitored that is being used to track local operational risks further aligning ourselves with best practice.</p> <p>COVID-19 has brought new challenges to Information Governance including new systems and ways of working being rolled out. The team are working closely with relevant services such as ICT to ensure that Information Governance is considered in these changes. Resource has been on boarded to facilitate the continued improvement around Data Protection and ready for the Phase 2 project. This resource will also facilitate capital project support from IG.</p>	↔	2	5	10	<p>We have made significant progress on compliance with the General Data Protection Regulation (GDPR). We are embedding a new Information Governance team, which has brought together existing specialists into a central team to provide advice guidance and support on all related aspects in a more coordinated manner.</p> <p>We are continuing delivery of prioritised objectives to embed GDPR compliance, in this quarter we are working on:</p> <ul style="list-style-type: none"> Training for offline staff. Reviewing procurement templates. Reviewing data protection policies. Progressing the business case for a privacy management system (with Head of Service and Director). Implementing a case management system. <p>Targeted training for data protection champions within the Council GDPR Phase 2 project is being scoped and the mandate will be prepared before PM assigned in October.</p>	2	3	6
Risk Owner: Chief Executive, Senior Information Risk Owner (SIRO).	Action Owner: Senior Information Risk Owner (SIRO) and Statutory Data Protection Officer (SDPO).	Portfolio Flag: Finance, Governance and Performance.			Strategy Theme: Our Organisation.				

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<p>CRR23: Adult and Social Care (ASC) Transformation Programme 2020/21-2021/22</p> <p>Failure to deliver the required outcomes and savings from the new 2020/21 ASC Transformation Programme.</p> <p>Key potential causes are:</p> <p>Wider factors impacting on demand</p> <ul style="list-style-type: none"> Rapid increased demand and complexity due to COVID-19. Increase of needs due to more health services being delivered in the community without appropriate funding following the patient. Increased complex needs that must be met under the Care Act. <p>Wider factors impacting on supply</p> <ul style="list-style-type: none"> Financial pressures on an already vulnerable provider market during sustained changes forced on provider during COVID-19. Time to commission and embed genuine alternatives to Tier 3, long term care provision (ECH, supported Living, shared lives). Time to commission and develop genuine alternatives to Tier 3 long term care (Home first, VCSE, reablement for all). Ability to joint fund this supply through the use of the BCF with NHS partners working in an Integrated Care System model. <p>Corporate Support and understanding of the programme</p> <ul style="list-style-type: none"> Lack of corporate support priority from business support services or access to appropriate corporate investment to deliver service redesign and transformation effectively. Critical pressures on corporate budgets lead to immediate service ‘cuts’ being required rather than being able to make efficiencies through long term transformation programme Support with workforce reform and restructures becomes intractable. Support into ASC to build a knowledge function that can interrogate the data using POWERBI and is allowed to re-profile how departmental spend is viewed and understood using the Care Ladder. <p>Risk Owner: Director Adult Social Care.</p>	<p>The key areas of focus were developed by the DASS and ASC Transformation Team, and were presented to EDM and CLB in July 2020, as well as to the CEO and Director of Finance during their ‘Deep Dive’ into the ASC budget.</p> <p>All parties have given their support to proceed and are championing the work as a priority part of the wider corporate savings plans.</p> <p>The DASS is currently going out to Director Management Team / wider staff team meetings to take staff through the same slides that were presented to the CEO and Director of Finance to communicate the scale and priority of this work for the department.</p> <p>The green light for the initial five areas of work has been approved and ASC Transformation Team is formalising an action plan built on SMART objectives.</p> <p>Five areas.</p> <ul style="list-style-type: none"> Strength-based practice and reviews. In house service reviews. Commissioning and market position. Knowledge function. Monitoring and grip (debt recovery). <p>Set up ASC performance transformation board, chaired by Exec Dir People and attended by CEO, Lead member ASC, DASS</p> <p>Board will monitor all transformation activities and impact on budget</p>	↔	2	5	10	<p>Deputy Director (Transformation) has put the following in place.</p> <p>New transformation programme board to be chaired by Executive Director of People.</p> <p>Each work-stream will have a Senior Responsible Officer (SRO) to ensure ownership of progress. This will be at Deputy Director (DD) and Head of Service (HoS) level.</p> <p>Each area will have an operations and a commissioning lead to ensure alignment and that quality commissioning activity is driven by operational requirements.</p> <p>The ASC Transformation Team will take an overview and be prepared to actively work with leads at the DASS’ request when needed to inject pace, knowledge and provide solutions where there are blockers in the progress/outcomes.</p> <p>The ASC Transformation Team will oversee corporate business support services input (referred to as the ‘crack’ team), where their expertise in IT, HR, Finance and Legal is needed to assist us programme delivery. Additional support to scope and develop the programme will be sought should the ‘crack’ team not have the capacity to deliver.</p> <p>Governance will be stripped back and simple, with an action log to monitor progress including risks and issues.</p> <p>Each SRO / HoS will have to attend the programme board once a fortnight, to discuss progress.</p> <p>Progress to be monitored by People Executive Director Meeting and ASC Transformation Team programme manager will do the highlight reports to satisfy the PMO demands for clearly reportable progress.</p>	1	5	5
	Action Owner: Director Adult Social Care.	Portfolio Flag: Adult Social Care.	Strategy Theme: Our Organisation, Empowering others and Caring, Fair and Inclusive, Well connected, Wellbeing.						

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<p>CRR25: Suitability of Line of Business (LOB) systems.</p> <p>The Councils reliance on legacy systems.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> Lack of desire to change; systems. Significant transition activity leads to systems being. Expensive/complex to change. Lack of understanding of consequences of not changing systems on ICT. Lack of adherence to Procurement rules in relation to re-procurements. <p>Risk Owner: Director, Digital Transformation, Senior Information Risk Owner (SIRO) for Cyber Security. Service Areas for BCP/DR.</p>	<p>Initiated audit of all council Line of Business (LoB) systems.</p>	↔	4	5	20	<p>IT Services continue to highlight risks and shortcomings with systems (in an informal manner) to Heads of Service and Senior Leadership whilst the on-going formal review continues. We continue to work with Information Assurance colleagues in regards to those systems which may perpetuate a Cyber Security or Information Management risk.</p> <p>Ensure that Line of Business (LOB) systems that pose a Cyber Security, Procurement or Resilience/Recovery risk are identified and service areas understand the risks to their services.</p>	2	5	10
	Action Owner: Director, Digital Transformation.	Portfolio Flag: Finance, Governance and Performance.	Strategy Theme: Our Organisation.						


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<p>CRR26: ICT Resilience. The Councils ability to deliver critical and key services in the event of ICT outages and be able to recover in the event of system and/or data loss.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • Poor Business Continuity (BCP) planning and understanding of key system architecture. • Untested Disaster Recovery (DR) arrangements including data recovery. • Untested network reconfiguration to alleviate key location outage. • Untested recovery schedules in terms of order and instructions. • Lack of resilience available for legacy systems (single points of failure - people and technology). • Services undertaking their own IT arrangements outside of the corporate approach. 	<p>Some DR/BCP actions are covered by Future State Assessment (FSA)/ IT Transformation Programme (ITTP).</p> <p>We have moved critical systems to the cloud with more effective DR.</p> <p>Application audit have commenced with a view to highlighting those systems with the highest risk.</p>	↔	2	7	14	<p>We are continuing to review Disaster Recovery (DR) options for any systems which will not be moved to the cloud.</p> <p>Highlighting to service areas where applications may be vulnerable and advising on likely timescales for disruption to enable appropriate BC planning.</p>	2	5	10
Risk Owner: Chief Executive, Director, Digital Transformation, Service Area Leads.	Action Owner: Director, Digital Transformation.	Portfolio Flag: Finance, Governance and Performance.			Strategy Theme: Our Organisation.				

Corporate Risk Register as at January 12 2021 – Threat Risks to the achievement of Bristol City Councils Objectives.									
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>CRR26: Capital Transport Programme Delivery Management of the overall transport capital programme is key to ensuring we deliver against mayoral priorities in the most cost and time efficient way possible. Failure to do so negatively impacts the council's reputation and finances and makes the council less likely to reduce congestion, air pollution and inequality.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • Overspend on individual schemes leading to uncontrollable cost pressures. • Underspend on annual profile. • Lack of coordination and programme management across divisions. • Covid-19. 	<p>Transport Programme Team and Delivery Board established.</p> <p>Shared paperwork and highlight reporting process initiated.</p> <p>Regular briefings and reporting to senior management and cabinet members.</p> <p>5-year capital programme mapping process underway.</p> <p>Regular reviews with directors taking place, workshop carried out to examine governance and further improvements to processes.</p>	↔	3	3	9	<p>COVID-19 lockdown has restricted progress of all non-essential capital programme schemes. This is in part due to the non-essential nature of schemes but also down to the inability to carry out site surveys, engage and consult appropriately and to process TROs. We have restarted processing TROs following revised government guidance. We are also reviewing the whole programme in light of the challenges posed by COVID-19. Working with Transport Planning Team (TPT) and other managers to develop systems further engaging with Directors of Economy of Place and Management of Place, to develop proposals for overall improved management of capital programme and recruitment of appropriate resource levels. We continue to develop Transport Planning Team (TPT), Transport Programme Delivery Board (TPDB) and highlight report processes which are governed by the Growth and Regeneration (G&R) Board (monthly meeting). 5 Year mapping ongoing, 2019/20 programme mapped and ongoing. The Emergency Active Travel Fund (EATF) announced by the Department for Transport (DfT) has meant reprioritising resource to deliver cycle schemes and social distancing across the city. This has and will inevitably lead to some profiling and adjustment of the programme. This is ongoing, it is likely that funds can be carried forward to next year and that some funds will be allocated to supporting EATF schemes. All schemes restarted and works progressing well. 6-month review has highlighted schemes that are behind programme and re-profiling taking place currently.</p>	2	3	6
Risk Owner: Executive Director Growth and Regeneration, Director Economy of Place.	Action Owner: Director Economy of Place.	Portfolio Flag: Communities.			Strategy Theme: Our Organisation, Wellbeing.				

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Corporate Risk Register as at January 12 2021 – Threat Risks to the achievement of Bristol City Councils Objectives.									
Risk title and description	What we have done	Performance	Current Risk Level			What we are doing	Tolerance Risk Level		
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<p>CRR29: Information Security Management System (ISMS) There is a risk that if the council does not have an Information Security Management System then it will not be able to effectively manage Information Security risks.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> Ineffective Information Security Management System, inadequate resources to create and maintain an ISMS, management buy in and support to operate an ISMS. 	<p>We have worked with Information Governance Board (IGB) and ICT on introducing and/or designing an ISMS aligned to ISO 27001.</p> <p>IG team now have an operational level risk register that is being used to track local operational risks further aligning ourselves with best practice.</p> <p>Policies have been created, and a gap analysis conducted. Areas for improvement have been captured.</p>	↔	4	5	20	<p>Information Assurance are continuing to work with ICT and IGB on implementing an Information Security Management System.</p> <p>Plans for implementation, supported by internal audit will be built in to the 21/22 service plan.</p>	1	5	5
Risk Owner: Senior Information Risk Owner (SIRO).	Action Owner: Senior Information Risk Owner (SIRO) and Statutory Data Protection Officer (SDPO).	Portfolio Flag: Finance, Governance and Performance.			Strategy Theme: Our Organisation.				

Corporate Risk Register as at January 12 2021 – Threat Risks to the achievement of Bristol City Councils Objectives.									
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<p>CRR18: Failure to deliver enough affordable Homes to meet the City's needs. Previously Failure to deliver 800 affordable Homes per annum to meet Local Housing Need). Strategies and delivery models designed to further stimulate growth in the housing market and deliver diversity of the housing in the City prove to be ineffective.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> Subsidy availability. Insufficient land available. Uncertainty in the housing market as a result of Covid-19. Not enough planning applications submitted. Not enough permission granted. Inability of the housebuilding industry to deliver at this level. Increased uncertainty in the market due to Brexit. Lack of capacity within the council's delivery system and the local market. Insufficient housing land identified in planning documents. 	<p>Established a grant funding programme to subsidise the delivery of affordable homes.</p> <p>Introduced the Affordable Housing Practice Note.</p> <p>Working collaboratively with Homes England to maximise subsidy in schemes to provide as much affordable housing as possible.</p> <p>Requiring a minimum of 30% affordable housing on land released by the Council.</p> <p>Refer to CRR18 page9 for full list of interventions.</p>	↔	4	7	28	<p>We are reviewing the impact of Covid-19 on Housing Association and Developer Partners delivery Programmes.</p> <p>Intending to refocus the Housing Delivery Team delivery programme to de-risk sites to create a pipeline of investable development opportunities to bring forward for development once the impact of Covid-19 on the housing market are clearer.</p> <p>Continue to promote the Affordable Housing Grant Funding Programme to maximise the opportunities to deliver affordable housing potentially unlocking stalled sites.</p> <p>Working Closely with Homes England to ensure additional subsidy is secured.</p> <p>Identifying opportunities to acquire additional affordable homes off the shelf.</p>	3	5	15
Risk Owner: Executive Director Growth and Regeneration, Director Development.	Action Owner: Director Development of Place and Head of Housing Delivery.	Portfolio Flag: Communities.			Strategy Theme: Fair and Inclusive.				

Corporate Risk Register as at January 12 2021 – Threat Risks to the achievement of Bristol City Councils Objectives.									
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<p>CRR34: Corporate Equalities. The Council does not meet its ambitions or legally required standards for good practice on equality and inclusion. The Council fails to meet its statutory duties under the Equality Act 2010.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> Lack of consistent council-wide knowledge on the Public Sector Equality Duty and how to take equalities into consideration. Gaps in available data and analysis to understand potential impacts of decision making. Compliance driven rather than understanding based on good analysis. High turnover of staff resulting in loss of knowledge/institutional memory. Institutional racism and structural inequality in the council, city and society as a whole. Under-representation of key demographics in the workforce, particularly within senior roles. 	<p>The Approved new Equality and Inclusion Policy (E&I) and Strategy was published November 2018 and a new budget approved April 2019.</p> <p>The Equality & Inclusion internal governance structure including champions were established in June 2019 and an action plan developed and being disseminated and taken forward.</p> <p>The Head of Equality and Inclusion was appointed January 2019.</p> <p>Equality action plans were produced by all services for 2020/2021 in March 20 20.</p> <p>New training was developed and rolled out on Equality Impact Assessments and a new programme developed including eLearning. The processes for addressing EQIAs have been improved and tracking is in place. The temporary Covid-19 EQIA process created and E&I team representation on key working groups in May 2020.</p> <p>The corporate governance reporting structure with TORs/roles for a Strategic E&I Leadership Group, staff led groups and other champions was finalised in Apr 2020. A plan agreed to be assessed in August 2020 under the Local Government Association Framework.</p> <p>Internal communications have been underway to enhance visibility.</p> <p>A new programme of work to embed interventions based on David Weaver's recommendations for BCC was approved by CLB in June 2020.</p> <p>A new definition of anti-Semitism was adopted in March 2020.</p> <p>The Stepping Up programme was re-procured to ensure continuity in June 2020.</p> <p>Bespoke support, advice and risk assessment for Black, Asian, minority ethnic and vulnerable staff in light of Covid-19 was developed and communicated in June 2020.</p> <p>The Equality and Inclusion Annual Progress Report was prepared and presented to Full Council in June 2020, followed by a refreshed Equality and Inclusion Policy and Strategy which was approved unanimously by Full Council in December 2020.</p> <p>Submitted draft chapter submissions for the forthcoming 2021 Stonewall Index and obtained Stonewall feedback</p> <p>Invited expressions of interest from aspiring Directors, particularly those from under-represented groups, to apply for a Diverse Voices scheme that will enable participants to take part in Corporate Leadership Board meetings.</p>		1	5	5	<p>The work of mainstreaming and embedding equality & inclusion is well underway. Good teamwork across Bristol City Council. The two teams with an equality & inclusion focus within Policy, Strategy and Partnerships and Human Resources have now been aligned and are working closely together. However, there is still more to do corporately to tackle institutional racism and improve equality and inclusion practice, an issue brought in to even sharper focus by Covid-19, the global Black Lives Matter movement and the findings of DWC Consulting from their work supporting the council with various HR cases and Staff Led Group relations.</p> <p>The disproportionate impact of Covid-19 on Black, Asian and minority ethnic groups has been recognised and is managed by a focused race equality group within the council's governance structure for managing the impacts of the pandemic.</p> <p>We are:</p> <ul style="list-style-type: none"> Improving equalities analysis and consideration in changes to policy or practice as a result of Covid-19 Carrying out community engagement to understand more about city's relationship with race equality and people's needs in recovery from Covid-19, particularly in the context of the global focus on race equality. Reviewing and refreshing Service Equality Action Plans for 2021/22. Reviewing the E&I learning and development offer for employees at BCC to ensure that their E&I awareness is improving throughout their employee journey. Identifying opportunities for positive action in recruitment and/or leadership/stepping-up opportunities for under-represented groups. 	1	5	5
Risk Owner: Director Policy, Strategy & Partnerships.	Action Owner: Director Policy, Strategy & Partnership, Interim Head of Equality and Inclusion.	Portfolio Flag: Finance, Governance and Performance.	Strategy Theme: Our Organisation.						

Corporate Risk Register as at January 12 2021 – Threat Risks to the achievement of Bristol City Councils Objectives.									
Risk title and description	What we have done	Performance	Current Risk Level			What we are doing	Tolerance Risk Level		
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<p>CRR35: Organisational Resilience Emerging risks, disruptions and disturbances can threaten the operations and reputation of the Council. Acute shocks and the impact of chronic stresses result in crises which are becoming an everyday occurrence. The landscape in which the council operates is rapidly and continually changing, often unpredictably.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • Environmental Hazards. • Economic and Social Change. • Geo-Political Change. • Natural Disasters. • Climate Change. • Health / Disease Risk. • Terrorism. • Cyber-Crime. 	<p>We have been responding to Covid-19 crisis and used experience to test existing plans and processes, plus developed new tactics including Head of Service returns process and wide-spread agile working.</p> <p>We have contributed to Local Resilience Forum level planning and consider risks emerging from National Security Risk Assessment through a regional LRF lens.</p> <p>Implemented the Horizon-scan policy and political environments for coming threats and opportunities, including Brexit contingency planning work.</p> <p>The Brexit Project Board and Recovery Overview and Coordination Board considering practical strategies and mitigations over the winter 2020 period.</p> <p>As an inaugural member of Rockefeller 100 Resilient Cities Network, compiled a Resilience Strategy for Bristol and mainstreamed this in to the One City Plan.</p> <p>Adopted British Standard of Resilience principles in recovery planning / strategy work.</p> <p>Updated Business Continuity Plans as part of annual service planning process to incorporate learning from 2020.</p> <p>Carried out workforce planning exercises to predict demand and manage staffing / talent pipeline.</p> <p>Developed a strategic Mayoral forward planning grid charting key stressors and threats alongside opportunities and mitigations.</p> <p>Surveyed Directors on winter pressures for 2020/21 and used the results at Corporate Leadership Board to agree areas for additional temporary resourcing or pausing of other business activities.</p> <p>Considered longer term risks and mitigations as part of annual Service Planning process for 2021/22.</p>	↔	3	7	21	<p>Covid-19 has highlighted this as an area of risk, and whilst overall resilience was good, the organisation may not have been able to function if any other major crises had occurred at the same time. It also had to stop a large swathe of activity to meet demand, which would not have been sustainable in the medium to long term. Whilst any resilience and business continuity planning needs to be proportionate to the level of risk both likelihood and impact, it is vital to take on board lessons learned from Covid-19 and consider how to build more resilience and sustainability in to our systems.</p> <p>We are:</p> <ul style="list-style-type: none"> • Reviewing key strategies within the council's Strategic Framework to consider learning from Covid-19 and to embed resilience principles. • Review the council's overarching ways of working and design principles, including embedding of more agile ways of working. • Developing a Strategic Crisis Management Plan to provide high level overview document to sit above existing tactical Incident Management Plan. 	2	5	10
Risk Owner: Chief Executive	Action Owner: Director Policy, Strategy & Partnerships	Portfolio Flag: Finance, Governance and Performance.			Strategy Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing				

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<p>CRR36: SEND Delivery of the recovery plan with agreed priorities and actions and clear milestones forming the Written Statement of Action (WSOA) following the SEND local area OFSTED inspection in October 2019.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • Covid-19 delaying ability to complete actions. • Increasing demands for services outweighing current capacity to clear the backlog on statutory assessments. • Judicial Review or similar legal actions causing attention to be diverted from BAU. 	<p>We are working in partnership with parent/carers, key partners including social care, health and schools to develop the Written Statement of Action, which is the comprehensive improvement plan for addressing the five priorities.</p> <p>Scrutiny SEND Deep dive (Evidence Day) 3 February 2020.</p> <p>WSOA was formally approved by Ofsted and CQC - April 2020.</p> <p>We have invested in priority areas - Appointed new staff in SEND and EP team. Refocussed the work of the team.</p> <p>We have developed an Accessible City team.</p>	↔	2	5	10	<p>We are working with stakeholders and partners across the local area to improve services through the WSOA. The WSOA has a governance route and performance will be monitored by the SEND partnership group monthly and Children's Improvement Board bi-monthly.</p> <p>Following the July 2020 formal monitoring visit from the Department of Education and NHS England further visits are planned for November 2020 and March 2021. A re-inspection visit is scheduled for Autumn 2021.</p>	1	5	5
Risk Owner: Executive Director People, Director Education and Skills.	Action Owner: Director Education and Skills	Portfolio Flag: Education and Skills.			Strategy Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing				

Corporate Risk Register as at January 12 2021 – Threat Risks to the achievement of Bristol City Councils Objectives.									
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<p>CRR37: Homelessness The risk that homelessness and the subsequent cost of providing emergency short term accommodation will continue to rise.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> The ending of the eviction ban. Economic impact of COVID-19, unemployment rising leading to an increase in evictions from private rented tenancies. COVID 19 and lockdown leading to an increase in mental health issues, family relationship breakdown and domestic violence & abuse. 	<p>Launched Change for Good. A multi-agency partnership sponsored by Bristol City Council, Bristol, North Somerset and South Gloucestershire Clinical Commissioning Group (BNSSG CCG), Golden Key Bristol. Aim to change how agencies work together to support people with complex needs...starting with homelessness.</p> <p>Continuing to progress the One City move on project, which has clear links to above.</p> <p>BCC Submitted a successful bid to Ministry of Housing, Communities & Local Government (MHCLG) next steps funding to increase the availability of supported move on accommodation for people who sleep rough.</p> <p>We have worked with the advice sector in Bristol to promote their services with a message to Bristol citizens to make contact early for support.</p> <p>There has been a significant increase in Discretionary Housing Payments budget (Held by the Housing Benefits service), which can make payments to landlords to enable tenancies to be sustained and homelessness prevented.</p> <p>We have been working closely with commissioners of domestic abuse services and providers to support move on from refuge accommodation.</p>	↔	4	5	20	<p>Ongoing work with the broader homelessness sector, advice agencies and key partners to develop proposals and opportunities to work collaboratively around early intervention and prevention of homelessness.</p> <p>We are progressing the Move On Project. Bringing on line additional supported move on accommodation funded from our successful Next Steps programme bid.</p> <p>Working with partners to progress the Change for Good initiative and associated projects.</p> <p>Continuous engagement with Homes England on supported move on options to feed into the subsequent tranches of Next Steps bid opportunities.</p>	3	5	15
Risk Owner: Executive Director Growth and Regeneration, Director Housing.	Action Owner: Director Housing.		Portfolio Flag: Housing.			Strategy Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing.			

Corporate Risk Register as at January 12 2021 – Threat Risks to the achievement of Bristol City Councils Objectives.									
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<p>CRR39: Adult and Social Care major provider/ supplier failure Failures or closures in the supply chain mean insufficient supply to source adequate appropriate support and meet Care Act needs.</p> <p>Key potential causes could be as follows.</p> <ul style="list-style-type: none"> Major national care home provider goes into liquidation or starts to sell care homes. Major local provider/unable to meet demand due to recruitment / workforce/ or organisational issues. Major providers become financially sustainable due to economic context. (COVID-19) Additional costs and pressures on market arising from additional impact on supply. 	<p>Multi agency support for providers to address impact of pandemic. Regular review of supply and sustainability issues part of weekly SITREP provided by commissioning. Strong contract and performance management including quarterly corporate reporting. Financial sustainability process provides evidenced understanding of issues for strategically important providers. Work on managing market prices based on open book cost of care processes.</p>	↔	2	7	14	<p>Business cases reviewing appropriate investment to ensure supply key provision. Leading role in work across BNSSG re provider market. Continuing other work with providers, including use of infection control monies. Support VCSE to work alongside formal supply. Following internal audit reviewing provider collapse processes.</p> <p>This is a live issue and will be impacted by COVID outbreak. The risk will be reassessed in coming weeks.</p>	2	7	14
Risk Owner: Executive Director People, Director Adult Social Care.	Action Owner: Director Adult Social Care.		Portfolio Flag: Adult Social Care.			Strategy Theme: Our Organisation, Empowering others and Caring, Fair and Inclusive, Well connected, Wellbeing.			

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Corporate Risk Register as at January 12 2021 – Threat Risks to the achievement of Bristol City Councils Objectives.									
Risk title and description	What we have done	Performance	Current Risk Level			What we are doing	Tolerance Risk Level		
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<p>CRR40: Unplanned Investment in Subsidiary Companies BCC'S investments in subsidiaries may require greater than anticipated capital investment.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • Business Failure due to severe Economic Recession. • Winding up of Bristol Energy. • Specific market changes e.g. recycle market, housing market, etc. • Legislation changes. • Lack of sufficient skills, knowledge and experience. • Covid pressures. 	<p>The Shareholding Group meet quarterly. Shareholding is an executive function and the governance of the Companies is delivered through the Council's shareholder group.</p> <p>Each year the Council's subsidiary companies submit a business plan to Cabinet for approval outlining their financial position and outlook and any investment required over the period of the business plan.</p> <p>The remit of the Holding Company governance arrangements have been strengthened with greater oversight and scrutiny.</p>	New	2	7	14	<p>Following the Council's external auditors review of Governance arrangements for subsidiary companies an action plan is in place to improve Governance arrangements and risk management arrangements.</p> <p>This action plan is to be presented to Audit Committee on 25 January 2021.</p>	1	7	7
Risk Owner: Chief Executive and S151 Officer.	Action Owner: Director Finance, Director Legal and Democratic Services.	Portfolio Flag: Finance, Governance and Performance.	Strategy Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing.						

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<p>CRR40: Long Term Major Capital Projects. BCC'S long-term major capital projects may require greater than anticipated investments.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • The cost is higher than expected. • The project is delivered later than planned. • The operating and maintenance cost of the asset exceeds expectations. • Strategic, geographic, social, financial and economic conditions changing over time. • Oversight of Project Interdependencies not well managed. • Insufficient in-house resources to progress major projects lead to missed opportunities to leverage third party investment. • Failure to anticipate and secure investment and resources to deliver enabling works and infrastructure. 	<p>Corporate Leadership Board (CLB) / Capital and Investment Board (CIB) meet on a monthly basis and have an oversight and stewardship role for the delivery of the Capital Programme and investments.</p> <p>Some examples of key projects which were reviewed by CIB include Harbour Strategy, Cattlemarket Road, and now Bristol Beacon.</p> <p>The Growth and Regeneration (G&R) Board meets monthly and is a strategic forum for the review and monitoring of regeneration assets and growth programmes and projects – enabling effective decision-making and ensuring alignment with the wider objectives of the Council.</p> <p>The G&R Board has identified a number of Areas of Growth and Regeneration (AGR) across the City to enable place shaping and contribute to regeneration, affordable housing, community building and the financial sustainability of the Council and the AGR are regularly reviewed and re-prioritised by the G&R Board.</p> <p>The Covid-19 pandemic in March 2020 has impacted on the delivery of some major projects owing to restrictions placed on based working, supply chain partners furloughing staff, and building material suppliers only delivering to critical construction projects. By the end of June 2020 works had resumed.</p> <p>NB: There was no halting of reactive or planned highways works during COVID-19, this included the works commencing at the Cumberland Basin (£5m).</p> <p>In response to the Covid-19 pandemic a review and prioritisation exercise of all major projects was initiated in April 2020 and was concluded in September 2020.</p>	New	4	7	28	<p>The process of reviewing and prioritising / re-prioritising programmes and projects and other deliverables in the light of the global Covid-19 pandemic as well as assessing its impact on long-term commercial investments and major capital project delivery.</p> <p>Bristol Beacon (formerly Colston Hall) – internal and external reviews have been completed reviewing both the project governance structure and main contract arrangements. Recommendations from these reviews have been received have been considered and supported by the project sponsor and funding partners and are now being implemented. A dedicated BCC project director has been allocated to the project after a procurement process to coordinate ongoing delivery. An updated report and recommendations will be made to Cabinet in Q1 2021-22.</p> <p>Harbour Strategy: Asset Review Phase 1 has been completed. The final report will be presented to the Corporate Leadership Board. Harbour review commenced in Q2. Once this is concluded the Harbour Strategy will commence.</p> <p>Energy projects paused and subsequently restarted after the initial Covid 19 lockdown in 2020 are being reviewed in light of the new CV19 restrictions, which may result in delays. Mitigations and the risk level will be updated.</p> <p>The service is applying for various central Government grant funding schemes in order to provide capital for its projects.</p> <p>City Leap is progressing.</p> <p>Bristol City Council is entering a strategic partnership with a multi-disciplinary consultancy organisation to provide professional services expertise on Capital & Infrastructure projects in Bristol.</p>	1	7	7
Risk Owner: Executive Director Growth and Regeneration.	Action Owner: Executive Director Growth and Regeneration and Director Economy of Place.	Portfolio Flag: Mayor and Finance, Governance and Performance.	Strategy Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing.						

Corporate Risk Register as at January 12 2021 – Opportunity Risks to the achievement of Bristol City Councils Objectives.									
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<p>OPP1: One City Approach. The One City Approach will offer a new way to plan strategically with partners as part of a wider city system.</p> <p>Key potential causes:</p> <ul style="list-style-type: none"> • Mayoral aspiration and widespread partner sign-up to the principle. • Work to date has produced outline plan and engaged partners in the long-term vision and necessary work to complete the plan. 	<p>Published in October 2020 the One City Economic Recovery and Renewal Strategy. In June 2020 published the One City Economic Renewal Statement of Intent. We have funded the core City Office staff team. We appointed to the Head of City Office role, 2x Operational and Stakeholder Engagement Managers, a SDG Coordinator and a sequence of interns, work experience and external offers of resourcing to support the initiatives. We have established all One City Boards. Aligned internal resourcing for One City Plan development with our review of Partnership Policy (see RDRR7) to ensure a joined-up approach. Established the leadership framework with a regular meeting pulse and associated governance mechanisms. We have launched the One City Plan refreshed 2020 version in January 2020. As part of the response to Covid-19, a One City Approach has been used to coordinate a 'One City' response, helping to bring together leaders from key city institutions around shared priorities, using relationships developed through the work of the City Office to improve stakeholder engagement and communications. Developed the One City Economic Recovery and Renewal Strategy.</p>	↔	3	7	21	<p>One City has been integral to Covid-19 response and recovery and has been widely recognised for its value by key city partners. We have been working on sustainable long-term funding models and a more ambitious 'core' City Office offer and resource to maximise benefits of the One City Approach and will be taking forward these conversations with partners in the New Year. We continue to work on the annual update to the One City Plan alongside partners, with a new version scheduled for launch in March 2021.</p>	4	7	28
Risk Owner: Director Policy, Strategy and Partnerships.	Action Owner: Director Policy, Strategy and Partnerships.	Portfolio Flag: Mayor.			Strategy Theme: Our Organisation.				

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Corporate Risk Register as at January 12 2021 – Opportunity Risks to the achievement of Bristol City Councils Objectives.									
Risk title and description	What we have done	Performance	Current Risk Level			What we are doing	Tolerance Risk Level		
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<p>OPP2: Corporate Strategy. The approved Corporate Strategy presents an opportunity to fundamentally refresh and strengthen our business planning, leadership and performance frameworks.</p> <p>Key potential causes:</p> <ul style="list-style-type: none"> • Approved Corporate Strategy provides the foundation and direction for the organisation. 	<p>We have approved and adopted the Corporate Strategy, Business Plan 20/21 and Performance Framework 20/21 through appropriate Decision Pathways. We adapted and created a Covid recovery edition. Re-launched and completed 'My Performance' reviews for all colleagues including annual objective setting linked to the Corporate Strategy and Business Plan 20/21. Completed six-monthly performance reviews in ITrent. Designed and launched an integrated business planning approach for 2020/21, linking financial planning, service planning, equality action plans, strategy alignment, risk management and performance management. We refined our process again in light of lessons learnt for 2021/22. This process was launched formally in Sept 2020 and Service Plans were completed to deadline in December 2020.</p>	↓	3	7	21	<p>The Corporate Strategy is well embedded and whilst capacity to deliver all outcomes is limited, there is a much greater focus on project prioritisation against the Strategy and commensurate improvements in public satisfaction year-on-year since its inception. We are planning to review the Corporate Strategy in 2021/22 following the Mayoral and Council elections. In the meantime we continue working with senior leaders on future ways of working and ideas for further vision-led and transformational change.</p>	4	7	28
Risk Owner: Director Policy, Strategy and Partnerships.	Action Owner: Director Policy, Strategy and Partnerships.	Portfolio Flag: Finance, Governance and Performance.			Strategy Theme: Our Organisation.				

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			Likelihood	Impact	Risk Rating		Likelihood	Impact	Risk Rating
<p>OPP3: Devolution. Should the potential arise for opportunities from a region’s devolving, second devolution deal that could lead to an opportunity to align the Council’s corporate priorities and strengthen regional partnership working.</p> <p>Key potential causes:</p> <ul style="list-style-type: none"> Potential development of second devolution deal. 	<p>We have continued engagement with WECA; but with recognition that focus has been placed more on a proposed housing fund. The national uncertainty around long term government funding and approach has decreased the opportunity slightly (Q1 19/20), but this has recovered given the opportunity around the 'powerhouse' for South Wales and western England, which has positive momentum and was been formally launched by HM Government under the name 'Western Gateway' (Q3 19/20).</p> <p>During 2020/21 we engaged with partners around the potential for geographic expansion of WECA and made representations to partners and HM Government about priorities, governance and investment which would be sought in any potential expansion.</p>	↑	3	7	21	<p>We are engaging with HM Government and WECA as well as working alongside other combined authorities and core cities on potential devolution options. There are risks that devolution takes a different turn following Covid-19 pandemic.</p> <p>We are engaging with the BEIS Select Committee’s Levelling Up/Devolution Inquiry through both BCC and Western Gateway.</p> <p>We will continue to engage with WECA at strategic level.</p> <p>We will continue to engage with HM Government on devolution opportunities, following up on specific spending review asks and engagement on the development of the Western Gateway.</p> <p>We have commissioned an Independent Economic Position Statement for the Western Gateway and recruiting to Secretariat resource. We will continue to engage partners and HM Government on this project.</p>	3	7	21
Risk Owner: Chief Executive.	Action Owner: Director Policy, Strategy and Partnerships.	Portfolio Flag: Finance, Governance and Performance.			Strategy Theme: Our Organisation.				

Corporate Risk Register as at January 12 2021 – Opportunity Risks to the achievement of Bristol City Councils Objectives.									
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>OPP4: Brexit. If exiting the European Union provides benefits, such as increased domestic concentration of power, this may lead to opportunities for this to be harnessed at a local or regional level.</p> <p>Key potential causes for enhancing and exploiting:</p> <ul style="list-style-type: none"> Exiting the European Union. 	<p>BCC published a No Deal Impact Assessment and established a Brexit Project Board to manage the council’s preparedness. The opportunity score reflects the highest opportunity score as set out in the No Deal Impact Assessment. Preparing for Brexit outcomes post-transition phase. Q2 2019.</p> <p>Established a city Brexit Response Group and met since 2016.</p> <p>Met Michel Barnier in Brussels with the Core Cities.</p> <p>Been monitoring the environment; including news of threats from large local employers of leaving UK.</p> <p>Collaborated on draft Inclusive Economic Growth Strategy and Local Industrial Strategy.</p> <p>Participating in MHCLG events and national working group of local authority representatives.</p> <p>We continue to work with Core Cities and M9 leaders on concerted joint efforts.</p> <p>We have formed a Brexit Project Board for internal preparedness and provided fortnightly updates to all Members on preparedness work.</p> <p>We have agreed terms of reference for a Brexit Coordination Group to manage daily operations in the event of a No Deal exit.</p>	↔	1	5	5	<p>Following a late ‘deal’ between the UK and EU we are assessing its implications, particularly around opportunities in new domestic funding programmes.</p> <p>We are engaging with partners and HM Government about funding programmes, notably the UK Shared Prosperity Fund and the proposed domestic replacement for Erasmus+.</p> <p>We continue to promote the Western Gateway as a post-Brexit opportunity to invest in the region and city.</p> <p>We are working with Core Cities and Eurocities to build partnerships across Europe and show Bristol is still open for business. In March 2020 we plan for there to be a Core Cities/Eurocities Leaders’ Summit to agree how we manage the impact of Brexit and improve bilateral city-to-city trade and investment relations.</p>	1	5	5
Risk Owner: Chief Executive.	Action Owner: Director Policy, Strategy and Partnerships.	Portfolio Flag: Finance, Governance and Performance.			Strategy Theme: Our Organisation.				

Corporate Risk Register as at January 12 2021 – External / Civil Contingency Risks to the achievement of Bristol City Councils Objectives.									
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>BCCC1: Flooding. There could be a risk of damage to properties and infrastructure as well as risk to public safety from flooding which may be caused by a tidal surge, heavy rainfall and river flood events.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • Tidal surge, heavy rainfall, and river flood events. • Impact of climate change. • Lack of effective flood defences and preparedness for major incidents. • Failure of existing flood defences. 	<p>Bristol has in place a local Flood Risk Management Strategy which comprises of 5 key themes and 43 separate actions in line with Environment Agency's national strategy. The Strategy has used outputs from a number of key studies (which identify the risk of flooding to the city) to structure our response to flood risk management, from emergency management to flood mitigation schemes, summarised below.</p> <p>The Avon and Somerset Local Resilience Forum (LRF) is a partnership of all the organisations needed to prepare for an emergency in the LRF area. It includes the emergency services, health services, Maritime and Coastal Agency, Environment Agency, volunteer agencies, utility companies, transport providers and the five councils of Bath and North East Somerset, Bristol, North Somerset, Somerset and South Gloucestershire.</p> <p>Working with emergency services, local authorities and other agencies to develop flood response plans and procedures, investigating instances of flooding, training specialist staff in swift water rescue techniques, communicating with housing and business developers to incorporate flood protection into new developments. It provides guidance to members of the public about flooding, including flood warnings and what people can do to help themselves. We undertake regular and emergency maintenance and clearing programs of gullies and culverts, especially in advance of storm warnings.</p> <p>Work has started with the Environment Agency and South Gloucestershire Council to construct new sea defences in Avonmouth and Severnside, which take account of climate change and sea level rise.</p> <p>Technical studies have been undertaken to develop a strategy for managing the risk of flooding from the river Avon to the city centre over the next century. The leading strategic approach is to construct new defences and / or raise the level of existing defences along the banks of the river Avon. The strategy consultation closed on 20th December 2020.</p>	↔	3	5	15	<p>There is sustained resourcing and delivery of all actions in Local Flood Risk Management Strategy (LFRMS) over life of strategy. Strategy includes the following key projects and objectives:</p> <ul style="list-style-type: none"> • Working in partnership with the Environment Agency to complete and deliver the Bristol Avon Flood Strategy to protect the city centre, including allowances for climate change. • Working in partnership with South Gloucestershire and the Environment Agency to deliver a flood scheme to help protect Avonmouth Village and the Enterprise Area from tidal flooding, including allowances for climate change. • Promote minor sized schemes and green infrastructure to reduce local flood risks • Actively managing flood risk infrastructure. • Ensuring development is sustainable, seeks to reduce flood risk and includes consideration to climate change. 	3	3	9
<p>Risk Owner: Executive Director Growth and Regeneration, Director Economy of Place.</p>	<p>Action Owner: Director Economy of Place, Flood Risk Engineer.</p>	Portfolio Flag: Energy, Waste and Regulatory Services.	Strategy Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing.						

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Corporate Risk Register as at January 12 2021 – External / Civil Contingency Risks to the achievement of Bristol City Councils Objectives.									
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>BCCC2: Brexit</p> <p>The risk that Brexit (and any resulting 'deal' or 'no deal') will impact the local economy, local funding and delivery of council services, and that uncertainty around Brexit could impact our ability to accurately assess or plan for potential positive or negative outcomes.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • Exiting the European Union. • Lack of agreed Trade Deal and/or a defined permanent future relationship with the EU. • Unprecedented and complex national / international process. • Lack of planning by the authority. 	<p>We have established and operated a city-wide Bristol Brexit Response Group.</p> <p>Working with Core Cities and M8 leaders on concerted joint efforts, including meeting Michel Barnier.</p> <p>Collaborated on draft Inclusive Economic Growth Strategy and Local Industrial Strategy.</p> <p>Developed a BCC Brexit No Deal Scenario Assessment to inform action planning, and then refreshed it in Q2 2019/20.</p> <p>Participation in MHCLG events and national working group of local authority representatives.</p> <p>Formed Brexit Project Board to take forward preparedness actions and met consistently to drive progress.</p> <p>Agreed funding for key areas for mitigation work.</p> <p>Established TOR for a Brexit Coordination Group to manage daily activity in a No Deal scenario (Jan 2019) and tested (Mar 2019).</p> <p>Established regular meeting of Brexit Lead Officers from neighbouring authorities and WECA to share approaches and best practice Sep 19.</p> <p>Established regular meetings of Brexit Lead Officers from neighbouring authorities and WECA to share approaches and best practice. (Sep 19). 'Dry run' of Brexit Coordination Group ahead of 31 October original deadline; with learning informing future arrangements as required. (Oct-19).</p>	↑	2	5	10	<p>As this is an external risk, it is challenging to assess and is changing very frequently, most recently with a late-notice 'deal' announced on 24 December 2020.</p> <p>We are now assessing this deal to ascertain its impacts, which are likely to reduce but not remove threat risk. Among the known areas of residual risk are the lack of an 'adequacy' determination to continue processing data between the UK and EU; the risk of people being left behind with no recourse to public funds once the EU Settlement Scheme deadline passes; changes to border control and import/export measures impacting organisational capacity; disrupted trade affecting businesses as they struggle to adapt to new requirements whilst also managing Covid impacts.</p> <p>These risks and any other identified are being 'mainstreamed' in to the appropriate parts of the council's Risk Registers during Q4 2020/21, and scoring will be reassessed accordingly.</p> <p>We continue to:</p> <ul style="list-style-type: none"> • Monitoring transition developments and impacts • Analyse the agreement with the EU and its impacts • Continue engagement with all relevant government departments and partners to ensure sectoral/organisation risks are communicated and mitigations proactively suggested. 	2	5	10
<p>Risk Owner: Chief Executive, Director Policy, Strategy and Partnerships.</p>	<p>Action Owner: Director Policy, Strategy and Partnerships.</p>	<p>Portfolio Flag: Finance, Governance and Performance.</p>			<p>Strategy Theme: Our Organisation.</p>				

Corporate Risk Register as at January 12 2021 – External / Civil Contingency Risks to the achievement of Bristol City Councils Objectives.									
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>BCCC3: COVID-19</p> <p>A failure to respond and recover effectively to the Covid crisis will jeopardise the delivery of statutory duties across the Council, put the lives and welfare of staff and service users at risk, create additional social anxiety, cause unnecessary expense, undermine Council finances and severely damage the Council's reputation.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • Staff sickness, absence and bereavement. • Surges in demand in key service areas, particularly social care, safeguarding, housing, community engagement, hardship, public health and civil protection. • A lack of personal protective equipment for staff and providers. • Increased social anxiety and community tension. • Failure of key providers and contractors. • A lack of management control and oversight associated with home working. • Failure to identify and seize opportunities. • Changes in national guidelines. 	<p>The Council has moved at pace to change the way that it works across every Directorate and Service area:</p> <ul style="list-style-type: none"> • The response to Covid is managed through the Outbreak Management Group, Chaired by the Director of Public Health • The Local Engagement Board and Health protection Committee have been established • Work to support the most vulnerable is ongoing • Work to enforce Covid regulations is ongoing • PPE supply chains have been stabilised and made more resilient • Additional body storage capacity has been realised • The organisation has established remote working practice wherever possible • Buildings have Covid secure risk assessments in place • 3 Recovery Workstreams have been established – Community and People, Economy and Business and Organisational Change • Recovery Objectives are being monitored and managed through EDMs • Learning from the first wave informs our ongoing response • As infections rise again, we have escalated internally and formed a 'Gold' Group chaired by Chief Executive. 	↔	4	7	28	<p>We continue to work closely with Health Partners and Avon and Somerset Resilience Forum continues.</p> <p>Continued communication to partners, businesses and citizens continues.</p> <p>We continue to understand the ongoing Covid response and recovery in the context of the wider risk landscape of Brexit, winter pressures and the possibility of an unrelated concurrent emergency.</p>	2	7	14
<p>Risk Owner: CLB (For discussion at G&R EDM).</p>	<p>Action Owner: Director Resilience (For discussion G&R EDM).</p>	<p>Portfolio Flag: Corporate wide.</p>			<p>Strategy Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing.</p>				

Threat Risk Performance Summary				Quarter 4 Jan – Mar 19/20		Quarter 1 Apr – Jun 20/21		Quarter 2 Jul - Sept 20/21		Quarter 3 Oct - Dec 20/21		Quarter 4 Jan - Apr 20/21	
Page	Risk ID	Risk	Risk Owner	Rating	Travel	Rating	Travel	Rating	Travel	Rating	Travel	Rating	Travel
5	CRR9	Safeguarding Vulnerable Children	Executive Director People Director Children’s and Families Services	2x7=14	↔	2x7=14	↔	3x7=21	↓	4x7=28	↓		
17	CRR41	Long Term Major Capital projects	Executive Director Growth and Regeneration and Executive Director Resources and S151 Officer							4x7=28	New		
13	CRR32	Failure to deliver enough affordable Homes to meet the City’s needs	Executive Director Growth and Regeneration Director Development of Place	3x7=21	New	4x7=28	↓	4x7=28	↔	4x7=28	↔		
35	CRR35	Organisational Resilience	Director Policy, Strategy & Partnerships			3x7=21	New	3x7=21	↔	3x7=21	↔		
8	CRR13	Financial Framework and MTFP	Chief Executive and Director of Finance (S151 Officer)	4x7=28	↓	4x7=28	↔	3x7=21	↑	3x7=21	↔		
6	CRR10	Safeguarding Adults at Risk with Care and support needs	Executive Director People Director Adult Social Care	2x7=14	↔	2x7=14	↔	3x7=21	↓	3x7=21	↔		
2	CRR4	Corporate Health, Safety and Wellbeing	Chief Executive and Corporate Leadership Board (CLB) Director of Workforce Change	2x7=14	↔	2x7=14	↔	4x5=20	↓	4x5=20	↔		
16	CRR37	Homelessness	Executive Director Growth and Regeneration Director Housing			4x5=20	New	4x5=20	↔	4x5=20	↔		
13	CRR29	Information Security Management System	Senior Information Risk Owner (SIRO)	4x5=20	↔	4x5=20	↔	4x5=20	↔	4x5=20	↔		
11	CRR25	Suitability of Line of Business Systems (LOB)	Director, Digital Transformation, Senior Information Risk Owner (SIRO) for Cyber Security. Service Areas for BCP/DR	4x5=20	↔	4x5=20	↔	4x5=20	↔	4x5=20	↔		
5	CRR7	Cyber-Security(Previously Cyber-Attack)	Chief Executive, Senior Information Risk Owner (SIRO)	3x7=21	↔	4x5=20	↑	4x5=20	↔	4x5=20	↔		
29	CRR12	Failure to deliver suitable emergency planning measures, respond to and manage emergency events when they occur	Executive Director Growth and Regeneration Head of Paid Service, Director Management of Place and Civil Protection Manager	2x7=14	↔	2x7=14	↔	3x7=21	↓	4x5=20	↑		
6	CRR5	Business Continuity and Council Resilience	Executive Director Growth and Regeneration Chief Executive	2x5=10	↔	2x7=14	↓	3x7=21	↓	4x5=20	↑		
9	CRR18	Failure to deliver enough homes to meet the City’s needs.	Executive Director Growth and Regeneration Director Development of Place	3x5=15	↓	3x5=15	↔	3x5=15	↔	3x5=15	↔		
10	CRR19	Tree Management	Executive Director Growth and Regeneration	3x5=15	↔	3x5=15	↔	3x5=15	↔	3x5=15	↔		
4	CRR6	Fraud and Corruption	Chief Executive and Director of Finance (S151 Officer)	4x5=20	↓	4x5=20	↔	4x5=20	↔	3x5=15	↑		
17	CRR40	Unplanned Investment in Subsidiary Companies	Director of Finance (S151 Officer)							2x7=14	New		
16	CRR39	Adult and Social Care major provider/ supplier failure	Executive Director People Director Children’s and Families Services					2x7=14	New	2x7=14	↔		
12	CRR26	ICT Resilience	Chief Executive, Director Digital Transformation, Service Area Leads	2x7=14	↔	2x7=14	↔	2x7=14	↔	2x7=14	↔		
9	CRR15	In-Year Financial Deficit	Director of Finance (S151 Officer)	4x3=12	↓	4x3=12	↔	4x3=12	↔	4x3=12	↔		
10	CRR21	General Data Protection (GDPR) Compliance	Senior Information Risk Owner (SIRO)	2x5=10	↔	2x5=10	↔	2x5=10	↔	2x5=10	↔		
15	CRR36	SEND	Executive Director People Director Education and Skills			2x5=10	New	2x5=10	↔	2x5=10	↔		
11	CRR23	Adult and Social Care (ASC) Transformation programme 2020/21 – 2021	Executive Director People Director Adult Social Care			2x5=10	New	2x5=10	↔	2x5=10	↔		
1	CRR2	Asbestos	Executive Director Growth and Regeneration, Director HR, Workforce and Organisational Design.	2x7=14	↔	2x7=14	↔	2x5=10	↑	2x5=10	↔		
12	CRR27	Capital Transport Programme Delivery	Executive Director Growth and Regeneration Director Economy of Place	4x5=20	↓	4x5=20	↔	3x3=9	↑	3x3=9	↔		
14	CRR34	Corporate Equalities	Director Policy, Strategy & Partnership			2x7=14	New	2x5=10	↑	1x5=5	↑		

Risk Performance Summary for Opportunity risks

Page	Risk ID	Risk	Risk Owner	Quarter 4 Jan – Mar 19/20		Quarter 1 Apr – Jun 20/21		Quarter 2 Jul - Sept 20/21		Quarter 3 Oct - Dec 20/21		Quarter 4 Jan - Apr 20/21	
				Rating	Travel	Rating	Travel	Rating	Travel	Rating	Travel	Rating	Travel
18	OPP2	Corporate Strategy	Director Policy, Strategy and Partnerships	4x7=28	↔	4x7=28	↔	4x7=28	↔	3x7=21	↓		
18	OPP1	One City	Director Policy, Strategy and Partnerships	3x7=21	↔	3x7=21	↔	3x7=21	↔	3x7=21	↔		
19	OPP3	Devolution	Director Policy, Strategy and Partnerships	3x5=15	↔	3x5=15	↔	3x5=15	↔	3x7=21	↑		
19	OPP4	Brexit	Director Policy, Strategy and Partnerships	1x5=5	↔	1x5=5	↔	1x5=5	↔	1x5=5	↔		

Risk Performance Summary for External and Civil Contingency risks

Page	Risk ID	Risk	Risk Owner	Quarter 4 Jan – Mar 19/20		Quarter 1 Apr – Jun 20/21		Quarter 2 Jul - Sept 20/21		Quarter 3 Oct - Dec 20/21		Quarter 4 Jan - Apr 20/21	
				Rating	Travel	Rating	Travel	Rating	Travel	Rating	Travel	Rating	Travel
21	BCCC3	COVID -19	Executive Director Growth and Regeneration Director Management of Place	4x7=28	New	4x7=28	↔	4x7=28	↔	4x7=28	↔		
20	BCCC1	Flooding	Executive Director Growth and Regeneration Director Economy of Place	3x5=15	↔	3x5=15	↔	3x5=15	↔	3x5=15	↔		
20	BCCC2	Brexit	Chief Executive Director Policy, Strategy and Partnerships.	3x7=21	↓	3x7=21	↔	3x7=21	↔	2x5=10	↑		

Corporate risk performance summary for closed / de-escalated risks

Page	Risk ID	Risk	Risk Owner	Quarter 4 Jan – Mar 19/20		Quarter 1 Apr – Jun 20/21		Quarter 2 Jul - Sept 20/21		Quarter 3 Oct - Dec 20/21		Quarter 4 Jan - Apr 20/21	
				Rating	Travel	Rating	Travel	Rating	Travel	Rating	Travel	Rating	Travel
Closed / replaced	CRR1	Long Term Commercial Investments and Major projects Capital Investment	Executive Director Growth and Regeneration, Executive Director Resources and Section 151 Officer							3x7=21	Closed		

Risk Scoring Matrix

		Threat Impact (Negative risks)					Opportunity Impact (Positive Risk)						
Threat Likelihood	Almost certain	4	4 (Low)	12 (Medium)	20 (High)	28 (Critical)	28 (Significant)	20 (High)	12 (Medium)	4 (Low)	4	Almost certain	Opportunity Likelihood
	Likely	3	3 (Low)	9 (Medium)	15 (High)	21 (High)	21 (High)	15 (High)	9 (Medium)	3 (Low)	3	Likely	
	Unlikely	2	2 (Low)	6 (Medium)	10 (Medium)	14 (High)	14 (High)	10 (Medium)	6 (Medium)	2 (Low)	2	Unlikely	
	Rare	1	1 (Low)	3 (Low)	5 (Medium)	7 (Medium)	7 (Medium)	5 (Medium)	3 (Low)	1 (Low)	1	Rare	
			1	3	5	7	7	5	3	1			
			Minor	Moderate	Major	Critical	Exceptional	Significant	Modest	Slight			

Threat Level	Opportunity Level	Level of Risk	Actions Required
1-4	1-4	Low	May not need any further action / monitor at the Service level.
5-12	5-12	Medium	Action required, manage and monitor at the Directorate level.
14-21	14-21	High	Must be addressed - if Directorate level consider escalating to the Corporate Risk Report, if Corporate consider escalating to the Cabinet Lead.
28	28	Critical / Significant	Action required - escalate if a Directorate level risk, escalate to the Corporate Level, if Corporate bring to the attention of the Cabinet Lead to confirm action to be taken.

Current and Tolerance risk ratings: The 'Current' risk rating for both threats and opportunities refer to the current level of risk taking into account any strategies to manage risk - 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.

Positive Risks (Opportunities): Where the risk is an opportunity, a cost benefit analysis is required to determine whether the opportunity is worth pursuing, guided by the score for the matrix, e.g. an opportunity with a score of 28 would be pursued as it would offer considerable benefits for little risk.

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 <i>(Including developing commercial enterprises)</i>	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.