

# People Scrutiny Commission Agenda



**Date:** Wednesday, 27 September 2023

**Time:** 6.00 pm

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

## **Distribution:**

**Councillors:** Christine Townsend (Chair), Sarah Classick (Vice-Chair), Kerry Bailes, Brenda Massey, Sharon Scott, Lisa Stone, Mark Weston, Tim Wye and Katja Hornchen

**Issued by:** Bronwen Falconer, Scrutiny  
City Hall, PO Box 3167, Bristol, BS3 9FS  
E-mail: [scrutiny@bristol.gov.uk](mailto:scrutiny@bristol.gov.uk)

**Date:** Tuesday, 19 September 2023



# Agenda

**13. Q1 2023-24 PSC Risk Report**

**(Pages 3 - 44)**



# Appendix A – Corporate Risk Register as at June 2023

## Threat Risk Performance Summary

Risk	Page Number	Q2 Rating (22/23)	Q2 Matrix (22/23)	Q3 Rating (22/23)	Q3 Matrix (22/23)	Q4 Rating (22/23)	Q4 Matrix (22/23)	Q1 Rating (23/24)	Q1 Matrix (23/24)
CRR13 - Possible Financial Framework and Medium-Term Financial Plan (MTFP) Failure	5	28 ↓		28 █		28 █		28 █	
CRR15 – Possible In-Year Financial Deficit	6	21 █		21 █		28 ↓		21 ↑	
CRR9 - Possible Failure of Safeguarding Vulnerable Children	7	21 █		21 █		21 █		21 █	
CRR48 - We may not be able to meet the affordable housing needs of the City by failing to meet the Project 1000 Delivery targets. (Replaced CRR32)	8	21 █		21 █		21 █		21 █	
CRR12 - Emergency planning measures and resources may be overwhelmed by scope and scale of an emergency or incident faced by the council.	10	21 █		21 █		14 ↑		14 █	
CRR52 - Possible failure to ensure high rise properties meet safety requirements.	11			21 Escalated from service risk registers		21 █		21 █	
CRR51 - ASC may be financial unsustainable due to national and local pressures leads to a failure to deliver statutory duties and budgetary control	12			21 NEW RISK		21 █		21 █	
CRR53 - Increased social worker and occupational therapists vacancies and sickness rates may result in vulnerable adults care being comprised.	13			20 NEW RISK		20 █		20 █	
CRR39 - Adult and Social Care major provider/supplier may fail to deliver as expected	14	20 ↑		20 █		15 ↑		15 █	

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# Appendix A – Corporate Risk Register as at June 2023



Risk	Page Number	Q2 Rating (22/23)	Q2 Matrix (22/23)	Q3 Rating (22/23)	Q3 Matrix (22/23)	Q4 Rating (22/23)	Q4 Matrix (22/23)	Q1 Rating (23/24)	Q1 Matrix (23/24)
CRR7 - Potential Cyber Security Issues	15	20		20		20		20	
CRR25 - Possible Suitability of Line of Business (LOB) Systems Issues	16	20		20		20		20	
CRR40 - Potential Threat of Unplanned Investment in Subsidiary Companies	17	20		20		20		20	
CRR49 – Potential Impact of Weak Workforce Resilience	18	20		20		20		20	
CRR41 – Capital Portfolio Delivery May Fail	19	20		20		20		20	
CRR37 – Homelessness and the subsequent cost of providing suitable affordable accommodation may affect long-term outcomes	20	20		20		20		20	
CRR43 - Lack of progress for Mass Transit may have on Impact on the city	22	20		20		20		20	
CRR45 - Potential failure to deliver statutory duty in respect of Children	23	15		15		20		20	
CRR10 - Safeguarding Adults may be at Risk with Care and support needs.	24	15		15		15		21	

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# Appendix A – Corporate Risk Register as at June 2023



Risk	Page Number	Q2 Rating (22/23)	Q2 Matrix (22/23)	Q3 Rating (22/23)	Q3 Matrix (22/23)	Q4 Rating (22/23)	Q4 Matrix (22/23)	Q1 Rating (23/24)	Q1 Matrix (23/24)
CRR6 - Potential threat of Fraud and Corruption	25	15		15		15		15	
CRR27 – We may fail to Deliver the Capital Transport Programme	27	15		15		15		15	
CRR5 - Business Continuity and Operational Resilience may not be effective	28	15		15		10		14	
CRR26 - ICT Resilience May Not Be Effective	29	14		14		14		14	
CRR29 - Information Security Management System (ISMS) May Not Be Effective	30	10		10		10		10	
CRR4 – Possible failure to Deliver an effective Corporate Health, Safety and Wellbeing Framework	31	10		10		10		10	
CRR18 - Possible failure to deliver enough new homes to meet Mayoral and Annual Business Plan targets.	33	10		10		10		15	
CRR54 - Potential Threat of Financial Sustainability of Nursery Schools	34	15		15		21	Escalated	21	
CRR55 - Children placed in unregistered provision may be at risk (New and Escalated)	35	N/A	N/A	N/A	N/A	N/A	N/A	28	

# Appendix A – Corporate Risk Register as at June 2023

## Opportunity Risk Performance Summary

Risk	Page Number	Q2 Rating (22/23)	Q2 Matrix (22/23)	Q3 Rating (22/23)	Q3 Matrix (22/23)	Q4 Rating (22/23)	Q4 Matrix (22/23)	Q1 Rating (23/24)	Q1 Matrix (23/24)
OPP1 - Possible Impact of One City Approach	36	21 		21 		21 		14 	

## External and Civil Contingency Risk Summary

Risk	Page Number	Q2 Rating (22/23)	Q2 Matrix (22/23)	Q3 Rating (22/23)	Q3 Matrix (22/23)	Q4 Rating (22/23)	Q4 Matrix (22/23)	Q1 Rating (23/24)	Q1 Matrix (23/24)
BCCC5 - Cost of Living Crisis may have major impact on Citizens and Communities	37	28 NEW RISK 		28 		28 		12 	
BCCC1 – Flooding May Impact Public Safety	38	15 		15 		15 		15 	
BCCC4 - Possible Increase In Winter diseases including COVID-19 and Flu (formerly COVID-19 Population Health)	39	15 		9 		9 		3 	

## Risk Trend Key

Arrow	Description
	The risk rating has improved from the previous quarter, having reduced in its severity.
	The risk rating has deteriorated from the previous quarter, having increased in its severity.
	The risk rating has not changed from the previous quarter.

# Appendix A – Corporate Risk Register as at June 2023

## Threat Risks

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level																			
<p><b>Risk Title:</b> CRR13 - Possible Financial Framework and Medium-Term Financial Plan (MTFP) Failure</p> <p><b>Description:</b> 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>	<b>Constant</b>	<b>28</b> Likelihood = 4 Impact = 7		<b>14</b> Likelihood = 2 Impact = 7																			
<p><b>Risk Causes:</b> Failure to achieve Business Rates income- appeals/general economic growth/loss of major sites Economic uncertainty impact on locally generated revenues - business rates and housing growth, impacting on council tax, new homes bonus and business rate income. The general economic uncertainty affecting the financial markets, levels of trade &amp; investment Local Government finance settlement from spending review Continued Impact of Covid-19 on key income sources. Inadequate budgeting &amp; budgetary control/Financial Settlements &amp; wider fiscal policy changes:- The potential for new funding formulas such as fair funding, business rates retention 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. Impact of Adult Social Care reform and sufficient funding available to meet increased cost</p> <p><b>Risk Consequences:</b> Potential failure to set a legal budget and council tax by the due date, would have a significant adverse impact on the council's ability to provides services and the council's reputation locally and nationally in terms of investor confidence. That the budget is unlikely to reflect council priorities and objectives. That the budget may not adequately resource pressures and increases in demand. That the budget includes savings which are not deliverable. That the council reserves are used for mitigating the medium-term financial plan; running down reserves, avoiding decision and reducing the Council's resilience. Negative impact on front line services. A negative opinion from external audit. Secretary of State intervention.</p> <p><b>Risk Owner(s):</b> Chief Executive and Director of Finance (S151 Officer).</p> <p><b>Portfolio Flag:</b> Finance, Governance and Performance</p> <p><b>Strategic Theme:</b> Our Organisation</p>						<p><b>Existing Controls</b></p> <p><b>Control</b></p> <ol style="list-style-type: none"> <li>Budget Preparation, Setting and Budget Accountability Framework - BCC manages its financial risks through a range of controls including budget preparation, budget setting and a Budget Accountability Framework. Clear roles and responsibilities for managing, monitoring and forecasting income and expenditure against approved budgets are in place.</li> <li>Medium Term Financial Plan – Twice yearly update including sensitivity and scenario based financial modelling on all assumptions including inflation and demand growth</li> </ol>	<p><b>Mitigating Actions</b></p> <table border="1"> <thead> <tr> <th>Action Title</th> <th>Due Date</th> <th>Progress</th> </tr> </thead> <tbody> <tr> <td>1. Implementation of CIPFA Financial Management Code</td> <td>June 2023</td> <td>100%</td> </tr> <tr> <td>2. Review of financial outlook assumptions</td> <td>June 2022</td> <td>100%</td> </tr> <tr> <td>3. Undertake annual financial resilience assessment - Links to CIPFA Action</td> <td>June 2022</td> <td>100%</td> </tr> <tr> <td>4. Fully refreshed MTFP report to Cabinet in October</td> <td>September 2022</td> <td>100%</td> </tr> <tr> <td>5. Establishing the Business &amp; Budget Planning Board to oversee development of budget</td> <td>February 2023</td> <td>100%</td> </tr> <tr> <td>6. Making representation to government departments in relation to: - the likely costs at a local level for the proposed Adult Social Care reforms</td> <td>March 2024</td> <td>0%</td> </tr> </tbody> </table>	Action Title	Due Date	Progress	1. Implementation of CIPFA Financial Management Code	June 2023	100%	2. Review of financial outlook assumptions	June 2022	100%	3. Undertake annual financial resilience assessment - Links to CIPFA Action	June 2022	100%	4. Fully refreshed MTFP report to Cabinet in October	September 2022	100%	5. Establishing the Business & Budget Planning Board to oversee development of budget
Action Title	Due Date	Progress																					
1. Implementation of CIPFA Financial Management Code	June 2023	100%																					
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3. Undertake annual financial resilience assessment - Links to CIPFA Action	June 2022	100%																					
4. Fully refreshed MTFP report to Cabinet in October	September 2022	100%																					
5. Establishing the Business & Budget Planning Board to oversee development of budget	February 2023	100%																					
6. Making representation to government departments in relation to: - the likely costs at a local level for the proposed Adult Social Care reforms	March 2024	0%																					
<p><b>Summary of Progress:</b> This is significantly impacted by issues outside of the Council's direct control, which is why this risk remains critical, including the National situation economically and politically, funding arrangements from central government and policy that impacts the Council's MTFP. Internal controls and management of the process is undertaken annually, and sensitivity testing of assumptions and modelling is undertaken, as well as collaboration with peer organisations and influencing through available channels to ensure that the Council continues to manage and mitigate this risk.</p>																							

## Appendix A – Corporate Risk Register as at June 2023

Threat Risk	Trend	Current Risk Assessment			Risk Tolerance Level	
<p><b>Risk Title:</b> CRR15 – Possible In-Year Financial Deficit</p> <p><b>Description:</b> 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>	<h3>Improving</h3>	<h1>21</h1> <p>Likelihood = 7 Impact = 3</p>		<h1>6</h1> <p>Likelihood = 2 Impact = 3</p>		
<p><b>Risk Causes:</b></p> <p>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.            Response to inadequate SEND inspection in 2019, Increased demand for MCPs, Lack of specialist provision in Bristol, increased compliance to statutory requirements in relation to SEND.</p>						
	<b>Existing Controls</b>		<b>Mitigating Actions</b>			
	<b>Control</b>		<b>Action Title</b>	<b>Due Date</b>	<b>Progress</b>	
<p><b>Risk Consequences:</b></p> <p>The council’s financial position goes into significant deficit in the current year resulting in reserves (actual or projected) being less than the minimum specified by the council’s reserves policy.</p>	1.	BCC Financial Framework - 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.	1.DSG - Analysis for Further Mitigations	August 2022	100%	
	2.	Deep Dives on non-containable pressure areas - We have continual oversight and ongoing management of the council’s financial risks and deep dives in areas reported of non-containable pressures.	2. DSG - Phase 2 Programmes	April 2022	100%	
	3.	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.	3. DSG - Proposal for Phase 3 Educations Transformation Programme	August 2022	100%	
	4.	Policy and Budget Framework - The Policy and Budget Framework provides clear guidance in relation to the approval process for supplementary funding both capital and revenue.	4. Engagement process for indicative mitigations of the DSG management plan	February 2023	100%	
	5.	Re-assessment of service delivery risks and opportunities and risk and other reserves - We will carry out frequent re-assessment of service delivery risks and opportunities and risk and other reserves.	5. On-going process to develop, identify and delivery in-year mitigating actions	March 2023	100%	
	6.	DSG - Detailed Management Plan Based on DfE Framework - A detailed Management Plan is in development, using the DfE's recommended framework - The deficit and development of the plan was discussed with the DfE in Spring 21. The DfE were not requesting a formal submission at this time.	6. DfE Deliver Better Programme	June 2023	50%	
<p><b>Risk Owner(s):</b> Director of Finance (S151 Officer).</p>	7.	DSG - Early Years Block Task and Finish Group				
	8.	Vacancy Freeze to manage budget overspend				
<p><b>Portfolio Flag:</b> Finance, Governance and Performance</p>	<p><b>Summary of Progress:</b></p> <p>Latest budget monitoring shows significant risk of overspend and at present mitigations and actions aren't in place to mitigate. Plans will be developed to address this which will seek to reduce this risk next quarter.</p>					
<p><b>Strategic Theme:</b> Our Organisation</p>						



# Appendix A – Corporate Risk Register as at June 2023



Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p><b>Risk Title:</b> CRR9 - Possible Failure of Safeguarding Vulnerable Children</p> <p><b>Description:</b> The council fails to prevent increased risk of harm to children, resulting in harm or death to a vulnerable child.</p>	Constant	21 Likelihood = 3 Impact = 7		7 Likelihood = 1 Impact = 7	
<p><b>Risk Causes:</b></p> <ul style="list-style-type: none"> <li>-Demand for services exceeds service capacity and capability.</li> <li>-Inadequate controls result in harm.</li> <li>-Increase in child protection, complex safeguarding risks, criminal exploitation, serious youth violence and gang affiliation.</li> <li>-Hidden harm resulting from periods of lockdown, increased stress in families and service disruption during COVID</li> <li>-Placement failure due to COVID infection across children's home or fostering households.</li> <li>-An increase in demand of 6% evident across care population - specific pressures are clear for teenagers and unaccompanied children requiring our care</li> </ul>					
<p><b>Risk Owner(s):</b> Executive Director People, Director Children's and Families Services.</p>	Existing Controls		Mitigating Actions		
	Control		Action Title	Due Date	Progress
			Reviewing national serious case reviews on the back of recent high profile child deaths through multiagency safeguarding arrangements	December 2022	100%
			New Quality Assurance Processes – including targeted mentoring and training for social workers	Sept 2022	100%
			Draft revised Threshold Document which is due to be approved by Keeping Bristol Safe Partnership over the next quarter.	March 2023	90%
			Procure a strategic partner to undertake work regarding extra familial harm and with our children who go missing from home or care. (JA – different due date in the system)	April 2023	80%
		Working with Cornwall as part of Sector Led Improvement to review our place-based leadership arrangements and prevention of care offer.	March 2023	100%	
<p><b>Portfolio Flag:</b> Children's Services, Education &amp; Equalities</p>	<p><b>Summary of Progress:</b> Demand continues to increase for services due to; 1. Cost of living crisis and poverty, 2. Increase in children seeking asylum., 3. Increase in children presenting with trauma. And 4. We have increasing numbers of children coming into care and due to increased demand and placement sufficiency we have placed a number of children in unregistered provision.</p>				
<p><b>Strategic Theme:</b> Our Organisation, Empowering and Caring, Wellbeing.</p>					

# Appendix A – Corporate Risk Register as at June 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p><b>Risk Title:</b> CRR48 - We may not be able to meet the affordable housing needs of the City by failing to meet the Project 1000 Delivery targets. (Replacing CRR32)</p> <p><b>Description:</b> Failure of the City to deliver to the Mayoral Target of 1000 affordable homes per year by 2024. 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>	Constant	<p style="text-align: center;"><b>21</b></p> <p style="text-align: center;">Likelihood = 3 Impact = 7</p>		<p style="text-align: center;"><b>14</b></p> <p style="text-align: center;">Likelihood = 2 Impact = 7</p>	
<p><b>Risk Causes:</b></p> <ul style="list-style-type: none"> <li>- Availability of public subsidy from homes England and challenges in meeting their funding viability and value for money assumptions</li> <li>-reduction in the levels of Capital funding the Council has to support affordable housing delivery by third party providers</li> <li>- the complexity and costs associated with the development of brownfield sites, leading to viability challenges for both direct and 3rd party delivery.</li> <li>- Insufficient land available</li> <li>- continued impact of Covid 19 on the delivery programme of developments in the City</li> <li>- Not enough planning applications submitted</li> <li>- Not enough planning permissions granted and delays within the planning process</li> <li>- Inability of the housebuilding industry to deliver at this level to meet need through the planning system</li> <li>- Increased uncertainty in the market due to Brexit</li> <li>- Lack of capacity within the council's delivery system and the local market</li> <li>- Insufficient housing land identified in strategic planning documents</li> </ul> <p><b>Risk Consequences:</b></p> <ol style="list-style-type: none"> <li>1. Reputational damage</li> <li>2. Increased levels of homelessness</li> <li>3. Increased demand from the private rented sector, (non-affordable), by those in highest need</li> <li>4. Residualisation of lower value areas of the city</li> <li>5. Economic deprivation, poorer health and lower educational attainment of households living in poverty in poor housing conditions with limited tenancy sustainability</li> <li>6. Balance between addressing need for family homes V increased viability of delivering smaller units</li> </ol>					
	<b>Existing Controls</b>		<b>Mitigating Actions</b>		
	<b>Control</b>		<b>Action Title</b>	<b>Due Date</b>	<b>Progress</b>
	1. Improved our monitoring of affordable housing delivery and pipeline including identification of where HDT can unblock barriers to delivery.		1. Bid for second round funding through OPE BFLR fund to unlock a second CLH site.	July 2022	100%
	2. Requiring a minimum of 30% affordable housing on land released by the Council.		2. Develop the Housing Delivery Plan 2022-25.	December 2022	100%
	3. Working collaboratively with Homes England to maximise subsidy in schemes - This provides as much affordable housing as possible. New framework for regular collaboration and review in place, focussing on both BCC direct delivery and RP delivery.		3. Review & amend the Affordable Housing Practice note in 2021/22.	July 2022	100%
	4. Project 1000 and Housing Delivery Boards - Scrutiny and active decision making / support at a senior and political level to influence and unblock barriers to delivery. Project 1000 leads in place.		4. Revised Affordable Housing Funding Policy 2022-2025	March 2022	100%
	5. KPI Targets for affordable housing delivery - quarterly reporting of KPI targets through spar.net providing corporate scrutiny on annual delivery against targets				
	6. Revised Affordable Housing Practice Note		5. Secure Homes England Affordable Housing Programme Funding	March 2026	60%
			6. Develop new practice notes on affordable housing delivery through Build to Rent and First Homes	April 2022	100%
			7. Plan and establish a monthly Project 1000 working group to oversee all affordable housing development activity, monitor and manage risk and unblock internal barriers to delivery	August 2022	100%



## Appendix A – Corporate Risk Register as at June 2023

<p><b>Risk Owner(s):</b> Executive Director Growth and Regeneration, Director Development.</p>		<p>8. Develop a new framework of appraisal parameters and agree a clear funding programme approach for HRA delivery</p>	<p>October 2022</p>	<p>100%</p>
		<p>9. Review structure and capacity of current Housing Delivery Team to ensure the team has the ability to meet Project 1000 and HRA Business plan targets for direct delivery</p>	<p>December 2022</p>	<p>100%</p>
		<p>10. Maximise capital funding from Homes England, WECA and DLUHC to address the complexities and additional costs of delivering an affordable housing programme on brownfield sites, including looking at ways of developing a strategic approach with key funding partners to meet infrastructure and abnormal costs.</p>	<p>March 2025</p>	<p>60%</p>
<p><b>Portfolio Flag:</b> Housing Delivery and Homes</p>	<p><b>Summary of Progress</b>            At the beginning of 2023/24 there is a forecast delivery of circa 728 new affordable homes in the city, many of which are already in development. A significant current risk to delivery has been identified with the capacity in the Planning Team to move sites from application, through decision making and into development in a timely manner, and with wider council departments that support the planning process. This is affecting the Council's direct delivery, that of our third-party providers and market-facing developers.</p>			
<p><b>Strategic Theme:</b> Fair and Inclusive</p>				


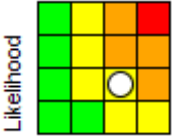
## Appendix A – Corporate Risk Register as at June 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p><b>Risk Title:</b> CRR12 - Emergency planning measures and resources may be overwhelmed by scope and scale of an emergency or incident faced by the council.</p> <p><b>Description:</b> A Major Incident or emergency which exceeds the response capacity of the council and partner responding organisations leading to mass fatalities, excess deaths, damage to property and infrastructure and an ability to deliver key service to the community. In addition, further consequences could be litigation and reputational damage to the council.</p>	Constant	14 Likelihood = 2 Impact = 7		9 Likelihood = 3 Impact = 3	
<p><b>Risk Causes:</b></p> <ul style="list-style-type: none"> <li>-Emergency risks not identified and prepared for.</li> <li>-Lack of trained and available responding staff.</li> <li>-Emergency roles and responsibilities not embedded.</li> </ul>					
<p><b>Risk Consequences:</b></p> <p>Increased risk of:</p> <ul style="list-style-type: none"> <li>- Disruption of public services</li> <li>- Disruption of transport networks</li> <li>- Death/injury</li> <li>- Displacement of people</li> </ul>	<b>Existing Controls</b>		<b>Mitigating Actions</b>		
	<b>Control</b>		<b>Action Title</b>	<b>Due Date</b>	<b>Progress</b>
	1.24/7 Operations Centre provides effective monitoring for the city and a co-ordinary role in response and recovery.		1. Emergency training – rest centres, humanitarian assistance and training for Marshals currently running	April 2022	100%
	2.Corporate Resilience Group, overseeing mitigations of contingencies risks identified on the National Security Risk Assessment and delivery of Category 1 Responder duties		2. Plan and Deliver Corporate exercise	October 2022	100%
	3.Active participation in the Avon and Somerset Local Resilience Forum and close working with multi-agency partners, including training and exercising		3. Development and sign off of Strategic Crisis Management Plan	May 2022	100%
	4.Emergency Plans		4. Development and roll out of the Emergency Planning e-learning package	October 2023	60%
	5.Duty Director rota in place		5. Community Resilience Mapping development	October 2023	75%
	6.Duty Civil Protection Officer and other duty rotas in place (Highways, Dangerous Structures, Public Health, Social Care, etc)		6. Supporting the review of the ASLRF work programme and Operational Model	May 2022	100%
	7.BCC emergency plan training and exercising in place		7. Continued support to the Covid response, particularly around testing and vaccinations	June 2022	100%
8.Monitoring of severe weather events		8. Coordination of support for Afghan refugee hotels	May 2022	100%	
9.Close working with Safety Advisory Group for Events					
<p><b>Risk Owner(s):</b> Executive Director Growth and Regeneration, Director Management of Place.</p>	1.Horizon scanning for emerging risks, including Ukraine war (through CRG, BC Group and LRF)				
<p><b>Portfolio Flag:</b> City Economy, Finance &amp; Performance</p>	<p><b>Summary of Progress:</b> Since March 2023 the FTE reduced and due to budget position now have only 2.8 officers and 1 manager, becoming 2.6 due to phased retirement + 1 Manager. This is simply not feasible for the scope of the role, deliverables and then 'On Duty' response. The teams own resilience and business continuity requires further succession and contingency planning. A single incident utilises the whole team to respond who take on various Tactical roles and operational delivery, often on top of a working day – because we don't have enough volunteers or identified staff to support these roles, especially out of hours. Training and exercising and more ownership in managerial roles is required, to meet the demand and populate our command and control structures. We would not be able to respond to concurrent emergencies effectively, if at all. An incident impacts the routine delivery of planning objectives causing delay or cancellation.</p>				
<p><b>Strategic Theme:</b> Our Organisation, Wellbeing</p>					

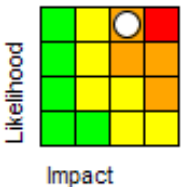
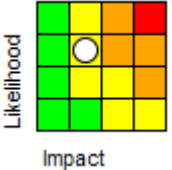
## Appendix A – Corporate Risk Register as at June 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p><b>Risk Title:</b> CRR52 - Possible failure to ensure high rise properties meet safety requirements</p> <p><b>Description:</b> Risk of failing to ensure high rise properties meet safety requirements</p>	Constant	21 Likelihood = 3 Impact = 7		7 Likelihood = 1 Impact = 7	
<p><b>Risk Causes:</b> Findings from new PAS9980 inspection regime, learning from fires and new regulatory requirements. Difficulty recruiting to new posts and conducting service review resulting in no additional dedicated resources with responsibility for building safety cases and resident engagement.</p>	Existing Controls		Mitigating Actions		
	Control		Action Title	Due Date	Progress
<p><b>Risk Consequences:</b> Risks to personal safety, reputational and legal (financial and criminal), increased insurance costs</p>	<ul style="list-style-type: none"> <li>Carry out fire risk assessments on all communal areas/assets identified as requiring an FRA on an annual of bi-annual basis depending on level of risk and occupancy (97% complete)</li> <li>Fire Engineer Independent Assessments (IA) on its High-Rise blocks. The IA's included holistic assessments of fire safety equivalent to type 4 intrusive investigations.</li> <li>Separate contractual arrangements for FRA's and remedial works</li> <li>Deliver programme of PAS 9980 appraisals and FRAEW's</li> <li>BCC instructs further assessments as directed from FRA's</li> <li>Carpenters are TRADA trained to ensure fire doors meet required standards</li> <li>Fire risk assessments are carried out by qualified and competent people.</li> <li>Fire safety and awareness training for staff in place</li> <li>Fire safety policy implemented and includes approach to stay put, evacuation etc.</li> <li>Monthly building safety board meetings monitor fire and building safety compliance</li> <li>Our current fire safety consultant for High rise (Building Control) is IFE (Institution of Fire Engineers) accredited. For low rise, our current assessor is FRACS (Fire Risk Assessor's Certification Scheme) qualified.</li> <li>Separate contractual arrangements are held for FRA's and remedial works</li> </ul>		Waking watch implemented in all 38 blocks with EPS cladding	November 2022	100%
			<p><b>Risk Owner(s):</b> Executive Director Growth and Regeneration, Director Homes and Landlord Service</p>	Building new investment into the budget/business plan for 2023/24	March 2023
		Complete a review of business innovation	July 2023	60%	
		Complete a review of fire safety policies and processes	Sept 2023	50%	
<p><b>Portfolio Flag:</b> Housing Delivery and Homes</p>	<p><b>Summary of Progress:</b> Strong links between the compliance with fire safety risk and this risk, relating to the actual safety of buildings. Work in progress to ensure all fire risk assessments are up to date. Work in progress to complete FRAEWs to ensure all risks are known and mitigated. 10-year programme to remove EPS, 5 year programme to install sprinklers and 1 year programme to install full evacuation alarm systems. Progress with business innovation review: Staff consultation over structure and methods of appointment concluded last week, we are implementing the new structure over the coming months. This includes: Evaluating changed and new job paperwork Interviews for ring-fenced staff. Recruiting agency staff to some new/key roles. The interim process is faster than that for permanent recruitment.</p>				
<p><b>Strategic Theme:</b> Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing</p>					

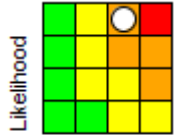

## Appendix A – Corporate Risk Register as at June 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level		
<p><b>Risk Title:</b> CRR51 - ASC may be financial unsustainable due to national and local pressures leads to a failure to deliver statutory duties and budgetary control</p> <p><b>Description:</b> There is a risk that ASC financial unsustainability due to a number of national and local pressures compromises the ability to deliver statutory duties and the independence of people that draw on care and support.</p>	<b>Constant</b>	<b>21</b> Likelihood = 3 Impact = 7		<b>10</b> Likelihood = 2 Impact = 5		
<p><b>Risk Causes:</b></p> <ul style="list-style-type: none"> <li>-Rising demand in Adult Social Care which must be met under the Care Act. Particularly from complex needs and higher cost requirements in people under 65. These needs are more likely to be met outside of area, be subject to lower personal contributions, and be needed for longer.</li> <li>-Increase of needs due to more health services being delivered in the community without appropriate funding following the patient.</li> <li>-Increased complex needs across our demographics that must be met under the Care Act.</li> <li>-Lack of funds available within budget to meet statutory duties.</li> <li>-Lack of systems in order to ensure effective governance and control of all spend.</li> <li>-Pressure from wider system pressures - for example, delays in hospitals which lead to increased long term cost provision for care.</li> <li>-Non-recurrent funding which limits opportunity for long term investment.</li> </ul> <p><b>Risk Consequences:</b></p> <ul style="list-style-type: none"> <li>- Overspending on the budget which may impact the wider council.</li> <li>-The consequence of this risk are that appropriate and effective care and support as required under the Care Act may not be possible for all those who require it. The consequence could be felt in the quality or quantity of care and support, or in both.</li> </ul>						
	<b>Existing Controls</b>		<b>Mitigating Actions</b>			
	<b>Control</b>		<b>Action Title</b>	<b>Due Date</b>	<b>Progress</b>	
	<ul style="list-style-type: none"> <li>Established Care Cubed to improve pricing controls - enabling the service to maximise value for money</li> <li>Improved Business Intelligence - Developing advanced tools for analysing and reporting business intelligence and performance information</li> <li>Improved governance process on all spend - Improved case discussion where all spend is approved through tighter governance.</li> <li>Leading integration opportunities with Health - Through establishment of the Integrated Care Board (ICB) BCC are leading implementation of integration opportunities which will maximise vfm e.g. joint commissioning of learning disability and autism team</li> <li>Realignment of ASC Operations - Using new locality teams to work with local providers, community and voluntary sector to maximises care and support provision outside of Council statutory provision. This builds resilience in communities and individuals, and ensure statutory services are focused on the right interventions.</li> <li>Reset the ASC Transformation Programme - Reset the programme to address market provision, workforce challenges, price control, practice and integration</li> </ul>		Develop alternative to long term care provision - Increase provision of Technology Enabled Care, Shared Lives and Direct Payments	December 2022	50%	
			Increase the number of direct payments through reviewing process and practice	Sept 2023	80%	
			Increase the take up and opportunity around the use of technology enabled care	Sept 2023	90%	
			Management restructure and vacancy management to deliver savings	July 2023	90%	
			Review of in-house service provision to deliver efficiencies and savings	Sept 2023	60%	
<p><b>Portfolio Flag:</b> Children’s Services, Education &amp; Equalities</p> <p><b>Portfolio Flag:</b> Adult Social Care &amp; Integrated Care System</p> <p><b>Strategic Theme:</b> Our Organisation, Empowering and Caring, Wellbeing.</p>	<p><b>Summary of Progress:</b> The score remains the same due to continued pressure on the ASC care budget but there are mitigations in place to address this through the latest ASC Transformation programme which was agreed at cabinet in June. Going into 23/24 there is around £9m pressure on the care budget which will be addressed through the ASC Transformation programme and are on course to deliver the required savings. A new delivery partner has now been commissioned from People Too to support with programme and savings deliver and help implement the required changes. The revised ASC Transformation programme has tight governance structure and includes: - Review of in-house services - all set to deliver in-year savings with required governance in place.</p>					

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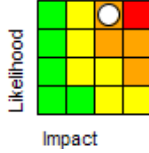
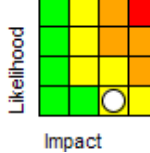
Threat Risk	Trend	Current Risk Assessment	Risk Tolerance Level		
<p><b>Risk Title:</b> CRR53 - Increased social worker and occupational therapists' vacancies and sickness rates may result in vulnerable adults care being comprised.</p> <p><b>Description:</b> Limited staff capacity within operational teams will result in increased waiting times for assessment and review potentially putting vulnerable adults at risk of going without sufficient care and support.</p>	Constant	<p><b>21</b> Likelihood = 3 Impact = 7</p>		<p><b>9</b> Likelihood = 3 Impact = 3</p>	
<p><b>Risk Causes:</b></p> <ul style="list-style-type: none"> <li>-Difficulties recruiting and retain experienced social workers and OTs. This is in line with national picture of increasing vacancy rates in statutory adult care social care departments across the country.</li> <li>-These vacancies are not distributed equally with some operational teams having nearly 50% vacant posts.</li> <li>-Sickness absence in operational teams have also increased during this period which is further compounding operational teams' ability to respond to those in most urgent need.</li> <li>-Cost of living crisis is also likely to impact on retention rates of social work staff</li> </ul> <p><b>Risk Consequences:</b></p> <ul style="list-style-type: none"> <li>- As a result of this decreased operational capacity this has seen an increase in numbers of people waiting for assessment and reviews (insert data)</li> <li>-The percentage of individuals who have had an annual review of their care and support needs has also decreased in the last year with less than 50% of individual in receipt of care and support having had a formal review.</li> </ul>					
<p><b>Risk Owner(s):</b> Executive Director People, Director Adult Social Care.</p> <p><b>Portfolio Flag:</b> Adult Social Care &amp; Integrated Care System</p> <p><b>Strategic Theme:</b> Our Organisation, Empowering others and Caring, Fair and Inclusive, Well connected, Wellbeing.</p>	Existing Controls	Mitigating Actions			
	Control	Action Title	Due Date	Progress	
	<ul style="list-style-type: none"> <li>• Increase Social Work and OT Apprentice capacity - ASC have doubled the amount of SW and OT apprentices this year increasing to 6 SW Apprentices per year and 2 OT apprentices.</li> <li>• Operational Business Continuity plans duty - All operational teams have internal prioritisation process for workflow and demand. Additionally, they have robust duty systems in place with duty workers present to respond to urgent demands or cases to mitigate against highest risk of harm to citizens and respond in a timely way to those at greatest need.</li> <li>• Recruitment Strategy - Developed new recruitment strategy and implemented rolling recruitment advert.</li> <li>• Developing enhanced Wellbeing offer for operational staff - dedicated additional resource within Adult Workforce L&amp;D to enhance our wellbeing and support offer.</li> </ul>	Review AMHP Market Supplement	January 2023	100%	
		Recruit Non- registered Social Care Practitioners to bolster workforce - Agreed to recruit Social Care Practitioners and OT aides on a fixed term basis to off sent challenges in recruiting registered staff. Cost will be covered by SW vacancies and underspend and can offer some mitigation. Historically we have more success and recruiting and retaining non-registered staff than SW and OT roles.	October 2022	100%	
		Commission Workforce Strategy	September 23	0%	
	<p><b>Summary of Progress:</b> Following actions to mitigate this are as follows- -Continue with our Operational Business Continuity meetings to support responding to most pressing needs. - Developing an enhanced wellbeing offer for our recruitment staff. -Recruitment and retention programme including exploring one off retention payments of plans, reviewing skill mix and grade review.</p>				

## Appendix A – Corporate Risk Register as at June 2023

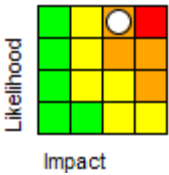
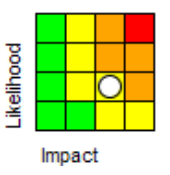
Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level																																																							
<p><b>Risk Title:</b> CRR39 – Adult and Social Care major provider/supplier may fail to deliver as expected failure</p> <p><b>Description:</b> Failure or potential degradation of ASC service provision linked to a complex set of internal / external risks causing service interruption or cessation. Failures or closures in the supply chain mean insufficient supply to source adequate appropriate support and meet Care Act needs.</p>	<h3>Constant</h3>	<h3>15</h3> <p>Likelihood = 3 Impact = 5</p>	 <p>Likelihood</p> <p>Impact</p>	<h3>14</h3> <p>Likelihood = 2 Impact = 7</p>	 <p>Likelihood</p> <p>Impact</p>																																																						
<p><b>Risk Causes:</b> - Provider goes into liquidation or ceases operations -Provider unable to meet demand due to recruitment / workforce/ or organisational issues. -Factors influencing provider/supplier failure: Increased demand and increased complexity of need of individuals putting further pressure on social care sector. Chronic workforce recruitment and retention problems heightened by pandemic. The social care sector facing a number of other issues – highly competitive job market, covid ‘exhaustion’, rising energy costs, changes to National Living Wage, inflation/ raising costs of supplies, high cost of living in Bristol, significant pressures from two large acute hospitals.</p>	<b>Existing Controls</b>		<b>Mitigating Actions</b>																																																								
<p><b>Risk Consequences:</b> Citizens (many of whom are very vulnerable) may have services ended or reduced without much notice putting them at risk and causing distress Lack of suitable local provision may mean people moving away from community, support networks Lack of alternative provision should mean not meeting statutory duties under Care Act Pressures on ASC workforce (social work, contracts, brokerage commissioning etc) to review and find alternative provision in timely manner Financial pressures as demand may drive prices up Lack of suitable provision resulting people moving to inappropriate more costly provision (e.g. care home instead of home care)</p>	<ul style="list-style-type: none"> <li>Daily review of supply and sustainability issues and x3 week business continuity meetings across operations</li> <li>Twice weekly Operational Business continuity meetings</li> <li>Weekly ASC Business continuity meeting – DMT level</li> <li>Weekly produced Sit Rep with information on Covid Outbreak Management, supply, demand, provider quality</li> <li>Regular information received from D&amp;B Credit ratings to help assess financial risk</li> <li>Each major contract (Home Care, Care Homes, Community Support Services, ECH) has a multi-disciplinary Business Relations team which assess risks to those provisions and plan response whether QA or Commissioning</li> <li>Provider Sustainability Panel is a forum where ASC can assess the financial issues facing individual provider and consider support options</li> <li>Regular meetings with a) key Strategic Providers in the city b) all provider forums and regular dialogue with Care and Support West Care Association</li> <li>Daily assessment of supply - via Brokerage team, Business relationship team and Contracts</li> <li>Strategic Planning and information sharing with CCG, other LAs and other key stakeholders - Great integration across BNSSG and joint problem solving, sharing of information and resources.</li> <li>Provider Failure/Service Interruption Process</li> </ul>		<table border="1" style="width: 100%;"> <thead> <tr> <th>Action Title</th> <th>Due Date</th> <th>Progress</th> </tr> </thead> <tbody> <tr> <td>Review of Provider Financial Sustainability process</td> <td>December 2022</td> <td>100%</td> </tr> <tr> <td>Proud to Care Programme</td> <td>March 2023</td> <td>100%</td> </tr> <tr> <td>Fair Cost of Care exercise</td> <td>October 2022</td> <td>100%</td> </tr> <tr> <td>Cost of Living Work</td> <td>October 2022</td> <td>100%</td> </tr> <tr> <td>Update of Provider Failure Procedure</td> <td>September 2023</td> <td>80%</td> </tr> </tbody> </table>	Action Title	Due Date	Progress	Review of Provider Financial Sustainability process	December 2022	100%	Proud to Care Programme	March 2023	100%	Fair Cost of Care exercise	October 2022	100%	Cost of Living Work	October 2022	100%	Update of Provider Failure Procedure	September 2023	80%	<table border="1" style="width: 100%;"> <thead> <tr> <th>Action Title</th> <th>Due Date</th> <th>Progress</th> </tr> </thead> <tbody> <tr> <td>Review of Provider Financial Sustainability process</td> <td>December 2022</td> <td>100%</td> </tr> <tr> <td>Proud to Care Programme</td> <td>March 2023</td> <td>100%</td> </tr> <tr> <td>Fair Cost of Care exercise</td> <td>October 2022</td> <td>100%</td> </tr> <tr> <td>Cost of Living Work</td> <td>October 2022</td> <td>100%</td> </tr> <tr> <td>Update of Provider Failure Procedure</td> <td>September 2023</td> <td>80%</td> </tr> </tbody> </table>	Action Title	Due Date	Progress	Review of Provider Financial Sustainability process	December 2022	100%	Proud to Care Programme	March 2023	100%	Fair Cost of Care exercise	October 2022	100%	Cost of Living Work	October 2022	100%	Update of Provider Failure Procedure	September 2023	80%	<table border="1" style="width: 100%;"> <thead> <tr> <th>Action Title</th> <th>Due Date</th> <th>Progress</th> </tr> </thead> <tbody> <tr> <td>Review of Provider Financial Sustainability process</td> <td>December 2022</td> <td>100%</td> </tr> <tr> <td>Proud to Care Programme</td> <td>March 2023</td> <td>100%</td> </tr> <tr> <td>Fair Cost of Care exercise</td> <td>October 2022</td> <td>100%</td> </tr> <tr> <td>Cost of Living Work</td> <td>October 2022</td> <td>100%</td> </tr> <tr> <td>Update of Provider Failure Procedure</td> <td>September 2023</td> <td>80%</td> </tr> </tbody> </table>	Action Title	Due Date	Progress	Review of Provider Financial Sustainability process	December 2022	100%	Proud to Care Programme	March 2023	100%	Fair Cost of Care exercise	October 2022	100%	Cost of Living Work	October 2022	100%	Update of Provider Failure Procedure	September 2023	80%
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<p><b>Risk Owner(s):</b> Executive Director People, Director Adult Social Care.</p>	<p><b>Summary of Progress:</b> There continues to be contract hand backs and planned closures of services. We have requests for support from some local SME and charity organisations.</p>																																																										
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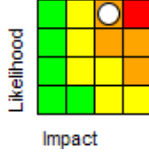
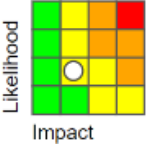
## Appendix A – Corporate Risk Register as at June 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level		
<p><b>Risk Title:</b> CRR7 – Potential Cyber Security Issues</p> <p><b>Description:</b> The Council's risk level in regard to Cyber-security is higher than should be expected.</p>	<b>Constant</b>	<b>20</b> Likelihood = 4 Impact = 5		<b>5</b> Likelihood = 1 Impact = 5		
<p><b>Risk Causes:</b></p> <ul style="list-style-type: none"> <li>• Lack of investment in appropriate technologies.</li> <li>• Reliance on in-house expertise, and self-assessments (PSN).</li> <li>• Lack of formal approach to risk management (ISO27001).</li> <li>• Historic lack of focus.</li> </ul> <p><b>Risk Consequences:</b></p> <ul style="list-style-type: none"> <li>a. Information security incidents resulting in loss of personal data or breach of privacy / confidentiality.</li> <li>b. Safeguarding data breach impacting on safety of vulnerable child or adult.</li> <li>c. Risk of breaching the regulations and being subject to penalties/fines - Regulations Fines increasing from up to £500,000 to 10-20m Euros of 4% of global turnover, enforced by the Information Commissioners Office on behalf of the European Union.</li> <li>d. Increased litigation.</li> <li>e. Reputational damage.</li> </ul> <p><b>Risk Owner(s):</b> Chief Executive, Senior Information Risk Owner (SIRO).</p>						
		Existing Controls		Mitigating Actions		
		Control		Action Title	Due Date	Progress
		1. Phishing attack exercises - 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.		1. Work with ICT colleagues continues and discussions around cementing roles and responsibilities is being undertaken	August 2023	85%
		2. Targeted Training of employees – The Information Governance 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. developed by IG and ICT Teams				
		3. Technical controls		2. Implement audit actions with oversight by IG Board	August 2023	80%
		4. Security team training				
		<p><b>Summary of Progress.</b> No change to the score currently. Progress is being made in addressing some large and complex areas of concern, such as the creation of a Security Operations Centre (SOC) &amp; configuration and updates of our Security Incident Event Monitoring (SIEM). Support is being given from 3rd Part SMEs and the DSP.</p>				
<p><b>Portfolio Flag:</b> Finance, Governance and Performance</p>						
<p><b>Strategic Theme:</b> Our Organisation</p>						

## Appendix A – Corporate Risk Register as at June 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p><b>Risk Title:</b> CRR25 – Suitability of Line of Business (LOB) Systems</p> <p><b>Description:</b> The Council has reliance on legacy software systems which cause a number of risks due to; 1. Supportability from internal IT resource 2. The supportability of the hardware utilised 3. Lack of alignment to strategy and therefore a blocker to Digital Transformation 4. Within an appropriate support contract 5. Legacy data used for current work (GDPR) 6. Lack of Information (Cyber) Security controls 7. High cost where alternative core Council solutions exist</p>	Constant	20 Likelihood = 4 Impact = 5		10 Likelihood = 2 Impact = 5	
<p><b>Risk Causes:</b> Sovereignty within service areas, and a lack of motivation to change. Cost of transition. Lack of knowledge of which systems are problematic and the impacts of these. Lack of understanding of impact. Lack of ownership from Information Asset Owners. Lack of documentation pertaining to software systems and ownership of strategy. Post avoidance of replacing systems. This is seen as an IT problem, not one for the software system owners.</p>					
<p><b>Risk Consequences:</b> Lack of resilience and continuity in event of an incident/failure High-cost applications without appropriate support. Inability to improve service delivery through digital transformation. May feed into Information (Cyber) Security risks.</p> <p><b>Risk Owner(s):</b> Director, Digital Transformation, Senior Information Risk Owner (SIRO) for Cyber Security. Service Areas for BCP/DR.</p>	Existing Controls		Mitigating Actions		
	Control		Action Title	Due Date	Progress
	1. Auditing of all councils Line of Business (LOB systems)		1.Undertake comprehensive review of all software systems and identify potential risks (as per threat risk description). Place all risks into an Operational Risk format. Risks will be scored and any known mitigation noted. This will be presented to CLB for further review and to agree action plan.	December 2022	100%
2. IT Services highlight risks and shortcomings with systems (in an informal manner) to Heads of Service and Senior Leadership		2.Channel Shift Project - Review legacy line of business systems with the view to rationalising and replacing either by building on existing internal platforms such as dynamics or via procurement of new products and better utilisation of functionality.	February 2028	0%	
3. Work with Information Governance perpetuate a Cyber Security or Information Management risk are identified and service areas understand the risks to their services.					
<p><b>Portfolio Flag:</b> Finance, Governance and Performance</p> <p><b>Strategic Theme:</b> Our Organisation</p>	<p><b>Summary of Progress:</b> Still awaiting confirmation from the Risk Team that all LOB applications have ben added to the Risk Registers for their respective owners</p>				

## Appendix A – Corporate Risk Register as at June 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p><b>Risk Title:</b> CRR40 – Potential Threat of Unplanned Investment in Subsidiary Companies</p> <p><b>Description:</b> There is a risk that BCC'S investments in subsidiaries may require greater than anticipated capital investment.</p>	<b>Constant</b>	<b>20</b> Likelihood = 4 Impact = 5		<b>6</b> Likelihood = 2 Impact = 3	
<p><b>Risk Causes:</b> Failure to have effective corporate governance arrangements in place in one or more of the companies. Failure to ensure the right leadership with the right skills across the Companies. Business Failure due to severe economic downturn caused by external factors (incl. Pandemic &amp; Brexit). Service delivery failure as a result of specific market changes (e.g., recycle market, housing market, volatility in gas and electric market prices, delays in coming of income from customer heat network connections), failure to secure planning etc. Delivery of BE2020 wind up within financial envelope. Legislation changes. Cyber Security - risk that key systems are compromised and that sensitive data is stolen Failure to develop and grow commercial trading activities</p>					
<p><b>Risk Consequences:</b></p> <ul style="list-style-type: none"> <li>- Financial Loss</li> <li>- Reputational damage to the council</li> <li>- Impact to service provision provided by subsidiary companies</li> </ul>	<b>Existing Controls</b>		<b>Mitigating Actions</b>		
	<b>Control</b>		<b>Action Title</b>	<b>Due Date</b>	<b>Progress</b>
	1. Audit and Risk Committee - Supports on issues of risk, control and governance		1. Align Risk Management Arrangements Between BCC/BHL	April 2023	100%
	2. Board Effectiveness Reviews to be annual workforce planning		2.BCC Capital Strategy limits BCC exposure to loans	December 2021	100%
	3. Continued monitoring of the impact of External issues such as COVID on the business and adaptive approach being proposed for optimising emerging opportunities and mitigating pressures		3.Business Plan for Holding Companies 23/24	March 2023	0%
	4. Effective engagement with BHL re reserved matter decisions and wider engagement with BCC Client teams to review performance, quality and set clear KPIs		4.Business Plan for Holdings Companies	March 2022	100%
	5. Shareholding Group		5. Capital Programme	March 2022	100%
	6. Weekly progress review provided and regular review of assumptions, cash flow and risks				
<p><b>Risk Owner(s):</b> Chief Executive and S151 Officer.</p>	<p><b>Portfolio Flag:</b> Finance, Governance and Performance</p>				
<p><b>Strategic Theme:</b> Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing</p>	<p><b>Summary of Progress:</b> High Likelihood the Council might need to support BWC as they continue to highlight financial pressures with the West of England Contract (WOE), ongoing TU negotiations, challenges with the FM contract and the "Paymech" being triggered on the Waste contract. The Strategic Client team are actively working with BWC to mitigate this risk</p>				

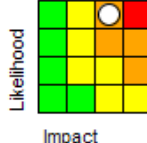
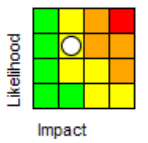
## Appendix A – Corporate Risk Register as at June 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level		
<p><b>Risk Title:</b> CRR49 - Potential Impact of Weak Workforce Resilience</p> <p><b>Description:</b> A lack of workforce resilience or capacity to provide statutory services and achieve strategic aims and objectives</p>	<b>Constant</b>	<b>20</b> Likelihood = 4 Impact = 5		<b>9</b> Likelihood = 3 Impact = 3		
<p><b>Risk Causes:</b> Failure to recruit – particularly in specialist areas where the market is highly competitive COVID-19 impact in labour market and workforce sickness High levels of staff turnover High staff sickness levels Ineffective prioritisation of workloads</p> <p><b>Risk Consequences:</b> Key services fail – inability to meet service demands Statutory and/ or regulatory obligations are not delivered Strategic priorities and aims are not delivered. The council becomes unfocused, and demand led. Increasing levels of sickness absence Higher staff turnover and loss of talent HSE/Legal action Reputational damage Poor customer satisfaction leading to complaints and requests for compensation</p>						
	<b>Existing Controls</b>		<b>Mitigating Actions</b>			
	<b>Control</b>		<b>Action Title</b>	<b>Due Date</b>	<b>Progress</b>	
	<ul style="list-style-type: none"> <li>Agreements in place with employment businesses for the supply of contingent workforce; agency and statement of works</li> <li>Promotion of apprenticeships and internal progression opportunities</li> <li>Regular and close review of management information (through HR Dashboards and leavers survey) to monitor turnover, staff starters/exits to enable targeted actions to be taken</li> <li>Stress risk assessments, supporting attendance policy, occupational health advice and Employee Assistance Programme are in place to minimise the incidence and length of sickness absence. A refreshed stress risk assessment has been developed through consultation with trade unions and staff led groups and is due for launch in December 22.</li> <li>Support for managers with future workforce planning and succession planning, with bespoke action plans to target diversity and skills gaps</li> <li>Consideration of impact of cost of living and winter pressures, encouraging take up of booster and flu jabs and review the facilities available in the workplace</li> </ul>		<p>Analysis of staff feedback (from surveys and team discussions) to take targeted action to support the resilience and wellbeing of the workforce. This includes the introduction of workshops, e-learning resources, training courses, coaching and advice, in addition to the Employee Assistance Programme</p> <p>Workforce Strategy is currently being refreshed and will have workforce resilience and wellbeing as a primary theme</p>	<p>October 2022</p> <p>March 2023</p>	<p>100%</p> <p>75%</p>	
<p><b>Risk Owner(s):</b> Chief Executive, Director of Workforce and Change</p> <p><b>Portfolio Flag:</b> City Economy, Finance &amp; Performance</p> <p><b>Strategic Theme:</b> Our Organisation</p>	<p><b>Summary of Progress:</b> This risk remains as High due to the potential adverse impact on workforce resilience and wellbeing from a number of factors including - service changes as a result of budget reductions; reduction in support service capacity; vacancy controls, lack of capacity in hard to fill roles, and the impact this will have on service resilience. Mitigation includes an enhanced wellbeing support package, including on-line resources, drop-in sessions, specialist advisors offering bespoke workshops for teams, a refreshed approach to stress risk-assessment, and the use of health and wellbeing plans. HR and health and wellbeing colleagues are working with managers to develop bespoke programmes to support their teams through change. Whilst vacancy controls remain in place in order to reduce costs, a dispensation process is still in place for essential or hard to fill posts and managers are offered assistance in recruitment and succession planning to fill the roles.</p>					

## Appendix A – Corporate Risk Register as at June 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level		
<p><b>Risk Title:</b> CRR41 – Capital Portfolio Delivery May Fail</p> <p><b>Description:</b> Capital portfolio is not delivered on time, within budget and does not deliver One City Plan and Corporate Strategy objectives.</p>	Constant	20 Likelihood = 4 Impact = 5		6 Likelihood = 2 Impact = 3		
<p><b>Risk Causes:</b> 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> <p><b>Risk Consequences:</b> The cost is higher than expected The capital portfolio is delivered later than planned The operating and maintenance cost of assets exceeds expectations Benefits not delivered resulting in failure to deliver outcomes to secure strategic objectives</p>						
	Existing Controls		Mitigating Actions			
	Control		Action Title	Due Date	Progress	
	Introduction of enhanced highlight and exception reporting at the G&R Board - Change Services PMO have regular Highlight reports submitted to G&R Board from key and/or large capital programmes and projects. This is now ongoing		Deliver workshops on the review and refresh of the capital programme and review of Capital receipting/disposal.	31 August 2022	100%	
	Internal/External comms factored in into all resource requests to reduce reputational risks		Collaboration with Sustainable City and Climate Change Service to develop a Bristol Capital Sustainability Standard	October 2022	100%	
	Additional headroom in MTFP assumptions to manage inflationary and supply chain issues - Change Services PMO have regular Highlight reports submitted to G&R Board from key and/or large capital programmes and projects. This is now ongoing.		Developing of a new comprehensive delivery framework, lifecycle and standard operating procedure Spring 21 that overlaid with existing BCC governance and Decision Pathway.	October 2022	100%	
			Commissioned capital strategic partner	February 2021	100%	
<p><b>Risk Owner(s):</b> Executive Director Growth and Regeneration.</p>						
<p><b>Portfolio Flag:</b> Mayoral Portfolio and City Economy, Finance &amp; Performance</p>	<p><b>Summary of Progress:</b> Actions have been completed in previous period but due to organisational change and sector instability further work is required to reduce the risk profile. A Capital Transformation project has been initiated by the Exec director G&amp;R and will create transformational change in capital delivery including financial, governance and structures and assurance capacity. The project is programmed over 1 year and will be monitored as an action on Pentana Risk.</p>					
<p><b>Strategic Theme:</b> Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing</p>						

## Appendix A – Corporate Risk Register as at June 2023

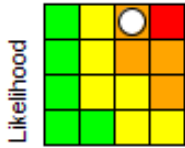
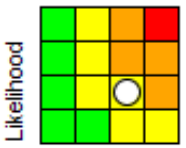
Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level		
<p><b>Risk Title:</b> CRR37 - Homelessness and the subsequent cost of providing suitable affordable accommodation may affect long-term outcomes</p> <p><b>Description:</b> The risk that homelessness and the subsequent cost of providing suitable affordable accommodation to meet needs and achieve effective long-term outcomes increases.</p>	<b>Constant</b>	<b>20</b> Likelihood = 4 Impact = 5		<b>9</b> Likelihood = 3 Impact = 3		
<p><b>Risk Causes:</b></p> <ul style="list-style-type: none"> <li>-The ending of the eviction ban</li> <li>-Unemployment and cost of living rising leading to an increase in evictions.</li> <li>-A recent sharp increase in the number of households partly or wholly reliant on welfare benefits [UC claimant households in Bristol have risen from 17,000 in number in April 2020 to 38,000+ in Feb. 2022]. For most welfare benefits recipients, particularly those living in the private rented sector, housing and essential household costs are not met by their benefits entitlements'. Impact of the pandemic leading to an increase in mental health issues, family relationship breakdown and domestic violence &amp; abuse.</li> <li>-Supply of affordable rented housing reducing</li> <li>-Increasing popularity of Bristol as a city to move to, and associated increased pressure on demand and cost of private rented accommodation</li> </ul> <p><b>Risk Consequences:</b> Increase in homelessness and the number of households in Temporary Accommodation. Expenditure on Temporary Accommodation does not return to pre-pandemic levels and could continue to increase.</p>						
	<b>Existing Controls</b>		<b>Mitigating Actions</b>			
	<b>Control</b>		<b>Action Title</b>	<b>Due Date</b>	<b>Progress</b>	
	<ul style="list-style-type: none"> <li>Joint commissioning of services - Focus on more joint commissioning of services for those homeless households who also face multiple disadvantages - to create a more holistic approach and to improve outcomes. Proposals for commissioning a new framework for supported TA is going to cabinet in October 2022.</li> <li>Effective Commissioning - Recommission our short-term supported housing (Pathways) accommodation &amp; support contracts - to maximise effectiveness of these resources / funding stream and minimise repeat homelessness</li> <li>Effective cost - New supplier contracts - successfully introduced new block contracts for some Temporary Accommodation, reducing the cost of TA to the Council. Planning to bring more block contracts on-line this financial year</li> </ul>		Changing Futures Programme	March 2024	20%	
			Introduce longer term block contracts for Temporary Accommodation that will reduce the net unit cost of TA to BCC	July 2022	100%	
			Increase the supply of move on accommodation - RSAP round 5 bid deadline 13th April 2022	March 2024	60%	
			Cost Effective Accommodation - Initiated a project with the aim of reducing the net unit cost of Temporary Accommodation. Opportunities being explored and prioritised.	December 2023	50%	
			Homelessness prevention - increase access to private rented - Review our approach to working with the Private rented sector and produce spend to save proposals which will increase access to accommodation and reduce TA use	December 2022	100%	
			Homelessness prevention - review client access - Review how the service and the wider homelessness sector works with clients to identify opportunities for more early intervention	September 2023	10%	

## Appendix A – Corporate Risk Register as at June 2023



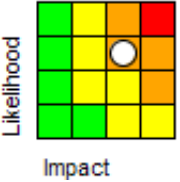
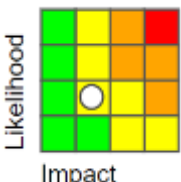
		and prevention of homelessness		
<b>Risk Owner(s):</b> Executive Director Growth and Regeneration, Director Housing		Submit a bid to Single Homelessness Accommodation Programme (SHAP) to bring on-line additional supported housing	May 2023	50%
<b>Portfolio Flag:</b> Housing Delivery and Homes	<p><b>Summary of Progress:</b> The number of households presenting to Bristol City Council is continuing to increase. There has been an increase in the number of households living in Temporary Accommodation (TA) 1154 on 30th May 2022 to 1279 on 30th May 2023</p> <p>In the last year the number of families with children living in TA has increased whilst the number of single clients has stayed roughly the same. Family TA is more expensive than that for single clients. This is adding to the financial pressure. There is an underlying pressure of £5m due to Housing Benefit Subsidy loss. With in-year mitigations the forecast pressure for 23/24 is now £1.5m. One of BCC's top priorities is the Temporary Accommodation project and good progress has been made in developing the plan. The goal of the project is to reduce the Housing Benefit subsidy loss which is the main cost to the council from Temporary Accommodation, by providing more Council-owned Temporary Accommodation, and increasing the amount of supported exempt accommodation available.</p> <p>The key work streams are:</p> <ol style="list-style-type: none"> <li>1. Temporarily allocating a proportion of our General Needs properties for use as TA. This will be achieved gradually, and the properties will revert back to General needs use once we have accumulated sufficient TA and supported housing from our other work streams.</li> <li>2. Increasing the amount of supported exempt accommodation from Registered Providers, by encouraging them to join our two procurement frameworks for properties for families and singles.</li> <li>3. a) Bringing in New Build properties that will enable people to move out of existing General needs Housing, freeing up additional units that can be used as TA, and bringing in some new properties that will be specifically aimed at TA (e.g. modular units). b) Conversions of properties that are on the Council's disposal list. c) Development of 'Meanwhile use' properties on development sites, that can be used as TA until the new builds have been completed</li> </ol> <p>Together these work streams will create more temporary accommodation and more supported accommodation, which will save money as well as increasing and stabilising the provision available for those in need of temporary and/or supported housing.</p>			
<b>Strategic Theme:</b> Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing.				

## Appendix A – Corporate Risk Register as at June 2023

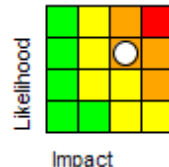
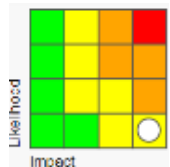
Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level		
<p><b>Risk Title:</b> CRR43 - Lack of progress for Mass Transit may have on Impact on the city</p> <p><b>Description:</b> Failure of regional authorities to agree way forward for development of a Mass Transit system. No sign up to results of feasibility study.</p>	<b>Constant</b>	<b>20</b> Likelihood = 4 Impact = 5		<b>10</b> Likelihood = 2 Impact = 5		
<p><b>Risk Causes:</b></p> <ol style="list-style-type: none"> <li>1. Resourcing Business Case development</li> <li>2. Lack of political consensus</li> <li>3. Viability of Business Case</li> <li>4. Lack of DfT support</li> </ol>						
<p><b>Risk Consequences:</b></p> <ul style="list-style-type: none"> <li>1. Reputational impact.</li> <li>2. Long term congestion and air pollution increase.</li> <li>3. Regional productivity reduced.</li> <li>4. Threat to investment across the city.</li> </ul>	<b>Existing Controls</b>		<b>Mitigating Actions</b>			
	<p><b>Control</b></p> <p>Mass Transit Directors Board - Monthly board in place at regional level to ensure appropriate senior officer engagement with project</p> <p>Regular internal briefings - Regular briefings with senior managers and administration</p>	<b>Action Title</b>	<b>Due Date</b>	<b>Progress</b>		
<p><b>Risk Owner(s):</b> Executive Director Growth and Regeneration, Director Economy of Place.</p>						
<p><b>Portfolio Flag:</b> Transport (Cllr Alexander)</p>	<p>Summary of Progress: No change to risk rating. SOC has been completed and assurance work is ongoing alongside assessment of any potential further options. SOC sign off delayed to October which links to agreeing next steps and funding allocations</p>					
<p><b>Strategic Theme:</b> Our Organisation, Wellbeing.</p>						



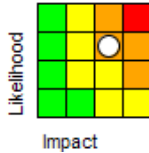
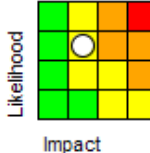
## Appendix A – Corporate Risk Register as at June 2023

Threat Risk	Trend	Current Risk Assessment	Risk Tolerance Level		
<p><b>Risk Title:</b> CRR45 - Potential failure to deliver statutory duty in respect of Children</p> <p><b>Description:</b> Failure to deliver statutory duty in respect of the safeguarding of children resulting in harm or death to a child or other unmitigated risk to the local authority</p>	<b>Constant</b>	<p><b>20</b></p> <p>Likelihood = 4 Impact = 5</p>		<p><b>6</b></p> <p>Likelihood = 2 Impact = 3</p>	
<p><b>Risk Causes:</b></p> <p>Staffing failure: recruitment and retention COVID failure: business continuity plans fail due to higher infection/isolation Management failure: failure to oversee and respond in a timely way to child protection concerns, leaving children at risk</p>					
<p><b>Risk Consequences:</b></p> <p>Harm or death of a child Inspection failure and regulatory action Litigation and reputational damage Other unpredicted costs to the LA</p>	<b>Existing Controls</b>		<b>Mitigating Actions</b>		
	<b>Control</b>		<b>Action Title</b>	<b>Due Date</b>	<b>Progress</b>
	1. Benchmarking salaries with regional levels		Revising recruitment and retention strategy in response to evidence of turnover and vacancies in areas of particular pressure (front door, experienced social workers and frontline managers)	May 2022	100%
	2. Investing in training and development		Commissioned independent peer review of the statutory safeguarding arrangements to ensure that the council's statutory officers are executing their responsibilities and undertaking due diligence in a legal and appropriate way.	May 2022	100%
	3. Over-recruiting where required				
	4. Reviewing system pressures and taking action on a weekly basis				
	5. Systemic unit model and integrated locality arrangements		Implement transformation programme of Children's service	October 2023	0%
	6. Skilled and stable workforce with low use of agency workers - Continued low use of agency workers but turnover and vacancies have risen.				
7. Strong multiagency children's safeguarding partnership under Keeping Bristol Safe arrangements					
8. Scrutiny of statutory safeguarding partners					
<p><b>Risk Owner(s):</b> Executive Director People, Director Children's and Families Services.</p>					
<p><b>Portfolio Flag:</b> Children's Services, Education &amp; Equalities</p>	<p><b>Summary of Progress:</b> The Our Families Transformation Programme has identified strands to; Improve recruitment and retention of social workers; Address demand management by focussed work to prevent children coming into care and improve placement sufficiency. Respond to the findings within our Ofsted improvement plan.; Work is being planned across Adults and Children to improve Transitions for our children and timeliness of Care Act assessments</p>				
<p><b>Strategic Theme:</b> Our Organisation, Empowering and Caring, Wellbeing.</p>					

## Appendix A – Corporate Risk Register as at June 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level		
<p><b>Risk Title:</b> CRR10 - Safeguarding Adults may be at Risk with Care and support needs.</p> <p><b>Description:</b> The council fails to ensure adequate safeguarding measures are in place for adults at risk.</p>	<b>Deteriorating</b>	<b>21</b> Likelihood = 3 Impact = 7		<b>7</b> Likelihood = 1 Impact = 7		
<p><b>Risk Causes:</b> 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. Reduction in or lack of supply of commissioned care. 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) Increase identification of self-neglect and complexity. Carer strain / resilience. (COVID19)</p> <p><b>Risk Consequences:</b> Financial damage Legal liability Death/Injury Reputational damage</p> <p><b>Risk Owner(s):</b> Executive Director People, Director Adult Social Care.</p>						<b>Existing Controls</b>
	<b>Control</b>		<b>Action Title</b>	<b>Due Date</b>	<b>Progress</b>	
	<ul style="list-style-type: none"> <li>Annual report shared with Elected Members to allow for scrutiny of progress of the Keep Bristol Safe Partnership (KBSP).</li> <li>Training for all key staff in the essentials of safeguarding.</li> <li>Twice weekly business continuity meeting around supply of commissioned care and active management of waiting list.</li> <li>Improved Data through PowerBI – capturing safeguarding concerns feeding into monthly management operational meetings</li> <li>Safeguarding Discussion Forum – multi-agency held monthly – sharing information on high risk/complex cases</li> </ul>	<p>Development and delivery of Safeguarding Hub as a priority for the partnership.</p> <p>Review of Safeguarding Pathways and creation of Standard Operating Procedures and Performance Clinics.</p> <p>Internal Audit Actions – feeding into existing controls</p> <p>Developing a Risk Enablement Tool</p> <p>Develop Self-neglect pathway – providing training, tools to better escalate cases of neglect</p>	<p>August 2023</p> <p>December 2022</p> <p>March 2023</p> <p>April 2023</p> <p>August 2023</p>	<p>80%</p> <p>100%</p> <p>95%</p> <p>100%</p> <p>85%</p>		
<p><b>Portfolio Flag:</b> Adult Social Care &amp; Integrated Care System</p> <p><b>Strategic Theme:</b> Strategy Theme: Our Organisation, Empowering others and Caring, Fair and Inclusive, Well connected, Wellbeing.</p>	<p><b>Summary of Progress:</b> Decision was taken as strategic leads that risks related to Safeguarding Adults needed to be increased. This was taken following steady increase in numbers of Safeguarding referrals and a more limited staffing capacity to triage referrals , allocate to investigate and co-ordinate s42 enquiries. Backlog of SA referrals awaiting triage have grown as have the overall number of safeguarding enquiries being held by our locality teams leading to likelihood of severe outcome for adults at risk. We have also seen a number of vulnerable adults who were under safeguarding enquires with risks of serious self-neglect who have died in the past few month. Initial audit of these cases have indicated that lack of staffing capacity limited our ability to impact on services.</p>					

## Appendix A – Corporate Risk Register as at June 2023

Threat Risk	Trend	Current Risk Assessment	Risk Tolerance Level		
<p><b>Risk Title:</b> CRR6 - Potential threat of Fraud and Corruption</p> <p><b>Description:</b> Failure to prevent or detect acts of significant fraud or corruption against the council from either internal or external sources.</p>	<b>Constant</b>	<p><b>15</b></p> <p>Likelihood = 3 Impact = 5</p>		<p><b>9</b></p> <p>Likelihood = 3 Impact = 3</p>	
<p><b>Risk Causes:</b> Heightened levels of fraud, including cyber fraud, as criminals attempt to exploit the COVID-19 pandemic and current cost of living increases 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>					
<p><b>Risk Consequences:</b> Losses to fraud under emergency measures is inevitable. Potential increase in financial losses due to increase in scams. Failure to prevent or detect acts of significant fraud or corruption could result in financial loss for the Council. Reputational damage could be suffered if fraud occurs.</p>	<b>Existing Controls</b>		<b>Mitigating Actions</b>		
	<b>Control</b>	<b>Action Title</b>	<b>Due Date</b>	<b>Progress</b>	
	<ol style="list-style-type: none"> <li>A dedicated Counter Fraud and Investigation team - BCC has a dedicated Counter Fraud and Investigation team with varied skills (investigation, accountancy, audit and data analysis skills).</li> <li>Audits - Internal Audit reviews will sometimes include an assessment of fraud controls. In addition, the Counter Fraud team undertake 'Fraud Prevention reviews or Fraudits'.</li> <li>Continued use of analytic and additional resources to perform payment checks. Pre-payment checking of Covid support grants continue, including bank account validation, Company House checks, duplicate claim checks and IP address checks.</li> <li>National Fraud Initiative (NFI) fraud hub App - The NFI/Cabinet Office Fraud Hub is in use, with a limited number of datasets uploaded. In addition, Appcheck has been rolled out to Housing Options team.</li> <li>On-going improvement plan for Whistle-blowing - Whistle-blowing arrangements have been informally assessed against Protect - benchmarking assessment tool. An improvement plan has been developed and is being implemented.</li> <li>Participation in anti-fraud exercises - BCC takes part in the biennial Cabinet Office National Fraud Initiative exercise, the annual Council Tax Single Persons discount exercise and have been involved in pilot exercises of data matching with HMRC/Covid grants. In addition, BCC Counter Fraud team undertake a planned programme of data analytic work.</li> <li>Planned programme of proactive fraud detection and</li> </ol>	<ol style="list-style-type: none"> <li>Fraud Risk Assessments</li> <li>Improve Whistleblowing process</li> <li>NFI Fraud Hub Implementation</li> <li>Review National Fraud Initiative Data Matching</li> <li>Establish a long term more technologically advanced fraud hub</li> <li>Fraud Prevention Strategy</li> <li>Working with other Councils</li> </ol>	<p>June 2023</p> <p>June 2023</p> <p>October 2022</p> <p>March 2023</p> <p>March 2023</p> <p>March 2024</p> <p>March 2024</p>	<p>15%</p> <p>85%</p> <p>100%</p> <p>100%</p> <p>0%</p> <p>0%</p>	
<p><b>Risk Owner(s):</b> Chief Executive and Director of Finance (S151 Officer).</p>					



## Appendix A – Corporate Risk Register as at June 2023

	<p>prevention work - BCC Counter Fraud team develop an annual programme of planned work based on known and increasing fraud risks.</p> <ol style="list-style-type: none"> <li>8. Whistleblowing procedure - New internal procedure developed. HR advisor assigned to each Whistle-blow.</li> <li>9. Increased the use of technology and data analytics - Increased use of tools, data analytics and other sources of data to prevent and detect fraud.</li> </ol>	
<p><b>Portfolio Flag:</b> Finance, Governance and Performance</p>	<p><b>Summary of Progress:</b> - The risk score remains the same given the level of fraud being reported in the public sector. As fraud is an inherently high risk, the key is ensuring that the controls we have in place are operating effectively. Focus is now on developing and implementing a new fraud prevention strategy that will require additional resource and support across the organisation. In addition, we are exploring opportunities for maximising the use of advanced analytics to prevent, detect and investigate fraud.</p>	
<p><b>Strategic Theme:</b> Our Organisation</p>		

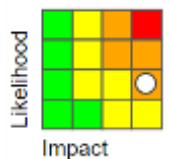
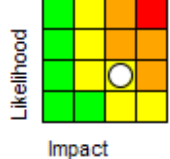
## Appendix A – Corporate Risk Register as at June 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p><b>Risk Title:</b> CRR27 – We may fail to Deliver the Capital Transport Programme</p> <p><b>Description:</b> 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>	Constant	15 Likelihood = 3 Impact = 5		6 Likelihood = 2 Impact = 3	
<p><b>Risk Causes:</b></p> <ul style="list-style-type: none"> <li>- Overspend on individual schemes leading to uncontainable cost pressures</li> <li>- Underspend on annual profile</li> <li>- Lack of coordination and programme management across divisions</li> <li>- COVID - 19</li> <li>- Loss of resource and inability to recruit</li> </ul>					
<p><b>Risk Consequences:</b></p> <ul style="list-style-type: none"> <li>- Financial impact</li> <li>- Failure to progress schemes or delays to schemes impact on productivity of city and aims to reduce congestion, air pollution and inequality</li> <li>- Reputation Impact</li> </ul> <p><b>Risk Owner(s):</b> Executive Director Growth and Regeneration, Director Economy of Place.</p> <p><b>Portfolio Flag:</b> Transport (Cllr Alexander)</p> <p><b>Strategic Theme:</b> Our Organisation, Wellbeing</p>	Existing Controls		Mitigating Actions		
	Control		Action Title	Due Date	Progress
	Biweekly Capital Programme Review Board - Capital Programme review board reviewing timescales and status of the relevant projects.		Develop proposals for management of capital programme (working with Transport Planning Team)	May 2022	100%
	PMO Capital Programme Process Review - Reviewing City Transport capital programme processes to align better with corporate PMO and develop management of the capital programme - led by Arcadis/PMO. Reporting April. Likely to replace 6 month review		Strategic partner to complete assessment of capital delivery	May 2022	100%
	Regular briefings and reporting to senior management and cabinet members.		Client Function Review alongside CA proposal - Review client function and how it is delivered to mitigate potential loss of resource and expertise to central PMO	September 2022	0%
Biweekly capital programme review board - reviewing timescales and status of the relevant projects.		Recruitment of Agency Staff	July 2023	0%	
<b>Summary of Progress:</b>		Risk remains high due to further loss of resource, difficulty recruiting and issues with civils contracts for delivering highway schemes			

## Appendix A – Corporate Risk Register as at June 2023

Threat Risk	Trend	Current Risk Assessment	Risk Tolerance Level		
<p><b>Risk Title:</b> CRR5 - Business Continuity and Operational Resilience may not be effective</p> <p><b>Description:</b> 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 maybe increased with a greater impact on people and council Services.</p>	<h3>Deteriorating</h3>	<h1>14</h1> <p>Likelihood = 2 Impact = 7</p>		<h1>9</h1> <p>Likelihood = 3 Impact = 3</p>	
<p><b>Risk Causes:</b></p> <ul style="list-style-type: none"> <li>- Strikes (People, Fuel).</li> <li>- Loss of key staff (communicable diseases (Covid - illness and self-isolation) and influenza.</li> <li>- Loss of suppliers / supply chain disruption.</li> <li>- Loss of accommodation to deliver key services.</li> <li>- Loss of equipment / infrastructure, including utilities.</li> <li>- Any event which may cause major disruption - e.g. severe weather</li> <li>- Unavailability of IT and/or Telecoms.</li> <li>- Knowledge loss.</li> <li>- Reduced chances of preventing/ responding to incidents due to a lack of forward planning or investment.</li> <li>- Climate change</li> </ul> <p><b>Risk Consequences:</b></p> <ul style="list-style-type: none"> <li>- Inability to deliver/support front line services.</li> <li>- Service Disruption.</li> <li>- Loss of service.</li> <li>- Transportation disruption.</li> <li>- Additional demand on services.</li> <li>- Stress.</li> <li>- Potential risk to staff and public safety.</li> <li>- Increased financial cost in terms of damage control and insurance costs.</li> <li>- Legal compliance and financial penalty.</li> <li>- Reputational damage.</li> </ul>					
	<b>Existing Controls</b>		<b>Mitigating Actions</b>		
	<b>Control</b>		<b>Action Title</b>	<b>Due Date</b>	<b>Progress</b>
	1. A number of Policies, procedures and arrangements are in place including duty rotas for key service areas and the Duty Director rota.		1. Align BC Planning with Service Delivery Planning	May 2022	100%
	2. Corporate Business Continuity Framework, including BC escalation process - Framework presented at CRG on 11th July 2022.		2. Review Corporate Business Continuity Framework Doc	September 2022	100%
	3. Corporate Business Continuity Group, bringing owners of 'cross cutting business support services' together (IT, FM, Procurement, HR) to horizon scan and risk manage - BC Group has met several times since March 2022 - Formalise reporting arrangements and governance required.		3. Review Service-level Business Continuity Plan template	September 2022	100%
	4. Corporate Resilience Group overseeing, corporate preparedness, including BC capability - CRG hosted power outage exercise on 22nd March, allowing key services to test business continuity arrangements. Learning from this exercise will shape a corporate power outage plan.		4. Lead IT Resilience / Business Continuity project, including developing battle boxes, an IT Resilience Plan, understanding DR arrangements across BCC delivered IT services and SAAS, improving service-level BC plans for managing IT outages, testing arrangements	December 2022	100%
	5. The CRG will seek assurances from key service areas regarding the robustness of continuity arrangements against local risk.		5. Workshops to support services to complete BC templates	December 2023	50%
	6. Service Level Business Continuity Planning - Services will be developing their BC plans in Q3, aligned to service planning.		6. Embed CRG and BC Group into corporate governance framework, including alignment with corporate risk group	Ongoing	100%
	<p><b>Risk Owner(s):</b> Executive Director Growth and Regeneration Chief Executive, Director Management of Place.</p> <p><b>Portfolio Flag:</b> City Economy, Finance &amp; Performance</p> <p><b>Strategic Theme:</b> Our Organisation, Wellbeing.</p>				
	<p><b>Summary of Progress:</b> Rationale of why the risk has deteriorated from 10 to 14. This is related to the current limited levels of resource and further reduction in coming months, staff changes equalling reduced service business continuity, contingency knowledge and experience, capability gaps and thus risk deterioration. Operating this team at 2.8 FTE (becoming 2.6 due to phased retirement) + 1 Manager is simply not feasible for the scope of the role, deliverables and then 'On Duty' response: see CRR12. A paper is being prepared to outline the demand and requirement for an additional x3 F/T FTE due to resource impact and work volume related to CRR12 and CRR5 for business continuity as follows; Business Continuity is a statutory duty for LAs (only) under the Civil Contingencies Act 2004, '(local authorities only) provide advice and assistance to businesses and voluntary organisations about business continuity management'. We do not currently have the capacity within EPRT to do this beyond our own organisation. There are inconsistencies in the Business Continuity aspects of ProContract. New staff require familiarisation of Corporate Business Continuity Framework and their Business Impact Assessments and Plans are to be regularly trained and exercised, as well as regularly reviewed alongside risk intelligence and any lessons identified or recommendations from debriefs and inquiries. We currently get less than a 50% return on BIAs/BCPs as part of the annual service return. More resource required to support more services in completing their BIA/BCPs and exercising them. Ongoing specific work required for critical services contingency planning, including the support of Emergency, Response and Recovery, particularly re: Duty Officer response and facilitation or response and recovery groups in parallel to maintaining critical services and utility failures, ICT impacts</p>				

## Appendix A – Corporate Risk Register as at June 2023

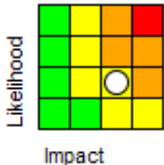
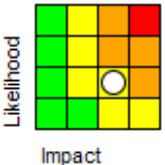
Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p><b>Risk Title:</b> CRR26 – ICT Resilience May Not Be Effective</p> <p><b>Description:</b> The Council's ability to deliver critical and key services in the event of ICT outages, and be able to recover in the event of system and/or data loss.</p>	<b>Constant</b>	<b>14</b> Likelihood = 2 Impact = 7		<b>10</b> Likelihood = 2 Impact = 5	
<p><b>Risk Causes:</b> 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> <p><b>Risk Consequences:</b> Inability to deliver services</p>					
	<b>Existing Controls</b>		<b>Mitigating Actions</b>		
	<b>Control</b>		<b>Action Title</b>	<b>Due Date</b>	<b>Progress</b>
	1. Connection to BCC systems protections - With the majority of staff working from home, connection to our systems is vital and the main route is via VPN. We have tested alternative access which can be used. 2 factor authentication was tested as a back door which allows non-BCC pcs to login to Microsoft office 365.		1. Application/system risk log	September 2021	100%
	2. Highlight to service areas vulnerable applications - Highlighting to service areas where applications may be vulnerable and advising on likely timescales for disruption to enable appropriate BC planning.		2. IT Resilience and BCP Phase 2	January 2023	100%
	3. Moved critical systems to the cloud with more effective DR.		3. IT Resilience and Business Continuity Project Phase 1	March 2022	100%
	1. Resilience workshops for most critical systems - Workshops are in progress to review and improve resilience for our most critical systems including: Adult and children's social care, Revs and Bens and Housing		4. Project to move Shared Drives to Cloud	November 2023	50%
	2. Supplier run order in the event of multiple system outage - our disaster recovery supplier has a run order in the event of a major outage involving multiple systems.		5. Removal of legacy hardware from estate	August 2025	50%
	3. Weekly testing of individual systems restore - The restore of individual systems is tested weekly on a rotational basis				
<p><b>Risk Owner(s):</b> Chief Executive, Director, Digital Transformation, Service Area Leads.</p>	<p><b>Portfolio Flag:</b> Finance, Governance and Performance</p>				
<p><b>Strategic Theme:</b> Our Organisation</p>	<p><b>Summary of Progress:</b></p> <p>We are reviewing responses to a soft market test for an interim resilience provider whilst awaiting a further review by CLB of the need to re-institute the project that is currently on pause in relation to address organisational resilience.</p>				

## Appendix A – Corporate Risk Register as at June 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level									
<p><b>Risk Title:</b> CRR29 - Information Security Management System (ISMS) May Not Be Effective</p> <p><b>Description:</b> 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>	<b>Constant</b>	<b>10</b> Likelihood = 2 Impact = 5		<b>5</b> Likelihood = 1 Impact = 5									
<p><b>Risk Causes:</b> Ineffective Information Security Management System, inadequate resources to create and maintain an ISMS, management buy in and support to operate an ISMS.</p>													
<p><b>Risk Consequences:</b> Information security incidents resulting in loss of personal data or breach of privacy / confidentiality. Safeguarding data breach impacting on safety of vulnerable child or adult. Risk of breaching the regulations, and being subject to penalties/fines - Regulations Fines increasing from up to £500,000 to 10-20m Euros of 4% of global turnover. Increased litigation. Reputational damage.</p>	<b>Control</b>		<b>Mitigating Actions</b>										
	<ol style="list-style-type: none"> <li>Guidance and awareness campaigns supported by regular phishing campaigns. Comms and awareness being delivered to raise awareness to colleagues around the risk of Cyber incidents and how good Information Security practices (including adherence to policies) will help minimise the likelihood of these occurring</li> <li>Security Team Training</li> <li>Meta Compliance tool online to track compliance/engagement of policies</li> </ol>		<table border="1"> <thead> <tr> <th>Action Title</th> <th>Due Date</th> <th>Progress</th> </tr> </thead> <tbody> <tr> <td>1. Continue roll out of Policies with oversight from ICGB Information Governance Tool</td> <td>December 2023</td> <td>85%</td> </tr> <tr> <td>2. Implement Audit Actions with oversight by IG Board</td> <td>August 2023</td> <td>80%</td> </tr> </tbody> </table>	Action Title	Due Date	Progress	1. Continue roll out of Policies with oversight from ICGB Information Governance Tool	December 2023	85%	2. Implement Audit Actions with oversight by IG Board	August 2023	80%	
Action Title	Due Date	Progress											
1. Continue roll out of Policies with oversight from ICGB Information Governance Tool	December 2023	85%											
2. Implement Audit Actions with oversight by IG Board	August 2023	80%											
<p><b>Risk Owner(s):</b> Senior Information Risk Owner (SIRO).</p>	<p><b>Portfolio Flag:</b> Finance, Governance and Performance</p> <p><b>Summary of Progress:</b> No change to risk score at this time. Policy work is being finalised, technical controls to support policies are being implemented. Next step is to embed these across the organisation; however this work will take longer due to recruitment/resourcing challenges.</p>												
<p><b>Strategic Theme:</b> Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing</p>													



## Appendix A – Corporate Risk Register as at June 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level		
<p><b>Risk Title:</b> CRR4 – Possible failure to Deliver an effective Corporate Health, Safety and Wellbeing Framework.</p> <p><b>Description:</b> To deliver an effective management framework in place to ensure that the workplace and work environment is free from health and safety hazards. The framework the Council will use to achieve this is based on the Health and Safety Executives guidance Managing for Health and Safety (HSG65) 'Plan, Do Check Act' approach. The framework will apply to all employees who work at the Council whether on a permanent or temporary basis, Schools, contractors agency staff visitors and other parties who have a business relationship with BCC.</p>	<b>Constant</b>	<b>10</b> Likelihood = 2 Impact = 5		<b>10</b> Likelihood = 2 Impact = 5		
<p><b>Risk Causes:</b> 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> <p><b>Risk Consequences:</b> Risk of injury Staff, visitors, contractors, citizens. Risk of injury to our tenants. Staff put under undue pressure leading to staff taking sick leave, or leaving the organisation. Risk of legal action/penalties against the Council and individual managers, including possibility of Corporate Manslaughter. Impact on the reputation of the City Council. Lack of compliance with Health and Safety policies and safe practices, due to pressures of work or lack of training. Reputational damage</p> <p><b>Risk Owner(s):</b> Chief Executive and Corporate Leadership Board (CLB), Director of Workforce Change.</p>						
	<b>Control</b>			<b>Action Title</b>	<b>Due Date</b>	<b>Progress</b>
	<ol style="list-style-type: none"> <li>5 Year Health and Safety Strategy - The strategy has 5 key themes - Leadership and Commitment, Risk Control, Communication and Engagement. Learning and development and Performance Management</li> <li>CDM, Legionella and Asbestos procedures have been revised</li> <li>CHaSMs Monitoring System Reviewed - CHaSMs completed in November and reported on to EDMs in January. Action plans in place and on the SHAREPOINT. Discussion with internal audit over the future of CHaSMs. Will become a yearly assessment September for Corporate Estate and October for Schools, will be linked to service and financial planning cycles to better embed the process. Work will continue on ensuring SMART action plans and better understanding of operational health and safety risks. The revised CHaSMs is due to be sent out in October 2022.</li> <li>Fire Safety Management System - Fire Safety Management System is in place and has been piloted. Is ready to be published on SOURCE by 30th March 2022. Once published a number of information sessions will take place to ensure managers and key responsible people understand how to implement system.</li> <li>Health and Well-being plan - Health and Wellbeing plan</li> </ol>		<ol style="list-style-type: none"> <li>Audit of key areas of risk</li> <li>New Accident Incident Reporting System</li> <li>Review Health and Safety Procedures</li> <li>Training and Development Programme for Health, Safety and Well-being</li> </ol>	<p>March 2022</p> <p>March 2022</p> <p>March 2024</p> <p>March 2024</p>	<p>100%</p> <p>100%</p> <p>20%</p> <p>25%</p>	



## Appendix A – Corporate Risk Register as at June 2023

	<p>in place and being implemented</p> <p>6. New integrated OH, EAP and Physiotherapy contract - New contract in place for a year. Overall is working well there are some red spots (health surveillance) which is currently being contract managed due to delivery.</p> <p>7. Reorganising the Corporate Health Safety and Wellbeing Team - New job and paperwork completed with business plan and EIA. Currently out for consultation with staff group and TU. Consultation end on 21st March 2022. Jobs will go to evaluation panel on Tuesday 29th, appointment to internal post during April onwards. The consultation process has been completed any because of Councils financial position this is being revised and will probably be implemented in two parts.</p>	
<p><b>Portfolio Flag:</b> Finance, Governance and Performance <b>Strategic Theme:</b> Our Organisation</p>	<p><b>Summary of Progress:</b> We now have an updated improvement plan alongside the audit action management plan that we will be working to over the next year. CLB is monitoring the audit management plan and this is being reported to them at intervals next reporting is in October where some significant decisions will be taken. The new CHaSMS has been launched and the stress risk assessments have been analysed and reported to the corporate safety committee and the 4 Directorate EDMs. Conversations have started regarding the property risk register.</p>	



## Appendix A – Corporate Risk Register as at June 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p><b>Risk Title:</b> CRR18 - Possible failure to deliver enough new homes to meet Mayoral and Annual Business Plan targets.</p> <p><b>Description:</b> Failure of the City to deliver to the Mayoral Target of 2000 new homes per year by 2024. 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>	<b>Deteriorating</b>	<b>15</b> Likelihood = 3 Impact = 5	 Likelihood Impact	<b>9</b> Likelihood = 3 Impact = 3	 Likelihood Impact
<p><b>Risk Causes:</b></p> <ul style="list-style-type: none"> <li>-Not enough planning applications submitted</li> <li>-Not enough planning permissions granted</li> <li>-Insufficient housing land identified in strategic planning documents</li> <li>-Inability of the housebuilding industry to deliver at this level</li> <li>-Increased uncertainty in the market due to Brexit and Covid-19.</li> </ul> <p><b>Risk Consequences:</b></p> <ul style="list-style-type: none"> <li>-Reputational damage</li> <li>-Fail to deliver inclusive growth</li> <li>- Increased housing need / homelessness</li> <li>-Increased cost of housing</li> <li>-Failure to retain economically active residents.</li> <li>-Widening gap on demand</li> <li>-Growth of student accommodation retracting</li> </ul>			<b>Existing Controls</b>		<b>Mitigating Actions</b>
	<b>Control</b>		<b>Action Title</b>	<b>Due Date</b>	<b>Progress</b>
	1.Created a single multi-disciplinary Housing Delivery Team		Secure Homes England Affordable Housing Programme Funding	March 2026	40%
	2.Established a Local Housing Company (Goram Homes).		Revised Affordable Housing Funding Policy 2022-202	April 2022	100%
	3.Introduced the Affordable Housing Practice Note.				
	4.Issued grants to Registered Providers (RPs).				
	5.Manage a targeted grant funding programme to subsidise the delivery of affordable homes.				
	6.Required a minimum of 30% affordable housing on land released by the Council.				
	7.Secured additional grant funding for infrastructure.				
	8.Secured funding from Homes England				
	9.Service Review of Housing Delivery Team				
	10.Worked collaboratively with Homes England				
	11. Strategic City Planning monitor housing completions and future pipeline of consents				
<p><b>Risk Owner(s):</b> Executive Director Growth and Regeneration, Director Development of Place.</p>	<p><b>Portfolio Flag:</b> Housing Delivery and Homes</p> <p><b>Strategic Theme:</b> Fair and Inclusive</p> <p><b>Summary of Progress:</b> While work on finalising completion data for 22/23 is ongoing, indications suggest the final completion figure is likely to be under Mayoral and Business Plan targets.</p>				

## Appendix A – Corporate Risk Register as at June 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p><b>Risk Title:</b> CRR54 - Potential Threat of Financial Sustainability of Nursery Schools</p> <p><b>Description:</b> The impact of Covid and union action on maintained nursery schools and classes will significantly reduce the funding provided to the LA and schools and could impact on sustainability and sufficiency (sufficiency being a statutory responsibility of the service) Ongoing underfunding of nursery schools continue to raise questions about their future.</p>	Constant	21 Likelihood = 3 Impact = 7		6 Likelihood = 3 Impact = 3	
<p><b>Risk Causes:</b></p> <ul style="list-style-type: none"> <li>Availability of staff to service early years learning</li> <li>Census data weakened to inform on EY sector funding.</li> <li>Government process change.</li> </ul>					
<p><b>Risk Consequences:</b></p> <ol style="list-style-type: none"> <li>Increased financial deficits in maintained nursery schools leading to impact on the DSG and long-term sustainability.</li> <li>Reduction in places across the maintained sector on a permanent basis as schools close unsustainable nursery provision that impacts on the city's sufficiency plan.</li> </ol>	Existing Controls		Mitigating Actions		
	Control		Action Title	Due Date	Progress
	<ul style="list-style-type: none"> <li>Identification of potential financial impact</li> <li>Review of progress with agreed actions with targeted nursery schools.</li> <li>Published a council position on the strategic need for nursery schools and key areas where action is required to support sustainability.</li> <li>Individual finance visits to four targeted nursery schools with the largest in-year deficits to create action plans to tackle identified issues.</li> <li>Communication with nursery schools to establish Covid impact and impact on pupil numbers</li> <li>Development of a nursery transformation programme in collaboration with LA maintained nursery school headteachers and governors.</li> <li>Context conversations to capture the strengths and strategic importance of nursery schools as well as the financial and operational challenges.</li> </ul>	<ul style="list-style-type: none"> <li>Developing strategic proposals for nursery schools and the LA in response to the finding of the context conversations.</li> <li>Continuing with the nursery transformation programme and working with nursery schools to implement action plans that will reduce in-year deficits and move towards sustainable models for the future.</li> <li>Reviewing the space on each nursery site to evaluate the potential income from hosting co-located services.</li> <li>Continuing ongoing dialogue the nursery schools to establish the impact of Covid through this financial year.</li> <li>Establishing impact of provision of eligible 2 year old provision and SEND within nursery schools.</li> <li>Bringing groups of nursery schools together the develop collaborative and federation models that share resources, leadership, skills and expertise.</li> <li>Modelling management of change and collaborate and federation models to inform discussions.</li> <li>Engaging with elected members to review strategic position of nursery schools and how the council can support remodelling and securing future sustainability.</li> <li>Identifying additional capacity required to support programme of change. Paper being drawn up for Schools Forum to secure additional funding.</li> </ul>	<ul style="list-style-type: none"> <li>July 2022</li> <li>September 2023</li> <li>July 2022</li> <li>March 2022</li> <li>July 2022</li> <li>September 2023</li> <li>September 2023</li> <li>September 2023</li> <li>September 2023</li> </ul>	<ul style="list-style-type: none"> <li>100%</li> <li>45%</li> <li>100%</li> <li>100%</li> <li>100%</li> <li>50%</li> <li>50%</li> <li>45%</li> <li>100%</li> </ul>	
<p><b>Risk Owner(s):</b> Executive Director People, Service Director Education and Skills</p>	<p><b>Portfolio Flag:</b> Children's Services, Education &amp; Equalities</p>				
<p><b>Strategic Theme:</b> Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing</p>	<p><b>Summary of Progress:</b> 11 out of the 12 LA Maintained Nursery schools are currently carrying an accumulative deficit of approx. £7 million. Deficit recovery plans have been created by Head Teachers and Governing Boards to demonstrate how they will return to an in-year surplus within 3 years. The Section 151 officer has reviewed the deficit recovery plans and identified which LA Maintained Nursery Schools can be given a licenced deficit. Those that have not been issued with a licenced deficit are working with finance colleagues and officers to establish more ambitious plans to provide financial sustainability for the provisions. Further transformation work is also being reviewed to future proof the provisions moving forward.</p>				

## Appendix A – Corporate Risk Register as at June 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p><b>Risk Title:</b> CRR55 - Children placed in unregistered provision may be at risk</p> <p><b>Description:</b> There is a possible high threat risk for the council regarding children placed in unregistered provision which is unlawful.</p>	<b>New &amp; Escalated</b>	<b>28</b> Likelihood = 4 Impact = 7		<b>14</b> Likelihood = 2 Impact = 7	
<p><b>Risk Causes:</b></p> <ul style="list-style-type: none"> <li>The causes are placement sufficiency and increased numbers of children coming into care.</li> </ul>					
<p><b>Risk Consequences:</b></p> <ul style="list-style-type: none"> <li>Unlawful placements</li> <li>Negative Legal Impact</li> <li>Negative Ofsted Impact</li> </ul>	<b>Existing Controls</b>		<b>Mitigating Actions</b>		
	<p><b>Control</b></p> <ul style="list-style-type: none"> <li>TBC</li> </ul>		<p><b>Action Title</b></p> <p>Ensure that permission of placement can only be agreed by DCS.</p> <p>Explore with Ofsted more creative solutions</p> <p>Implementation of BCC Families Transformation Programme.</p> <p>Weekly oversight by Service Director and reporting to CLB.</p>	<p><b>Due Date</b></p> <p>Sept 2023</p> <p>Sept 2023</p> <p>Sept 2023</p> <p>Sept 2023</p>	<p><b>Progress</b></p> <p>50%</p> <p>50%</p> <p>50%</p> <p>50%</p>
<p><b>Risk Owner(s):</b> Executive Director People, Service Director Education and Skills</p>	<p><b>Summary of Progress:</b> This threat is high because we have children coming into care with complex needs bind with issues placement sufficiency.</p>				
<p><b>Portfolio Flag:</b> Children’s Services, Education &amp; Equalities</p>					
<p><b>Strategic Theme:</b> Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing</p>					

## Appendix A – Corporate Risk Register as at June 2023

### Opportunity Risks

Opportunity Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p><b>Risk Title:</b> OPP1 - Possible Impact of One City Approach</p> <p><b>Description:</b> The One City Approach will offer a new way to plan strategically with partners as part of a wider city system.</p>	<b>Deteriorating</b>	<b>21</b> Likelihood = 3 Impact = 7		<b>28</b> Likelihood = 4 Impact = 7	
<p><b>Risk Causes:</b> 1. Mayoral aspiration and widespread partner sign-up to principles</p> <p>2. Work to date has produced outline plan and engaged partners in the long-term vision and necessary work to complete the plan</p>					
<p><b>Risk Consequences:</b></p> <p>1. The council can plan as part of a wider city system, making stronger plans based on agreed city priorities which already have partner buy-in 2. Potential to make financial and efficiency savings and/ or deliver better services and/or reduced demand for service, reducing costs whilst improving citizen outcomes. Update April 2020: 3. Relationships already built can accelerate communication, collaboration and effective delivery of a coherent plan for the city's recovery from Covid-19</p>	<b>Existing Controls</b>		<b>Mitigating Actions</b>		
	<b>Control</b>		<b>Action Title</b>	<b>Due Date</b>	<b>Progress</b>
	1. V3 One City Plan Produced - We have produced v3 of the One City Plan and produced our second annual report available on the One City Website from 12 June 2021.		1. One City Plan refresh process	March 2023	100%
			2. Set up Partnership Board	September 2023	80%
			3. City Office Team Mandate	September 2022	100%
<p><b>Risk Owner(s):</b> Director Policy, Strategy and Partnerships.</p>	<p><b>Summary of Progress:</b> Likelihood of realising opportunities has reduced due to the loss of all staff from the City Office and a break in service of circa 6-weeks whilst new team members are recruited. Also, as the Council prepares to move to a Committee System of governance, questions have been raised about the long-term approach to partnership working and whether the One City model should continue. Whilst no specific intention to curtail One City has been put forward, Members will need to consider all options which introduces a level of uncertainty. This has meant recruitment to roles is fixed term only and external funders cannot commit to longer funding terms until they have clarity from BCC about its position on One City. A further report on options is anticipated to be brought to a July meeting of the Committee Member Working Group.</p>				
<p><b>Portfolio Flag:</b> Finance, Governance and Performance</p>					
<p><b>Strategic Theme:</b> Our Organisation</p>					

## Appendix A – Corporate Risk Register as at June 2023

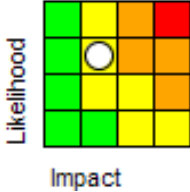
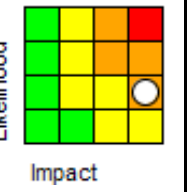
### External and Civil Contingency Risks

External and Civil Contingency Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p><b>Risk Title:</b> BCCC5 - Cost of Living Crisis may have major impact on Citizens and Communities</p> <p><b>Description:</b> Failure of the council and its one-city partners to mitigate against, and provide adequate services to, citizens experiencing increases in living costs including fuel and food leading to increased poverty, inequity and worsening health &amp; wellbeing as a result of the ongoing cost of living crisis.</p>	<b>Improving</b>	<b>12</b> Likelihood = 4 Impact = 3		<b>9</b> Likelihood = 3 Impact = 3	
<p><b>Risk Causes:</b></p> <ul style="list-style-type: none"> <li>-Supply chains disruption</li> <li>-Global COVID-19 Pandemic</li> <li>-Brexit</li> <li>-War in Ukraine</li> <li>-Leading to rapid inflation</li> </ul> <p><b>Risk Consequences:</b></p> <ul style="list-style-type: none"> <li>-Destitution - homelessness</li> <li>-Inability for citizens to pay general services and utilities</li> <li>-Increased debt for citizens and the council</li> <li>-Health and well-being deterioration</li> <li>-Inequity deepening</li> <li>-Increased demand on services across the council leading to failure to meet this demand</li> <li>-Community cohesion deteriorates</li> </ul> <p><b>Risk Owner(s):</b> Executive Director People, Director Public Health</p>					
	<b>Existing Controls</b>		<b>Mitigating Actions</b>		
	<b>Control</b>		<b>Action Title</b>	<b>Due Date</b>	<b>Progress</b>
	1. Baseline / impact assessment to understand potential impact on Bristolians		Update baseline assessment following gov announcement 26 May 22	July 2022	100%
	2. Creation of monitoring framework with 'red flag' indicators		Work with Quartet to ensure COVID recovery /health inequity funding is directed to response and building community resilience	July 2022	100%
	3. Development of civic & community asset map		Communication plan	July 2022	100%
	4. Development of framework for targeted action		Establish network of community hubs and 'city offer' by September	September 2022	100%
	5. Data monitoring of key 'red flag' indicators - monitored by the One City and One Council Group		Cost of Living – assess impact on business	September 2022	100%
	6. Established One Council Group to monitor impact and coordinate action (meeting appx every 3 weeks)		Work with Quartet and other funders to deliver grant funding to implement autumn/winter response as agreed	September 2022	100%
	7. Established One City Coordination Group		Work with Quartet to deliver Social Action Grants	January 2023	100%
	8. Communication plan in place led by BCC External Communications		Update Impact Assessment	December 2022	100%
	9. Bi-weekly meetings of Community Exchange - Meetings with community partners delivering response		Review funding approach with Quartet for 2023	February 2023	100%
			Planning for 2023 event - Review approach and plan for winter 2023	April 2023	100%
			Mid-point review - In person workshop with all partners - review what's happened to date, what's gone well/what needs to change	January 2023	100%
<b>Portfolio Flag:</b> Public Health and Communities	<b>Summary of Progress:</b> This risk is about our ability to respond to the crisis over the winter in particular. We were able to respond as a city drawing on our assets and creating a one city fund. We have a mechanism in place which we know can respond in a crisis. On the 19th of April we agreed with partners to move to a more sustainable way of working and away from 'crisis response' whilst continuing to ensure people have access to immediate support where needed. Our focus now is on building resilience against future pressures through an agreed One City Many Neighbourhoods approach.				
<b>Strategic Theme:</b> Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing					





## Appendix A – Corporate Risk Register as at June 2023

External and Civil Contingency Risk	Trend	Current Risk Assessment		Risk Tolerance Level		
<p><b>Risk Title:</b> BCCC4 – Possible Increase In Winter diseases including COVID-19 and Flu (formerly COVID-19 Population Health)</p> <p><b>Description:</b> Covid 19 poses multiple risks to population health. Directly from infection; indirectly through social and economic impacts; and through pressures on the health and care system. On 21ST Feb 2022 the Gov announced Living with Covid Strategy which includes withdrawal of population testing and contact tracing. Isolation and other compliance is voluntary. New risks are:</p> <ul style="list-style-type: none"> <li>• Reduced ability to see infection</li> <li>• Negative impacts on business continuity and health from high levels of circulating infection</li> <li>• Harms to high-risk individuals and risks within high consequence settings</li> <li>• Emergence of harmful new variant</li> </ul>	<h3>Improving</h3>	<h2>3</h2> <p>Likelihood = 3 Impact = 1</p>		<h2>14</h2> <p>Likelihood = 2 Impact = 7</p>		
<p><b>Risk Causes:</b> Covid 19 poses multiple risks to population health. Directly from infection; indirectly through social and economic impacts; and through pressures on the health and care system. Removal of Covid controls reduces ability to contain infection.</p>	<b>Existing Controls</b>		<b>Mitigating Actions</b>			
	<b>Control</b>		<b>Action Title</b>	<b>Due Date</b>	<b>Progress</b>	
	1. Daily Situation Reports – weekly from April 2022 and will be produced in current format until 31st March 2023		There are 9 COVID Population Health Sub risks with multiple mitigating Actions			
	2. Investment in Infection Prevention and Control - Additional recurrent investment has been made in Community Infection Prevention and control. Regional and Health system IPC oversight established					
3. Local Outbreak Management and Response Plan - LOMP has been replaced by living with Covid Plan -developed with partners. Mitigations in place include: New Surveillance, Communication, Engagement, Prevention – including vaccination, Protection – high risk settings and Response and surge preparedness. Weekly Outbreak Management Group replaced by weekly Living With Covid Group. Monthly reports to CLB Gold and regular updates to ELM Regular staff and public bulletins						
4. Ongoing Community Engagement and Mental Health Work - Additional investment in MH work through Thrive. £500k from CCG for student MH. One City focus on YP and night-time activities. Additional investment in communities, VCSE - £2m from CCG and additional funds for community vaccine champions.						



## Appendix A – Corporate Risk Register as at June 2023

<b>Risk Consequences:</b> Infection from Covid, proportion of severe illness, long Covid and deaths. Disruption to work, school, university. Emotional and mental health impacts, for all ages including loneliness. Food poverty.	5. Priority Programmes focussed on Mental Health, Well-Being and Food Poverty
	6. Protecting Health Function - Enhanced protecting health function - completed / Green. Weekly reports published – will remain in place but frequency may change - Green
	7. Weekly Death Management and Vaccine Reports
<b>Risk Owner(s):</b> Executive Directors & Director of Public Health	
<b>Portfolio Flag:</b> Mayor	<b>Summary of Progress:</b> Winter flu season has ended; UK Government have now formally ended the COVID-19 pandemic response. we are now back to business-as-usual approaches. plans are in place to deliver the spring covid-19 booster programme to our vulnerable population. treatment for those to develop covid symptoms who are immunosuppressed remains available. System planning is in progress for next winter - flu / covid vaccination and engagement to support uptake recognising this as a core prevention priority.
<b>Strategic Theme:</b> Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing	

# Appendix A – Corporate Risk Register as at June 2023

## Risk Scoring Matrix

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

# Appendix A – Corporate Risk Register as at June 2023



## LIKELIHOOD AND IMPACT RISK RATING SCORING

### Likelihood Guidance

Likelihood	Likelihood Ratings 1 to 4			
	1	2	3	4
<b>Description</b>	Might happen on rare occasions.	Will possibly happen, possibly on several occasions.	Will probably happen, possibly at regular intervals.	Likely to happen, possibly frequently.
<b>Numerical Likelihood</b>	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.
<b>Financial Loss / Gain</b>	<b>Under £0.5m</b>	<b>Between £0.5m - £3m</b>	<b>Between £3m - £5m</b>	<b>More than £5m</b>
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.