

Cabinet

Supplementary Information



Date: Tuesday, 7 November 2023

Time: 4.00 pm

Venue: The Council Chamber - City Hall, College Green, Bristol, BS1 5TR

20. Q2 Corporate Risk Report

(Pages 2 - 46)

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Date: Wednesday, 01 November 2023



Decision Pathway – Report

PURPOSE: For reference

MEETING: Cabinet

DATE: 07 November 2023

TITLE	Corporate Risk Management Report – Q2 2023/24
Ward(s)	City wide
Authors: Risk and Insurance Senior Officers	Job title: Risk and Insurance Senior Officers
Cabinet lead: Councillor Cheney - Deputy Mayor and Cabinet member for City Economy, Finance and Performance	Executive Director lead: Stephen Peacock - Chief Executive (Head of Paid Service)
Proposal origin: BCC Staff	
Decision maker: For noting Decision forum: For noting	
<p>1. Purpose of Report:</p> <p>1.1 The report provides an update on current significant strategic risks to achieving the Council’s objectives as set in the Corporate Strategy 2022-2027 and summarises progress in managing the risks and actions being taken as at Quarter 2_2023-24.</p>	
<p>2. Evidence Base:</p> <p>Context</p> <p>2.1 The Corporate Risk Report (CRR) is a key document in the council’s approach to the management of risk; it captures strategic risks set out in the Corporate Strategy 2022-2027. It also provides a context through which Directorates construct their own high-level risk assessments and is used to inform decision making about business planning, budget setting, transformation, and service delivery.</p> <p>2.2 The CRR provides assurance to management and Members that Bristol City Council’s significant risks have been identified and arrangements are in place to manage those risks within the tolerance levels agreed. It should be noted that ‘risk’ by definition includes both threats and opportunities, which is reflected in the CRR.</p> <p>2.3 The Accounts and Audit Regulations 2015 require that the council to have in place effective arrangements for the management of risk. These arrangements are reviewed each year and reported as part of the Annual Governance Statement (AGS). Ensuring that the Service Risk Registers (SRR), Directorate Risk Reports (DRR) and the Corporate Risk Reports (CRR) are soundly based will help the council to ensure it is anticipating and managing key risks to optimise the achievement of the council’s objectives and prioritise actions for managing those risks.</p> <p>2.4 The registers and reports are a management tool. They need regular review to ensure that the occurrence of obstacles or events that may put individual’s safety at harm, impact upon service delivery and the council’s reputation are minimised, opportunities are maximised and when risks happen, they are managed effectively to minimise the impact.</p> <p>2.5 The CRR summary of risks is attached to this report at Appendix A and is the latest position following a review by managers and Directors.</p>	

3. Corporate Risk Report - Summary of Corporate Risks:

- 3.1 Cabinet members are asked to note the CRR as a working summary report of the critical and significant risks from the Service Risk Registers as of September 2023.
- 3.2 The CRR sets out the critical, significant, and high rated threats and opportunity risks. All other business risks reside on the Service Risk Registers.
- 3.3 Further programme of work with clear instructions to colleagues was undertaken to review and revise each CRR/DRR risk description, internal controls and mitigation plans and governance. The scope of this work included where possible the identification of new risks and a fresh look to confirm ongoing risks are current along with the actions to mitigate the risks.
- 3.4 Members of EDM's reviewed the current CRRs and the DRRs in August/September 2023 to form the current CRR risks was reviewed by CLB on the 19th of September 2023. Cabinet members are asked to accept the attached CRR as a working summary report of the critical and significant risks from the Service Risk Registers.
- 3.5 The Q2 23-24 Corporate Risk Report (CRR) as at September 2023 contained:

Threat Risks	Opportunity Risks	External / Contingency Risks
1 Critical 24 High 4 Medium	1 High	1 High 2 Medium
5 Improving Risks 2 Deteriorating 2 Escalated Risks		1 Deteriorating

Please Note – There are 17 other risks scoring between 20 and 28 that have not been escalated to the Corporate Risk Register (CRR). These risks are currently being assessed for assurance, to moderate the scores below 20 or to include in the CRR. The results will be presented during the Q3 review.

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

4. Critical Threat Risks

There is one critical Threat risks:

- 4.1 CRR55 - Risk of children placed in unregistered provision which is unlawful: Escalated threat risk from Children Services in Q1. The risk rating is still $4*7 = 28$ Critical threat risk. The numbers have not reduced due to high needs of the children that have required placements and lack of placements.

5. Improving Risks

There are five improving Threat risks within the report:

- 5.1 CRR5 Business Continuity and Operational Resilience May Not Be Effective: This risk score has reduced from $7*3 = 21$ High to $5*2 = 10$ High due to business continuity being in service plans and by working on the quality and adherence across BCC organisation.
- 5.2 CRR13 - Possible Financial Framework and Medium-Term Financial Plan (MTFP) Failure: The risk rating has improved from $4*7 = 28$ Critical to $3*7 = 21$ High due to processes and controls in place to enable the MTFP and budget to be developed and approved are robust.
- 5.3 CRR41 Capital Portfolio Delivery May Fail: The risk score has reduced from $5*4 = 20$ High to $5*3 = 15$ High as the construction sector, while still challenging, has become less volatile.

5.4 CRR49 – Potential Impact of Weak Workforce Resilience: The risk rating improved $5*4 = 20$ High to $3*3 = 9$ Medium as the internal controls in place are effective; and targeted work is in place to support services at a higher risk around workforce resilience.

5.5 CRR54 Potential Threat of Financial Sustainability of Nursery Schools: The risk score improved from $7*3 = 21$ High to $3*2 = 6$ Medium as Nursery Schools with a deficit have submitted deficit recovery plans that have either been approved by the Section 151 officer or have been rejected requiring further work.

6. Deteriorating Risks

There are two deteriorating Threat risks within the report:

6.1 CRR4 – Possible failure to Deliver an effective Corporate Health, Safety and Wellbeing Framework: The risk rating increased from $5*2 = 10$ Medium to $5*3 = 15$ High following a review of the current approach to managing some key areas of health and safety risks, including those in Property and the new Building Safety Act.

6.2 CRR12 Emergency planning measures & resources may be overwhelmed by scope / scale of an emergency or incident faced by the council: This risk score has increased from $7*2 =$ High 14 to $5*3 =$ High 15 as working on additional resource / budget is required to be able respond as a cat 1 responder under the civil contingencies act.

There is one deteriorating External Threat risks within the report:

6.3 BCCC4 - Possible Increase in Winter diseases including COVID-19 and Flu (formerly COVID-19 Population Health): This risk score has reduced from $1*3 =$ Low 3 to $3*3 =$ Medium 9 as we have seen a new variant emerge internationally in August 2023.

7. Escalating Risks

There are 2 Threat risks recommended for escalation to Corporate Risk Register from Directorate Risk Registers:

7.1 CRR56 – DRR Potential threat to the ASC Care Quality Commissions (CQC) Assurance Preparedness and Rating. The current risk score is $7*3 =$ High 21

7.2 CRR57 – DRR18 - Possible failure to improve compliance with procurement rules which results in procurement breaches. The current risk score is $5*4 =$ High 20

8. Emerging (In Progress) Risks:

There is one risk that are currently emerging, and workshops will be held in Q3 to draft these for consideration for inclusion on the corporate risk report:

8.1 Reinforced Autoclaved Aerated Concrete (RAAC)- this an emerging strategic threat risk to the council which we are currently investigating.

9. Static Risks

9.1 Risks have scores that have remained static over the last 3 reporting cycle as at Q2 2023. Risk owners are advised to ensure that controls and mitigations are effective, confirm why it has remained the same and if anything could be done.

10. Mitigation Actions Update

10.1 There were 45 new mitigation actions created during the reporting period which, when completed, will result in improved risk assurance and improvement towards our tolerances level. Over 70 risk mitigation actions were successfully completed.

Additional Information:

- For more detail on individual risks and their management, please see the attached Appendix A.
- The closed risks are now reflected within individual risks across the Council's Service Risk Registers.
- All risks on the CRR have management actions in place.
- It is not possible to eliminate the potential of failure entirely without significant financial and social costs. The challenge is to make every reasonable effort to mitigate and manage risks effectively, and where failure occurs, to learn and improve.
- Risks are escalated to the Corporate Risk Report (CRR) if the risk scores higher than a 20 or if a risk is determined by CLB to remain on the corporate risk report due to monitoring its significance to the councils aims and objective.

Cabinet Member / Officer Recommendations:
That Cabinet

- Notes the current strategic risks and mitigating actions being taken to reduce to within tolerance.

Corporate Strategy alignment:
Managing risks are an integral element to the achievement of the BCC Corporate Strategy deliverables.

City Benefits:
Risk Management aims to maximise achievement of the council's aims and objectives by reducing the risks to those achievements and maximising possible opportunities that arise.

Consultation Details: none

Background Documents:
<https://democracy.bristol.gov.uk/documents/s28767/10 Appendix A - BD11378 - Risk Management Assurance Policy Jan 2019.pdf>

Revenue Cost	£	Source of Revenue Funding	Insert specific service budget name
Capital Cost	£	Source of Capital Funding	e.g. grant/ prudential borrowing etc.
One off cost <input type="checkbox"/>	Ongoing cost <input type="checkbox"/>	Saving Proposal <input type="checkbox"/>	Income generation proposal <input type="checkbox"/>

Required information to be completed by Financial/Legal/ICT/ HR partners:

1. Finance Advice: The CRR is a live document refreshed regularly following consultation across the organisation and aims to provide assurance that the council's main risks have been identified and appropriate mitigations are in place to ensure they are managed within agreed tolerances. This includes, as set out in the annual budget report, measures to ensure appropriate financial provision for these risks is made through the budget planning process. The Council should ensure it has sufficient resource available to implement actions required to bring risks down to a tolerable level. This report highlights a few critical financially related risks which will need to continue to be addressed and mitigated through planned improvements collectively owned by the leadership, refresh to the financial outlook through the MTFP, continued robust financial monitoring throughout the financial year, as well as the Council maintaining minimum reserves levels in line with the s151 officer review of financial risk in the budget taken in February 2023.

Finance Business Partner: Olu Kupoluyi, Finance Business Partner Resources. 14th September 2023

2. Legal Advice: The Corporate Risk Register enables the Council to monitor and manage identified risks and mitigations to ensure good governance and compliance with its statutory and other duties. Advice will be given separately in relation to any specific legal issues that may arise from the risks identified.

Legal Team Leader: Nancy Rollason, Head of Legal Service. 14th September 2023

3. Implications on IT: The Digital Transformation Team remain committed to undertaking and/or supporting the mitigation activities pertaining to the service risks. We provided identified those LOB systems that pose the greatest risk and made their details available to be incorporated on the risk registers of the area that own them, this includes details inherent in the risk such as; Cyber Security, and IT Resilience whereby ownership and mitigation activity should be led by the responsible service areas and reported individually.

IT Team Leader: IT Team Leader: Gavin Arbuckle, Head of Service Operations. 22nd September, 2023		
4. HR Advice: No HR implications of the recommendation.		
HR Partner: James Brereton, Head of HR. 15th September 2023		
EDM Sign-off	Resources EDM	13/09/2023
Cabinet Member sign-off	Cllr Cheney, Deputy Mayor and Cabinet member for City Economy, Finance and Performance	18/09/2023
For Key Decisions - Mayor's Office sign-off	Mayor's office	22/09/2023

Appendix A – Further essential background / detail on the proposal Q2 Corporate Risk Report 2023-2024	YES
Appendix B – Details of consultation carried out - internal and external	NO
Appendix C – Details of consultation carried out - internal and external	NO
Appendix D – Summary of any engagement with scrutiny	NO
Appendix E – Risk assessment	NO
Appendix F – Equalities screening / impact assessment of proposal	NO
Appendix D – Eco-impact screening/ impact assessment of proposal	NO
Appendix H – Financial Advice	NO
Appendix I – Legal Advice	NO
Appendix J – Exempt Information	NO
Appendix K – HR advice	NO
Appendix L – ICT	NO
Appendix M – Procurement	NO

Appendix A – Corporate Risk Register Q2 2023-2024 as at September 2023



Threat Risk Performance Summary

Risk	Page Number	Q3 Rating (22/23)	Q3 Matrix (22/23)	Q4 Rating (22/23)	Q4 Matrix (22/23)	Q1 Rating (23/24)	Q1 Matrix (23/24)	Q2 Rating (23/24)	Q2 Matrix (23/24)
CRR4 – Possible failure to Deliver an effective Corporate Health, Safety and Wellbeing Framework		10		10		10		15	
CRR5 - Business Continuity and Operational Resilience may not be effective		15		10		14		10	
CRR6 - Potential threat of Fraud and Corruption		15		15		15		15	
CRR7 - Potential Cyber Security Issues		20		20		20		20	
CRR9 - Possible Failure of Safeguarding Vulnerable Children		21		21		21		21	
CRR10 - Safeguarding Adults may be at Risk with Care and support needs.		15		15		21		21	
CRR12 - Emergency planning measures and resources may be overwhelmed by scope and scale of an emergency or incident faced by the council.		21		14		14		15	
CRR13 - Possible Financial Framework and Medium-Term Financial Plan (MTFP) Failure		28		28		28		21	

Appendix A – Corporate Risk Register Q2 2023-2024 as at September 2023



Risk	Page Number	Q3 Rating (22/23)	Q3 Matrix (22/23)	Q4 Rating (22/23)	Q4 Matrix (22/23)	Q1 Rating (23/24)	Q1 Matrix (23/24)	Q2 Rating (23/24)	Q2 Matrix (23/24)
CRR15 – Possible In-Year Financial Deficit		21		28 ↓		21 ↑		21	
CRR18 - Possible failure to deliver enough new homes to meet Mayoral and Annual Business Plan targets.		10		10		15 ↓		15	
CRR25 - Possible Suitability of Line of Business (LOB) Systems Issues		20		20		20		20	
CRR26 - ICT Resilience May Not Be Effective		14		14		14		14	
CRR27 – We may fail to Deliver the Capital Transport Programme		15		15		15		15	
CRR29 - Information Security Management System (ISMS) May Not Be Effective		10		10		10		10	
CRR37 – Homelessness and the subsequent cost of providing suitable affordable accommodation may affect long-term outcomes		20		20		20		20	
CRR39 - Adult and Social Care major provider/supplier may fail to deliver as expected		20		15 ↑		15		15	
CRR40 - Potential Threat of Unplanned Investment in Subsidiary Companies		20		20		20		20	

Appendix A – Corporate Risk Register Q2 2023-2024 as at September 2023



Risk	Page Number	Q3 Rating (22/23)	Q3 Matrix (22/23)	Q4 Rating (22/23)	Q4 Matrix (22/23)	Q1 Rating (23/24)	Q1 Matrix (23/24)	Q2 Rating (23/24)	Q2 Matrix (23/24)
CRR41 – Capital Portfolio Delivery May Fail		20		20		20		15	
CRR43 - Lack of progress for Mass Transit may have on Impact on the city		20		20		20		20	
CRR45 - Potential failure to deliver statutory duty in respect of Children		15		20		20		20	
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)		21		21		21		21	
CRR49 – Potential Impact of Weak Workforce Resilience		20		20		20		9	
CRR51 - ASC may be financial unsustainable due to national and local pressures leads to a failure to deliver statutory duties and budgetary control.		21 NEW RISK		21		21		21	
CRR52 - Possible failure to ensure high rise properties meet safety regulations and building safety act (amended to include compliance with Building Safety Act)		21 Escalated from service risk registers		21		21		21	
CRR53 - Increased social worker and occupational therapists vacancies and sickness rates may result in vulnerable adults care being comprised.		20 NEW RISK		20		20		20	

Appendix A – Corporate Risk Register Q2 2023-2024 as at September 2023



Risk	Page Number	Q3 Rating (22/23)	Q3 Matrix (22/23)	Q4 Rating (22/23)	Q4 Matrix (22/23)	Q1 Rating (23/24)	Q1 Matrix (23/24)	Q2 Rating (23/24)	Q2 Matrix (23/24)
CRR54 - Potential Threat of Financial Sustainability of Nursery Schools		15 		21 ↓ Escalated		21 		6 ↑	
CRR55 - Children placed in unregistered provision may be at risk		N/A	N/A	N/A	N/A	28 ↓		28 	

Threat Risks Escalated

CRR56 – Potential threat to the ASC Care Quality Commission (CQC) Assurance Preparedness and Rating (DRR Escalated)		15 		15 		15 		21 ↓	
CRR57 – Possible procurement breaches and compliance with procurement rules & legislation (DRR18 Escalated)		15 ↓		15 		20 ↓		20 	

Appendix A – Corporate Risk Register Q2 2023-2024 as at September 2023



Opportunity Risk Performance Summary

Risk	Page Number	Q3 Rating (22/23)	Q3 Matrix (22/23)	Q4 Rating (22/23)	Q4 Matrix (22/23)	Q1 Rating (23/24)	Q1 Matrix (23/24)	Q2 Rating (23/24)	Q2 Matrix (23/24)
OPP01 - Possible Impact of One City Approach		21 		21 		14 		14 	

External and Civil Contingency Risk Summary

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

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 Q2 2023-2024 as at September 2023



Threat Risks

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level		
<p>Risk Title: CRR4 – Possible failure to Deliver an effective Corporate Health, Safety and Wellbeing Framework.</p> <p>Description: 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, contractor's agency staff visitors and other parties who have a business relationship with BCC.</p>	<p>Deteriorating</p>	<p>15</p> <p>Likelihood = 3 Impact = 5</p>		<p>10</p> <p>Likelihood = 2 Impact = 5</p>		
<p>Risk Causes: 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 shown risks. Inadequate contract management arrangements. Lack of effective processes and systems consistently being applied. Policies are not kept up to date.</p> <p>Risk Consequences: 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>Risk Owner(s): Chief Executive and Corporate Leadership Board (CLB), Director of Workforce Change.</p> <p>Portfolio Flag: Finance, Governance and Performance</p> <p>Strategic Theme: Our Organisation</p>	Existing Controls		Mitigating Actions			
	Control		Action Title	Due Date	Progress	
	<ol style="list-style-type: none"> Governance Arrangements Health Safety and Wellbeing Strategy 		Review Health and Safety Procedures	March 2024	20%	
		<p>Summary of Progress: The current approach to managing some key areas of health and safety risks including those in Property and the new Building Safety Act has increased the level of likelihood from unlikely to likely. This is a combination of fines for non-compliance by the regulator (HSE) and personal injury to our employees. The new governance arrangements will provide better scrutiny, decision making and assurance at CLB to where responsibilities and accountabilities in key areas are currently unclear.</p>				

Appendix A – Corporate Risk Register Q2 2023-2024 as at September 2023



Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p>Risk Title: CRR5 - Business Continuity and Operational Resilience may not be effective</p> <p>Description: 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>	<p style="text-align: center;">Improving</p> <p style="text-align: center;">↑</p>	<p style="text-align: center;">10</p> <p style="text-align: center;">Impact 5 = Critical Likelihood 2 = Likely</p>		<p style="text-align: center;">9</p> <p style="text-align: center;">Likelihood = 3 Impact = 3</p>	
<p>Risk Causes:</p> <ul style="list-style-type: none"> -Strikes (People, Fuel); Loss of key staff (communicable diseases (Covid - illness and self-isolation) and influenza.; Loss of suppliers / supply chain disruption.; Loss of accommodation to deliver key services.; Loss of equipment / infrastructure, including utilities.; Any event which may cause major disruption - e.g., severe weather; Unavailability of IT and/or Telecoms.; Knowledge loss.; Reduced chances of preventing/ responding to incidents due to a lack of forward planning or investment.; Climate change <p>Risk Consequences:</p> <ul style="list-style-type: none"> Inability to deliver/support front line services.; Service Disruption. Loss of service.; Transportation disruption. Additional demand on services.; Stress.; Potential risk to staff and public safety. Increased financial cost in terms of damage control and insurance costs. Legal compliance and financial penalty; Reputational damage. 					
	Existing Controls		Mitigating Actions		
	Control		Action Title	Due Date	Progress
	<ol style="list-style-type: none"> 1. A number of Policies, procedures and arrangements are in place including duty rotas for key service areas and the Duty Director rota. 2. Corporate Business Continuity Framework, including BC escalation process - Framework presented at CRG on 11th July 2022. 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. 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. 5. The CRG will seek assurances from key service areas regarding the robustness of continuity arrangements against local risk. 6. Service Level Business Continuity Planning - Services will be developing their BC plans in Q3, aligned to service planning. 		Assessment on adherence and implementation	March 2024	20%
			BC Resource to support pan BCC (New)	April 2024	40%
			BCC utilisation of escalation framework (New)	February 2024	10%
			Business Continuity 2023 workshops pan BCC (New)	March 2024	70%
			Embed Corporate Resilience Group and Business Continuity Group into corporate governance framework, including alignment with corporate risk group	May 2024	80%
			IT Resilience (BC) (New)	February 2025	80%
			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.	January 2024	80%
			Workshops to support services to complete Business Continuity templates	December 2023	50%
			BCC wider BC Plan Quality and Adherence (New)	March 2024	0%
<p>Risk Owner(s): Executive Director Growth and Regeneration Chief Executive, Director Management of Place.</p> <p>Portfolio Flag: City Economy, Finance & Performance</p> <p>Strategic Theme: Our Organisation, Wellbeing.</p>	<p>Summary of Progress:</p> <p>Risk score improved as business continuity is now part of service plans, we are also working on the quality and adherence across BCC, which should help to improve the risk over time.</p>				

Appendix A – Corporate Risk Register Q2 2023-2024 as at September 2023



Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p>Risk Title: CRR6 - Potential threat of Fraud and Corruption</p> <p>Description: Failure to prevent or detect acts of significant fraud or corruption against the council from either internal or external sources.</p>	<p>Constant</p>	<p>15</p> <p>Likelihood = 3 Impact = 5</p>		<p>6</p> <p>Likelihood = 2 Impact = 3</p>	
<p>Risk Causes: 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>	Existing Controls		Mitigating Actions		
	Control		Action Title	Due Date	Progress
<p>Risk Consequences: 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>	<ol style="list-style-type: none"> 1. A dedicated Counter Fraud and Investigation team - BCC has a dedicated Counter Fraud and Investigation team with varied skills. 2. Audits - Internal Audit reviews will sometimes include an assessment of fraud controls. 3. 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. 4. National Fraud Initiative (NFI) fraud hub App - The NFI/Cabinet Office Fraud Hub is in use, with a limited number of datasets uploaded. 5. On-going improvement plan for Whistle-blowing - 6. 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. 7. Planned programme of proactive fraud detection and prevention work - BCC Counter Fraud team develop an annual programme of planned work based on known and increasing fraud risks. 8. Whistleblowing procedure - New internal procedure developed. HR advisor assigned to each Whistle-blow. 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. 	<p>Fraud Risk Assessments</p> <p>Fraud Reviews (New)</p> <p>Fraud Prevention Strategy (New)</p> <p>Working with other Councils (New)</p> <p>Partnership Working (New)</p>	<p>Nov 2023</p> <p>March 2024</p> <p>Nov 23</p> <p>March 2024</p> <p>March 2024</p>	<p>30%</p> <p>0%</p> <p>40%</p> <p>30%</p> <p>0%</p>	
<p>Risk Owner(s): Chief Executive and Director of Finance (S151 Officer).</p>	<p>Summary of Progress: - The likelihood of fraud against Local Authorities is inherently high and whilst prevention of fraud is key, there will always be a risk of fraud occurring. Whilst the current score remains the same, we have secured additional resources to prioritise fraud prevention initiatives that will see the risk score go down once these are completed. As a result, the risk tolerance has been reduced to reflect the council's low appetite of risk. Current key initiatives are focused on: developing a fraud prevention strategy; developing a process to ensure fraud risk is considered in service planning; working with services to ensure full fraud risk assessments are developed and maintained for key fraud risk areas; promoting the fraud hub with a view to expansion across other Local Authorities in the Southwest and other possible partners. In addition, improving confidence and support of Whistle-blowers by a revision of the policy and other improvements.</p>				
<p>Portfolio Flag: Finance, Governance and Performance</p>					
<p>Strategic Theme: Our Organisation</p>					

Appendix A – Corporate Risk Register Q2 2023-2024 as at September 2023



Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p>Risk Title: CRR7 – Potential Cyber Security Issues</p> <p>Description: The Council's risk level in regard to Cyber-security is higher than should be expected.</p>	<p>Constant</p>	<p>20</p> <p>Likelihood = 4 Impact = 5</p>		<p>10</p> <p>Likelihood = 2 Impact = 5</p>	
<p>Risk Causes:</p> <ul style="list-style-type: none"> • Lack of investment in appropriate technologies. • Reliance on in-house expertise, and self-assessments (PSN). • Lack of formal approach to risk management (ISO27001). • Historic lack of focus. <p>Risk Consequences:</p> <ul style="list-style-type: none"> a. Information security incidents resulting in loss of personal data or breach of privacy / confidentiality. b. Safeguarding data breach impacting on safety of vulnerable child or adult. 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. d. Increased litigation. e. Reputational damage. 	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	Dec 023	90%
	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	Dec 2023	90%
4. Security team training					
<p>Risk Owner(s): Chief Executive, Senior Information Risk Owner (SIRO).</p>					
<p>Portfolio Flag: Finance, Governance and Performance</p>	<p>Summary of Progress. Work on technical controls is going, and SIEM implementation continues. External SMEs are supporting Information Governance and IT colleagues. Full review of cyber position due towards the end of this year alongside further audit work to gain assurance on progress.</p>				
<p>Strategic Theme: Our Organisation</p>					

Appendix A – Corporate Risk Register Q2 2023-2024 as at September 2023



Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level			
<p>Risk Title: CRR9 - Possible Failure of Safeguarding Vulnerable Children</p> <p>Description: The council fails to prevent increased risk of harm to children, resulting in harm or death to a vulnerable child.</p>	<p>Constant</p>	<p>21</p> <p>Likelihood = 3 Impact = 7</p>		<p>7</p> <p>Likelihood = 1 Impact = 7</p>			
<p>Risk Causes:</p> <ul style="list-style-type: none"> -Demand for services exceeds service capacity and capability.; Inadequate controls result in harm. -Increase in child protection, complex safeguarding risks, criminal exploitation, serious youth violence and gang affiliation.; Hidden harm resulting from periods of lockdown, increased stress in families and service disruption during COVID -Placement failure due to COVID infection across children's home or fostering households. -An increase in demand of 6% evident across care population - specific pressures are clear for teenagers and unaccompanied children requiring our care 	Existing Controls		Mitigating Actions				
	Control		Action Title	Due Date	Progress		
	DCS quarterly assurance report to Corporate Leadership Board Inspections and Peer Reviews		Procure a strategic partner to undertake work regarding extra familial harm and with our children who go missing from home or care.			October 23	85%
	Quality assurance and performance framework in place.		Our Families Transformation Programme (New)			March 2025	20%
	Strategic Risk Assurance		Working with other Councils (New)			March 2024	30%
<p>Risk Owner(s): Executive Director People, Director Children's, and Families Services.</p>							
<p>Portfolio Flag: Children's Services, Education & Equalities</p>	<p>Summary of Progress:</p> <p>Quality Assurance and performance framework in place and reported on at regular intervals through to cabinet members and Scrutiny. DCS quarterly assurance report to Corporate Leadership Board and action taken to address areas for improvement. The Keeping Bristol Safe Board provides independent scrutiny of children's safeguarding and safer communities' arrangements in the city and holds BCC and partner agencies to account. Services and structure aimed at ensuring delivery of a safe system of work for safeguarding children and communities. Reviewing areas of specific vulnerability and implementing improvements: reviewing resource and performance for missing children by appointing a strategic partner; reviewing quality assurance practice to ensure consistent quality of audits and enough. Support provided by Islington through PIP; appointing a strategic partner to review and redesign extrafamilial harm pathway and services; reviewing child sexual abuse pathway with partners; revised (as part of KBSP).</p>						
<p>Strategic Theme: Our Organisation, Empowering and Caring, Wellbeing.</p>							

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Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level																		
<p>Risk Title: CRR10 - Safeguarding Adults may be at Risk with Care and support needs.</p> <p>Description: The council fails to ensure adequate safeguarding measures are in place for adults at risk.</p>	<p>Constant</p>	<p>21</p> <p>Likelihood = 3 Impact = 7</p>	<p>Likelihood</p> <p>Impact</p>	<p>7</p> <p>Likelihood = 1 Impact = 7</p>	<p>Likelihood</p> <p>Impact</p>																	
<p>Risk Causes: 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); Increase identification of self-neglect and complexity. Carer strain / resilience.</p> <p>Risk Consequences: Financial damage Legal liability Death/Injury Reputational damage</p> <p>Risk Owner(s): Executive Director People, Director Adult Social Care.</p>	<p>Existing Controls</p> <p>Control</p> <ul style="list-style-type: none"> Annual report shared with Elected Members to allow for scrutiny of progress of the Keep Bristol Safe Partnership (KBSP). Training for all key staff in the essentials of safeguarding. Twice weekly business continuity meeting around supply of commissioned care and active management of waiting list. Improved Data through PowerBI – capturing safeguarding concerns feeding into monthly management operational meetings Safeguarding Discussion Forum – multi-agency held monthly – sharing information on high risk/complex cases 					<p>Mitigating Actions</p> <table border="1"> <thead> <tr> <th>Action Title</th> <th>Due Date</th> <th>Progress</th> </tr> </thead> <tbody> <tr> <td>Demand Management Review (New)</td> <td>March 24</td> <td>0 %</td> </tr> <tr> <td>Workforce - maximising staffing resources within budget (New)</td> <td>Dec 2023</td> <td>0%</td> </tr> <tr> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td></td> <td></td> </tr> </tbody> </table>			Action Title	Due Date	Progress	Demand Management Review (New)	March 24	0 %	Workforce - maximising staffing resources within budget (New)	Dec 2023	0%					
Action Title	Due Date	Progress																				
Demand Management Review (New)	March 24	0 %																				
Workforce - maximising staffing resources within budget (New)	Dec 2023	0%																				
<p>Portfolio Flag: Adult Social Care & Integrated Care System</p> <p>Strategic Theme: Strategy Theme: Our Organisation, Empowering others and Caring, Fair and Inclusive, Well connected, Wellbeing.</p>	<p>Summary of Progress:</p> <p>Risk remains high due to capacity within the adult social care workforce to response to current demand due to staffing levels.</p>																					

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Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p>Risk Title: CRR12 - Emergency planning measures and resources may be overwhelmed by scope and scale of an emergency or incident faced by the council.</p> <p>Description: 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>	<p>Deteriorating</p>	<p>15</p> <p>Impact 5 = Major Likelihood 3 = Likely</p>		<p>9</p> <p>Likelihood = 3 Impact = 3</p>	
<p>Risk Causes:</p> <ul style="list-style-type: none"> -Emergency risks not identified and prepared for. -Lack of trained and available responding staff. -Emergency roles and responsibilities not embedded. <p>Risk Consequences:</p> <p>Increased risk of:</p> <ul style="list-style-type: none"> - Disruption of public services; Disruption of transport networks; Death/injury - Displacement of people 	Existing Controls		Mitigating Actions		
	Control	Action Title	Due Date	Progress	
	1.24/7 Operations Centre provides effective monitoring for the city and a co-ordinary role in response and recovery.	Development and roll out of the Emergency Planning e-learning package	October 2023	60%	
	2. Corporate Resilience Group, overseeing mitigations of contingencies risks identified on the National Security Risk Assessment and delivery of Category 1 Responder duties	Community Resilience Mapping development	October 2023	75%	
	3. Active participation in the Avon and Somerset Local Resilience Forum and close working with multi-agency partners, including training and exercising.	Emergency training – rest centres, humanitarian assistance and training for Marshals currently running	May 2024	70%	
	4. Emergency Plans	Plan and Deliver Corporate exercise	March 2024	50%	
	5. Duty Director rota in place	ERPT Resource Growth bid (New)	March 2024	50%	
	6. Duty Civil Protection Officer and other duty rotas in place (Highways, Dangerous Structures, Public Health, Social Care, etc)	Volunteer Reduction. Need increase. (New)	March 2024	10%	
	7. BCC emergency plan training and exercising in place	Horizon scanning for emerging risks annually (Via CRG, BC Group and LRF)	March 2024	50%	
	8. Monitoring of severe weather events	Public Health demand v standard (New)	March 2024	50%	
9. Close working with Safety Advisory Group for Events					
<p>Risk Owner(s): Executive Director Growth and Regeneration, Director Management of Place.</p>	10. Horizon scanning for emerging risks, including Ukraine war (through CRG, BC Group and LRF)				
<p>Portfolio Flag: City Economy, Finance & Performance</p>	<p>Summary of Progress</p> <p>Updated risk assessment. The lack of resource in EPRT increased the risk profile, however currently reviewing not only risk action detail but also growth case for resource.</p>				
<p>Strategic Theme: Our Organisation, Wellbeing</p>					

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Threat Risk	Trend	Current Risk Assessment	Risk Tolerance Level														
<p>Risk Title: CRR13 - Possible Financial Framework and Medium-Term Financial Plan (MTFP) Failure</p> <p>Description: Failure to be able to reasonably estimate and agree the financial 'envelope' available, both annually and in the medium-term and the council is unable to set a balanced budget.</p>	<p>Improving</p>	<p>21</p> <p>Likelihood = 3 Impact = 7</p>		<p>14</p> <p>Likelihood = 2 Impact = 7</p>													
<p>Risk Causes: 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 & investment Local Government finance settlement from spending review. Continued Impact of Covid-19 on key income sources. Inadequate budgeting & budgetary control/Financial Settlements & 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>Risk Consequences: 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>Existing Controls</p> <p>Control</p> <ol style="list-style-type: none"> 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. Medium Term Financial Plan – Twice yearly update including sensitivity and scenario based financial modelling on all assumptions including inflation and demand growth 		<p>Mitigating Actions</p> <table border="1"> <thead> <tr> <th>Action Title</th> <th>Due Date</th> <th>Progress</th> </tr> </thead> <tbody> <tr> <td>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> <tr> <td>Appropriate Finance Resourcing Improvement (New)</td> <td>March 2024</td> <td>50%</td> </tr> <tr> <td>Robustness of Monitoring and Delivery of Savings (New)</td> <td>March 2024</td> <td>50%</td> </tr> </tbody> </table>			Action Title	Due Date	Progress	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%	Appropriate Finance Resourcing Improvement (New)	March 2024	50%	Robustness of Monitoring and Delivery of Savings (New)	March 2024	50%
	Action Title	Due Date	Progress														
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%															
Appropriate Finance Resourcing Improvement (New)	March 2024	50%															
Robustness of Monitoring and Delivery of Savings (New)	March 2024	50%															
<p>Risk Owner(s): Chief Executive and Director of Finance (S151 Officer).</p> <p>Portfolio Flag: Finance, Governance and Performance</p> <p>Strategic Theme: Our Organisation</p>	<p>Summary of Progress: There has been further discussion on the likelihood during the preparation of the deep dive exercise for Audit Committee and given the ongoing uncertainties nationally and globally this is felt to remain likely, rather than unlikely. Please refer to deep dive report to Audit Committee September 2023.</p>																

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Threat Risk	Trend	Current Risk Assessment	Risk Tolerance Level		
<p>Risk Title: CRR15 – Possible In-Year Financial Deficit</p> <p>Description: The council's financial position goes into significant deficit in the current year resulting in reserves (actual or projected) being less than the minimum specified by the council's reserves policy.</p>	<p>Constant</p>	<p>21</p> <p>Likelihood = 3 Impact = 7</p>	<p>Likelihood Impact</p>	<p>6</p> <p>Likelihood = 2 Impact = 3</p>	<p>Likelihood Impact</p>
<p>Risk Causes: 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 EHCPs, Lack of specialist provision in Bristol, increased compliance to statutory requirements in relation to SEND.</p>	Existing Controls		Mitigating Actions		
	Control		Action Title	Due Date	Progress
<p>Risk Consequences: 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>	<ol style="list-style-type: none"> 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. 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. 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. Policy and Budget Framework - 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. 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. DSG - Early Years Block Task and Finish Group; Vacancy Freeze to manage budget overspend 		DfE Deliver Better Programme	Dec 2023	60%
			Appropriate Finance Resourcing Improvement (New)	March 2024	50%
			Robustness of Monitoring and Delivery of Savings (New)	March 2024	50%
<p>Risk Owner: Director Finance (CFO S151)</p>					
<p>Portfolio Flag: Finance, Governance and Performance</p>	<p>Summary of Progress: At P5 there are significant items being highlighted on the risk and operations log and there are some deep dive actions now required to assure actions around these. Therefore, subsequent to P4 where recovery actions were in place there is now increased likelihood once more around this risk.</p>				
<p>Strategic Theme: Our Organisation</p>					



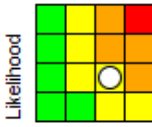
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Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p>Risk Title: CRR18 - Possible failure to deliver enough new homes to meet Mayoral and Annual Business Plan targets.</p> <p>Description: Failure of the City to deliver to the Mayoral 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>	<p>Constant</p>	<p>15</p> <p>Likelihood = 3 Impact = 5</p>	<p>Likelihood Impact</p>	<p>9</p> <p>Likelihood = 3 Impact = 3</p>	<p>Likelihood Impact</p>
<p>Risk Causes:</p> <ul style="list-style-type: none"> -Not enough planning applications submitted -Not enough planning permissions granted -Insufficient housing land identified in strategic planning documents -Inability of the housebuilding industry to deliver at this level Increased uncertainty in the market due to Brexit and Covid-19. <p>Risk Consequences:</p> <ul style="list-style-type: none"> -Reputational damage - Fail to deliver inclusive growth - Increased housing need / homelessness -Increased cost of housing -Failure to retain economically active residents. -Widening gap on demand -Growth of student accommodation retracting 	<p>Existing Controls</p> <p>Control</p>				
	<p>1.Created a single multi-disciplinary Housing Delivery Team</p>	Secure Homes England Affordable Housing Programme Funding	March 2026	60%	
	<p>2.Established a Local Housing Company (Goram Homes). Introduced the Affordable Housing Practice Note.</p>				
	<p>3.Issued grants to Registered Providers (RPs).</p>				
	<p>4.Manage a targeted grant funding programme to subsidise the delivery of affordable homes.</p>				
	<p>5.Required a minimum of 30% affordable housing on land released by the Council.</p>				
	<p>6.Secured additional grant funding for infrastructure. Secured funding from Homes England</p>				
	<p>7.Service Review of Housing Delivery Team</p>				
	<p>8.Worked collaboratively with Homes England</p>				
	<p>9. Strategic City Planning monitor housing completions and future pipeline of consents</p>				
<p>Risk Owner(s): Executive Director Growth and Regeneration, Director Development of Place.</p>	<p>Summary of Progress: Collection of the housing completions figures for 22/23 has now concluded with the final figure confirmed as 1,599.</p>				
<p>Portfolio Flag: Housing Delivery and Homes</p>					
<p>Strategic Theme: Fair and Inclusive</p>					

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Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p>Risk Title: CRR25 – Suitability of Line of Business (LOB) Systems</p> <p>Description: 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>	<p>Constant</p> 	<p>20 Likelihood = 4 Impact = 5</p>		<p>10 Likelihood = 2 Impact = 5</p>	
<p>Risk Causes: 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. Cost avoidance of replacing systems. This is seen as an IT problem, not one for the software system owners.</p> <p>Risk Consequences: 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>Risk Owner(s): Director, Digital Transformation, Senior Information Risk Owner (SIRO) for Cyber Security. Service Areas for BCP/DR.</p> <p>Portfolio Flag: Finance, Governance and Performance</p> <p>Strategic Theme: Our Organisation</p>	Existing Controls		Mitigating Actions		
	Control		Action Title	Due Date	Progress
	1. Auditing of all councils Line of Business (LOB systems)		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%
	2. IT Services highlight risks and shortcomings with systems (in an informal manner) to Heads of Service and Senior Leadership				
	3. Work with Information Governance perpetuate a Cyber Security or Information Management risk are identified and service areas understand the risks to their services.				
Summary of Progress:		Extensive mapping of LOB contracts undertaken and plans underway to commission updated cyber-sec review incl. risks/vulnerabilities in LOB systems. LOBS-specific risks should be identified and assessed individually on a case-by-case basis by the service areas in the council which own and use them.			

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Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p>Risk Title: CRR26 – ICT Resilience May Not Be Effective</p> <p>Description: The Councils ability to deliver critical and key services in the event of ICT outages and be able to recover in the event of system and/or data loss.</p>	<p>Constant</p>	<p>14</p> <p>Likelihood = 2 Impact = 7</p>		<p>10</p> <p>Likelihood = 2 Impact = 5</p>	
<p>Risk Causes: 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>Risk Consequences: Inability to deliver services</p>	<p>Existing Controls</p>		<p>Mitigating Actions</p>		
<p>Risk Owner(s): Chief Executive, Director, Digital Transformation, Service Area Leads.</p>	<p>Control</p>	<p>Action Title</p>	<p>Due Date</p>	<p>Progress</p>	
<p>Portfolio Flag: Finance, Governance and Performance</p>	<p>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.</p> <p>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.</p> <p>3. Moved critical systems to the cloud with more effective DR.</p>	<p>1. Project to move Shared Drives to Cloud</p> <p>2. Removal of legacy hardware from estate</p>	<p>November 2023</p> <p>November 2025</p>	<p>55%</p> <p>50%</p>	
<p>Strategic Theme: Our Organisation</p>	<p>Summary of Progress: Risk level remains unchanged, but work is progressing on key areas, including projects within the Digital Transformation Programme to increase resilience by moving more of our estate to Cloud-based services. However, gaps including failover testing and the need for a wider organisational project on BC/DR are still present.</p>	<p>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</p> <p>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.</p> <p>3. Weekly testing of individual systems restore - The restore of individual systems is tested weekly on a rotational basis</p>			

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Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p>Risk Title: CRR27 – We may fail to Deliver the Capital Transport Programme</p> <p>Description: Management of the overall transport capital programme is key to ensuring we deliver against mayoral priorities in the most cost and time efficient way possible. Failure to do so negatively impacts the council's reputation and finances and makes the council less likely to reduce congestion, air pollution and inequality.</p>	<p>Constant</p>	<p>15</p> <p>Likelihood = 3 Impact = 5</p>	<p>Likelihood Impact</p>	<p>9</p> <p>Likelihood = 3 Impact = 3</p>	<p>Tolerance Likelihood Tolerance Impact</p>
<p>Risk Causes:</p> <ul style="list-style-type: none"> - Overspend on individual schemes leading to uncontrollable cost pressures - Underspend on annual profile - Lack of coordination and programme management across divisions - COVID - 19 - Loss of resource and inability to recruit 	<p>Existing Controls</p>		<p>Mitigating Actions</p>		
	<p>Control</p>		<p>Action Title</p>		
	<p>Biweekly Capital Programme Review Board - Capital Programme review board reviewing timescales and status of the relevant projects.</p>		<p>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</p>		
	<p>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</p>				
	<p>Regular briefings and reporting to senior management and cabinet members.</p>				
	<p>Biweekly capital programme review board - reviewing timescales and status of the relevant projects.</p>				
<p>Risk Consequences:</p> <ul style="list-style-type: none"> - Financial impact - Failure to progress schemes or delays to schemes impact on productivity of city and aims to reduce congestion, air pollution and inequality - Reputation Impact 					
<p>Risk Owner(s): Executive Director Growth and Regeneration, Director Economy of Place.</p>					
<p>Portfolio Flag: Transport (Cllr Alexander)</p>	<p>Summary of Progress:</p> <p>While the action to recruit Agency Staff has been completed which has reduced risk, further staff have left the service and limited recruitment is permitted which increases risk, overall, this is assumed to be a net zero change to risk level</p>				
<p>Strategic Theme: Our Organisation, Wellbeing</p>					

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Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p>Risk Title: CRR29 - Information Security Management System (ISMS) May Not Be Effective</p> <p>Description: There is a risk that if the council does not have an Information Security Management System then it will not be able to effectively manage Information Security risks.</p>	<p>Constant</p>	<p>10</p> <p>Likelihood = 2 Impact = 5</p>		<p>5</p> <p>Likelihood = 1 Impact = 5</p>	
<p>Risk Causes: Ineffective Information Security Management System, inadequate resources to create and maintain an ISMS, management buy in and support to operate an ISMS.</p>	Control		Mitigating Actions		
			Action Title	Due Date	Progress
	<ol style="list-style-type: none"> 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 Security Team Training Meta Compliance tool online to track compliance/engagement of policies 		<ol style="list-style-type: none"> Continue roll out of Policies with oversight from ICGB Information Governance Tool Implement Audit Actions with oversight by IG Board 	<p>December 2023</p> <p>December 2023</p>	<p>90%</p> <p>90%</p>
<p>Risk Consequences:</p> <p>Information security incidents resulting in loss of Personal data or breach of privacy / Confidentiality.</p> <p>Safeguarding data breach impacting on safety of Vulnerable child or adult.</p> <p>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.</p> <p>Increased litigation.</p> <p>Reputational damage.</p>					
<p>Risk Owner(s): Senior Information Risk Owner (SIRO).</p>					
<p>Portfolio Flag: Finance, Governance and Performance</p>	<p>Summary of Progress:</p> <p>No change to current score. Policy work complete, just working through approval and publishing. This is being aligned with both the new corporate policy work, and internal collaboration with IT policies that overlap. Staff awareness is the focus next, alongside the continuous improvement needed to be fully aligned to ISO27001. Work is still ongoing, limited number remaining. Lack of resources within both InfoSec and ICT is causing delays</p>				
<p>Strategic Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing</p>					


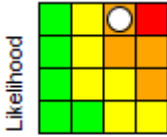

Appendix A – Corporate Risk Register Q2 2023-2024 as at September 2023



Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level																						
<p>Risk Title: CRR37 - Homelessness and the subsequent cost of providing suitable affordable accommodation may affect long-term outcomes</p> <p>Description: The risk that homelessness and the subsequent cost of providing suitable affordable accommodation to meet needs and achieve effective long-term outcomes increases.</p>	<p>Constant</p>	<p>20</p> <p>Likelihood = 4 Impact = 5</p>		<p>9</p> <p>Likelihood = 3 Impact = 3</p>																						
<p>Risk Causes:</p> <ul style="list-style-type: none"> -The ending of the eviction ban -Unemployment and cost of living rising leading to an increase in evictions.; 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 & abuse. Supply of affordable rented housing reducing Increasing popularity of Bristol as a city to move to, and associated increased pressure on demand and cost of private rented accommodation <p>Risk Consequences: 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>	<p>Existing Controls</p> <table border="1"> <thead> <tr> <th>Control</th> <th></th> </tr> </thead> <tbody> <tr> <td> <ul style="list-style-type: none"> 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. Effective Commissioning - Recommission our short-term supported housing (Pathways) accommodation & support contracts - to maximise effectiveness of these resources / funding stream and minimise repeat homelessness. 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 </td> <td></td> </tr> </tbody> </table>					Control		<ul style="list-style-type: none"> 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. Effective Commissioning - Recommission our short-term supported housing (Pathways) accommodation & support contracts - to maximise effectiveness of these resources / funding stream and minimise repeat homelessness. 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 		<p>Mitigating Actions</p> <table border="1"> <thead> <tr> <th>Action Title</th> <th>Due Date</th> <th>Progress</th> </tr> </thead> <tbody> <tr> <td>Changing Futures Programme</td> <td>March 2024</td> <td>40%</td> </tr> <tr> <td>Increase the supply of move on accommodation - RSAP round 5 bid deadline 13th April 2022</td> <td>March 2024</td> <td>60%</td> </tr> <tr> <td>Cost Effective Accommodation - Initiated a project with the aim of reducing the net unit cost of Temporary Accommodation. Opportunities being explored and prioritised.</td> <td>December 2023</td> <td>50%</td> </tr> <tr> <td>Homelessness prevention - review client access - Review how the service and the wider homelessness sector works with clients to identify opportunities for more early intervention and prevention of homelessness</td> <td>September 2023</td> <td>10%</td> </tr> <tr> <td>Submit a bid to Single Homelessness Accommodation Programme (SHAP) to bring on-line additional supported housing</td> <td>September 2023</td> <td>50%</td> </tr> </tbody> </table>			Action Title	Due Date	Progress	Changing Futures Programme	March 2024	40%	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 - review client access - Review how the service and the wider homelessness sector works with clients to identify opportunities for more early intervention and prevention of homelessness	September 2023
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<p>Risk Owner(s): Executive Director Growth and Regeneration, Director Housing</p>																										
<p>Portfolio Flag: Housing Delivery and Homes</p>	<p>Summary of Progress:</p> <p>One of BCC's top priorities is the Temporary Accommodation project and good progress has been made in implementing 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>Strategic Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing.</p>																										

Appendix A – Corporate Risk Register Q2 2023-2024 as at September 2023



Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level																			
<p>Risk Title: CRR39 – Adult and Social Care major provider/supplier may fail to deliver as expected failure</p> <p>Description: 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>	<p>Constant</p> 	<p>15</p> <p>Likelihood = 3 Impact = 5</p>	 <p>Likelihood</p> <p>Impact</p>	<p>14</p> <p>Likelihood = 2 Impact = 7</p>	 <p>Likelihood</p> <p>Impact</p>																		
<p>Risk Causes: - 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> <p>Risk Consequences: 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> <p>Risk Owner(s): Executive Director People, Director Adult Social Care.</p>	<p>Existing Controls</p> <ul style="list-style-type: none"> Daily review of supply and sustainability issues and x3 week business continuity meetings across operations Twice weekly Operational Business continuity meetings Weekly ASC Business continuity meeting – DMT level Weekly produced Sit Rep with information on Covid Outbreak Management, supply, demand, provider quality Regular information received from D&B Credit ratings to help assess financial risk 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 Provider Sustainability Panel is a forum where ASC can assess the financial issues facing individual provider and consider support options Regular meetings with a) key Strategic Providers in the city b) all provider forums and regular dialogue with Care and Support West Care Association Daily assessment of supply - via Brokerage team, Business relationship team and Contracts 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. Provider Failure/Service Interruption Process 		<p>Mitigating Actions</p> <table border="1" data-bbox="1462 491 2204 879"> <thead> <tr> <th>Action Title</th> <th>Due Date</th> <th>Progress</th> </tr> </thead> <tbody> <tr> <td>Provider RAG rating to identify essential / difficult to replace services (New)</td> <td>October 2023</td> <td>10%</td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>			Action Title	Due Date	Progress	Provider RAG rating to identify essential / difficult to replace services (New)	October 2023	10%												
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<p>Portfolio Flag: Adult Social Care & Integrated Care System Strategic Theme: Our Organisation, Empowering others and Caring, Fair and Inclusive, Well connected, Wellbeing.</p>	<p>Summary of Progress: There continues to be evidence that provider failure is likely for some small to medium size organisations which will impact on some vulnerable people.</p>																						

Appendix A – Corporate Risk Register Q2 2023-2024 as at September 2023



Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p>Risk Title: CRR40 – Potential Threat of Unplanned Investment in Subsidiary Companies</p> <p>Description: There is a risk that BCC'S investments in subsidiaries may require greater than anticipated capital investment.</p>	<p>Constant</p>	<p>20 Likelihood = 4 Impact = 5</p>	<p>Likelihood Impact</p>	<p>6 Likelihood = 2 Impact = 3</p>	<p>Likelihood Impact</p>
<p>Risk Causes: 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 & 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 timing of come 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>Risk Consequences: - Financial Loss - Reputational damage to the council - Impact to service provision provided by subsidiary companies</p> <p>Risk Owner(s): Chief Executive and S151 Officer.</p> <p>Portfolio Flag: Finance, Governance and Performance</p> <p>Strategic Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing</p>	Existing Controls		Mitigating Actions		
	Control		Action Title	Due Date	Progress
	1. Audit and Risk Committee - Supports on issues of risk, control and governance		No actions		
	2. Board Effectiveness Reviews to be annual workforce planning				
	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				
4. Effective engagement with BHL re reserved matter decisions and wider engagement with BCC Client teams to review performance, quality and set clear KPIs					
5. Shareholding Group					
6. Weekly progress review provided and regular review of assumptions, cash flow and risks					
<p>Summary of Progress: Assessment remains the same. Potential Financial loss/ need to fund BWC likelihood of this remains high indicated from forecasts received from BWC driven by increased costs from pay negotiations with the unions and other inflationary pressures.</p>					

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Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p>Risk Title: CRR41 – Capital Portfolio Delivery May Fail</p> <p>Description: Capital portfolio is not delivered on time, within budget and does not deliver One City Plan and Corporate Strategy objectives.</p> <p>Risk Causes: 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>Risk Consequences: 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> <p>Risk Owner(s): Executive Director Growth and Regeneration.</p> <p>Portfolio Flag: Mayoral Portfolio and City Economy, Finance & Performance</p> <p>Strategic Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing</p>	<p>Improving</p>	<p>15</p> <p>Likelihood = 3 Impact = 5</p>	<p>Likelihood</p> <p>Impact</p>	<p>6</p> <p>Likelihood = 2 Impact = 3</p>	<p>Likelihood</p> <p>Impact</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		Capital transformation project to develop best practice governance, structure and assurance across whole capital programme.	June 2024	6%
	Internal/External comms factored in into all resource requests to reduce reputational risks				
	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.				
	<p>Summary of Progress: The construction sector while still challenging has become less volatile. The capital portfolio has successfully navigated the challenges of inflation and labour and supply shortages to date at a portfolio level. Returning levels of confidence in capital project & programme cost estimates allow the Council to commit capital confidently. A capital transformation programme has been formally initiated to implement improvements across the capital portfolio to mitigate the risks identified in this item and target better speed, quality and value in delivery.</p>				

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Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p>Risk Title: CRR43 - Lack of progress for Mass Transit may have on Impact on the city</p>	<p>Constant</p>	<p>20 Likelihood = 4 Impact = 5</p>		<p>10 Likelihood = 2 Impact = 5</p>	
<p>Description: Failure of regional authorities to agree way forward for development of a Mass Transit system. No sign up to results of feasibility study.</p>					
<p>Risk Causes:</p> <ol style="list-style-type: none"> 1. Resourcing Business Case development 2. Lack of political consensus 3. Viability of Business Case 4. Lack of DfT support 	Existing Controls		Mitigating Actions		
	Control		Action Title	Due Date	Progress
	<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>				
<p>Risk Consequences:</p> <ul style="list-style-type: none"> Reputational impact. Long term congestion and air pollution increase. Regional productivity reduced. Threat to investment across the city. 					
<p>Risk Owner(s): Executive Director Growth and Regeneration, Director Economy of Place.</p>					
<p>Portfolio Flag: Transport (Cllr Alexander)</p>	<p>Summary of Progress: No change, SOC still due to go to committee in October, no changes to risk level since last assessment.</p>				
<p>Strategic Theme: Our Organisation, Wellbeing.</p>					

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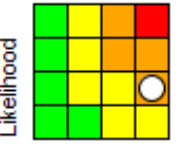
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Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p>Risk Title: CRR45 - Potential failure to deliver statutory duty in respect of Children</p> <p>Description: Failure to deliver statutory duty in respect of the safeguarding of children resulting in harm or death to a child or other unmitigated risk to the local authority</p>	<p>Constant</p>	<p>20</p> <p>Likelihood = 4 Impact = 5</p>		<p>6</p> <p>Likelihood = 2 Impact = 3</p>	
<p>Risk Causes: 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>Risk Consequences: Harm or death of a child Inspection failure and regulatory action Litigation and reputational damage Other unpredicted costs to the LA</p> <p>Risk Owner(s): Executive Director People, Director Children's and Families Services.</p> <p>Portfolio Flag: Children's Services, Education & Equalities</p> <p>Strategic Theme: Our Organisation, Empowering and Caring, Wellbeing.</p>	Existing Controls		Mitigating Actions		
	Control	Action Title	Due Date	Progress	
	1. Benchmarking salaries with regional levels	Implement transformation programme of Children's service	October 2024	20%	
	2. Investing in training and development				
	3. Over-recruiting where required				
	4. Reviewing system pressures and taking action on a weekly basis				
	5. Systemic unit model and integrated locality arrangements				
	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>Summary of Progress: 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. - DfE Grant to improve outcomes for children and linked to Our Families Transformation Programme has been approved and plan is in place to deliver against this over next 2 years. - The progress against the DfE grant and Our Families Transformation programme is monitored through Our Families Board and CLB. The Directorate Improvement Plan encompasses actions against the risks.</p>					


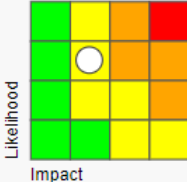
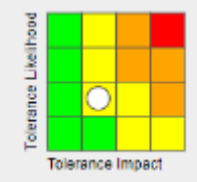
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Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p>Risk Title: CRR48 - We may not be able to meet the affordable housing needs of the city by failing to meet the Project 1000 Delivery targets.</p> <p>Description: Failure of the City 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>	<p>Constant</p> 	<p>21</p> <p>Likelihood = 3 Impact = 7</p>	<p>Likelihood</p>  <p>Impact</p>	<p>14</p> <p>Likelihood = 2 Impact = 7</p>	<p>Likelihood</p>  <p>Impact</p>
<p>Risk Causes:</p> <ul style="list-style-type: none"> - Availability of public subsidy from homes England and challenges in meeting their funding viability and value for money assumptions -reduction in the levels of Capital funding the Council has to support affordable housing delivery by third party providers - the complexity and costs associated with the development of brownfield sites, leading to viability challenges for both direct and 3rd party delivery. - Insufficient land available - continued impact of Covid 19 on the delivery programme of developments in the City - Not enough planning applications submitted - Not enough planning permissions granted and delays within the planning process - Inability of the housebuilding industry to deliver at this level to meet need through the planning system - Increased uncertainty in the market due to Brexit - Lack of capacity within the council's delivery system and the local market - Insufficient housing land identified in strategic planning documents 	Existing Controls		Mitigating Actions		
	Control		Action Title	Due Date	Progress
<p>Risk Consequences:</p> <p>1. Reputational damage; 2. Increased levels of homelessness 3. Increased demand from the private rented sector, (non-affordable), by those in highest need 4. Residualisation of lower value areas of the city; 5. Economic deprivation, poorer health and lower educational attainment of households living in poverty in poor housing conditions with limited tenancy sustainability; 6. Balance between addressing need for family homes V increased viability of delivering smaller units</p>	1. Improved our monitoring of affordable housing delivery and pipeline including identification of where HDT can unblock barriers to delivery.		1. Secure Homes England Affordable Housing Programme Funding	March 2026	60%
	2. Requiring a minimum of 30% affordable housing on land released by the Council.		2. 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.	March 2025	75%
	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.				
	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.				
	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				
<p>Risk Owner(s): Executive Director Growth and Regeneration, Director Development.</p>	<p>Summary of Progress</p> <p>Very little change from previous quarter in what is currently a difficult time for the construction and development sector. A national slow down of market delivery, following the mortgage interest rate rises is not yet being felt significantly in Bristol, where the market remains stable and new delivery continues at the same pace. But this is being constantly monitored, particularly in relation to the HRA acquisitions of new homes at Romney House with Goram and Countryside, our largest current market-led acquisition programme. Its is the longer term, future pipeline of affordable homes that is potentially at risk for the City as costs rise and capacity within the construction sector diminishes.</p>				
<p>Portfolio Flag: Housing Delivery and Homes</p>					
<p>Strategic Theme: Fair and Inclusive</p>					



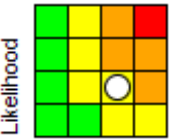
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Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level		
<p>Risk Title: CRR49 - Potential Impact of Weak Workforce Resilience</p> <p>Description: A lack of workforce resilience or capacity to provide statutory services and achieve strategic aims and objectives</p>	<p>Improving</p> 	<p>9</p> <p>Impact 3 = Likelihood= 3</p>		<p>6</p> <p>Impact=3 Likelihood = 2</p>		
<p>Risk Causes: 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>Risk Consequences: 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>	Existing Controls		Mitigating Actions			
	Control		Action Title	Due Date	Progress	
	<ul style="list-style-type: none"> • Agreements in place with employment businesses for the supply of contingent workforce; agency and statement of works • Promotion of apprenticeships and internal progression opportunities • 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 • 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. • Support for managers with future workforce planning and succession planning, with bespoke action plans to target diversity and skills gaps • 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 		<p>Workforce Strategy is currently being refreshed and will have workforce resilience and wellbeing as a primary theme</p>	<p>March 2024</p>	<p>75%</p>	
<p>Risk Owner(s): Chief Executive, Director of Workforce and Change</p> <p>Portfolio Flag: City Economy, Finance & Performance</p> <p>Strategic Theme: Our Organisation</p>	<p>Summary of Progress: The likelihood has been re-assed to Likely, and the impact re-assessed to Moderate. This is because the internal controls in place are effective and targeted work is in place to support services at a higher risk around workforce resilience.</p>					



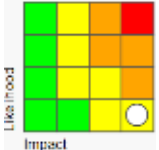
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Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level		
<p>Risk Title: CRR51 - ASC may be financial unsustainable due to national and local pressures leads to a failure to deliver statutory duties and budgetary control</p> <p>Description: 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>	<p>Constant</p> 	<p>21</p> <p>Likelihood = 3 Impact = 7</p>	 <p>Likelihood</p> <p>Impact</p>	<p>10</p> <p>Likelihood = 2 Impact = 5</p>	 <p>Likelihood</p> <p>Impact</p>	
<p>Risk Causes:</p> <ul style="list-style-type: none"> -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. -Increase of needs due to more health services being delivered in the community without appropriate funding following the patient. -Increased complex needs across our demographics that must be met under the Care Act. -Lack of funds available within budget to meet statutory duties. -Lack of systems in order to ensure effective governance and control of all spend. -Pressure from wider system pressures - for example, delays in hospitals which lead to increased long term cost provision for care. -Non-recurrent funding which limits opportunity for long term investment. <p>Risk Consequences:</p> <ul style="list-style-type: none"> - Overspending on the budget which may impact the wider council. -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. 	Existing Controls		Mitigating Actions			
	Control		Action Title	Due Date	Progress	
	<ul style="list-style-type: none"> • Established Care Cubed to improve pricing controls - enabling the service to maximise value for money • Improved Business Intelligence - Developing advanced tools for analysing and reporting business intelligence and performance information • Improved governance process on all spend - Improved case discussion where all spend is approved through tighter governance. • 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 • 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. • Reset the ASC Transformation Programme - Reset the programme to address market provision, workforce challenges, price control, practice and integration 		Strategic Partner (People Too) transformation work (New)	March 2024	15%	
				Develop Single Framework	February 2024	50%
				Increase the take up and opportunity around the use of technology enabled care	Sept 2023	90%
			Review of in-house service provision to deliver efficiencies and savings	Sept 2023	60%	
<p>Portfolio Flag: Children's Services, Education & Equalities</p> <p>Portfolio Flag: Adult Social Care & Integrated Care System</p> <p>Strategic Theme: Our Organisation, Empowering and Caring, Wellbeing.</p>	<p>Summary of Progress:</p> <p>The scale of the savings required against the ASC purchasing budget in the timeframe means that we need to keep this risk in front of CLB as one of the 4 key savings areas for this financial year. That said there is a lot of activity including the newly commissioned strategic partnership with People too. Initial work from them is good, but they have only completed the diagnostic and subject to contracts being signed this month will now progress to the delivery packages. So at this stage we felt it right that the risk rating remains above 20 so that it gets shown at CLB. I would anticipate this risk staying high throughout 23/24 but hopefully dropping down next year as ASC transformation programme savings impact</p>					

Appendix A – Corporate Risk Register Q2 2023-2024 as at September 2023



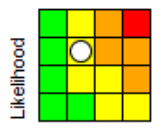


Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level		
<p>Risk Title: CRR52 Possible failure to ensure high rise properties meet safety regulations and Building Safety Act (amended to include compliance with Building Safety Act)</p> <p>Description: Risk of failing to ensure high rise properties meet safety requirements</p>	<p>Constant</p> 	<p>21</p> <p>Likelihood = 3 Impact = 7</p>	 <p>Likelihood</p> <p>Impact</p>	<p>7</p> <p>Likelihood = 1 Impact = 7</p>	 <p>Likelihood</p> <p>Impact</p>	
<p>Risk Causes: Findings from new PAS9980 inspection regime, learning from fires and new regulatory requirements. Difficulty recruiting to new posts and use of interim arrangements due to sector wide capacity issues with recruitment.</p>	Existing Controls		Mitigating Actions			
	Control		Action Title	Due Date	Progress	
<p>Risk Consequences: Risks to personal safety, reputational and legal (financial and criminal), increased insurance costs.</p>	<ul style="list-style-type: none"> Building safety – Building safety team implemented (interim post, see actions) Building safety – Governance structure through H&LS DMT, EDM and CLB Building safety – High Rise Blocks' registered Building safety – Key Building Information in high rise blocks submitted Fire Safety – Delivery teams in place (not fully resourced, see actions) Fire Safety – Implementation of FRA contract/ contractor Fire Safety – Implemented safe escape routes policy (secondary policy which supports the fire safety policy which is under development, see actions) Fire Safety – Informed residents of fire safety strategy for their block (evacuation policy) Fire Safety – interim fire safety manager in post (interim post, see actions) Fire Safety – Tendered FRAEW programme 					
<p>Risk Owner(s): Executive Director Growth and Regeneration, Director Homes and Landlord Service</p>			Complete a review of fire safety policies and processes	Sept 2023	50%	
			Recruitment of interim and Perm HoS to service area	Oct 23	100%	
			Building safety – Address interim posts in key positions of building safety team (New)	March 24	25%	
			Building Safety – Develop strategy and programme following building safety case review from regulator. (New)	Oct 23	90%	
			Building safety – Finalise and implement overarching resident engagement strategy (New)	March 24	50%	
			Building safety – Finalise and implement per block resident engagement strategy (New)	March 24	45%	
			Building Safety – Review performance reporting framework (New)	Dec 23	0%	
			Building safety –Review current governance structure through H&LS DMT, EDM and CLB (New)	Dec 23	100%	
			Building safety, Fire Safety – Comprehensive strategy for both building safety and fire safety for >11-18m stock due to very limited knowledge of 200+ mid-rise buildings (New)	May 24	30%	
	Building Safety- start building safety cases for HRB'S (New)	March 24	100%			
	Building/Fire Safety- develop plan for data, mandatory occurrence reporting, golden thread of information- strategy, data ownership, data storage and reporting software/systems under BSA (New)	March 24	25%			
<p>Portfolio Flag: Housing Delivery and Homes</p>	<p>Summary of Progress: Significant progress has been made in recent months. Ahead of the deadline, all eligible high-rise buildings were registered with the Building Safety Regulator in September 2023. This included also providing the required key building information. Internal governance has been enhanced at all levels of the council to ensure building safety is a focus throughout the organisation, including at Corporate Leadership Board. Work is also moving forward on a resident engagement strategy for building safety, which will involve extensive communication with residents to review what has gone well with engagement so far and what residents would like to see going forward.</p>					
<p>Strategic Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing</p>						

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Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p>Risk Title: CRR53 - Increased social worker and occupational therapists' vacancies and sickness rates may result in vulnerable adults' care being comprised.</p> <p>Description: 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>	<p>Constant</p> 	<p>20</p> <p>Impact = 5 Major Likelihood= 4 Almost Certain</p>		<p>9</p> <p>Likelihood = 3 Impact = 3</p>	
<p>Risk Causes:</p> <ul style="list-style-type: none"> -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. -These vacancies are not distributed equally with some operational teams having nearly 50% vacant posts. -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. -Cost of living crisis is also likely to impact on retention rates of social work staff 	Existing Controls		Mitigating Actions		
<p>Risk Consequences:</p> <ul style="list-style-type: none"> -As a result of this decreased operational capacity this has seen an increase in numbers of people waiting for assessment and reviews (insert data) -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. 	Control	<ul style="list-style-type: none"> • 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. • 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. • Recruitment Strategy - Developed new recruitment strategy and implemented rolling recruitment advert. • Developing enhanced Wellbeing offer for operational staff - dedicated additional resource within Adult Workforce L&D to enhance our wellbeing and support offer. 	Action Title	Due Date	Progress
<p>Risk Owner(s): Executive Director People, Director Adult Social Care.</p>			Commission Workforce Strategy	November 2023	50%
<p>Portfolio Flag: Adult Social Care & Integrated Care System</p>					
<p>Strategic Theme: Our Organisation, Empowering others and Caring, Fair and Inclusive, Well connected, Wellbeing.</p>	<p>Summary of Progress:</p> <p>Workforce capacity remains a significant concern. Two major workstreams in response include:</p> <p>(1) Immediate recruitment and retention activities including Refer a Friend pilot, agency search for permanent social workers, converting establishment from registered social workers to non-registered Social Care Practitioner where feasible. (2) Work with People too and BCC HR on Target Operating Model and Vision for ASC, which will lead to Workforce Strategy.</p>				

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Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level		
<p>Risk Title: CRR54 - Potential Threat of Financial Sustainability of Nursery Schools</p> <p>Description: 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>	<p>Improving</p>	<p>6</p> <p>Likelihood = 3 Impact = 2</p>		<p>6</p> <p>Likelihood = 3 Impact = 2</p>		
<p>Risk Causes:</p> <ul style="list-style-type: none"> Availability of staff to service early years learning Census data weakened to inform on EY sector funding. Government process change. 						
<p>Risk Consequences:</p> <ol style="list-style-type: none"> Increased financial deficits in maintained nursery schools leading to impact on the DSG and long-term sustainability. 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. 	<p>Existing Controls</p>		<p>Mitigating Actions</p>			
	<p>Control</p> <ul style="list-style-type: none"> Identification of potential financial impact Review of progress with agreed actions with targeted nursery schools. Published a council position on the strategic need for nursery schools and key areas where action is required to support sustainability. Individual finance visits to four targeted nursery schools with the largest in-year deficits to create action plans to tackle identified issues. Communication with nursery schools to establish Covid impact and impact on pupil numbers Development of a nursery transformation programme in collaboration with LA maintained nursery school headteachers and governors. Context conversations to capture the strengths and strategic importance of nursery schools as well as the financial and operational challenges. 	<p>Action Title</p> <p>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.</p> <p>Bringing groups of nursery schools together the develop collaborative and federation models that share resources, leadership, skills and expertise.</p> <p>Modelling management of change and collaborate and federation models to inform discussions.</p> <p>Engaging with elected members to review strategic position of nursery schools and how the council can support remodelling and securing future sustainability.</p>	<p>Due Date</p> <p>September 2023</p> <p>September 2023</p> <p>September 2023</p> <p>September 2023</p>	<p>Progress</p> <p>45%</p> <p>50%</p> <p>50%</p> <p>45%</p>		
	<p>Risk Owner(s): Executive Director People, Service Director Education and Skills</p>					
	<p>Portfolio Flag: Children's Services, Education & Equalities</p>		<p>Summary of Progress:</p> <p>Nursery Schools with a deficit have submitted deficit recovery plans that have either been approved by the Section 151 officer or have been rejected requiring further work. Intervention meetings have been held with the Service leader, finance manager, Director of Education and Skills and Leaders from Nursery Settings to update deficit recovery plans to ensure that they are demonstrating an in-year surplus over a period of time. Leaders have been supported to identify and implement ambitious plans of deficit recovery. This information has been shared with Bristol Schools Forum.</p>			
	<p>Strategic Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing</p>					

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Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p>Risk Title: CRR55 - Children placed in unregistered provision may be at risk</p> <p>Description: There is a possible high threat risk for the council regarding children placed in unregistered provision which is unlawful.</p>	<p>Constant</p>	<p>28</p> <p>Likelihood = 4 Impact = 7</p>	<p>Likelihood Impact</p>	<p>14</p> <p>Likelihood = 2 Impact = 7</p>	<p>Likelihood Impact</p>
<p>Risk Causes:</p> <ul style="list-style-type: none"> The causes are placement sufficiency and increased numbers of children coming into care. 	Existing Controls		Mitigating Actions		
	Control		Action Title	Due Date	Progress
<p>Risk Consequences:</p> <ul style="list-style-type: none"> Unlawful placements Negative Legal Impact Negative Ofsted Impact 	<ul style="list-style-type: none"> TBC 		Improve placement sufficiency (New)	March 2025	50%
			Explore with Ofsted more creative solutions	Sept 2023	75%
			Implementation of BCC Families Transformation Programme.	Sept 2023	50%
<p>Risk Owner(s): Executive Director People, Service Director Education and Skills</p>					
<p>Portfolio Flag: Children’s Services, Education & Equalities</p>	<p>Summary of Progress:</p> <p>The number of children placed in unregistered placements has remained 5-8 throughout the period. The numbers have not reduced due to high needs of the children that have required placements and lack of placements.</p>				
<p>Strategic Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing</p>					

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Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level		
<p>Risk Title: CRR56 - Potential threat to the ASC Care Quality Commission (CQC) Assurance Preparedness and Rating (DRR Escalated)</p> <p>Description:</p>	<p>Deteriorating</p>	<p>21</p> <p>Likelihood =3 Impact = 7</p>		<p>2</p> <p>Likelihood = 2 Impact = 1</p>		
<p>Risk Causes New line of work - learning whilst doing with little evidence base or benchmarking to refer to. Programme of work in preparation for inspection hitherto managed within BAU resource which has proved insufficient. Current workforce and operating model pressures are leading to risks to compliance in carrying out statutory duties, e.g. safeguarding, timely Care Act assessments. Data and performance reporting (e.g. locality dashboard) delayed/unfinished.</p> <p>Risk Consequences: People are families are waiting too long to be seen as teams are having to operate waiting lists, including in areas where there should be none, e.g. Safeguarding and First Response. Line of sight of risk is compromised. Individuals may come to harm.</p>	Existing Controls		Mitigating Actions			
	Control		Action Title	Due Date	Progress	
	This is a new area of work, and so current control requirements are emerging as we learn from pilots.		LGA Peer Review (New)	January 2024	0%	
			Reframed Approach to Self-Assessment (New)	December 2023	67%	
			Resourcing Self-Assessment (New)	October 2023	30%	
Risk Owner(s): Director - Adult Social Care						
Portfolio Flag: Adult and Communities – Adult Social Care	<p>Summary of Progress: Risk rating has been increased since the last assessment in view of the fact our self-assessment has not progressed at the pace anticipated due to being competed within existing resources.</p>					
Strategic Theme: Empowering and Caring, Wellbeing Our Organisation						

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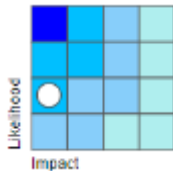



Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level		
<p>Risk Title: CRR57 Possible procurement breaches and compliance with procurement rules & legislation (DRR18 Escalated)</p> <p>Description: Lack of compliance with procurement rules with regards to purchasing and contract management may result in breaches or BCC Procurement Rules and at risk of breaching PCR2015.</p>	<p>Constant</p>	<p>20</p> <p>Likelihood =4 Impact = 5</p>		<p>9</p> <p>Likelihood = 3 Impact = 3</p>		
<p>Risk Causes Poor contract management Lack strategic planning and pipeline awareness.; Supplier preference, unwillingness to tender; Lack capacity withing Procurement & Contract Management Service; Rise of inflation and savings targets</p>	<p>Existing Controls</p>					<p>Mitigating Actions</p>
<p>Risk Consequences: Successful Legal challenge and financial penalty against BCC. Reputational damage due to internal audit scrutiny and external audit publishing.</p>	<p>Control</p>		<p>Action Title</p>		<p>Due Date</p>	<p>Progress</p>
	<p>All procurement breaches to be approved by Executive Directors Breach Dashboard Data Reporting Training</p>		<p>Monthly reporting to Director of Finance on breach activity (New)</p>		<p>March 2024</p>	<p>50%</p>
			<p>Quarterly Members Briefing on Procurement Breaches</p>		<p>March 2024</p>	<p>0%</p>
			<p>Monitoring reports on breach activity to all Directors and Executive Directors on breach numbers, compliance and mitigations.</p>		<p>March 2024</p>	<p>0%</p>
<p>Risk Owner(s): Director: Finance (CFO S151)</p>						
<p>Portfolio Flag: Finance, Governance and Performance</p>	<p>Summary of Progress: In most directorates there has been a reduction in the number of breaches in Q1 FY23/24 compared to Q1 FY22/23, however there have still been 74 breaches (total value £34.8m) in FY23/24 Q1. Numbers were particularly high in Adult Social Care (18) and Children, Families and Safer Communities (26). For context there have been a total of 642 procurement decisions made this quarter (total value £203.0m). CLB have agreed to bring Director led 'deep dive' reports back to CLB to set out how procurement breaches will be reduced.</p>					
<p>Strategic Theme: Our Organisation</p>						

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Opportunity Risks

Opportunity Risk	Trend	Current Risk Assessment		Risk Tolerance Level		
<p>Risk Title: OPP01 - Possible Impact of One City Approach</p> <p>Description: The One City Approach will offer a new way to plan strategically with partners as part of a wider city system.</p>	<p>Constant</p> 	<p>14</p> <p>Likelihood = 2 Impact = 7</p>		<p>28</p> <p>Likelihood = 4 Impact = 7</p>		
<p>Risk Causes: 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>	Existing Controls		Mitigating Actions			
	Control		Action Title	Due Date	Progress	
<p>Risk Consequences:</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</p> <p>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>	<p>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.</p>		<p>Set up Partnership Board</p>	<p>September 2023</p>	<p>80%</p>	
<p>Risk Owner(s): Director Policy, Strategy and Partnerships.</p>						
<p>Portfolio Flag: Finance, Governance and Performance</p>	<p>Summary of Progress: Good engagement with Committee Member Working Group about One City but awaiting future session to confirm the group's view about the model, which will be influential.</p>					
<p>Strategic Theme: Our Organisation</p>						

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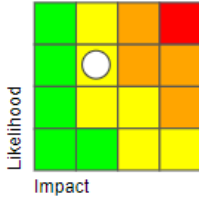
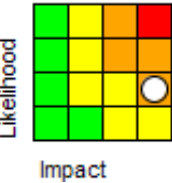


External and Civil Contingency Risks

External and Civil Contingency Risk	Trend	Current Risk Assessment		Risk Tolerance Level		
Risk Title: BCCC1 - Flooding May Impact Public Safety Description: There could be a risk of damage to properties and infrastructure as well as risk to public safety from flooding which may be caused by a tidal surge, heavy rainfall and river flood events.	Constant 	15 Likelihood = 3 Impact = 5		9 Likelihood = 3 Impact = 3		
Risk Causes: -Tidal surge, heavy rainfall, and river flood events -Impact of climate change -Lack of effective flood defences and preparedness for major incidents -Failure of existing flood defences	Existing Controls					
Risk Consequences: -Economic Impacts incl loss of Property -Loss of Life/injury -Reputational Damage	Control	Action Title	Due Date	Progress		
	1. Avon and Somerset Local Resilience Forum - The Avon and Somerset Local Resilience Forum (LRF) is a partnership of all the organisations needed to prepare for an emergency in the LRF area. It includes the emergency services, health services, Maritime and Coastal Agency, Environment Agency, volunteer agencies, utility companies, transport providers and the five councils of Bath and North East Somerset, Bristol, North Somerset, Somerset, and South Gloucestershire. 2. Engagement with external partners to develop flood response plans and procedures - Working with emergency services, local authorities, and other agencies to develop flood response plans and procedures, investigating instances of flooding, training specialist staff in swift water rescue techniques, communicating with housing and business developers to incorporate flood protection into new developments. It provides guidance to members of the public about flooding, including flood warnings and what people can do to help themselves. 3. Local Flood Risk Management Strategy - Bristol has in place a local Flood Risk Management Strategy which comprises of 5 key themes and 43 separate actions in line with Environment Agency's national strategy. The Strategy has used outputs from a number of key studies (which identify the risk of flooding to the city) to structure our response to flood risk management, from emergency management to flood mitigation schemes 4. Regular and Emergency Maintenance and Clearing of Gullies and Culverts – especially in advance of storm warnings 5. Ongoing engagement with Civil Protection unit	Avonmouth Village Flood Scheme Deliver Bristol Avon Flood Strategy Deliver Local Flood Risk Management Actions Frome Catchment Innovation Programme - Development of a number of measures to mitigate flood risk from the river Frome	June 2027 December 2023 February 2030 March 2027	20% 25% 25% 20%		
Risk Owner(s): Executive Director Growth and Regeneration, Director Economy of Place.	Summary of Progress: Overall risk level remains the same. Principal Officer appointed to lead Frome Resilience project which will ease pressure on the team. Work ongoing to revise overall structure and recruit to manager role.					
Portfolio Flag: Climate, Ecology, Energy & Waste and Strategic Planning, Resilience and Flood Strategy						
Strategic Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing.						


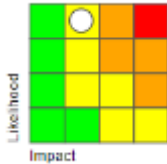
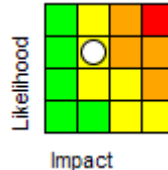
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External and Civil Contingency Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p>Risk Title: BCCC4 – Possible Increase in Winter diseases including COVID-19 and Flu (formerly COVID-19 Population Health)</p> <p>Description: Covid 19 poses 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</p>	<p>Deteriorating</p> 	<p>9</p> <p>Likelihood = 3 Impact = 3</p>		<p>9</p> <p>Likelihood = 3 Impact = 3</p>	
<p>Risk Causes: 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> <p>Risk Consequences: 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.</p> <p>43</p>	Existing Controls		Mitigating Actions		
	Control		Action Title	Due Date	Progress
	1. Daily Situation Reports – weekly from April 2022 and will be produced in current format until 31 March 2023				
	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. 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				
	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				
<p>Risk Owner(s): Executive Directors & Director of Public Health</p>					
<p>Portfolio Flag: Mayor</p>					
<p>Strategic Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing</p>	<p>Summary of Progress: We have seen a new variant emerge internationally (in August 23). National risk assessment undertaken and decision to bring forward covid-19 vaccination from mid-October to 11th of September, as a precautionary approach. Flu vaccination programme has commenced from the beginning of September with focus on 2–3-year-olds initially. Co administration of Covid-19 and flu imms is being recommended where possible. comms is in place to promote immunisations to the public, targeted comms in being shared across our health and SC sector. winter planning for health and care is also in progress. Surveillance at a national / regional level (UKHSA) plus local is established and we have weekly an internal report which will give prompt alert of cases rises to enable targeted support / action where appropriate</p>				

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External and Civil Contingency Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p>Risk Title: BCCC5 - Cost of Living Crisis may have major impact on Citizens and Communities</p> <p>Description: 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 & wellbeing as a result of the ongoing cost of living crisis.</p>	<p>Constant</p> 	<p>12</p> <p>Likelihood = 4 Impact = 3</p>		<p>9</p> <p>Likelihood = 3 Impact = 3</p>	
<p>Risk Causes:</p> <ul style="list-style-type: none"> -Supply chains disruption -Global COVID-19 Pandemic -Brexit -War in Ukraine -Leading to rapid inflation <p>Risk Consequences:</p> <ul style="list-style-type: none"> -Destitution - homelessness -Inability for citizens to pay general services and utilities -Increased debt for citizens and the council -Health and well-being deterioration -Inequity deepening -Increased demand on services across the council leading to failure to meet this demand -Community cohesion deteriorates 	<p>Existing Controls</p>		<p>Mitigating Actions</p>		
	<p>Control</p> <ol style="list-style-type: none"> 1. Baseline / impact assessment to understand potential impact on Bristolians 2. Creation of monitoring framework with 'red flag' indicators 3. Development of civic & community asset map 4. Development of framework for targeted action 5. Data monitoring of key 'red flag' indicators - monitored by the One City and One Council Group 6. Established One Council Group to monitor impact and coordinate action (meeting appx every 3 weeks) 7. Established One City Coordination Group 8. Communication plan in place led by BCC External Communications 9. Bi-weekly meetings of Community Exchange - Meetings with community partners delivering response 	<p>Action Title</p> <ul style="list-style-type: none"> Review and update comms plan for winter 23/24 (New) Update Impact Assessment (New) Work with Quartet to award Social Action Grants (New) 	<p>Due Date</p> <ul style="list-style-type: none"> 31 October 223 30 Sept 2023 31 December 2023 	<p>Progress</p> <ul style="list-style-type: none"> 0% 0% 0% 	
<p>Risk Owner(s): Executive Director People, Director Public Health</p>	<p>Portfolio Flag: Public Health and Communities</p>				
<p>Strategic Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing</p>	<p>Summary of Progress:</p> <p>The cost of living continues to impact on citizens. The threat is assessed as moderate because of the controls we have in place, learning from winter and the benefit of warmer temperatures and lighter evenings. In September we will assess the likely impact for winter 24/25, review risks and mitigations.</p>				



Risk Scoring Matrix

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

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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 Q2 2023-2024 as at September 2023



LIKELIHOOD AND IMPACT RISK RATING SCORING

Likelihood Guidance

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

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

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