

Audit Committee Agenda



Date: Monday, 30 January 2023

Time: 2.00 pm

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

Distribution:

Councillors: Andrew Brown (Chair), Tony Dyer (Vice-Chair), Fabian Breckels, John Geater, Zoe Goodman, Jonathan Hucker, Hibaq Jama, Guy Poultney, David Wilcox, Adebola Adebayo and Simon Cookson – Independent Members

Copies to: Simba Muzarurwi (Chief Internal Auditor), Denise Murray (Director - Finance & Section 151 Officer), Nancy Rollason (Head of Legal Service), Glenn Hammons, Husinara Jones, Alison Mullis, Tony Whitlock, Lucy Fleming (Head of Democratic Engagement) and Ravi Lakhani (Head of Strategic Finance)

Issued by: Allison Taylor, Democratic Services
City Hall, PO Box 3399, Bristol BS1 9NE
E-mail: democratic.services@bristol.gov.uk
Date: Friday, 20 January 2023



Agenda

1. Welcome, Introductions and Safety Information

(Pages 4 - 6)

2. Apologies for absence.

3. Declarations of Interest

To note any declarations of interest from the Councillors. They are asked to indicate the relevant agenda item, the nature of the interest and in particular whether it is a **disclosable pecuniary interest**.

Any declarations of interest made at the meeting which is not on the register of interests should be notified to the Monitoring Officer for inclusion.

4. Minutes of Previous Meeting - To Follow

To agree the minutes of the previous meeting as a correct record.

5. Action sheet - To follow

6. Public Forum

Up to 30 minutes is allowed for this item.

Any member of the public or Councillor may participate in Public Forum. The detailed arrangements for so doing are set out in the Public Information Sheet at the back of this agenda. Public Forum items should be emailed to democratic.services@bristol.gov.uk and please note that the following deadlines will apply in relation to this meeting:-

Questions - Written questions must be received 3 clear working days prior to the meeting. For this meeting, this means that your question(s) must be received in this office at the latest by 5 pm on 24 January.

Petitions and Statements - Petitions and statements must be received on the working day prior to the meeting. For this meeting this means that your submission must be received in this office at the latest by 12.00 noon on **27 January**.



7. Work Programme

To note the work programme.

(Pages 7 - 8)

8. Grant Thornton Value for Money Plan 2022/23

(Pages 9 - 19)

9. Audit Findings Report for 2020/21 - To follow

10. Internal Audit Update Report

(Pages 20 - 25)

11. Internal Audit Exception Report

(Pages 26 - 32)

12. Digital Transformation change and governance update

(Pages 33 - 40)

13. Q3 Corporate Risk Report

(Pages 41 - 91)



Public Information Sheet

Inspection of Papers - Local Government (Access to Information) Act 1985

You can find papers for all our meetings on our website at www.bristol.gov.uk.

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COVID-19 Prevention Measures at City Hall (June 2022)

When attending a meeting at City Hall, the following COVID-19 prevention guidance is advised:

- promotion of good hand hygiene: washing and disinfecting hands frequently
- while face coverings are no longer mandatory, we will continue to recommend their use in venues and workplaces with limited ventilation or large groups of people.
- although legal restrictions have been removed, we should continue to be mindful of others as we navigate this next phase of the pandemic.

COVID-19 Safety Measures for Attendance at Council Meetings (June 2022)

We request that no one attends a Council Meeting if they:

- are required to self-isolate from another country
- are suffering from symptoms of COVID-19 or
- have tested positive for COVID-19

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Public Forum

Members of the public may make a written statement ask a question or present a petition to most meetings. Your statement or question will be sent to the Committee Members and will be published on the Council's website before the meeting. Please send it to democratic.services@bristol.gov.uk.

The following requirements apply:

- The statement is received no later than **12.00 noon on the working day before the meeting** and is about a matter which is the responsibility of the committee concerned.
- The question is received no later than **5pm three clear working days before the meeting**.

Any statement submitted should be no longer than one side of A4 paper. If the statement is longer than this, then for reasons of cost, it may be that only the first sheet will be copied and made available at the meeting. For copyright reasons, we are unable to reproduce or publish newspaper or magazine articles that may be attached to statements.

By participating in public forum business, we will assume that you have consented to your name and the details of your submission being recorded and circulated to the Committee and published within the minutes. Your statement or question will also be made available to the public via publication on the Council's website and may be provided upon request in response to Freedom of Information Act requests in the future.

We will try to remove personal and identifiable information. However, because of time constraints we cannot guarantee this, and you may therefore wish to consider if your statement contains information that you would prefer not to be in the public domain. Other committee papers may be placed on the council's website and information within them may be searchable on the internet.

During the meeting:

- Public Forum is normally one of the first items on the agenda, although statements and petitions that relate to specific items on the agenda may be taken just before the item concerned.
- There will be no debate on statements or petitions.
- The Chair will call each submission in turn. When you are invited to speak, please make sure that your presentation focuses on the key issues that you would like Members to consider. This will have the greatest impact.
- Your time allocation may have to be strictly limited if there are a lot of submissions. **This may be as short as one minute.**
- If there are a large number of submissions on one matter a representative may be requested to speak on the groups behalf.
- If you do not attend or speak at the meeting at which your public forum submission is being taken your statement will be noted by Members.
- Under our security arrangements, please note that members of the public (and bags) may be searched. This may apply in the interests of helping to ensure a safe meeting environment for all attending.



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**AUDIT COMMITTEE
WORK PROGRAMME 2022/23**

Meeting Date	Assurance Source	Report Details	Routine Work Programme/ Other?	ToR Ref	Officer Providing Report
June 2022 3:00PM	External Audit Internal Audit Risk & Insurance	External Audit Plan 2022/3 Internal Audit Annual Report 21/22 Annual Fraud Report 2021/22 Draft Annual Governance Statement 2021/22 Corporate Risk Report (Q4)	Routine Routine Routine Routine Routine	1.8/1.9 1.4 2.4/2.10 2.5/4.4 4.1/4.3	External Audit Lead Chief Internal Auditor Chief Internal Auditor Chief Internal Auditor Risk & Insurance Manager
Jul-22 3:30pm	Finance Other Internal Audit Internal Audit Finance Bristol Holding	Draft Statement of Accounts 2021/22 External Audit Fees report Internal Audit Exception Reporting including Management Action Tracking External Review of BCC Internal Audit Service Q1 - Strategic Risk Report Bristol Holding - Audit and Risk Committee Assurance			Director of Finance Chief Internal Auditor Chief Internal Auditor
Sep-22 2:00 PM	External Audit: Finance: Internal Audit Risk Management: Customer Relations	Audit Plan Treasury Management - Annual Report Final Statement of Accounts and AGS CIPFA Financial Management Code compliance Audit Committee Annual Report to Full Council (Draft) Internal Audit Activity Report SIRO Assurance Report Risk Management Annual Report and Improvement Plan Corporate Risk Report (Q1) Review of Specific Corporate Risk Annual Report of Local Government and Social Care Ombudsman Decisions	Routine Routine Routine Routine Routine Routine Routine Routine Routine	1.8/1.9 3.3 3.1/2.5 5.1 1.5/1.6/1.7 4.1/4.3 4.1/4.3 4.1/4.3 4.1/4.3 1.12	External Audit Lead Director of Finance Chief Internal Auditor Chief Internal Auditor Senior Information Risk Owner Risk and Insurance Manager. Risk & Insurance Manager Customer Relations Manager
November 2022 2:00 PM	External Audit: Finance: Internal Audit:	External Audit Progress Treasury Management Mid-Year Report Internal Audit Half Year Update Counter Fraud Half Year Update Report Audit Committee Half Year Report to Full Council (Draft)	Routine Routine Routine Routine Routine	1.8/1.9/3.2 3.3 1.5/1.6/1.7 2.4./2.10 5.1	External Audit Lead Director - Finance Chief Internal Auditor Chief Internal Auditor Chief Internal Auditor

Meeting Date	Assurance Source	Report Details	Routine Work Programme/ Other?	ToR Ref	Officer Providing Report
		Internal Audit Quality Assurance and Improvement Plan, Charter and Strategy Avon Pension Fund Review of Specific Corporate Risk	Routine	1.1/1.6	Chief Internal Auditor
January 2023 2:00 PM	External Audit:	Audit Findings Report 20/21 Grant Thornton Value for money Plan 22/23	Routine	1.8/1.9/3.2	External Audit Lead
	Internal Audit:	Internal Audit Update Report Internal Audit Exception Report	Routine	1.5/1.6/1.7	Chief Internal Auditor
	Risk Management:	Corporate Risk Report (Q3) Digital Transformation and Governance Update	Routine Routine	4.1/4.3 4.1/4.3	Risk and Insurance Manager Risk Manager / Risk Owner
Mar-23 3:00 PM	External Audit:	External Audit - Audit Plan	Routine	1.8/1.9/3.2	External Audit Lead
	Internal Audit:	Draft Internal Audit Annual Plan Annual Whistleblowing Review Internal Audit External Standards Assessment - Results	Routine Routine One off	1.2 2.4	Chief Internal Auditor Chief Internal Auditor Chief Internal Auditor
	Legal:	Code of Corporate Governance	Routine	2.6	Director: Legal& Democratic Services
	Corporate:	AGS 2020/21 - Actions Tracking Update External Inspections Update	Routine Routine	2.5/4.4/1.7 4.4	Director: Finance Head of Executive Office

Audit Committee

30 January 2023



Report of: *Grant Thornton UK LLP*

Title: *Grant Thornton Value for Money Plan 2022/23*

Ward: *City Wide*

Officer Presenting Report: *Grant Thornton UK LLP*

Recommendation

The Audit Committee note, and comment as appropriate, on Grant Thornton's Value for Money Plan 2022/23

Summary

Attached to this report is Grant Thornton's Value for Money Plan for 2022/23. This sets out the approach to value for money arrangements, initial planning considerations and approach to the work along with a detailed analysis of the significant risks associated with value for money weaknesses.

Policy

None affected by this report. Grant Thornton are the Council's appointed external auditors. In carrying out their audit and inspection duties they have to comply with the relevant statutory requirements, namely the Local Audit and Accountability Act 2014.

Consultation

1. **Internal**
Director of Finance
2. **External**
None

Background and Context

1. Grant Thornton is required to provide a value for money conclusion. This report sets out the planning, timing and scope of the work involved for the 2022/23 assessment.
2. Jon Roberts will be attending the Committee and will be pleased to answer Members' questions.

Other Options Considered

Not applicable

Risk Assessment

None necessary for this report

Public Sector Equality Duties

None necessary for this report

Legal and Resource Implications

Legal

None arising from this report

Financial

None arising from this report.

Land

Not applicable

Personnel

Not Applicable

Appendices:

Appendix 1: Grant Thornton's Value for Money Plan 2022/23

LOCAL GOVERNMENT (ACCESS TO INFORMATION) ACT 1985

Background Papers:

None

Bristol City Council Value for Money

Year ending 31 March 2023

20 January 2023

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Value for Money arrangements

Revised approach to Value for Money work from 2020/21

On 1 April 2020, the National Audit Office introduced a new Code of Audit Practice which comes into effect from audit year 2020/21. The Code introduced a revised approach to the audit of Value for Money (VFM).

There are three main changes arising from the NAO's new approach:

- A new set of key criteria, covering financial sustainability, governance and improvements in economy, efficiency and effectiveness
- More extensive reporting, with a requirement on the auditor to produce a commentary on arrangements across all of the key criteria, rather than the current 'reporting by exception' approach
- The replacement of the binary qualified/unqualified approach to VFM conclusions, with far more sophisticated judgements on performance, as well as key recommendations on any significant weaknesses in arrangements identified during the audit.

The Code require auditors to consider whether the body has put in place proper arrangements to secure economy, efficiency and effectiveness in its use of resources. When reporting on these arrangements, the Code requires auditors to structure their commentary on arrangements under three specified reporting criteria. These are as set out here:



Improving economy, efficiency and effectiveness

Arrangements for improving the way the body delivers its services. This includes arrangements for understanding costs and delivering efficiencies and improving outcomes for service users.



Financial Sustainability

Arrangements for ensuring the body can continue to deliver services. This includes planning resources to ensure adequate finances and maintain sustainable levels of spending over the medium term (3-5 years).



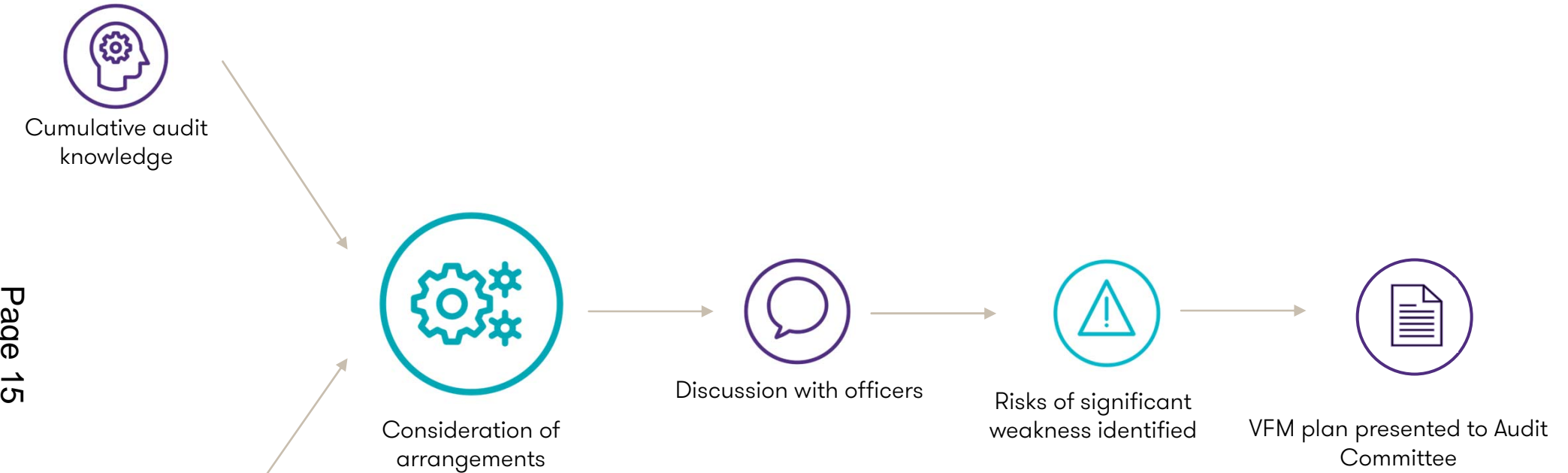
Governance

Arrangements for ensuring that the body makes appropriate decisions in the right way. This includes arrangements for budget setting and management, risk management, and ensuring the body makes decisions based on appropriate information.



Initial planning

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September 2022

September and October 2022

January 2023

Approach

Review to enable commentary on overall arrangements in combination with 2021-22 VFM work.

Risk based procedures focused on identified risks of significant weakness

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Risks of significant weaknesses reported to audit committee



Discussions with officers and members



Review of supporting documents



Further discussions as required



No concerns identified



Work kept under review until Auditor's Annual Report is issued



Risk based procedures undertaken



Additional risks of significant weakness identified



Auditor's Annual Report

November 2022

January 2023

January 2023

February 2023

April 2023

Risks of significant VFM weakness

As part of our planning work, we considered whether there were any risks of significant weakness in the body's arrangements for securing economy, efficiency and effectiveness in its use of resources that we needed to perform further procedures on. The identified risks of significant weakness will be considered as well as follow-up of our findings from the previous year's Auditor's Annual Report.



Setting and managing capital budgets

The annual capital budgets did not reflect actual spend in 2020/21 leading to an improvement recommendation in the Auditor's Annual Report. In 2021/22, the economic climate has led to significant fluctuations in the cost of construction. As a result the Council is reviewing all projects for feasibility. As a result of these factors, there is a risk that the Council's is unable to effectively manage its capital budgets.

Capital budgets

We will review the arrangements for:

- setting and agreeing the capital budgets
- profiling the budgets within year and across a number of years
- monitoring progress against budget
- amending the budgets in-year
- managing the risks associated with the Bristol Beacon, a large complex project.
- reviewing and amending the medium term capital plan in light of the economic climate
- any changes made since the improvement recommendation relating to the Bristol Beacon was issued



The Council's arrangements for securing financial sustainability into the medium term

The Council set a balanced budget for 2021/22, but the longer term picture looks more challenging with a £37.535m gap identified over the Medium Term Financial Plan period to 2027/28. There is a risk that medium term financial plans are not sufficiently developed to close the funding gap, which in turn could impact on the council's ability to deliver services. Due to the inherent uncertainty we have concluded that there is a significant risk of weakness in arrangements for delivering financial sustainability.

We will review the arrangements for:

- the Council's arrangements for identifying and monitoring risks to financial delivery
- the robustness of the council's medium term financial strategy and savings plans.

Risks of significant weakness



Governance arrangements, how the Council ensures it makes informed decisions for its companies and for key decisions relating to high profile transactions

We will review the arrangements to ensure informed decision making for the following:

- the governance arrangements over changes to the Council's Group structure
- procurement processes

Our review will include:

- we will review the governance plans for the formation of new company structures, or amendments to existing structures, and consider whether proposals are in line with public sector laws and regulations

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The current level of spend on Adult Social Care and Children's Social Care is unsustainable

Value for Money work in 2020/21 identified that Bristol City has one of the highest Adult social care costs for Authorities of a comparable size. Liaison meetings with the council in September 2022 also confirmed a significant increase in the cost of Children's social care during 2022/23. There is a risk that with the costs remaining as they are the spend will be unsustainable and will contribute to further financial pressures on the Council's medium Term finances.

We will review the arrangements for:

- the Council's social care transformation programme
- plans to tackle the historic cost pressures
- monitoring spend against budget
- amending the budgets in-year
- reviewing and amending the medium term financial plan in light of the economic climate

At any stage of our new approach to VfM additional risks of significant weakness may be identified, these will be reported to you as they are identified.



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Audit Committee

30th January 2023

Report of: Chief Internal Auditor

Title: Internal Audit Update Report

Ward: Citywide

Officer Presenting Report: Chief Internal Auditor

Recommendations

1. The Audit Committee notes the Internal Audit Update Report highlighting the planned key activities for the rest of the year until 31 March 2023.
2. The Audit Committee agrees to the quarterly audit planning approach with effect from 2023/24.

Summary

The Committee received internal audit and fraud half year reports in November 2022 that provided full details on performance against the approved plan and summary of outcomes from each of the completed reviews. This report seeks to provide the Committee with a high-level update on internal audit priorities in the last quarter of this financial year.

The significant issues in the report relate to:

- Delivery of the 2022/23 internal audit plan
- The implementation of agreed audit actions
- The external assessment of Internal Audit's compliance with the Public Sector Internal Audit Standards
- External review of whistleblowing arrangements
- IT Root Cause Analysis
- 2023/24 Audit Planning Approach
- 2022/23 Annual Governance Statement



Policy

1. Audit Committee Terms of Reference

Consultation

2. **Internal**

Corporate Leadership Board including S151 Officer, Cabinet Member for Governance, Resources and Finance.

3. **External**

Not applicable

Context

4. The role of the Internal Audit function is to provide Members and Management with independent assurance that the control, risk and governance framework in place within the Council is effective and supports the Council in the achievement of its objectives. The work of the Internal Audit team should be targeted towards those areas within the Council that are most at risk of impacting on the Council's ability to achieve its objectives. In addition, the team provide a Counter Fraud Service to the Council to enhance arrangements for the prevention, detection, and investigation of fraud.
5. This report provides an update on internal audit matters. The Committee received comprehensive half year reports in November which provided the Committee and Management with an update on the progress in delivering the approved 2022/23 Audit Plan. This update details the key priorities for the period up to 31 March 2023.

Internal Audit Plan Delivery

6. Work is ongoing to complete the approved 2022/23 internal audit plan. Most of the reviews that are earmarked for completion in Q4 are being scoped and some of them are already work in progress. In the last meeting we reported that we were behind target due to the resources and operational challenges faced in their earlier parts of the year. The Audit Committee were advised about the actions we have taken to ensure that the approved plan is delivered by 31 March 2023.
7. The audit environment remains challenging as the Council continues to operate in circumstances dominated by inflation, the impact of rising costs on budgets and the rising demand for services stemming from Covid. As managers try to deal with these challenges and plan for the coming year, the speed at which internal audits are completed will inevitably slow down impacting on the ability to finalise some reports timely.
8. Another key development that is likely to impact the delivery of planned audit activities is the current OFSTED inspection across the Council's children's services. The inspection started on 9 January until Friday 27 January 2023. This means that Internal Audit needs to give colleagues in

the Children and Education Directorate space and support to ensure a successful inspection. Internal Audit engagement during this time is very limited but we are satisfied that the planned activities in this area will be completed by the end of the financial year.

9. We previously reported about the resourcing challenges faced in the earlier parts of this financial year and the actions that we have taken to reduce the impact on the overall delivery of the approved plan. As reported in the last meeting we are confident that the agreed audit plan delivery target will be met by 31 March 2023.
10. The Audit Committee is requested to note the following two changes to the audit plan:
 - The Homelessness follow up audit has been removed. Other work has been completed in this area and the ongoing IT system replacement is a key part of the improvement actions.
 - The days allocated to the Domestic Violence review have now been allocated to the Food Equality Strategy at the request of management in agreement with the Chief Internal Auditor.

Implementation of Agreed Management Actions

11. A key activity for Internal Audit is following up and reporting on the implementation of agreed management actions. The Council uses the Pentana Audit Management System to monitor and report the implementation of agreed management actions. Management are ultimately responsible for implementing the agreed actions and Internal Audit is responsible for undertaking follow up and ensuring that the progress in the implementation of the actions is monitored and reported to the Corporate Leadership Board and Audit Committee.
12. There is a target that 93% of all actions are implemented by the due date. This target has been consistently achieved over the last reporting periods with significant support from Internal Audit. This positive trajectory will need to be sustained so work is now ongoing to ensure that management can independently review their progress regularly as part of their performance management arrangements. In this quarter Internal Audit will support management in enhancing management processes that ensure timely and robust monitoring of due actions. Once these processes are established, the role of Internal Audit will then be limited to undertaking detailed follow ups and quarterly reporting.
13. The next report on the implementation on agreed action will be presented to the Audit Committee in March 2023.

Independent Review of Whistleblowing Arrangements

14. Consistent with the Internal Audit Charter, Internal Audit manages the Council's whistle-blowing arrangements, including provision of a helpline and, where appropriate, investigates instances of suspected or actual fraud, corruption, or impropriety. To manage the self-review risk, an independent audit is commissioned every two years with outcomes being reported to the Audit Committee and Corporate Leadership Board.

15. An independent review of the Council’s whistleblowing arrangements is currently being undertaken by Devon Audit Partnership. The outcome will be reported to the Committee in March 2023.

IT Root Cause Analysis

16. Following seven IT audits having limited assurance opinions in the last 18 months, the Chief Internal Auditor commissioned the Internal Audit Strategic Partner, KPMG, to undertake a ‘root cause analysis of issues raised in these reports. The purpose of this exercise was to identify the actual causes of the issues raised in supporting IT Management in developing and implementing effective plans for enhancing the IT control environment.
17. The root cause analysis has now been completed and the outcomes have been considered by IT Management. The key outcomes and how they have been used are detailed in the IT Update Report, which is being presented by the Director for Policy, Strategy and Digital at this meeting. It is also intended that this work will be used to determine areas for Internal Audit review during 2023/24.

External Assessment of Internal Audit

18. The Public Sector Internal Audit Standards require every Internal Audit service be reviewed once every five years, by a qualified and independent reviewer, external to the organisation.
19. In July 2022, the Audit Committee endorsed the approach and noted the terms of reference for the required external review of compliance with the Public Sector Internal Audit Standards by Bristol City Council’s Internal Audit Service
20. Consistent with the discussions in July, the external review by Nottingham City Council is currently underway and the resultant outcome will be presented to the Audit Committee in the March meeting.

2022/23 Annual Governance Statement (Statement)

21. The City Council is required by the Accounts and Audit Regulations 2015 to prepare an Annual Governance Statement to accompany its published financial statements. Internal Audit has responsibility for collating assurances in support of the Council’s Annual Governance Statement and for drafting the Statement and facilitating management review.
22. The review process has started and includes examination of a wide range of internal control and governance processes. Senior managers from across the Council and group of companies complete assurance statements for each of their areas acknowledging responsibility for internal control and risk management. Assurances from oversight functions at the Council and external inspections are also used in the review.
23. A draft Statement will be presented to the Audit Committee for consideration in June 2023.

2023/24 Audit Planning Approach

24. The local government sector is faced with major financial pressures resulting in significant levels of organisational change creating uncertainty, complexity and increasing risk. In addition, the impact of the Covid pandemic and the rapidly changing economic and technological environment require organisations to be more agile, innovative and residents focussed. The Council will need to take reasonable measures to mitigate the impact of risks in the event they crystallise.
25. Given the increased complexity and volatility in the risk landscape as well as additional needs to provide insights into emerging risks, Internal Audit will need to adopt approaches that align with the business and implement effective methodologies that anticipate new risks, provide advice, and help to positively manage change.
26. To ensure that Internal Audit focuses on the key and current risks facing the Council, it is proposed that we change from annual audit planning to quarterly audit planning. With a shorter planning period, it means that Internal Audit will be able to focus on the issues that are impacting the business on time and the resultant advice will have an impact on outcomes.
27. The proposal is to develop a plan that covers the first three months of 2023/24 which will be approved by the Audit Committee as the Q1 audit plan in March 2023. In the same meeting the Audit Committee will be requested to note some of the areas that will form part of the following quarter (Q2) which will be approved by the Committee in June 2023. The approach ensures that the Committee has assurance that all known emerging risks are covered and there is an opportunity to reprioritise activities every quarter. The process will be repeated in all other quarters during the year.
28. These quarterly plans will be brought to the Committee to be approved in March 2023, June 2023, September,2023 and November 2023. In essence, the Committee will be requested to approve the firmed plan for the quarter and a flexible plan for the following quarter.
29. There are no other proposed changes to how we determine internal audit priorities, and these will be determined by a risk assessment based on relevance to corporate priorities, level of risk, materiality, and audit history. We will engage with senior management structures as usual and the delivery of internal audit and reporting will be consistent with our internal audit strategy that was approved by the Audit Committee in November 2022.

Audit Committee Development

30. The Chartered Institute of Public Finance and Accountancy (CIPFA) publish guidance to support the establishment and effective operation of audit committees. The guidance covers the core functions of an audit committee, including relevant legislation and professional standards that the members should be aware of and a framework to support the appointment, training and development of audit committee members and resources to enable self-evaluation and improvement planning.
31. In October 2022, CIPFA published the updated Audit Committees: Practical Guidance for Local Authorities and Police 2022.

32. Working with the Audit Committee Chair and Vice Chair, a workshop is being arranged for the first week of February to consider the updated guidance and identify opportunities for further development. Attending the workshop will give the Committee Members the opportunity to self-reflect and agree actions that need to be taken to continuously enhance the effectiveness of the Committee.

Proposal

33. The Audit Committee note this Internal Audit update and approve the quarterly planning approach.

Other Options Considered

34. Not applicable

Risk Assessment

35. The work of Internal Audit minimises the risk of failures in the Council’s internal control, risk management and governance arrangements, reduces fraud and other losses and increases the potential for prevention and detection of such issues. Areas of significant risk are detailed in the report.

Summary of Equalities Impact of the Proposed Decision

No Equality Impact anticipated from this report.

Legal and Resource Implications

Legal - Not Applicable

Financial - Not Applicable

Land - Not Applicable

Personnel - Not Applicable

Appendices:

None

LOCAL GOVERNMENT (ACCESS TO INFORMATION) ACT 1985

Background Papers:

- Public Sector Internal Audit Standards
- Various Audit Files

Audit Committee

30th January 2023



Report of: Chief Internal Auditor

Title: Internal Audit – Exceptions Report

Ward: Citywide

Officer Presenting Report: Chief Internal Auditor

Recommendation

The Audit Committee notes the report and takes assurance from management regarding the issues highlighted in the report.

Summary

This report provides the Committee with summary reports in respect of two areas for which internal audit work has recently been completed. The summary reports are provided in line with routine reporting protocols where a 'limited assurance' opinion is concluded.

The significant issues in the report are:

The two reports with limited assurance opinion are:

- Core Systems Access Controls which is Appendix 1
- Financial Scheme of Delegation which is Appendix 2

Policy

1. Audit Committee Terms of Reference

Consultation

2. **Internal**

Corporate Leadership Board and relevant Senior Management.

3. **External**

Not applicable

Context

4. It is standard practice for the Audit Committee to receive summary reports in relation to all internal audit work concluding 'limited assurance' or 'no assurance'. Since the last Audit Committee meeting in November 2022, two internal audit reviews have been completed and concluded limited assurance. The two reports are:
 - Appendix 1 – Core Systems Access Controls
 - Appendix 2 – Financial Scheme of Delegation
5. Relevant senior managers will be in attendance at the meeting to update the Committee and respond to any questions the Committee may have.

Proposal

6. The Audit Committee notes the report and takes assurance from management regarding the issues highlighted in the report.

Other Options Considered

7. Not applicable

Risk Assessment

8. The work of Internal Audit minimises the risk of failures in the Council's internal control, risk management and governance arrangements, reduces fraud and other losses and increases the potential for prevention and detection of such issues.

Summary of Equalities Impact of the Proposed Decision

No Equality Impact anticipated from this report.

Legal and Resource Implications

Legal

Not Applicable

Financial

Not Applicable

Land

Not Applicable

Personnel

Not Applicable

Appendices:

Appendix 1 – Internal Audit Summary – Core Systems Access Controls

Appendix 2 – Internal Audit Summary – Financial Scheme of Delegation

LOCAL GOVERNMENT (ACCESS TO INFORMATION) ACT 1985

Background Papers:

Various Audit Files

1. Audit Summary – Core Systems Access Controls

Background and Context

- 1.1 The Council has many core IT systems, essential to running the Council, which are used to store, maintain, and access information. The management of user access is a critical control to ensuring that information is available and shared with only with those that require it.
- 1.2 A Logical Access Controls Policy is in place which sets out the requirements to ensure appropriate access control rules are in place across the Council's network and associated systems.
- 1.3 The Internal Audit of Cyber Security in April 2021 identified that regular reviews of user access were not taking place.

Scope and Objectives

- 1.4 The objective of this assignment was to review and assess the effectiveness of core system access controls. The audit aimed to provide an independent opinion on how effectively the risks associated with core system access were managed and provide assurance in respect of the following areas of risk:
 - Policy was inappropriate and not understood by the business.
 - User account provisioning was unauthorised.
 - Leaver account access is not promptly revoked.
 - Access rights were inappropriate for users.
 - Monitoring of user accounts was ineffective.

Audit Opinion

- 1.5 Overall, Internal Audit obtained "**limited assurance**" on the adequacy and effectiveness of the Councils' Core Systems Access Controls arrangements. The risk is unauthorised access to sensitive data.

Key Messages and Findings:

- 1.6 The Logical Access Control Policy was appropriate, but there were significant control issues in the policy implementation and supporting processes. At the initial user provisioning stage for 'starters', controls were good.
- 1.7 Internal Audit raised two high priority and two medium priority findings. It was identified that ongoing monitoring, and prompt revocation controls were poor; there was no clear process to deal with 'movers'. For 'leavers' the HR and ICT processes were not adequately joined up and the current ICT infrastructure did not facilitate effective implementation of the Logical Access Control Policy. Internal Audit testing identified:
 - That 16 of 155 'leavers' sampled had systems access recorded after their official leave date.
 - Three out of four users of one core system had the ability to access the system after their leave date.
 - There was no central record that could be used to identify what systems access an individual holds across the Council's systems.
 - Data inconsistency across HR and ICT systems made reconciliation of user accounts difficult.

Management Response

- 1.8 The findings of the report have been accepted by management who have agreed management actions to address them. These included:

- The Active Directory has been linked to the HR system which ensures that 'leavers' recorded by HR are prevented from accessing the Council's systems relying on domain authentication (single sign on is an example of domain authentication), but this leaves some residual risk for systems where domain authentication was not required. This has also resolved in part the data inconsistency between HR and ICT
- The feasibility of role-based access control implementation is being explored; if this is not possible, other appropriate risk mitigations will be determined
- A new simpler 'leaver process' has been put in place and leaver access to accounts dependent on domain authentication, including email, is now revoked at midnight on their leave date
- For the core IT system reviewed, which does not utilise Domain Authentication and holds highly sensitive information, regular reports were to be obtained to monitor appropriate user access

1. Audit Summary – Financial Scheme Of Delegation

Background and Context

- 1.1 In the Constitution, the Mayor and Full Council delegate certain powers and functions to the Executive Directors. Officer Schemes of Delegation then explain how these powers are delegated onwards to officers across the Council. The Finance Scheme of Delegations (FSOD) details the power that officers have to make decisions on spending and other finance issues, across the Council. It sets out 11 delegated functions, any limitation on the delegation and the officer authorised to enact the delegation. Some work to update the FSOD was undertaken in Autumn 2019; however the published version, which forms part of the Constitution, is dated June 2018.
- 1.2 Since the Council's ways of working were impacted by Covid 19, there has been increased use of digital signatures rather than authorisation by physical signature. Digital signatures are inherently riskier than physical signatures as they may be applied remotely or by a third party with or without the consent of the authorising person.

Scope and Objectives

- 1.3 The objective of this assignment was to review the adequacy and appropriateness of the FSOD and compliance with the scheme. The scope of the assignment included:
- Compliance with the FSOD; priority was given to function 1 – General Expenditure
 - Use of digital signatures.
- 1.4 The scope of the assignment excluded the following areas:
- Section 5 - Asset Leasing
 - Section 7- Disposal of Assets
 - Section 8 - Power to make payments or provide other benefits in cases of maladministration or compensation
 - Section 10 - Write Off of income.

Audit Opinion

- 1.5 Overall, Internal Audit obtained "**Limited Assurance**" on the adequacy and appropriateness of the Council's Financial Scheme of Delegation (FSOD) and compliance with the scheme. The risk is that officers' decision making processes may not follow FSOD requirements and that consequently judgements may be imperfect; however, sample testing did not identify significant non-compliance. Guidance on decision making is also provided in other, more recent Council documents and there is a need to ensure that the FSOD is consistent with these.

Key Messages and Findings:

- 1.6 Internal Audit found that positively:
- 100% of General Expenditure items sampled were approved by the main "authorised officer" in the FSOD
 - 100% of signed procurement request forms and contracts sampled, where the signatory remained in post, the digital signature owner had authorised these documents
 - 'Policy Note Electronic Signatures' has been created to guide employees when using digital signatures; this is available on 'the Source'

1.7 Internal Audit raised one high priority and eight medium findings in respect of the following weaknesses:

- While the FSOD reviews were in progress, a completed annual update had not been published to reflect changes in management structures and changes to job titles
- There was some ambiguity between the FSOD and the Mayor's Scheme of Delegations about the process for emergency payments without budget provision
- The wording of the FSOD is ambiguous about what input is required from a second named officer who is required to be "consulted" and how this should be evidenced; Internal Audit did not find actual incidences where required consultation had not been undertaken in some form
- The links to "additional procedures" in the published FSOD are broken and officers cannot access the further guidance provided
- The FSOD did not identify classes of transactions that were excluded from the scheme, such as technical virements, year-end adjustments, government funded grants; officers' understanding was that these were exempt", which is in-line with the view of the s151 Officer and the purpose of the document
- Some capital budget re-profiling had not been approved in accordance with the FSOD and some amounts re-profiled did not match the amounts approved
- Some budget virements were not being approved by the "authorised officer"
- Some schemes added to the Capital Programme were not approved in accordance with the FSOD
- There was no oversight sampling of transactions to test for the authenticity of the authorisation.

Management Response

1.8 The findings of the report have been accepted by management who have agreed management actions to address them. These include:

- Review of the FSOD to be undertaken and job titles updated with cascade of any changes to the organisation
- Review of the emergency decision framework in the FSOD and update for clarity. Liaise with Mayor's office and ensure consistency between the two documents
- Review and update links on the Source
- Ensure the grants governance documentation are clearly linked through from the FSOD
- Review the implementation of Capital additions and consider update to the FSOD.



Audit Committee

Monday 30 January 2023

Report of:	Tim Borrett, Director: Policy, Strategy and Digital
Title:	Digital Transformation change and governance update
Ward:	Citywide
Member Presenting Report:	N/A

Recommendation

Note the report and steps being taken to address the root causes of low and limited assurance for IT governance.

Summary

In recent years the council has undertaken major digital transformation activity to modernise, improve and secure its IT estate and operations. Whilst much progress has been made, seven internal audits of transformation and associated IT issues have provided only Limited Assurance, highlighting gaps in several areas. These audits and issues have been published and discussed previously. This report summarises activity undertaken since new leadership arrangements took effect in April 2022, plus in-flight work and future plans to address the root causes of this limited assurance.

The significant issues in the report are:

- The root causes of assurance issues most often relate to the themes of Governance; Project Planning and Management; Policies and Procedures; Technical Security Controls; Decentralised IT Functions.
- These are all well-known and recognised by management, with much improvement work already undertaken and more planned over the coming 12-18 months.
- Major changes and in-flight improvements since the focus of previous audits include: new Digital Strategy; updated Digital Transformation Programme with full Programme Management support and embedded Internal Audit assurance; procuring a single Digital Strategic Partner; new approved projects to make further improvements in the digital estate and its security; a centralisation of IT, applications and digital support activity; a pending root-and-branch restructure of the Digital Transformation service.

Background and Context

1. Since April 2021, Internal Audit has undertaken seven IT internal audits and three follow up reviews. Six of these (85%) were assigned a ‘low’ or ‘limited’ level of assurance rating. This has led to a retrospective independent analysis of the reviews to identify root causes of the issues raised, in support of existing work and planning of further activity to enhance the control environment and improve performance.
2. Across seven IT internal audit (ITIA) reports previously presented to this Committee, there were 36 findings which have been classified into 15 risk areas. Analysis has examined the number of times these risk areas appeared in the seven ITIA reports. These 15 risk areas are then grouped into five common themes: Governance; Project Planning and Management; Policies and Procedures; Technical Security Controls; Decentralised IT Functions.
3. The seven audits were:

Review Title	Date	Assurance Rating
Cyber Security (BCC)	May 2021	Limited
IT Transformation Programme Review (ITTP)	May 2021	Limited
Cyber Security BCC Group Companies (controls relevant to BCC arrangements)	October 2021	Limited
IT Resilience	October 2021	Limited
Digital Transformation Programme Governance (Tranche 1)	April 2022	Reasonable
IT Governance Review	May 2022	Limited
Cloud Control Review	August 2022	Limited

Across the five common themes:

- 7 of 7 audits identified risks and issues relating to Governance
- 7 of 7 audits identified risks and issues relating to Project Planning and Management
- 5 of 7 audits identified risks and issues relating to Policies and Procedures
- 4 of 7 audits identified risks and issues relating to Technical Security Controls
- 3 of 7 audits identified risks and issues relating to Decentralised IT Functions

Root Causes

4. Across the five themes, the following root causes have been identified:

Theme	Description of key issue(s)	Root Cause
Governance	There was a lack of consistent oversight from the various committees and groups on IT-related processes.	An ineffective governance structure and lack of awareness of roles and responsibilities.
Project Planning and Management	Projects were not appropriately managed from planning stage to post-completion.	Lack of project management capability and capacity issues.
Policies and Procedures	Fit for purpose documentation was not available or not sufficiently updated to assist staff managing and operating the process.	Lack of monitoring controls and ownership and resourcing / capacity issues
Technical Security Controls	There were insufficient technical security controls in place to identify and prevent compromise of sensitive information and computer systems.	Lack of technical and cyber capability within the Council and a lack of collaboration between governance forums.
Decentralised IT Functions	There was a lack of a centralised approach to IT functions, impacting IT change management and IT resiliency.	Lack of governance oversight.

5. Whilst the themes are recognised and the majority of findings were accepted by management with remedial actions agreed, there are some important points of context to the findings and work to follow:
 - i. Much of the audit activity focused on activity during and shortly following major, complex change to the IT environment following a prolonged period of disinvestment in IT and technology.
 - ii. Many lessons were learned from this, including via Internal Audit activity, and have already been remediated. For example, full professional Project Management support from the council’s Project Management Office was sought. It is notable that the only audit providing Reasonable Assurance was Digital Transformation Programme Governance (Tranche 1), which examined activity which followed this change.
 - iii. There have been some differences of professional view on the proportionality of some IA findings and suggested actions; for example, about whether it is proportional for an organisation of the council’s size, with its increasingly limited resources, to invest in a fully fledged Security Operations Centre and meet other ‘gold standards’ for security, governance and assurance which would require substantial permanent investment.
 - iv. During the time of the audits and since, there have been no major IT outages or security incidents, and key corporate and line of business systems have all met targets relating to their availability.
 - v. Following the departure of the previous Director: Digital Transformation and with a need to reduce senior management cost, the former Chief Executive combined two Director roles to create Director: Policy, Strategy and Digital; with new leadership coming in to effect from April 2022.

Actions since April 2022

6. As new leadership took effect, many of the themes and issues raised in the Internal Audits were recognised and the former Chief Executive had formed a Digital Transformation Programme Board, chaired by the Cabinet Member and executive-chaired by the Chief Executive. This Board includes embedded Internal Audit assurance and representation from senior business users, Finance, Information Governance, Change Services, IT, Citizen Services, Procurement, and Internal Communications. It continues to operate to lead what is now the council’s single Digital Transformation Programme (DTP), which was approved by Cabinet in July 2022. The Board is now chaired by the Director: Policy, Strategy and Digital.
7. A complete refresh of the council’s Digital Strategy was undertaken, providing a high-level strategy and action plan which was developed alongside external experts and with co-production alongside a range of council services and clients. This represents the top of the council’s policy and strategy hierarchy for IT and Digital, and it was approved by Cabinet in June 2022.
8. A Full Business Case (FBC) was developed for the single Digital Transformation Programme, consolidating legacy projects under DTP Board governance and establishing a new set of projects required to progress digital transformation efforts, remediate known issues, undertake ‘must do’ work to maintain and modernise the IT environment. This FBC included inter-project dependency mapping, completing a previous audit recommendation. The Programme includes £18m of investment over three years and was approved by Cabinet in July 2022. All DTP projects produce monthly highlight reports which are review by DTP Board, consolidated (with all Change Services project highlight reports) and provided to Executive Director Meetings and Corporate Leadership Board.
9. A project within the Digital Transformation Programme sought to procure a single Digital Strategic Partner for the council, establishing a five-year contract with a major IT and digital supplier to provide ongoing strategic advice, support and challenge; proactive input to IT and digital policy and strategy; and a full range of IT and digital professional skills which can be drawn upon to support the council’s limited capacity and its range of IT and digital change projects. This project has proceeded on-course and a supplier is anticipated to be appointed in February 2023.
10. As part of the council’s Common Activities Programme, staff roles across the organisation have been

assessed and 35.6FTE decentralised IT-related roles have been centralised. These predominantly related to Applications Support for major line of business IT systems operated in Housing, Finance and Social Care services.

11. A restructure of third tier management arrangements for Policy, Strategy and Digital has been undertaken, reshaping leadership of the division and establishing a new role of Head of Digital Strategy and Transformation. This role is currently being recruited, with a job description which aligns closely to the common themes identified in the audits:
 - i. To lead development, delivery and evaluation of the council’s Digital Strategy and any associated transformation programmes, projects or activity hosted within the Digital Transformation service.
 - ii. To develop, maintain and ensure council-wide implementation of a coherent, well governed IT policy framework, including the provision of reasonable assurance and evidence of its efficacy.
 - iii. To act as principal contract manager and lead officer for the council’s Digital Strategic Partnering arrangement, ensuring it is highly effective, offers best value and realises benefits in delivering demonstrable digital transformation.
 - iv. To provide subject matter expertise in regard to all facets of digital transformation and IT, including the technical, governance and cultural aspects of providing a modern digital transformation function.
 - v. To provide inclusive, collaborative leadership in managing complex relationships across the breadth of services being delivered by Bristol City Council, including via a formal IT Business Relationship Partnering service. Within this, ensure the systematic and effective enacting of digital and IT policy, strategy and standards across diverse business areas outside of the post-holder’s direct hierarchal control. Support all areas of the organisation in relation to annual service planning, identifying ongoing or future requirements for digital and/or IT products and services which are compatible and compliant with the council’s Digital Strategy and related policies.
 - vi. To lead significant improvement in the council’s governance surrounding IT, including compliance in contracting and procurement, management of risk, and approach to Line of Business System management. This includes accountability for exercising significant, effective influence across the council including areas outside of the post-holder’s direct hierarchal control.
 - vii. To work in close partnership with the Head of IT Operations to ensure a seamless, one-team approach to operationalising IT and digital strategy and policy, and to provide visibly joined-up leadership and management across the Digital Transformation service.

12. A full restructure of the Digital Transformation service is currently in development and will establish the Head of Digital Strategy and Transformation’s department, including investment in roles relating to the root causes of low and limited assurance. This will be consulted upon with staff and Trade Unions imminently, and subject to consultation feedback and onward processes to appoint staff, will take effect by the end of Q1 2023/24. It should be noted that due to the council’s significant financial challenges this restructure does not represent overall investment in the service, in fact it will aim to make major financial savings up to circa £1m which will inevitably require challenging decisions about which elements of the service are reduced, removed or otherwise changed to enable it to function within its new budget envelope. In this context, our continued Digital Transformation Programme is critical, as it will remove the need to service a ‘hybrid’ IT environment which has some modernised, cloud-based infrastructure whilst still maintaining traditional on-premises hardware. If the financial savings target is not possible to safely achieve, it will require substitution and work is already underway to scope contingency options including further reviews of third-party spending in addition to one

already undertaken within the Digital Transformation Programme.

13. In addition to the largely strategic work noted above, several operational changes have been made to improve governance, encourage a ‘one council’ culture and mitigate risks. These include:

- i. Re-instating regular senior and operational meetings with the Procurement & Contract Management Service to review procurement needs and contract planning.
- ii. Senior IT representation at Information Governance Board.
- iii. Ensuring major IT change projects run outside the Digital Transformation service are overseen by Digital Transformation Board, e.g. Housing Major Systems replacement.
- iv. Re-instating links to the Connected Bristol service to ensure awareness and alignment of internal IT and digital work with outward-facing work related to the council’s BNET network, CCTV, Operations Centre etc.
- v. Surveying Heads of Service across the council about Business Continuity and IT Resilience, drafting a wider-reaching ICT Response and Recovery Plan.
- vi. Reviewing IT contract register details and working with the Procurement & Contract Management Service to strengthen this.
- vii. Newly established regular Divisional Management Team oversight of key IT operational decisions and minor works.

Proposals

Looking ahead, much work will continue to strengthen the control environment for Digital Transformation over the coming 12 – 18 months, with much of the work due to be complete and starting to realise benefits sooner. This includes:

- i. Completing, launching and embedding the new Digital Transformation service structure; potentially providing improved capacity and skills relating to the key risk areas identified by IA.
- ii. Appointing the Digital Strategic Partner and reviewing the IT and digital policy and strategy framework alongside them.
- iii. Continuing the Digital Transformation Programme, increasing security and resilience with further transition to the Cloud and optimisation of this environment, including actions to address the findings of the Cloud Security audit. Other work in the programme related to the root causes will help the council achieve National Cyber Security Centre ‘Better’ standards for cyber security, and improve project management capabilities with a Project Portfolio Management Tool.
- iv. A review of the IT and digital governance framework to ensure appropriate Boards, group membership, terms of reference and onward reporting within the council’s governance hierarchy are in place and working effectively. This will be complemented by the work on policy refreshes and testing, ensuring that where the council is making mindful risk-based decisions relating to issues like security and resilience, these are recorded in policy, properly assessed and approved with the reasoning explained; rather than relying on custom-and-practice or uncodified policy.
- v. Working alongside Information Security colleagues and a Microsoft partner to improve certain elements of our cyber security. This will start imminently, with a Microsoft partner providing an analysis of our Security Event and Incident Monitoring toolset, to be followed by work to implement any recommendations arising.

In addition (or in some cases as part of) these actions, there will be continued delivery of actions already agreed in response to audits and the following actions will also be added:

Theme	Actions
Governance	<ol style="list-style-type: none"> 1. Per above, revisit the Terms of References of governance committees and groups to confirm the coverage of each group. Review attendance of the groups to ensure they have required

	<p>capability and capacity to provide necessary challenge and oversight.</p> <ol style="list-style-type: none"> 2. Following this, identify dependencies between the governance groups in the Terms of References and subsequently the roles and responsibilities needed to deliver requirements. 3. Ensure appropriate training is provided, where required, to members of the governance groups. 4. Sign off the refreshed Terms of References at the appropriate level.
Project Planning and Management	<ol style="list-style-type: none"> 1. Continue to ensure projects have sufficient resource and project leads and support staff have the required project management skills to deliver large scale, complex IT projects. This will include drawing upon Digital Strategic Partner resource. Any absence of sufficient resource and skills will continue to be escalated to the appropriate Project Board and, where required, Programme Board, to be recorded in the risk register and considered. 2. Management will consider the use of programme assurance partners for the largest projects to help to minimise delivery failure. This will be case-by-case given existing plans for a DTP Benefits and Assurance role; and the support and challenge available from both the Digital Strategic Partner and the council’s internal project management governance framework; which has already been found to provide Reasonable Assurance. Within this, all DTP projects go through a process of internal assurance at project gateways, whereby business cases are peer-reviewed by professional project managers who are independent from the Programme, with assurance ratings reported to the Board to aid decision-making.
Policies and Procedures	<ol style="list-style-type: none"> 1. As part of the previous described review of the policy and strategy framework, a mapping exercise will be undertaken to clearly understand and define which policies should be reviewed and approved by which committees / groups, which will then be agreed by the governance committees and groups. 2. Policies will be added to the council’s overarching policy library and framework, ensuring they are tracked and benefit from appropriately scheduled review and approvals. 3. Any capacity (insufficient staffing) issues faced by IT Services and IG team will be escalated to the appropriate governance group via management reporting and/or risk register. The impact of this should be clearly identified and reported to the governance groups. 4. If more roles are required, clear business cases will be generated to demonstrate the need, urgency and cost benefit analysis of the roles required; and consideration given to utilising temporary or project-based reach-back capacity from the Digital Strategic Partner.
Technical Security Controls	<ol style="list-style-type: none"> 1. Security will be the first area to be reviewed within the policy and strategy framework, and any gaps addressed with appropriate creation or updates of Information Governance and/or Cyber Security policy or strategy; with these providing priorities for specific focus.

	<ol style="list-style-type: none"> 2. We will review past work to risk assess with relevant members of IT and across the council key technical security risks, ensuring this is up-to-date and provides a clear picture of risk and priorities. 3. This will inform evaluation of our security controls and the design of the controls, complementing work within the DTP End User Compute project to achieve the NCSC Better State standard of security. 4. Regular checks will be established to assess the operating effectiveness and continued relevance of the controls. The regularity of this needs to be considered once risk levels are reviewed, with the response and resourcing be proportionate to the risk. 5. Workforce planning activity in Digital Transformation and Information Governance services will consider the need for new or improved capabilities or growth; including building the required skills for newer and evolving areas of the council’s IT and digital estate, such as Cloud. Any need for growth needs to be carefully considered and contextualised within the council’s wider budget pressures and need to provide critical life-and-limb services.
Decentralised IT Functions	<ol style="list-style-type: none"> 1. As part of the previously noted review of governance arrangements, we will consider if and how oversight is needed and/or available of all IT and digital systems and processes, including those dispersed around the council. 2. We will build on recent operational improvements and review and establish (where necessary) processes for regular collaboration between the central IT and divisional IT-related functions. (Noting most IT-specific functions are now already centralised). 3. We will review arrangements to ensure service areas and decentralised functions have clear ownership and understanding of their roles and responsibilities for any IT or digital systems or contracts they own. 4. We will consider with our Digital Strategic Partner whether our strategy, service plans and risks require further consideration of fuller centralisation of IT and digital activity; noting this may come with significant change cost and growth, as much activity in the business is undertaken as opportunity cost by managers.

Timescales for the above actions cannot be confirmed until we have certainty about:

- Successfully appointing our Digital Strategic Partner
- Successfully appointing a Head of Digital Strategy and Transformation
- Consulting upon and successfully implementing (including any recruitment to) the revised Digital Transformation service structure

It is not anticipated that the full scope of actions could realistically be completed in less than 18 months from April 2023, however some would move more quickly, and incremental improvements are anticipated throughout the improvement journey.

Consultation

1. Internal

- SIRO (Senior Information Risk Owner) [Director: Legal and Democratic Services]
- Director: Workforce and Change
- Head of Information Governance
- Head of IT Operations
- Digital Transformation Programme Manager
- Resources EDM
- Chief Executive
- Cabinet Member - Finance, Governance, Property and Culture

2. External

Not applicable

Appendices:

None

LOCAL GOVERNMENT (ACCESS TO INFORMATION) ACT 1985

Background Papers:

None



Audit Committee

Monday 30th January 2023

Report of: Director Finance, S151

Title: Q3 2022/23 Corporate Risk Report Update.

Ward: Citywide

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

Contact Telephone Number: 0117 3576255

Recommendation

.1 The Audit Committee review and comment on the Q3 2022/23 Corporate Risk Report (CRR)

Summary

This report presents the Corporate Risk Report (Appendix A) as at December 2022.

The significant issues in the report are:

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



1 Policy

- 1.1. The Accounts and Audit Regulations 2015 require the council to have in place effective arrangements for the management of risk. These arrangements are reviewed each year and reported as part of the Annual Governance Statement (AGS). The Council is required to comment on the effectiveness of its arrangements in this regard. The statement must also identify any significant governance issues that may have resulted from failures in governance and risk management.
- 1.2. Risk Management is an integral part of good governance to which the Council is committed. Risk Management provides the framework and processes that enables the Council to manage uncertainty in a systematic way. As part of the Risk Management arrangements the Council reviews the Risk Management Assurance Policy on an annual basis.
- 1.3. It is considered good practice to regularly review and update the Risk Management Assurance Policy to ensure it strengthens the Council's approach to its risk management and assurance arrangements.
- 1.4. Ensuring that the Corporate Risk Report (CRR) is soundly based will help the council to ensure it is anticipating and managing key risks to optimise the achievement of the council's objectives and prioritise actions for managing those risks.
- 1.5. 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.
- 1.6. The CRR is a management tool and needs regular review to ensure that the occurrence of obstacles or events that may put individual's safety at harm, impact upon service delivery and the council's reputation are minimised, opportunities are maximised and when risks happen, they are managed and communicated to minimise the impact.
- 1.7. The CRR has been prepared and presented in line with the Risk Management Assurance Policy that was approved by Cabinet in January 2019.

2 Consultation

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

External - None

3 Context

Corporate Risk Register (CRR)

- 3.1. 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 and communicated to minimise the impact.

- 3.2. The Q3 22-23 Corporate Risk Report (CRR) as at December 2022 contained:

Threat Risks	Opportunity Risks	External / Contingency Risks
<ul style="list-style-type: none"> • 1 critical • 21 high • 2 medium 	<ul style="list-style-type: none"> • 1 high 	<ul style="list-style-type: none"> • 1 critical • 1 high • 1 medium

<ul style="list-style-type: none"> • 2 new registers • 1 escalating from service risk registers • 3 improving • 1 closing/replaced • 3 de-escalating to service risk registers 		
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3.3. A summary of risks (Threat and Opportunities) for this reporting period are set out below with full detail available in Appendix A:

Threat Risks

3.4. There is one critical threat risk:

- 'CRR13 - Financial Framework and Medium-Term Financial Plan (MTFP)' The risk rating being $4*7 = 28$ critical threat risk.

3.5. There are two new threat risks:

- 'CRR51 - Risk that ASC financial unsustainability due to national and local pressures leads to a failure to deliver statutory duties and budgetary control'. The risk rating is $3*7 = 21$ high risk.
- 'CRR53 - Risk that increased social worker and occupational therapist vacancies and sickness rates will result in vulnerable adults' care being compromised'. The risk rating is $3*7 = 21$ high risk.

3.6. There is one risk that have been proposed for escalation from service risk registers:

- 'CRR52 - Fire Safety in High Rise residential buildings'. The risk rating is $3*7 = 21$ high risk. This risk has escalated from Growth and Regeneration service risk registers.

3.7. There is one closing Threat Risks:

- 'CRR23 - Adult and Social Care (ASC) Transformation Programme 2020/21-2021/22'. Following a risk workshop with an external risk consultant it was concluded that the Adult Social Care Transformation Programme is a mitigation to respond to a number of issues faced within Adult Social Care. Therefore, this risk has been closed and replaced with new/existing risks such as CRR39, CRR10, CRR51 and CRR53.

3.8. There are three de-escalating threat risks due to improving risk ratings:

- 'CRR50 - Impact of Adult Care Charging Reforms Legislation'. This risk has improved in Q3 from $3*7 = 21$ high risk to $1*7 = 7$ medium risk and such has been proposed for de-escalation to be managed within the People Service Risk Registers.
- 'CRR36 - Risk to delivering required improvements from Ofsted/CQC SEND Inspection.' This risk has improved in Q3 from $2*5 = 10$ medium risk to $2*3 = 6$ medium risk and as such has been proposed for de-escalation to be managed within the People Service Risk Registers.
- 'CRR46 - Increased costs, restrictions and uncertainty of future sufficient insurance cover for higher risk properties'. The risk rating improved from $4*7 = 28$ critical threat risk to $3*5 = 15$ high risk. This risk has been proposed for de-escalation to be managed on the Resources Service Risk Register.

External and Civil Contingency Risks

3.9. There is one critical external risk:

- 'BCCC5 - Cost of Living Crisis impact on Citizens and Communities'. This risk has a risk rating of $4 \times 7 = 28$ Critical risk.

3.10. For more detail on individual risks and their management, please see the attached Appendix A.

3.11. The closed risks are now reflected within individual risks across the Council's Service Risk Registers.

3.12. All risks on the CRR have management actions/controls in place.

3.13. 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.

Additional Information:

3.14. An assessment of the Council's Risk Maturity, Risk Culture and Risk Appetite has been drafted which will feed into a review of the Council's Risk Assurance Policy and Framework over the coming quarters.

Risk Management Framework

3.15. Risk management is the culture, process and structures that are directed towards effective management of potential opportunities and threats to the council achieving its priorities and objectives and a key element of the council's governance framework.

3.16. The risk management framework and process continue to be developed. During 2021/22 and 2022/2023 we have:

- Implemented a new Risk Management Database and risk data migration to the new system. New risk dashboards have been created for every division and directorate of the council to provide detail of their risks and actions in place to mitigate these. In addition, guidance documents and workshops has been provided on the systems' use.
- Workshops and system training provided to all risk owners. All Corporate Risk Owners have had a risk workshop to review their risks, with the majority of corporate risk owners having a risk workshop with an external Risk Consultant.
- Rolled out mandatory Risk Management eLearning for over 100 responsible officers and risk owners.
- The risk process continues to be embedded within the council with Risk and Insurance Colleagues attending where possible all DMTs, EDMs and CLB quarterly to review the identification and management of the council's significant threat and opportunity risks utilising risk dashboards created on our risk management database.
- Quarterly Risk Reporting - The reporting template has been amended for Q4 2021/2022. Internal Controls and Actions have been added to the CRR Appendix

template, replacing the 'What we have done' and 'What we are doing' section – there is ongoing work to accurately capture and review these controls and actions. Actions will include a due date and progress status. In addition, a 'summary of progress' has been included to capture the quarterly update in the management of the Corporate risks.

- The forming of a Corporate Risk Management Group has been agreed at Resources EDM in February 2022.
- An assessment of the Council's Risk Maturity, Risk Culture and Risk Appetite has been drafted which will feed into a review of the Council's Risk Assurance Policy and Framework over the coming quarters. The council's Risk Appetite will be reviewed with senior leadership in January 2023.
- The Decision Pathway risk register will be updated in Q4 linking to the updated council risk appetite.

4) Proposal

- The Audit Committee are requested to receive and note the Risk Management update.
- The Audit Committee review and comment upon the Corporate Risk Report (CRR) as a source of assurance that risk management arrangements are in place.

5) Other Options Considered

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

6) Risk Assessment

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

7) Public Sector Equality Duties

Before making a decision, section 149 Equality Act 2010 requires that each decision-maker considers the need to promote equality for persons with the following "protected characteristics": age, disability, gender reassignment, pregnancy and maternity, race, religion or belief, sex, sexual orientation. Each decision-maker must, therefore, have due regard to the need to:

- i) Eliminate discrimination, harassment, victimisation and any other conduct prohibited under the Equality Act 2010.
- ii) Advance equality of opportunity between persons who share a relevant protected characteristic and those who do not share it. This involves having due regard, in particular, to the need to --
 - remove or minimise disadvantage suffered by persons who share a relevant protected characteristic;
 - take steps to meet the needs of persons who share a relevant protected characteristic that are different from the needs of persons who do not share it (in relation to disabled

people, this includes, in particular, steps to take account of disabled persons' disabilities);

- encourage persons who share a protected characteristic to participate in public life or in any other activity in which participation by such persons is disproportionately low.

- iii) Foster good relations between persons who share a relevant protected characteristic and those who do not share it. This involves having due regard, in particular, to the need to –
 - tackle prejudice; and
 - promote understanding.

7b) No equalities assessment necessary for this report.

8) Legal and Resource Implications

Legal - N/A

Financial - N/A

Land - N/A

Personnel - N/A



Threat Risk Performance Summary

Risk	Page Number	Q4 Rating	Q4 Matrix	Q1 Rating	Q1 Matrix	Q2 Rating	Q2 Matrix	Q3 Rating	Q3 Matrix
CRR13 - Financial Framework and Medium-Term Financial Plan (MTFP)	6	21 	 Likelihood Impact	21 	 Likelihood Impact	28 	 Likelihood Impact	28 	 Likelihood Impact
CRR15 - In-Year Financial Deficit	7	15 	 Likelihood Impact	21 	 Likelihood Impact	21 	 Likelihood Impact	21 	 Likelihood Impact
CRR9 - Safeguarding Vulnerable Children	8	21 	 Likelihood Impact	21 	 Likelihood Impact	21 	 Likelihood Impact	21 	 Likelihood Impact
CRR48 - Failure to meet the affordable housing needs of the City by failing to meet the Project 1000 Delivery target (Replaced CRR32)	9			21 NEW RISK	 Likelihood Impact	21 	 Likelihood Impact	21 	 Likelihood Impact
CRR12 - Emergency planning measures and resources overwhelmed by scope and scale of an emergency or incident faced by the Council	11	21 	 Likelihood Impact	21 	 Likelihood Impact	21 	 Likelihood Impact	21 	 Likelihood Impact
CRR52 - Fire Safety in High Rise residential buildings	12							21 Escalated from service risk registers	 Likelihood Impact
CRR51 - Risk that ASC financial unsustainability due to national and local pressures leads to a failure to deliver statutory duties and budgetary control	14							21 NEW RISK	 Likelihood Impact
CRR53 - Risk that increased social worker and occupational therapist vacancies and sickness rates will result in vulnerable adults' care being compromised	15							20 NEW RISK	 Likelihood Impact
CRR39 - Adult and Social Care major provider/supplier failure	16	21 	 Likelihood Impact	21 	 Likelihood Impact	20 	 Likelihood Impact	20 	 Likelihood Impact

Appendix A – Corporate Risk Register as at December 2022



Risk	Page Number	Q4 Rating	Q4 Matrix	Q1 Rating	Q1 Matrix	Q2 Rating	Q2 Matrix	Q3 Rating	Q3 Matrix
CRR7 - Cyber Security	17	20		20		20		20	
CRR25 - Suitability of Line of Business (LOB) systems	18	20		20		20		20	
CRR40 - Unplanned Investment in Subsidiary Companies	19	15		20 ↓		20		20	
CRR49 – Workforce Resilience	20			21 NEW RISK		20 ↑		20	
CRR41 – Capital Portfolio Delivery	22	20		20		20		20	
CRR37 - Homelessness	24	20		20		20		20	
CRR43 - Lack of progress for Mass Transit Impact on city	26	20		20		20		20	
CRR45 - Failure to deliver statutory duty in respect of Children	27	9		9		15 ↓		15	
CRR10 - Safeguarding Adults at Risk with Care and support needs	28	21		15 ↑		15		15	

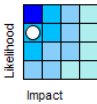
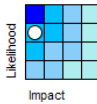
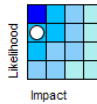
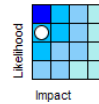
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Appendix A – Corporate Risk Register as at December 2022






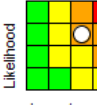
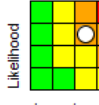


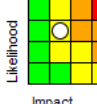
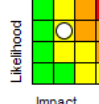


Risk	Page Number	Q4 Rating	Q4 Matrix	Q1 Rating	Q1 Matrix	Q2 Rating	Q2 Matrix	Q3 Rating	Q3 Matrix
CRR6 - Fraud and Corruption	29	15		15		15		15	
CRR27 – Failure to deliver the Capital Transport Programme Delivery	31	15		15		15		15	
CRR5 - Business Continuity and Operational Resilience.	32	15		15		15		15	
CRR26 - ICT Resilience.	33	14		14		14		14	
CRR29 - Information Security Management System (ISMS)	34	15		10		10		10	
CRR4 - Failure to Deliver an effective Corporate Health, Safety and Wellbeing Framework	35	15		15		10		10	
CRR18 - CRR18 - Failure to deliver enough new homes to meet Mayoral and Annual Business Plan targets. (Formerly 'Failure to deliver enough homes to meet the City's needs')	37	15		15		10		10	


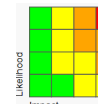
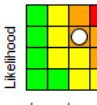
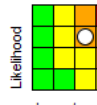
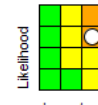
Opportunity Risk Performance Summary

Risk	Page Number	Q4 Rating	Q4 Matrix	Q1 Rating	Q1 Matrix	Q2 Rating	Q2 Matrix	Q3 Rating	Q3 Matrix
OPP1 - One City Approach	38	21		21		21		21	

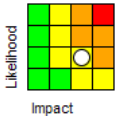
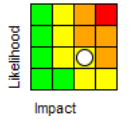
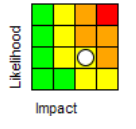
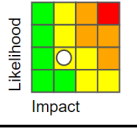
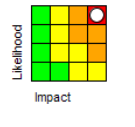
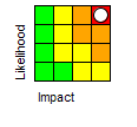
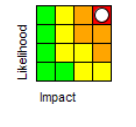
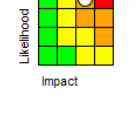
External and Civil Contingency Risk Summary

Risk	Page Number	Q4 Rating	Q4 Matrix	Q1 Rating	Q1 Matrix	Q2 Rating	Q2 Matrix	Q3 Rating	Q3 Matrix
BCC5 - Cost of Living Crisis impact on Citizens and Communities	39			28 NEW RISK		28		28	
BCC1 - Flooding	40	15		15		15		15	
BCC4 - Winter diseases including COVID-19 and Flu (formerly COVID-19 Population Health)	41	15		15		9 ↑		9	




Closing/De-escalating Risks

Risk	Page Number	Q4 Rating	Q4 Matrix	Q1 Rating	Q1 Matrix	Q2 Rating	Q2 Matrix	Q3 Rating	Q3 Matrix
CRR51e - Impact of Adult Care Charging Reforms Legislation	N/A					21 NEW RISK		7 Risk De-escalating	
CRR23 - Adult and Social Care (ASC) Transformation Programme 2020/21-2021/22	N/A	15		15		15		Risk Replaced	Risk Replaced

Appendix A – Corporate Risk Register as at December 2022

CRR36 - Risk to delivering required improvements from Ofsted/CQC SEND Inspection	N/A	10 -		10 -		10 -		6 Risk De-escalating	
CRR46 - Increased costs, restrictions and uncertainty of future sufficient insurance cover for higher risk properties	N/A	28 NEW RISK		28 -		28 -		15 Risk De-escalating to DRR	

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.

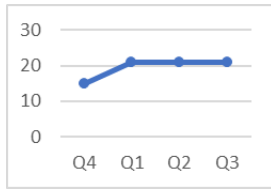
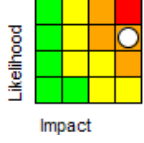
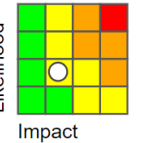
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Appendix A – Corporate Risk Register as at December 2022

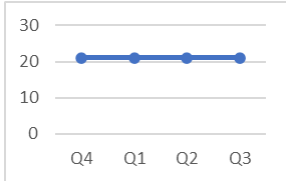
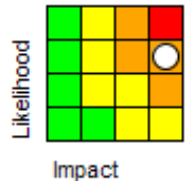
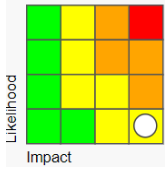
Threat Risks

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level																						
<p>Risk Title: CRR13 - Financial Framework and Medium-Term Financial Plan (MTFP)</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>Constant</p>	<p>28 Likelihood = 4 Impact = 7</p>		<p>14 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>1. Implementation of CIPFA Financial Management Code</td> <td>December 2022</td> <td>40%</td> </tr> <tr> <td>2. Review of financial outlook assumptions</td> <td>June 2022</td> <td>100%</td> </tr> <tr> <td>3. Undertake annual financial resilience assessment - Links to CIPFA Action</td> <td>June 2022</td> <td>100%</td> </tr> <tr> <td>4. Fully refreshed MTFP report to Cabinet in October</td> <td>September 2022</td> <td>100%</td> </tr> <tr> <td>5. Establishing the Business & Budget Planning Board to oversee development of budget</td> <td>February 2023</td> <td>100%</td> </tr> <tr> <td>6. Making representation to government departments in relation to: - the likely costs at a local level for the proposed Adult Social Care reforms</td> <td>March 2024</td> <td>0%</td> </tr> </tbody> </table>				Action Title	Due Date	Progress	1. Implementation of CIPFA Financial Management Code	December 2022	40%	2. Review of financial outlook assumptions	June 2022	100%	3. Undertake annual financial resilience assessment - Links to CIPFA Action	June 2022	100%	4. Fully refreshed MTFP report to Cabinet in October	September 2022	100%	5. Establishing the Business & Budget Planning Board to oversee development of budget	February 2023	100%	6. Making representation to government departments in relation to: - the likely costs at a local level for the proposed Adult Social Care reforms	March 2024	0%
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<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: Savings have been formulated to address budget gap. This is now going through consultation with aim of producing a balanced budget in February. Once a balanced budget has been approved the likely hood of this risk reduces.</p>																									

Appendix A – Corporate Risk Register as at December 2022

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level		
<p>Risk Title: CRR15 – 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 style="font-size: 24pt; font-weight: bold;">21</p> <p>Likelihood = 3 Impact = 7</p>		<p style="font-size: 24pt; font-weight: bold;">6</p> <p>Likelihood = 2 Impact = 3</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	
	1. BCC Financial Framework - BCC’s Financial framework ensures that we have in place sound arrangements for financial planning, management, monitoring and reporting through to Corporate Leadership Team and Cabinet.		1.DSG - Analysis for Further Mitigations	August 2022	100%	
	2. Deep Dives on non-containable pressure areas - We have continual oversight and ongoing management of the council’s financial risks and deep dives in areas reported of non-containable pressures.		2. DSG - Phase 2 Programmes	April 2022	100%	
	3. Ensuring engagement at local, regional and national level - in round table and working groups to keep abreast the spending review, Business Rates retention and new funding formulas for Local Government. To ensure funding for Bristol is maximised and impact of changes are fed into our long-term financial planning and strategic planning.		3. DSG - Proposal for Phase 3 Educations Transformation Programme	August 2022	100%	
	4. Policy and Budget Framework - The Policy and Budget Framework provides clear guidance in relation to the approval process for supplementary funding both capital and revenue.		4. On-going process to develop, identify and delivery in-year mitigating actions	March 2023	75%	
	5. Re-assessment of service delivery risks and opportunities and risk and other reserves - We will carry out frequent re-assessment of service delivery risks and opportunities and risk and other reserves.					
	6. DSG - Detailed Management Plan Based on DfE Framework - A detailed Management Plan is in development, using the DfE’s recommended framework - The deficit and development of the plan was discussed with the DfE in Spring 21. The DfE were not requesting a formal submission at this time.					
	7. DSG - Early Years Block Task and Finish Group					
	8. Vacancy Freeze to manage budget overspend					
<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>	<p>Summary of Progress: There is a vacancy freeze in place to manage budget overspend in addition to specific service mitigations that are also in place (Primary and Secondary mitigations).</p>					
<p>Risk Owner(s): Director of Finance (S151 Officer).</p>						
<p>Portfolio Flag: Finance, Governance and Performance</p>						
<p>Strategic Theme: Our Organisation</p>						

Appendix A – Corporate Risk Register as at December 2022

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level																											
<p>Risk Title: CRR9 - 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 	<p>Existing Controls</p> <p>Control</p> <ul style="list-style-type: none"> • DCS quarterly assurance report to Corporate Leadership Board and action taken to address areas for improvement • Inspections and Peer Reviews - Recent inspection activity (Inspection of Local Authority Children's Services) and peer review indicates that progress has been made across services in ensuring children/adults are safeguarded. (Sep 2018 and Dec 2021) • Quality assurance and performance framework in place and reported on at regular intervals through to cabinet members and Scrutiny – which has been strengthened recently. • 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. • Strategic Risk assurance 					<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>Reviewing areas of specific vulnerability and implementing improvements</td> <td>December 2022</td> <td>61%</td> </tr> <tr> <td>Reviewing national serious case reviews on the back of recent high profile child deaths through multiagency safeguarding arrangements</td> <td>December 2022</td> <td>30%</td> </tr> <tr> <td>Additional training in relation to professional curiosity</td> <td>Sept 2022</td> <td>81%</td> </tr> <tr> <td>New Quality Assurance Processes – including targeted mentoring and training for social workers</td> <td>Sept 2022</td> <td>100%</td> </tr> <tr> <td>Mapping Gaps on service provision – working with Police to address capacity issues identified in targeted services</td> <td>Ongoing</td> <td>76%</td> </tr> <tr> <td>Draft revised Threshold Document which is due to be approved by Keeping Bristol Safe Partnership over the next quarter.</td> <td>January 2023</td> <td>90%</td> </tr> <tr> <td>Procure a strategic partner to undertake work regarding extra familial harm and with our children who go missing from home or care.</td> <td>April 2023</td> <td>80%</td> </tr> <tr> <td>Working with Cornwall as part of Sector Led Improvement to review our place-based leadership arrangements and prevention of care offer.</td> <td>March 2023</td> <td>90%</td> </tr> </tbody> </table>			Action Title	Due Date	Progress	Reviewing areas of specific vulnerability and implementing improvements	December 2022	61%	Reviewing national serious case reviews on the back of recent high profile child deaths through multiagency safeguarding arrangements	December 2022	30%	Additional training in relation to professional curiosity	Sept 2022	81%	New Quality Assurance Processes – including targeted mentoring and training for social workers	Sept 2022	100%	Mapping Gaps on service provision – working with Police to address capacity issues identified in targeted services	Ongoing	76%	Draft revised Threshold Document which is due to be approved by Keeping Bristol Safe Partnership over the next quarter.	January 2023	90%	Procure a strategic partner to undertake work regarding extra familial harm and with our children who go missing from home or care.	April 2023
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<p>Risk Consequences:</p> <ul style="list-style-type: none"> -Harm - serious injury or death of a children -Regulatory enforcement action -Litigation -Other unpredicted financial cost to the Local Authority 	<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: Demand continues to increase for services due to: 1. The aftermath of Covid, which has had an impact on the emotional health of adolescents. 2. Increase in children seeking asylum. 3. Cost of living crisis.</p>																														
<p>Strategic Theme: Our Organisation, Empowering</p>																															

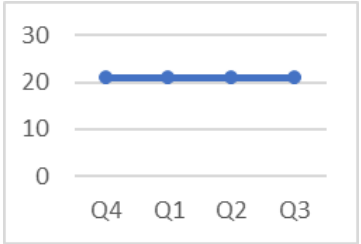
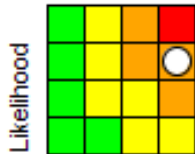
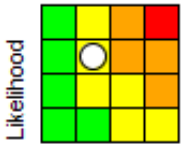
Appendix A – Corporate Risk Register as at December 2022

and Caring, Wellbeing.

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level											
<p>Risk Title: CRR48 - Failure to meet the affordable housing needs of the City by failing to meet the Project 1000 Delivery targets. (Replacing CRR32)</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 style="text-align: center;">Constant</p> <table border="1"> <caption>Trend Data</caption> <thead> <tr><th>Quarter</th><th>Value</th></tr> </thead> <tbody> <tr><td>Q4</td><td>0</td></tr> <tr><td>Q1</td><td>20</td></tr> <tr><td>Q2</td><td>20</td></tr> <tr><td>Q3</td><td>20</td></tr> </tbody> </table>	Quarter	Value	Q4	0	Q1	20	Q2	20	Q3	20	<p style="font-size: 2em; font-weight: bold;">21</p> <p>Likelihood = 3 Impact = 7</p>	<p style="font-size: 0.8em;">Likelihood</p> <p style="font-size: 0.8em;">Impact</p>	<p style="font-size: 2em; font-weight: bold;">14</p> <p>Likelihood = 2 Impact = 7</p>	<p style="font-size: 0.8em;">Likelihood</p> <p style="font-size: 0.8em;">Impact</p>
Quarter	Value														
Q4	0														
Q1	20														
Q2	20														
Q3	20														
<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 <p>Risk Consequences:</p> <ol style="list-style-type: none"> 1. Reputational damage 2. Increased levels of homelessness 3. Increased demand from the private rented sector, 	Existing Controls		Mitigating Actions												
	Control		Action Title	Due Date	Progress										
	<ol style="list-style-type: none"> 1. Improved our monitoring of affordable housing delivery and pipeline including identification of where HDT can unblock barriers to delivery. 2. Requiring a minimum of 30% affordable housing on land released by the Council. 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 		<ol style="list-style-type: none"> 1. Bid for second round funding through OPE BFLR fund to unlock a second CLH site. 2. Develop the Housing Delivery Plan 2022-25. 3. Review & amend the Affordable Housing Practice note in 2021/22. 4. Revised Affordable Housing Funding Policy 2022-2025 5. Secure Homes England Affordable Housing Programme Funding 6. Develop new practice notes on affordable housing delivery through Build to Rent and First Homes 	<p>July 2022</p> <p>December 2022</p> <p>July 2022</p> <p>March 2022</p> <p>March 2026</p> <p>April 2022</p>	<p>100%</p> <p>100%</p> <p>100%</p> <p>100%</p> <p>40%</p> <p>100%</p>										

Appendix A – Corporate Risk Register as at December 2022

<p>(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>		<p>7. Plan and establish a monthly Project 1000 working group to oversee all affordable housing development activity, monitor and manage risk and unblock internal barriers to delivery</p>	<p>August 2022</p>	<p>100%</p>
<p>Risk Owner(s): Executive Director Growth and Regeneration, Director Development.</p>		<p>8. Develop a new framework of appraisal parameters and agree a clear funding programme approach for HRA delivery</p>	<p>October 2022</p>	<p>95%</p>
		<p>9. Review structure and capacity of current Housing Delivery Team to ensure the team has the ability to meet Project 1000 and HRA Business plan targets for direct delivery</p>	<p>December 2022</p>	<p>100%</p>
		<p>10. Maximise capital funding from Homes England, WECA and DLUHC to address the complexities and additional costs of delivering an affordable housing programme on brownfield sites, including looking at ways of developing a strategic approach with key funding partners to meet infrastructure and abnormal costs.</p>	<p>March 2025</p>	<p>50%</p>
<p>Portfolio Flag: Housing Delivery and Homes</p>	<p>Summary of Progress: Affordable housing delivery remains challenging for the city and longer-term interventions / new housing projects are unlikely to impact significantly on the emerging pipeline of completions for 2023/24/5 but will support high levels of delivery in the years beyond Project 1000. Providers are reporting increasing concerns with the increased costs and supply in construction materials and labour, which coupled with the likelihood of rent capping and a downturn in property values, are creating viability gaps in scheme appraisals. Strategies around addressing these gaps are being discussed at a both a scheme-by-scheme level and more strategically with Homes England. Focus is currently on unblocking and accelerating the current programme of HRA, Goram and third-party sites to protect and maintain forecasts. Work around property acquisitions and changes of use to council buildings to deliver a new supply of affordable Temporary Accommodation will add to the current completions pipeline.</p>			
<p>Strategic Theme: Fair and Inclusive</p>				

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level																																															
<p>Risk Title: CRR12 - Emergency planning measures and resources 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>Constant</p> 	<p>21 Likelihood = 3 Impact = 7</p>		<p>9 Likelihood = 3 Impact = 3</p>																																															
<p>Risk Causes: Emergency risks not identified and prepared for. Lack of trained and available responding staff. Emergency roles and responsibilities not embedded.</p>	<p>Existing Controls</p> <table border="1"> <thead> <tr> <th>Control</th> <th>Mitigating Actions</th> </tr> </thead> <tbody> <tr> <td>1. 24/7 Operations Centre provides effective monitoring for the city and a co-ordinatory role in response and recovery.</td> <td>1. Emergency training – rest centres, humanitarian assistance and training for Marshals currently running</td> </tr> <tr> <td>2. Corporate Resilience Group, overseeing mitigations of contingencies risks identified on the National Security Risk Assessment and delivery of Category 1 Responder duties</td> <td>2. Plan and Deliver Corporate exercise</td> </tr> <tr> <td>3. Active participation in the Avon and Somerset Local Resilience Forum and close working with multi-agency partners, including training and exercising</td> <td>3. 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<p>Risk Consequences: Increased risk of: - Disruption of public services - Disruption of transport networks - Death/injury - Displacement of people</p>																																																			
<p>Risk Owner(s): Executive Director Growth and Regeneration, Director Management of Place.</p>																																																			

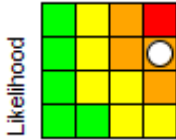
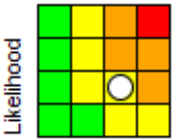
Appendix A – Corporate Risk Register as at December 2022

Portfolio Flag: City Economy, Finance & Performance	Summary of Progress: The likelihood and impact of a civil emergency overwhelming BCC's capacity to respond unfortunately remains high. A combination of risks documented in the National Security Risk Assessment, such as severe weather and terrorism, and additional risks such as the ongoing threat of further Covid waves and the cost-of-living crisis and associated risk of civil unrest, layered on the difficult situation the Council and other responding agencies find themselves following Covid and as a result of financial pressure, mean it is not possible to reduce this risk score. Although good and well drilled mitigations are in place, capacity to maintain a response to multiple pressures is stretched.																							
Strategic Theme: Our Organisation, Wellbeing																								
Threat Risk		Trend	Current Risk Assessment		Risk Tolerance Level																			
Risk Title: CRR52 - Fire Safety in high Rise residential buildings Description: Risk of failing to ensure high rise properties meet safety requirements		Escalated from Service Risk Registers	<div style="text-align: center;"> 21 Likelihood = 3 Impact = 7 </div>		<div style="text-align: center;"> 7 Likelihood = 1 Impact = 7 </div>																			
Risk Causes: Findings from new PAS9980 inspection regime, learning from fires and new regulatory requirements. Difficulty recruiting to new posts and conducting service review resulting in no additional dedicated resources with responsibility for building safety cases and resident engagement.																								
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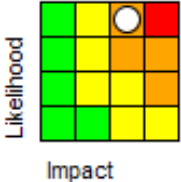
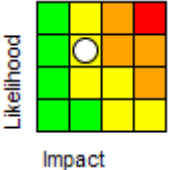
	<ul style="list-style-type: none"> • Separate contractual arrangements are held for FRA’s and remedial works 	
<p>Portfolio Flag: Housing Delivery and Homes</p>	<p>Summary of Progress: Work to commence to review alternative structure options to ensure additional required fire safety resources can be secured. Procurement activity is underway to secure companies who can work with us to complete PAS9980 assessments and tender in progress secure a contractor to carry our Fire Risk Assessments,</p>	
<p>Strategic Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing</p>	<p>A temporary project team is in place reviewing our fire safety approach, work includes: introducing waking watch and simultaneous evacuation policies, leading a programme of communication and engagement events for residents, reviewing associated policies, building new budget requirements and procuring contracts as previously detailed. As part of the 2023/24 budget setting process we are ensuring sufficient resources are in place to fund the waking watch and we are developing an EPS removal programme and options for an sprinkler programme</p>	

Appendix A – Corporate Risk Register as at December 2022

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level																				
<p>Risk Title: CRR51 - Risk that ASC financial unsustainability 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>	New Risk	<p style="text-align: center;">21</p> <p style="text-align: center;">Likelihood = 3 Impact = 7</p>	 <p style="text-align: center;">Likelihood</p> <p style="text-align: center;">Impact</p>	<p style="text-align: center;">10</p> <p style="text-align: center;">Likelihood = 2 Impact = 5</p>	 <p style="text-align: center;">Likelihood</p> <p style="text-align: center;">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. 	<p style="text-align: center;">Existing Controls</p> <table border="1"> <thead> <tr> <th>Control</th> </tr> </thead> <tbody> <tr> <td> <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. 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Appendix A – Corporate Risk Register as at December 2022

<p>Portfolio Flag: Children’s Services, Education & Equalities</p> <p>Portfolio Flag: Adult Social Care & Integrated Care System</p>	<p>Summary of Progress: The likelihood of this risk is under constant review as it may increase in coming weeks due to the significant financial pressures on the health and social care system in Bristol (and nationally), combined with winter pressures. Bristol is one of the worst performing health systems in terms of discharge from hospital and addressing this puts considerable pressure on social care. This risk continues to be managed in the same three ways referenced in the last quarter i.e. day to day performance improvement, the ASC Transformation programme, and the health and social care integration programme. The Council's focus on budget setting for 2023/24 during October and November has reviewed the absolute requirements for the Council to meet its statutory requirements under the Care Act. The financial support announced by the Chancellor in November is being reviewed to understand the extent to which the ASC and Health elements will be able to help mitigate this risk escalating.</p>
<p>Strategic Theme: Our Organisation, Empowering and Caring, Wellbeing.</p>	

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level		
<p>Risk Title: CRR53 - Risk that increased social worker and occupational therapist vacancies and sickness rates will result in vulnerable adults’ care being compromised.</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>New Risk</p>	<p>20 Likelihood = 3 Impact = 7</p>		<p>9 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 <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. <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"> • 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. 	<p>Action Title</p>	<p>Due Date</p>	<p>Progress</p>	
			<p>Review AMHP Market Supplement</p>	<p>January 2023</p>	<p>75%</p>	
			<p>Recruit Non- registered Social Care Practitioners to bolster workforce - Agreed to recruit Social Care Practitioners and OT aides on a fixed term basis to off sent challenges in recruiting registered staff. Cost will be covered by SW vacancies and underspend and can offer some mitigation. Historically we have more success and recruiting and retaining non-registered staff than SW and OT roles.</p>	<p>October 2022</p>	<p>100%</p>	

Appendix A – Corporate Risk Register as at December 2022

Portfolio Flag: Adult Social Care & Integrated Care System	<p>Summary of Progress: Operational capacity within ASC continues to be stretched. Currently average practitioner capacity sits at 70% which includes vacancies and all absences. This varies significantly across teams and localities with 3 operational teams below 50%.</p> <p>This has been impacted further by delays resulting from further vacancy management and dispensation process.</p>
Strategic Theme: Our Organisation, Empowering others and Caring, Fair and Inclusive, Well connected, Wellbeing.	

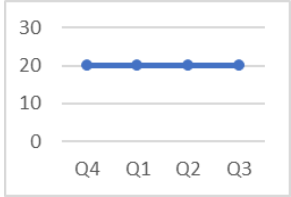
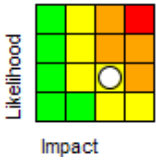
Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level		
<p>Risk Title: CRR39 – Adult and Social Care major provider/supplier failure</p> <p>Description: Failure or potential degradation of ASC service provision linked to a complex set of internal / external risks causing service interruption or cessation. Failures or closures in the supply chain mean insufficient supply to source adequate appropriate support and meet Care Act needs.</p>	<p style="text-align: center;">Constant</p>	<p style="font-size: 24pt; margin: 0;">20</p> <p style="margin: 0;">Likelihood = 4 Impact = 5</p>		<p style="font-size: 24pt; margin: 0;">14</p> <p style="margin: 0;">Likelihood = 2 Impact = 7</p>		
<p>Risk Causes: - Provider goes into liquidation or ceases operations - Provider unable to meet demand due to recruitment / workforce/ or organisational issues.</p> <p>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>	Existing Controls		Mitigating Actions			
	<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 	Action Title	Due Date	Progress		
	Review of Provider Financial Sustainability process	December 2022	25%			
	Proud to Care Programme	March 2023	50%			
	Fair Cost of Care exercise	October 2022	100%			
	Cost of Living Work	October 2022	100%			
	Update of Provider Failure Procedure	December 2022	50%			

Appendix A – Corporate Risk Register as at December 2022

	resources. <ul style="list-style-type: none"> Provider Failure/Service Interruption Process
Portfolio Flag: Adult Social Care & Integrated Care System	Summary of Progress: Providers have approached the council highlighting the significant increases due to cost of living. The energy costs will particularly impact 'building based' services such as care homes and it is clear that will be organisations reducing or closing services in the coming months and some have already indicated their intention to do this. The risk to the health and wellbeing of service users is mitigated by having well established procedures to manage care home / service closures and commissioning options to secure capacity. The risk remains the same risk score as Q2. There has been some handbacks of care contracts in the last quarter.
Strategic Theme: Our Organisation, Empowering others and Caring, Fair and Inclusive, Well connected, Wellbeing.	

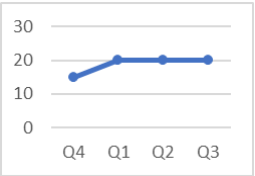
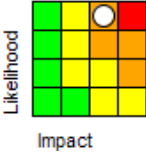
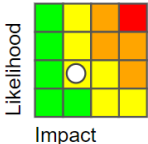
Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
Risk Title: CRR7 – Cyber Security Description: The Council's risk level in regard to Cyber-security is higher than should be expected.	Constant 	20 Likelihood = 4 Impact = 5		5 Likelihood = 1 Impact = 5	
Risk Causes: <ul style="list-style-type: 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. Risk Consequences: <ol style="list-style-type: none"> Information security incidents resulting in loss of personal data or breach of privacy / confidentiality. Safeguarding data breach impacting on safety of vulnerable child or adult. Risk of breaching the regulations and being subject to penalties/fines - Regulations Fines increasing from up to £500,000 to 10-20m Euros of 4% of global turnover, enforced by the Information Commissioners Office on behalf of the European Union. Increased litigation. Reputational damage. 	Existing Controls				
	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	December 2022	75%
	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	December 2022	80%
	4. Security team training				

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Risk Owner(s): Chief Executive, Senior Information Risk Owner (SIRO).					
Portfolio Flag: Finance, Governance and Performance	Summary of Progress: Ever present risk, the impact still remains significant posing a major threat to the Council. No change to the score at this time, the Council is also facing challenges around recruitment which are having an impact on this risk. Progress is being made in addressing some large and complex areas of concern, such as the creation of a Security Operations Centre (SOC) & configuration and updates of our Security Incident Event Monitoring (SIEM). In reviewing the risk, satisfied that the threshold for a Critical Impact is not met, therefore risk score remains unchanged				
Strategic Theme: Our Organisation					
Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
Risk Title: CRR25 – Suitability of Line of Business (LOB) Systems 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 Legacy data used for current work (GDPR) 6. Lack of Information (Cyber) Security controls 7. High cost where alternative core Council solutions exist	Constant 	20 Likelihood = 4 Impact = 5		10 Likelihood = 2 Impact = 5	
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.	Existing Controls		Mitigating Actions		
	Control	Action Title		Due Date	Progress
	1. Auditing of all councils Line of Business (LOB systems)	1.Undertake comprehensive review of all software systems and identify potential risks (as per threat risk description). Place all risks into an Operational Risk format. Risks will be scored and any known mitigation noted. This will be presented to CLB for further review and to agree action plan.		December 2022	100%
	2. IT Services highlight risks and shortcomings with systems (in an informal manner) to Heads of Service and Senior Leadership	2.Channel Shift Project - Review legacy line of business systems with the view to rationalising and replacing either by building on existing internal platforms such as dynamics or via procurement of new products and better utilisation of functionality.		February 2028	0%
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	3. Work with Information Governance perpetuate a Cyber Security or Information Management risk are identified and service areas understand the risks to their services.				

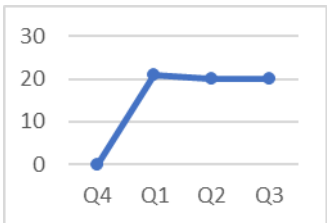
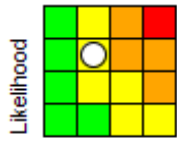
Appendix A – Corporate Risk Register as at December 2022

transformation. May feed into Information (Cyber) Security risks.	
Risk Owner(s): Director, Digital Transformation, Senior Information Risk Owner (SIRO) for Cyber Security. Service Areas for BCP/DR.	
Portfolio Flag: Finance, Governance and Performance	Summary of Progress: Sub-risks of the individual applications that make up this overarching risk are continuing to be added by the Risk team and each of those need mitigating individually.
Strategic Theme: Our Organisation	

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p>Risk Title: CRR40 – 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</p> <p>Likelihood = 4 Impact = 5</p>		<p>6</p> <p>Likelihood = 2 Impact = 3</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., recyclate market, housing market, volatility in gas and electric market prices, delays in timing of income from customer heat network connections), failure to secure planning etc. Delivery of BE2020 wind up within financial envelope. Legislation changes. Cyber Security - risk that key systems are compromised and that sensitive data is stolen Failure to develop and grow commercial trading activities</p>	<p>Existing Controls</p>				
<p>Risk Consequences:</p>	<p>Control</p> <ol style="list-style-type: none"> Audit and Risk Committee - Supports on issues of risk, control and governance Board Effectiveness Reviews to be annual workforce planning 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 Effective engagement with BHL re reserved matter decisions and wider engagement with BCC Client teams to review performance, quality and set clear KPIs Shareholding Group Weekly progress review provided and regular review of assumptions, cash flow and risks 	<p>Action Title</p> <ol style="list-style-type: none"> Align Risk Management Arrangements Between BCC/BHL BCC Capital Strategy limits BCC exposure to loans Business Plan for Bristol Heat Network Business Plan for Holding Companies 23/24 	<p>Due Date</p> <ol style="list-style-type: none"> September 2022 December 2021 March 2022 March 2023 	<p>Progress</p> <ol style="list-style-type: none"> 20% 100% 50% 0% 	

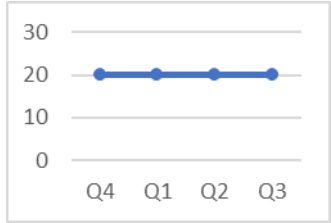
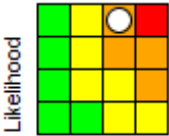
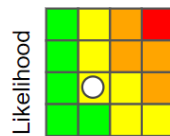
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<ul style="list-style-type: none"> - Financial Loss - Reputational damage to the council - Impact to service provision provided by subsidiary companies 		5. Business Plan for Holdings Companies	March 2022	100%		
<p>Risk Owner(s): Chief Executive and S151 Officer.</p>		6. Capital Programme	March 2022	100%		
<p>Portfolio Flag: Finance, Governance and Performance</p>	<p>Summary of Progress: Risk exists and assessment remains same due to continued pressures in BWC.</p>					
<p>Strategic Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing</p>						
Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level		
<p>Risk Title: CRR49 - Workforce Resilience</p>	<p>Constant</p> 	<p style="text-align: center;">20</p> <p>Likelihood = 4 Impact = 5</p>		<p style="text-align: center;">9</p> <p>Likelihood = 3 Impact = 3</p>		
<p>Description: A lack of workforce resilience or capacity to provide statutory services and achieve strategic aims and objectives</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</p>	<p style="text-align: center;">Existing Controls</p>		<p style="text-align: center;">Mitigating Actions</p>			
<p style="text-align: center;">Control</p>				<p style="text-align: center;">Action Title</p>	<p style="text-align: center;">Due Date</p>	<p style="text-align: center;">Progress</p>
<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 				<p>Analysis of staff feedback (from surveys and team discussions) to take targeted action to support the resilience and wellbeing of the workforce. This includes the introduction of workshops, e-learning resources, training courses, coaching and advice, in addition to the Employee Assistance Programme</p>	<p>October 2022</p>	<p>100%</p>
				<p>Workforce Strategy is currently being refreshed and will have workforce resilience and wellbeing as a primary theme</p>	<p>October 2022</p>	<p>75%</p>

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<p>HSE/Legal action Reputational damage Poor customer satisfaction leading to complaints and requests for compensation</p>	<ul style="list-style-type: none"> • 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 • Introduction of an agile self-assessment form - for managers to discuss with team members and put in place actions to help ensure a workplace that is suitable for their physical and mental wellbeing • Prioritisation of tasks to better manage workforce pressures 	
<p>Risk Owner(s): Chief Executive, Director of Workforce and Change</p>	<p>Summary of Progress: This risk remains as High due to the adverse impact of the budget saving proposals may have on workforce resilience and wellbeing, and the impact of the continued vacancy freeze and the likely impact on service resilience.</p> <p>Mitigation includes an enhanced wellbeing support package, including on-line resources, drop-in sessions, a refreshed stress risk-assessment, bespoke packages for teams. HR and health and wellbeing colleagues are working with managers to support their teams through change.</p> <p>With regards the vacancy freeze, a dispensation process is in place for essential posts</p>	
<p>Portfolio Flag: City Economy, Finance & Performance</p>		
<p>Strategic Theme: Our Organisation</p>		

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level																
<p>Risk Title: CRR41 – Capital Portfolio Delivery</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>Constant</p> 	<p>20</p> <p>Likelihood = 4 Impact = 5</p>		<p>6</p> <p>Likelihood = 2 Impact = 3</p>																
<p>Risk Causes:</p> <p>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:</p> <p>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</p>	<p>Existing Controls</p> <p>Control</p>					<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>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</td> <td>31 August 2022</td> <td>100%</td> </tr> <tr> <td>Internal/External comms factored in into all resource requests to reduce reputational risks</td> <td>October 2022</td> <td>100%</td> </tr> <tr> <td>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.</td> <td>October 2022</td> <td>100%</td> </tr> <tr> <td>Commissioned capital strategic partner</td> <td>February 2021</td> <td>100%</td> </tr> </tbody> </table>				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	31 August 2022	100%	Internal/External comms factored in into all resource requests to reduce reputational risks	October 2022	100%	Additional headroom in MTFP assumptions to manage inflationary and supply chain issues - Change Services PMO have regular Highlight reports submitted to G&R Board from key and/or large capital programmes and projects. This is now ongoing.	October 2022
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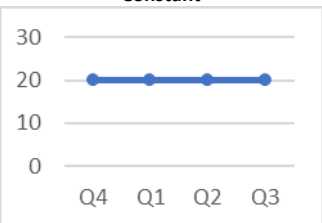
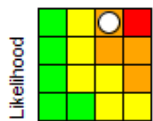
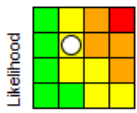
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<p>to deliver outcomes to secure strategic objectives</p>	
<p>Risk Owner(s): Executive Director Growth and Regeneration.</p>	
<p>Portfolio Flag: Mayoral Portfolio and City Economy, Finance & Performance</p> <p>Strategic Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing</p>	<p>Summary of Progress: The main risks and mitigation actions remain similar to last reporting cycle. The previous note addresses the governance measures implemented to provide grip over the capital portfolio. This note sets out some of the key areas of risk with high impact scores and discuss management plans / mitigation strategies and why they are scored a such:</p> <p>Communities / Social: The capital portfolio contains works that if delayed could have a severe but manageable negative impact on vulnerable groups/individuals (school places, affordable homes, transport infrastructure etc). Management responses to risk areas below will help manage the impact on this.</p> <p>Environmental: The capital portfolio is a high waste creator and polluter. It also offers significant opportunity to construct and install tech and infrastructure essential to meeting strategic aims and reducing its negative impact on the environment in the delivery phase.</p> <p>Delivering sustainable projects within policy is now more prevalent but there is significant opportunity to improve. Capital Projects Service is collaborating with Sustainable City and Climate Change Service to develop a Bristol Capital Sustainability Standard. This will set out a strategic plan for environmental sustainability across the whole of Bristol City Council's capital portfolio. It contains objectives for the portfolio as a whole and guidance to help delivery staff understand the relevance to their projects. It will provide a set of metrics to track the sustainability performance of the capital portfolio. It will provide advice on what individual projects should report on to feed into these metrics. It will provide an approach to addressing sustainability across the lifecycle of a capital project.</p> <p>This is being piloted currently in Capital Strategic Partnership commissions.</p> <p>Consider adding the capital portfolio as a strategic opportunity to support attainment of strategic environmental goals. Public realm, building asset operation, energy creation & distribution, sustainable transport, ways of working, modern methods of construction can all make significant contributions if embedded consistently in the portfolio with good structures, process and management.</p> <p>Financial: Impact is 5 as the capital portfolio is currently operating within its 'assumptions'. In short there is sufficient capital to meets its liability. Inflation and the impact on labour and material due to geopolitical factors will place significant strain on budgets and will likely require use of portfolio contingency and may require headroom to be created to protect the ability to meet contractual obligations and high-level aspirations.</p> <p>An iteration of this was completed in Dec 21 to create additional headroom in the MTFP to manage this kind of issue.</p> <p>In June 2022 Grant Thornton published its interim Auditors Report on Bristol City Council. The report made several observations on capital delivery and capital spend including that the capital programme historically delivers 75% of its spend in the final quarter of the financial year. The recommendations and actions made in the report are factored into the responses and actions associated with this risk. Accurate forecasting and highly assured and smooth delivery of the capital portfolio are the key goals for the steps articulated in the Programme and Project Management section below.</p> <p>As part of the contract with the Strategic Capital Partnership, resource and support has been provided to increase training for officers to improve accuracy of current and future forecasting and budget requests for consideration within decision pathways and corporate governance.</p> <p>Programme & Project Management: The capital programme was rated as 'Limited' when internally audited in 2021. Head of Capital Projects developed a new comprehensive delivery framework, lifecycle and standard operating procedure Spring 21 that overlaid with existing BCC governance and Decision Pathway. This was internally audited at the same time and was given a 'Reasonable' assurance level with the steps to make it Substantial being to roll it out for all capital projects, not just Strategic Partner commissions. This is now a Audit management action allocated to the Head of Capital Projects.</p> <p>All Strategic Partner commissions are using the framework and SOS's. City Transport are adopting as part of the organisational refresh with 5 projects trialling already. Housing Delivery are currently considering pilot schemes for the framework as well.</p> <p>The need for a Portfolio Management Office set up has been recognised by the organisation to coordinate the portfolio's programmes and sub projects. This will allow far greater level 2 assurance, understanding interconnected risks and issues and the application of the framework across the majority of the portfolio. This will improve reporting, decision making, control and risk management. Capital Projects is working with Change Services to design and implement this capital PMO function.</p> <p>Resource has been a continual issue in delivery of capital programmes and projects. In Feb 21 the Capital Strategic Partner was commissioned. This has enabled quick call off for professional services required for capital delivery. The take up of the Partnership by officers has been greater than initially anticipated. This indicates that key projects and programmes are benefiting from this resource particularly in PM and Programme Management.</p>

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	<p>Demonstrable improvements are seen in the parts of the portfolio with pilots and those that are using the new delivery framework but this score will only be reduced when there is a consistent improvement across the whole capital portfolio.</p> <p>Reputation: External and internal comms are being factored into all resource requests (mandate, OBC, FBC). There is significant risk capital delivery (Bristol Beacon as an example). The council’s reputation in the market is also very important. The construction market is volatile and unpredictable at the moment. The Council needs to be considered a client of choice that suppliers want to work with or there is a significant risk that tender responses will be limited with poor value for money implications. Behaviours of commissioners and how the Council communicates its aspiration and values is key to manage this.</p> <p>Likelihood: The likelihood has been reviewed against the criteria and believe there is some justification in considering reducing to a Likely level due to the management actions we have in place and the steps we have taken to address PM and Programme Management deficiencies and resource issues. However, it is recommended that the likelihood is kept at Almost Certain for review in 3 months time. We will have had more time to assess the impact of the strategies/actions and have evidence in tangible outputs (completed projects & programmes) that will evidence the reduction rather than the improvement being only anticipated</p>
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Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level		
<p>Risk Title: CRR37 - Homelessness</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 style="text-align: center;">Constant</p> 	<p style="font-size: 24pt;">20</p> <p>Likelihood = 4 Impact = 5</p>		<p style="font-size: 24pt;">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 	Existing Controls		Mitigating Actions			
	Control	Action Title			Due Date	Progress
	<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 	<ul style="list-style-type: none"> Changing Futures Programme Introduce longer term block contracts for Temporary Accommodation that will reduce the net unit cost of TA to BCC Increase the supply of move on accommodation - RSAP round 5 bid deadline 13th April 2022 			<p>March 2024</p> <p>July 2022</p> <p>March 2024</p>	<p>20%</p> <p style="background-color: #4CAF50; color: white; text-align: center;">100%</p> <p>60%</p>

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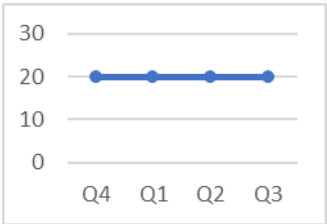
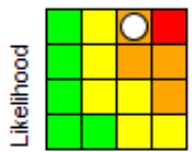
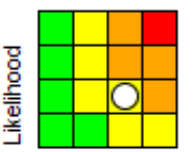
<p>to, and associated increased pressure on demand and cost of private rented accommodation</p>	<p>introduced new block contracts for some Temporary Accommodation, reducing the cost of TA to the Council. Planning to bring more block contracts on-line this financial year</p>			
<p>Risk Consequences: Increase 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>Cost Effective Accommodation - Initiated a project with the aim of reducing the net unit cost of Temporary Accommodation. Opportunities being explored and prioritised.</p>	<p>December 2022</p>	<p>50%</p>
		<p>Homelessness prevention - increase access to private rented - Review our approach to working with the Private rented sector and produce spend to save proposals which will increase access to accommodation and reduce TA use</p>	<p>December 2022</p>	<p>100%</p>
		<p>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</p>	<p>March 2023</p>	<p>10%</p>
<p>Risk Owner(s): Executive Director Growth and Regeneration, Director Housing</p>				
<p>Portfolio Flag: Housing Delivery and Homes</p>	<p>Summary of Progress: The cost-of-living crisis poses significant risks for increasing homelessness. The scale of the impact is not yet known and will depend partly on what government support is put in place. The homelessness organisation crisis is predicting a 30% increase in homelessness.</p>			
<p>Strategic Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing.</p>	<p>The number of households presenting to Bristol City Council is continuing to increase. There has been a small increase in the number of households living in Temporary Accommodation (TA) from 1137 on 31st March 2022 to 1173 on 30th November 2022.</p> <p>In the last year the number of families with children living in TA has increased whilst the number of single clients has stayed roughly the same. Family TA is more expensive than that for single clients. This is adding to the financial pressure.</p> <p>There is an underlying pressure of £5m due to Housing Benefit Subsidy loss. With in-year mitigations the forecast pressure for 22/23 has reduced to £1.2m.</p> <p>An ambitious programme of initiatives focussed on creating a portfolio of TA without the Housing Benefit subsidy loss is out for public consultation as part of the wider Council savings initiatives. We will do this by making use of existing properties, including council housing, and working with partners to source available properties.</p>			

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	<p>Good progress has been made on introducing block contracts for TA.</p> <p>An enhanced package for private landlords has been developed to secure more affordable private rented accommodation for homeless clients.</p> <p>Targeted approach focussing on moving on those households in the most expensive TA placements</p> <p>Progressing opportunities to bring on-line cheaper TA.</p>
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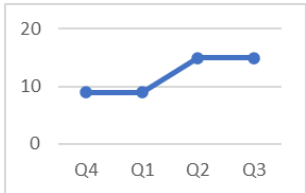
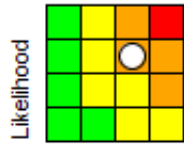
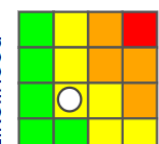
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Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level		
<p>Risk Title: CRR43 - Lack of progress for Mass Transit impact on city</p> <p>Description: Failure of regional authorities to agree way forward for development of a Mass Transit system. No sign up to results of feasibility study.</p>	<p style="text-align: center;">Constant</p> 	<p style="font-size: 24pt;">20</p> <p>Likelihood = 4 Impact = 5</p>		<p style="font-size: 24pt;">10</p> <p>Likelihood = 2 Impact = 5</p>		
<p>Risk Causes:</p> <ol style="list-style-type: none"> Resourcing Business Case development Lack of political consensus Viability of Business Case 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>						

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<p>-Reputational impact. -Long term congestion and air pollution increase. -Regional productivity reduced. -Threat to investment across the city.</p>	
<p>Risk Owner(s): Executive Director Growth and Regeneration, Director Economy of Place.</p>	
<p>Portfolio Flag: Public Health and Communities</p>	<p>Summary of Progress: No change to risk, same issues remain regarding failure to complete consultation or engagement, project cannot progress until this happens. Project risk level cannot realistically increase, unlikely to reduce by next reporting period.</p>
<p>Strategic Theme: Our Organisation, Wellbeing.</p>	

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Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p>Risk Title: CRR45 - Failure to deliver statutory duty in respect of the safeguarding 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>15 Likelihood = 3 Impact = 5</p>		<p>6 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>	Existing Controls		Mitigating Actions		
	Control		Action Title	Due Date	Progress
	1. Benchmarking salaries with regional levels		Revising recruitment and retention strategy in response to evidence of turnover and vacancies in areas of particular pressure (front door, experienced social workers and frontline managers)	May 2022	50%
	2. Investing in training and development 3. Over-recruiting where required		Commissioned independent peer review of the statutory safeguarding arrangements to ensure that the council's statutory officers are executing their	May 2022	100%

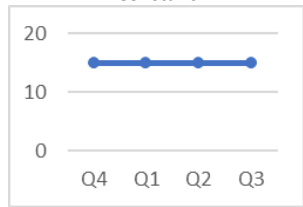
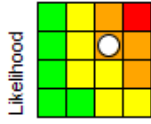

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	4. Reviewing system pressures and taking action on a weekly basis	responsibilities and undertaking due diligence in a legal and appropriate way.		
Risk Consequences: Harm or death of a child Inspection failure and regulatory action Litigation and reputational damage Other unpredicted costs to the LA	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			
Risk Owner(s): Executive Director People, Director Children's and Families Services.				
Portfolio Flag: Children's Services, Education & Equalities	Summary of Progress: Continued demand for services and lack of stability in the workforce. As part of our transformation/ savings plan we are: Revising the recruitment and retention strategy in response to evidence of turnover and vacancies in areas of particular pressure (front door, experienced social workers and frontline managers) Benchmarking salaries with regional levels Proposed business case to increase apprenticeships Reviewing system pressures and taking action on a weekly basis Reviewing spend on agency workers and considering if more economical to progress recruitment of international social workers.			
Strategic Theme: Our Organisation, Empowering and Supporting, Wellbeing.				

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Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
Risk Title: CRR10 - Safeguarding Adults at Risk with Care and Support Needs Description: The council fails to ensure adequate safeguarding measures are in place for adults at risk.	Constant 	15 Likelihood = 3 Impact = 5		7 Likelihood = 1 Impact = 7	
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.	Existing Controls		Mitigating Actions		
	Control		Action Title	Due Date	Progress
	<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. 		Development and delivery of Safeguarding Hub as a priority for the partnership. Review of Safeguarding Pathways and creation of Standard Operating Procedures and Performance Clinics.	April 2023 December 2022	80% 100%

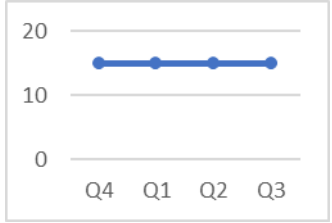
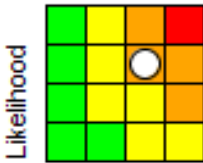
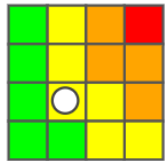
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<p>Failure to commission safe care for adults at risk. Failure to meet the requirements of the 'Prevent Duty' placed on Local Authorities. Increased destitution in families, impacting on mental ill health, managing increased infection within the population. (COVID19) Increased isolation. (COVID19) Increase identification of self-neglect and complexity. Carer strain / resilience. (COVID19)</p>	<ul style="list-style-type: none"> 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 	Internal Audit Actions – feeding into existing controls	March 2023	95%	
<p>Risk Consequences: Financial damage Legal liability Death/Injury Reputational damage</p>		Developing a Risk Enablement Tool	April 2023	75%	
<p>Risk Owner(s): Executive Director People, Director Adult Social Care.</p>		Develop Self-neglect pathway – providing training, tools to better escalate cases of neglect	April 2023	75%	
<p>Portfolio Flag: Adult Social Care & Integrated Care System Strategic Theme: Strategy Theme: Our Organisation, Empowering others and Caring, Fair and Inclusive, Well connected, Wellbeing.</p>	<p>Summary of Progress: Currently we have pressure on our staffing capacity with high vacancy rates which is having an impact on workforce's performance in dealing with complexity and safeguarding adults with Care and Support needs at risk of harm. Permission to recruit via Dispensation due to vacancy freeze having an impact on teams with vacancy rates at 50% in some teams, trying to recruit non-qualified staff on a temporary basis to bolster teams in the short term to absorb tasks that qualified staff need not doing, use of agency staff if they can be recruited. Monitoring of vacancy rates across teams and the increasing impact on duty, waiting lists and unallocated/untriaged Safeguarding concerns via Quality, Improvement and Performance meetings and escalation in weekly Business continuity meetings. Next phase of development started Quality Assurance visit undertaken in Strategic Safeguarding Adults Team, sign off of closed self-neglect referrals through service manager, risk enablement tools, potential MASH pilot, self-neglect pathways commencing or being scoped.</p>				
<p>Threat Risk</p>	<p>Trend</p>	<p>Current Risk Assessment</p>		<p>Risk Tolerance Level</p>	
<p>Risk Title: CRR6 Fraud and Corruption 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 Likelihood = 3 Impact = 5</p> 		<p>9 Likelihood = 3 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</p>	<p>Existing Controls</p>		<p>Mitigating Actions</p>		
	<p>Control</p>		<p>Action Title</p>	<p>Due Date</p>	<p>Progress</p>
	<p>1. A dedicated Counter Fraud and Investigation team - BCC</p>		<p>1. Fraud Risk Assessments</p>	<p>June 2023</p>	<p>5%</p>

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<p>quickly in line with government requirement. Failure of management to implement a sound system of internal control and/or to demonstrate commitment to it at all times. Not keeping up to date with developments, in new areas of fraud. Insufficient risk assessment of new emerging fraud issues. Lack of clear management control of responsibility, authorities and / or delegation Lack of resources to undertake the depth of work required to minimise the risks of fraud /avoidance. This potential cause is highlighted at this time given the potential impact of the current pandemic situation and with staff redeployed to support the emergency response. Under investment in fraud prevention and detection technology and resource.</p>	<p>has a dedicated Counter Fraud and Investigation team with varied skills (investigation, accountancy, audit and data analysis skills).</p> <ol style="list-style-type: none"> Audits - Internal Audit reviews will sometimes include an assessment of fraud controls. In addition, the Counter Fraud team undertake 'Fraud Prevention reviews or Fraudits'. 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. National Fraud Initiative (NFI) fraud hub App - The NFI/Cabinet Office Fraud Hub is in use, with a limited number of datasets uploaded. In addition, Appcheck has been rolled out to Housing Options team. On-going improvement plan for Whistle-blowing - Whistle-blowing arrangements have been informally assessed against Protect - benchmarking assessment tool. An improvement plan has been developed and is being implemented. Participation in anti-fraud exercises - BCC takes part in the biennial Cabinet Office National Fraud Initiative exercise, the annual Council Tax Single Persons discount exercise and have been involved in pilot exercises of data matching with HMRC/Covid grants. In addition, BCC Counter Fraud team undertake a planned programme of data analytic work. 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. Whistleblowing procedure - New internal procedure developed. HR advisor assigned to each Whistle-blow. Increased the use of technology and data analytics - Increased use of tools, data analytics and other sources of data to prevent and detect fraud. 	2. Improve Whistleblowing process	June 2023	75%
<p>Risk Consequences: Losses to fraud under emergency measures is inevitable. Potential increase in financial losses due to increase in teams. 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>		3. NFI Fraud Hub Implementation	October 2022	100%
<p>Risk Owner(s): Chief Executive and Director of Finance (S151 Officer).</p>		4. Review National Fraud Initiative Data Matching	March 2023	83%
<p>Portfolio Flag: Finance, Governance and Performance</p>		5. Establish a long term more technologically advanced fraud hub	March 2023	100%
<p>Strategic Theme: Our Organisation</p>		<p>Summary of Progress: The risk score remains the same. Despite all mitigations, there is always going to be a level of fraud and with the current economic situation of rising costs the risk of fraud is likely to increase. In addition, the low level of tolerance for fraud in the impact threshold keeps fraud as a high risk. In the coming quarters the focus will be on making sure that the Council has appropriate systems and processes that enable</p>		

	effective fraud prevention and detection.
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Threat Risk	Trend	Current Risk Assessment	Risk Tolerance Level
<p>Risk Title: CRR27 – Failure 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>6</p> <p>Likelihood = 2 Impact = 3</p> 

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Risk Causes:	Existing Controls		Mitigating Actions		
	Control		Action Title	Due Date	Progress
<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 	Biweekly Capital Programme Review Board - Capital Programme review board reviewing timescales and status of the relevant projects.		Develop proposals for management of capital programme (working with Transport Planning Team)	May 2022	100%
	PMO Capital Programme Process Review - Reviewing City Transport capital programme processes to align better with corporate PMO and develop management of the capital programme - led by Arcadis/PMO. Reporting April. Likely to replace 6 month review		Strategic partner to complete assessment of capital delivery	May 2022	100%
	Regular briefings and reporting to senior management and cabinet members.		Client Function Review alongside CA proposal - Review client function and how it is delivered to mitigate potential loss of resource and expertise to central PMO	September 2022	0%
	Biweekly capital programme review board - reviewing timescales and status of the relevant projects.				
Risk Consequences: <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 					
Risk Owner(s): Executive Director Growth and Regeneration, Director Economy of Place.					
Portfolio Flag: Public Health and Communities	Summary of Progress: Significant lack of resource still an issue. In addition, proposals to remove the strategic transport function have unsettled staff resulting in further loss of resource and other staff leaving through succession planning. Very difficult to resource in current climate so good likelihood that resource issues will worsen and risk may increase in next period. Maintenance programme less affected by resourcing issues.				
Strategic Theme: Our Organisation, Wellbeing					

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
Risk Title: CRR5 - Business Continuity and Council Resilience 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.	Constant 	15 Likelihood = 3 Impact = 5		9 Likelihood = 3 Impact = 3	
Risk Causes:	Existing Controls		Mitigating Actions		

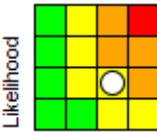
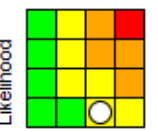
Appendix A – Corporate Risk Register as at December 2022

<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 style="text-align: center;">Control</p>		<p style="text-align: center;">Action Title</p>	<p style="text-align: center;">Due Date</p>	<p style="text-align: center;">Progress</p>
<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. 	<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. 		<ol style="list-style-type: none"> 1. Align BC Planning with Service Delivery Planning 2. Review Corporate Business Continuity Framework Doc 3. Review Service-level Business Continuity Plan template 4. Lead IT Resilience / Business Continuity project, including developing battle boxes, an IT Resilience Plan, understanding DR arrangements across BCC delivered IT services and SAAS, improving service-level BC plans for managing IT outages, testing arrangements 5. Workshops to support services to complete BC templates 6. Embed CRG and BC Group into corporate governance framework, including alignment with corporate risk group 7.IT Disaster Recovery / Business Continuity project – understanding critical IT requirements, understanding disaster recovery capacity, improving IT outage planning at corporate and service levels, increasing resilience to IT outages, power failures and other risks - FBC for the project is being developed and will be presented to Resources EDM on 11th July 2022. 	<p>May 2022</p> <p>September 2022</p> <p>September 2022</p> <p>December 2022</p> <p>Paused</p> <p>Ongoing</p> <p>December 2022</p>	<p>100%</p> <p>100%</p> <p>90%</p> <p>90%</p> <p>50%</p> <p>75%</p> <p>90%</p>
<p>Risk Owner(s): Executive Director Growth and Regeneration Chief Executive, Director Management of Place.</p>	<p>Summary of Progress: The pace of change in the Authority, combined with significant external challenges this winter (usual winter weather, cost of living crisis, possible energy supply issues), means the risk of business continuity challenges remains likely. Work has been ongoing to address IT resilience and energy supply, however the range of impacts either event could result in makes it difficult to lower the risk score this quarter.</p>				
<p>Portfolio Flag: City Economy, Finance & Performance</p>	<p>Significant progress has been made on the Business Continuity Management System, with CLB signing off the annual Corporate Business Impact Analysis (to be completed by HoS as part of this years' service planning round), the reviewed service-level BC plan template and the BC Response Framework.</p>				
<p>Strategic Theme: Our Organisation, Wellbeing.</p>					

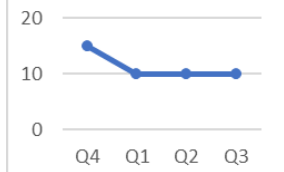
Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p>Risk Title: CRR26 – ICT Resilience</p>	<p style="text-align: center;">Constant</p> <p>15 10 5 0</p> <p>Q4 Q1 Q2 Q3</p>	<p>14</p> <p>Likelihood = 2 Impact = 7</p>	<p>Likelihood</p> <p>Impact</p>	<p>10</p> <p>Likelihood = 2 Impact = 5</p>	<p>Likelihood</p> <p>Impact</p>
<p>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>					

Appendix A – Corporate Risk Register as at December 2022

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.	Existing Controls		Mitigating Actions		
	Control		Action Title	Due Date	Progress
Risk Consequences: Inability to deliver services	<ol style="list-style-type: none"> 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. 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. 3. Moved critical systems to the cloud with more effective DR. 	<ol style="list-style-type: none"> 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 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. 3. Weekly testing of individual systems restore - The restore of individual systems is tested weekly on a rotational basis 	1. Application/system risk log	September 2021	100%
			2. IT Resilience and BCP Phase 2	January 2023	0%
Risk Owner(s): Chief Executive, Director, Digital Transformation, Service Area Leads.			3. IT Resilience and Business Continuity Project Phase 1	March 2022	100%
			4. Project to move Shared Drives to Cloud	November 2023	50%
Portfolio Flag: Finance, Governance and Performance			5. Removal of legacy hardware from estate	August 2024	50%
			<p>Summary of Progress: DR and BC Plans are being updated. Prices are being sought from our existing 3rd party DR provider and a 1 year contract is being sought with them to enable us to go to market on open tender and replace this service. This will also encapsulate and enable adjustment for any changes delivered via the Cloud Optimisation project planned for the next financial year.</p>		
Strategic Theme: Our Organisation	<p>Additionally phase 2 of the BC/DR Project is currently on hold and not forecast to restart until the next financial year. Good progress has been made to date and when the new contract is in place, the current score will be reviewed with a view to reducing it.</p>				

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p>Risk Title: CRR29 - Information Security Management System (ISMS)</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</p>	Constant	<p>10</p> <p>Likelihood = 2 Impact = 5</p>		<p>5</p> <p>Likelihood = 1 Impact = 5</p>	

Appendix A – Corporate Risk Register as at December 2022

Information Security risks.					
Risk Causes: Ineffective Information Security Management System, inadequate resources to create and maintain an ISMS, management buy in and support to operate an ISMS.	Control		Mitigating Actions		
Risk Consequences: Information security incidents resulting in loss of personal data or breach of privacy / confidentiality. Safeguarding data breach impacting on safety of vulnerable child or adult. Risk of breaching the regulations, and being subject to penalties/fines - Regulations Fines increasing from up to £500,000 to 10-20m Euros of 4% of global turnover. Increased litigation. Reputational damage.	<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 MetaCompliance tool online to track compliance/engagement of policies 		Action Title	Due Date	Progress
Risk Owner(s): Senior Information Risk Owner (SIRO).			<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 	December 2022 December 2022	75% 80%
Portfolio Flag: Finance, Governance and Performance	Summary of Progress: Final policy work on the ISMS, has lead to likelihood decrease. Future work on this will take longer due to recruitment challenges.				
Strategic Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing					

Threat Risk	Trend	Current Risk Assessment	Risk Tolerance Level
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Appendix A – Corporate Risk Register as at December 2022

<p>Risk Title: CRR4 – 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, contractors agency staff visitors and other parties who have a business relationship with BCC.</p>	<p>Constant</p> <p>20 10 0</p> <p>Q4 Q1 Q2 Q3</p>	<p>10 Likelihood = 2 Impact = 5</p>	<p>Likelihood</p> <p>Impact</p>	<p>10 Likelihood = 2 Impact = 5</p>	<p>Likelihood</p> <p>Impact</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 known 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>Existing Controls</p>		<p>Mitigating Actions</p>			
	<p>Control</p>		<p>Action Title</p>		<p>Due Date</p>	<p>Progress</p>
	<ol style="list-style-type: none"> 5 Year Health and Safety Strategy - The strategy has 5 key themes - Leadership and Commitment, Risk Control, Communication and Engagement. Learning and development and Performance Management CDM, Legionella and Asbestos procedures have been revised CHaSMs Monitoring System Reviewed - CHaSMs completed in November and reported on to EDMs in January. Action plans in place and on the SHAREPOINT. Discussion with internal audit over the future of CHaSMs. Will become a yearly assessment September for Corporate Estate and October for Schools, will be linked to service and financial planning cycles to better embed the process. Work will continue on ensuring SMART action plans and better understanding of operational health and safety risks. The revised CHaSMs is due to be sent out in October 2022. Fire Safety Management System - Fire Safety Management System is in place and has been piloted. Is ready to be published on SOURCE by 30th March 2022. Once published a number of information sessions will take place to ensure managers and key responsible people understand how to implement system. Health and Well-being plan - Health and Wellbeing plan in place and being implemented New integrated OH, EAP and Physiotherapy contract - New contract in place for a year. Overall is working well 		<ol style="list-style-type: none"> Audit of key areas of risk New Accident Incident Reporting System Review Health and Safety Procedures Training and Development Programme for Health, Safety and Well-being 		<p>March 2022</p> <p>March 2022</p> <p>March 2023</p> <p>December 2022</p>	<p>100%</p> <p>100%</p> <p>20%</p> <p>10%</p>

Appendix A – Corporate Risk Register as at December 2022

	<p>there are some red spots (health surveillance) which is currently being contract managed due to delivery.</p> <p>7. Reorganising the Corporate Health Safety and Wellbeing Team - New job and paperwork completed with business plan and EIA. Currently out for consultation with staff group and TU. Consultation end on 21st March 2022. Jobs will go to evaluation panel on Tuesday 29th, appointment to internal post during April onwards. The consultation process has been completed any because of Councils financial position this is being revised and will probably be implemented in two parts.</p>	
<p>Portfolio Flag: Finance, Governance and Performance Strategic Theme: Our Organisation</p>	<p>Summary of Progress: The risk assessment remains the same due to our current programme of work and strategy.</p>	

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Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
Risk Title: CRR18 - Failure to deliver enough	Improving	10		9	

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<p>new homes to meet Mayoral and Annual Business Plan targets.</p>		<p>Likelihood = 2 Impact = 5</p>		<p>Likelihood = 3 Impact = 3</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>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. 	Existing Controls		Mitigating Actions		
<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 	Control		Action Title	Due Date	Progress
<p>Risk Owner(s): Executive Director Growth and Regeneration, Director Development of Place.</p>	<p>1.Created a single multi-disciplinary Housing Delivery Team</p>		<p>Secure Homes England Affordable Housing Programme Funding</p>	<p>March 2026</p>	<p>40%</p>
	<p>2.Established a Local Housing Company (Goram Homes).</p>		<p>Revised Affordable Housing Funding Policy 2022-202</p>	<p>April 2022</p>	<p>100%</p>
	<p>3.Introduced the Affordable Housing Practice Note.</p>				
	<p>4.Issued grants to Registered Providers (RPs).</p>				
	<p>5.Manage a targeted grant funding programme to subsidise the delivery of affordable homes.</p>				
	<p>6.Required a minimum of 30% affordable housing on land released by the Council.</p>				
	<p>7.Secured additional grant funding for infrastructure.</p>				
	<p>8.Secured funding from Homes England</p>				
	<p>9.Service Review of Housing Delivery Team</p>				
	<p>10.Worked collaboratively with Homes England</p>				
	<p>11. Strategic City Planning monitor housing completions and future pipeline of consents</p>				
<p>Portfolio Flag: Housing Delivery and Homes</p>	<p>Summary of Progress: Completions for 2021/22 exceeded 2,500 units, this represented the highest completion figure for some years. There remains a significant pipeline of planning consents.</p>				
<p>Strategic Theme: Fair and Inclusive</p>					

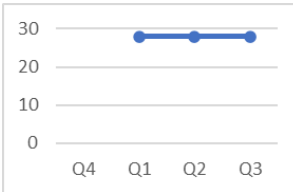
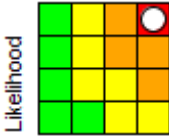
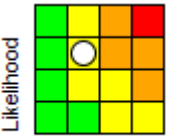
Opportunity Risks

Opportunity Risk	Trend	Current Risk Assessment	Risk Tolerance Level
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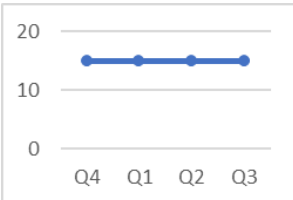
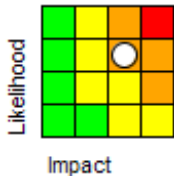
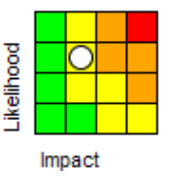
Appendix A – Corporate Risk Register as at December 2022

Risk Title: OPP1 - One City Approach	<p style="text-align: center;">Deteriorated</p>	<p style="font-size: 24pt; font-weight: bold;">15</p> <p>Likelihood = 3 Impact = 7</p>		<p style="font-size: 24pt; font-weight: bold;">28</p> <p>Likelihood = 4 Impact = 7</p>	
Description: The One City Approach will offer a new way to plan strategically with partners as part of a wider city system.					
Risk Causes: 1. Mayoral aspiration and widespread partner sign-up to principles 2. Work to date has produced outline plan and engaged partners in the long-term vision and necessary work to complete the plan	Existing Controls		Mitigating Actions		
	Control		Action Title	Due Date	Progress
	1. V3 One City Plan Produced - We have produced v3 of the One City Plan and produced our second annual report available on the One City Website from 12 June 2021.		1. One City Plan refresh process 2. Set up Partnership Board 3. City Office Team Mandate	March 2023 October 2022 September 2022	10% 75% 95%
Risk Consequences: The council can plan as part of a wider city system, making stronger plans based on agreed city priorities which already have partner buy-in 2. Potential to make financial and efficiency savings and/ or deliver better services and/or reduced demand for service, reducing costs whilst improving citizen outcomes. Update April 2020: 3. Relationships already built can accelerate communication, collaboration and effective delivery of a coherent plan for the city's recovery from Covid-19					
Risk Owner(s): Director Policy, Strategy and Partnerships.					
Portfolio Flag: Finance, Governance and Performance	Summary of Progress: Opportunity still likely and key updates to Member forums including Scrutiny offered some reassurance this Quarter of an organisational commitment to the principles of One City. However, this positive impact is offset by reduced staffing levels due to seconding the Head of City Office to work on the council's budget process, reducing operational capacity.				
Strategic Theme: Our Organisation					

External and Civil Contingency Risks

External and Civil Contingency Risk	Trend	Current Risk Assessment		Risk Tolerance Level																									
<p>Risk Title: BCCCS5 - Cost of Living Crisis 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 style="text-align: center; font-size: 24pt; font-weight: bold;">28</p> <p>Likelihood = 4 Impact = 7</p>	 <p style="text-align: center;">Likelihood</p> <p style="text-align: center;">Impact</p>	<p style="text-align: center; font-size: 24pt; font-weight: bold;">9</p> <p>Likelihood = 3 Impact = 3</p>	 <p style="text-align: center;">Likelihood</p> <p style="text-align: center;">Impact</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 style="text-align: center;">Existing Controls</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%;">Control</th> <th style="width: 50%;">Mitigating Actions</th> </tr> </thead> <tbody> <tr> <td>1. Baseline / impact assessment to understand potential impact on Bristolians</td> <td>Update baseline assessment following gov announcement 26 May 22</td> </tr> <tr> <td>2. Creation of monitoring framework with 'red flag' indicators</td> <td>Work with Quartet to ensure COVID recovery /health inequity funding is directed to response and building community resilience</td> </tr> <tr> <td>3. Development of civic & community asset map</td> <td>Communication plan</td> </tr> <tr> <td>4. Development of framework for targeted action</td> <td>Establish network of community hubs and 'city offer' by September</td> </tr> <tr> <td>5. Data monitoring of key 'red flag' indicators - monitored by the One City and One Council Group</td> <td>Cost of Living – assess impact on business</td> </tr> <tr> <td>6. Established One Council Group to monitor impact and coordinate action (meeting appx every 3 weeks)</td> <td>Work with Quartet and other funders to deliver grant funding to implement autumn/winter response as agreed</td> </tr> <tr> <td>7. Established One City Coordination Group</td> <td>Work with Quartet to deliver Social Action Grants</td> </tr> <tr> <td>8. Communication plan in place led by BCC External Communications</td> <td>Update Impact Assessment</td> </tr> <tr> <td>9. Bi-weekly meetings of Community Exchange - Meetings with community partners delivering response</td> <td>Review funding approach with Quartet for 2023</td> </tr> <tr> <td></td> <td>Planning for 2023 event - Review approach and plan for winter 2023</td> </tr> <tr> <td></td> <td>Mid-point review - In person workshop with all partners - review what's happened to date, what's gone well/what needs to change</td> </tr> </tbody> </table>					Control	Mitigating Actions	1. Baseline / impact assessment to understand potential impact on Bristolians	Update baseline assessment following gov announcement 26 May 22	2. Creation of monitoring framework with 'red flag' indicators	Work with Quartet to ensure COVID recovery /health inequity funding is directed to response and building community resilience	3. Development of civic & community asset map	Communication plan	4. Development of framework for targeted action	Establish network of community hubs and 'city offer' by September	5. Data monitoring of key 'red flag' indicators - monitored by the One City and One Council Group	Cost of Living – assess impact on business	6. Established One Council Group to monitor impact and coordinate action (meeting appx every 3 weeks)	Work with Quartet and other funders to deliver grant funding to implement autumn/winter response as agreed	7. Established One City Coordination Group	Work with Quartet to deliver Social Action Grants	8. Communication plan in place led by BCC External Communications	Update Impact Assessment	9. Bi-weekly meetings of Community Exchange - Meetings with community partners delivering response	Review funding approach with Quartet for 2023		Planning for 2023 event - Review approach and plan for winter 2023		Mid-point review - In person workshop with all partners - review what's happened to date, what's gone well/what needs to change
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<p>Risk Owner(s): Executive Director People, Director Public Health</p>																													
<p>Portfolio Flag: Public Health and Communities</p>	<p>Summary of Progress: A key consideration in reviewing this risk is whether it could be regraded. The weather has been warmer than average for this time of year. City partners and communities have mobilised so there is a city infrastructure in place to provide some support communities. Government has made available financial support. However, it is the case that the cost of living crisis will have last impact on communities and the and we are yet to see the full impact for this reason the risk continues to be assessed as critical (critical impact and almost certain)</p>																												
<p>Strategic Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing</p>																													

Appendix A – Corporate Risk Register as at December 2022

External and Civil Contingency Risk	Trend	Current Risk Assessment		Risk Tolerance Level																					
<p>Risk Title: BCCC1 - Flooding</p> <p>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.</p>	<p>Constant</p> 	<p style="text-align: center;">15</p> <p>Likelihood = 3 Impact = 5</p>		<p style="text-align: center;">9</p> <p>Likelihood = 3 Impact = 3</p>																					
<p>Risk Causes:</p> <ul style="list-style-type: none"> -Tidal surge, heavy rainfall, and river flood events -Impact of climate change -Lack of effective flood defences and preparedness for major incidents -Failure of existing flood defences 	<p style="text-align: center;">Existing Controls</p> <table border="1"> <thead> <tr> <th data-bbox="645 512 1039 544">Control</th> </tr> </thead> <tbody> <tr> <td data-bbox="696 544 1039 783"> <ol style="list-style-type: none"> 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. 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<p>Risk Consequences:</p> <ul style="list-style-type: none"> -Economic Impacts incl loss of Property -Loss of Life/injury -Reputational Damage 																									
<p>Risk Owner(s): Executive Director Growth and Regeneration, Director Economy of Place.</p>																									
<p>Portfolio Flag: Climate, Ecology, Energy & Waste and Strategic Planning, Resilience and Flood Strategy</p>	<p>Summary of Progress: No change to risk rating. Major projects progressing, recruitment request approved for PM for Frome Catchment project. Still no flood manager and recruitment not approved, reviewing options for how best to manage team and deal with issue going forward. Risk level may increase next period if flood manager role still not approved for recruitment</p>																								
<p>Strategic Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing.</p>																									

Appendix A – Corporate Risk Register as at December 2022

External and Civil Contingency Risk	Trend	Current Risk Assessment		Risk Tolerance Level		
<p>Risk Title: BCCC4 – 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. New risks are:</p> <ul style="list-style-type: none"> • Reduced ability to see infection • Negative impacts on business continuity and health from high levels of circulating infection • Harms to high-risk individuals and risks within high consequence settings • Emergence of harmful new variant 	<p style="text-align: center;">Constant</p>	<p>9</p> <p>Likelihood = 3 Impact = 3</p>		<p>14</p> <p>Likelihood = 2 Impact = 7</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>	Existing Controls		Mitigating Actions			
	Control		Action Title	Due Date	Progress	
	<ol style="list-style-type: none"> Daily Situation Reports – weekly from April 2022 and will be produced in current format until 31st March 2023 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 Local Outbreak Management and Response Plan - LOMP has been replaced by living with Covid Plan -developed with partners. Mitigations in place include: New Surveillance, Communication, Engagement, Prevention – including vaccination, Protection – high risk settings and Response and surge preparedness. Weekly Outbreak Management Group replaced by weekly Living With Covid Group. Monthly reports to CLB Gold and regular updates to ELM Regular staff and public bulletins Ongoing Community Engagement and Mental Health Work - Additional investment in MH work through Thrive. £500k from CCG for student MH. One City focus on YP and night-time activities. Additional investment in communities, VCSE - £2m from CCG and additional funds for community vaccine champions. 		<p>There are 9 COVID Population Health Sub risks with multiple mitigating Actions</p>			

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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.	5. Priority Programmes focussed on Mental Health, Well-Being and Food Poverty
	6. Protecting Health Function - Enhanced protecting health function - completed / Green. Weekly reports published – will remain in place but frequency may change - Green
	7. Weekly Death Management and Vaccine Reports
Risk Owner(s): Executive Directors & Director of Public Health	
Portfolio Flag: Mayor	Summary of Progress: Risk of severe health to large numbers of people has reduced considerably due to vaccine coverage. Challenge remains to maintain high vaccine coverage, and to business continuity from illness. New variant which evades vaccine remains possible.
Strategic Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing	

Risk Scoring Matrix

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

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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.

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.