

# Adults, Children and Education Scrutiny Commission Agenda



**Date:** Thursday, 18 October 2018

**Time:** 5.00 pm

**Venue:** City Hall College Green Bristol BS1 5TR

## **Distribution:**

Councillors: Claire Hiscott (Chair), Jos Clark, Eleanor Combley, Jude English, Paul Goggin, Carole Johnson, Gill Kirk, Brenda Massey, Ruth Pickersgill, Celia Phipps, Steve Smith

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**Date:** Wednesday, 10 October 2018



# Agenda

## 1. Welcome, Introduction and Safety Information

6.00 pm

(Pages 5 - 6)

## 2. Apologies for Absence and Substitutions

## 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 declaration 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 agree the minutes of the previous meeting as a correct record.

## 5. Chair's Business

To note any announcements from the Chair

## 6. Annual Business Report

(Pages 7 - 9)

## 7. 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](mailto: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 Friday 12<sup>th</sup> October.**

**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 Wednesday 17<sup>th</sup> October.**

## **8. Suicide Prevention and Response**

The Commission to note the presentations.

**(Pages 10 - 32)**

Officers presenting Report: Leonie Roberts, Consultant in Public Health and Mark Ames, Director of Student Services, University of Bristol

## **9. Strengthening Families Programme Update and Adverse Childhood Experiences**

The Commission is asked to note the reports.

**(Pages 33 - 59)**

Officer Presenting Reports: Jacqui Jensen

## **10. Children Centres and Locality Integration**

The Commission is asked to note the report.

**(Pages 60 - 63)**

Officer Presenting Report: Dr Jacqui Jensen

## **11. Adults, Children and Education Performance Progress Report (Quarter 1 2018/19)**

The Scrutiny Commission are asked to a) note the report and the progress made by Adults, Children and Education against all of their Key Performance Indicators (KPIs) for Q1 and b) consider and agree the content (including notes and annual PIs).

**(Pages 64 - 72)**

Officer Presenting Report: Dr Jacqui Jensen

## **12. Corporate Risk Management Report and Corporate Risk Register**

That the ACE Scrutiny Commission reviews and scrutinises the relevant ACE Directorate aspects of the Corporate Risk Register which is attached to this report at Appendix A.

**(Pages 73 - 105)**

Officer Presenting Report: Dr Jacqui Jensen



### **13. Adult Community Health Services Procurement**

This report summarises NHS Bristol, North Somerset and South Gloucestershire Clinical Commissioning Group's (CCG) plans to procure community health services. **(Pages 106 - 110)**

Officer Presenting Report: Dr Kate Rush, CCG Associate Medical Director

The Commission is asked to note this information.



# 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](http://www.bristol.gov.uk).

You can also inspect papers at the City Hall Reception, College Green, Bristol, BS1 5TR.

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You can get committee papers in other formats (e.g. large print, audio tape, braille etc) or in community languages by contacting the Democratic Services Officer. Please give as much notice as possible. We cannot guarantee re-formatting or translation of papers before the date of a particular meeting.

Committee rooms are fitted with induction loops to assist people with hearing impairment. If you require any assistance with this please speak to the Democratic Services Officer.

## 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 and be available in the meeting room one hour before the meeting. Please submit it to [democratic.services@bristol.gov.uk](mailto:democratic.services@bristol.gov.uk) or Democratic Services Section, City Hall, College Green, Bristol BS1 5UY. 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 **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, 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. This information will also be made available at the meeting to which it relates and placed in the official minute book as a public record (available from Democratic Services).

We will try to remove personal information such as contact details. 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. Public Forum statements will not be posted on the council's website. Other committee papers may be placed on the council's website and information in them may be searchable on the internet.

### **Process 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.
- 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.

### **Webcasting/ Recording of meetings**

Members of the public attending meetings or taking part in Public forum are advised that all Full Council and Cabinet meetings and some other committee meetings are now filmed for live or subsequent broadcast via the council's [webcasting pages](#). The whole of the meeting is filmed (except where there are confidential or exempt items) and the footage will be available for two years. If you ask a question or make a representation, then you are likely to be filmed and will be deemed to have given your consent to this. If you do not wish to be filmed you need to make yourself known to the webcasting staff. However, the Openness of Local Government Bodies Regulations 2014 now means that persons attending meetings may take photographs, film and audio record the proceedings and report on the meeting (Oral commentary is not permitted during the meeting as it would be disruptive). Members of the public should therefore be aware that they may be filmed by others attending and that is not within the council's control.



# Adults, Children and Education Scrutiny Commission 18 October 2018



**Report of:** Service Director - Legal & Democratic Services

**Title** Adults, Children and Education Scrutiny Commission - Annual Business Report 2018-19

**Ward:** N/A

**Officer Presenting Report:** Louise deCordova, Scrutiny Advisor

**Contact Telephone Number:** 0117 3526151

## Recommendations

1. To note chairing arrangements and elect a Vice Chair for the 2018-19 municipal year.
2. To note the Scrutiny Commission's Terms of Reference.
3. To note meeting dates.
4. To note the topics that were selected as priorities for the Commission at the OSMB workshop on the 30<sup>th</sup> May 2018.



## 1. Chairing arrangements

Cllr Hiscott was appointed as the Chair of this commission at the OSM Board annual meeting on 18 June 2018. The commission is asked to formally elect a Vice-Chair.

## 2. Terms of Reference of the Commission

At its meeting on 22 May 2018, Full Council established this commission with the following terms of reference:

### **ADULT, CHILDREN AND EDUCATION SCRUTINY COMMISSION**

#### **Terms of reference - Overview**

The role of the commission is the overview and scrutiny of matters relating to the Adults, Children and Education Directorate, including:

Adults: Front Door/ Hospital social care teams, Maximising Independence, Safeguarding / Deprivation of Liberty, Approved Mental Health Act service, Strategic Commissioning / Contracts & Quality, Early Intervention/ Targeted support and Intermediate Care, Reablement and Regulated Services.

Children: Early Help, Targeted Support, Safeguarding including Child Protection Social Work services and Permanency and Specialist Services for children in care, care leavers and disabled children and their families.

Education: HOPE Virtual School, Early Years, School Partnerships, Specialist Education and Access, and Employment, Learning & Skills

#### **Functions**

1. To ensure that overview and scrutiny directly responds to corporate and public priorities, is used to drive service improvement, provides a focus for policy development and engages members of the public, key stakeholders and partner agencies.
2. To action the annual work programme set by the Overview and Scrutiny Management Board using the following framework:
  - a. Scrutiny of corporate plans and other major plan priorities within its remit, with particular reference to those areas where targets are not being met or progress is slow;
  - b. Input to significant policy developments or service reviews;
  - c. Review and scrutiny of decisions made, or other action taken in connection with the discharge of any functions which are the responsibility of the Mayor/Executive, functions which are not the responsibility of the Mayor/Executive, and functions which are the responsibility of any other bodies the Council is authorised to scrutinise.

3. To make reports and recommendations to Full Council, the Mayor/Executive and/or any other body on matters within their remit and on matters which affect the authority's area or the inhabitants of that area and to monitor the response, implementation and impact of recommendations.
4. To work in collaboration with the Mayor/relevant Executive Member and receive updates from that member on key policy developments, decisions taken or to be taken and progress against corporate priorities.
5. To report to the Overview and Scrutiny Management Board on progress against the work programme and on any recommendations it makes.

### **3. 2018-2019 Meeting Dates**

- 5pm, Monday, 18th October 2018
- 2pm, Monday, 19th November 2018
- 2pm, Monday, 28th January 2019
- 4pm, Monday, 25th March 2019
- 2pm, Monday, 13th May 2019

### **4. Topics that were selected as priorities for the Commission by the OSM Board:**

- Female Genital Mutilation (FGM) and Unregulated Schools
- Adverse Childhood Experiences
- Care Leavers
- Better Lives
- Strengthening Families
- Delayed Transfers of Care (DToC)
- Suicide Clusters
- Outcomes of the Adult Social Care T&F Group
- School Places

### **Plus the following Adults, Children and Education Directorate related Scrutiny Task Group:**

- SEND (Special Educational Needs and Disability)

# Adults, Children & Education(ACE) Scrutiny Commission



**Report of:** Adults, Children & Education Directorate – Public Health

**Title:** Suicide Prevention and Response

**Ward:** All

**Officer Presenting Report:** Leonie Roberts, Consultant in Public Health and Mark Ames, Director of Student Services, University of Bristol

**Contact Telephone Number:** 0117 9223171

## **Recommendation**

To note the presentations.

## **Summary**

The presentations provide an overview of the plans and progress made for suicide prevention and response.





# Suicide Prevention and Response

Leonie Roberts

Consultant in Public Health



# Suicide Prevention

- Situation in Bristol – Joint Strategic Needs Assessment
- Suicide Prevention Action Group
- Thrive Bristol

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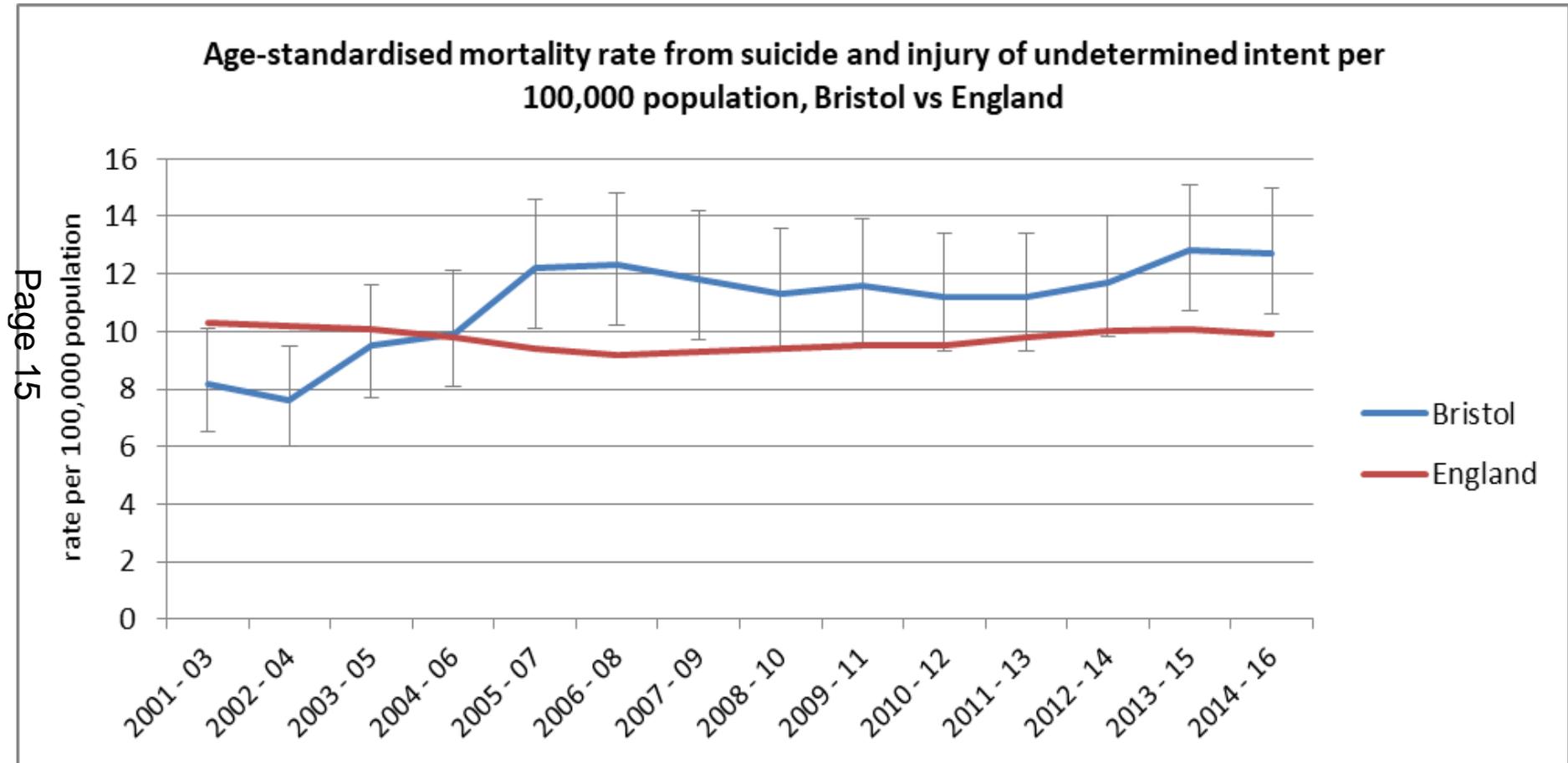
# Suicide rate in Bristol

- The current 3 year average suicide rate is 12.7 per 100,000
- On average there are 50 deaths per year in the city of Bristol
- 69% of the deaths are male
- The suicide rate for women is 7.4 per 100,000 (highest among the core cities)

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# Age-standardised mortality from suicide and injury of undetermined

## and injury of undetermined



# High risk groups

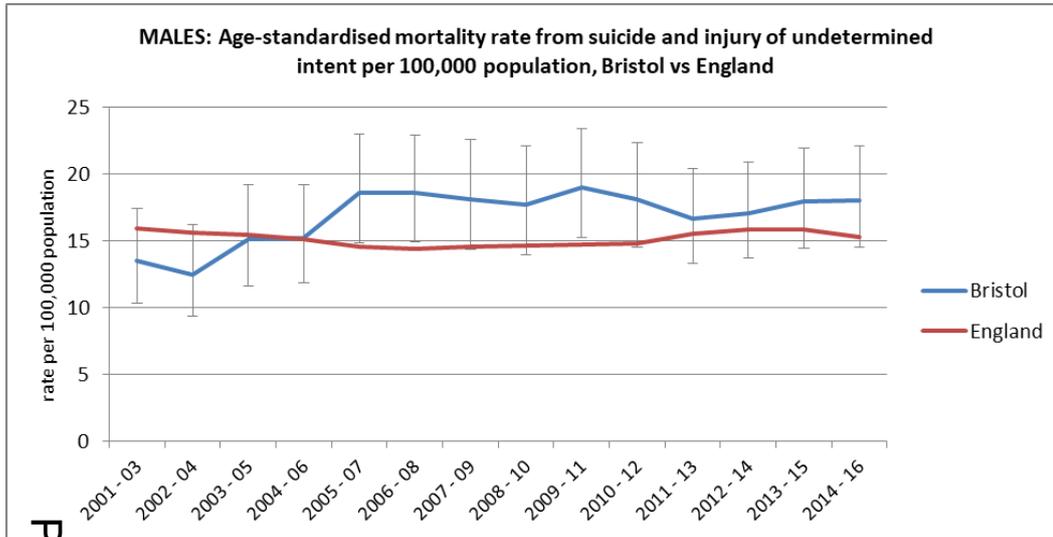
## National

- Young and middle aged men
- People in the care of mental health services
- People with a history of self-harm
- People in contact with the criminal justice system
- Specific occupational groups

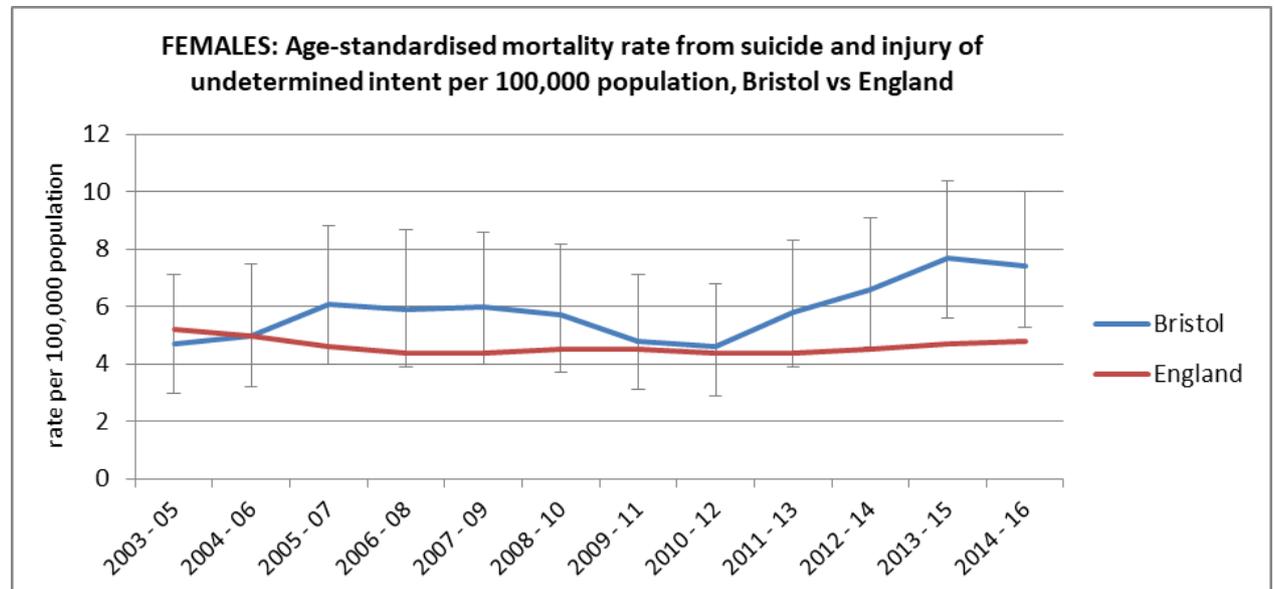
## Avon

- Young and middle aged men
- People with a history of self-harm
- Offenders
- People in contact with mental health services
- 30-44 year old females

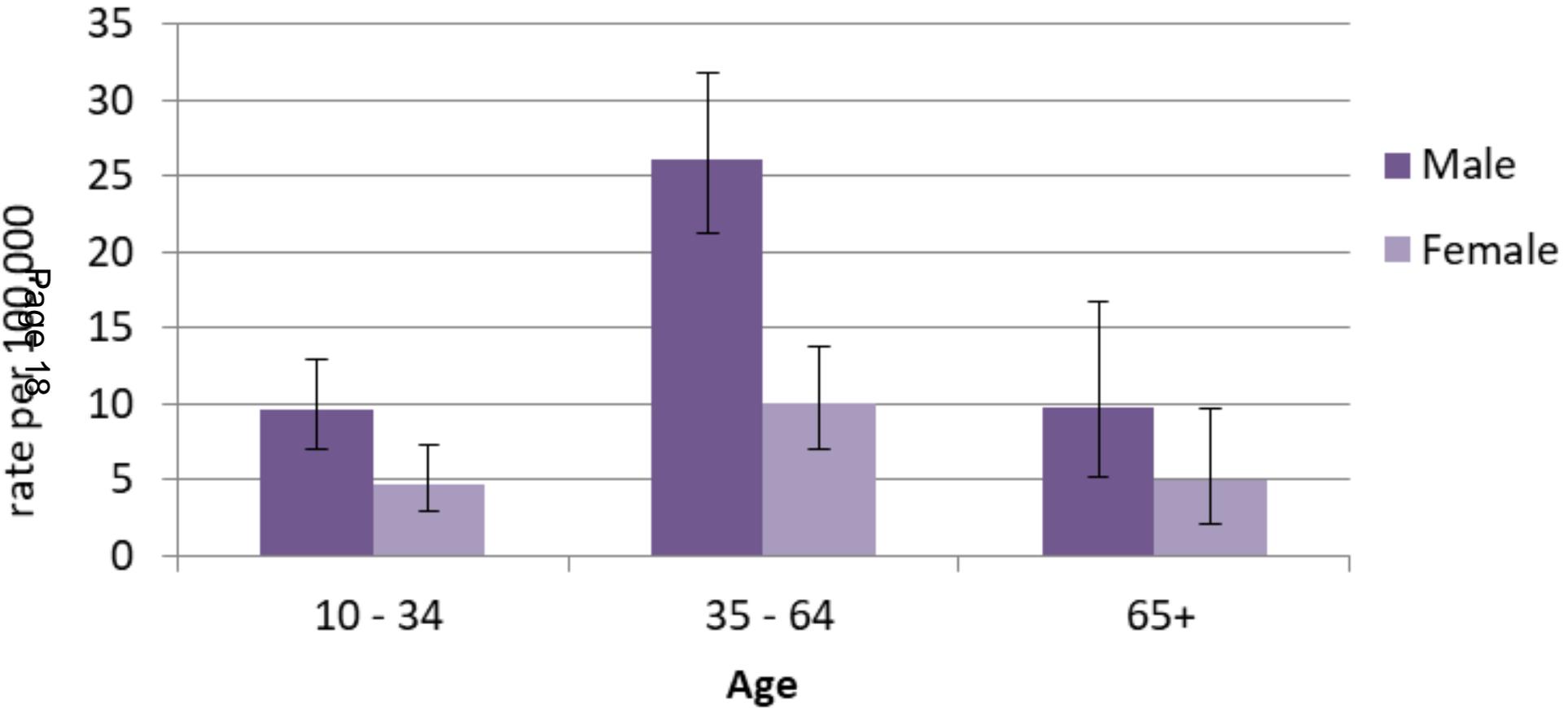
# Males



# Females



Deaths from suicide and injury of undetermined intent: crude rate per 100,000 by age group and gender, 5 year average 2013-2017, Bristol; 95% CI



# Students

- 95 suicide deaths among higher education students in England and Wales in the 2016/17 academic year
- Between the 12 months ending July 2013 and the 12 months ending July 2016, higher education students in England and Wales had a significantly lower suicide rate compared with the general population of similar ages
- Male higher education students had a significantly higher rate of suicide compared to female

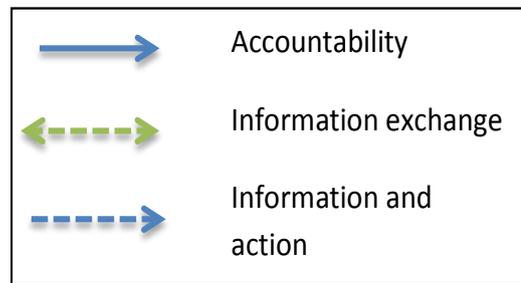
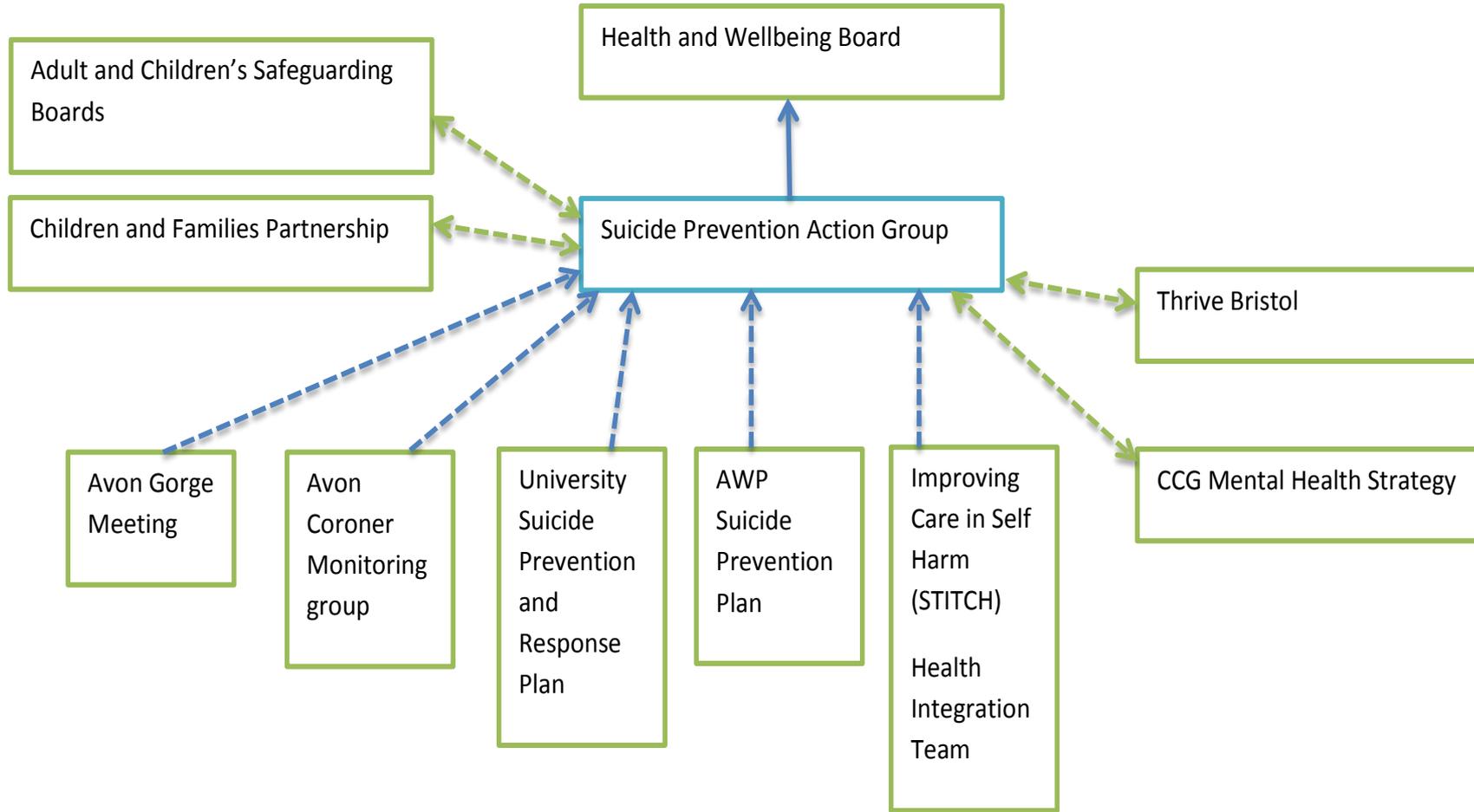
# Suicide Prevention Action Group

- Ensure a Joint Strategic Needs Assessment is undertaken
- Produce a plan based on needs
- Ensure programmes are delivered to reduce the rate of suicide
- Co-ordinate relevant activity and monitor progress

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# Bristol Suicide Prevention Plan

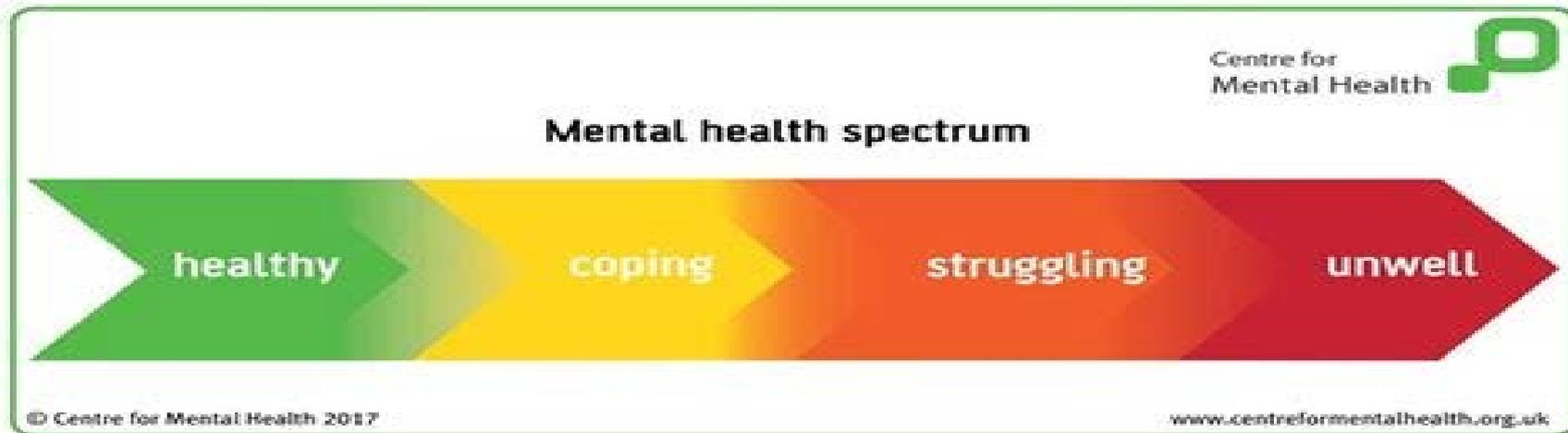
- Reducing risk in specific groups e.g. men
- Supporting those bereaved by suicide
- Tailor approaches to improve mental health  
Lesbian, gay bisexual and transgender people
- Reduce access to means
- Reduce the rates of self-harm
- Support local news media in reporting suicide and suicidal behaviour
- Build motivation and confidence in Bristol people to prevent and respond to suicide



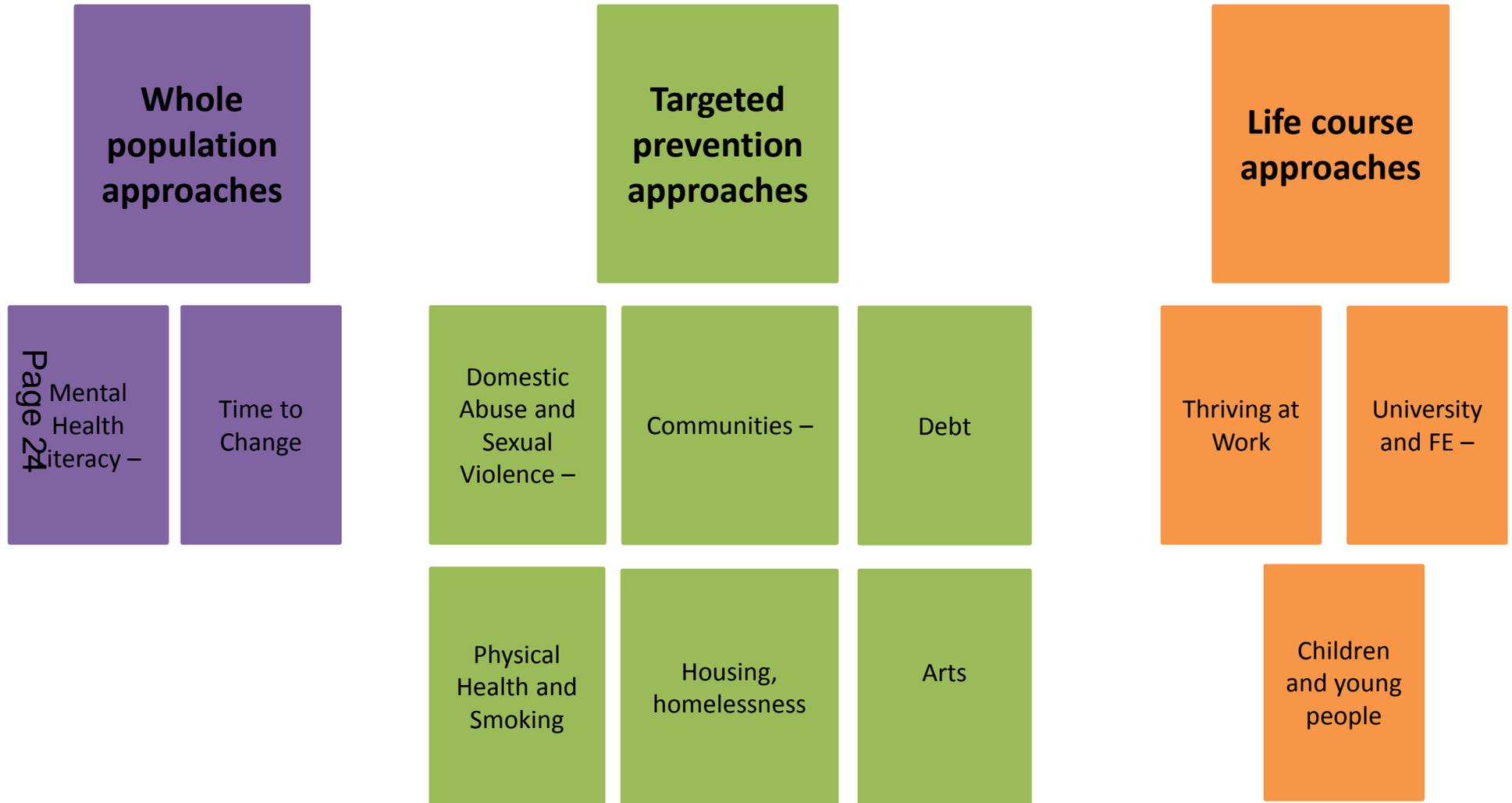
# Thrive: Mentally Healthy City

- City wide population approach to improving mental health and wellbeing of everyone
- We all have mental health

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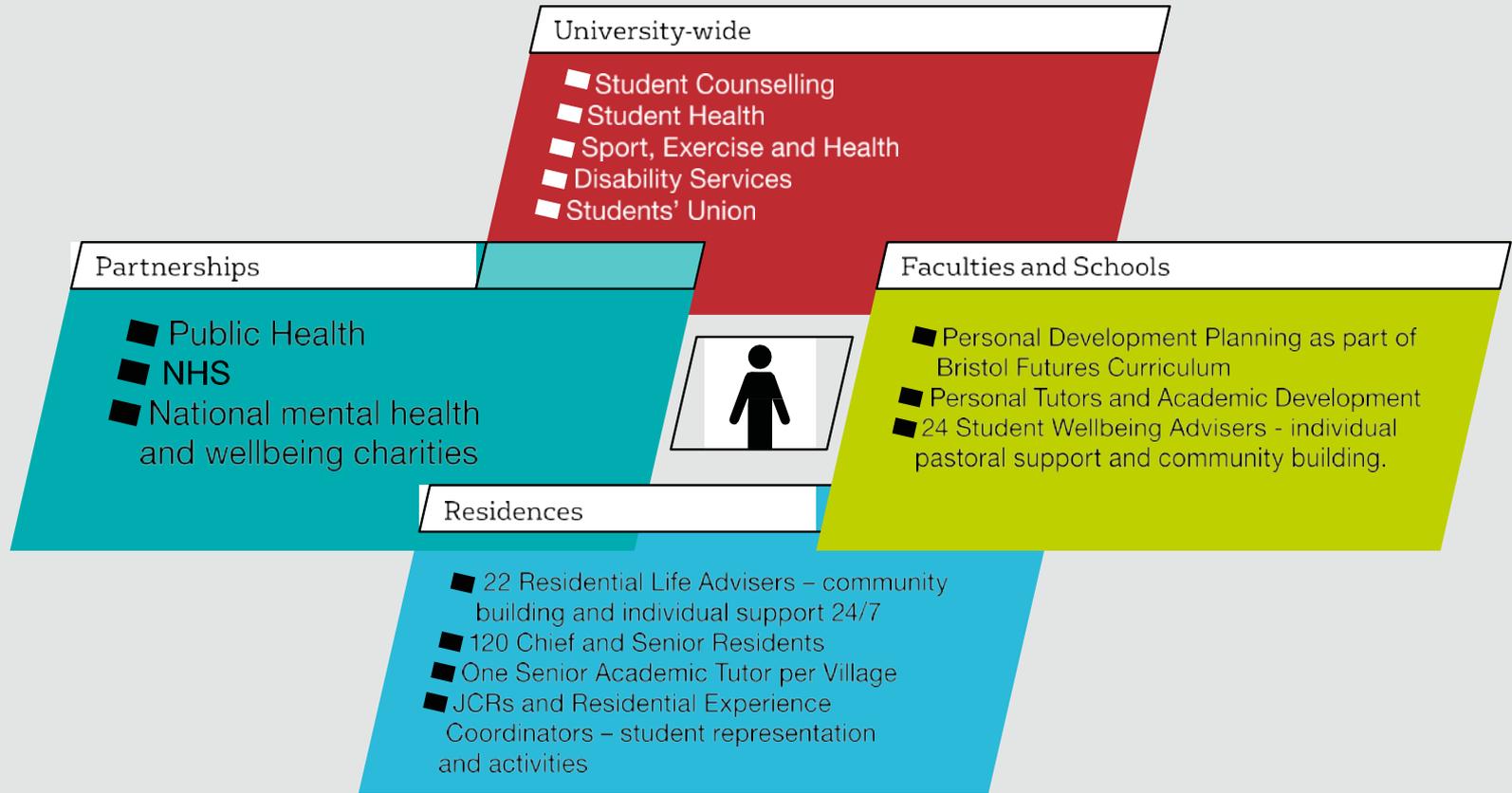
# Thrive Bristol Work Streams



All work streams aligned with city wide mental health strategies and work on ACEs, PIE and Suicide Prevention

# ACE Scrutiny Commission

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# Residences

- Establish new Residential Life Service

- Transition to independent living
- Inclusive community building
- Residential life programme (SEH/Bristol SU)
- Life skills development
- Additional support needs

# Faculties and Schools

- Establish new Student Wellbeing Service
  - Transition to study in HE
  - Inclusive community building
  - Wellbeing self-management
  - Personal Tutoring / PDP
  - Peer led support
  - Additional support needs

# University-wide

- Mental Health and Wellbeing Strategy
- Suicide prevention and response plan
- Acceptable behaviour - Report and Support
- Reframe support services
- Capacity of SCS and SHS
- SEH / Bristol SU partnership working

# Partnerships

- Public Health

- Bristol Thrive
- Substance misuse
- Suicide Prevention and Response

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## NHS

- Strategic and operational
- Access to Primary and Secondary Care
- Service design

# Suicide Prevention and Response Plan

- Prevention

- Social connectedness, skills and resilience
- Reduce access to means
- Early disclosure and information sharing

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- Intervention

- Promote and encourage help-seeking behaviour
- Identifying and responding to students in distress
- Care pathways for a student in distress

# Suicide Prevention and Response Plan

- Postvention

- Responding to a suicide in the university setting
- Management of press and social media
- Identifying and responding to suicide clusters
- Learning from deaths and serious suicide attempts

# Adults, Children & Education(ACE) Scrutiny Commission



**Report of:** Strengthening Families Programme

**Title:** Strengthening Families Programme Update

**Ward:** All

**Officer Presenting Report:** Jacqui Jensen

**Contact Telephone Number:** 0117 3576390

## Recommendation

To note the report

## Summary

This report provides an overview of progress against plan for the Strengthening Families Programme. The programme is currently 6 months into the formal delivery phase having previously been approved by Cabinet. Delivery period is September April 2018 to September 2019, with a benefit realisation period of 5 years (2018 to 2023).

## The significant issues in the report are:

- The programme is largely on track according to time, scope and benefit delivery.
- Bristol is comparing well to core cities against number of children entering care and overall spend.
- There are some risks to future delivery to note.



**Contents (Appendix 1 Scrutiny Commission Update)**

1. Background & Context
2. Programme Benefits
3. Trajectories
4. Financial Benefits
5. Comparison with Core Cities
6. Risk to Delivery
7. Appendices

# 1. Background & Context

As with the national picture, Bristol's Children and Families Service has been experiencing significant budget pressures resulting from: demand in the system; rising weekly placement costs related to a dysfunctional market; and increasing complexity of issues, particularly within the teenage care population. Following the appointment of a new Service Director in May 2017, a series of management actions were implemented to tackle overspending budgets, addressing each area of pressure and these had some positive impact in the short-term.

It was recognised however, that the existing model of delivery did not allow for the pressures to be addressed over the longer term in a sustainable way and was not impacting on demand or enabling delivery of good outcomes for children and families living in Bristol. This was feeding into our challenges around demand pressures, increased costs and workforce instabilities. System-wide transformation was required to bring about sustainable change to focus on the root causes of demand underpinned by ACEs (Adverse Childhood Experiences); improve the partnership response to children and families in need of support; and enable us to deliver our vision and key outcomes.

The Strengthening Families Programme is Bristol's response to these combined challenges and ambitions. A system-wide programme of transformational change was developed, underpinned by a business case for investment, which set out to deliver substantial financial and non-financial benefits over a 5-year delivery period. The Programme received formal Cabinet approval and funding in April 2018, however, work on some transformational activity and early release of benefits pre-dates that.

A focus on ACEs and their impact on health and emotional wellbeing, harming behaviours, alcohol use, drug use, violence, sexual behaviour, incarceration, smoking, poor diet, leading to a higher than average use of health and social care services, underpins the direction of travel within the Strengthening Families programme.

## 1.1 What did we say we'd do and how are we doing?

The **vision** for children and families in Bristol is that they get the "right response, the right assessment, the right help, at the right time".

The **Statement of Intent** for the Programme is to make cost savings whilst holding the ambition of improving outcomes, commissioning and delivering quality services and keeping children and families at the heart of what we do.

- **We want the best** for Bristol's children and young people and they are at the heart of everything we do.
- **We will help families** to achieve the change they want to see for themselves and their children
- **We believe** that children should live with their families or someone who knows them best.
- **We take action** when children need to be protected from harm.
- **We do everything we can** to make sure that the children in our care and care leavers are set up for life.

There are three<sup>1</sup> angles from which we approached the challenge:

1. **DEMAND** – tackling the number of children, young people and families that need our support and reducing the level of that need;
2. **SUPPLY** – how we organise our resources and commission in order to respond to that demand and, within that;
3. **WORKFORCE** – how we organise and support our staff to deliver the most effective and timely response to families.

### 1.3 Current Programme Progress

The programme is currently 6 months into the formal delivery phase having previously been approved by Cabinet. Delivery period is September April 2018 to September 2019, with a benefit realisation period of 5 years (2018 to 2023).

Progress to date is positive due to benefit and savings delivery being validated via the P5 forecast for Division 15 which shows that programme interventions are having the required impact - specifically in terms of reducing numbers of children in care and those placed Out of Authority. All key milestones are being met for headline projects and areas of innovation, however, the pace in other areas of programme activity needs to be stepped up if they are to be delivering benefits in time for 19/20. It is anticipated that with the conclusion of the Ofsted Inspection - signalling the removal of this major risk from the programme - that all areas of required activity will be attended to in short order. Moving forward, the challenge will be to maintain this position where it is accepted that there is volatility in budgets. Two major risks were de-escalated and/or closed during September in relation to the Ofsted Inspection and delivery of MASH telephony.

## 2. Programme Benefits

### 2.1 The following change and benefits will be realised through implementing the Strengthening Families Programme:

- a) Families will be supported to be more resilient, more children will be safely cared for within their birth families or extended families.
- b) The Right Child will receive the Right Service at the Right Time in the Right Place. We will do this by integrating our locality and area children's services to assist us in the development of a seamless service organised around children and family's needs. We will bring together partners and multi-disciplinary staff to ensure that families receive the right assistance and advice at the point need is identified.
- c) More children and families will receive support from universal and early help providers. This will be achieved as we increase support to schools and providers through our Integrated Localities and 'Team around the School' approaches.

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<sup>1</sup> A detailed explanation of each of the three challenges is contained within the Strengthening Families Full Business Case.

- d) We will reduce the number of children entering care during their teens. We will do this by creating or commissioning an Edge of Care service which provides intensive support to families at risk of breakdown.
- e) Children in Care will increasingly be looked after within families: foster families or their extended families. We will do this by increasing our foster carer households and supporting retiring foster carers to provide short breaks or crisis care.
- f) Children in Care will be safely reunited with their families. We will do this by providing intensive support to return children safely back to their birth families through a new Reunification (intensive support) Team to ensure sustainability.
- g) There will be significantly fewer children and young people placed in Out of Authority residential settings (they will instead be placed in a new model of local small children's homes providing accommodation for two children or young people).
- h) Staff will be better supported to carry out their role, through improved training and a reduction in workload and roll out of mobile technology.

### 3. Programme Trajectories

**3.1 The following trajectories are tracked to measure success in achieving the programme benefits:**

**a) Number of Children Entering Care Reduces**

Children in care rate per 10,000 reduced to 69 which are below stat neighbours and core cities. UASC make up 6% of our looked after population. We have been intent on eradicating drift and delay for children with a Child Protection Plan.

This focused work has:

- reduced the number of CP plans lasting over 2 years (3 children; one family)
- 8% of CP Plans have been in place over 12 months
- increased the number of CP plans that end at the first review
- Enabled us to reduce the time between CP reviews

**b) Number of Older Children Entering Care Reduces**

Through the programme, we have focused on reducing the need for adolescent entry to care by improving support to young people and families as a safe alternative.

To complement a recommissioned Targeted Youth Service, we used programme investment to work with a deliver partner to deliver a 6-month intensive Edge of Care service with 50 adolescents. Alongside this, we developed our own multidisciplinary edge of care and custody service based on our successful FIT (Family Intervention Teams).

The new Strengthening Families Service launched on 10 September 2018 and enhances our response to contextual safeguarding.

**c) Caseloads are Reduced to Recommended Levels**

The reduction in area caseloads has largely been driven by a relentless focus on reducing drift in case work and ensuring that case work which has lasted over 18 months is completed and either stepped down or closed.

A commissioned contract to close cases has finished recently. Now that grip in drift is evident the focus shifts to through put and threshold management. The average caseloads by area teams range from 18 to 23.

Strengthening Families has invested in an Exit from Care team and Strengthening Families (edge of care) Team which has bought additional capacity to the system.

**d) Children Exiting Care Via an Appropriate Route**

Increasing the number children exiting care via an appropriate route is a key metric for the programme. We continue to work on this metric so that it can properly evidence the impact the programme is having (for example, a downward trajectory may be more accurately linked to a lower care population rather than declining performance in achieving permanence). There is additional capacity to address this gap coming soon.

**e) Use of In-House Foster Carers Increases**

There is existing strong performance in our use of in-house foster carers compared to IFA's, however, the programme seeks further improvements to deliver savings (an increase of 77 placements sought over the next 3 years)

We are now working with the Behavioral Insights Team on our recruitment campaigns and pursuing other activity driven by a Foster Care Summit event.

**f) Quality of Partner referrals to First Response Improves**

A reduction in the number of contacts resulting in 'no further action' is an indicator that partners understand our thresholds.

A future refinement of this metric is to view contacts 'v' no further action by referring agency e.g. Police, schools, health, so we can determine where we are having the most and/or least impact in terms of our approach

**g) Cases 'Stepped Down' from Social Care Increases**

This is considered to be a key metric in determining the success of our integrated locality arrangements and Family in Focus teams. This is not something historically recorded as the cases traverse two systems and is therefore problematic but it is something we are developing

**h) Workforce is Enabled to Deliver High-Quality Practice**

This metric is currently still in development.

## 4. Financial Benefits

The Strengthening Families programme received investment to deliver better ways of working to get better outcomes for children. The circumstances for individual children will be varied. However, over the five year programme, these service improvements should

mean that overall average placement costs will be cheaper, average durations may be shorter and average numbers of placements should be lower. Tracking the costs and numbers of placements is important in understanding whether these changes are happening.

#### 4.1 Quarterly Children in Care numbers

The following table presents a snapshot of average costs at 31st March 2018. The analysis of Looked After Children indicates that:

- Overall numbers of LAC have reduced by 32 (5%) since the end of March 2017.
- At the snapshot average weekly costs rates, this would have reduced overall LAC costs by £1.5m over a year.
- If the actual cost of changed placements was different to the average snapshot values, this would affect the overall position.
- Numbers of agency foster care, a key part of the Strengthening Families savings plan, had been reducing, but has increased again since April 2018.
- Numbers of in-house foster care have been reducing since March 2017, rather than increasing.
- A key issue is whether the reduced numbers and costs are offset by higher numbers and continuing costs of care leavers or Special Guardianship cases. This line of enquiry is what officers are pursuing and will report on at a future meeting.

**Summary of children's placement numbers and estimated costs (based on averages)**

|                                 | 31/03/2017   | 30/06/2017   | 30/09/2017   | 31/12/2017   | 31/03/2018   | 30/06/2018   | 30/09/2018   |
|---------------------------------|--------------|--------------|--------------|--------------|--------------|--------------|--------------|
|                                 | Nos          |
| Total LAC                       | 686          | 673          | 661          | 653          | 643          | 654          | 643          |
| Total Permanency with a cost    | 586          | 584          | 590          | 584          | 594          | 596          | 596          |
| Total Care Leavers with a cost* | 115          | 120          | 121          | 125          | 130          | 130          | 130          |
| <b>Total placements</b>         | <b>1,387</b> | <b>1,377</b> | <b>1,372</b> | <b>1,362</b> | <b>1,367</b> | <b>1,380</b> | <b>1,369</b> |

|                    | 31/03/2017    | 30/06/2017    | 30/09/2017    | 31/12/2017    | 31/03/2018    | 30/06/2018    | 30/09/2018    |
|--------------------|---------------|---------------|---------------|---------------|---------------|---------------|---------------|
|                    | £'000         | £'000         | £'000         | £'000         | £'000         | £'000         | £'000         |
| LAC costs          | 24,375        | 23,511        | 23,223        | 23,526        | 22,709        | 23,150        | 22,640        |
| Permanency costs   | 5,088         | 5,069         | 5,139         | 5,111         | 5,202         | 5,324         | 5,324         |
| Care Leaver costs* | 1,756         | 1,872         | 1,931         | 2,030         | 2,157         | 1,738         | 1,738         |
| <b>Total costs</b> | <b>31,219</b> | <b>30,453</b> | <b>30,293</b> | <b>30,667</b> | <b>30,069</b> | <b>30,211</b> | <b>29,702</b> |

## 5. Core Cities Comparison

The LGA estimates that a minimum of £2 billion will be required by 2019/20 to fund the additional pressures on children's services brought about by a growing population and inflation.

### 5.1 Number of Looked after Children Increases

The number of looked after children continues to increase; it has increased steadily over the last nine years. At 31<sup>st</sup> March 2017 there were 72,670 looked after children, an increase of 3% on 2016.

The number of children starting to be looked after in 2016-17 has also risen in recent years and has increased 2% compared with the previous year.

## 6. RISK TO DELIVERY

A number of key risks have been identified to continuing delivery of planned benefits, which unless mitigated, may negatively impact on the delivery of the programme and ultimately achievement of savings. Risks include:

- Increasing our in-house foster carer placements. We are already a high performer in this area and additional gains become increasingly more difficult to access. Stagnant rates for foster carers exacerbate this ambition to deliver -£322,350 savings.
- Increasing risk of demand pressures arising from continuing austerity.
- An emphasis on delivery by operational service manager and service leads creates a friction with the day-job and impedes capacity to deliver transformational change.
- We are experiencing a bulge in our Care Leaver numbers which will increase pressure on that budget.
- Potential inflationary growth on residential placements (c1.4%). While we have held prices down, there will be pent up cost pressures in the system which cannot be contained forever.
- Our ambition to recruit and retain experienced social workers is compromised by current levels of pay which are increasingly out of step with neighbouring authorities.
- We continue to have limited information about placement trends in data and activity due to the lack of a suitable finance module for the LCS record system.



strengthening  
families

Page 41

# Strengthening Families

## ACE Scrutiny Commission

18 October 2018



# Future Council:

## what will delivering our priorities mean for Bristol's Children and Families

1. Families are supported at the first point of need; partners 'hold the child's hand', understanding the effects of ACEs, bringing in specialist support only when necessary

3. Through a whole-family approach, strengths-based practice and child-centred plans we **identify and target outcomes agreed with parents**. We provide proportionate interventions where we **'do it once and do it well'**. We review Plans to ensure effectiveness and proportionality

5. We make prompt 'forever family' decisions. children in care and care leavers are central to the council's decision making; they live with families close to their community and can stay put into adulthood; children in residential care live in 'outstanding' homes;

Integrated Localities



High quality practice



Children in care will have 'earlier' permanence



1

2

3

4

5

6



Front Door First Response and MASH



More children will live within families



Strategic commissioning

2. Children are protected promptly, our response will be proportionate to the concern; Partners understand risk and thresholds together we ensure that children are served well by the best service

RIGHT CHILD, RIGHT TIME, RIGHT SERVICE  
Partners will have access to systems and processes which make it easier for us to work together

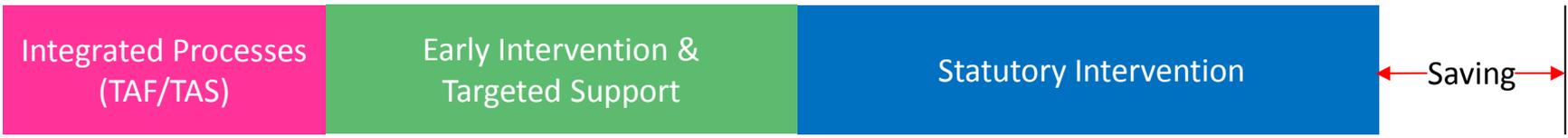
4. We support families on the edge of breakdown to safely care for their children or find other family members to care. Fewer teens enter care and we support others to return home safely

6. We provide good value for money for citizens through a joint/integrated commissioning team; we have developed the local provider market; we only use 'outstanding' providers and retain a tight focus on cost and outcomes

AS-IS



TO-BE

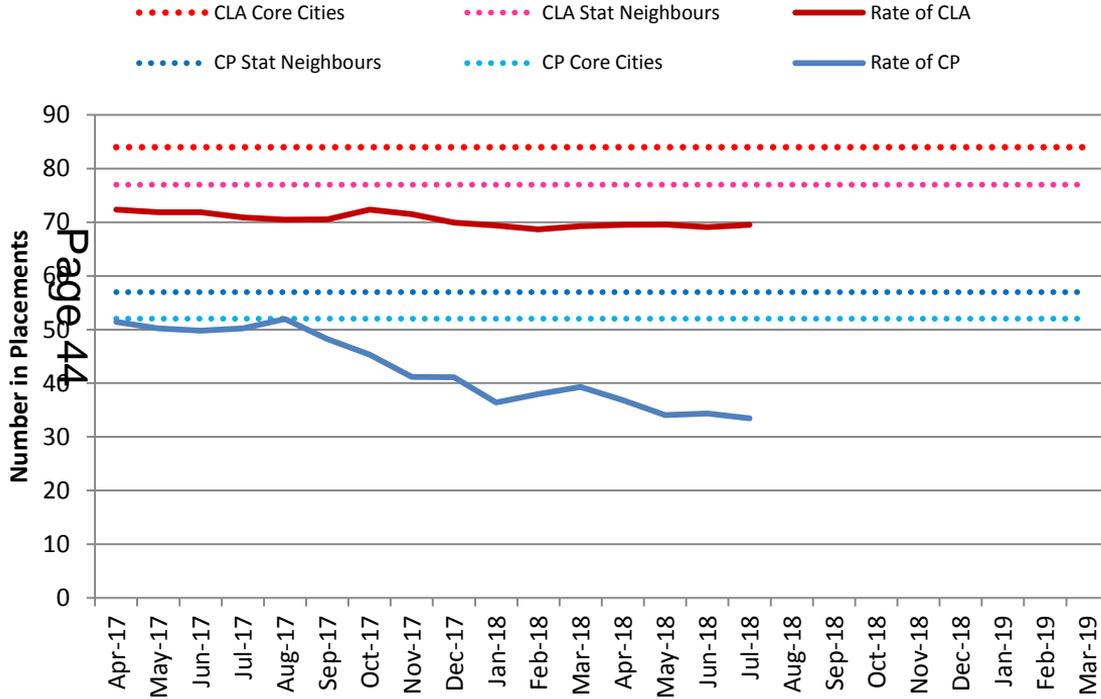


# 1. Number of children entering care reduces

RAG

Commentary

### Rates of children CLA and CP



Children in care rate per 10,000 has reduced to 69 which is below stat neighbours and core cities. UASC make up 6% of our looked after population.

We have been intent on eradicating drift and delay for children with a Child Protection Plan. This focused work has:

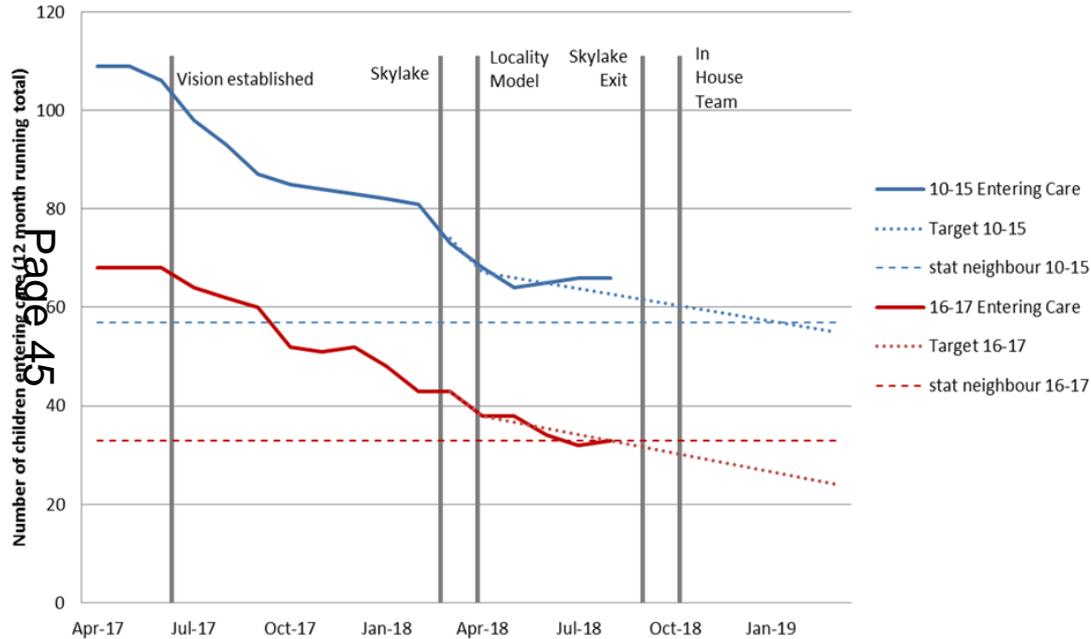
- reduced the number of CP plans lasting over 2 years (3 children; one family)
- 8% of CP Plans have been in place over 12 months
- increased the number of CP plans that end at the first review
- Enabled us to reduce the time between CP reviews

## 2. Number of older children entering care reduces

RAG

Commentary

Goal - To reduce the number of older children (10-15 and 16-17) entering care



Through the programme, we have focused on reducing the need for adolescent entry to care by improving support to young people and families as a safe alternative.

To complement a recommissioned Targeted Youth Service, we used programme investment to work with a deliver partner to deliver a 6-month intensive Edge Of Care service with 50 adolescents. Alongside this, we developed our own multidisciplinary edge of care and custody service based on our successful FIT (Family Intervention Teams). The new Strengthening Families Service launched on 10 September 2018 and enhances our response to contextual safeguarding.

## 2. Number of older children entering care reduces

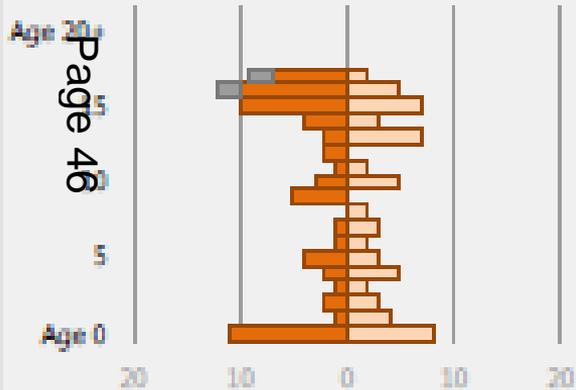
RAG

Commentary

### Age Profile of Children Entering Care

#### Age and gender

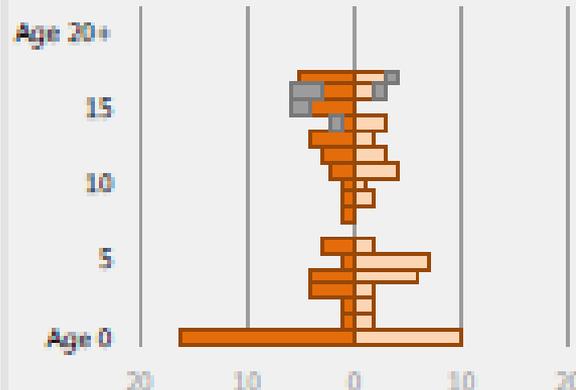
67 Males (50%)      63 Females (47%)  
4 UASC M (3%)      0 UASC F (0%)  
0 Unknown (0%)



August 2017

#### Age and gender

55 Males (48%)      51 Females (45%)  
6 UASC M (5%)      2 UASC F (2%)  
0 Unknown (0%)



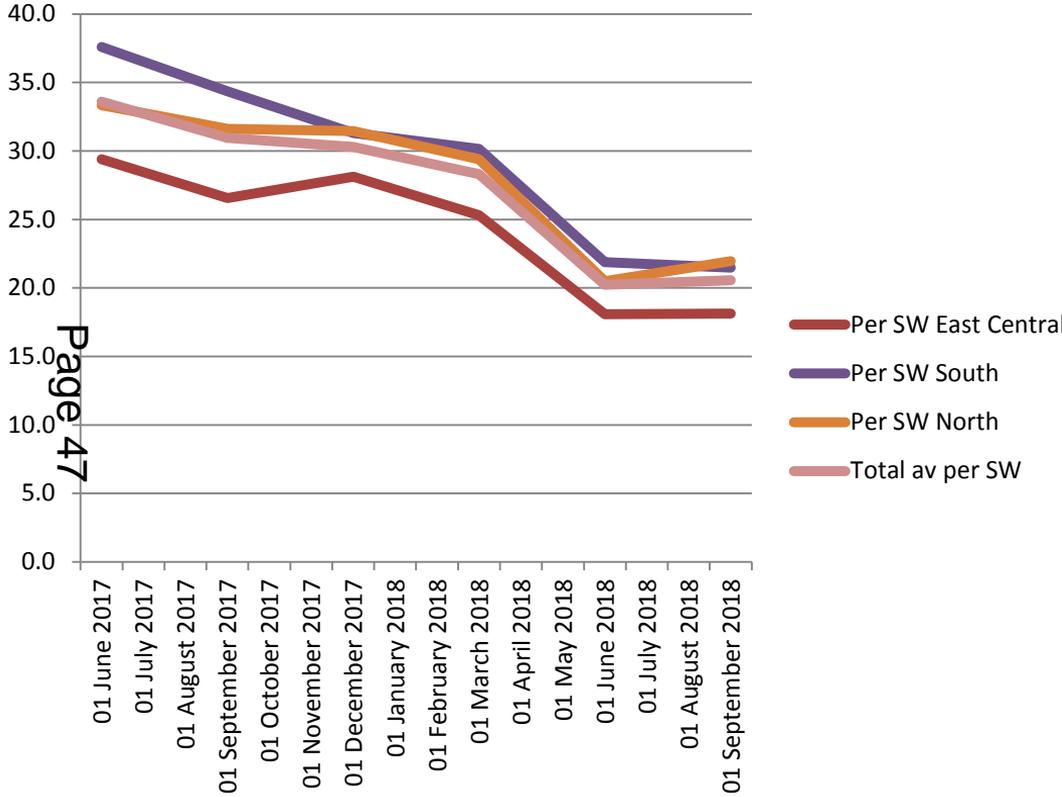
August 2018

Working with a delivery partner to focus on edge of care innovation, we have been able to support more teenagers to live with their families and to reach younger children who need our care quickly, we have changed the age profile of children entering care. Our in-house service was launched in September as the work with the delivery partner concluded.

### 3. Caseloads are reduced to recommended levels

RAG

Commentary



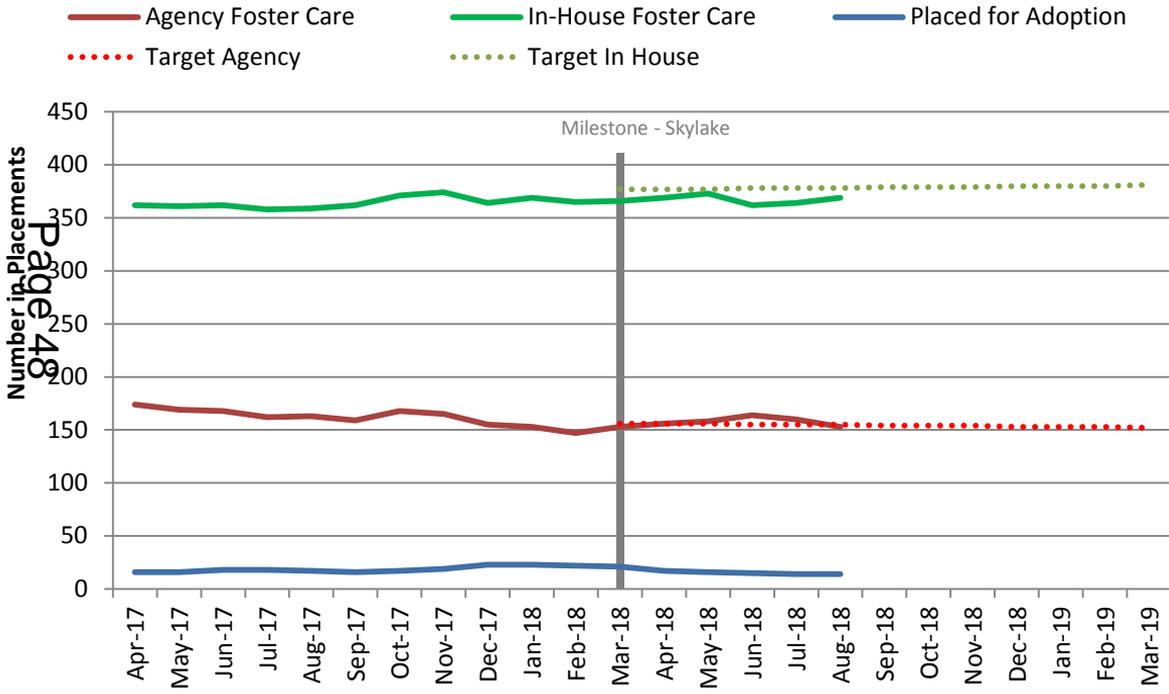
The reduction in area caseloads has largely been driven by a relentless focus on reducing drift in case work and ensuring that case work which has lasted over 18 month is completed and either stepped down or closed. A commissioned contract to close cases has finished recently. Now that grip in drift is evident the focus shifts to through put and threshold management. The average caseloads by area teams ranges from 18 to 23. Strengthening Families has invested in an Exit from Care team and Strengthening Families (edge of care) Team which has bought additional capacity to the system.

# 5. Use of in-house foster carers increases

RAG

Commentary

Goal - To Reduce Placement Costs (Shift IFA To In House Fostering)



There is existing strong performance in our use of in-house foster carers compared to IFA's , however, the programme seeks further improvements to deliver savings (an increase of 77 placements sought over the next 3 years)

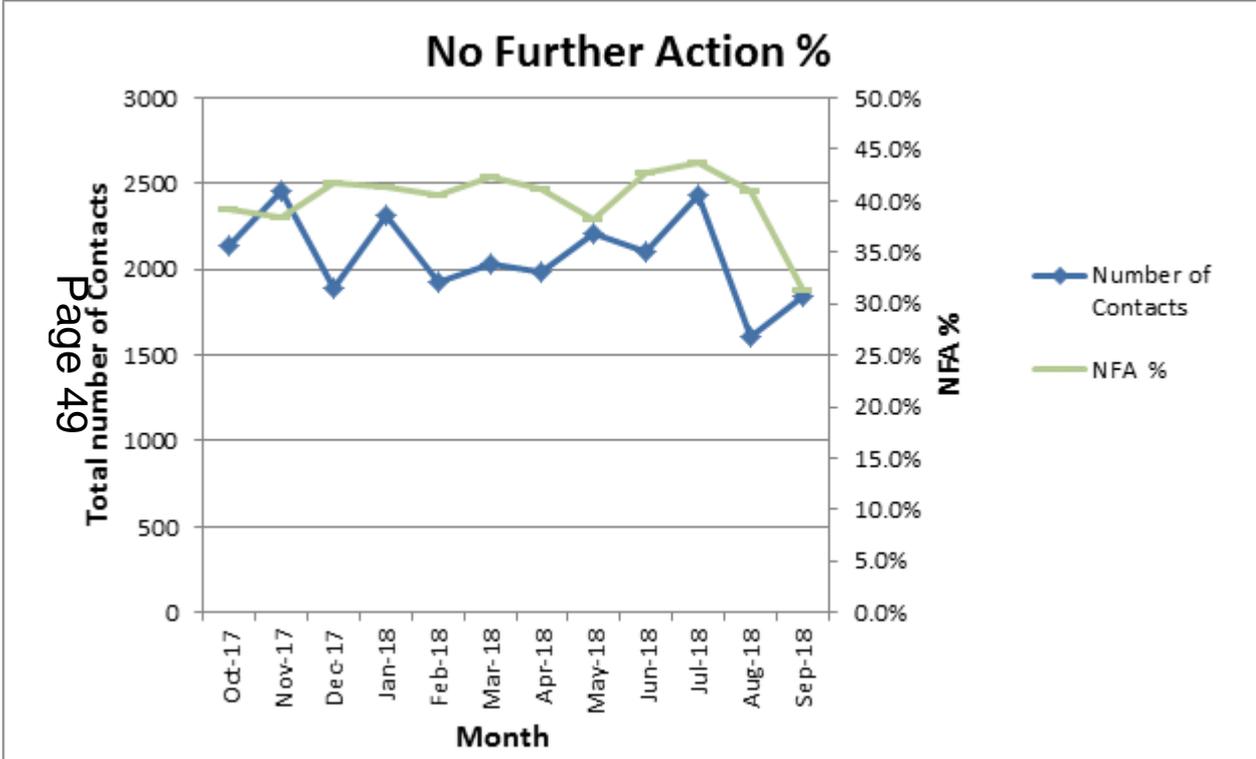
We are now working with the Behavioural Insights Team on our recruitment campaigns and pursuing other activity driven by a Foster Care Summit event.

Page 48

# 6. Quality of partner referrals to First response improves

RAG

Commentary



A reduction in the number of contacts resulting in 'no further action' is an indicator that partners are understanding our thresholds. A future refinement of this metric is to view contacts 'v' no further action by referring agency e.g. Police, schools, health, so we can determine where we are having the most and/or least impact in terms of our approach.

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## Introduction:

- The Strengthening Families programme received investment to deliver better ways of working to get better outcomes for children.
- The circumstances for individual children will be varied. But, over the five year programme, these service improvements should mean that overall average **placement costs** will be **cheaper**, average **durations** may be **shorter** and average **numbers** of placements should be **lower**.
- Tracking the costs and numbers of placements is important in understanding whether these changes are happening.

# Quarterly Children in Care numbers:

| Heading  | Category                                 | Mar-17         | Jun-17         | Sep-17         | Dec-17         | Mar-18         | Jun-18         | Average Weekly cost £ |
|--|--|----------------|----------------|----------------|----------------|----------------|----------------|-----------------------|
| Bristol Residential                                  | Bristol Home or School                   | 16             | 19             | 16             | 16             | 12             | 12             | £4,001                |
|  | Bristol Supported Accommodation          | 3              | 6              | 9              | 5              | 3              | 3              | £168                  |
| <b>Bristol Residential Total</b>                     |  | <b>19</b>      | <b>25</b>      | <b>25</b>      | <b>21</b>      | <b>15</b>      | <b>15</b>      | <b>£2,000</b>         |
| Foster Care  | Agency Foster Care                       | 170            | 168            | 164            | 158            | 156            | 172            | £787                  |
|  | In-House Foster Care                     | 375            | 362            | 363            | 366            | 368            | 368            | £327                  |
|  | Bristol Family or Mother & Baby Unit     |                |                | 1              | 1              | 1              | 1              | £2,000                |
|  | Placed for Adoption                      | 17             | 18             | 16             | 22             | 21             | 16             | £39                   |
| <b>Foster Care Total</b>                             |  | <b>562</b>     | <b>548</b>     | <b>544</b>     | <b>547</b>     | <b>546</b>     | <b>557</b>     | <b>£444</b>           |
| Non-Bristol Residential                              | Non-Bristol Family or Mother & Baby Unit | 4              | 1              | 1              | 4              | 2              | 1              | £3,488                |
|  | Non-Bristol Home or School               | 38             | 40             | 40             | 36             | 36             | 38             | £2,805                |
|  | Non-Bristol Supported Accommodation      | 36             | 34             | 30             | 25             | 22             | 20             | £701                  |
| <b>Non-Bristol Residential Total</b>                 |  | <b>78</b>      | <b>75</b>      | <b>71</b>      | <b>65</b>      | <b>60</b>      | <b>59</b>      | <b>£3,488</b>         |
| Other  | Other                                    | 6              | 4              | 2              | 1              | 1              |                | £0                    |
|  | Parent/Ind Living                        | 20             | 20             | 18             | 15             | 17             | 19             | £19                   |
|  | Secure                                   | 1              | 1              | 1              | 4              | 4              | 4              | £2,703                |
| <b>Other Total</b>                                   |  | <b>27</b>      | <b>25</b>      | <b>21</b>      | <b>20</b>      | <b>22</b>      | <b>23</b>      | <b>£690</b>           |
| <b>Grand Total</b>                                   |  | <b>686</b>     | <b>673</b>     | <b>661</b>     | <b>653</b>     | <b>643</b>     | <b>654</b>     | <b>£710</b>           |
| <b>Estimated cost at snapshot average cost £'000</b> |  | <b>£24,466</b> | <b>£24,490</b> | <b>£23,697</b> | <b>£23,677</b> | <b>£22,308</b> | <b>£22,992</b> |                       |

# Children's social care at breaking point, council leaders warn

Children's social care is being pushed to breaking point, with growing demand for support leading to 75 per cent of councils in England overspending on their children's services budgets by more than half a billion pounds, council leaders warn.

Children and young people

Children's social care

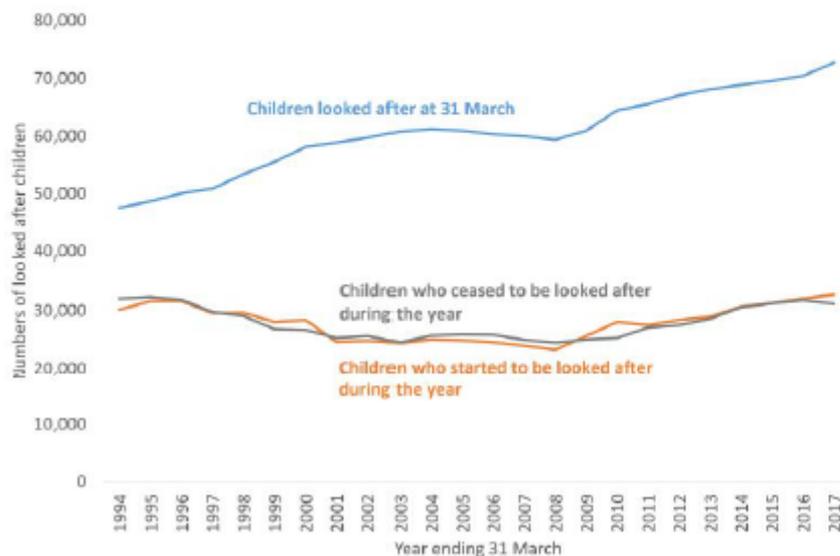
09 Aug 2017



The LGA estimates that a minimum of £2 billion will be required by 2019/20 to fund the additional pressures on children's services brought about by a growing population and inflation.

## The number of looked after children continues to increase

### Number of children looked after at 31 March and starting and ceasing to be looked after during the year, 1994 to 2017



The number of looked after children continues to increase; it has increased steadily over the last nine years. At 31 March 2017 there were 72,670 looked after children, an increase of 3% on 2016.

The number of children starting to be looked after in 2016-17 has also risen in recent years and has increased by 2% compared with the previous year.

The number of children ceasing to be looked after in 2016-17 has fallen by 2% compared with the previous year.

Source: SSSA 903

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## Risks to continuing delivery of planned benefits:

- Increasing our in-house foster carer placements . We are already a high performer in this area and additional gains become increasingly more difficult to access. Stagnant rates for foster carers exacerbates our ambitions.
- Increasing risk of demand pressures arising from continuing austerity.
- An emphasis on delivery by operational service manager and service leads creates a friction with the day-job and impedes capacity to deliver transformational change.
- We are experiencing a bulge in our Care Leaver numbers which will increase pressure on that budget.
- Potential inflationary growth on residential placements (c1.4%). While we have held prices down, there will be pent up cost pressures in the system which cannot be contained forever.
- Our ambition to recruit and retain experienced social workers is compromised by current levels of pay which are increasingly out of step with neighbouring authorities.
- We continue to have limited information about placement trends in data and activity due to the lack of a suitable finance module for the LCS record system.

# Adults, Children & Education(ACE) Scrutiny Commission



**Report of:** Adults Children and Education Directorate

**Title:** Adverse Childhood Experiences

**Ward:** All

**Officer Presenting Report:** Dr Jacqui Jensen

**Contact Telephone Number:** 0117 3576390

## **Recommendation**

To note the report.

## **Summary**

Our long term aim is to build an ACE resilient city, to prevent children from being impacted by ACE's and have healthier happier lives. We intend to support adults who have been impacted by ACE's themselves and support them to be better parents and be healthier adults.

We intend to develop Bristol as an ACE resilient city, using research intelligence to inform service design, which will then improve outcomes for residents across the life-course, reduce health inequalities, and consequently ensure the sustainability of services.

We have reached out to partners across the city to gain intelligence from their experiences and those of their service users to inform our work.

We are connecting with Public Health Wales and the public sector in Wales who have received significant funding and it is hoped that they will support our workforce development plans.



## 1. Summary

- a) We are the first local authority and partners who intend to develop our work on ACE's across the life course. Our ultimate aim is to build an ACE resilient city, to prevent children from being impacted by ACE's and have healthier happier lives. We intend to support adults who have been impacted by ACE's themselves and support them to be better parents and healthier adults.
- b) We will have a short strategy and plan, which will include workforce development and the eradication of ACE's will be a strand in the One City approach and Plan.
- c) A Bristol Health Partnership HIT (Health Improvement Team) expression of interest is being developed to further exploit research including the local children of the 90's research findings.
- d) All statutory partners, including neighboring LA's are intent on working together to minimize the impact of ACE's on local people.

## 2. Context

ACEs (Adverse Childhood Experiences) are negative experiences in early life and childhood that can have an impact on health and wellbeing throughout life.

Evidence to date has identified the following ACEs:

- Direct: physical, emotional or verbal abuse and physical or emotional neglect
- Indirect: domestic violence, parental drug/alcohol misuse, parental criminal behaviour/incarceration, parental mental illness and bereavement (linked to death or separation)

There is a significant body of evidence that these stressful experiences during childhood have a profound impact on an individual's life chances. Research has shown a causal relationship between ACEs and poor physical and mental health and socioeconomic outcomes. The impact of those stresses in childhood can lead to a higher risk of adopting health-harming behaviours (e.g. drug and alcohol misuse and risky sexual behaviours), performing poorly in school and involvement with the criminal justice system. It can also lead to poorer health outcomes throughout the life course, and an early death. The more adversity a child experiences the more likely it is to impact upon their lifelong mental and physical health.

We are working with local and regional partners to develop a joined up approach to break the cycle of ACEs. We intend to take a life course approach that addresses the root causes of ACEs but also provides support for the symptoms.

### Summary of Actions

- Hot Coffee, Hot Topic Session on Domestic Abuse/Contextual Safeguarding, March 2018: This initiated work on 'ACE Bristol'.
- ACEs Workshop, April 2018: Brought together key leaders across the city (and our neighbouring LA's) to a learning and discussion forum with leading academics to build consensus in how we tackle ACEs across our child and adult population.

- ACEs resilient city ambition embedded within the One City Approach. The ‘Children’s Strand’ of the Plan focusses on addressing ACEs.
- Multiagency Bristol Task and Finish Group in Place, coordinated by the Mayors Office. Three thematic Task and Finish Group meetings have been held with partners, with input from over 40 partners (summary of themes below). A further 3 more meetings are scheduled.
- Regional network in place to support information sharing and identification of opportunities for joint work. This is coordinated by Avon and Somerset Police.
- Links developed with ACE Wales team, jointly with Avon and Somerset Police partners. We are currently exploring whether Bristol can be the pilot area for roll out of resources developed in Wales. ACE Wales received over £6 million for a programme of work on ACEs from the Police Transformation Fund.
- There is momentum towards a BNSSG approach – and some discussion of the possible development of an ‘ACE informed’ CCG (and the STP an ACE informed STP). This would be the first in the country. Policy Officers across BNSSG are working together to share materials and develop a ‘case for change’ with high level milestones / a proposed timetable for implementation.
- Research:
  - ACE HIT being developed with Bristol Health Partners. This is at Expression of Interest Stage and will be considered for approval to develop a full proposal in November.
  - Funding bid to ARC West for regional resource for ACEs Research

### **Where are we now?**

There has been widespread support which is building momentum for work on ACEs, and there is an appetite to be ambitious.

The links with BNSSG colleagues are positive and there is a mutual understanding that each of the areas need to work at a pace that works with the structures and opportunities within the areas. It is likely that through the BNSSG working group we will develop a BNSSG ‘vision / strategy’ (e.g. two page overview). This is intended to support consistency in language, allow us to share in resources where practical and to gain the benefits of a strong regional approach, whilst at the same time allowing for local flexibility in implementation.

The Bristol Task and Finish Group are informing the development of a Bristol action plan, which will make good use of the development of our integrated locality working arrangements.

The core themes coming out of the work in the Task and Finish Group are summarised below, with examples of some of the questions being raised:

1. **Leadership & Strategy:** How can we achieve greater alignment of organisational strategies across the partnership, supported by more joined up performance frameworks that don't see indicators in isolation? How can we ensure this leads to more connected pathways and commissioning?
2. **Commissioning:** How can we move from a system that focusses on the symptoms of ACEs to a whole system understanding, where we design services around experience, and invest to save? How do we create a system where there is fluidity of our collective resources?
3. **Workforce:** How do we give the workforce the skills, confidence and support structures they need to talk about ACEs? Who is the workforce when we think of a life course approach? How can we bring the workforce together for more integrated working, whilst recognising professional expertise and identity?
4. **Communities and Families:** How do we improve the way we work so that families and communities are enabled to solve problems and find long term solutions?
5. **Impact:** How will we evidence our collective impact and make best use of evidence and research opportunities?

### **Next Steps**

- Continue to develop the ACE Bristol Action Plan through the Task and Finish Group, to be in place for Spring 2019. This is likely to include plans for training, communications and development of a structure through which this can be delivered.
- Continue to work with BNSSG partners to develop a Case for Change and an overarching vision.
- Continue to learn from research and other areas working on ACEs.
- Submit Expression of Interest for an ACE HIT (BNSSG remit).
- Explore opportunities for joint work with ACE Wales (Train the Trainer opportunity)
- Host partnership conference: 17th January 2019, We The Curious.
- Ensure ACEs are central to future partnership arrangements.
- Capitalise on quick wins and use opportunities in recommissioning and strategy development.

### **3. Policy**

- Adult and children's safeguarding statutory duties
- Crime reduction statutory duties
- Giving children the 'best start in life' Public Health statutory duty

### **4. Consultation**

All work outlined above has been undertaken with internal and external partners

### **5. Public Sector Equality Duties**

There is no reduction in our service delivery in relation to ACE's, it is an enhancement of our service and our partnership offer. The ACE approach is underpinned by our Equality duties and covers all sectors with protected characteristics.

**Appendices:** None

**LOCAL GOVERNMENT (ACCESS TO INFORMATION) ACT 1985**

**Background Papers:** None

# Adults, Children & Education(ACE) Scrutiny Commission



**Report of:** Adults Children and Education Directorate

**Title:** Children’s Centres and Locality Integration

**Ward:** All

**Officer Presenting Report:** Dr Jacqui Jensen

**Contact Telephone Number:** 0117 3576390

## Recommendation

Note the report

### The significant issues in the report are:

The three local areas are moving rapidly towards a ‘Systemic Leadership’ approach, working together to provide a seamless service to families and their children.

Children’s Centres ‘Sector Leads’ are key systemic leaders, engaging with leaders in children’s social care, Families in Focus (council targeted services), Health and police to prioritise resources and mitigate risk to children. Work is underway to engage Schools and voluntary sector colleagues in the approach.

The Systemic leadership approach and plans for increased ‘Integrated Working’ does not require a change of management or governance for Children’s Centres from within Nursery schools or Schools. The Governance of the Children’s Centre contract or Service level agreement has changed within the council.



## Summary

- a) A new model of best practice governance has been adopted for the management of the Children’s Centre contract. (slide deck appendix 1 Future Governance & Engagement)
- b) The Strengthening Families Programme has provided funding and a programme / project approach to improving our offer to children and families. Using an evidenced based model services to children and families are changing.
- c) Families in Bristol have not always had a seamless journey through the child’s pathway to services. In some situations as need or risk increased the level of support to families decreased or there were delays to support as a new service / professional was engaged or allocated to the work. An integrated systemic model, engaging key service providers in each locality, has been evolving over this year, led by key leaders. It is embryonic but is showing benefit and partners views are positive. Children’s Centres are key to this integrated model.

## 2. Context

- a) Following the Bundred Report and its emphasis on good governance, it is incumbent on Directors to ensure that any contracts or service level agreements are ‘fit for purpose’. The model of contract management, commissioning, engagement with change and finance oversight was situated with a single officer, the Head of Early Years. (slide deck appendix 1 Current governance)

The responsibilities and accountabilities will now be shared within the directorate:

The Head of Early Years is still the professional lead for Nursery Schools and is responsible for:

- Standards
- Finance
- Improvement in attainment and development performance
- Leadership of Nursery Heads

The Children’s Commissioning Team will be accountable for the contract / service level agreement which commissions the delivery of the Children’s Centres. Accountability includes monitoring of performance data and ensuring value for money.

This also supports the specification of Public Health commissioned contracts to progress the integration of health visiting into Children’s Centres and the integrated model

The Director for Children and Families is the Strengthening Families lead for Integration and will progress the integration model across localities will all partners including Children’s Centres and Nursery Leads.

- b) Operationally Children’s Centres have been part of Locality Weekly Meetings since March 2018 which is enabling improved targeting of resources, step up and down and family engagement. All agree that this integration of our community intelligence, cultural understanding, knowledge of resources and need is producing high decision making for families and improved risk management. The intention is to provide a seamless services for families with need being met earlier at the right level of risk and need

The expectation is that Children’s Centre Leads are part of the locality ‘Systemic Leadership Teams’, working closely with other locality partners to deliver the strengthening families vision.

### 3. Policy

- Manifesto commitment to supporting children’s centre services
- Public Health Key Objective ‘ensuring the best start’

### 4. Consultation

#### a) Internal

Conversations within usual management meetings  
Specific meeting in July 18

#### b) External

Meeting with children’s centre leads in June 18 and 25<sup>th</sup> September 18

### 5. Public Sector Equality Duties

Most of the children and families who will be affected positively by an integrated locality model must be considered within the context of “protected characteristics”: age, disability, gender reassignment, pregnancy and maternity, race, religion or belief, sex, sexual orientation.

i) *Eliminate discrimination, harassment, victimisation and any other conduct prohibited under the Equality Act 2010.* The locality approach ensures that we situate our knowledge and resources within the context of our residents communities.

ii) *Advance equality of opportunity* we have due regard to reducing disadvantage within the context of the service provision and our decision making with regards to scarce resources. the Locality Meeting enables prioritisation of resources from a wider viewpoint than previously.

Children’s Centre leadership engagement in ‘systemic leadership approach / local meetings will be crucial to encourage participation and volunteering by their parents with other parents in need.

#### Appendices:

Appendix 1: Children’s centres contract management; slide deck

#### LOCAL GOVERNMENT (ACCESS TO INFORMATION) ACT 1985

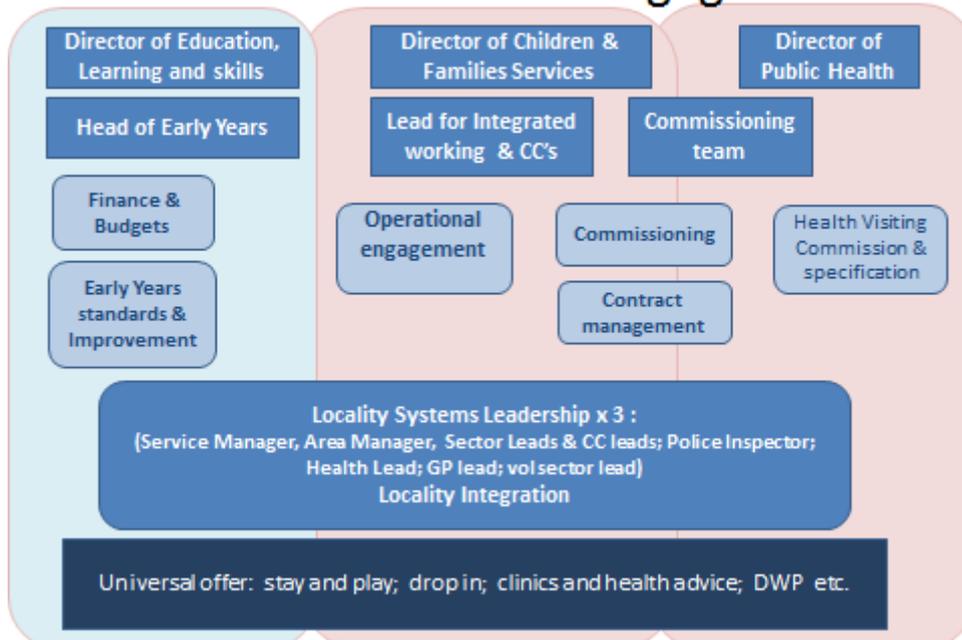
Background Papers: None

## Appendix 1

### Current governance



### Future Governance & engagement



# Adults, Children & Education(ACE) Scrutiny Commission



**Report of:** Adults Children and Education Directorate

**Title:** Adults, Children and Education Performance Progress Report (Quarter 1 2018/19)

**Ward:** All

**Officer Presenting Report:** Dr Jacqui Jensen

**Contact Telephone Number:** 0117 3576390

## Recommendations

- 1) Scrutiny are asked to note the report and the progress made by Adults, Children and Education against all of their Key Performance Indicators (KPIs) for Q1
- 2) Scrutiny are asked consider and agree the content (including notes and annual PIs).

## Summary

The report and appendices are a summary of the main areas of progress towards the delivery of the Corporate Strategy 2018-23.

## The significant issues in the report are:

- The programme is largely on track according to time, scope and benefit delivery.
- Bristol is comparing well to core cities against number of children entering care and overall spend.
- There are some risks to future delivery to note.



**Appendices:**

Appendix A: Decision Pathway report

Appendix A1: Adults, Children and Education Performance Progress Report (Q1 2018/19)

**LOCAL GOVERNMENT (ACCESS TO INFORMATION) ACT 1985**

**Background Papers:**

- 1. None**

# Decision Pathway – Report Template



**PURPOSE:** For reference

**MEETING:** Adults, Children & Education Scrutiny Commission

**DATE:** 18 October 2018

|  |   |  |  |
|--|---|--|--|
| <b>TITLE</b>   | <b>Adults, Children and Education Performance Progress Report (Quarter 1 2018/19)</b> |  |  |
| <b>Ward(s)</b>   | All wards   |  |  |
| <b>Author:</b> Jacqui Jensen   | <b>Job title:</b> Executive Director; Adults, Children & Education                    |  |  |
| <b>Cabinet leads:</b> Cllr Holland, Cllr Keen & Cllr Godwin  | <b>Executive Director lead:</b> Jacqui Jensen   |  |  |
| <b>Proposal origin:</b> <i>BCC Staff</i>   |   |  |  |
| <b>Decision maker:</b> Scrutiny Commission<br><b>Decision forum:</b> Scrutiny Commission   |   |  |  |
| <b>Timescales:</b> Performance is reported as part of quarterly governance process as soon as possible after gathering all the necessary data; in line with the Corporate Plan performance framework.  |   |  |  |
| <b>Purpose of Report:</b>  |   |  |  |
| <ol style="list-style-type: none"> <li>1) Highlight the progress made by Adults, Children and Education against all of their Key Performance Indicators (KPIs) for Q1 2018/19 (Appendix A1).</li> <li>2) To enable the ACE Scrutiny Commission to consider and agree the content (including notes and annual PIs).</li> <li>3) To invite the Scrutiny Commission to ask questions of the Executive Director; Adults, Children and Education on performance progress against the corporate plan priorities, as set out in appendix A1</li> </ol>  |   |  |  |
| <b>Evidence Base:</b> <u>Background:</u>   |   |  |  |
| <p>The Q1 performance progress report (Appendix A1) is illustrated in a new consistent and standardised format to reflect the 2018/23 Corporate Plan (themes and key commitments) and is ordered by quarterly PIs followed by annual PIs. This is in line with the new approach agreed by Statutory &amp; Policy Board (SPB) on 10<sup>th</sup> May.</p> <p>The Scrutiny report will include only those quarterly indicators focussed on the corporate business plan outcomes, arranged by themes plus any annual indicators with narrative, where appropriate.</p> <p>The Performance Framework is subject to future development and work is ongoing to align performance, projects and risk.</p> |   |  |  |
| <b>Performance summary for Adults, Children and Education:</b>   |   |  |  |
| <p>This report contains the progress of all KPIs within the Adults, Children and Education directorate. There are currently 30 KPIs (27 BCPs and 3 DACEs) of which 4 have no target set, 13 are not due data and 1 where data has not been entered. Of the remaining 13 PIs:</p> <ul style="list-style-type: none"> <li>• 38.5% (5) are performing above target and,</li> <li>• 61.5% (8) are performing below target.</li> <li>• 3 of the PIs performing below target are also performing worse than the same period in the previous year.</li> </ul>   |   |  |  |
| <b>Service Areas:</b>  |   |  |  |
| <u>Adult Social Care</u>   |   |  |  |
| <ul style="list-style-type: none"> <li>• Whilst Direct Payments are presently just below target, the Q1 performance (37.1%) it is significantly improved on the same period last year [29.2%]</li> <li>• The Better Lives Programme continues to work towards reducing the number of service users at Tier 3.</li> </ul>   |   |  |  |
| <u>Children &amp; Families Services</u>  |   |  |  |
| <ul style="list-style-type: none"> <li>• Whilst the percentage of looked after children reviews, carried out within timescales, are presently performing Well Below Target (85.3%) it is improved on the same period last year [81.7%]</li> <li>• The reviews of child protection cases (95.7%) continues to improve on the same period last year [89.4%]</li> </ul>   |   |  |  |

Education, Learning and Skills Improvement

- Performance around the apprenticeship levy are performing below target, however this is the first phase of the Council’s implementation of recruitment so this first report being made as part of the ‘set up’ activity.
- The overall employment rate in Bristol continues to grow at 78.2%, when compared to the same period last year [75.6%]
- Provisional attainment data will be provided in the next progress report (quarter 2)

**Cabinet Member / Officer Recommendations:** N/a

**Corporate Strategy alignment:** All BCP PIs contained within Appendix A1 represents the Adults, Children and Education PIs that are included within the Corporate Strategy (2018/23) and demonstrate our progress.

**City Benefits:** Provides council progress against Bristol Corporate Plan priorities

**Consultation Details:** Performance progress has been presented to the Executive Directorate Meeting prior to the production of this report.

|                                       |    |                                       |  |
|---------------------------------------|----|---------------------------------------|--|
| <b>Revenue Cost</b>                   | £0 | <b>Source of Revenue Funding</b>      | <i>Insert specific service budget</i>  |
| <b>Capital Cost</b>                   | £0 | <b>Source of Capital Funding</b>      | <i>e.g. grant/ prudential borrowing etc.</i>   |
| One off cost <input type="checkbox"/> |    | Ongoing cost <input type="checkbox"/> | Saving Proposal <input type="checkbox"/> Income generation proposal <input type="checkbox"/> |

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

**1. Finance Advice:** N/a

**Finance Business Partner:** N/a

**2. Legal Advice:** N/a

**Legal Team Leader:** N/a

**3. Implications on IT:** N/a

**IT Team Leader:** N/a

**4. HR Advice:** N/a

**HR Partner:** N/a

**5. Reputational narrative:** N/a

**PR officer:** N/a

|  |        |        |
|--|--------|--------|
| <b>EDM Sign-off</b>                                | [name] | [date] |
| <b>Cabinet Member sign-off</b>                     | [name] | [date] |
| <b>CLB Sign-off</b>                                | [name] | [date] |
| <b>For Key Decisions - Mayor’s Office sign-off</b> | [name] | [date] |

|  |                 |
|--|-----------------|
| <b>Appendix A – Further essential background / detail on the proposal</b>            | Choose an item. |
| Appendix A1: Adults, Children and Education Performance Progress Report (Q1 2018/19) |                 |
| <b>Appendix B – Details of consultation carried out - internal and external</b>      | NO              |
| <b>Appendix C – Summary of any engagement with scrutiny</b>                          | NO              |
| <b>Appendix D – Risk assessment</b>  | NO              |
| <b>Appendix E – Equalities screening / impact assessment of proposal</b>             | NO              |
| <b>Appendix F – Eco-impact screening/ impact assessment of proposal</b>              | NO              |
| <b>Appendix G – Financial Advice</b>   | NO              |

|  |           |
|--|-----------|
| <b>Appendix H – Legal Advice</b>               | <b>NO</b> |
| <b>Appendix I – Combined Background papers</b> | <b>NO</b> |
| <b>Appendix J – Exempt Information</b>         | <b>NO</b> |
| <b>Appendix K – HR advice</b>                  | <b>NO</b> |
| <b>Appendix L – ICT</b>                        | <b>NO</b> |



## Adults, Children and Education - 1st Quarter Performance Progress Report (1 April '18 - 30 Jun '18) - [Quarterly PIs]

| Corp Plan KC ref                        | PI Code   | Title  | 2017/18 outturn | 2018/19 Target      | Q1 Progress | Comparison over last 12 months | Officer Notes  |
|---|-----------|--|-----------------|---------------------|-------------|--------------------------------|--|
| <b>Adult Social Care</b>                |           |  |                 |                     |             |                                |  |
| EC3                                     | .BCP276a  | Reduce the permanent admissions aged 65+ to residential and nursing care, per 100,000 population                               | 849.4           | 820                 | 854.4       | ↓                              | (509 / 59,571 = 854.4) ... As part of the Better Lives Programme there are demand management plans to divert the number of new placements in a residential and nursing setting through an improved tier 1 & 2 offer, expansion of homecare capacity and ensuring that discharge from hospital is not assumed to be to a care bed.  |
| EC3                                     | .BCP278   | Percentage of older people at home 91 days after discharge from hospital into reablement/rehabilitation *                      | 87.3%           | 88.0%               | 87.3%       | ↑                              | This indicator is on target for 18/19 and improved on Q1 17/18. The 49 people who were not at home have not yet been checked by the service. It is usual that some people may be found to be temporarily not at the home address on that particular day eg holiday, however it remains their main place of residence. This indicator may improve further after checks are made.  |
| W1                                      | .BCP279   | Improve the monthly Delayed Transfers of Care [DTC] for Bristol City Council Social Care (Delayed Days per 100,000 population) | 310.9           | 350                 | 191.4       | ↑                              | (May) This means that 54.3% of all the days delayed was because of BCC Social Care only (BCC also contributed to the shared figure of 5.5%, which were both BCC Social Care & NHS responsibility) and the remaining 40.2% of delays was owing to NHS delays. We are working with the newly formed integrated Care Bureau in each trust to improve Social Care referrals and decision making. We will be launching a new service 'Home First' at the end of October '18 and maximising capacity in our reablement service to enable people to safely return home with support . The Social work assessment will increasingly take place outside of hospital , therefore reducing the overall DTC figures. |
| EC3                                     | .BCP280   | Increase the percentage of people who contact Adult Social Care and then receive Tiers 1 & 2 services                          | n/a             | Establish Benchmark | 50.6%       | n/a                            | As part of the Better Lives Programme we are aiming to increase the numbers of people who receive an improved service at Tier 1 and Tier 2 levels and reduce the numbers who receive a service at Tier 3. This will maintain more people in their own homes and in time reduce reliance on residential and nursing care.   |
| EC3                                     | .DACE005a | Increase the percentage of adults receiving direct payments  | 37.3%           | 38.0%               | 37.1%       | ↑                              | (973 / 2,622) ... The level of direct payments take up has remained steady and this is below our target of increasing their use. We are currently reviewing our approach to adults of working age and this will include increasing our efforts to encourage the use of direct payments as an alternative to commissioning traditional care.  |
| <b>Children &amp; Families Services</b> |           |  |                 |                     |             |                                |  |
| EC1                                     | .BCP212   | Reduce the number of adolescents (aged 13+) who need to enter care due to abuse or exploitation                                | n/a             | Establish Benchmark | 6           | n/a                            | 17 children aged 13 or over started care between 01 Apr 18 and 30 Jun 18. Of these, 6 had category of need = N1 (abuse and neglect) on the date of care start. Whilst not a performance indicator last year; the records show at the same time last year there were 35 children aged 13 or over who started care and 10 of these had a category of N1. This drop is a direct result of the Strengthening Families programme of work.   |
| EC1                                     | .BCP216   | Increase the percentage of looked after children cases which were reviewed within required timescales                          | 88.70%          | 97.00%              | 85.30%      | ↑                              | In the period 01 Jul 2017 to 30 June 2018, 529 out of 620 Looked After Children had all their Reviews within time scales. On-going work being undertaken to ensure evidence of a completed review is on LCS database. Monthly auditing is undertaken to check what number of reviews were actually late compared to those that are recorded as late.   |
| EC1                                     | .BCP217   | Increase the percentage of child protection cases which were reviewed within required timescales                               | 90.00%          | 95.00%              | 95.70%      | ↑                              | In the period 01 Jul 2017 to 30 Jun 2018, 199 out of 208 CP children had their reviews completed on time. Monthly audits are undertaken to review why any reviews have been late and learn from this as necessary.   |

| Corp Plan KC ref                                  | PI Code  | Title   | 2017/18 outturn | 2018/19 Target | Q1 Progress | Comparison over last 12 months | Officer Notes   |
|---|----------|---|-----------------|----------------|-------------|--------------------------------|---|
| FI3   | .BCP218  | Improve the percentage of 17 - 21 year old care leavers in EET (statutory return - recorded around birthday)* | 57.0%           | 58.0%          | 57.0%       | ↑                              | There has been significant improvement in engaging care leavers both through the leaving care service and through voluntary agencies. All 16 & 17 year olds who are EET have PEPs to explore options available to them. The Social Impact Bond programme is about to start and will be working with, initially, 30 of our NEET young people, intensively, to further improve education, training and employment for our care leavers. Most recently 55% of our care leavers aged 19 to 21 are EET. There has been an increase in young people remaining in care until they are 18 which may also be having an impact on the increase in EET for our young people. |
| <b>Education, Learning and Skills Improvement</b> |          |   |                 |                |             |                                |   |
| WC3   | .BCP260a | Increase the percentage of government funded CL learners progressing to employment                            | 13.0%           | 17.0%          | 7.0%        | ↓                              | Tracking is partially complete so figure is in line with academic year and expected to increase at the end of the academic year. The final outturn in Q3 is expected to increase after the end of the academic year.  |
| WC3   | .BCP260b | Increase the percentage of MEN engaged in government funded Community Learning (CL) in Bristol                | 22.0%           | 30.0%          | 22.0%       | ↑                              | Recruitment of men is lower than expected. This is due to a high proportion of courses run in children's centres and schools where we engage mothers/carers with significant barriers to learning and work but very few men. The team have established better links with some job centres and this has resulted in higher recruitment of male learners on some courses. We will continue to work on solutions and hope that referrals from Future Bright will have a positive impact.   |
| FI3   | .BCP261a | Increase the total number of apprentices employed by Bristol City Council                                     | n/a             | 100            | 21          | n/a                            | Although recruitment levels of existing and new staff onto apprenticeships have increased and pipeline is looking healthy we will see these starts come to fruition in Sept/October - there are 80+ pending across Business Administration, Health and Social Care, Housing Delivery, Schools and Building Control and Highways. This is the first phase of the Council's implementation of Apprenticeship Levy recruitment so this first report is being made as part of our 'set up' activity.  |
| FI3   | .BCP261b | Increase the % of BCC apprentices starting apprenticeship training from priority groups                       | 18.0%           | 24.0%          | 18.0%       | n/a                            | This is the first year that we are monitoring priority group recruitment in apprenticeships. This Q1 figure reflects current position for benchmarking – and it is anticipated that the final outturn will be 30% based upon targeted recruitment activity and current pipeline activity e.g. Stepping Up programme targeting BAME employees. This is the first phase of the Council's implementation of Apprenticeship Levy recruitment so this first report is being made as part of our 'set up' activity.   |
| FI3   | .BCP263a | Reduce the % of young people of academic age 16 to 17 years who are NEET & destination unknown                | 8.6%            | 8.0%           | 10.80%      | ↓                              | This increase has resulted from bringing our data tracking function 'in house': through tighter data monitoring across teams, this has helped us to identify young people who have previously not been included in our participation data set – including home educated learners and children in care/care leavers. Now that our integrated data system is live, corrective action is underway to update and align data sets. At the same time, a new Participation Work Group has been formed to enable more focused joint analysis of our NEET/Unknown data, to analyse gaps and identify improved provision to increase our participation rates.               |
| WC3   | .BCP266  | Increase percentage of adults with learning difficulties known to social care, who are in paid employment     | 4.8%            | 5.0%           | 7.3%        | ↑                              | 46 of 634 The calculation method for this KPI has changed. Despite the apparent increased Q1 outturn, over the last 12 months the actual performance in relation to this KPI has remained static. Therefore the target for 18/19 should be adjusted from 5% to 7.5%, to take account of the changed definition. This work area has recently been transferred and a new project group has formed to draw up a targeted work plan to drive forward improvements in this area.   |
| FI3   | .BCP267  | Improve the overall employment rate of working age population   | 77.6%           | 77.0%          | 78.2%       | ↑                              | This improved position is due to the rise in Bristol's local employment rate (78.2%) – which is the highest rate across all core cities. The development and delivery of targeted employment support services is also impacting – for example in 17/18 BCC ESL supported over 600 people into employment.   |



Adults, Children and Education EDM - 1st Quarter Performance Progress Report (1 April '18 - 30 Jun '18) - [Annual PIs]

| Corp Plan KC ref                                  | PI Code  | Title   | 2017/18 outturn | 2018/19 Target      | Q1 Progress  | Comparison over last 12 months | Officer Notes  |
|---|----------|---|-----------------|---------------------|--------------|--------------------------------|--|
| <b>Adult Social Care</b>                          |          |   |                 |                     |              |                                |  |
| EC3   | .BCP277  | Percentage of adult social care service users, who feel that they have control over their daily life  | 77.0%           | 82.0%               | Data not due | n/a                            |  |
| <b>Education, Learning and Skills Improvement</b> |          |   |                 |                     |              |                                |  |
| EC1   | .BCP222  | Increase the take-up of free early educational entitlement by eligible 2 year olds                    | 69.3%           | 75.0%               | Data not due | n/a                            |  |
| EC1   | .BCP223  | Increase take-up of free early educational entitlement for 3 & 4 year olds in the 30% lowest SOAs     | 88.2%           | 91.0%               | Data not due | n/a                            |  |
| EC1   | .BCP224  | Reduce the gap between children in the 30% lowest SOAs achieving a good level of development at EYF   | 13.2% pts       | 13.0% pts           | Data not due | n/a                            |  |
| W3  | .BCP225  | Increase the percentage of Bristol schools with Breakfast Clubs                                       | n/a             | Establish Benchmark | Data not due | n/a                            |  |
| FI2   | .BCP230a | KS2 - Increase the percentage of pupils achieving the expected standard in reading, writing and maths | 61.0%           | 63.0%               | Data not due | n/a                            | New School Improvement model to academy/Maintained primary & secondary should impact on KS2 outcomes for 18/19. The Strategic School Improvement Fund (SSIF) project working with 30 vulnerable schools with 18% of KS2 population is targeting the 18/19 Year 6 cohort. SSIF schools showed a 6% improvement in Reading, Writing, Maths for 18/19 vs 2% overall Bristol increase.   |
| FI2   | .BCP230b | KS2 - increase the percentage of disadvantaged pupils, at KS2, achieving the expected standard in RWM | 45%             | 48%                 | Data not due | n/a                            | Bristol Disadvantage gap showed slight decrease 17/18. SSIF project work as particular focus on reducing disadvantage gap and for 17/18 already showed a decreased gap this year. 2 Pupil Premium conferences focusing on the gap have taken place in Term 4 & 5 of this year and will be a continued focus for 18/19.   |
| FI2   | .BCP231a | Key Stage 4: Improve the Average Attainment 8 score per pupil   | 44.0 points     | 46.0 points         | Data not due | n/a                            | This will continue to be a challenging target as long as the disparity exists between the highest/lowest performing schools in Bristol. On average the national drop in Attainment 8 last year was 4 points reflected in the Bristol Attainment 8 score. Early predictions for 17/18 look more positive. The Strategic School Improvement Fund (SSIF) focus on Year 11 outcomes for 18/19 should also reap dividends.                |
| FI2   | .BCP231d | Key Stage 4: Attainment 8 - Reduce the Points gap between the Disadvantaged and Non-Disadvantaged     | 15.9 points     | 15.0 points         | Data not due | n/a                            | Reducing the Disadvantage gap continues to be a focus throughout 18/19. A forum of 24 schools in the North West of Bristol (NW24), BCC and the Strategic School Improvement Fund project are collaborating with a National Expert on 'The Pupil Premium Gap' and a more aligned approach through the Teaching School offer should offer appropriate support and challenge to schools in improving outcomes for Pupil Premium pupils. |
| FI2   | .BCP245  | Improve the level of Bristol Schools' pupil attendance  | 94.7%           | 95.5%               | Data not due | n/a                            |  |
| W3  | .BCP259  | Reduce the percentage of school age children eligible for and claiming free school meals              | n/a             | 18.5%               | 19.9%        | n/a                            | Based on the January 18 Census, there were 10,835 pupils registered as eligible for Free school meals; compared to the January '17 census of 11,151 pupils. This improved position is due to the rise in Bristol's local employment rate (78.2%) - this is highest rate across all core cities.  |
| WC3   | .BCP265  | Increase the number of adults, aged 19+, who receive job related information, advice and support      | 6,225           | 4,000               | Data not due | n/a                            | This target has increased for 2018/19 due to the advice that will be provided to people in work through the Future Bright programme.   |
| EC1   | .DACE009 | Percentage of children achieving a good level of development at Early Years Foundation Stage          | 67.70%          |                     | Data not due | n/a                            |  |

| Corp Plan KC ref | PI Code   | Title                         | 2017/18 outturn | 2018/19 Target | Q1 Progress  | Comparison over last 12 months | Officer Notes   |
|------------------|-----------|-------------------------------|-----------------|----------------|--------------|--------------------------------|---|
| FI2              | .DACE031p | Key Stage 4: Progress 8 score | -0.22           | -0.18          | Data not due | n/a                            | Progress 8 scores declined nationally last year due to the introduction of more challenging, linear KS4 examination programmes. Bristol's Progress 8 range widened in 16/17 from -0.91 at the lowest (Henbury School) to +0.39 at the highest (Colston Girls' School) which is a gap of 1.3. The disparity between the highest and lowest Progress 8 schools across Bristol schools was 1.23. For 18/19 the 9 secondary schools that are below the Bristol average are targeted in the SSIF project and therefore in receipt of additional resources/challenge. |

#### Status Key

#### Improvement Key

|                   |   |   |
|-------------------|---|---|
| Well Above Target | ↑ | Direction of travel <b>IMPROVED</b> compared to same period in the previous year  |
| Above Target      |   |   |
| On Target         | = | <b>SAME</b> as previous same period in the previous year                          |
| Below Target      | ↓ | Direction of travel <b>WORSENE</b> D compared to same period in the previous year |
| Well Below Target |   |   |

#### Corporate Strategy - Key Commitments

|  |  |
|--|--|
| <b>Empowering &amp; Caring</b>             |  |
| EC1  | Give our children the best start in life by protecting and developing children's centre services, being great corporate parents and protecting children from exploitation or harm.                 |
| EC2  | Reduce the overall level of homelessness and rough sleeping, with no-one needing to spend a 'second night out'.  |
| EC3  | Provide 'help to help yourself' and 'help when you need it' through a sustainable, safe and diverse system of social care and safeguarding provision, with a focus on early help and intervention. |
| EC4  | Prioritise community development and enable people to support their community.   |
| <b>Fair &amp; Inclusive</b>                |  |
| FI1  | Make sure that 2,000 new homes (800 affordable) are built in Bristol each year by 2020.  |
| FI2  | Improve educational outcomes and reduce educational inequality, whilst ensuring there are enough school places to meet demand and with a transparent admissions process.                           |
| FI3  | Develop a diverse economy that offers opportunity to all and makes quality work experience and apprenticeships available to every young person.  |
| FI4  | Help develop balanced communities which are inclusive and avoid negative impacts from gentrification.  |
| <b>Wellbeing</b>                           |  |
| W1   | Embed health in all our policies to improve physical and mental health and wellbeing, reducing inequalities and the demand for acute services.   |
| W2   | Keep Bristol on course to be run entirely on clean energy by 2050 whilst improving our environment to ensure people enjoy cleaner air, cleaner streets and access to parks and green spaces.       |
| W3   | Tackle food and fuel poverty.  |
| W4   | Keep Bristol a leading cultural city, helping make culture, sport and play accessible to all.  |
| <b>Well-Connected</b>                      |  |
| WC1  | Improve physical and geographical connectivity; tackling congestion and progressing towards a mass transit system.   |
| WC2  | Make progress towards being the UK's best digitally connected city.  |
| WC3  | Reduce social and economic isolation and help connect people to people, people to jobs and people to opportunity.  |
| WC4  | Work with cultural partners to involve citizens in the 'Bristol' story, giving everyone in the city a stake in our long-term strategies and sense of connection.                                   |
| <b>Workplace Organisational Priorities</b> |  |
| WOP1                                       | Redesign the council to work effectively as a smaller organisation.  |
| WOP2                                       | Equip our colleagues to be as productive and efficient as possible.  |
| WOP3                                       | Make sure we have an inclusive, high-performing, healthy and motivated workforce.  |
| WOP4                                       | Be responsible financial managers and explore new commercial ideas.  |

# Adults, Children and Education (ACE) Scrutiny Commission



**Report of:** Adults Children and Education Directorate

**Title:** Corporate Risk Management Report and Corporate Risk Register

**Ward:** All

**Officer Presenting Report:** Dr Jacqui Jensen

**Contact Telephone Number:** 0117 3576390

## **Recommendation**

That the ACE Scrutiny Commission reviews and scrutinises the relevant ACE Directorate aspects of the Corporate Risk Register which is attached to this report at Appendix A.

## **Summary**

The Corporate Risk Register sets out the significant critical and high rated risks. All other business risks reside on the Directorate Risk Registers. However, and as is stated in the Corporate Risk management report, the Directorate Risk Registers are currently being reviewed and refreshed and it has therefore not been possible to publish the ACE Directorate Risk Register at this time.

## **The significant issues in the report are:**

- CRR 9 Safeguarding vulnerable children
- CRR10 Safeguarding vulnerable adults



**Appendices:**

Appendix 1 – Corporate Risk Management Report

Appendix 2 – Corporate Risk Register

**LOCAL GOVERNMENT (ACCESS TO INFORMATION) ACT 1985**

**Background Papers:** None



# Decision Pathway – Report

**PURPOSE:** For reference

**MEETING:** Cabinet

**DATE:** 02 October 2018

|   |  |  |  |
|---|--|--|--|
| <b>TITLE</b>  | <b>Corporate Risk Management Report and Corporate Risk Register (CRR) Report</b> |  |  |
| <b>Ward(s)</b>  | City Wide  |  |  |
| <b>Author:</b> Jan Cadby  | <b>Job title:</b> Interim Risk Manager   |  |  |
| <b>Cabinet lead:</b> Councillor Cheney  | <b>Executive Director lead:</b> Mike Jackson / Denise Murray                     |  |  |
| <b>Proposal origin:</b> BCC Staff   |  |  |  |
| <b>Decision maker:</b> Cabinet Member<br><b>Decision forum:</b> Cabinet   |  |  |  |
| <p><b>Purpose of Report:</b> Managing risks are an integral element to the achievement of the Bristol City Council's (BCC) Corporate Strategic Plan (CSP) deliverables. The report provides an update on work completed to improve risk management at BCC and sets out the council's current significant risks and summarises progress in managing the risks as at Quarter 2 2018-19.</p> <p>The Corporate Risk Register (CRR) is a key document in the council's approach to the management of risk; it captures strategic risks set out in the Corporate Strategy 2018-2023 and Business Plan 2018-2019. It also provides a context through which Directorates construct their own high level risk assessments and is used to inform decision making about business planning, transformation and service delivery.</p> <p>The CRR provides assurance to management and Members that the Bristol City Council's significant risks have been identified and arrangements are in place to manage those risks within the tolerance levels agreed.</p> <p>The CRR attached to this report at Appendix A is the latest formal iteration following a review by members of the council's Corporate Leadership Board (CLB) on 28<sup>th</sup> August 2018.</p> |  |  |  |
| <p><b>Evidence Base:</b> 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).</p> <p>Ensuring that the 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.</p> <p>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.</p> <p>The Risk Management Policy will be subject to an annual review and reported in 2018-19.</p>   |  |  |  |
| <p><b>Recommendation:</b></p> <p>Cabinet are requested to receive and note the Corporate Risk Report.</p>   |  |  |  |
| <p><b>Corporate Strategy alignment:</b> Managing risks are an integral element to the achievement of the BCC Corporate Strategic Plan (CSP) deliverables.</p>   |  |  |  |
| <p><b>City Benefits:</b> Risk Management aims to maximise achievement of the council's aims and objectives.</p>   |  |  |  |

## Consultation Details:

### Risk Management Framework

Risk management is the culture, process and structure 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.

During the last quarter we have been increasing the level of engagement and ownership by Service Managers through a series of risk management awareness sessions and workshops to review existing risks and identify new and to refresh the Corporate and Directorate Risk Registers maintaining the focus to help reduce the risk against the council's Corporate Plan objectives 2018-23.

### The Corporate Risk Register (CRR)

The Corporate Leadership Board (CLB) has reviewed the CRR in August 2018 and accepts it as a working register which will need continued improvement as it embeds.

The CRR sets out the significant critical and high rated risks both threats and opportunities. All other business risks reside on the Directorate Risk Registers.

During the quarter there has been two significant issues to report:

- The External Auditors were unable to sign off the Council's Annual Statement of Accounts for 2017/18 within the revised statutory deadline of 31st July 2018. Officers have been working closely with the auditors to ensure speedy resolution of all outstanding matters to enable publication of audited accounts as soon as possible. This reputational risk has been escalated for next year and improvements to pre-audit planning arrangements are in progress with the appointed external auditors to mitigate the risk.
- The Housing IT Programme was unable to go-live during September 2018. Officers are working to a revised plan with resources committed to enable a revised deadline of the 30<sup>th</sup> October 2018.

The Corporate Risk Register (CRR) as August 2018 contains:

- No critical risks
- 14 high rated threats
- 6 medium threats
- 1 closed threat
- 3 high opportunities
- 1 medium opportunity
- 1 high and 1 medium event risks

A summary of the progress of new and closed risks for this reporting period are set out below.

### **There are four new threat risks this quarter:**

- **CRR18 - Delivery of 2000 homes per annum by 2020.** The risk of failing to deliver the range of housing to meet Bristol's needs and not realise the ambition to deliver 2000 homes per annum by 2020. The risk rating being 2x5 (10) medium risk. This risk is managed and monitored on the Growth and Regeneration Risk Register.
- **CRR19 - Tree Management:** The risk of trees falling as a result of failure under certain weather conditions and/or due to disease. The risk rating being 3x5 (15) high risk. This risk is managed and monitored on the Communities Risk Register.
- **CRR20 - General Data Protection Regulation (GDPR) Compliance:** If the Council fails to maintain a defensible and compliant response to the Data Protection Act 2018 and General Data Protection Regulation (GDPR) then it will fail to comply with its statutory requirements. The risk rating being 2x5 (10) medium risk. This risk is managed and monitored on the Resources Risk Register.
- **CRR21 - Partnerships Governance:** If the council does not maximise (or cannot quantify) the benefits of partnership working and/or experiences negative or counter-productive results may arise from partnership working. The risk rating being 3x5 (15) high risk. This risk is managed and monitored on the Resources Risk Register.

**There is one closed threat risks this quarter:**

- **CRR14 - Information Governance - Introduction of the General Data Protection Regulations (GDPR):** The council has made significant progress on compliance with the General Data Protection Regulations (GDPR). The risk closed as 2x5 (10) medium risk and within the councils tolerance level. A new risk **CRR20 - General Data Protection Regulation (GDPR) Compliance** has been identified and recorded on the Corporate Risk Register.

**There are four new opportunity risks this quarter:**

- **OPP1: One City Plan:** The One City Plan (OCP) will offer a new way to plan strategically with partners as part of a wider city system. The risk rating being 3x5 (15) high opportunity risk. This risk is managed and monitored on the Resources Risk Register.
- **OPP2: Corporate Strategy:** The approved Corporate Strategy presents an opportunity to fundamentally refresh and strengthen our business planning, leadership and performance frameworks. The risk rating being 3x5 (15) high opportunity risk. This risk is managed and monitored on the Resources Risk Register.
- **OPP3: Devolution:** Should the potential arise for opportunities from a region’s evolving second devolution deal that could lead to an opportunity to align the Councils corporate priorities and strengthen regional partnership working. The risk rating being 3x5 (15) high opportunity risk. This risk is managed and monitored on the Resources Risk Register.
- **OPP4: Brexit:** If exiting the European Union provides benefits, such as increased domestic concentration of power, this may lead to opportunities for this to be harnessed at a local or regional level. The opportunity risk being 1x5 (5) medium risk. This risk is managed and monitored on the Resources Risk Register.

All risks on the CRR have management actions in place. The CRR continues to be subject to a refresh during 2018.

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

Further details are contained in Appendix A: The summary of the threat risks are set out on pages 1 to 20, opportunity risks pages 21 to 22, and external and civil contingency risks on page 23 all including controls and management actions.

A summary of risk performance on pages 24 to 25 by level of risk, the risk matrix on page 26 and the risk scoring criteria on page 27. A more in-depth risk register is available on request.

|  |  |   |  |
|--|--|---|--|
| <b>Revenue Cost</b>                          | <b>£0</b>                                    | <b>Source of Revenue Funding</b>                | NA   |
| <b>Capital Cost</b>                          | <b>£0</b>                                    | <b>Source of Capital Funding</b>                | NA   |
| <b>One off cost</b> <input type="checkbox"/> | <b>Ongoing cost</b> <input type="checkbox"/> | <b>Saving Proposal</b> <input type="checkbox"/> | <b>Income generation proposal</b> <input type="checkbox"/> |

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

**1. Finance Advice:** The CRR is a live document refreshed regularly following consultation across the organisation, and aims to provide assurance that the council’s main risks have been identified and appropriate mitigations are in place to ensure they are managed within agreed tolerances. This includes, as set out in the annual budget report, measures to ensure appropriate financial provision is made through the budget planning process and reserves.

**Finance Business Partner:** Interim Head of Finance. 23<sup>rd</sup> August 2018.

**2. Legal Advice:** There are no specific legal implications in the report. The Corporate risk register and report assists the council to monitor and ensure good governance and compliance with its Statutory duties.

**Legal Team Leader:** Head of Legal Service and Deputy Monitoring Officer. 20<sup>th</sup> August 2018.

**3. Implications on IT:** The production of this report, in itself, carries no direct IT implications. Clearly, there are IT implications identified within it and these are being addressed in line with the comments contained in the relevant sections.

|   |                 |             |
|---|-----------------|-------------|
| <b>IT Team Leader:</b> Acting Head of IT. 23rd <sup>rd</sup> August 2018.   |                 |             |
| <b>4. HR Advice:</b> It is essential that staffing resources are appropriately deployed to manage these risks that are highlighted. There are no HR implications arising from the CRR update report.  |                 |             |
| <b>HR Partner:</b> Head of Human Resources. 17 <sup>th</sup> August 2018.   |                 |             |
| <b>EDM Sign-off</b>   | Denise Murray   | 8 Aug 2018  |
| <b>Cabinet Member sign-off</b>  | Cllr. C. Cheney | 20 Aug 2018 |
| <b>CLB Sign-off</b>   | Denise Murray   | 21 Aug 2018 |
| <b>For Key Decisions - Mayor's Office sign-off</b>  | Mayor's Office  | 31 Aug 2018 |
| <b>Appendix A – Further essential background / detail on the proposal</b><br>Appendix A: The Corporate Risk Register Summary Report Pages (1 to23), the Performance Risk Summary (page 24 to 25), the Risk Rating Matrix and Scoring Criteria (pages 26 to 27). |                 | <b>YES</b>  |
| <b>Appendix B – Details of consultation carried out - internal and external</b>   |                 | <b>NO</b>   |
| <b>Appendix C – Summary of any engagement with scrutiny</b>   |                 | <b>NO</b>   |
| <b>Appendix D – Risk assessment</b>   |                 | <b>NO</b>   |
| <b>Appendix E – Equalities screening / impact assessment of proposal</b>  |                 | <b>NO</b>   |
| <b>Appendix F – Eco-impact screening/ impact assessment of proposal</b>   |                 | <b>NO</b>   |
| <b>Appendix G – Financial Advice</b>  |                 | <b>NO</b>   |
| <b>Appendix H – Legal Advice</b>  |                 | <b>NO</b>   |
| <b>Appendix I – Combined Background papers</b>  |                 | <b>NONE</b> |
| <b>Appendix J – Exempt Information</b>  |                 | <b>NO</b>   |
| <b>Appendix K – HR advice</b>   |                 | <b>NO</b>   |
| <b>Appendix L – IT</b>  |                 | <b>NO</b>   |

| Corporate Risk Register as at August 2018 - Risks to the achievement of Bristol City Councils Objectives.  |   |   |  |        |             |  |                      |        |             |
|--|---|---|--|--------|-------------|--|----------------------|--------|-------------|
| Risk title and description   | What we have done   | Performance   | Current Risk Level   |        |             | What we are doing  | Tolerance Risk Level |        |             |
|  |   |   | Likelihood   | Impact | Risk Rating |  | Likelihood           | Impact | Risk Rating |
| <p><b>CRR1: Long term commercial investments and major projects capital investment.</b></p> <p>BCC'S long term commercial investments and major projects may require greater than anticipated capital investment.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>The cost is higher than expected.</li> <li>The project is delivered later than planned.</li> <li>The operating and maintenance cost of the asset exceeds expectations.</li> <li>The demand for the asset is less than budgeted driving down income.</li> </ul> <p>Strategic, geographic, social, financial and economic conditions changing over time.</p> <p>Oversight of Project Interdependencies not well managed.</p> | <p>We have reviewed Capital Governance arrangements and have established the Growth and Regeneration Board in order to improve capital programme governance and accountability arrangements. The Board is overseen by the Delivery Executive to make improvements to capital project business cases, taking account of whole life costing principles and improving capital monitoring arrangements.</p> <p>We are understanding, monitoring and reporting the cost-determining factors, and seeking relevant professional advice to ensure Value for Money (VfM) by undertaking due diligence which covers the economic, financial, social and environmental case. This is ongoing.</p> <p>Governance arrangements are in place for the council as a Company Shareholder.</p> <p>The Growth and Regeneration Directorate is responsible for delivery of major infrastructure projects. Some of the key projects include:</p> <p><u>Harbour Strategy</u></p> <ul style="list-style-type: none"> <li>We are looking to secure capital funding to commence in 2018/19 through a robust capital business case to make commercial improvements across areas such as new pontoons, and boaters facilities both of which will generate income and make the area more attractive economically.</li> <li>We have completed a commercial benchmarking exercise in terms of charges and commercial offering using similar marina sites across the UK.</li> <li>We are constructing a plan around our commercial offering, fees &amp; charges, leases etc. to ensure we are maximising income that can be used to invest in the area.</li> <li>Carrying out condition surveys to assist with the development of a robust maintenance schedule.</li> </ul> <p><u>Arena</u></p> <ul style="list-style-type: none"> <li>We commissioned consultants to carry out Value for Money (VfM) studies for the Arena at Temple Meads, alternative use of the site plus an alternative scheme at Filton.</li> </ul> <p><u>Temple Quarter</u></p> <ul style="list-style-type: none"> <li>For contracts we ensure that robust contingencies are built into the project costs, and secure consultant's advice relating to appropriate risk allocation and reward, and other contractual arrangements.</li> </ul> <p><u>Colston Hall</u></p> <ul style="list-style-type: none"> <li>Consultants were engaged last year to undertake an options appraisal to verify the project in its current format i.e. the scope of the works and ensuring that the correct option has been chosen to make the hall financially sustainable. Cabinet has approved the underwriting of the project to a maximum of £48.8m. The project is progressed through the Southern Construction Framework (administered by Devon County Council).</li> </ul> | ↔   | 3  | 7      | 21          | <p>The Capital Strategy will be developed by February 2019.</p> <p>Improvements to capital programme governance and accountability arrangements through Housing, Property and Growth &amp; Regeneration Board, with tracking and delivery are overseen by Delivery Executive.</p> <p>The Executive Director for Growth and Regeneration has instigated a series of ongoing 'Deep Dives' with a focus on key programmes and project deliverables feedback being reviewed by the Growth and Regeneration Board and further detailed review of the capital programme to be undertaken as part of the budget process.</p> <p>The Growth and Regeneration Board meets monthly to continue to improve project, programme and portfolio risk management to ensure robust arrangements are in place and challenge against deliverables. We will maintain a balanced portfolio of investment assets so that exposure to particular classes of risk can be minimised.</p> <p>We continue to strengthen client side arrangements for companies around the:</p> <p><u>Harbour Strategy</u></p> <ul style="list-style-type: none"> <li>We are working with colleagues across the Growth &amp; Regeneration and Communities Directorates to ensure we have a joined up approach to delivering a new Harbour Strategy. This falls in to three main work streams Assets, Design and Harbour/Marina activity. Whilst these 3 pieces of work are in differing project stages, an umbrella group to act as a steering and governance forum is being established by September 2018.</li> <li>As part of a robust asset management planning framework we are carrying out condition surveys on the docks walls to produce a future maintenance schedule as part of the BCC Asset Management Plan by end spring 2019.</li> </ul> <p><u>Arena</u></p> <ul style="list-style-type: none"> <li>Cabinet on the 4<sup>th</sup> September agreed to look to an alternative use for the Temple Quarter site. Discussions are on-going.</li> </ul> <p><u>Colston Hall</u></p> <ul style="list-style-type: none"> <li>We have engaged a consultant under a Pre-Construction Services Agreement (PCSA). We have set up a 10 point plan to address any issues by September 2018 to enable us to meet budget constraints. To assist in the process we have engaged the help of the Southern Construction Framework (SCF) administrator.</li> </ul> | 1                    | 7      | 7           |
| <p>Risk Owner: Interim Executive Director Growth and Regeneration, Executive Director Resources and Section 151 Officer.</p>   | <p>Action Owner: Interim Executive Director Growth and Regeneration, Director Finance.</p>  | <p>Portfolio Flag: Finance, Governance and Performance.</p> | <p>Strategy Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing.</p> |        |             |  |                      |        |             |

| Corporate Risk Register as at August 2018 - Risks to the achievement of Bristol City Councils Objectives.  |   |  |                    |        |  |   |                      |        |             |
|--|---|--|--------------------|--------|--|---|----------------------|--------|-------------|
| Risk title and description   | What we have done   | Performance  | Current Risk Level |        |  | What we are doing   | Tolerance Risk Level |        |             |
|  |   |  | Likelihood         | Impact | Risk Rating  |   | Likelihood           | Impact | Risk Rating |
| <p><b>CRR2: IT Infrastructure.</b></p> <p>If IT Infrastructure does not meet service delivery requirements then there could be serious implications for the organisation and the people it serves.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>Lack of infrastructure investment in IT.</li> <li>Reliance on legacy systems.</li> <li>Limited integration with corporate systems.</li> <li>Lack of skilled staff.</li> <li>Retention of skilled staff.</li> <li>Confidence in resilience of IT infrastructure response.</li> <li>Limited business engagement to identify appropriate IT solutions.</li> <li>Limited identity and access management.</li> </ul> | <p>A Future State Assessment (FSA) review has been undertaken of the performance of the IT service and the technology in use. Failure to implement the recommendations will increase the risk of system and service failure across the council May/June 2018 and will significantly impact our ability to deliver savings.</p> <p>An Internal Audit of FSA review was carried out May/June 2018.</p> <p>The IT Strategy was developed May/June 2018 and the FSA transition plan completed May/June 2018.</p> <p>The financial envelope created and financial review April 2018.</p> <p>The IT Impact assessment is in place and will be communicated and trained during Q2/3. 2018.</p> <p>There is an on-going programme of review relating to IT Disaster Recovery and Business Continuity.2018 Ongoing.</p> <p>IT resilience improvements have been made to underlying data storage, data centre capability and network resilience during 2018/19.</p> <p>All internal IT security incidents are logged and reviewed from an IT and wider Information Governance perspective Q2/3 2018.</p> <p>The FSA Rollout 2018/19 is ongoing subject to cabinet approvals and funding July 2018.</p> <p>FSA Project Risk Register update and quarterly reporting is ongoing during lifetime of the project.</p> | <p>↔</p>   | 3                  | 7      | 21   | <p>BCC continues to delivery against the FSA Plan to 2023 which includes the future investment, improvements to legacy IT, solution based integration to future systems, business engagement and confidence in our resilience of operational for our IT Infrastructure.</p> <p>A phased implementation of a series of key projects identified as part of the FSA review and prioritised to deliver mitigation against the risks identified starting in Q2. 18/19 planned completion by end 2021. Key projects include:</p> <ul style="list-style-type: none"> <li>The Cloud migration project.</li> <li>A phased Cloud productivity solution.</li> <li>A phased implementation for a Customer Relationship management solution.</li> <li>A single customer view.</li> <li>End User Platform.</li> <li>IT Security.</li> <li>IT Service support.</li> <li>Identity and Access Management (IDAM).</li> <li>Integrated Communications.</li> <li>Intranet.</li> <li>IT Service Management (ITSM).</li> <li>Management information and Business Information MI/BI including Knowledge Management.</li> </ul> <p>Progress on the data centre migration to cloud is progressing on plan. Most core systems are back on site with the last planned move October 18. Discovery phase is completed and we are in the process of building a transition plan based on system priority and minimisation of impact to the business. Core systems still on target to be in the cloud and off premise by November2018.</p> <p>BCC will review the skills within the IT team as set out in the FSA Plan by Q3. 2018/19. The transition planning (projects delivery) initial resources recruitment is underway Q1. 2018/19.</p> <p>Skills assessment of the IT is underway, and a planned restructure will be implemented to support the needed skills and resourcing profile to achieve the FSA transition plan July - December 2018.</p> <p>Core IT processes need to be implemented/re-engineered to drive the service towards more proactive ways of working to support the wider organisations drive to achieve savings and service change July 2018 - July 2019.</p> <p>The decision pathway for release of funds is underway - target completion is Q2. 2018/19.</p> <p>DR testing (planning) is underway with support from Resources EDM and DWG. Service assessment is also progressing to identify impact and resources needed within the services to test each DR scenario. A formalised annual DR plan is being developed and implementation to plan will follow once signed off by the wider business.</p> | 1                    | 3      | 3           |
| Risk Owner: Director - Digital Transformation.   | Action Owner: Director Digital Transformation.  | Portfolio Flag: Finance, Governance and Performance. |                    |        | Strategy Theme: Our Organisation, Fair and Inclusive, Well Connected, Wellbeing. |   |                      |        |             |

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| Corporate Risk Register as at August 2018 - Risks to the achievement of Bristol City Councils Objectives.  |  |  |                    |        |                                   |   |                      |        |             |
|--|--|--|--------------------|--------|-----------------------------------|---|----------------------|--------|-------------|
| Risk title and description   | What we have done  | Performance  | Current Risk Level |        |                                   | What we are doing   | Tolerance Risk Level |        |             |
|  |  |  | Likelihood         | Impact | Risk Rating                       |   | Likelihood           | Impact | Risk Rating |
| <p><b>CRR3: Failure to Manage Asbestos.</b></p> <p>Failure to manage the asbestos management plan for properties.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>• Staff availability to carry out work plans in a safe way.</li> <li>• Lack of appropriate training.</li> <li>• Lack of oversight and control by local management.</li> <li>• Lack of information on the potential or known risks.</li> <li>• Inadequate contract management arrangements.</li> <li>• Lack of effective processes and systems consistently being applied.</li> <li>• Policies are not kept up to date.</li> <li>• Budget pressures.</li> </ul> | <p>We have an ongoing plan for properties to be surveyed prior to any work being undertaken by Asbestos Consultants plus an ongoing programme of surveys is being carried out.</p> <p>Funding for Contractor training was agreed in February 2018.</p> <p>There is a process for reporting Asbestos exposure incidents to the HSE via F2508 form. Asbestos incidents are reported via the Corporate health and safety accident/incident process. Asbestos incidents are investigated in-house and appropriate actions are taken. Significant asbestos issues are reported to the appropriate Health &amp; Safety Committees, senior management and executive.</p> <p>Corporate Asbestos arrangements have been reviewed and published on the Source, 12th June 2018.</p> <p>Targeted work on asbestos has commenced.</p> | ↔  | 3                  | 7      | 21                                | <p>A corporate review of Asbestos arrangements is being carried out by end Q2 2018/19.</p> <p>All managers will be informed of reviewed Asbestos arrangements by use of CHaSMS by end August 2018.</p> <p>Housing and Property Service are reviewing and updating the service area of Asbestos arrangement procedures in December 2018.</p> <p>Contractor training to inform of BCC's expectations of standards, whilst on our sites arrangements is being carried out by end Q2 2018/19.</p> | 1                    | 7      | 7           |
| Risk Owner: Head of Paid Service.  | Action Owner: Interim Director Workforce Change.   | Portfolio Flag: Finance, Governance and Performance. |                    |        | Strategy Theme: Our Organisation. |   |                      |        |             |

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|--|---|---|--|--------|-------------|----------------------|--------|-------------|
| Risk title and description   | What we have done   | Performance   | Current Risk Level                       |        |             | Tolerance Risk Level |        |             |
|  |   |   | Likelihood                               | Impact | Risk Rating | Likelihood           | Impact | Risk Rating |
| <p><b>CRR4: Corporate Health, Safety and Wellbeing.</b></p> <p>If the City Council does not meet its wide range of Health &amp; Safety requirements then there could be a risk to the safety of citizens.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>• If services do not have sufficient staff numbers to carry out work plans in a safe way.</li> <li>• If services are not able to order appropriate equipment required for staff safety.</li> </ul> <p>Lack of appropriate equipment.<br/>Lack of appropriate training.<br/>Lack of oversight and control by local management.<br/>Lack of information on the potential or known risks.</p> <ul style="list-style-type: none"> <li>• Inadequate contract management arrangements.</li> <li>• Lack of effective processes and systems consistently being applied.</li> <li>• Policies are not kept up to date.</li> <li>• Budget pressures.</li> </ul> | <p>The Corporate Health &amp; Wellbeing (HS&amp;W) team is in place to support the council and provide advice and guidance. The Corporate Policy Statement, service specific policies, procedures and systems of work and safety arrangements are in place and routinely reviewed.</p> <p>BCC has a Corporate Health and Safety Management System (CHaSMS) to identify and monitor hazards, risks and appropriate actions. Each manager (with staff and /or premises responsibilities) has an action plan which is completed by all Managers on a quarterly basis. Once completed the (HS&amp;W) team check the returns, and give relevant feedback to the individual Managers and report the overall results to Senior Management.</p> <p>The accident/incident reporting procedure is in place to monitor injury to colleagues and communicated. All incidents are subject to the investigation procedure to reduce potential for recurrences.</p> <p>Corporate procedures and a risk assessment pro-forma exist for core safety functions including arrangements for fire risk assessment of all workplaces. A register is in place for potential asbestos exposures. We have reviewed and further invested in statutory health surveillance equipment and training and a programme of work in place within council housing post Grenfell.</p> <p>BCC has a programme of e-learning and personal face to face course delivery available to all staff and members. Ongoing specific training on H&amp;S and excessive pressure/ personal resilience is also available. Stress management training and stress risk assessment training is available for managers and employees.</p> <p>An independent occupational health support (NHS Avon Partnership Occupational Health Service) is in place to provide advice, employee support, management medical opinion and advice to support managers dealing with employee ill-health and absence. A pre-employment health screening service is in place to ensure reasonable adjustments are identified to support employees and also an HGV driver medical support service. A confidential Employee Assistance Programme, Wellbeing telephone helpline operates (24hrs / 7 days a week); this programme also includes a range of Wellbeing information via a website. Partnerships with external providers of counselling and physiotherapy services are in place to provide fast-track access to these services. The council is routinely monitoring these services.</p> <p>The Intelligence network including the Corporate Safety Information System is in place to share details of the addresses to the Citizens of Bristol considered to present risks to staff.</p> <p>Corporate Health and Safety is reported to the Leadership team quarterly using the CHaSMS to help monitor compliance.</p> <p>BCC also has a system of Trade Union Consultation with Health and Safety trained Representatives.</p> <p>Benchmarking and annual reports are provided to BCC along with the annual performance report.</p> <p>All contracts set up with external providers include checking their relevant Health and Safety competency.</p> <p>The councils audit programme monitors compliance with statutory duty and best practices.</p> | ↔   | 3  | 7      | 21          |                      |        |             |
| <p>Risk Owner: Head of Paid Service.</p>   | <p>Action Owner: Interim Director Workforce Change.</p>   | <p>Portfolio Flag: Finance, Governance and Performance.</p> | <p>Strategy Theme: Our Organisation.</p> |        |             |                      |        |             |

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|--|---|--|--|--------|-------------|---|----------------------|--------|-------------|
| Risk title and description   | What we have done   | Performance  | Current Risk Level                           |        |             | What we are doing   | Tolerance Risk Level |        |             |
|  |   |  | Likelihood                                   | Impact | Risk Rating |   | Likelihood           | Impact | Risk Rating |
| <p><b>CRR5: Business Continuity and Councils Service Resilience.</b></p> <p>If the council has a Business Continuity disruption and is unable to ensure the resilience of key BCC operations and business activities then the impact of the event may be increased with a greater impact on people and council Services.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>• Strikes (People, Fuel).</li> <li>• Loss of key staff (communicable diseases and influenza epidemics).</li> <li>• Loss of suppliers.</li> <li>• Loss of accommodation to deliver key services.</li> <li>• Loss of equipment.</li> </ul> <p>Any event which may cause major disruption.</p> <ul style="list-style-type: none"> <li>• Unavailability of IT and/or Telecoms.</li> <li>• Loss of staff /staff availability.</li> <li>• Knowledge loss.</li> <li>• Reduced chances of preventing/ responding to incidents due to a lack of forward planning or investment.</li> </ul> | <p>The council has a Corporate Resilience Group (CRG) supported by directorate representatives who meet quarterly to overseeing the council's Business Continuity arrangements and to receive significant risks outside council Control which are reflected on the Local Resilience Forum Community Risk Register.</p> <p>A number of Policies and procedures are in place including the Business Continuity Policy (September 2016) which was communicated to relevant staffs. The Incident Response Plan updated in July 2017.</p> <p>Service Business Continuity Plans were in place for January 2018 the plans are undergoing a refresh in 2018.</p> <p>An Incident Management Team training session is planned for September 2018.</p> <p>A Senior Management on-call rota has been devised agreed and is regularly monitored.</p> <p>A successful annual recovery exercise Day Two was carried out 25th May 2018 and relevant improvements are being built into the wider council arrangements and will be briefed to the CRG.</p> <p>(See CRR2 for IT Infrastructure risk page 2 and CRR7 for Cyber-attack and its implications page 7).</p> | ↔  | 3  | 7      | 21          | <p>The Business Continuity Policy is planned to be reviewed in November 2018.</p> <p>The Corporate Business Continuity Plan will be reviewed in December 2018.</p> <p>A review of Service Level Business Continuity Plans will be carried out by January 2019. We are introducing a quality assurance approach for our business continuity plans to emphasise service accountability.</p> <p>The Businesses Continuity Working Group will be refreshed within the year and we are currently drafting a plan for future exercises to test different elements of BCC Business Continuity arrangements with partners.</p> <p>Business Continuity refresher training is planned for November/December 2018.</p> | 1                    | 7      | 7           |
| Risk Owner: Acting Executive Director Communities.   | Action Owner: Civil Protection Manager.   | Portfolio Flag: Finance, Governance and Performance. | Strategy Theme: Our Organisation, Wellbeing. |        |             |   |                      |        |             |

| Corporate Risk Register as at August 2018 - Risks to the achievement of Bristol City Councils Objectives.  |  |             |  |        |             |   |                      |        |             |
|--|--|-------------|--|--------|-------------|---|----------------------|--------|-------------|
| Risk title and description   | What we have done  | Performance | Current Risk Level                                   |        |             | What we are doing   | Tolerance Risk Level |        |             |
|  |  |             | Likelihood   | Impact | Risk Rating |   | Likelihood           | Impact | Risk Rating |
| <p><b>CRR6: Fraud and Corruption.</b></p> <p>Failure to prevent or detect acts of significant fraud or corruption against the council from either internal or external sources.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>• Failure of management to implement a sound system of internal control and/or to demonstrate commitment to it at all times.</li> <li>• Not keeping up to date with developments, in new areas of fraud.</li> <li>• Insufficient risk assessment of new emerging fraud issues.</li> <li>• Lack of clear management control of responsibility, authorities and / or delegation.</li> <li>• Lack of resources to undertake the depth of work required to minimise the risks of fraud /avoidance.</li> <li>• Under investment in fraud prevention and detection technology and resource.</li> </ul> | <p>We are continually improving the comprehensive system of control which aims to prevent fraud and increase the likelihood of detection. This includes a strong and robust policy on anti-fraud, corruption and bribery.</p> <p>We take a strong stance when fraud is found and seek financial recovery through a strong and effective counter fraud team.</p> <p>The team concentrates on areas of high fraud risk, investigates fraud promptly where suspected and sanctions appropriately. By, investing in specialist fraud prevention and detection software and utilising cross organisation data will minimise the council's exposure to fraud risk and aid early detection / prevention. An accessible route to report suspected fraud is available to both the public and employees via a Whistleblowing Policy Anti-Fraud, Bribery and Corruption Policy and web page. This ensures that the council's financial systems accurately record the financial transactions and robust control processes which are in place to maximise the opportunity to prevent and detect fraud or inaccuracies.</p> <p>Employees are aware of probity standards expected of them via an Employee Code of Conduct, improving awareness of fraud and compliance through a process of reminders about ethics and conduct, fraud awareness training and other publicity, continual maintenance of Counter Fraud information on Web pages and monitoring and review of the effectiveness of the Counter Fraud Arrangements.</p> <p>Key Counter Fraud Objectives were defined for 2018/19.</p> <p>Counter Fraud Performance is monitored by Audit Committee via the Annual Counter Fraud Update, periodic Internal Audit Updates and the Annual review of arrangements against CIPFA Count Fraud Assessment Tool. Improvements are highlighted an action plan which is monitored by Audit Committee.</p> | ↔           | 3  | 5      | 15          | <p>We are monitoring fraud indicators (warning signs and fraud alerts) to ensure anti- fraud approach is correctly targeted.</p> <p>Capacity and priorities within Internal Audit are to be re-considered. The scale of whistleblowing/fraud referrals received is impacting on the team's ability to deliver preventative work and proactive fraud work which returns savings and other benefits to the council.</p> <p>Legal and financial support arrangements for Counter Fraud work are to be reviewed to ensure recoveries are maximised.</p> <p>The availability, costs and benefits of fraud prevention technology will be reviewed for potential future investment decision.</p> <p>A corporate project to deliver fraud and avoidance savings by March 2019 by improved use of data will be established. We will review of bribery and corruption fraud controls.</p> | 2                    | 5      | 10          |
| Risk Owner: Executive Director Resources and Director of Finance (Section 151 Officer).  | Action Owner: Director of Finance and Chief Internal Auditor.  |             | Portfolio Flag: Finance, Governance and Performance. |        |             | Strategy Theme: Our Organisation.   |                      |        |             |

| Corporate Risk Register as at August 2018 - Risks to the achievement of Bristol City Councils Objectives.  |  |             |  |        |             |   |                      |        |             |
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| Risk title and description   | What we have done  | Performance | Current Risk Level                                   |        |             | What we are doing   | Tolerance Risk Level |        |             |
|  |  |             | Likelihood   | Impact | Risk Rating |   | Likelihood           | Impact | Risk Rating |
| <p><b>CRR7: Cyber-attack threats and implications.</b></p> <p>There could be a risk if the IT service areas are unable to protect the organisation from a successful Cyber-attack, which could impact on data integrity/loss of operational systems across the City Council. This may be due to a successful deliberate or accidental infection of council systems with malware or other intrusive or destructive virus. (e.g. 'Phishing' scam) leading to loss or unauthorised access to sensitive business data, deliberate or accidental leak of sensitive information into the public domain, system security arrangements impacted, intelligence availability on latest security arrangement/threats.</p> <p>The impact could result in critical services and business as usual activities could be seriously disrupted, impacting on the services delivered, potential Data protection breach, the cost of recovery from Cyber event the impact on colleagues or citizens due to their personal information being obtained along with Information Commissioners (ICO) Sanctions, financial, legal and reputational implications for the council.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>• Successful deliberate or accidental infection of council systems with malware or other intrusive or destructive virus (e.g. 'Phishing' scam).</li> <li>• Successful deliberate or accidental leak of sensitive information into the public domain.</li> <li>• System security arrangements not maintained or updated on a timely basis.</li> <li>• Lack of information or training on latest security arrangement / threats.</li> <li>• Human error through lack of training or poor process design.</li> </ul> | <p>BCC are implementing the IT Transformation Programme which includes actions to further strengthen IT resilience, with systems and software compliance against various UK Standards.</p> <p>The Information Security Policy as revised in August 2016 and the BCC systems have been reconfigured in line with best practice security controls proportionate to the business information being handled.</p> <p>Systems are risk assessed and reviewed to ensure compliance is maintained as a multi layered defence. The Policy, assessment is subject to a formal annual review. External reviews of the council's Security Compliance is carried out to maintain accreditation and confirm best practice and applied annually.</p> <p>An information security risk assessment was completed to identify risks, lessons learnt and an action plan developed. This assessment and plan informs on the Internal Audit plan for 2018/19.</p> <p>Electronic Communications Users Policy, Virus reporting procedure and Social Media Guidelines are in place.</p> <p>Staff/Members and Partner information security training is provided and ongoing. 'Enterprise phishing' training was carried out in 2017.</p> <p>BCC has in place external third party IT support for incident management.</p> <p>We monitor threats, network behaviours and data transfers to seek out possible breaches and take appropriate action.</p> <p>The Future State Assessment (FSA) Capital bid was successfully approved by cabinet to implement and fund additional security measures as part of the FSA programme.</p> | ↔           | 3  | 5      | 15          | <p>Annual penetration testing is now completed. This highlighted a number of risks and issues that are being reviewed, planned against and addressed. Progress to plans will be reviewed and reported on as required.</p> <p>Our annual PSN submission is currently underway again with appropriate assessment of risk across the whole estate. The risks continue to be identified from legacy systems operating on systems identified as a potential heightened risk. The steps to mitigate this risk are being worked through and include isolation of applications, patching, decommissioning and upgrades. These approaches are being worked through with the business and discussed externally with the PSA authority to agree appropriate mitigation and subsequent PSA sign off.</p> <p>We are developing and delivering new information security training throughout the year.</p> | 2                    | 5      | 10          |
| Risk Owner: Director - Digital Transformation.   | Action Owner: Director Digital Transformation.   |             | Portfolio Flag: Finance, Governance and Performance. |        |             | Strategy Theme: Our Organisation.   |                      |        |             |

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|  |   |  | Likelihood         | Impact | Risk Rating                                  | Likelihood           | Impact | Risk Rating |
| <p><b>CRR8: Service Review.</b></p> <p>If the organisation is not able to redesign its leadership team quickly enough, it may result in a reduction in staffing levels. The possible loss of experienced and skilled staff will have an impact on service delivery, and on remaining staff.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>Staff leaving due to service redesign, reduction/ceasing of some service areas, automation of processes, pace of change, efficiency/savings requirements.</li> </ul> <p>Poor morale due to the impact of change and the working environment.</p> <p>Potential increased staff sickness levels.</p> | <p>A senior management restructure is almost complete which will bring permanency and stability for the leadership team.</p> <p>A new Leadership Framework sets out the leadership behaviours and qualities expected of our managers and aspiring managers. Applicants for senior leadership roles are tested against these qualities.</p> <p>An organisation-wide leadership development and engagement programme will support colleagues during the time of transition. The Leadership Framework will be rolled out to provide support to enable our staff to become confident and supportive leaders for our workforce.</p> <p>To promote a positive culture within the organisation, a set of organisation values and behaviours has been created in collaboration with staff focus groups; this will help set the tone of the organisation and assist, in conjunction with the Corporate Strategy priorities, in providing clarity of purpose. It will link directly through to a new performance framework that will provide clarity to staff about the expectations and how their work contributes to the success of the organisation. This will feature in the Workforce Plan which is currently being drafted.</p> <p>Learning and development is available to support staff to meet the expectations of the organisation.</p> <p>The Corporate Strategy and associated Business Plans will provide clarity on priorities and help our workforce focus its attention and resources on the areas that derive greatest results for our communities and residents.</p> <p>A new Leadership Framework is in place and used as the assessment framework to recruit new senior leaders against.</p> <p>A refreshed internal communication and engagement strategy was received by to CLB in August 2018.</p> | ↔  | 3                  | 5      | 15   | 2                    | 5      | 10          |
| Risk Owner: Head of Paid Service.  | Action Owner: Director of Workforce Change.   | Portfolio Flag: Finance, Governance and Performance. |                    |        | Strategy Theme: Our Organisation, Wellbeing. |                      |        |             |

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|--|--|-------------|--|--------|-------------|---|----------------------|--------|-------------|
| Risk title and description   | What we have done  | Performance | Current Risk Level                         |        |             | What we are doing   | Tolerance Risk Level |        |             |
|  |  |             | Likelihood                                 | Impact | Risk Rating |   | Likelihood           | Impact | Risk Rating |
| <p><b>CRR9: Safeguarding Vulnerable Children.</b></p> <p>The council fails to ensure that adequate safeguarding measures are in place, resulting in harm or death to a vulnerable child.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>Safeguarding arrangements do not meet the requirements of the Children Act and associated legislation, guidance and regulations.</li> <li>Inadequate controls result in harm.</li> <li>Poor Management and operational practices.</li> <li>Demand for services exceeds its capacity and capability.</li> <li>Inability to recruit/retain social care staff in competitive market.</li> <li>Poor information sharing.</li> <li>Strategic commissioning arrangements do not meet identified need and our ability to commission safe care for children is impaired.</li> </ul> | <p>We provide regular analysis of performance and reports to Cabinet Members and Directors regarding safeguarding performance and progress.</p> <p>The Safeguarding Children’s Board provides independent scrutiny of children’s safeguarding arrangements in the city and holds BCC and partner agencies to account.</p> <p>There has been a review of arrangements to meet the Prevent Duty and the Safer Bristol Board has adopted an Improvement Plan to deliver better outcomes in service provision quality and safety.</p> <p>BCC works with partners to effectively identify victims and perpetrators of CSE and take action to disrupt and protect.</p> <p>Multi Agency Public Protection Arrangements are in place (MAPPA) with BCC contributors at every level to support family safeguarding.</p> <p>The Safeguarding and Quality Assurance Service has been remodelled to secure additional capacity (Independent reviewing officer and Child Protection Chairs) and has the Local Authority Designated Officer for allegations against people who work with children.</p> <p>Comprehensive training and development offer, together with publication of Bristol’s policies and procedures and monthly professional supervision help ensure safe practice and adequate control of risks. This is monitored and tested through a performance framework and quality assurance framework.</p> <p>Based on analysis and self-evaluation a transformation and improvement plan are in place to address areas identified for improvement (these incorporate actions in response to learning from Ofsted Inspections, Peer Review, Serious Case Review, complaints and other feedback received).</p> <p>For children with complex needs and disabilities, management and practice arrangements have been strengthened.</p> <p>Bristol’s Strengthening Families transformation programme is taking a whole system approach to meeting the needs of children and families at the earliest point. In this way we aim to manage demand and maintain capacity within the system. Universal services may be supported by early help and targeted services, including a team around the school offer.</p> <p>Bristol has an active strategy in place to attract, recruit and retain social workers with a particular emphasis on recruiting and retaining excellent, experienced social workers. The Management Team monitors social work vacancies and agrees strategies for urgent situations. Competent agency social workers and managers are used on temporary basis to fill vacancies. A number of further measures are being progressed with the aim of improving the retention of social workers. A robust social worker caseload monitoring framework is in place.</p> <p>Information sharing protocols are in place with services taking action to comply with GDPR where sensitive data is stored/processed.</p> <p>Children’s strategic commissioning team have a work plan in place.</p> <p>BCC commissioners work closely with operational services to identify need and ensure appropriate service commissioning.</p> <p>Due diligence and quality checks of all commissioned services for vulnerable children are in place.</p> | ↔           | 2  | 7      | 14          | <p>Safeguarding Board and related arrangements are under review, with the aim of improving efficiency and effectiveness, and ensuring robust governance arrangements continue to hold multiagency partners (inc. BCC) to account.</p> <p>Ongoing action is being taken to extend information sharing arrangements and improve response to children at risk of criminal exploitation and going missing following CSE/Missing National Working Group recommendations.</p> <p>Under the delivering of Strengthening Families Programme we have an ongoing plan to:</p> <ul style="list-style-type: none"> <li>Reduce caseloads of social care practitioners.</li> <li>Ensure purposeful practice that supports Children to live safely within their families and provide local authority care for those who need it.</li> <li>Ensure effective management oversight is evident on all children’s records.</li> </ul> <p>Measures to improve recruitment and retention of Social Workers will be presented through the Decision Pathway in September 2018.</p> <p>This should allow us to work proactively where poor practice is identified.</p> | 1                    | 7      | 7           |
| Risk Owner: Executive Director, Adults, Children and Education.  | Action Owner: Director for Children’s and Families Services.   |             | Portfolio Flag: Children and Young People. |        |             | Strategy Theme: Our Organisation, Empowering and Caring, Wellbeing.   |                      |        |             |

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|--|---|-------------|------------------------------------|--------|-------------|--|----------------------|--------|-------------|
| Risk title and description   | What we have done   | Performance | Current Risk Level                 |        |             | What we are doing  | Tolerance Risk Level |        |             |
|  |   |             | Likelihood                         | Impact | Risk Rating |  | Likelihood           | Impact | Risk Rating |
| <p><b>CRR10: Safeguarding Vulnerable Adults.</b></p> <p>The council fails to ensure adequate safeguarding measures are in place, resulting in harm or death to a vulnerable Adult.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>• Adequacy of its controls.</li> <li>• Management and operational practices.</li> <li>• Demand for its services exceeded its capacity and capability.</li> <li>• Poor information sharing.</li> </ul> <p>Lack of capacity or resources to deliver safe practice.</p> <p>Failure to commission safe care for vulnerable adults and the elderly.</p> <p>Failure to meet the requirements of the "Prevent Duty" placed on Local Authorities.</p> | <p>The Safeguarding Vulnerable Adults Board is an independent scrutiny board led by BCC working in partnership with key agencies. There has been a multi-agency led review of existing arrangements led by BCC in light of the new Prevent Duty and the Board has adopted an Improvement plan to deliver better outcomes in service provision quality and safety. The Board is now on a statutory footing following implementation of the Care Act 2014. The Multi Agency Public Protection arrangements are in place (MAPPA) and BCC and the multi-agency Board work in conjunction with the Learning Disability and Mental Health services.</p> <p>The Bristol Safeguarding Adults Board Learning and Development Competence Framework has been reviewed and will be reviewed on an annually basis to ensure continued best practice.</p> <p>Safeguarding improvement plans are in place for Older People, Physical Disability and Disabled Children and the Capability framework for safeguarding and the mental capacity act have been introduced. The Adult Change Programme ' Better Lives' - Transforming Care Programme has been established to implement policy objectives of moving people into more suitable care settings.</p> <p>We have an active strategy in place to attract, recruit and retain social workers through a variety of routes with particular emphasis on experienced social workers. The Adult South West Recruitment and Retention Strategy has been drafted, the risks and costs identified. The strategy will be presented through the Decision Pathway. Regular strategies and campaigns support the recruitment and retention of high calibre social workers and managers, with competent agency social workers and managers used on temporary basis to fill vacancies.</p> <p>All key staff working with people directly at risk are trained in the essentials of safeguarding and BCC has an ongoing awareness-raising 'Prevent' training programme.</p> <p>Regular reporting on safeguarding is taking place quarterly for Directors and Cabinet Members, with an annual report for elected Members to allow for scrutiny of progress. The quality assurance framework and performance framework is routinely monitored and reported on.</p> | ↔           | 2                                  | 7      | 14          | <p>The Adults Major Change programmes (Better Lives) launched in Autumn 2017 and led by Bristol City Council involving all partners with a safeguarding responsibility will be reviewed in November 2018.</p> <p>Through the Better Lives Programme we are reducing caseloads, ensure purposeful practice that supports Adults and elderly people to have safety within their families and provide local authority care for those who need it and ensuring effective management oversight.</p> <p>We are increasing capacity this year in the commissioning team to lead on monitoring quality in the care sector.</p> | 1                    | 7      | 7           |
| Risk Owner: Executive Director, Adults, Children and Education.  | Action Owner: Interim Director Adult Social Care.   |             | Portfolio Flag: Adult Social Care. |        |             | Strategy Theme: Our Organisation, Empowering others and Caring, Fair and Inclusive, Well connected, Wellbeing.   |                      |        |             |

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|---|--|---|---|--------|-------------|----------------------|--------|-------------|
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|   |  |   | Likelihood                              | Impact | Risk Rating | Likelihood           | Impact | Risk Rating |
| <p><b>CRR11: Bristol City Council (BCC) Infrastructure Delivery.</b></p> <p>If the council fails to prioritise infrastructure investment and resources, has inconsistent policies and attitudes, and has no bargaining power regionally or with central government; there is a risk that inward investment will be reduced, making it difficult for the council to realise its strategic priorities, ensure assets are efficient and fit for purpose in meeting current and future demand and support development of the local area.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>No clear strategic direction and objective set for the Property estate.</li> <li>Services and resources (human and financial) are not fully aligned and/ or controlled to deliver the objectives.</li> <li>Failure to deliver the level of anticipated Capital Receipts.</li> <li>Leadership capacity, engagement and capability are insufficient to drive change and transformation within the council.</li> <li>Resources are poorly managed, short term approach being adopted or are not contributing fully to council priorities; resulting in agreed outcomes and objectives not being fully achieved.</li> <li>Ineffective collection, integrity and use of data and information.</li> <li>Infrastructure Condition and suitability of overall asset base is not being used or managed efficiently or effectively.</li> <li>Lack of joined up planning, decision making and effective project management.</li> <li>Ineffective collection, integrity and use of data and information.</li> <li>Reduced public sector funding impacting on the resources available.</li> <li>Currently a more uncertain future due to Brexit.</li> </ul> | <p>Governance arrangements have been established through the Growth and Regeneration Board (G&amp;RB) and the Strategic Property Group (SPG) both launched in Q4. 2017/18 to enable the integration of thinking about property with financial, regeneration and other considerations and enhance reporting of asset disposal plans and progress.</p> <p>The G&amp;RB have identified a number of areas of growth and regeneration (AGR) across the City during Q4. 2017/18 to enable place shaping including contributing to regeneration activity, affordable housing, community building and the financial sustainability of the council.</p> <p>Prioritisation of AGR is underway by the G&amp;R Board.</p> <p>The Strategic Property Review Group (SPG) was established in January 2018 and meets on a monthly basis. The SPRG identified the need for an Operational Property Group in March 2018.</p> <p>The Operational Property Group (OPG) as a sub-group to the Strategic Property Group (SPG) was launched in July to unlock the value of assets, seek efficiencies through joint arrangements with public sector partners and maximise private sector investment. Actions are now being progressed through the work of the SPG and through OPG which will have a Corporate Landlord role to ensure the ownership of an asset and the responsibility for its management; maintenance and funding are transferred to a centralised corporate crosscutting group.</p> <p>Recruitment of Asset Management Plan specialist has commenced.</p> | ↔   | 2                                       | 7      | 14          | 1                    | 5      | 5           |
| <p>Risk Owner: Director Finance (Section 151 Officer), Executive Director Growth and Regeneration.</p>  | <p>Action Owner: Executive Director Growth and Regeneration.</p>   | <p>Portfolio Flag: Finance, Governance and Performance.</p> | <p>Strategy Theme: Our Organisation</p> |        |             |                      |        |             |

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|   |   |   | Likelihood  | Impact | Risk Rating | Likelihood           | Impact | Risk Rating |
| <p><b>CRR12: Failure to deliver suitable planning measures, respond to and manage events when they occur.</b></p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>Critical services unprepared or have ineffective emergency and business continuity plans and associated activities.</li> <li>Lack of resilience in the supply chain hampers effective response to incidents.</li> <li>Lack of trained and available strategic staff.</li> </ul> <p>(Previously Civil Contingencies and Council Resilience).</p> | <p>The Avon and Somerset Local Resilience Forum (LRF) is a legally required multi-agency partnership of all the organisations needed to prepare for an emergency in the LRF area. It includes the emergency services, health services, Maritime and Coastal Agency, Environment Agency, volunteer agencies, utility companies, transport providers and the five councils of Bath and North East Somerset, Bristol, North Somerset, Somerset and South Gloucestershire. The Avon and Somerset LRF to drive work identified by risk and impact based on Avon and Somerset Community Risk Register. Key roles of the group includes: Intelligence gathering and forecasting, regular training exercises and tests, Task and Finish groups addressing key issues, procedure, plan writing and capability building and a multi-Agency recovery structure is in place.</p> <p>Bristol is working with Avon and Somerset Local Resilience Forum (LRF) together with personnel as an integrated and co-located team to deliver enhanced emergency planning and business continuity along with Avon and Somerset Local Health Resilience Partnership is to ensure a coordinated health services and Public Health England and planning, response is in place.</p> <p>A system is in place for ongoing monitoring of severe weather events (SWIMS).</p> <p>Emergency planning training has been rolled and a multi-agency exercise is regularly conducted to test different elements of BCC emergency arrangements with partners. The most recent exercises being Day Two May 2018, Dark Zodiac April 2018 and Saxon Resolve November 2017.</p> <p>A senior management on-call rota has been devised, agreed and is monitored. Emergency Reservists have been recruited to aid emergency responses.</p> <p>External IT security incidents are logged and reviewed from an IT and wider Information Governance perspective.</p> <p>Local procedures have been established and are being continually reviewed and refined for when the national threat level increases to critical. This includes an update of the Corporate Business Continuity Plan.</p> <p>We tested the Bristol Operations Centre capacity to support multi-agency operations in July 2018.</p> <p>BCC took receipt the South West's share of the National Emergency Mortuary Equipment in July 2018.</p> | <p>↔</p>  | 2   | 7      | 14          | 1                    | 7      | 7           |
| <p>Risk Owner: Acting Executive Director Communities.</p>   | <p>Action Owner: Civil Protection Manager.</p>  | <p>Portfolio Flag: Finance, Governance and Performance.</p> | <p>Strategy Theme: Our Organisation, Wellbeing.</p> |        |             |                      |        |             |

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|--|--|-------------|--|--------|-------------|-----------------------------------|--------|-------------|
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|  |  |             | Likelihood   | Impact | Risk Rating | Likelihood                        | Impact | Risk Rating |
| <p><b>CRR13: Financial Framework and MTFP.</b></p> <p>Failure to reasonably estimate and agree the financial 'envelope' available, both annually and in the medium-term and the council is unable to set a balanced budget.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>Inadequate budgeting &amp; budgetary control/Financial Settlements &amp; wider fiscal policy changes:                             <ul style="list-style-type: none"> <li>The potential for new funding formulas such as fair funding, business rates retention, new national funding formula for schools and high needs to significantly reduce the government funding available to the council alongside possible increase in demand for council services.</li> </ul> </li> <li>Political failure to facilitate the setting of a lawful budget.                             <ul style="list-style-type: none"> <li>Unable to agree a deliverable programme of propositions that enable the required savings to be achieved.</li> <li>Insufficient reserves to mitigate risks and liabilities and provide resilience.                                     <ul style="list-style-type: none"> <li>Rising inflation could lead to increased costs.</li> </ul> </li> </ul> </li> <li>Economic uncertainty impact on locally generated revenues - business rates and housing growth, impacting on council tax, new homes bonus and business rate income.</li> <li>Brexit - the general uncertainty affecting the financial markets, levels of trade &amp; investment.</li> <li>Judicial review of the budget process.</li> </ul> | <p>BCC manages its financial risks through a range of controls including budget preparation, budget setting and a Budget Accountability Framework. Roles and responsibilities for managing, monitoring and forecasting income and expenditure against approved budgets have been updated.</p> <p>The council has developed a strong rolling Medium-term financial planning process to enable the strategic objectives and statutory duties to be met. We are working to ensure a rigorous structure exists to oversee the budgetary control process from budget setting through to monitoring, oversight and scrutiny including:</p> <ul style="list-style-type: none"> <li>The level of reserves and balances are regularly reviewed to ensure that account is taken of any financial risk.</li> <li>Financial Regulations and Financial Scheme of Delegation is in place.</li> <li>Regular in-year monitoring and reporting, review of future financial plans and assessment of financial risks and reserves are undertaken to ensure the financial plans are delivered.</li> <li>2018/19 Budget and Capital Programme agreed by Full Council in February 2018 with agreed savings programme and outline capital programme to 2023.</li> <li>Medium Term Financial Strategy agreed by Cabinet in July 2017 and refreshed annually detailing savings, growth, and risks.</li> <li>The Mid-Year Treasury Report for 2017/18 presented to Audit Committee and Full Council in accordance with the Council's Treasury Management Process.</li> <li>Challenge meetings to challenge 2018/23 budget process are ongoing.</li> <li>The ongoing production of a programme of propositions that exceed the forecasted budget gap to provide members with options and headroom for variations in financial estimates.</li> <li>Changes to propositions are maintained in the DWG Tracker.</li> <li>The ongoing agreement of initial budget, proposals and key assumptions by Corporate Leadership Board and Executive and submission to scrutiny.</li> <li>The ongoing assessment of the adequacy of general reserves and any specific reserve which takes into account an assessment of the risks related to the budget estimates and financial/economic climate.</li> <li>The maintaining of the evolving financial model that reflects in a timely manner changes in national and local assumptions.</li> </ul> | ↔           | 2  | 5      | 10          | 1                                 | 5      | 5           |
| Risk Owner: Director of Finance (S151 Officer).  | Action Owner: Executive Director Resources, Director of Finance (S151 Officer)   |             | Portfolio Flag: Finance, Governance and Performance. |        |             | Strategy Theme: Our Organisation. |        |             |

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| Risk title and description  | What we have done   | Performance  | Current Risk Level |        |                                   | What we are doing   | Tolerance Risk Level |        |             |
|   |   |  | Likelihood         | Impact | Risk Rating                       |   | Likelihood           | Impact | Risk Rating |
| <p><b>CRR15: Financial Deficit.</b></p> <p>The council's financial position goes into significant deficit in the current year resulting in general reserves (actual or projected) being less than 75% of the level specified in the reserves policy.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>• A failure to appropriately plan and deliver savings unscheduled loss of material income streams.</li> <li>• Increase in demography, demand and costs for key council services.</li> <li>• The inability to generate the minimum anticipated level of capital receipts.</li> <li>• Insufficient reserves to facilitate short term mitigations, risks and liabilities.</li> </ul> <p>Interest rate volatility impacting on the council's debt costs.</p> <p>Judicial review of the budget process.</p> | <p>BCC's Financial framework ensures that we have in place sound arrangements for financial planning, management, monitoring and reporting. New spend decisions and borrowing is only supported where the source of revenue resources to meet the costs is clearly identified and availability confirmed by Finance. Getting our accounts produced on time and without audit qualification is important to ensure that we can properly account for the resources we have used during the year.</p> <p>Corporate Revenue Monitoring Reports with identified risks are reported to Cabinet, overspending departments prepare action plans with responsible Directors identified.</p> <p>The ongoing review and due diligence of all budget savings by Delivery working Group and Delivery Executive, Corporate Leadership Board and the Executive. The pipeline of propositions to be incorporated into the DWG tracker, due diligence undertaken and subject to DWG/DE governance and assurance process.</p> <p>The ongoing regular monitoring reports to Corporate Leadership Team and Cabinet management reports setting out progress on delivery of savings and other risks and opportunities in addition to the forecast expenditure.</p> <p>We have continual oversight and ongoing management of the council's financial risks.</p> <p>Internal audit also undertakes a number of reviews of our financial planning and monitoring arrangements.</p> | ↔  | 2                  | 5      | 10                                | <p>A review of robustness of forecasting in light of YTD run rates and other associated evidence.</p> <p>Budget Improvement – The executive will review service recovery/delivery plans, options for mitigation and their viability, risk and priority outcome implications - both immediate and the wider MTFP impact.</p> <p>Where viable in year recovery/delivery plans cannot be achieved, Executive Directors will report to the Mayor and Cabinet seeking a supplementary funding approval in accordance with the council's delegated executive approval powers (up to £1,000,000 for an area of activity).</p> <p>Where viable in year recovery/delivery plans cannot be achieved, Executive Directors will report to Full Council (in accordance with the Budget &amp; Policy framework ) to seek agreement to a supplementary estimate (&gt; £1,000,000 for an area of activity).</p> <p>We will seek agreement from the Executive of the alternative measures held in abeyance across other General Fund services e.g. which will be offset and advised to all associated Directors appropriately.</p> <p>We will carry out a re-assessment of service delivery risks and opportunities and risk and other reserves.</p> | 1                    | 5      | 5           |
| Risk Owner: Director of Finance (S151 Officer).   | Action Owner: Executive Director Resources, Director of Finance (S151 Officer).   | Portfolio Flag: Finance, Governance and Performance. |                    |        | Strategy Theme: Our Organisation. |   |                      |        |             |

| Corporate Risk Register as at August 2018 - Risks to the achievement of Bristol City Councils Objectives.   |  |  |                                   |        |             |                      |        |             |
|---|--|--|-----------------------------------|--------|-------------|----------------------|--------|-------------|
| Risk title and description  | What we have done  | Performance  | Current Risk Level                |        |             | Tolerance Risk Level |        |             |
|   |  |  | Likelihood                        | Impact | Risk Rating | Likelihood           | Impact | Risk Rating |
| <p><b>CRR16: Leadership.</b></p> <p>If there is a lack of leadership or management skills then this could impact on performance and the ability to deliver positive change.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>Loss of experienced managers.</li> <li>New skills sets required to meet new challenges.</li> <li>Poor communication regarding change and new initiatives.</li> </ul> <p>Need to make savings / increase income.</p> | <p>A senior management restructure is almost complete which will bring permanency and stability for the leadership team.</p> <p>A new Leadership Framework sets out the leadership behaviours and qualities expected of our managers and aspiring managers. Applicants for senior leadership roles are tested against these qualities.</p> <p>An organisation-wide leadership development and engagement programme will support colleagues during the time of transition. The Leadership Framework will be rolled out to provide support to enable our staff to become confident and supportive leaders for our workforce.</p> <p>To promote a positive culture within the organisation, a set of organisation values and behaviours has been created in collaboration with staff focus groups; this will help set the tone of the organisation and assist, in conjunction with the Corporate Strategy priorities, in providing clarity of purpose. It will link directly through to a new performance framework that will provide clarity to staff about the expectations and how their work contributes to the success of the organisation. This will feature in the Workforce Plan which is currently being drafted.</p> <p>The Corporate Strategy and associated Business Plans will provide clarity on priorities and help our workforce focus its attention and resources on the areas that derive greatest results for our communities and residents.</p> <p>We have regular communication with staff and key stakeholders to keep them up to date with organisational priorities and progress on recruitment of the senior leadership team. A refreshed internal communication and engagement strategy was received by CLB in August 2018.</p> | ↔  | 2                                 | 5      | 10          | 1                    | 5      | 5           |
| Risk Owner: Head of Paid Service and CLB.   | Action Owner: Head of Paid Service and CLB.  | Portfolio Flag: Finance, Governance and Performance. | Strategy Theme: Our Organisation. |        |             |                      |        |             |

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| Corporate Risk Register as at August 2018 - Risks to the achievement of Bristol City Councils Objectives.   |   |  |                    |        |                                   |  |                      |        |             |  |
|---|---|--|--------------------|--------|-----------------------------------|--|----------------------|--------|-------------|--|
| Risk title and description  | What we have done   | Performance  | Current Risk Level |        |                                   | What we are doing  | Tolerance Risk Level |        |             |  |
|   |   |  | Likelihood         | Impact | Risk Rating                       |  | Likelihood           | Impact | Risk Rating |  |
| <p><b>CRR17: Bristol City Council Strategy Management.</b></p> <p>The council fails to produce or embed a Corporate Strategy with clear links through to business planning and performance management, resulting in less effective implementation of policy, use of resources and/or partnership working.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>Plans, policies, budget and/or resource not aligned to the Corporate Strategy.</li> <li>Significant changes in senior management roles and personnel results in lack of knowledge or a feeling of ownership in relation to the Corporate Strategy.</li> </ul> | <p>Full Council received and approved the Corporate Strategy 2018 - 2023 in February 2018.</p> <p>Cabinet received the BCC Business Plan 2018/19 to note in May 2018. This was based on key elements of Service Plans for every department.</p> <p>We have completed and approved the Performance Framework via Statutory and Policy Board in June 2018. The refreshed Performance Framework follows through the golden thread from Corporate Strategy through to KPIs and management information.</p> <p>Communications plan for embedding Corporate Strategy and Business Plans, including full briefing of all Tier 1 - 3 managers and inclusion in My Performance reviews for all colleagues.</p> <p>An ongoing review of the Medium Term Financial Plan (MTFP) and wider policy / strategy framework to check alignment with Corporate Strategy.</p> | ↔  | 1                  | 7      | 7                                 | <p>We are rolling out tactical communications and refreshing the Communications Strategy and core council narrative in September 2018.</p> <p>The BCC policy and strategy framework will be reviewed in priority order with initial data collection complete. The nature of reviewing strategies across the council means it will be an ongoing process.</p> <p>My Performance reviews are being completed across the organisation and managers are briefed to link personal objectives to the outcomes set out in the Corporate Strategy and Business Plan.</p> <p>The Corporate Strategy is being explained to all new colleagues via the corporate induction process.</p> <p>Statutory and Policy Board will receive quarterly reporting from August 2018/19 on progress against the Performance Framework.</p> <p>A one-off 'good housekeeping' review of corporate partnerships is planned for Q2/3 2018/19, creating a refreshed database and reviewing partnership Terms of Reference and/or Service Level Agreements against the Corporate Strategy and emerging partnership governance model as part of the developing One City Approach.</p> | 1                    | 5      | 5           |  |
| Risk Owner: Head of Paid Service.   | Action Owner: Acting Director: Policy and Strategy.   | Portfolio Flag: Finance, Governance and Performance. |                    |        | Strategy Theme: Our Organisation. |  |                      |        |             |  |

| Corporate Risk Register as at August 2018 - Risks to the achievement of Bristol City Councils Objectives.  |  |                          |                    |        |                                     |   |                      |        |             |
|--|--|--------------------------|--------------------|--------|-------------------------------------|---|----------------------|--------|-------------|
| Risk title and description   | What we have done  | Performance              | Current Risk Level |        |                                     | What we are doing   | Tolerance Risk Level |        |             |
|  |  |                          | Likelihood         | Impact | Risk Rating                         |   | Likelihood           | Impact | Risk Rating |
| <p><b>CRR18: Failure to deliver 2000 Homes per annum by 2020.</b></p> <p>The risk of failing to deliver the range of housing to meet Bristol's needs and not realise the ambition to deliver 2000 homes per annum by 2020.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>• Silo Working – actions not aligning across teams.</li> <li>• Weight given to local objections.</li> <li>• Lack of capacity.</li> <li>• Competing priorities and pressures.</li> <li>• Joint Spatial Framework / Local Plan pressure.</li> <li>• Procurement barriers.</li> <li>• Resource availability, engagement and response times from other internal BCC services.</li> </ul> <p>Increased costs and labour issues arising post Brexit.</p> <p>Lack of available data about completed homes.</p> | <p>We have secured planning permissions.</p> <p>We have secured additional grant funding for infrastructure.</p> <p>We have been releasing land.</p> <p>We have been issuing grants to Registered Providers (RPs).</p> | New                      | 2                  | 5      | 10                                  | <p>We are continually addressing all areas of provision including: Community Led Housing (CLH), Registered Providers (RPs) and Direct Delivery, (New Council Homes) etc.</p> <p>We are considering setting up new procurement framework for contractors and consultants.</p> <p>We are operating a significant land release programme to Registered Providers.</p> <p>We are running series of ongoing issue busting exercises across the Housing Delivery Programme.</p> <p>We are carrying out a service review of the Housing Delivery Service by March 2019.</p> <p>We are engaging with Homes England on their new strategic partnerships to deliver increased capacity in the sub-region and with their Accelerated Construction and Housing Infrastructure Fund (HIF) programmes to de-risk sites.</p> | 1                    | 5      | 5           |
| Risk Owner: Interim Executive Director Growth and Regeneration.  | Action Owner: Interim Executive Director Growth and Regeneration, Director City Growth, Investment and Infrastructure including Culture.   | Portfolio Flag: Housing. |                    |        | Strategy Theme: Fair and Inclusive. |   |                      |        |             |

| Corporate Risk Register as at August 2018 - Risks to the achievement of Bristol City Councils Objectives.   |   |                              |                    |        |  |  |                      |        |             |
|---|---|------------------------------|--------------------|--------|--|--|----------------------|--------|-------------|
| Risk title and description  | What we have done   | Performance                  | Current Risk Level |        |  | What we are doing  | Tolerance Risk Level |        |             |
|   |   |                              | Likelihood         | Impact | Risk Rating                                  |  | Likelihood           | Impact | Risk Rating |
| <p><b>CRR19: Tree Management.</b></p> <p>Risk of trees falling as a result of failure under certain weather conditions and/or due to disease</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>• Severe weather conditions and/or disease.</li> <li>• Lack of maintenance of trees.</li> <li>• Lack of tree inspections.</li> <li>• Reduction in budgets and fragmentation of management of trees across service areas putting pressure on the ability to adequately manage the council's trees.</li> </ul> | <p>The areas with responsibility for trees include highways, parking, housing, parks, and property.</p> <p>We have been analysing the trees that are potentially at risk and appropriate resources are being assigned to tree management.</p> <p>We have been analysing our tree claims data to identify further strategies to manage the risk.</p> <p>A budget for tree management from parks and highways has been protected for 2018-19 while this is reviewed to deal with highways and parks trees.</p> <p>There is an agreement to consolidate budgets to manage the tree portfolio and to adopt the Quantified Tree Risk Assessment (QTRA) method for the inspection and recoding of data on the Confirm system.</p> | New                          | 3                  | 5      | 15   | <p>We are reviewing the tree management plan to assure that all trees are within the inspection regime in readiness for the adoption of the QTRA methodology.</p> <p>Budgets will be consolidated to provide a central tree management programme.</p> <p>Consideration on the current service provision related to tree management will include best value analysis.</p> | 1                    | 5      | 5           |
| Risk Owner: Acting Executive Director Communities.  | Action Owner: Acting Executive Director Communities, Interim Executive Director Growth and Regeneration.  | Portfolio Flag: Communities. |                    |        | Strategy Theme: Our Organisation, Wellbeing. |  |                      |        |             |

| Corporate Risk Register as at August 2018 - Risks to the achievement of Bristol City Councils Objectives.  |   |  |                                   |        |             |  |                      |        |             |
|--|---|--|-----------------------------------|--------|-------------|--|----------------------|--------|-------------|
| Risk title and description   | What we have done   | Performance  | Current Risk Level                |        |             | What we are doing  | Tolerance Risk Level |        |             |
|  |   |  | Likelihood                        | Impact | Risk Rating |  | Likelihood           | Impact | Risk Rating |
| <p><b>CRR20: Information Governance.</b></p> <p><b>General Data Protection Regulation (GDPR) compliance.</b></p> <p>If the Council fails to maintain a defensible and compliant response to the Data Protection Act 2018 and General Data Protection Regulation (GDPR) then it will fail to fully comply with its statutory requirements.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>Failure to invest in the required systems, equipment and posts required to implement these regulations.</li> <li>Failure to adequately train staff in the requirements of the regulations.</li> <li>Lack of resource (capacity or expertise) to manage Subject Access Requests.</li> </ul> <p>(This risk replaces CRR14 Introduction of the General Data Protection Regulation).</p> | <p>We have made significant progress on compliance with the General Data Protection Regulation (GDPR). A significant investment of resources has already been made in a high profile project which has put the essential elements of GDPR in place for when GDPR came into effect. The council continues to invest in GDPR compliance through the next phase with a focus on embedding GDPR to ensure this can be maintained and developed.</p> <p>A project team was put in place November 2017 and a plan developed around the Information Commissioners Office (ICO) 12 step plan January 2018. A 'Senior Information Risk Owner' was appointed (SIRO) February 2018 and Project Manager in November 2017, funding for additional Project Resource was approved by Statutory and Policy Board, April 2018. An informed Health Check with a supporting action plan was put in place February 2018 refocussing the project on essential elements of compliance for 25 May 2018. An Assurance Group is in place to support the SIRO and will continue to meet to manage and monitor the plan. The Extended Director Management Team has been briefed and weekly progress updates provided.</p> <p>The Data Protection/ Data Retention Policies have been updated and Data Protection (DP) guidance has been revised. The Data Protection Officer is in post and the Statutory Data Protection Officer has been appointed Q4. 2017/18. We have reviewed and implemented the Privacy Impact Assessment process and updated data sharing agreements with external partners and written to 1,200 highest risk suppliers to advise changes to contract.</p> <p>A Data Protection Audit of Personal Data held has been carried out and the Record of Processing Activities (ROPA's) completed.</p> <p>Interim improvements have been made to the Subject access request process to centralise the receipt of requests. The anticipated increase in requests has not yet materialised and improvements have been made to the way Data breaches are reported.</p> <p>Support has been provided to schools including a brief, guidance and templates and access to a data protection lawyer. Assurance that GDPR companies and schools are compliant and was reviewed in Q4. 2018 and is ongoing. Members have been briefed and template ROPA's and Privacy Notices provided in Q4. 2017/18.</p> <p>A staff E-Learning package was launched and 99.9% of staff completed this. A training package was also been launched for staff who do not have access to ICT systems. New notices have been made available on the council web site detailing how we use personal data in a more transparent manner.</p> <p>Communication has been via the Source with council wide GDPR Communication in May 2018 as well as the ask GDPR mailbox, twice weekly drop-in sessions and the intranet - Source page has been updated with guidance, templates and examples for GDPR actions.</p> <p>There is regular reporting to the Cabinet Member for Finance, Governance and Performance, Deputy Mayor Cllr. Cheney, on progress against GDPR plan with updates provided to the Audit Committee quarterly.</p> | New  | 2                                 | 5      | 10          | <p>Having achieved the essential elements for the introduction of GDPR, the challenge now is to consolidate this position to complete the remaining GDPR requirements and embed this so that we maintain our position and further improve information governance on an ongoing basis.</p> <p>The initial project structure was appropriate to deliver the urgent and large scale transition through to compliance. Moving forward it is critical to ensure the necessary leadership and resources are in place to provide focus on data protection that will live beyond the life of the project. Establishing a core Data Protection team led by a statutory Data Protection Officer will enable this.</p> <p>An interim statutory DPO will be appointed (August 2018) and tasked to design the structure and resources required and plan for the delivery in a prioritised and sequential basis (October 2018 and recruit into the permanent posts (December / January 2019).</p> <p>To ensure continued buy-in from across the organisation the GDPR group will continue to meet. The group has already developed a set of objectives for the next phase of work.</p> | 2                    | 3      | 6           |
| Risk Owner: Senior Information Risk Owner (SIRO).  | Action Owner: Senior Information Risk Owner (SIRO) and GDPR Project Manager.  | Portfolio Flag: Finance, Governance and Performance. | Strategy Theme: Our Organisation. |        |             |  |                      |        |             |

| Corporate Risk Register as at August 2018 - Risks to the achievement of Bristol City Councils Objectives.   |   |  |                    |        |                                   |   |                      |        |             |
|---|---|--|--------------------|--------|-----------------------------------|---|----------------------|--------|-------------|
| Risk title and description  | What we have done   | Performance  | Current Risk Level |        |                                   | What we are doing   | Tolerance Risk Level |        |             |
|   |   |  | Likelihood         | Impact | Risk Rating                       |   | Likelihood           | Impact | Risk Rating |
| <p><b>CRR21: Partnerships Governance.</b></p> <p>If the council does not maximise (or cannot quantify) the benefits of partnership working and/or experiences negative or counter-productive results may arise from partnership working.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>Failure to establish and/or manage contracts, Service Level Agreements and/or Terms of Reference in relation to partnerships.</li> <li>Not maintaining a central register of partnerships, membership, governance arrangements and performance measures.</li> <li>No identified lead officer to progress development of partnership working as in proposals presented to the Audit Committee in April 2016.</li> </ul> <p>Outdated partnership policy and toolkit (last iteration 2010).<br/>A broad range of partnerships with variable degrees of formality.</p> | <p>BCC has close involvement of Elected Mayor and Members in key partnerships. Regular review and evaluation of the current position by CLB.</p> <p>Leads have been defined for recommendations to develop partnership working which were received by the Audit Committee in April 2016.</p> <p>BCC has mechanisms in place for regular dialogue including formal partnerships.</p> | New  | 3                  | 5      | 15                                | <p>We are reviewing and refreshing the Partnership Policy and Toolkit.</p> <p>Creating a central Partnership Register including Service Level Agreements (SLAs), Terms of Reference (Terms of reference) and contracts where appropriate.</p> <p>Creating a template Terms of reference and porting existing Terms of reference to it.</p> <p>We are scoping and reviewing the need for Commercial Training for relevant managers as part of Procurement and Commercial Strategy.</p> | 2                    | 3      | 6           |
| Risk Owner: Head of Paid Service.   | Action Owner: Head of Delivery Support Unit.  | Portfolio Flag: Finance, Governance and Performance. |                    |        | Strategy Theme: Our Organisation. |   |                      |        |             |

| Corporate Risk Register as at August 2018 - Opportunity Risks  |   |                        |                    |        |                                   |   |                      |        |             |
|--|---|------------------------|--------------------|--------|-----------------------------------|---|----------------------|--------|-------------|
| Risk title and description   | What we have done   | Performance            | Current Risk Level |        |                                   | What we are doing   | Tolerance Risk Level |        |             |
|  |   |                        | Likelihood         | Impact | Risk Rating                       |   | Likelihood           | Impact | Risk Rating |
| <p><b>OPP1: One City Approach</b></p> <p>The One City Approach will offer a new way to plan strategically with partners as part of a wider city system.</p> <p>Key potential causes:</p> <ul style="list-style-type: none"> <li>• Mayoral aspiration and widespread partner sign-up to the principle.</li> <li>• Work to date has produced outline plan and engaged partners in the long-term vision and necessary work to complete the plan.</li> </ul> | <p>We have scoped and entered 'Phase Three' of development of the One City Approach (OCA), including catalysing One City Plan development by providing core resource for a City Office structure.</p> | New                    | 3                  | 5      | 15                                | <p>Internal resource will be identified to help catalyse activity and develop the One City Plan product, with multiple offers of support from city partners. By January 2019 we will have:</p> <ul style="list-style-type: none"> <li>• Developed a 'One City Plan' in partnership with a variety of city-wide and regional organisations, including scoping the formal governance of the City Office and One City Approach.</li> <li>• Continued existing initiatives to trial and iterate the One City Approach.</li> <li>• Instigated or enabled new projects with partners where there is a strategic fit and an opportunity to further develop a working OCA model.</li> </ul> | 4                    | 5      | 20          |
| Risk Owner: Head of Paid Service.  | Action Owner: Interim Director of City Wellbeing, Resilience and Strategic Partnerships.  | Portfolio Flag: Mayor. |                    |        | Strategy Theme: Our Organisation. |   |                      |        |             |

| Corporate Risk Register as at August 2018 - Opportunity Risks  |  |  |                    |        |                                   |   |                      |        |             |
|--|--|--|--------------------|--------|-----------------------------------|---|----------------------|--------|-------------|
| Risk title and description   | What we have done  | Performance  | Current Risk Level |        |                                   | What we are doing   | Tolerance Risk Level |        |             |
|  |  |  | Likelihood         | Impact | Risk Rating                       |   | Likelihood           | Impact | Risk Rating |
| <p><b>OPP2: Corporate Strategy</b></p> <p>The approved Corporate Strategy presents an opportunity to fundamentally refresh and strengthen our business planning, leadership and performance frameworks.</p> <p>Key potential causes:</p> <ul style="list-style-type: none"> <li>• Approved Corporate Strategy provides the foundation and direction for the organisation.</li> </ul> | <p>We have approved and adopted the Corporate Strategy, Business Plan 18/19 and Performance Framework 18/19 through appropriate Decision Pathways.</p> <p>Re-launched 'My Performance' reviews for all colleagues including annual objective setting linked to the Corporate Strategy and Business Plan 18/19.</p> <p>Begun scoping the business planning process for 2019/20 to iterate and improve our approach, particularly with regards to performance management and corporate prioritisation.</p> | New  | 3                  | 5      | 15                                | <p>Good progress has been made in starting to embed the Corporate Strategy, including building full consideration of it in to the Decision Pathway. Work to continue improving business planning for next year is underway, although at an early stage. We are focussing on:</p> <ul style="list-style-type: none"> <li>• Designing and launching an integrated business planning approach for 2019/20, linking financial planning, and service planning and performance management more closely and from an earlier starting point.</li> <li>• Continuing to scope and procure a replacement for the 'My Performance' system.</li> </ul> | 4                    | 5      | 20          |
| Risk Owner: Head of Paid Service   | Action Owner: Acting Director: Policy and Strategy.  | Portfolio Flag: Finance, Governance and Performance. |                    |        | Strategy Theme: Our Organisation. |   |                      |        |             |

| Corporate Risk Register as at August 2018 - Opportunity Risks  |  |  |                    |        |                                   |  |                      |        |             |
|--|--|--|--------------------|--------|-----------------------------------|--|----------------------|--------|-------------|
| Risk title and description   | What we have done  | Performance  | Current Risk Level |        |                                   | What we are doing  | Tolerance Risk Level |        |             |
|  |  |  | Likelihood         | Impact | Risk Rating                       |  | Likelihood           | Impact | Risk Rating |
| <p><b>OPP3: Devolution</b></p> <p>Should the potential arise for opportunities from a region's evolving second devolution deal that could lead to an opportunity to align the Councils corporate priorities and strengthen regional partnership working.</p> <p>Key potential causes:</p> <ul style="list-style-type: none"> <li>Potential development of second devolution deal.</li> </ul> | We continue to engage with West England Combined Authority; but with recognition that focus has been placed more on a proposed housing fund. | New  | 3                  | 5      | 15                                | We will continue to engagement with WECA at strategic level. | 3                    | 5      | 15          |
| Risk Owner: Head of Paid Service.  | Action Owner: Acting Head of Policy and Public Affairs.  | Portfolio Flag: Finance, Governance and Performance. |                    |        | Strategy Theme: Our Organisation. |  |                      |        |             |

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| Corporate Risk Register as at August 2018 - Opportunity Risks   |   |  |                    |        |                                   |  |                      |        |             |
|---|---|--|--------------------|--------|-----------------------------------|--|----------------------|--------|-------------|
| Risk title and description  | What we have done   | Performance  | Current Risk Level |        |                                   | What we are doing  | Tolerance Risk Level |        |             |
|   |   |  | Likelihood         | Impact | Risk Rating                       |  | Likelihood           | Impact | Risk Rating |
| <p><b>OPP4: Brexit.</b></p> <p>If exiting the European Union provides benefits, such as increased domestic concentration of power, this may lead to opportunities for this to be harnessed at a local or regional level.</p> <p>Key potential causes for enhancing and exploiting:</p> <ul style="list-style-type: none"> <li>Exciting the European Union.</li> </ul> | <p>We have:</p> <ul style="list-style-type: none"> <li>Established a city Brexit response group.</li> <li>Met Michel Barnier in Brussels with the Core Cities.</li> <li>Been monitoring the environment; including news of threats from large local employers of leaving UK.</li> <li>Collaborated on draft Inclusive Economic Growth Strategy.</li> </ul> <p>We continue to work with Core Cities and M8 leaders on concerted joint efforts.</p> | New  | 1                  | 5      | 5                                 | <p>We are monitoring the issue on an ongoing basis.</p> <p>A further meeting of Bristol Brexit Response Group is planned for October 2018.</p> | 1                    | 5      | 5           |
| Risk Owner: Head of Paid Service.   | Action Owner: Acting Head of Policy and Public Affairs.   | Portfolio Flag: Finance, Governance and Performance. |                    |        | Strategy Theme: Our Organisation. |  |                      |        |             |

## Key External Risk and Civil Contingency Risks to note - Flooding and Brexit

| Corporate Risk Register as at August 2018 - External and Civil Contingency Risks  |   |  |   |        |             |   |                      |        |             |
|---|---|--|---|--------|-------------|---|----------------------|--------|-------------|
| Risk title and description  | What we have done   | Performance  | Current Risk Level  |        |             | What we are doing   | Tolerance Risk Level |        |             |
|   |   |  | Likelihood  | Impact | Risk Rating |   | Likelihood           | Impact | Risk Rating |
| <p><b>BCCC1: Flooding.</b></p> <p>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 and groundwater flood events.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>Tidal surge, heavy rainfall, river and groundwater flood events.</li> <li>Impact of climate change.</li> <li>Lack of effective flood defences and preparedness for major incidents.</li> </ul> | <p>The Avon and Somerset Local Resilience Forum (LRF) is a partnership of all the organisations needed to prepare for an emergency in the LRF area. It includes the emergency services, health services, Maritime and Coastal Agency, Environment Agency, volunteer agencies, utility companies, transport providers and the five councils of Bath and North East Somerset, Bristol, North Somerset, Somerset and South Gloucestershire.</p> <p>Bristol is working with the Avon and Somerset LRF to construct new sea defences around North Somerset, Bristol and South Gloucestershire, working with emergency services, local authorities and other agencies to develop flood response plans and procedures, investigating instances of flooding, training specialist staff in swift water rescue techniques, communicating with housing and business developers to incorporate flood protection into new developments, providing guidance to members of the public about flooding, including flood warnings and what people can do to help themselves, regular maintenance and clearing programs of gullies and culverts, especially in the event of storm warnings.</p> <p>Bristol has in place a local Flood Risk Management Strategy approved at Cabinet in December 2017 which comprises of 5 keys areas and 43 separate actions in line with Environment Agency's national strategy.</p> | ↔  | 3   | 5      | 15          | <p>There is sustained resourcing and delivery of all actions in LFRMS over life of strategy. Strategy includes the following key projects:</p> <ul style="list-style-type: none"> <li>Working in partnership with the Environment Agency to develop a Bristol Tidal Flood Risk Management Strategy to protect the city centre, including climate change.</li> <li>Working in partnership with South Gloucester and the Environment Agency to deliver a flood scheme to help protect Avonmouth Village and the Enterprise Area from tidal flooding, including climate change.</li> </ul> | 3                    | 3      | 9           |
| Risk Owner: Interim Executive Director Growth and Generation.   | Action Owner: Director Transport, Flood Risk Engineer, Strategic City Transport.  | Portfolio Flag: Energy, Waste and Regulatory Services. | Strategy Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing. |        |             |   |                      |        |             |

| Corporate Risk Register as at August 2018 - External and Civil Contingency Risks   |   |  |   |        |             |   |                      |        |             |
|--|---|--|---|--------|-------------|---|----------------------|--------|-------------|
| Risk title and description   | What we have done   | Performance  | Current Risk Level  |        |             | What we are doing   | Tolerance Risk Level |        |             |
|  |   |  | Likelihood  | Impact | Risk Rating |   | Likelihood           | Impact | Risk Rating |
| <p><b>BCCC2: Brexit.</b></p> <p>The risk that Brexit (and any resulting 'deal' or 'no deal') will impact the local economy, local funding and delivery of council services, and that uncertainty around Brexit could impact our ability to accurately assess or plan for potential positive or negative outcomes.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>Exiting the European Union.</li> <li>Reported lack of majority view on Government White Paper.</li> <li>Unprecedented and complex national / international process.</li> </ul> | <p>We have:</p> <ul style="list-style-type: none"> <li>Established a city Brexit response group.</li> <li>Met Michel Barnier in Brussels with the core cities.</li> <li>Been monitoring the environment; including news of threats from large local employers of leaving UK.</li> <li>Collaborated on draft Inclusive Economic Growth Strategy.</li> </ul> <p>We continue to work with Core Cities and M8 leaders on concerted joint efforts.</p> | ↔  | 4   | 3      | 12          | <p>We are monitoring of the issue on an ongoing basis.</p> <p>A further meeting of Bristol Brexit Response Group is planned for October 2018.</p> | 4                    | 3      | 12          |
| Risk Owner: Head of Paid Service.  | Action Owner: Acting Head of Policy and Public Affairs.   | Portfolio Flag: Finance, Governance and Performance. | Strategy Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing. |        |             |   |                      |        |             |

**Corporate Threat Risk Performance Summary**

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

| Appendix Page | Risk ID | Risk   | Risk Owner   | Quarter 4<br>January – March<br>17/18 |        | Quarter 1<br>April - June<br>18/19 |        | Quarter 2<br>July - September<br>18/19 |        | Quarter 3<br>October - December<br>18/19 |        | Quarter 4<br>January - March<br>18/19 |        |
|---------------|---------|--|--|---------------------------------------|--------|------------------------------------|--------|--|--------|--|--------|---------------------------------------|--------|
|               |         |  |  | Rating                                | Travel | Rating                             | Travel | Rating                                 | Travel | Rating                                   | Travel | Rating                                | Travel |
| 1             | CRR1    | Long Term Commercial Investments   | Interim Executive Director Growth and Regeneration, Executive Director Resources and Section 151 Officer | 4x7=28                                | ↔      | 3x7=21                             | ↑      | 3x7=21                                 | ↔      |  |        |                                       |        |
| 2             | CRR2    | IT Infrastructure  | Director Digital Transformation  | 3x7=21                                | ↔      | 3x7=21                             | ↔      | 3x7=21                                 | ↔      |  |        |                                       |        |
| 3             | CRR3    | Asbestos Management  | Head of Paid Service and CLB   | 3x7=21                                | ↔      | 3x7=21                             | ↔      | 3x7=21                                 | ↔      |  |        |                                       |        |
| 4             | CRR4    | Corporate Health, Safety and Wellbeing   | Head of Paid Service and CLB   | 3x7=21                                | ↔      | 3x7=21                             | ↔      | 3x7=21                                 | ↔      |  |        |                                       |        |
| 5             | CRR5    | Business Continuity and Council Resilience   | Acting Executive Director Communities  | 3x7=21                                | ↔      | 3x7=21                             | ↔      | 3x7=21                                 | ↔      |  |        |                                       |        |
| 6             | CRR6    | Fraud and Corruption   | Executive Director Resources and Director of Finance (Section 151 Officer)                               | 3x5=15                                | ↔      | 3x5=15                             | ↔      | 3x5=15                                 | ↔      |  |        |                                       |        |
| 7             | CRR7    | Cyber-attack threats and implications  | Director Digital Transformation  | 3x5=15                                | ↔      | 3x5=15                             | ↔      | 3x5=15                                 | ↔      |  |        |                                       |        |
| 8             | CRR8    | Service Review   | Head of Paid Service   | 4x5=20                                | ↔      | 3x5=15                             | ↑      | 3x5=15                                 | ↔      |  |        |                                       |        |
| 18            | CRR19   | Tree Management  | Acting Executive Director Communities  |                                       |        |                                    |        | 3x5=15                                 | New    |  |        |                                       |        |
| 20            | CRR21   | Partnerships Governance  | Head of Paid Service   |                                       |        |                                    |        | 3x5=15                                 | New    |  |        |                                       |        |
| 10            | CRR9    | Safeguarding Vulnerable Children   | Executive Director, Adults, Children and Education   | 2x7=14                                | ↔      | 2x7=14                             | ↔      | 2x7=14                                 | ↔      |  |        |                                       |        |
| 10            | CRR10   | Safeguarding Vulnerable Adults   | Executive Director, Adults, Children and Education   | 2x7=14                                | ↔      | 2x7=14                             | ↔      | 2x7=14                                 | ↔      |  |        |                                       |        |
| 11            | CRR11   | BCC Infrastructure Delivery  | Director of Finance (Section 151 Officer) and Interim Executive Director Growth and Regeneration         | 2x7=14                                | ↔      | 2x7=14                             | ↔      | 2x7=14                                 | ↔      |  |        |                                       |        |
| 12            | CRR12   | Failure to deliver suitable planning measures, respond to and manage events when they occur. (Previously Civil Contingencies and Council Resilience) | Acting Executive Director Communities  | 3x7=21                                | ↔      | 2x7=14                             | ↑      | 2x7=14                                 | ↔      |  |        |                                       |        |
| 13            | CRR13   | Financial Framework and MTFP   | Director of Finance (Section 151 Officer)  | 2x7=14                                | ↔      | 2x5=10                             | ↑      | 2x5=10                                 | ↔      |  |        |                                       |        |
| 14            | CRR15   | Financial Deficit  | Director of Finance (Section 151 Officer)  | 2x5=10                                | ↔      | 2x5=10                             | ↔      | 2x5=10                                 | ↔      |  |        |                                       |        |
| 15            | CRR16   | Leadership   | Head of Paid Service and CLB   | 4x5=20                                | ↔      | 2x5=10                             | ↑      | 2x5=10                                 | ↔      |  |        |                                       |        |
| 17            | CRR18   | Failure to deliver 2000 Homes per annum by 2020.   | Interim Executive Director Growth and Regeneration   |                                       |        |                                    |        | 2x5=10                                 | New    |  |        |                                       |        |
| 19            | CRR20   | General Data Protection Regulation (GDPR) compliance. (Replaces CRR14)   | Senior Information Risk Owner (SIRO)   |                                       |        |                                    |        | 2x5=10                                 | New    |  |        |                                       |        |
| 16            | CRR17   | Strategy Management  | Head of Paid Service   | 2x7=14                                | ↔      | 2x7=14                             |        | 1x7=7                                  | ↔      |  |        |                                       |        |
|               | CRR14   | Information Governance Introduction of the General Data Protection Regulation (GDPR) (Replaced by CRR21)   | Senior Information Risk Owner (SIRO)   | 2x7=14                                | ↔      | 2x5=10                             | ↑      | Closed                                 |        |  |        |                                       |        |

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**Corporate Risk Performance Summary for Opportunity risks**

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

| Appendix Page | Risk ID | Risk               | Risk Owner           | Quarter 4<br>January – March<br>17/18 |        | Quarter 1<br>April - June<br>18/19 |        | Quarter 2<br>July - September<br>18/19 |        | Quarter 3<br>October - December<br>18/19 |        | Quarter 4<br>January - March<br>18/19 |        |
|---------------|---------|--------------------|----------------------|---------------------------------------|--------|------------------------------------|--------|--|--------|--|--------|---------------------------------------|--------|
|               |         |                    |                      | Rating                                | Travel | Rating                             | Travel | Rating                                 | Travel | Rating                                   | Travel | Rating                                | Travel |
| 21            | OPP1    | One City           | Head of Paid Service |                                       |        |                                    |        | 3x5=15                                 | New    |  |        |                                       |        |
| 21            | OPP2    | Corporate Strategy | Head of Paid Service |                                       |        |                                    |        | 3x5=15                                 | New    |  |        |                                       |        |
| 22            | OPP3    | Devolution         | Head of Paid Service |                                       |        |                                    |        | 3x5=15                                 | New    |  |        |                                       |        |
| 22            | OPP4    | Brexit             | Head of Paid Service |                                       |        |                                    |        | 1x5=10                                 | New    |  |        |                                       |        |

**Corporate Risk Performance Summary for External and Civil Contingency risks**

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

| Appendix Page | Risk ID | Risk     | Risk Owner   | Quarter 4<br>January – March<br>17/18 |        | Quarter 1<br>April - June<br>18/19 |        | Quarter 2<br>July - September<br>18/19 |        | Quarter 3<br>October - December<br>18/19 |        | Quarter 4<br>January - March<br>18/19 |        |
|---------------|---------|----------|--|---------------------------------------|--------|------------------------------------|--------|--|--------|--|--------|---------------------------------------|--------|
|               |         |          |  | Rating                                | Travel | Rating                             | Travel | Rating                                 | Travel | Rating                                   | Travel | Rating                                | Travel |
| 23            | BCCC1   | Flooding | Interim Executive Director Growth and Regeneration |                                       |        | 3x5=15                             | ↔      | 3x5=15                                 | ↔      |  |        |                                       |        |
| 23            | BCCC2   | Brexit   | Head of Paid Service                               |                                       |        | 4x3=12                             | ↔      | 4x3=12                                 | ↔      |  |        |                                       |        |

## Risk Scoring Matrix

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

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

**Current and Tolerance risk ratings:** The 'Current' risk rating for both threats and opportunities refers to the current level of risk taking into account any strategies to manage risk - management actions, controls and fall back plans already in place. The 'Tolerance' rating represents what is deemed to be a realistic level of risk to be achieved once additional actions have been put in place. On some occasions the aim will be to contain the level of the risk at the current level.

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

## LIKELIHOOD AND IMPACT RISK RATING SCORING

## Likelihood Guidance

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

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

| Impact Category   | Impact Levels 1 to 7  |  |  |   |
|---|---|--|--|---|
|   | 1   | 3  | 5  | 7   |
| Service provision   | Very limited effect (positive or negative) on service provision. Impact can be managed within normal working arrangements.  | Noticeable and significant effect (positive or negative) on service provision.<br><br>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.<br><br>Effect may require considerable additional resource but will not require a major strategy change.   | Extremely severe service disruption. Significant customer opposition. Legal action.<br><br>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'.<br><br>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).<br><br>Significant long-term disability / absence from work.   |
| Programme / Project Management<br>(Including developing commercial enterprises) | Minor delays and/or budget overspend, but can be brought back on schedule with this project stage.<br><br>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.<br><br>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.<br><br>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.<br><br>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.<br><br>Dissatisfaction reported through council complaints procedure but contained within the council.<br><br>Local MP involvement.<br><br>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.<br><br>Dissatisfaction regularly reported through council complaints procedure.<br><br>Higher levels of local or national interest.<br><br>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.<br><br>Intense local, national and potentially international media attention.<br><br>Viral social media or online pick-up.<br><br>Public enquiry or poor external assessor report. |

# Adults, Children and Education Scrutiny Commission 18 October 2018



**Report of:** NHS Bristol, North Somerset and South Gloucestershire CCG

**Title:** Adult community health services procurement

**Ward:** All

**Officer Presenting Report:** Dr Kate Rush, CCG Associate Medical Director

**Contact Telephone Number:** 07872581780

**Recommendation:**

This report summarises NHS Bristol, North Somerset and South Gloucestershire Clinical Commissioning Group's (CCG) plans to procure community health services. The Commission is asked to note this information.

**The significant issues in the report are:**

The CCG's contracts for adult community health services come to an end in 2020 and 2021. The CCG is taking the opportunity, as part of business as usual, to procure consistent services across the geography. A development phase is underway, with workshops and an online survey being run to involve people in helping to develop plans. It is likely that the procurement will occur in the first half of 2019, with the service going live from 1 April 2020. Children's community health services are not included in the procurement.

Representatives from all three local authorities have been invited to sit on the procurement Programme Board to help plan and assure the robustness of the processes followed.



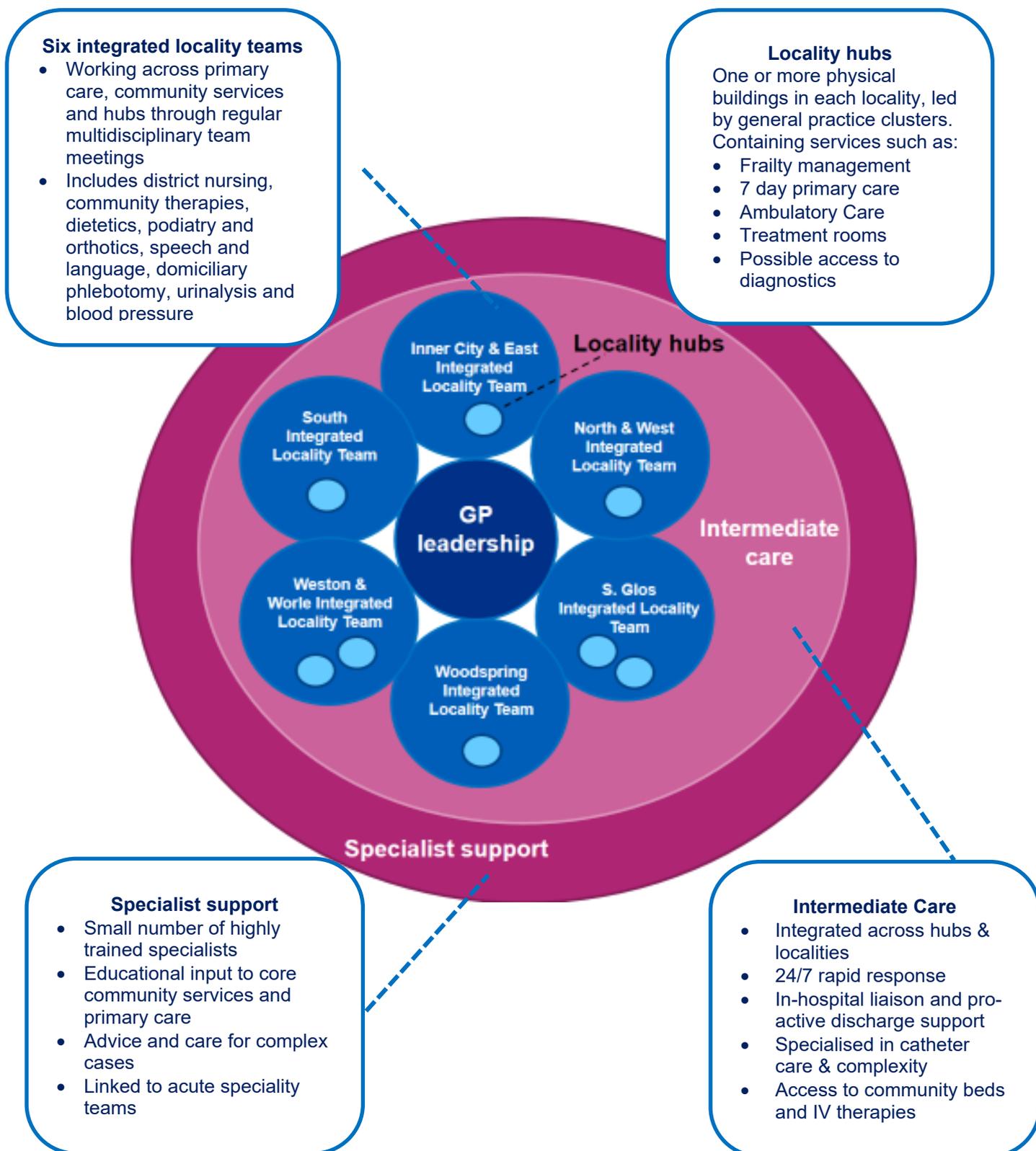
## 1. Summary

NHS Bristol, North Somerset and South Gloucestershire Clinical Commissioning Group (CCG) is preparing to procure community health services for adults. A development phase is underway, where people using services, carers, the public, clinicians, the voluntary sector, partner organisations and others are sharing their views. Procurement will likely occur in the first half of 2019, with the service going live in April 2020.

## 2. Context

- 2.1 The CCG has three contracts for adult community health services, one in each of the three legacy areas of past CCGs. Two of the contracts come to an end in March 2020 and one in March 2021. Two cannot be extended. The CCG needs to ensure that community health services are available for the population when current contracts end.
- 2.2 In May 2018, the CCG Governing Body approved moving forward with a formal procurement of adult community health services. A Prior Information Notice was issued in September 2018 to alert the market. The primary focus is the safe transfer of services so that people continue to receive the support they currently have, recognising that in the future there will be increasing integration of services.
- 2.3 A procurement Programme Board has been set up to oversee the procurement. The Board includes representatives from Bristol City Council and the two other local authorities.
- 2.4 The CCG has developed a new model of care which groups services according to the level of need and complexity of people they support, all designed to help people to stay in the community. An overarching principle is to enable people to support themselves as much as possible through a 'home first' approach. The home first principle aims to keeping people living and supported in the community. It requires a service that knows the people it engages with, is able to proactively support people with health needs to manage at home and responds reactively when their needs increase. Such a service should link with other organisations in the system, including hospitals and social care, to ensure people get the support they need. The four key areas that the CCG is developing to develop further to create a sustainable and successful community service are (see Figure 1):
  - **integrated locality teams** with strong relationships with primary care through regular multi-disciplinary team meetings. These teams support people who have relatively stable needs to manage and reduce the risk of acute worsening of their condition
  - **locality hubs** are physical building(s) within a locality that give people and professionals access to the investigations and treatments they need closer to home
  - **intermediate care teams**, including rapid response, working across localities to manage people who have acutely worsening conditions. This links to secondary care and community hospital beds to help people remain in the community and enable prompter discharge
  - **specialist support** has clinical staff, including nurses, who are knowledgeable about specific conditions such as diabetes and can help people and professionals optimise treatment and support

Figure 1: Community services model of care (under development)



2.5 The financial envelope for the procurement is in the region of £120m per annum. The CCG needs to ensure that the process used to award the contract for adult community health services is fair, transparent and proportionate. There are a number of routes to procure services, as set out in the Public Contracts Regulations 2015. These lie along a continuum, from processes where the CCG sets out in detail what it wants and asks bidders how much it would cost to deliver that through to much more open processes, whereby the CCG is less detailed about what it wants, and works with bidders to define the scope, deliverables and outcomes. The procurement will use a bespoke version of a competitive procedure with negotiation. The stages of the process are as follows:

- **Development phase:** October – December 2018: The CCG will work with the market, service users, primary care and other stakeholders to design the principles and outcomes for the service in a development phase.
- **Initial Proposals phase:** January – March 2019: The CCG will release a Request for Proposals setting out the specification in as much detail as possible but being clear which aspects of the specification are open to negotiation. The CCG will have negotiation meetings with bidders to discuss aspects of the requirements. Bidders will submit Initial Proposals and these will be assessed by the CCG.
- **Final Proposals phase:** April – June 2019: The CCG will give feedback to bidders about their Initial Proposals and continue negotiation meetings to discuss the requirements with bidders that it has shortlisted to move on to the final phase. The CCG can choose to issue an updated Request for Proposals if it wishes to amend the requirements based on intelligence gained through negotiation meetings and new information. Bidders will submit Final Proposals. The CCG will evaluate these using pre-set criteria. The highest scoring proposal will become the preferred provider and be awarded the contract.

2.6 During the Development Phase, the CCG is undertaking the following activities to engage stakeholders in developing the service specifications:

- Programme Board with range of partners, including local authorities
- Public Reference Group made up of service users, carers and voluntary sector representatives to guide engagement
- filming comments from service users
- Engagement stand at shopping centre for one week
- Survey at shopping centre
- Online survey on CCG website
- Contact with general practice patient participation groups
- Releasing material to CCG staff
- Releasing material to general practices
- Four specification development workshops in October and November
- Drop in sessions and workshops for community services staff
- Meetings with voluntary groups
- Market engagement events

2.7 The CCG would welcome advice from the Commission about other engagement approaches.

**3. Policy**

Not applicable

**4. Consultation**

**a) Internal**

Not applicable

**b) External**

Not applicable

**5. Public Sector Equality Duties**

Once the scope of the services to be commissioned is more developed, the CCG will undertake an equality impact assessment.

**Appendices:**

None

**LOCAL GOVERNMENT (ACCESS TO INFORMATION) ACT 1985**

**Background Papers:**

None