

**Bristol City Council
Resources Scrutiny Commission
25TH April 2017**

Heading: Resources Risk Register

Ward: City Wide

Author: Denise Murray

Job title: Service Director; Finance and s.151 Officer

City Outcome overview: N/A

Health Outcome: N/A

Sustainability Outcome: N/A

Equalities Outcome: N/A

Impact / Involvement of Partners: N/A

Recommendation(s) / steer sought

The Commission are asked to consider the biannual review of the Resource Directorate's risk register and comment on any issue of interest.

Summary

The risks defined in this report are captured under the following four sections:

- Financial Risks
- People and Culture
- Legal and Governance
- Strategic / Operational Delivery Risks

The following represent the top 5 risks for Resources:

1. New Risks - Failure to effectively target limited change resources (Score -15)
2. The organisation's ability to maintain a balanced budget in the short and medium terms (S-12)
3. New Risks - Failures / weaknesses in internal control could put the organisation at financial risks (S-12)
4. New Risks –Required Internal Audit Plan is not deliverable within existing resources(S-12)
5. The ongoing availability and stability of core ICT systems (S-12)

Purpose of briefing, summary of issue / proposal

1. Policy

- 1.1. The Audit Committee is responsible for providing independent assurance to the Council regarding the effectiveness of its strategic risk management arrangements. The Council has a Risk Management Policy which requires strategic risks to the Council, and details of how they are managed to be recorded in the Corporate and Directorate Risk Registers (strategic risk registers).
- 1.2. Whilst the Corporate risk Register is scrutinised by the Audit Committee on a six monthly basis, it was agreed at Overview and Scrutiny Management Board, that the Directorate Risk Registers will be scrutinised by each Directorate scrutiny twice a year. They will however also be provided once each year to Audit Committee, for information (not scrutiny) to provide the Audit Committee with assurance that Directorate Risk Registers is

in place and effectively scrutinised.

2. Risk Management and the Corporate Risk Register

- 2.1. As part of good governance, the Council manages and maintains a register of its Significant Risks - assigning named individuals as responsible officers for ensuring the risks and their treatment measures are monitored and effectively managed.
- 2.2. The Corporate Risk Register (CRR) is a critical tool for capturing and reporting on risk activity, the organisations risk profile and an integral element of the Council's internal governance and performance frameworks. The risk register is a working document where new risks are captured, others are managed to extinction and some require on-going close and regular monitoring.
- 2.3. The data within the register is used to inform the business of the threats it faces in delivering outcomes and services to the Council. It is used to ensure the organisation operates effectively and Strategic Leadership Teams take assurance that all necessary steps are being taken to ensure the risks are managed to a level acceptable to them.

3. The Directorate Risk Register

- 3.1. The effect of uncertainty that could adversely affect the ability of the Council to deliver on an organisation's objectives is risk and a register of risks is maintained for each directorate. By ascertaining what might go wrong, what the potential consequences may be, what could trigger the occurrence and deciding how best to minimise the risk materialising; If it does go wrong, as some things inevitably will, proactive risk management will ensure the impact is kept to a minimum.
- 3.2. The Council is clear that the responsibility for managing risk belongs to everyone and that there needs to be an appropriate level of understanding of the nature of risk by all stakeholders. The actions to manage risks are contained within the risk register and where appropriate in the Council's improvement plans.
- 3.3. The directorates reports biannually Members, ensuring that they are aware of the high level risks facing the directorate and how the council are ensuring these risks are effectively managed.

3.4. These risks can be defined as follows:

- Financial Risk
This is the risk of changes in the Councils' financial condition and circumstances; for example, in its funding, income and spending levels. The Council aims to maintain long term financial viability whilst aiming to achieve its strategic and financial objectives.
- People and Culture Risk
The Councils' recognise that staff are critical to achieving the objectives and therefore the support and development of staff is key to making the Councils' an attractive and safe place to work, and a learning organisation that seeks to continually improve.
- Legal and Governance Risk
The Council recognises the need to place high importance on governance, regulation and public protection and has no appetite for breaches in statute, regulation, professional standards, ethics, bribery or fraud and corruption.
- Strategic / Operational Delivery Risks
This is the risk of a failure to achieve our strategic vision and day to day business and operations; for example, the risk of a failure to deliver services to residents, to fail to provide required quality in services, or to provide appropriate services in the event of an

emergency and as such accepts a high level of risk arising.

3.5. The environment that the Council work in is continually changing through both its internal operations and the services it provides. The Council recognises that this may require increased levels of risk and is comfortable accepting the risk subject to always ensuring that risks are appropriately managed.

3.6. The Directorate Risk Register was developed following:

- Risk identification and assignment of a risk owner who is responsible to ensure each risk is effectively managed; current mitigations and further actions to ensure the risk is identified and interventions planned
- Review by DLT to ensure risk levels are correctly identified; and target risk levels where stated are acceptable

4. Resources Directorate - Risk Register

4.1. The Resources Directorate Risk Register is attached at Appendix 1. The register is presented in the standard format agreed by ELT / SLT and uses the risk management methodology in the risk management policy agreed by the SLT and the Audit Committee in November 2014.

4.2. Appendix 2, 3 & 4 provides helpful extracts from that policy to assist Members in understanding risk levels recorded in the register. The risk matrix, guidance parameters used to measure impact and Guidance parameters used to measure likelihood.

4.3. The Resources Scrutiny Commission last received the Directorate Risk Register in September 2016. The timing of presentation of the Risk Register to Scrutiny is such that the commission are also receiving information concerning Directorate performance at this meeting. It is envisaged that both the risk and performance information provided to the Committee should be reviewed together to aide effective challenge to both sets of information.

4.4. The following paragraphs summarise the key changes to the risk environment since its last presentation:

4.5. **New risks identified and added to the register include:**

Financial Risks

- New Risks - Lack of understanding of financial management across the Council
- New Risks - Failure to align Council aspirations for service delivery with application of revenues
- New Risks – Material Overspends / underspends against 2017/18 budget
- New Risks - Failure to optimise income from more business like approaches and commercial use of our assets
- New Risks - Closure of Accounts & Regulatory Returns Qualified opinion or late return
- New Risks - Failures / weaknesses in internal control could put the organisation at financial risks
- New Risks – Required Internal Audit Plan is not deliverable within existing resources

Legal & Governance Risks

- New Risk – Legal Services’ ICT project fails to deliver the planned improvements, efficiencies and consequential savings planned
- Budget - Costs awarded against Council in litigation exceed the budget provision
- New Risk – Legal staff capacity to cover in-house and external case loads
- Budget – additional Capacity is supported by external legal resource incurring expenditure in excess of budget provision
- New Risk – Changes in legislation requiring implementation across the Council for compliance (e.g. the introduction of General Data Protection Regulation “GDPR”)
- New Risk – Reputational risks to the Council arising from significant changes in legislation and compliance within the Council’s Companies (again, e.g. GDPR).
- New Risk – Failure of in-house Service Areas to use legal resource appropriately, leading to failure demand and reduction in capacity
- New Risk – Failure to generate income to meet budget target or optimise the opportunity to do so resulting in budget deficit

Strategic / Operational Delivery Risks

- New Risks - ABS unable to flex to respond to business need
- New Risks - Organisation unable to make decisions at the pace required to deliver savings
- New Risks - Failure to effectively target limited change resources

4.6. Previous risks which are no longer relevant and removed from the register include:

- Bristol Workplace Programme governance and control mechanisms
 - Service Transition –the activity designed through BWP is not effectively transitioned to the business to manage
 - Performance Management Framework and System not being effectively embedded into BAU Business Change activities

4.7. Previous risks which have changed into new risks:

- None

4.8. The following table demonstrates where risk levels have increased/decreased or stayed the same compared to the Risk Register in September 2016

Current	Risk	Sep-16	Mar-17
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Risk ref		Previous risk level	Current risk level
Financial			
1	The organisation's ability to maintain a balanced budget in the short and medium terms		
2	New Risks - Failures / weaknesses in internal control could put the organisation at financial risks	New	
3	New Risks – Required Internal Audit Plan is not deliverable within existing resources	New	
4	New Risks - Lack of understanding of financial management across the Council	New	
5	New Risks - Failure to align Council aspirations for service delivery with application of revenues	New	
6	New Risks – Material Overspends / underspends against 2017/18 budget	New	
7	New Risks - Failure to optimise income from more business like approaches and commercial use of our assets	New	
8	New Risks - Closure of Accounts & Regulatory Returns Qualified opinion or late return	New	
People and Culture			
9	Recruitment and retention		
10	Over reliance on interim senior management in Resources		
Legal and Governance Risk			
11	New Risk – Failure to generate income to meet budget target or optimise the opportunity to do so resulting in budget deficit	New	
12	New Risk – Legal Services' ICT project fails to deliver the planned improvements, efficiencies or savings	New	
13	Budget - Costs awarded against Council in litigation exceed the budget provision	New	
14	New Risk – Legal staff capacity to cover caseloads for in-house and external work	New	
15	Budget – additional capacity supported by external resource incurring expenditure in excess of budget provision	New	
16	New Risk – Failure of in-house Service Areas to use legal resource appropriately leading to failure demand and reduction in capacity	New	
17	New Risk – Changes in legislation requiring implementation across the Council for compliance (e.g. the introduction of General Data Protection Regulation “GDPR”)	New	
18	New Risk – Reputational risks to the Council arising from significant changes in legislation and compliance	New	

	within the Council's Companies (again, e.g. GDPR).		
Strategic Operational Delivery			
19	New Risks - Failure to effectively target limited change resources	New	
20	The ongoing availability and stability of core ICT systems.		
21	Effects of ICT under-delivery on business confidence and knock-on effect to in-flight projects.		
22	The integration of new technology into business operations, training and empowering users.		
23	New Risks - ABS unable to flex to respond to business need	New	
24	New Risks - Organisation unable to make decisions at the pace required to deliver savings	New	

Consultation: Internal - Directorate Leadership Team / Risk Owners / Cabinet Member External - Not applicable
Finance Issues: None arising from this report
Legal Issues: None arising from this report
Reputational Issues: None arising from this report
Policy/Comms Officer: None arising from this report
Other Issues - Human Resources:

DLT sign-off	SLT sign-off	Cabinet Member sign-off
	N/A	Clr Cheney [date]

Appendix 1 – Resources Directorate Risk Register	YES
Appendix 2 – Risk Matrix Appendix 3 – Severity of Impact Guidance Appendix 4 - Assessment of the likelihood guidance	YES
Appendix C – Summary of any engagement with scrutiny	NO
Appendix D – Risk assessment	NO
Appendix E – Equalities screening / impact assessment of proposal	NO
Appendix F – Eco-impact screening/ impact assessment of proposal	NO
Appendix G – Exempt Information	NO

Appendix 1

Risk Description, Causes, Consequences and Horizon	Risk Owner	Current Risk Management Arrangements (Current Mitigation) Responsible officer (RO):	Status of Current Mitigation	Current Risk Like/Imp	Target Risk Like/Imp	Further Actions Required	Timeframe for Action	Responsible Officer for Action	Risk Review Period
Category of risk: Financial									
Portfolio Holder: Councillor Craig Cheney - Finance, Governance and Performance									
1. The organisation's ability to maintain a balanced budget in the short and medium terms									
<p>Risk description:</p> <p>The organisation's ability to maintain a balanced budget in the short and medium term</p> <p>Cause Increasing demand for services.</p> <p>Ongoing external funding reductions and changes in funding regimes.</p> <p>Poor financial management and under achievement in delivery of savings / income generation proposals.</p> <p>Consequence</p> <p>Budget deficit resulting in the need to make unplanned reductions in services and draw on reserves, as an emergency measure</p> <p>Failure to meet Corporate discretionary objectives and deliver Mayoral commitments.</p> <p>Reputational damage.</p> <p>Weakened resilience to future shocks.</p>	Denise Murray	<p>2017/18 Budget and forward look set and agreed by Full Council on 21 February 2017.</p> <p>Freeze on non-essential spending implemented and will continue to 31 March 17</p> <p>Regular financial monitoring to each DLT, SLT, Scrutiny and Exec Board / Cabinet.</p> <p>Delivery Working Group established to track delivery of savings with review mechanism for all services; role revised for 2017/18 governance (see subsequent section for full details).</p> <p>The Capital Programme has been reviewed and where appropriate expenditure has been re-profiled / slipped into 2017/18 and beyond.</p> <p>Technical accounting adjustments have being considered to increase funding including review of the use of reserves; flexible use of capital receipts; revise Minimum Revenue Provision (MRP) Policy;</p>	<p></p> <p>Until 31/03/17</p> <p>Regularly reviewed and ongoing</p> <p>Ongoing New-approach to be implemented for 17/18</p> <p>Ongoing</p> <p>Completed and change implemented to reduce the budget gap</p>	Critical / Probable (12)	Critical / possible (9)	<p>Continue finance transformation project</p> <p>Improved reporting which aligns financial budget monitoring (which focuses more intently on key costs drivers; run rates, operational activity etc) with delivery of savings and performance</p> <p>Developing and embedding the Delivery Working Group arrangements and aligning the savings tracker and budget monitoring process as key benefits realisation reporting framework</p> <p>Issue guidance to all budget holders re managing finances in BCC and delegated powers - Officers shall not have any authority to expend beyond the provision made in the revenue or capital budgets for their service</p>	<p>30 June 2017</p> <p>30 June 2017</p> <p>30 June 2017</p> <p>31 March 2017</p>	<p>Denise Murray / Annabel Scholes</p> <p>Denise Murray / SLT</p> <p>Denise Murray / SLT</p> <p>Denise Murray / SLT</p>	Monthly

2. New Risks - Failures / weaknesses in internal control could put the organisation at financial risks

<p>Risk description:</p> <p>Failures / weaknesses in internal control could put the organisation at financial risks</p> <p>Cause Weakness resulting from Human error, System error / failure or fraud, can be extenuated due to lack of proactivity by finance officers</p> <p>Consequence</p> <p>Financial loss Reputation Additional workload Loss of investment interest</p>	Denise Murray	<p>Review and assess the strength / limitations of systems Internal controls</p> <p>Ensure appropriate Separation of duties (including in staff cover / absence) and quality assurance by officer at relevant level</p> <p>Staff training and reporting procedures</p> <p>Staff to be reminded of Whistleblowing policy</p>	 Mar 2017 (all items below)	Critical / Probable (12)	Significant / probable (8)	<p>Staff training / knowledge transfer and ability to rotate to provide cover as and when required</p> <p>Financial regulations and scheme of delegation</p> <p>Reconciliations to source to confirm accuracy of historic data</p> <p>Assurance report following review and regular incorporation in performance measures for finance.</p> <p>Audit review and refresh assessment of internal controls if necessary</p>	Apr – May 2017 (all items below)	Denise Murray / Chris Holme / Annabel Scholes / Alison Mullis / Melanie Henchy-McCarthy	Ongoing
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3. New Risks – Required Internal Audit Plan is not deliverable within existing resources

<p>Risk description:</p> <p>Required Internal Audit Plan is not deliverable within existing resources</p> <p>Cause Scale of Governance and Finance improvements required; level of historic cooperation / management support has been low; lack of resource; areas requiring specialist skills could put delivery of the audit plan at risks.</p> <p>Consequence If not appropriately resourced risks that problems are undetected, reduced assurances re Annual Governance Statement</p>	Denise Murray	<p>Following DLT engagement produce draft Audit plan for discussion / endorsement by Audit committee.</p> <p>DLT briefings being rolled out on the AGS, IA Plan and reporting dashboard</p> <p>ICT Audit specialist commissioned to undertake the IT Audit.</p>	 Mar 2017 (all items below)	Critical / Probable (12)	Critical / unlikely (6)	<p>Commission Peer review audit plan to ensure all key areas are covered</p> <p>Prioritisation mechanism needs to be introduced to identify critical areas and best skill fit</p> <p>Recruit to unfilled posts in the structure</p> <p>Procure a strategic partner to provide reach back capacity</p>	Apr – May 2017 (all items below)	Denise Murray / Alison Mullis / Melanie Henchy-McCarthy	Monthly
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4. New Risks - Lack of understanding of financial management across the Council

<p>Risk description:</p> <p>Lack of understanding of financial management across the Council</p> <p>Cause Corporate failure to develop effective Financial Management across all directorates and budget holders and embedded the policies and principles in place.</p> <p>Consequence</p> <p>Poor financial management and poor decision making, leading to failure to deliver MTFP and longer term financial difficulties.</p> <p>Annual budget 17/18 not secured. Variances against budgets increase leading to greater need for intervention</p> <p>Members and managers not able to obtain robust financial advice when exploring options.</p> <p>Damage to reputation of the Council.</p>	<p>Denise Murray</p>	<p>Financial guidance to be issued on key funds and processes.</p> <p>Budget management to be core competency embedded in performance framework of BCC budget managers</p> <p>Briefings and drop in sessions arranged on key themes e.g. Annual Governance Statement, closure of accounts</p> <p>Produce and socialise draft plan for the production of Medium Term Financial Plan (MTFP) and continuous engagement throughout the process</p> <p>Delivery Officer / Executive Board established</p>	<p></p> <p>Mar–Apr 2017</p> <p>30 April 2017</p> <p>Mar–Apr 2017</p> <p>Mar–Apr 17 Ongoing thereafter</p>	<p>Critical / possible (9)</p>	<p>Critical / unlikely (6)</p>	<p>Further mitigation actions as follows:</p> <p>Centralised line management of all finance officers in the organisation; to maintain professional link, seamless advice / guidance and single version of the truth.</p> <p>Training / Development programme established for in-house staff, including officer & member – comprising of mixed learning approaches, workshops, cross directorate hot houses on specific themes; 1:1 few and learning lunches. Some of which will be mandatory for budget holders</p> <p>Capital and revenue projects - delivery plans, overall project plan are being reviewed or where not in place, completed with operational and financial milestones to assess delivery. Forward plan to be produced for BC</p> <p>Medium Term Financial Plan to be refreshed with evidence based trend analysis, long term pressures / risks / growth identified and incorporated into financial plans. E.g., new burdens</p> <p>Financial assessment in complex procurement exercises and going concern assessments in contract management / value for money</p> <p>Widen finance breadth - engagement in some cross cutting and corporate initiatives</p>	<p>30 June 2017</p> <p>30 June 2017</p> <p>30 June 2017</p> <p>30 June 2017</p> <p>31 August 2017</p> <p>31 Dec 2017</p> <p>31 Dec 2017</p>	<p>Denise Murray / SLT</p>	<p>Monthly</p>
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5. New Risks - Failure to align Council aspirations for service delivery with application of revenues

<p>Risk description:</p> <p>Failure to align Council aspirations for service delivery with application of revenues</p> <p>Cause</p> <p>Impact of material budget variations, change and transformation programmes not delivered, could affect the ability to deliver against strategic, Priorities.</p> <p>workforce may not engage and maintain the motivation, momentum and resilience required to deliver key priorities and the continued ambition for the City</p> <p>Consequence</p> <p>Reactive approach to financial planning, bottom up finances, rather than top down strategy driven</p>	<p>Denise Murray</p>	<p>A Medium Term Financial Planning process is in development and will seek to strengthen the alignment between the resourcing principles and key priorities outlined in the Corporate Strategy</p> <p>Comprehensive review / refresh of all capital and revenue funding assumptions following publication of devolution order with transitional funding, business rate retention pilot. Confirmed Major Project's financial planning assumptions to inform the 2018/19 budget process.</p> <p>Greater scrutiny / due diligence of reports, focus on outcomes and benefit realisation.</p>	<p></p> <p>Mar–Apr 2017</p> <p>31 May 2017</p> <p>Ongoing</p>	<p>Critical / possible (9)</p>	<p>Critical / unlikely (6)</p>	<p>Further mitigation actions as follows:</p> <p>Golden thread from vision priorities, MTFP with strong linked service planning / risk management and annual budget preparation</p> <p>Regular reconciliations, strategic / economic assessments and bi annual reporting</p> <p>Revenue and Capital Gateway aligning bids to strategic priorities.</p> <p>Continual monitoring, updates and reporting the national / local implications of political decisions. Into long term financial planning</p> <p>Appropriate internal / external engagement, presentations / reporting to Members</p>	<p>31 Dec 2017</p> <p>31 March 2018</p> <p>30 Sept 2017</p> <p>30 Sept 2017</p> <p>Feb 2018</p>	<p>Denise Murray / Chris Holme / Michael Pilcher / SLT</p>	<p>Monthly</p>
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6. New Risks – Material Overspends / underspends against 2017/18 budget

<p>Risk description:</p> <p>Material overspends / underspends against 2017/18 budget</p> <p>Cause</p> <p>Indicates poor control mechanisms and poor forecasting</p> <p>Consequence</p> <p>Reduced level of resources available in subsequent periods,</p>	<p>Denise Murray</p>	<p>Spending freeze to be lifted and replaced with delegated authority where service directors have agreed the cash limit for their respective services</p> <p>Only genuine crosscutting savings to be held centrally.</p> <p>Virement policy to be revised, to maintain greater control of budget movements.</p> <p>Guidance notes / Procedures;</p>	<p></p> <p>1 April 2017</p> <p>30 April 2017</p>	<p>Critical / possible (9)</p>	<p>Critical / unlikely (6)</p>	<p>Further mitigation actions as follows:</p> <p>Financial training for Finance and non-finance staff ; realistic budget profiles, costs drivers, run rates and accurate forecasts for volatile / demand driven budgets</p> <p>CPD for finance professionals</p> <p>Budgetary monitoring control system in place; requiring supplementary estimates to exceed function cash limit</p> <p>Monthly reconciliation checks and</p>	<p>30 June 2017</p> <p>Ongoing</p> <p>Ongoing</p>	<p>Denise Murray / Tian Ze Hao / Ken Ashong SLT</p>	<p>Monthly</p>
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<p>further efficiency reductions</p> <p>Unplanned material underspends - Increase cash held in reserves, which is not best use of revenue funds</p> <p>Leads to poor internal and external audit judgements and damage to council's reputation.</p>		<p>rules of the corporate funds e.g. reserves - to be drafted and made available to all</p> <p>New Monthly monitoring reporting format to Exec, Cabinet / Scrutiny to include risks and opportunities</p>	<p>Mar-Apr 2017</p> <p>31 May 2017</p>			<p>balances, to provide high level assurance</p> <p>Internal/external audit assessment of compliance in key areas or as an integral part of audits.</p>	<p>Ongoing</p> <p>ongoing</p>	<p>Alison Mullis / Melanie Henchy-McCarthy</p>	
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7. New Risks - Failure to optimise income from more business like approaches and commercial use of our assets

<p>Risk description:</p> <p>Failure to optimise income from more business like approaches and commercial use of our assets</p> <p>Cause</p> <p>Processes and data are not streamlined, evidence not gathered at source or information presented in an easily accessible transparent manner to facilitate charging and collect of income due.</p> <p>Consequence</p> <p>Failure to optimise income opportunities or collect income due, which impacts on ability to deliver services in reducing cash limits.</p>	<p>Denise Murray</p>	<p>Decision pathway – arrange of opportunities for income generation ideas to come forward for member consideration.</p> <p>Commercialisation Greenhouse – process for facilitating the initial assessment of commercial ideas</p> <p>Review all fees & charges; full costs recovery principles, transparent decision re subsidies, Inflationary default</p> <p>Financial improvement plan will undertake a council wide review of Internal Recharges to enable greater transparency and ease of calculation of total costs; for the purpose of benchmarking and full costs recovery</p>	<p></p> <p>Process established</p> <p>Mar – April 2017 Ongoing</p> <p>30 Sept 2017</p>	<p>Significant / probable (8)</p> <p>Significant / Unlikely (4)</p>	<p>Where clear alignment exists with Strategic priorities maximise opportunities to bid for grant funding at Council and City level - ensure that these are optimum in that they make the most positive net contribution to the Council in terms of funding and outcomes.</p> <p>Debt management functions are being consolidated and more robust systems for accounting for transactions, monitoring and action around debt recovery will be developed.</p> <p>Directorate approach to debt management to be strengthened in key areas Adults, Highways green claims</p> <p>Development of best practice approaches that bear down on fraud risks in areas such as Housing Benefit, C-Tax, NNDR</p> <p>Opportunity to review the council's assets and develop a better balance between commercial and community benefit.</p> <p>Assets to be maintained through asset register and all Commercial Property rents subject to ad- hoc review and on renewal of lease</p>	<p>Ongoing</p> <p>30 June 2017</p> <p>30 Sept 2017</p> <p>31 Mar 2018</p>	<p>Denise Murray / Tian Ze Hao / Ken Ashong SLT</p> <p>Alison Mullis / Melanie Henchy-McCarthy</p> <p>Tian Ze Hao / SLT</p>	<p>Monthl y</p>
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8. New Risks - Closure of Accounts & Regulatory Returns Qualified opinion or late return

<p>Risk description:</p> <p>Closure of accounts & Regulatory Returns Qualified opinions or late return</p> <p>Cause Technical specialism, poor quality data, dependence on key staff, high workload, Staff shortages e.g. long term sickness, all of which could weaken the robustness of the accounts.</p> <p>Consequence Reputation Governance failures Poor staff morale and increase staff time / payment Financial penalties Additional costs of external auditors</p>	Denise Murray	Timetables for closure of accounts published	 Mar 2017	Critical / possible (9)	Critical / unlikely (6)	New Member / officer briefings	Mar - Apr 2017	Denise Murray / Chris Holme / Alison Mullis / Melanie Henchy-McCarthy	Annual ly & Monthl y
		Hothouse to ensure staff are aware of their responsibilities in this processes				Commission specialist external advice or availability of reach back facility	Mar - Apr 2017		
		Redirect resources to provide additional interim capacity to the areas required				Monitoring of key returns / reconciliations and full audit trail	31 May 2017		
		System and processes streamlined and appropriate quality assurance approach and sample testing agreed				Change in staff duties as necessary allow sharing of knowledge e.g. Asset reconciliation work	31 May 2017		
		Annual Governance Statement issued to Directorates				Internal Audit Assurance System and processing controls for consolidated accounts.	31 May 2017		
Issue instructions to companies in preparation for consolidation.	Audit Officer training	31 May 2017							

Category of risk: People and Culture Portfolio Holder: Councillor Craig Cheney - Finance, Governance and Performance

Risk Description, Causes, Consequences and Horizon	Risk Owner	Current Risk Management Arrangements (Current Mitigation) Responsible officer (RO):	Status of Current Mitigation	Current Risk Like/Imp	Target Risk Like/Imp	Further Actions Required	Timeframe for Action	Responsible Officer for Action	Risk Review Period
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9. Recruitment and retention

<p>Risk description:</p> <p>Recruitment and retention</p> <p>Cause:</p> <ul style="list-style-type: none"> - Failure to recruit to critical posts within service structures owing to uncompetitive pay lines and employment proposition in Legal and Finance - Badly designed and defined roles that hinder effective 	Sandra Farquharson	<ul style="list-style-type: none"> Review of recruitment and resourcing processes (Recruitment Hot House) to ensure that applications can be made easily and the process is in the hands of recruiting managers. 		Critical / possible (9)	Critical / possible (9)	<ul style="list-style-type: none"> Review of phase 2 (BG1-15) pay structure to be incorporated in the Pay Policy for 2017/18 Implementation of workforce planning that enables services to design for future need and establish effective supply of suitably qualified personnel. 		Mark Williams	
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<p>applications</p> <ul style="list-style-type: none"> - Lack of effective workforce planning to develop a clear understanding of demand and supply issues 									
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10. Over reliance on interim senior management in Resources

<p>Risk description:</p> <p>Over reliance on interim senior management in Resources</p> <p>Cause:</p> <ul style="list-style-type: none"> - Interim arrangements covering vacancies in Service Director level roles and recruitment decisions are pending organisational redesign. The availability of suitable candidates in the local labour market and the relative uncompetitiveness of the financial package for these roles may prove challenging to recruit to. 	<p>Sandra Farquharson</p>	<p>Acting up arrangements being considered in order to recruit lower in the structure.</p> <p>Contract negotiations with agencies underway for business critical posts. Negotiations are focussed on any percentage increase is not absorbed by the council.</p> <ul style="list-style-type: none"> - Service Director Finance successfully recruited to with new s151 starting in Nov 2016 - Service Director Legal – interview to be held October 2016 <p>Targeted search underway for other senior finance roles to ensure a permanent cadre of senior finance personnel.</p> <p>Senior pay review completed and implemented with 15% uplift available for recruitment and retention</p>	<p>Joint HR/finance and legal meetings are being set up to negotiate the position.</p>	<p>significant / probable (8)</p>	<p>significant / probable (8)</p>	<p>Review of senior structure in Business Change to consolidate services under fewer Service Directors in order to achieve in year and recurring savings.</p>	<p>March 2017</p> <p>March 2017</p>	<p>Anna Klonowski</p> <p>Sandra Farquharson</p>	
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Category of risk: Legal and Governance

Portfolio Holder: Councillor Craig Cheney - Finance, Governance and Performance

Risk Description, Causes, Consequences and Horizon	Risk Owner	Current Risk Management Arrangements (Current Mitigation) Responsible officer (RO):	Status of Current Mitigation	Current Risk Like/Imp	Target Risk Like/Imp	Further Actions Required	Timeframe for Action	Responsible Officer for Action	Risk Review Period
11. External income generation									
<p>Risk description</p> <p>Failure to generate income to meet budget target or optimise the opportunity to do so resulting in budget deficit</p> <p>Caused by:</p> <ul style="list-style-type: none"> - Lack of market research lack of potential new business, lack of marketing/advertising, - lack staffing or ICT/other resource capacity to facilitate increased external work 	Nancy Rollason	<ul style="list-style-type: none"> - Interim business manager in place - Business plan drafted to include market research, business development - Actions in risks identified above to be implemented to manage capacity and demand in-house 		Probable/ Critical (12)	Possible/ Marginal (3)	<ul style="list-style-type: none"> - Approve and Implement Business plan - Target for Business manager to identify income generating opportunities - Regular review of performance targets for business manager post 	3 months	Nancy Rollason Business Manager	3 mths
12. New Risk - ICT Project									
<p>Risk description:</p> <p>ICT Upgrade and Development</p> <p>Cause:</p> <ul style="list-style-type: none"> - Delay in upgrading/ developing case management system and implementing other ICT improvements - Revised cost of improvements may exceed budgetary provision - Savings predicted from implementation no longer achievable 	Nancy Rollason	<ul style="list-style-type: none"> - Updated costings being obtained; - business case being prepared for all ICT needs in Legal Services to authorise the necessary expenditure - Review of estimates to limit expenditure over budget provision 		Critical / possible (8/9)	Possible/ significant (6)	<ul style="list-style-type: none"> - Finalising business case - Implementing changes/upgrade - Identify whether previously predicted savings are still achievable 	3 months	Jane Johnson	Monthly

13. New Risk – Budget – Cost Awards

<p>Risk description: Costs Awards against the Council</p> <p>Cause: - Costs awarded against the council in consequence of litigation</p>	<p>Nancy Rollason</p>	<ul style="list-style-type: none"> - Monitoring all litigation or threats of litigation to identify risks of significant costs in particular cases - Ensure Service Managers are kept informed of cost implications and risks - Challenge decisions to pursue litigation in cases where legal advice indicates a significant likelihood of costs against the council. - Agree memorandum of understanding with service areas about payment of legal costs - Agree procedure to use resource allocated for legal costs 		<p>Critical / possible (8/9)</p>	<p>Possible/ Marginal (3)</p>	<ul style="list-style-type: none"> - Sign off memorandum of understanding - Agree process to access legal reserve 	<p>1 month</p>	<p>Nancy Rollason</p>	<p>Monthly</p>
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14. New Risk – Staffing/Capacity

<p>Risk description Staffing Capacity</p> <p>Cause: - Legal staff at capacity to cover existing in-house and external (income generating) caseloads. - Workloads are increasing in some areas due to increase of work – internal and external, and late urgent instruction</p>	<p>Nancy Rollason</p>	<ul style="list-style-type: none"> - Recruitment is underway to populate new posts in the new organisational structure - cover is being engaged/retained to cover vacancies and absences - Some part-time staff have also agreed to work additional hours to provide cover - Use external solicitors/barristers for additional cover as a last resort - Drafting Memorandum of Understanding (MOU) for in-house use. 		<p>Probable / significant (8)</p>	<p>Possible/ Significant (6)</p>	<ul style="list-style-type: none"> - complete recruitment - Implementing MOU with in-house Service Areas to encourage better demand management - Monitor demand/new instructions and individual work loads - Retain temporary staff where necessary to minimise external private-sector spend 	<p>2 - 4 months</p>	<p>Nancy Rollason/ Team Leaders</p>	<p>Monthly</p>
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15. Budget for Temporary cover

<p>Risk description</p> <p>Budget for temporary Cover</p> <p>Caused by:</p> <ul style="list-style-type: none"> - Continued reliance on locum lawyers has not been factored into the current year's budget for in-house service provision (i.e. it needs additional external income generation over and above new income targets to support the additional costs) 	<p>Nancy Rollason</p>	<ul style="list-style-type: none"> - Recruitment is underway to populate new posts in the new organisational structure - Some part-time staff have also agreed to work additional hours to provide cover 		<p>Probable / significant (8)</p>	<p>Unlikely / significant (4)</p>	<ul style="list-style-type: none"> - Finalise recruitment 	<p>2 – 4 months</p>	<p>Nancy Rollason Business Manager Team Leaders</p>	<p>Monthly</p>
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16. Management of Demand for Legal Services

<p>Risk description</p> <p>Failure of in-house Service Areas to use legal resource appropriately, leading to failure demand and reduction in capacity.</p> <p>Caused by:</p> <ul style="list-style-type: none"> - Lack of planning or lack of resource in the Service Area requesting legal services - Lack of understanding of <ul style="list-style-type: none"> o the impact on legal services when late/urgent work is required o what is needed from legal services o inadequate instructions /missing information 	<p>Nancy Rollason</p>	<ul style="list-style-type: none"> - MOU in draft - Compliance with self-serve referral system to manage demand 		<p>Probable / significant (8)</p>	<p>Possible / significant (6)</p>	<ul style="list-style-type: none"> - MOU to be agreed - Reinforce use of self service for legal services referral - Development of training for in-house clients including clarification of what is required from them to facilitate better demand management - Better management of decision pathway process 	<p>MOU: 4 weeks Training etc starting within a month - ongoing</p>	<p>Shahzia Daya, Nancy Rollason Team Leaders Lawyers</p>	<p>3 mths</p>
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17. New Risk – Legislative Change affecting the Council									
Risk description Legislative Change Caused by: - Changes in statute, case law statutory guidance affecting one or more areas of the Council	Nancy Rollason	<ul style="list-style-type: none"> - Alerts to Legal managers and MO through line-management reporting lines - Detailed advance briefings provided through MO and/or Lawyers and other relevant staff as and when necessary - Risk Register used when individual legal changes cause serious enough level of risk 		Probable / significant (8)	Likely/ Marginal (5)	- Continued monitoring	As necessary	Shahzia Daya, Nancy Rollason Team Leaders Lawyers	3 mths
18. Reputational Risk re Legislative Change affecting BCC Companies									
Risk description Reputational risk of Companies not adapting to new legislative changes Caused by: - Failure of BCC Company failing to comply with change in law affecting it	Nancy Rollason	<ul style="list-style-type: none"> - Alerts to Legal managers and MO/Company Secretary through line-management reporting lines - Detailed advice provided to BCC and/or to Company as required - Risk Register used when individual legal changes cause serious enough level of risk 		Probable / significant (8)	Likely/ Marginal (5)	- Continued monitoring	As necessary	Shahzia Daya, Nancy Rollason Team Leaders Lawyers	3 mths

Category of risk: Strategic / Operational Delivery			Portfolio Holder: Councillor Craig Cheney - Finance, Governance and Performance						
Risk Description, Causes, Consequences and Horizon	Risk Owner	Current Risk Management Arrangements (Current Mitigation) Responsible officer (RO):	Status of Current Mitigation	Current Risk Like/Imp	Target Risk Like/Imp	Further Actions Required	Timeframe for Action	Responsible Officer for Action	Risk Review Period
19. New Risks - Failure to effectively target limited change resources									
<p>Risk description: Failure to target limited change resources to the areas they are needed most and can have the greatest impact.</p> <p>Cause</p> <ul style="list-style-type: none"> - Reduction in change team size - Overreliance on change resource support work beyond their core responsibilities - Lack of pace in decision making to remove resources from existing work. - Resource allocation prioritisation criteria not yet defined <p>Consequence</p> <ul style="list-style-type: none"> - Inability to deliver the budget savings required - Spend the full £5m transformation fund too quickly, leaving limited funding/capacity for change delivery in future years 	Nicki Beardmore	<p>Established Delivery Working Group with Terms of Reference which includes remit for resource prioritisation</p> <p>New Business Case template in place which captures resource needs - supporting wider resource allocation work</p> <p>DWP and DLT's currently reviewing where change resources are currently allocated & if this is fully optimised to best support delivery</p>	<p>Prototype phase</p> <p>New template live, and being prototyped</p> <p>In progress as at March '17</p>	Critical/Likely (15)	Significant / probable (8)	<ul style="list-style-type: none"> • Establish clear process for monitoring the £5m transformation fund – including how costs are recharged/used and reported at DWG monthly • Establish process for prioritising resource to ensure resource is allocated to highest priority work (high value/high need/high urgency) • Provide support and challenge to services requiring change resources to consider if alternative, lower cost/lower need options may suffice • Establish adapted service offering for change resources based around 3-tier model offering - using a work-package / time-boxed / commissioning approach • Set up forums for professional views to feed into business cases to ensure early challenge/ clear identification of full resource needs • Service areas to consider what BAU work could be deprioritised in order to free up capacity for delivering change/savings 	<p>April '17</p> <p>April '17</p> <p>April '17 & ongoing</p> <p>May '17</p> <p>May '17</p> <p>May '17</p>	<p>Tar Dillon (Lee Ford)</p> <p>Tara Dillon (with DWG)</p> <p>Tara Dillon (Sian Houdmont & Declan Cooney)</p> <p>Tara Dillon</p> <p>Tara Dillon</p> <p>DLTs (supported by Change Business Partners)</p>	<p>Monthly</p> <p>Quarterly</p> <p>Quarterly</p> <p>Quarterly</p> <p>Monthly</p> <p>Monthly</p>
20. The ongoing availability and stability of core ICT systems									
<p>Risk description: The ongoing availability and stability of core ICT systems.</p> <p>Cause:</p>	<p>Nicki Beardmore</p> <p>Annabel Scholes</p>	<p>Appropriate business continuity and disaster recovery plans in place.</p> <p>Analysis of current business needs</p>	Ongoing	Probable / critical (12)	Critical / possible (9)	<p>Steering group to provide option appraisal to SLT for review.</p> <p>Review all support contracts to ensure business continuity.</p>	<p>May 17</p> <p>April 17</p>	<p>Annabel Scholes</p> <p>Annabel Scholes</p>	<p>Quarterly</p>

- The failure of a system to deliver current and emerging business needs.	Denise Murray	Appropriate governance boards set up to oversee future requirements of core ICT systems and ensure continuity of system availability. Routine reporting to SLT,							
Risk Description, Causes, Consequences and Horizon	Risk Owner	Current Risk Management Arrangements (Current Mitigation) Responsible officer (RO):	Status of Current Mitigation	Current Risk Like/Imp	Target Risk Like/Imp	Further Actions Required	Timeframe for Action	Responsible Officer for Action	Risk Review Period
21. Effects of ICT under-delivery on business confidence and knock-on effect to in-flight projects									
<p>Risk description:</p> <p>Delivery of an ICT function that is able to respond to business needs and enable the organisation to meet the needs of its customers</p> <p>Cause:</p> <p>- Unexpected business demand, such as a result of an Ofsted, or other regulatory body, inspection.</p> <p>Any remedial actions that may be required to achieve compliance with connection standards, e.g. Public service Network (PSN).</p> <p>Remedial actions in event of serious cyber or other event, (e.g. ransomware), resulting in loss of data/access to key BCC systems and data.</p>	Nicki Beardmore	<p>New ICT Strategy currently under development that will highlight new delivery model and road map for future development and ongoing business requirements.</p> <p>New governance structure in place that has ICT input into the design and sign off of ICT related projects before they are signed off for delivery and that budget is aligned for project delivery and ongoing business as usual costs such as licencing etc.</p> <p>Architectural Review Board (ARB) in place to review all technical ICT projects to ensure there are no unknown impacts on the ICT estate that could have an adverse effect.</p> <p>Ongoing staff training and routine testing of security framework i.e. Phishing, to test resilience and reduce the risk</p>	<p>Ongoing</p> <p>New governance structure in place and Delivery Working Group is underway</p> <p>Ongoing</p>	significant / likely (10)	Significant / probable (8)	<p>Review of ICT infrastructure to rationalise the number of systems that are operated and fully utilise the remaining systems to ensure they are maximised across the whole of the council and deliver efficiency. (Ian Gale)</p> <p>Review ICT budgets to ensure the most appropriate model of managing costs and that they are aligned to the appropriate services. (Ian Gale/Gavin Beckett/Steven Pendleton)</p> <p>Develop a training module as part of the 'Bristol Manager' programme to enable managers to fully understand the ICT infrastructure, data handling and security requirements. Ian Gale/Gavin Beckett/Steven Pendleton)</p>	<p>April 2017</p> <p>Commence March 2017</p> <p>Monthly</p> <p>Ongoing</p>	<p>Ian Gale/Gavin Beckett/Steven Pendleton</p> <p>Ian Gale/Gavin Beckett/Steven Pendleton</p> <p>Gavin Beckett</p>	<p>Annual</p> <p>Weekly</p> <p>Monthly</p>

<p>Information Commissioners fine in case of Data Breach or Loss (may not be an ICT related) and remedial actions in event of Data Breach or Loss.</p> <p>Remedial actions in the event of major supplier commercial failure.</p> <p>Remedial actions in the event of sudden or unanticipated change of law or statute.</p> <p>Potential additional costs incurred as result of local/regional elections.</p> <p>The potential for additional costs incurred as result of currency fluctuations or due to major external influences such as Brexit.</p> <p>Capacity to deliver the required pace of change, set upon a backdrop of reducing resources through VS.</p> <p>Restructure of the ICT function will require short term additional flexible resource to ensure that approved service projects that have savings requirements, can still be delivered.</p> <p>GDPR; to be able to demonstrate compliance to the ICO, who can now audit at any time, May 2018. Risk of fine for non-compliance.</p>		<p>of attacks.</p> <p>CSRM team work closely with all ICT suppliers to maintain strong relationships and understand potential risks associated with suppliers. Strong contract management and review framework in place (Contract & Review Board). Use of government frameworks that reduce the risk of using already procured and vetted services.</p> <p>All contracts are being reviewed from an inflationary perspective to ensure full sight on potential cost fluctuations are understood and built into the medium term financial plan.</p> <p>ICT is being restructured to ensure that the new structure is fit for purpose with the right skill to be able to deliver the new ICT Strategy.</p> <p>Realignment of ICT budgets to ensure they fall within the budget envelope. Hothouse on ICT budgets to taking place.</p> <p>DP Officer in place. Communication plan in place. Budget and resource request has been made.</p> <p>Directorates to have named representative as part of GDPR project team.</p> <p>Organisational data map to be developed. IAO to be re-trained. Mandatory Data Protection training to be rolled out.</p>	<p>Ongoing</p> <p>Ongoing</p> <p>Review currently underway</p> <p>Underway</p> <p>March 2017</p> <p>Underway</p>	<p>Current</p>	<p>Target</p>		<p>Ongoing</p> <p>March 2017</p> <p>May 2017</p> <p>March 2017</p> <p>May 2018</p>	<p>Steven Pendleton</p> <p>Steven Pendleton</p> <p>Steven Pendleton</p> <p>Ian Gale</p> <p>Ian Gale/Gavin Beckett/Steven Pendleton</p> <p>Steven Pendleton</p>	<p>Quarterly</p> <p>Monthly</p> <p>Annual</p> <p>Quarterly</p>
Risk Description,	Risk	Current Risk Management	Status of	Current	Target	Further Actions Required	Timeframe	Responsible	Risk

Causes, Consequences and Horizon	Owner	Arrangements (Current Mitigation) Responsible officer (RO):	Current Mitigation	Risk Like/Imp	Risk Like/Imp		for Action	Officer for Action	Review Period
22. The integration of new technology into business operations, training and empowering users.									
<p>Risk description: The integration of new technology into business operations, training and empowering users.</p> <p>Cause:</p> <ul style="list-style-type: none"> - The workforce does not understand use or benefits - Introduction of new technology not signposted to potential users. - 'Technophobic' culture amongst a significant proportion of staff - difficulties embedding new technology within user communities and empowering users to exploit these tools <p>Consequence:</p> <p>Below optimal take up and exploitation of technology.</p> <p>Inability to realise the direct and indirect financial benefits, as set out in the BWP business case, as a result of new ways of working supported by new technology.</p>	<p>Lucy Murray Brown</p> <p>Nicki Beardmore</p>	<p>Delivery through the technology workstream of the Bristol Workplace programme.</p> <p>Monitored through the BWP Steering group</p> <p>Mitigations: -Tech deployment training which 'brings technology opportunities to life'.</p> <p>-BWP discovery process now includes additional support on use of technology</p> <p>-Paperless environment more robustly encouraged through discovery</p> <p>-Reduced storage New behaviour challenge and communications approach being tested at core office accommodation and some 'swing space' sites such as St Annes, Parkview, B Bond etc.</p>	<p>All mitigations are in place and the programme plan is on track.</p> <p>Confidence on delivery of savings is high.</p>	<p>significant / probable (8)</p>	<p>Critical / unlikely (6)</p>	<p>Additional transition workshops with ICT, Finance and Property colleagues planned. (responsible officer: LMB)</p> <p>BWP Transition plan to be signed off by DLT/SLT or at an appropriate forum as directed by Nicki Beardmore. (responsible office: LMB)</p> <p>Phase 4 plan (disposal of 4 assets and decommissioning) and associated delivery of the benefits to be monitored and reported corporately by Property Services. (responsible officer: Bob Baber)</p> <p>Enterprise Communications Business case to be brought to Delivery Group to seek approval (responsible officer: LMB)</p>	<p>Throughout February and March 2017.</p> <p>Mid-March 2017</p> <p>From March 2017</p> <p>Early March 2017</p>	<p>Lucy Murray Brown (BWP)</p> <p>Bob Baber (Property)</p> <p>Chris Williams (Finance)</p> <p>Ian Gale (ICT)</p>	<p>Quarterly</p>

Risk Description, Causes, Consequences and Horizon	Risk Owner	Current Risk Management Arrangements (Current Mitigation) Responsible officer (RO):	Status of Current Mitigation	Current Risk Like/Imp	Target Risk Like/Imp	Further Actions Required	Timeframe for Action	Responsible Officer for Action	Risk Review Period
23. New Risks - ABS unable to flex to respond to business need									
<p>Risk description: ABS unable to flex to respond to business need</p> <p>Cause: Unpredictability of demand from services that are changing rapidly</p> <p>New ways of cross-directorate working still embedding in ABS, too early to –</p> <ul style="list-style-type: none"> a) predict demand b) assess benefits of efficiencies <p>Services making efficiencies that have the effect of increasing demand for ABS support</p> <p>Changes to legislation impacting on demand</p> <p>Consequences:</p> <p>Inability to plan effectively across the service Inability to guarantee appropriate response within required timeframes, knock-on effect to services supported (and therefore to service provision to customers) Specific risk in Subject Access Requests: change in legislation due 2018 will impose new time limits for response; this together with unpredicted increase in demand has led to risk breaching ICO regulations.</p>	Anne Wall	<p>Programme of cross-skilling for ABS staff to build resilience</p> <p>Development of single routes of access to ABS services to improve information re demand</p>	<p>On track. Significant progress since Jan 17</p> <p>On track. Biggest work area (finance) complete, hothouse booked for Events. Other areas to follow</p>	Significant / probable (8)	Significant / possible (6)	<ul style="list-style-type: none"> • Framework to be developed to measure demand / throughput (Will look at one work area at a time - some will be dependent on the single routes of access work taking place) • Work to begin this month on a Business Contingency plan for ABS • Re SAR work: Full assessment of current situation underway in conjunction with council's Snr DPO, action plan to be developed 	<p>Apr-Sep 17</p> <p>Mar-May 17</p> <p>Mar-May 17</p>	<p>Anne Wall</p> <p>Anne Wall</p> <p>Anne Wall Steve Pendleton</p>	Quarterly

Risk Description, Causes, Consequences and Horizon	Risk Owner	Current Risk Management Arrangements (Current Mitigation) Responsible officer (RO):	Status of Current Mitigation	Current Risk Like/Imp	Target Risk Like/Imp	Further Actions Required	Timeframe for Action	Responsible Officer for Action	Risk Review Period
24. New Risks - Organisation unable to make decisions at the pace required to deliver savings									
<p>Risk description: Organisation unable to make decisions at the pace required to deliver savings</p> <p>Consequence: Work grinds to a halt; savings targets are missed</p> <p>Limited resources are misaligned through failure to clearly and quickly prioritise work</p> <p>Causes: Large backlog of work which needs to be prioritised and assessed.</p> <p>Budget savings were identified through a rapid piece of work and now require further analysis and decisions creating a large backlog</p>	Nicki Beardmore	<p>Establish Delivery Working Group and Delivery Executive with clear terms of reference, Chaired by CEX with SLT (or nominated reps) and regular meeting dates.</p> <p>New Business Case template in place allowing decision to be made quickly by following a consistent format</p>	<p>Prototype phase underway</p> <p>New template in place and being prototyped</p>	significant / probable (8)	significant / possible (6)	Align Decision Pathway with new governance boards, business case lifecycle and associated processes.	May '17	Tara Dillon	Monthly
						Review ToR of DWG in context of the Commissioning and Procurement Group (CPG) to ensure boards are working together to support the new process and not introducing additional unnecessary steps.	May '17	Tara Dillon	Monthly
						Change Partners to establish closer working relationships with DLT's to support quicker identification of decisions required and seeking prompt resolution	June '17	Tara Dillon (Sian Houdmont / Declan Cooney)	Monthly
						Change Services PMO being reshaped to support the new organisational direction of travel	April '17	Tara Dillon	
						Regular review points to be built in to ensure pace in processes and continuous improvement being applied	April '17	Tara Dillon	Quarterly

Appendix 2

Risk Matrix

Likelihood	6	Almost Certain	6	12	18	24
	5	Likely	5	10	15	20
	4	Probable	4	8	12	16
	3	Possible	3	6	9	12
	2	Unlikely	2	4	6	8
	1	Almost Impossible	1	2	3	4
			Marginal	Significant	Critical	Catastrophic
		1	2	3	4	
		Impact				

Appendix 3

Severity of Impact Guidance

	Effect on service provision	Potential Financial loss/gain	Potential Fraud & Corruption loss	Reputation	Legal	Environmental	Communities	Personal safety
1 Marginal	Very limited effect (positive or negative) on service provision. Impact can be managed within normal working arrangements	Under £0.5m	Under £50k	Minimal and transient loss of public trust. Contained within the individual service	No significant legal implications or action is anticipated	No effect (positive/negative) on the environment/community	Minimal effect on community	Minor injury to citizens or staff may result or can be prevented.
2 Significant	Noticeable and significant effect (positive or negative) on service provision. Effect may require some additional resource, but manageable in a reasonable time frame.	Between £0.5m - £5m	Between £50k - £100k	Significant public interest although limited potential for enhancement of or damage to reputation. Dissatisfaction reported through Council Complaints procedure but contained within the Council Local MP involvement Some local media/social media interest.	Tribunal/ BCC legal team involvement required (potential for claim)	Short term effect (positive or negative) on the natural and or built environment.	Short term effect (positive or negative) on a small number of vulnerable groups/individuals	Significant injury or ill health of citizens or staff may result or be prevented.
3 Critical	Severe effect on service provision or a corporate Plan priority area. Effect may require considerable additional resource but will not require a major strategy change.	Between £5m - £10m	Between £100k - £1m	Serious potential for enhancement of or damage to reputation. Dissatisfaction regularly reported through Council Complaints procedure . Higher levels of local or national interest. Higher levels of local media/social media interest.	Criminal prosecution anticipated and or civil litigation.	Serious local discharge of pollutant or source of community annoyance that requires remedial action.	Medium term effect (positive or negative) on a significant number of vulnerable groups/individuals.	Major injury or ill health of citizens or staff may result or be prevented. Long term disability/absence from work.
4 Catastrophic	Extremely severe service disruption. Significant customer opposition. Legal action. Effect could not be managed within a reasonable time frame, or by a short term allocation of resources and may require major strategy changes. The Council risks 'special measures' Officer/Member forced to resign.	More than £10m	More than £1m	Highly significant potential for enhancement of or damage to reputation Intense local, national and potentially international media attention. 'Viral' on line social media Public enquiry or poor external assessor report.	Criminal prosecution anticipated and or civil litigation (> 1 person)	Lasting effect on the natural and or built environment.	Lasting effect (positive or negative) on a significant number of vulnerable groups/individuals.	(Avoidable) Death of citizens or staff may result or be prevented. Long term disability/absence from work.

Appendix 4

Assessment of the likelihood guidance

	Likelihood	Likelihood Descriptors	Numerical likelihood
1	Almost impossible	This will probably never happen	Less than 1%
2	Unlikely	Do not expect it to happen, but it is possible it may do so	Less than 25%
3	Possible	Might happen on rare occasions	Less than 50%
4	Probable	Probably will happen on rare occasions	50% or more
5	Likely	Probably will happen at regular intervals	75% or more
6	Almost certain	Surely will happen and possibly frequently	99% or more