

Appendix A: Bristol City Council - Corporate Risk Register Report as at June 2018

Corporate Risk Register as at June 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 costs of the asset exceed expectations.</li> <li>The demand for the asset is less than budgeted driving down income.</li> <li>Strategic, geographic, social, financial and economic conditions changing over time.</li> <li>Oversight of Project Interdependencies not well managed.</li> </ul>	<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 have ensured for Temple Meads that there are robust contingencies within the project cost, and the consultant's report confirms the risks to the project in terms of risk allocation and contractual arrangements, and passing operational risk to the operator.</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. what we are building and is the right option to make the hall financially sustainable and overcome the lack of capital investment by Bristol City Council. Cabinet signed off on underwriting the project to the value, not to exceed £48.8m. Under the Southern Construction Framework (administered by Devon County Council).</li> </ul>	↑	3	7	21	<p>Development of Capital Strategy 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 overseen by Delivery Executive in July 2018.</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.</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 will be strengthening client side arrangements for companies in July 2018 around the:</p> <p><u>Arena</u></p> <ul style="list-style-type: none"> <li>We have commissioned consultants to carry out Value for Money (VfM) studies for the Arena at Temple Meads plus an alternative scheme at Filton. Options will be considered at Cabinet 3<sup>rd</sup> July 2018.</li> </ul> <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 December 2018.</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: Executive Director Growth and Regeneration and Section 151 Officer, Acting Executive Director Resources.</p>	<p>Action Owner: Acting Director Finance, Flood Risk Engineer, Strategic City Transport, Director Transport, Director Planning, Director Commercialisation and Senior Information Risk Owner (SIRO).</p>	<p>Portfolio Flag: Finance, Governance and Performance.</p>			<p>Strategy Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing.</p>				

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<p><b>CRR2: IT Infrastructure.</b></p> <p>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. The FSA Rollout 2018/19 is ongoing subject to cabinet approvals and funding in July 2018.</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>IT resilience improvements have been made to underlying data storage, data centre capability and network resilience during 2018/19.</p> <p>There is an on-going programme of review relating to IT Disaster Recovery and Business Continuity. All internal IT security incidents are logged and reviewed from an IT and wider Information Governance perspective.</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 out IT Infrastructure.</p> <p>BCC will review of 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>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>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>The review of business continuity/contingency plans is progressing well and due by Q3. 2018/19.</p> <p>FSA Project Risk Register update and quarterly reporting is ongoing during lifetime of the project.</p>	1	3	3
Risk Owner: Interim Director: IT.	Action Owner: Interim Director: IT.	Portfolio Flag: Finance, Governance and Performance.			Strategy Theme: Our Organisation, Fair and Inclusive, Well Connected, Wellbeing.				

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<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 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>	↔	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 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: Executive Director Growth and Regeneration and CLB.	Action Owner: Executive Director Growth and Head of Health, Safety and Wellbeing.	Portfolio Flag: Finance, Governance and Performance.			Strategy Theme: Our Organisation.				

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<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> <li>• Lack of appropriate equipment.</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>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) have 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	1	7	7
Risk Owner: Executive Director Growth and Regeneration and CLB.	Action Owner: Executive Director Growth and Head of Health, Safety and Wellbeing.	Portfolio Flag: Finance, Governance and Performance.	Strategy Theme: Our Organisation.					

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<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 maybe 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> <li>• Any event which may cause major disruption.</li> <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 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 (September2016) which was communicated to relevant staffs. The Incident Response Plan updated in July 2017.</p> <p>Service Business Continuity Plans are place as at January 2018 the plans 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.						

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<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 to 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 are in place which 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: Section 151 Officer, Acting Executive Director Resources and Acting Director of Finance.	Action Owner: Acting Director of Finance and Chief Internal Auditor.	Portfolio Flag: Finance, Governance and Performance.			Strategy Theme: Our Organisation.				

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Corporate Risk Register as at June 2018 - Internal and External Business Continuity and Civil Contingency Risks								
Risk title and description	What we have done	Performance	Current Risk Level			Tolerance Risk Level		
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<p><b>CCR7: 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>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>	↔	3	5	15	2	5	10
Risk Owner: Section 151 Officer, Acting Executive Director Resources.	Action Owner: Interim Director IT, Resources.		Portfolio Flag: Finance, Governance and Performance.			Strategy Theme: Our Organisation.		

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<p><b>CRR8: Service Review.</b></p> <p>The organisation is not able to redesign its leadership team quickly enough, which may result in a reduction in staffing levels. The 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> <li>Poor morale due to the impact of change and the working environment.</li> <li>Potential increased staff sickness levels.</li> </ul>	<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>	↑	3	5	15	<p>The senior leadership restructure is complete with recruitment underway for remaining vacant roles. A full permanent team will be in place by January 2019 and appropriate arrangements are in place to cover vacant roles whilst we are recruiting.</p> <p>The organisation values and behaviours have been adopted as part of Corporate Strategy and are being rolled out to all employees via team workshops.</p> <p>A new Leadership Framework is in place and used as the assessment framework to recruit new senior leaders against.</p> <p>A development programme for the new team is in the planning stages - to help the new team work effectively together.</p> <p>A leadership development programme is underway for team leaders and managers (4/5 tiers), with 148 currently on the programme and further intakes to follow. Leadership development planning is underway for third tier managers.</p> <p>Learning and development support is available to all staff to help them develop their skills and confidence in their roles.</p> <p>A performance appraisal cycle is underway for 2018/19 with individual objectives set against business plan objectives from the Corporate Strategy. A new approach to performance and talent management is being developed for launch in April 2019.</p> <p>We continue with regular communication briefs with staff and key stakeholders to keep them up to date with organisational priorities and progress on recruitment of the senior leadership team.</p> <p>The developing Workforce Plan will detail the actions we will take to meet the future needs of the organisation and equip colleagues to contribute to the delivery of the corporate strategy priorities.</p>	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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<p><b>CRR9: Safeguarding Vulnerable Children.</b></p> <p>The council fails to ensure 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 reporting 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	1	7	7
<p>Risk Owner: Executive Director, Adults, Children and Education.</p>	<p>Action Owner: Director for Children’s and Families Services.</p>	<p>Portfolio Flag: Children and Young People.</p>	<p>Strategy Theme: Our Organisation, Empowering and Caring, Wellbeing.</p>					

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			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> <li>• Lack of capacity or resources to deliver safe practice.</li> <li>• Failure to commission safe care for vulnerable adults and the elderly.</li> <li>• Failure to meet the requirements of the "Prevent Duty" placed on Local Authorities.</li> </ul>	<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 Capacity 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 in place 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>Under delivering of 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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<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. 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 Review Group 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 (SPRG) 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>	↔	2	7	14				
<p>Risk Owner: 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>What we are doing</p> <p>The Operational Property Group (OPG) as a sub-group to the Strategic Property Review Group (SPRG) is to be launched 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 SPRG and (from April/May 2018) 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 by end June 2018.</p> <p>Recruitment of specialist an Asset Management Plan specialist resource commenced in April 2018.</p> <p>The Develop strategies and Implementation plans that ensure the property portfolio remains a major asset in supporting the achievement of corporate aims and objectives will be complete by end March 2019.</p> <p>Development and implementation of a Property Asset Management Strategy - DWG decision (04/04/2018) to recruit specialist Asset Management Plan (AMP) resource to develop the outline business case by July/August 2018 and to inject pace into the production of the AMP the current estimated timescale for completion of the AMP by end March 2019.</p> <p>We are proactively supporting the development of a local development strategy to appropriately reflect Bristol's Infrastructure in line with the Governments grand challenges by March 2019.</p> <p>Recruitment of sufficient resources, to ensure the capacity and skills required are available to enable the objectives from the estate to be delivered will be ongoing.</p>				1	5	5

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<p><b>CRR12: Civil Contingencies and Resilience.</b></p> <p>If the City has a Major Incident, Contractor Failure or the council inadequately responds, then the impact of the event may be increased with a greater impact on people and businesses.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>Major incidents due to factors such as fire, floods, subsidence and extreme weather.</li> <li>Civil disorder or terrorist attack.</li> <li>Major infrastructure failure.</li> <li>Failure of a large main or term contractor.</li> <li>Lack of preparation and foresight.</li> <li>Lack of investment in preventative or responsive measures.</li> <li>Lack of a contingency/business continuity plan.</li> <li>Lack of effective communications.</li> <li>Lack of skilled staff.</li> </ul>	<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 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>↑</p>	2	7	14	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.			

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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> <li>Political failure to facilitate the setting of a lawful budget.</li> <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.</li> <li>Rising inflation could lead to increased costs.</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.</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 are 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>	<p>↑</p>	2	5	10	1	7	7
Risk Owner: S151 Officer and Director of Finance.	Action Owner: Section 151 Officer, Acting Executive Director Resources and Acting Director of Finance.	Portfolio Flag: Finance, Governance and Performance.	Strategy Theme: Our Organisation.					

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			Likelihood	Impact	Risk Rating		Likelihood	Impact	Risk Rating
<p><b>CRR14: Information Governance.</b></p> <p>Introduction of the General Data Protection Regulations (GDPR).</p> <p>If the City Council fails to prepare for successful implementation of the General Data Protection Regulations (GDPR) then it may fail to fully comply with its statutory requirements.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>• Failure to adequately plan for the implementation of the GDPR being introduced in May 2018.</li> <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>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 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>	<p>↑</p>	2	5	10	<p>We have made significant progress on compliance with the General Data Protection Regulations (GDPR). Our next steps are to deliver a Business Case to the Statutory and Policy Board (SPB) in June 2018.</p> <p>This risk has improved within the quarter and will be moved to the Resources Directorate Risk Register to continue to be managed and monitored.</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.						

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<p><b>CRR15: Financial Deficit.</b></p> <p>The council's financial position goes into significant deficit in the current year resulting in reserves (actual or projected) being less than the minimum specified by the council's reserves policy.</p> <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> <li>• Interest rate volatility impacting on the council's debt costs.</li> </ul>	<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, Strategic 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, Strategic Directors will report to prepared for 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 advise all associated Strategic 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: S151 Officer and Director of Finance.	Action Owner: Section 151 Officer, Acting Executive Director Resources and Acting Director of Finance.		Portfolio Flag: Finance, Governance and Performance.			Strategy Theme: Our Organisation.			

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<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> <li>Need to make savings / increase income.</li> </ul>	<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>	↑	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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			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>	<p>↑</p>	1	7	7	<p>We are rolling out the BCC Communications Plan throughout 2018/19 using many channels including face-to-face Management Brief sessions.</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>The Statutory and Policy Board will receive quarterly reporting from Q2. 2018/19 on progress against the Performance Framework.</p> <p>A one-off 'good housekeeping' review of corporate partnerships is planned for Q2 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
<p>Risk Owner: Section 151 Officer, Acting Executive Director Resources.</p>	<p>Action Owner: Acting Director: Policy and Strategy.</p>	<p>Portfolio Flag: Finance, Governance and Performance.</p>			<p>Strategy Theme: Our Organisation.</p>				

**Key internal and external Business Continuity and Civil Contingency Risks to note - Flooding and Brexit.**

Corporate Risk Register as at June 2018 - Internal and External Business Continuity 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>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: Director Transport.	Action Owner: 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.				

Appendix A: Bristol City Council - Corporate Risk Register Report as at June 2018

Corporate Risk Register as at June 2018 - Internal and External Business Continuity and Civil Contingency Risks								
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>Brexit.</b></p> <p>The uncertainty around Brexit (and the resulting 'deal') may have an impact on the local economy, local funding and delivery of council services. The wider ramifications of the decision to leave the European Union are yet to be fully realised and felt in national and local economy. Whilst there will be some opportunities there is also uncertainty that may affect areas of the economy, financial markets, interest and exchange rates, construction, grants from the EU, Investment and other non-financial aspects.</p> <p>We may see a gradual slow down during period of uncertainty. A potential council impact (+/-) on: Inward investment and EU funding which could reduce and could in turn impact on the council, the city's universities, LEP and the housing market, capital costs resulting from increased cost of labour which could slow business rates growth (Inflation risk is reflected within risk 2 and based on latest OBR predictions), workforce pressures e.g. social care providers, procurement costs, inflationary pressures caused by fluctuations in sterling value and potentially a loss of EU grants funding.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>• Gradual slow down during period of uncertainty.</li> <li>• Workforce pressures e.g. social care providers.</li> <li>• Inflationary pressures caused by fluctuations in sterling value.</li> <li>• Loss of EU grant funding.</li> </ul>	<p>The wider ramifications of the decision to leave the European Union are yet to be fully realised and felt in national and local economy. Whilst there will be some opportunities there is also uncertainty that may affect areas of the economy, financial markets, interest and exchange rates, construction, grants from the EU, Investment and other non-financial aspects.</p> <p>The Mayor has in 2016 set up a city-wide response group to better understand the impacts of leaving the EU on our city which now operates virtually - with members updating us on sectoral impact and with the Public Affairs team we are working to ensure that Bristol's interests are represented in the Brexit negotiations, and that the city's voice is heard by UK Government. We have contributed to a national call for information by Government (handled by the Local Government Association (LGA)) seeking input on likely impact of Brexit in different regions. We have lobbied through the Core Cities network seeking clarity over how the Government plans to address the potential EU funding gap.</p>	↔	4	3	12	4	3	12
Risk Owner: Head of Paid Service, Executive Director ACE.	Action Owner: Acting Head of Policy and Public Affairs.	Portfolio Flag: Finance, Governance and Performance.			Strategy Theme: Our Organisation.			

Appendix A: Bristol City Council - Corporate Risk Register Report as at June 2018

Corporate Risk Performance Summary for 'Significant Risks' and 'Event' Risks			Quarter 4 January – March 17/18		Quarter 1 April - June 18/19		Quarter 2 July - September 18/19		Quarter 3 October - December 18/19		Quarter 4 January - March 18/19	
Risk ID	Risk	Risk Owner	Rating	Travel	Rating	Travel	Rating	Travel	Rating	Travel	Rating	Travel
CRR1	Long Term Commercial Investments	Executive Director Growth and Regeneration and Section 151 Officer, Acting Executive Director Resources	4x7=28	↔	3x7=21	↑						
CRR2	IT Infrastructure	Interim Director IT	3x7=21	↔	3x7=21	↔						
CRR3	Asbestos Management	Section 151 Officer, Acting Director Resources	3x7=21	↔	3x7=21	↔						
CRR4	Corporate Health, Safety and Wellbeing	Section 151 Officer, Acting Director Resources	3x7=21	↔	3x7=21	↔						
CRR5	Business Continuity and Council Resilience (Split with CRR3)	Executive Director Communities	3x7=21	↔	3x7=21	↔						
CRR6	Fraud and Corruption	Section 151 Officer, Acting Director Resources	3x5=15	↔	3x5=15	↔						
CRR7	Cyber-attack threats and implications	Interim Director IT	3x5=15	↔	3x5=15	↔						
CRR8	Service Review	Section 151 Officer, Acting Director Resources	4x5=20	↔	3x5=15	↑						
CRR9	Safeguarding Vulnerable Children (Split with CRR8)	Executive Director Adults, Children and Education	2x7=14	↔	2x7=14	↔						
CRR10	Safeguarding Vulnerable Adults (Split with CRR1)	Executive Director Adults, Children and Education	2x7=14	↔	2x7=14	↔						
CRR11	BCC Infrastructure Delivery	Executive Director Growth and Regeneration	2x7=14	↔	2x7=14	↔						
CRR12	Civil Contingencies and Council Resilience (Split with CRR2)	Executive Director Communities	3x7=21	↔	2x7=14	↑						
CRR13	Financial Framework and MTFP	S151 Officer and Director of Finance	2x7=14	↔	2x5=10	↑						
CRR14	Information Governance Introduction of the General Data Protection Regulations (GDPR)	Senior Information Risk Owner (SIRO)	2x7=14	↔	2x5=10	↑						
CRR15	Financial Deficit	S151 Officer and Director of Finance	2x5=10	↔	2x5=10	↔						
CRR16	Leadership	Acting Head of Policy and Public Affairs	4x5=20	↔	2x5=10	↑						
CRR17	Strategy Management	Acting Director of Policy and Strategy	2x7=14	↔	1x7=7	↑						

Business Continuity and Civil Contingency Events Risks to note	Risk Owner	Rating	Travel								
Flooding	Executive Director Growth and Regeneration	3x5=15	↔	3x5=15	↔						
Brexit	Head of Paid Service	4x3=12	↔	4x3=12	↔						

**Risk Matrix**

<b>Likelihood</b>	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 refers to the current level of risk taking into account any 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.

## Appendix A: Bristol City Council - Corporate Risk Register Report as at June 2018

### LIKELIHOOD AND IMPACT RISK RATING SCORING

#### Likelihood Guidance

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

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

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