Corporate Risk Register as at July 2019 – Threat 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
CRR1: Long term commercial investments and major projects capital investment. BCC'S long-term commercial investments and major projects may require greater than anticipated capital investment. Key potential causes are: • The cost is higher than expected. • The project is delivered later than planned. • The operating and maintenance cost of the asset exceeds expectations. • Strategic, geographic, social, financial and economic conditions changing over time. • Oversight of Project Interdependencies not well managed.	We have reviewed Capital Governance arrangements and have established the Capital and Investment 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. The first meeting of the CLB / Capital Board was held on 2 July 2019. Terms of reference and governance arrangements for the Capital Board were agreed, and meet on a monthly basis. The Board will ensure that there is greater rigour and control, including Risk Management, of the Council's Capital Programme. 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. Governance arrangements are in place for the council as a Company Shareholder. The Growth and Regeneration Directorate is responsible for delivery of major infrastructure projects. Some of the key projects include: Harbour Strategy We are looking to secure capital funding to commence in 2019/20 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. We have completed a commercial benchmarking exercise in terms of charges and commercial offering using similar marina sites across the UK. We are constructing a plan around our commercial offering, fees & charges, leases etc. to ensure we are maximising income that can be used to invest in the area. Carrying out condition surveys to assist with the development of a robust maintenance schedule. Temple Quarter For contracts we ensure that robust contingencies are built into the project costs, and secure consultant's advice relating to appropriate risk allocation and reward, and other contractual arrangements. Cattlemarket Road Cabinet approved reallocation of existing budget in January 2019 to enable demolition of the former sorting office to ground level. Colston Hall Consultants were engaged last year to undertake an options appraisal to verify the project in its current format i.e. the scope of the works and ensuring that the correct option has been chosen to make the hall financially sustainable. Cabinet has approved the underwriting of the project to a maximum of £48.8m. The project is progressed through the Southern Construction Framework (administered by Devon County Council). Energy In the last 2 years Bristol Energy has grown significantly however the energy market is extremely complex with strong competition from new and existing energy retailers with high volatility in wholesale prices and the industry is currently subject to price scrutiny from Industry regulators.	↔	3	7	21	A review of the medium term financial plan and capital strategy to develop a longer term financial planning horizon including sensitivity and scenario analysis. This will allow the Council to better manage and understand its long term investments. 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. Harbour Strategy: Colleagues across Growth & Regeneration and Resources Directorates are working together 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. This is progressing and remains under discussion across Resources and Growth and Regeneration Directorates, with the Commercialisation and Citizens Service leading on the Harbour Estate Review. Harbour Condition Survey: 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. Cattlemarket Road: Further funding may be required to discharge the obligations of the City Council under the terms of the sale agreement to the University of Bristol (UoB). Discussions are underway between Commercialisation and Citizens and Property colleagues with the UoB to reach a resolution. Colston hall: Following the instigation of the 10 point plan and the subsequent discussion and negotiation with the preferred contractor engaged through the SCF, Willmott Dixon, BCC successfully entered into a building contract with a contract sum of £36,722,948 on the 28th May 2019 with a revised project budget standing at £52,204,947 (this figure will form the actual project envelope). The said figure of £52,204,947 being made up from the £48,800,000 Cabinet approval plus £3,404,947 WECA funding for Project inflation Work commenced on site 3rd June 2019 with an agreed Contract completion date of 25th October 2021.	1	7	7
Risk Owner: Interim Executive Director Growth and Regeneration, Executive Director Resources and S151 Officer.	Action Owner: Interim Executive Director Growth and Regeneration, Director Finance, Director Commercialisation and Citizens.		Portfolio Flag: Finance, Governance and Performance.			Strategy Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing.			

Resources Directorate Risk Report Summary as at July 2019 Threat Risks to the achievement of Bristol City Councils Objectives.										
			Current Risk Level					**Tolerance Risk Level**		
Risk title and description	**What we have done**	Performance	Likelihood	Impact	Risk Rating	**What we are doing**		Likelihood	Impact	Risk Rating
CRR3: Failure to Manage Asbestos. Failure to manage the asbestos management plan for properties. Key potential causes are: • Staff availability to carry out work plans in a safe way. • Lack of appropriate training. • Lack of oversight and control by local management. • Lack of information on the potential or known risks. • Inadequate contract management arrangements. • Lack of effective processes and systems consistently being applied. • Policies are not kept up to date. • Budget pressures.	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. Funding for Contractor training was agreed in February 2018. 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 & Safety Committees, senior management and executive. Ongoing. Corporate Asbestos arrangements have been reviewed and published on the Source, 12th June 2018. A corporate review of Asbestos arrangements was carried out. Property Services have reviewed their asbestos arrangements. We are holding regular 'Asbestos working group' meetings to progress the management of Asbestos across the authority. Ongoing.	↔	3	7	21	All managers will be informed of reviewed Asbestos arrangements by use of CHaSMS by September 2019. This was originally planned for September 2018. The Housing and Property Service review and updating of the service area Asbestos arrangement procedures This was originally planned for December 2018. Housing are reviewing and updating the service area Asbestos arrangements, as part of a wider action plan to improve the management of Asbestos, following a Corporate Safety review of the Service. Contractor training to inform of BCC's expectations of standards, whilst on our sites. This was originally planned for March 2019 has been delayed. Housing are recruiting a new Health and Safety Post to support effective Health and Safety Arrangements and monitoring end 2019. This was originally planned for May 2019. CHASM process is being reviewed and a specific toolkit for Property "persons in charge" is being created which will enable central monitoring of asbestos arrangements in practice by end September 2019.		1	7	7
Risk Owner: Head of Paid Service and Corporate Leadership Board (CLB) / Director HR, Workforce and Organisational Design, John Walsh	Action Owner: Director of Commercialisation and Citizens (for Corporate Estate) and Director of Housing and Landlord Services (for Social Housing).	Portfolio Flag: Finance, Governance and Performance.				Strategy Theme: Our Organisation.				

Resources Directorate Risk Report Summary as at July 2019 Threat 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**		
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CRR4: Corporate Health, Safety and Wellbeing. If the City Council does not meet its wide range of Health & Safety requirements then there could be a risk to the safety of citizens. Key potential causes are: • If services do not have sufficient staff numbers to carry out work plans in a safe way. • If services are not able to order appropriate equipment required for staff safety. • Lack of appropriate equipment. • Lack of appropriate training. • Lack of oversight and control by local management. • Lack of information on the potential or known risks. • Inadequate contract management arrangements. • Lack of effective processes and systems consistently being applied. • Policies are not kept up to date. • Budget pressures.	The Corporate Health & Wellbeing (HS&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. 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&W) team check the returns and give relevant feedback to the individual Managers and report the overall results to Senior Management. The accident/Incident reporting procedure is in place to monitor injury to colleagues and is communicated. All incidents are subject to the investigation procedure to reduce the potential for any recurrences. 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. 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&S and excessive pressure/ personal resilience is also available. Stress management training and stress risk assessment training is available for managers and employees. 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. 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. Corporate Health and Safety is reported to the Leadership team quarterly using the CHaSMS to help monitor compliance. BCC also has a system of Trade Union Consultation with Health and Safety trained Representatives. Benchmarking and annual reports are provided to BCC along with the annual performance report. All contracts set up with external providers include checking their relevant Health and Safety competency. The council's audit programme monitors compliance with statutory duty and best practices. A review of the Health and Safety Management arrangements was carried out and an improvement plan in place.	⬌	3	7	21	A revised electronic accident /incident database is being developed will be launched in October 2019. A review of the Health and Safety Management arrangements was carried out in and an improvement plan in place which will be monitored at SPB quarterly. Ongoing Business partnering arrangements plan to be put in place by October 2019 to strengthen Director level support for Health and Safety (within existing resources). Working with the Director teams in each Directorate, quarterly reports will be expanded to cover CHASM returns and themes, incidents, training provision compliance. Directorates will be supported to develop action plans. All policies and procedures plan to be reviewed and refreshed by April 2020. CHASMs will be reviewed by end October 2019 to ensure it is risk based; enabling priority to be given to risk areas identified and create a clearer line of sight for Directors on the risks being managed in their business areas. CHASMs will be expanded to include a greater focus on property risk, with a new arrangement for those "persons in charge" for reporting and discussing premises risks and resolution by October 2019. A review of training will be carried out to ensure that all relevant and required training is available. Linked to CHASM review by April 2020. Arrangements for controlling risks of Hand Arm Vibration, Noise and respiratory sensitizers will be carried out, with a supporting Occupational Health Surveillance programme where required by December 2019. A refreshed focus on wellbeing and health is in progress with a plan in place within the Organisational Improvement Plan to focus on mental health by April 2020. Time to Change action plan is planned for April 202O which will be monitored.	1	7	7
Risk Owner: Head of Paid Service and Corporate Leadership Board (CLB).	Action Owner: Director of Workforce Change.	Portfolio Flag: Finance, Governance and Performance.				Strategy Theme: Our Organisation.			

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CRR5: Business Continuity and Councils Service Resilience. 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. Key potential causes are: • Strikes (People, Fuel). • Loss of key staff (communicable diseases and influenza epidemics). • Loss of suppliers. • Loss of accommodation to deliver key services. • Loss of equipment. • Any event which may cause major disruption. • Unavailability of IT and/or Telecoms. • Loss of staff /staff availability. • Knowledge loss. • Reduced chances of preventing/ responding to incidents due to a lack of forward planning or investment.	The council has a Corporate Resilience Group (CRG) supported by directorate representatives who meet quarterly to oversee the council's Business Continuity arrangements and to receive significant risks outside council's Control which are reflected on the Local Resilience Forum Community Risk Register. A number of Policies and procedures are in place including the Business Continuity Policy communicated to relevant staff. The Incident Response Plan updated in July 2017. Service Business Continuity Plans were in place for January 2018, the plans have undergone 'refreshing by services' during 2019. An Incident Management Team training session was carried out October 2018. A Senior Management on-call rota has been devised agreed and is regularly monitored. 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. CLB accepted growth bid for extra staff on CPU team.	↔	3	5	15	Recruitment is in train with staff expected in post in Autumn 2019. The Business Continuity Policy is planned to be reviewed by November 2019. The Corporate Business Continuity Plan will be reviewed by in December 2019. 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. Business Continuity refresher training is planned for November/December 2019.	1	7	7	
Risk Owner: Interim Executive Director Growth and Regeneration / Head of Paid Service.	Action Owner: Director Management of Place.	Portfolio Flag: Finance, Governance and Performance.				Strategy Theme: Our Organisation, Wellbeing.				

Resources Directorate Risk Report Summary as at July 2019 Threat 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**
CRR6: Fraud and Corruption. Failure to prevent or detect acts of significant fraud or corruption against the council from either internal or external sources. Key potential causes are: • Failure of management to implement a sound system of internal control and/or to demonstrate commitment to it at all times. • Not keeping up to date with developments, in new areas of fraud. • Insufficient risk assessment of new emerging fraud issues. • Lack of clear management control of responsibility, authorities and / or delegation. • Lack of resources to undertake the depth of work required to minimise the risks of fraud / avoidance. • Under investment in fraud prevention and detection technology and resource.	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. We take a strong stance when fraud is found and seek financial recovery through a strong and effective counter fraud team. The team concentrates on areas of high fraud risk, investigates fraud promptly where suspected and sanctions appropriately. By, investing in specialist fraud prevention and detection software and utilising cross organisation data will minimise the council's exposure to fraud risk and aid early detection / prevention. An accessible route to report suspected fraud is available to both the public and employees via a Whistleblowing Policy Anti-Fraud, Bribery and Corruption Policy and web page. 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. 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. We have revised the structure of Counter Fraud team and agreed HRA as a funding source for tenancy fraud work. A service agreement is in place period reports are provided to housing to monitor performance of our tenancy fraud work. We have regular meetings taking place with Legal services to ensure cases progress swiftly. Data sets are submitted to the National Fraud Initiative and output received for review. The effectiveness of whistleblowing arrangements is reviewed annually and recommendations made. Arrangements to increase confidence in reporting concerns are currently under review. An audit review of how bribery and corruptions risks are managed has been completed and determined that the risks are understood and managed in the areas most likely to be affected. Some areas of improvement were identified and management actions to address these have been agreed including strengthening the declarations of interest, gifts and hospitality processes.	↔	3	5	15	On-going monitoring of fraud indicators (warning signs and fraud alerts) to ensure anti- fraud approach is correctly targeted (Ongoing). Revised structure of the Counter fraud service agreed and implementation is ongoing. More work to be undertaken with Legal Services to maximise recovery with minimum resource. Analysis of how much 'recoverable' overpayment is recovered is currently under way. Project to develop a data warehouse and potential regional hub is in early stages. Plan and dataset matrix are currently being developed. Ongoing exercises to establish proof of concept are under way. Council wide fraud and avoidance initiatives including: • NNDR Small Business Rate Relief (in progress). • Tenancy fraud key amnesty (March to May 19). • National Fraud Initiative 2018 (data received and being reviewed). • Accounts Payable forensics software. • Personal budgets – data analytics. • Bribery and corruption risk assessment development is underway. • Fraud Policy to be reviewed and updated • New fraud case management system to be explored and implemented before April 2020.	2	5	10
Risk Owner: Executive Director Resources and Director of Finance (S151 Officer).	Action Owner: Director of Finance and Chief Internal Auditor.	Portfolio Flag: Finance, Governance and Performance.				Strategy Theme: Our Organisation.			

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CRR7: Cyber-Security. The Council's risk level in regards to Cyber-security is higher than should be expected. Key potential causes are: • Lack of investment in appropriate technologies. • Reliance on in-house expertise, and self-assessments (PSN). • Lack of formal approach to risk management (ISO27001). • Historic lack of focus.	Budget provision for Cyber Security was allocated within the Future State Assessment Plan (FSA) as approved by Cabinet June 2018. Independent full security assessments have been carried out November 2018. Increased training - Phishing attacks November 2018.		3	7	21	ICT are working closely with the Council's SIRO to improve the approach to all aspects of Information Assurance (including adoption of ISO27001). In addition to this, ICT are working with the Resources Executive Director and colleagues to review and enhance the current policies and strategies pertaining to Information Management. The FSA Programme currently has plans to implement technology platforms to move the Council from file storage to document storage platforms, increase team collaboration without use of email, implement file retention policies, introduce document marking and rights management, implement data classification and improve federated search across structured and unstructured data stores. The FSA Programme will align with the new Information Assurance approach and the strategy set by the Council's SIRO, as direction becomes clear. As well as technical controls, the ICT team is currently undertaking a Phishing attach exercise where we are sending emails to staff to see how users react to this type of Cyber Attack. Anyone clicking on links is directed towards targeted training. We will use the outcome of this exercise to inform on how we improve non-technical controls and training in future. ICT will continue to work with the SIRO to develop appropriate targeted training. We are currently recruiting for a Head of Information Assurance.	1	5	5
Risk Owner: Senior Information Risk Owner (SIRO).	Action Owner: Director, Digital Transformation.	Portfolio Flag: Finance, Governance and Performance.				Strategy Theme: Our Organisation.			

People Directorate Risk Register Summary Report as at July 2019 – Threat Risks to the achievement of Bristol City Councils Objectives.				Current Risk Level				Tolerance Risk Level		
Risk title and description	What we have done	Performance	Likelihood	Impact	Risk Rating	What we are doing	Likelihood	Impact	Risk Rating
CRR9: Safeguarding Vulnerable Children. The council fails to ensure that adequate safeguarding measures are in place, resulting in harm or death to a vulnerable child. Key potential causes are: • Safeguarding arrangements do not meet the requirements of the Children Act and associated legislation, guidance and regulations. • Inadequate controls result in harm. • Poor Management and operational practices. • Demand for services exceeds its capacity and capability. • Inability to recruit/retain social care staff in a competitive market. • Poor information sharing. • Strategic commissioning arrangements do not meet identified need and our ability to commission safe care for children is impaired. • Increase in complex safeguarding risks, criminal exploitation, serious youth violence and gang affiliation.	We provide regular analysis of performance and reports to Cabinet Members and Directors regarding safeguarding performance and progress. The Safeguarding Children's Board provides independent scrutiny of children's safeguarding arrangements in the city and holds BCC and partner agencies to account. 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. BCC works with partners to effectively identify victims and perpetrators of CSE and take action to disrupt and protect. Multi Agency Public Protection Arrangements are in place (MAPPA) with BCC contributors at every level to support family safeguarding. 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. 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 and quality assurance framework. September 2018 Ofsted ILACS single inspection identified that, 'services have improved substantially for care leavers, children in care and children in need of help and protection.' However, there is more to do to ensure *all* children and families receive a good service. Based on this and self-evaluation, we are refreshing our transformation and improvement plan to address areas identified for improvement (these incorporate actions in response to learning from other Inspections, Peer Review, Serious Case Review, complaints and other feedback received). 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. Bristol has an active workforce 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. Information sharing protocols are in place with services taking action to comply with GDPR where sensitive data is stored/processed. Children's strategic commissioning team have a work plan in place. BCC commissioners work closely with operational services to identify need and ensure appropriate service commissioning. Due diligence and quality checks of all commissioned services for vulnerable children are in place.	⬌	2	7	14	Safeguarding Board and related arrangements are under review, with the aim of improving efficiency and effectiveness, and ensuring robust governance arrangements continue to hold multiagency partners (inc. BCC) to account. Ongoing action is being taken to extend information sharing arrangements and improve response to children at risk of criminal exploitation and going missing following CSE/Missing National Working Group recommendations. Under the delivering of Strengthening Families Programme we have an ongoing plan to: • Reduce caseloads of social care practitioners. • Ensure purposeful practice that supports children to live safely within their families and provide local authority care for those who need it. • Ensure effective management oversight is evident on all children's records. Measures to improve recruitment and retention of Social Workers will be presented through the Decision Pathway in September 2018. This should allow us to work proactively where poor practice is identified. In response to an identified and increasing risk of serious youth violence, criminal exploitation a multiagency plan is being developed and implemented, focussing on primary, secondary and tertiary prevention.	1	7	7
Risk Owner: Executive Director, People.	Action Owner: Director Children's and Families Services.	Portfolio Flag: Children and Young People.				Strategy Theme: Our Organisation, Empowering and Caring, Wellbeing.			

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CRR10: Safeguarding Adults at Risk with Care and support needs. The council fails to ensure adequate safeguarding measures are in place, Adults at risk. Key potential causes are: - Adequacy of its controls. - Management and operational practices. - Demand for its services exceeded its capacity and capability. - Poor information sharing. - Lack of capacity or resources to deliver safe practice. - Failure to commission safe care for adults at risk. - Failure to meet the requirements of the "Prevent Duty "placed on Local Authorities.	The Safeguarding Adults Board is an independent scrutiny board led by BCC alongside our statutory in partner and 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). 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. Safeguarding improvement plans are in place for Older People, Physical Disability and Disabled Children and the Capability framework for safeguarding and the mental capacity act have been introduced. The Adult Change Programme ' Better Lives' - Transforming Care Programme has been established to implement policy objectives of moving people into more suitable care settings. We have an active strategy in place to attract, recruit and retain social workers through a variety of routes with particular emphasis on experienced social workers. The Adult South West Recruitment and Retention Strategy has been drafted, the risks and costs identified. The strategy will be presented through the Decision Pathway. Regular strategies and campaigns support the recruitment and retention of high calibre social workers and managers, with competent agency social workers and managers used on temporary basis to fill vacancies. 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. 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. The outcome of the recent Kamil Ahmad Safeguarding Adults Review has been considered in detail and all recommended actions noted and acted upon.	↔	2	7	14	Social workers working with Multi-agency partners supporting Adults and elderly people to live safety within their families and community. We are increasing capacity this year in the commissioning team to lead on monitoring quality in the care sector. Improving the quality services for those who need it and ensuring effective management oversight. It is planned to make a one off retention payment to all social workers as part of the council's retention policy. A wider review of the remuneration package for social workers is planned to improve recruitment and retention. Review of the Safeguarding Pathway is planned for April 2020. We are transforming the Safeguarding Adults Board		1	7	7
Risk Owner: Executive Director, People.	Action Owner: 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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CRR11: Bristol City Council (BCC) Infrastructure Delivery. 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. It makes 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. Key potential causes are: • No clear strategic direction and objective set for the Property estate. • Services and resources (human and financial) are not fully aligned and/ or controlled to deliver the objectives. • Failure to deliver the level of anticipated Capital Receipts. • Leadership capacity, engagement and capability are insufficient to drive change and transformation within the council. • 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. • Ineffective collection, integrity and use of data and information. • Infrastructure Condition and suitability of overall asset base is not being used or managed efficiently or effectively. • Lack of joined up planning, decision making and effective project management. • Ineffective collection, integrity and use of data and information. • Reduced public sector funding impacting on the resources available. • Currently a more uncertain future due to Brexit.	Governance arrangements have been established through the Growth and Regeneration (G&R) Board and the Strategic Property 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. The G&R Board 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. AGR is regularly reviewed and re-prioritised by the G&R Board. The Strategic Property Group (SPG) was established in January 2018 and meets on a monthly basis. The SPG identified the need for an Operational Property Group in March 2018. Remit and membership of both groups was reviewed and re-lauched in April 2019. Corporate Leadership Board identified the need to re-establish a Capital Board which existing until December 2016. The first meeting of the CLB / Capital Board was held on 2 July 2019. Terms of reference and governance arrangements for the Capital Board were agreed, and go-going forward the Capital Board will meet on a monthly basis. The CLB / Capital Board will ensure that there is greater rigour and control, including Risk Management, of the Council's Capital Programme. Bristol Transport Board established in January 2019 and Bristol Transport Strategy. The latter sets the framework and will hold us to account for delivery.	⬌	2	7	14	The Operational Property Group (OPG) as a sub-group to the Strategic Property Group (SPG) was launched in September 2018 to unlock the value of assets, seek efficiencies through joint arrangements with public sector partners and maximise private sector investment. Actions are now being progressed through the work of the SPG and (from April/May 2018) through OPG which will adopt 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. Recruitment of specialist Asset Management Plan resource was agreed in April 2018. Work on outline business case for the Asset Management Plan is progressing, and on-going. 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 well advanced by end March 2019. 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 Property Strategy work is on-going as at July 2019, and progress with this and delivery of the AMP is subject to regular discussion at the Strategic Property Group (SPG) which meets monthly. This item is on the agenda at the next SPG Meeting on 22 July 2019. We are proactively supporting the development of a local development strategy to appropriately reflect Bristol's Infrastructure needs. Recruitment of sufficient resources, to ensure the capacity and skills required are available to enable the objectives from the estate to be delivered. A key action arising from the first meeting of the Capital Board is for Growth and Regeneration Directorate to hold workshops to review its Capital schemes with a view to pausing / stopping / reprioritising where appropriate. Review of Areas of Growth and Regeneration and agree new approach.	1	7	7
Risk Owner: Interim Executive Director Growth and Regeneration.	Action Owner: Director Management of Place.	Portfolio Flag: Finance, Governance and Performance.				Strategy Theme: Our Organisation			

Corporate Risk Register as at July 2019 – Threat Risks to the achievement of Bristol City Councils Objectives.										
			Current Risk Level					**Tolerance Risk Level**		
Risk title and description	**What we have done**	Performance	Likelihood	Impact	Risk Rating	**What we are doing**	Likelihood	Impact	Risk Rating	
CRR12: Failure to deliver suitable emergency planning measures, respond to and manage emergency events when they occur. Key potential causes are: • Critical services unprepared or have ineffective emergency and business continuity plans and associated activities. • Lack of resilience in the supply chain hampers effective response to incidents. • Lack of trained and available strategic staff. (Previously Civil Contingencies and Council Resilience).	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. 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 to ensure a coordinated health services and Public Health England and planning, response is in place. A system is in place for ongoing monitoring of severe weather events (SWIMS). Emergency planning training has been rolled and a multi-agency exercise is regularly conducted to test different elements of BCC emergency arrangements with partners. The most recent exercises being Day Two May 2018, Dark Zodiac April 2018, Saxon Resolve November 2017 and major COMAH training exercise in November 2018 (Operation Spitfire). A senior management on-call rota has been devised, agreed and is monitored. Emergency Reservists have been recruited to aid emergency responses. External IT security incidents are logged and reviewed from an IT and wider Information Governance perspective. 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 Incident Management Plan. Note 120+ volunteers recruited to support city response to incidents. Active volunteer agency group pulling voluntary resources together to be available to incidence response.	↔	2	7	14	We need to continue to strengthen our joint, multi-agency working arrangements with responder organisations in the City. An 'Introduction to Emergency Planning' e-learning package will be available for all staff by December 2019. Recruitment and training of additional Emergency Centre Managers and Emergency Volunteers is ongoing. Training sessions delivered and ongoing. An Emergency Centre live exercise was planned for November 2018. However this was postponed, although smaller training exercises have been completed. The corporate exercise is now planned for Nov 2019. Training for ABS staff to support incident response and recovery (admin, logging and logistics) is ongoing. We are embedding lessons from Exercise Day Two, particularly around housing capacity, community engagement and mutual aid. A report is planned for the Corporate Resilience Group (CRG).	1	7	7	
Risk Owner: Interim Executive Director Growth and Regeneration.	Action Owner: Director Management of Place.	Portfolio Flag: Finance, Governance and Performance.				Strategy Theme: Our Organisation, Wellbeing.				

Resources Directorate Risk Report Summary as at July 2019 Threat Risks to the achievement of Bristol City Councils Objectives.										
			Current Risk Level				Tolerance Risk Level			
Risk title and description	What we have done	Performance	Likelihood	Impact	Risk Rating	What we are doing	Likelihood	Impact	Risk Rating	

CRR13: Financial Framework and MTFP.
 	
Failure to be able to reasonably estimate and agree the financial 'envelope' available, both annually and in the medium-term and the council is unable to set a balanced budget.
 	
Key potential causes are:
• Failure to achieve Business Rates income- appeals/ general economic growth/loss of major sites (in budget setting).
• Economic uncertainty impact on locally generated revenues - business rates and housing growth, impacting on council tax, new homes bonus and business rate income.
• Brexit - the general uncertainty affecting the financial markets, levels of trade & investment.
• Governments spending review 2019.
• Inadequate budgeting & budgetary control/Financial Settlements & wider fiscal policy changes:
  ▪ The potential for new funding formulas such as fair funding, business rates retention to significantly reduce the government funding available to the council alongside possible increase in demand for council services.
  ▪ Embedding of the new national funding formula for schools and High Needs.
  ▪ Political failure to facilitate the setting of a lawful budget.
  ▪ Unable to agree a deliverable programme of propositions that enable the required savings to be achieved.
  ▪ Insufficient reserves to mitigate risks and liabilities and provide resilience.
  ▪ Rising inflation could lead to increased costs.
• Judicial review.
	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.
	
	The council has developed a strong rolling Medium-term financial planning process to enable the strategic objectives and the 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:
	• The maintaining of the evolving financial model that reflects in a timely manner changes in national and local assumptions.
	• The level of reserves and balances are regularly reviewed to ensure that account is taken of any financial /economic risk and the adequacy of general reserves is determined as part of this exercise.
	• Financial Regulations and Financial Scheme of Delegation is in place.
	• 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.
	• Changes to savings in year are monitored by delivery executive.
		↔	2	5	10	The development of the finance team remains a key priority which will include commercial and business acumen. This will be an ongoing and aligned with professional development. Ongoing.
						
						Ensuring that Bristol City Council are engaged with or receiving timely feedback from the range of Government working groups exploring future local funding. Ongoing.
						
						Review of the medium term financial plan, capital strategy and developing a financial sustainability strategy by December 2019.
						
						A review will be ongoing to identify a programme of propositions that exceed the forecasted budget gap to provide members with options and headroom for variations in financial estimates.
							1	5	5	

Risk Owner: S151 Officer and Director of Finance.	Action Owner: Section 151 Officer, Executive Director Resources and Director of Finance.	Portfolio Flag: Finance, Governance and Performance.				Strategy Theme: Our Organisation.				

Resources Directorate Risk Report Summary as at July 2019 Threat 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
CRR15: Financial Deficit. 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. Key potential causes are: • A failure to appropriately plan and deliver savings unscheduled loss of material income streams. • Increase in demography, demand and costs for key council services. • The inability to generate the minimum anticipated level of capital receipts. • Insufficient reserves to facilitate short term mitigations, risks and liabilities. • Interest rate volatility impacting on the council's debt costs. • Impairments in our commercial Investments are realised.	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. Corporate Revenue Monitoring Reports with identified risks are reported to Cabinet, overspending departments prepare action plans with responsible Directors identified. The ongoing review and due diligence of all budget savings by Delivery Executive, Corporate Leadership Board and the Executive. The pipeline of propositions to be incorporated into the tracker, due diligence undertaken and subject to DE governance and assurance process. The ongoing regular monitoring reports to Corporate Leadership Team and Cabinet. Setting out progress on delivery of savings and other risks and opportunities in addition to the forecast expenditure. We have continual oversight and ongoing management of the council's financial risks. Internal audit also undertakes a number of reviews of our financial planning and monitoring arrangements.	⬇	2	5	10	The likelihood of this risk has increased slightly due to the start of a new financial year. It is expected as mitigations to overspends are put in place this will reduce to a tolerable level. A review of robustness of forecasting in light of YTD run rates and other associated evidence. 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. 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). Where viable in year recovery/delivery plans cannot be achieved, Strategic Directors will report to Full Council (in accordance with the Budget & Policy framework) to seek agreement to a supplementary estimate (> £1,000,000 for an area of activity). 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. We will carry out a re-assessment of service delivery risks and opportunities and risk and other reserves. Working with external advisors to undertake due diligence of commercial investments to provide the council with Assurance and further opportunities to explore. Ensuring we get our accounts certified is important to ensure that we have properly accounted for the resources we have used during the year.	1	5	5
Risk Owner: S151 Officer and Director of Finance.	Action Owner: Section 151 Officer, Executive Director Resources and Director of Finance.	Portfolio Flag: Finance, Governance and Performance.				Strategy Theme: Our Organisation.			

Corporate Risk Register as at July 2019 – Threat Risks to the achievement of Bristol City Councils Objectives.										
			Current Risk Level					**Tolerance Risk Level**		
Risk title and description	**What we have done**	Performance	Likelihood	Impact	Risk Rating	**What we are doing**		Likelihood	Impact	Risk Rating
CRR18: Failure to deliver 2000 Homes per annum by 2020 of which 800 are affordable. The risk of failing to deliver the range of housing to meet Bristol's needs and not realise the ambition to deliver 2000 homes per annum by 2020 of which 800 are affordable. Key potential causes are: • Not enough planning applications submitted • Not enough permissions granted • Inability of the housebuilding industry to deliver at this level. • Increased uncertainty in the market due to Brexit • Lack of capacity within the council's delivery system and the local market. • Insufficient housing land identified in Planning documents	Secured planning permissions. Secured additional grant funding for infrastructure. Releasing land. Issuing grants to Registered Providers (RPs). Established Local Housing Company (Goram Homes) Secured funding from Homes England under HIF and Accelerated Construction and Community Development in order to release further housing land.	⬆	2	5	10	We are addressing all areas of provision including: Community Led Housing (CLH), Registered Providers (RPs) and Direct Delivery, (New Council Homes). We are carrying out a Service Review of Housing Delivery Team. Significant land release programme to RPS. We are looking at opportunities to fund the acquisition of additional units in developments on site External funding bids have been made to secure infrastructure funding to accelerate delivery.		1	5	5
Risk Owner: Interim Executive Director Growth and Regeneration.	Action Owner: Director Development of Place.	Portfolio Flag: Housing.				Strategy Theme: Fair and Inclusive.				

Corporate Risk Register as at July 2019 – Threat 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
CRR19: Tree Management. Risk of trees falling as a result of failure under certain weather conditions and/or due to disease Key potential causes are: • Severe weather conditions and/or disease. • Lack of maintenance of trees. • Lack of tree inspections. • Reduction in budgets and fragmentation of management of trees across service areas putting pressure on the ability to adequately manage the council's trees.	Analysis work on trees is underway by the tree team. Cabinet report in June was agreed including re-procuring the tree management contract to create additional capacity to manage all off the councils trees. The cost of this will be covered by the departments on whose land the trees are situated - more finance work is needed on this. One additional officer is also needed to complete the analysis and provide ongoing management for the additional trees, the report proposes recruiting to this role and using the Parks reserve to pay for this until the role can be mainstreamed into the council's revenue budget.	⟷	3	5	15	Budget for 19/20 is available to continue tree analysis and maintain trees on the existing contract. Budget for new contract is proposed to be from land owning departments this needs to be confirmed by finance and departments.	1	5	5
Risk Owner: Interim Executive Director Growth and Regeneration.	Action Owner: Director Management of Place.	Portfolio Flag: Communities.				Strategy Theme: Our Organisation, Wellbeing.			

Resources Directorate Risk Report Summary as at July 2019 Threat 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
CRR21: Information Governance. **General Data Protection Regulation (GDPR) compliance.** If the Council fails to maintain a defensible and compliant response to the Data Protection Act 2018 and General Data Protection Regulation (GDPR) then it will fail to fully comply with its statutory requirements. Key potential causes are: • Failure to invest in the required systems, equipment and posts required to implement these regulations. • Failure to adequately train staff in the requirements of the regulations. • Lack of resource (capacity or expertise) to manage Subject Access Requests. • (This risk replaces CRR14 Introduction of the General Data Protection Regulation).	The GDPR Project was started in November 2017 and has put in place a comprehensive council wide package of changes for the introduction of the new regulation. It included awareness training, data audits, updated contracts, retention policy and privacy notices and improved processes for responding to subject access requests and completing data protection impact assessments. Support has also been provided to elected Members, Schools and the Bristol Companies. The GDPR Project completed its objectives and deliverables and was formally closed July 2018. A newly formed Office of Data Protection has been established, led by a dedicated Statutory Data Protection Officer (SDPO) who was appointed August 2018 to ensure the City Council maintains and further enhances its policies and procedures and to provide ongoing advice, guidance and support to service areas. Additional Data Protection specialists have also been appointed to support the SDPO. A Steering Group and Working Group is in place and regular reports continue to be provided to Executive Directors Meetings (EDM's) to ensure that the high-level of engagement and buy-in across all levels of the organisation is maintained. Improved data breach reporting for EDM's from December 2018. Updated Source pages in January 2019. Budget prepared and bid for growth approved in February 2019. Improved PIA process and PIA register in February20 19. Business Continuity plan produced and updated to reflect new IG Service in March 2019.	↑	2	5	10	We have made significant progress on compliance with the General Data Protection Regulation (GDPR). The Office of Data Protection is working on a prioritised programme of work to fully transition from the GDPR Project and embed GDPR compliance into business as usual. We are embedding a new Information Governance team, which has brought together existing specialists into a central team to provide advice guidance and support on all related aspects in a more coordinated manner. Continuing delivery of prioritised objectives to embed GDPR compliance, in this quarter we are working on: • New starters induction and awareness training • Training for offline staff • Reviewing procurement templates • Reviewing data protection policies • Progressing the business case for a privacy management system (with Head of Service and Director) • Implementing Prescient+ case management system • Team training plan.	2	3	6
Risk Owner: Senior Information Risk Owner (SIRO).	Action Owner: Senior Information Risk Owner (SIRO) and Statutory Data Protection Officer (SDPO).	Portfolio Flag: Finance, Governance and Performance.				Strategy Theme: Our Organisation.			

Resources Directorate Risk Report Summary as at July 2019 Threat 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
CRR22: Partnerships Governance If the council does not maximise (or cannot quantify) the benefits of partnership working and/or experiences negative or counter-productive results may arise from partnership working. Key potential causes are: • Failure to establish and/or manage contracts, Service Level Agreements and/or Terms of Reference in relation to partnerships. • Not maintaining a central register of partnerships, membership, governance arrangements and performance measures. • No identified lead officer to progress development of partnership working as in proposals presented to the Audit Committee in April 2016. • Outdated partnership policy and toolkit (last iteration 2010). • A broad range of partnerships with variable degrees of formality.	BCC has close involvement of Elected Mayor and Members in key partnerships. Regular review and evaluation of the current position by CLB. Leads have been defined for recommendations to develop partnership working which were received by the Audit Committee in April 2016. BCC has mechanisms in place for regular dialogue including formal partnerships. The role of Director: Policy and Strategy has been expanded to include oversight of partnerships and a permanent appointment to this post has been made. A refreshed Partnerships Policy has been drafted. (June 2019). Scoping and reviewing the need for Commercial Training for relevant managers as part of Procurement and Commercial Strategy. Created a central partnership register.	⬌	3	3	9	We are reviewing and refreshing the Partnership Policy and Toolkit by August 2019. Creating a central Partnership Register including Service Level Agreements (SLAs), Terms of Reference (Terms of reference) and contracts where appropriate. Creating a template terms of reference by August 2019. We are scoping and reviewing the need for appropriate procurement training for relevant managers as part of Procurement Strategy.	2	3	6
Risk Owner: Head of Paid Service.	Action Owner: Head of Delivery Support Unit.	Portfolio Flag: Finance, Governance and Performance.				Strategy Theme: Our Organisation.			

People Directorate Risk Register Summary Report as at July 2019 – Threat Risks to the achievement of Bristol City Councils Objectives.									
			Current Risk Level				**Tolerance Risk Level**		
Risk title and description	**What we have done**	Performance	Likelihood	Impact	Risk Rating	**What we are doing**	Likelihood	Impact	Risk Rating
CRR23: Better Lives Programme. Failure to deliver the required outcomes and savings from the Better Lives Programme, whilst delivering against our statutory duties and maintaining quality services. Key potential causes are: • Increased demand and complexity of Service Users' needs. • The Provider Market is unable to meet needs in the required way and/or we suffer relationship breakdown. • Other Directorates within the organisation are unable to support the Programme in the way required. • Statutory requirements of Adult Social Care (ASC) mean resources have to be diverted away from Programme activity. • Changes to the priorities of the wider health system and/or the National context, requires us to divert resources/focus away from the Programme's objectives. • There is a lack of sufficient skills and capacity within Adult Social Care (ASC) to deliver the required change at the required pace. • Focus on savings, demand management and specific areas of the service creates risk in other areas of adult social care where we have a statutory duty to deliver	We have a Programme Board in place that meets monthly and has a key governance role for the Programme in terms of managing risk. The Board membership contains the Cabinet Lead for Adult Social Care, The Executive Directors for ACE and Resources, the Director of Adult Social Care and representation from both Bristol Hospital Trusts and the Clinical Commissioning Group (CCG). They are provided with a verbal update and written monthly highlight report that contains key risks and issues. Any actions and decisions arising are minuted with completion tracked through a log. The Programme Senior Responsible Officer (SRO) regularly attends key internal governance meetings e.g. ACE Scrutiny Commission, Delivery Executive. The programme appointed a dedicated Senior Professional Lead who works within Adult Social Care to oversee delivery of the programme outcomes and act as the lead Business Change Manager. We have delivered and are planning to deliver a number of key interventions to improve the diversity of provision and the Provider Market's ability to respond to changing requirements and needs e.g. Bristol Price introduced for residential and nursing care June 2018; Market Position statement provider event held .We are actively increasing opportunities to work with us in shaping the future market as well as investing in key areas such as Home Care (Cabinet approved rate rise and innovation fund July 2018). We are working closely with other areas of the Council we have a dependency on to help us deliver the programme outcomes e.g. Change Services, Housing, Communities, Information Communication Technology (ICT) and Procurement colleagues. We have a specific area of the Programme dedicated to strengthening partnership working. We have introduced a number of interventions that are impacting new demand e.g. the introduction of the Bristol Price (June 2018); increased capacity and investment in Home Care (July 2018); increased capacity in the Reablement Service; Introduced a new Home First Service (October 2018). .	↔	2	7	14	We are currently developing a new phase of the Better Lives Programme, focused on delivering the programme vision at pace. This will include activities to deliver further changes which are required around Older People's services and an increased focus on Adults of Working Age and Preparing for Adulthood. Piloting provider reviews to increase capacity in our Reviewing Teams and further develop the Market. (November 18) Developing for a new Assistive Technology offer. Completing the delivery of proposals new technology and working practices to our Social Workers. Completing the delivery of proposals new technology and ways of working to our Home First and Reablement teams. Continue to increase the capacity of the Reablement service to the required level, Continuing to discuss dependencies between Healthier Together and Better Lives with programme leads. Implement Phase 2 of the Integrated Care Bureau. Introducing a further rate increase for Home Care. April 2019. Opening two new Extra Care Housing sites in the City each with 60 units with BCC nomination rights 100 units in total). Which has been delay from November 2018 to the end of Q4 18/19.	1	7	7
Risk Owner: Executive Director, People.	Action Owner: Director Adult Social Care.	Portfolio Flag: Adult Social Care.				Strategy Theme: Our Organisation, Empowering others and Caring, Fair and Inclusive, Well connected, Wellbeing.			

Corporate Risk Register as at July 2019 – Threat 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
CRR24: Procurement and Contract Management Compliance Failure to ensure that BCC: • Achieves value for money when purchasing goods and services. • Complies with legislation (including the risk of legal challenge), quality and cost. • Meets social value requirements for contract awards. • Ensure orders for goods / services are efficiently placed and observes agreed terms. • BCC do not take into account long term view with regards to TCO (Total Cost of Ownership) & Life Cycle Costs. • High incidence of non-contracted spends. Key potential causes are: • Poor / weak pre procurement forward planning and tender specifications. • Over reliance and inappropriate use of waivers. • Skills / knowledge gaps. • Ineffective Supply chain and market engagement. • Poor / weak contract monitoring. • Supplier failure and missed opportunities of warning signs. • Resourcing and personnel gaps in the Procurement Service.	In 2018/19 BCC adopted a Category Management approach and revised the structure of the procurement team to reflect the principles and methodology A PFI contract management specialist has been appointed to support the council and other stakeholders in the management of the contracts, undertake due diligence to ensure maximum value is delivered from the councils PFI contracts. Ongoing. Council procurement rules were revised and agreed by Full Council in May 2018 and included strengthening procurement forward planning and Contract Management. Category Plans have been developed with forward plans which align to service and business plans. More in-depth performance Data is being collated to give greater visibility of compliant and non-compliant procurement activity and delivery of objectives e.g. Social Value. Ongoing. The Commissioning and Procurement Group are in place to ensure that the Councils procurement rules are adhered to. Ongoing. A pilot tracker system has been developed with Social Care Commissioners within the business to monitor performance to capture early warning signs linked to supplier failure to enable early intervention and business resilience.	↔	3	5	15	We are aligning category management forward plans with 2019/20 service resource planning across the organisation. We are developing an improvement action plan which will include the following: • Further development of the contract register. • Training and development plan for the procurement staff and the wider organisation. • Systems and processes to standardise and improve the monitoring of procurement performance. • Procurement efficiencies are to be tracked in delivering agreed savings targets. • Further reviewing and where appropriate streamlining key processes, for example the Commissioning Procurement Group (CPG). • Seeking external support to both advance contract reviews to deliver savings and efficiencies as well as support knowledge transfer and upskilling within the service. • Implementing the new Social Value Policy and toolkit for measuring, monitoring and reporting additional benefits. • Improving engagement within and across Services to enhance forward planning and driving down reliance on use of waivers. Tendering processes are being reviewed to eliminate non-value added activity and support the appropriate route to market. The early warning system pilot will be reviewed with a view to wider rollout. This is not an exhaustive list and once the improvement plan has been endorsed it will inform on next steps – end of Qtr. 4.	1	5	5
Risk Owner: Section 151 Officer, Executive Director Resources.	Action Owner: Director Finance (Section 151 Officer).	Portfolio Flag: Finance, Governance and Performance.				Strategy Theme: Our Organisation.			

Resources Directorate Risk Report Summary as at July 2019 Threat 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
CRR25: Suitability of Line of Business (LOB) systems The Councils reliance on legacy systems. Key potential causes are: • Lack of desire to change; systems. • Significant transition activity leads to systems being. expensive/complex to change • Lack of understanding of consequences of not changing systems on ICT. • Lack of adherence to Procurement rules in relation to re-procurements.	The FSA Programme plans to introduce a number of enhancements in regards to being able to better manage systems in the future. This includes the provision of some core capabilities which may be used to displace legacy systems in the future. As approved by Cabinet June 2018. As a result of FSA Programme activity to date, c40% of redundant servers have been removed from the Corporate IT estate. Q3 2018. The IT CSRM Team have developed a schedule of contract end dates, and are working with service areas to ensure that they have appropriate plans in place to engage the market and start re-procurement Q3 2018. Through the service planning process, service areas have identified their procurement requirements and also their strategic objectives for 2019/20 which has enabled ICT and Change Management to review the options for efficiencies and to ensure resource availability. Q3 2018. Working with Central Procurement colleagues to ensure that we have procurement policies and strategies in place to enable effective procurement activity to take place. Q3 2018.	⬇	4	5	20	Ensure that Line of Business (LOB) systems that pose a Cyber Security, Procurement or Resilience/Recovery risk are identified and service areas understand the risks to their services. On-going. Where appropriate ensure that these risks are articulated to Risk, BCP and procurement colleagues, and also to the SIRO, as appropriate. On-going. Delivery of the FSA Programme remains the key ICT activity. This will be delivered in line with the 2-3 year FSA Programme. Legacy systems highlighted within the Service Risk Registers included: Legal Business Case, Claims Management, GDPR MORIS system.	2	5	10
Risk Owner: Senior Information Risk Owner (SIRO) for Cyber Security Service Areas for BCP/DR.	Action Owner: Director, Digital Transformation.	Portfolio Flag: Finance, Governance and Performance.				Strategy Theme: Our Organisation.			

Resources Directorate Risk Report Summary as at July 2019 Threat Risks to the achievement of Bristol City Councils Objectives.										
			Current Risk Level					Tolerance Risk Level		
Risk title and description	What we have done	Performance	Likelihood	Impact	Risk Rating	What we are doing		Likelihood	Impact	Risk Rating
CRR26: ICT Resilience The Councils ability to deliver critical and key services in the event of ICT outages, and be able to recover in the event of system and/or data loss. Key potential causes are: • Poor BCP planning and understanding of key system architecture. • Untested DR arrangements including data recovery. • Untested network reconfiguration to alleviate key location outage. • Untested recovery schedules in terms of order and instructions • Lack of resilience available for legacy systems (single points of failure – people and technology). • Services undertaking their own IT arrangements outside of the corporate approach.	Resilience has been implemented within the Corporate Network to ensure that the network remains active and available in the event of a building becoming unavailable or a circuit being interrupted. Work to date. Backups are held within, and external, to the corporate network to ensure availability. Work to date. The FSA Programme has the movement to more resilient hosting as part of a core deliverable. Utilising cloud hosting improves resilience and recovery and enables access to key systems from outside of the corporate network, and if necessary, from non-corporate devices. As approved by Cabinet June 2018. The FSA Programme includes the review of future DR arrangements with the move to cloud for most services, and a move to crown hosting for remaining, servers. As approved by Cabinet June 2018. The FSA Programme includes work to aid with the survivability and recovery of Cyber Security Incidents which will aid the resilience of key Council systems. As approved by Cabinet June 2018.	⬆	2	7	14	A test of current Disaster Recovery arrangements is due within Q4 2018/19. Ensure that Line of Business (LOB) systems that pose a Resilience/Recovery risk are identified and service areas understand the risks to their services within their BCP planning. On-going. Delivery of the FSA Programme remains the key ICT activity. This will be delivered in line with the 2-3 year FSA Programme.		2	5	10
Risk Owner: Head of Paid Service and Service Area Leads.	Action Owner: Director, Digital Transformation.	Portfolio Flag: Finance, Governance and Performance.				Strategy Theme: Our Organisation.				

Corporate Risk Register as at July 2019 – Threat 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
CRR27: Capital Transport Programme Delivery Management of the overall transport capital programme is key to ensuring we deliver against mayoral priorities in the most cost and time efficient way possible. Failure to do so negatively impacts the council's reputation and finances and makes the council less likely to reduce congestion, air pollution and inequality. Key potential causes are: • Overspend on individual schemes leading to uncontainable cost pressures. • Underspend on annual profile. • Lack of coordination and programme management across divisions.	Transport Programme Team set up. Transport Delivery Board set up. Shared paperwork and highlight reporting process initiated. Regular briefings and reporting to senior management and cabinet members. 5 year capital programme mapping process underway.	⬆	3	5	15	Transport department split which could endanger work done to date working on ways to mitigate this. Raising concerns to senior management. Retaining Transport Management Team (TMT) meetings. Continuing to develop Transport Planning Team (TPT), Transport Development Board (TDB) and highlight report processes. 5 Year mapping ongoing, 19/20 programme mapped and ongoing. Project prioritisation through WECA Programmes and Programme Management.	2	5	10
Risk Owner: Interim Executive Director Growth and Regeneration.	Action Owner: Director Management of Place.		Portfolio Flag: Communities.			Strategy Theme: Our Organisation, Wellbeing.			

Corporate Risk Register as at July 2019 – Threat 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
CRR29: Information Security Management System. There is a risk that if the council does not have an Information Security Management System then it will not be able to effectively manage Information Security risks. Key potential causes are: • Ineffective Information Security Management System, inadequate resources to create and maintain an ISMS, management buy in and support to operate an ISMS	We have worked with Information Governance Board (IGB) and ICT on introducing and/or designing an ISMS aligned to ISO 27001.	New	4	5	20	We are continuing to work with ICT and IGB on implementing an Information Security Management System.	1	5	5
Risk Owner: Senior Information Risk Owner (SIRO).	Action Owner: Senior Information Risk Owner (SIRO) and Statutory Data Protection Officer (SDPO).		Portfolio Flag: Finance, Governance and Performance.			Strategy Theme: Our Organisation.			

Directorate Risk Register as at July 2019 – Opportunity 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
OPP1: One City Approach The One City Approach will offer a new way to plan strategically with partners as part of a wider city system. Key potential causes: • Mayoral aspiration and widespread partner sign-up to the principle. • Work to date has produced outline plan and engaged partners in the long-term vision and necessary work to complete the plan.	We have Launched the One City Plan v1 in January 2019. We have funded the core City Office staff team for 2019/20 (April 2019). We have appointed to the Head of City Office role, with post holders to take up job-share position in July/Aug 2019. We have established the majority of One City Boards, with Environment and Economy to Launch in the next quarter. We have agreed the top three priority One City projects for 19/20 and are actively supporting these. Aligned internal resourcing for One City Plan development with our review of Partnership Policy (see CRR21) to ensure a joined-up approach.	↔	4	5	20	Scoping options for future operating model and long term funding model, including sponsorship. Appointing to Operations and Stakeholder Liaison Manager post(s) in City Office. Updating OSMB on Board operations (July 2019) Planning work to iterate the One City Plan for v2 in January 2020. Submitted shortlisted bid for European Capital of Innovation for Once City work, providing potential prize money to fund continued innovation and engagement..	4	5	20
Risk Owner: Head of Paid Service.	Action Owner: Director Policy, Strategy and Partnerships .	Portfolio Flag: Mayor.				Strategy Theme: Our Organisation.			

Directorate Risk Register as at July 2019 – Opportunity 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
OPP2: Corporate Strategy The approved Corporate Strategy presents an opportunity to fundamentally refresh and strengthen our business planning, leadership and performance frameworks. Key potential causes: • Approved Corporate Strategy provides the foundation and direction for the organisation.	We have approved and adopted the Corporate Strategy, Business Plan 19/20 and Performance Framework 19/20 through appropriate Decision Pathways. Re-launched and completed 'My Performance' reviews for all colleagues including annual objective setting linked to the Corporate Strategy and Business Plan 19/20. Moved objective setting in to new iTrent system. Begun work to design the business planning process for 2020/21. Engaged in Audit of this process from 2019/20 to contribute to lessons learned. Held debriefs workshops from 2019/20 with various staff teams. Commissioned an independent review of our approach to data analysis and performance management with a view to identifying ways to improve it further.	↔	4	7	28	Designing service and business planning process for 2020/21, with a view to launching in September 2019 aligned to budget marking process.	4	7	28
Risk Owner: Head of Paid Service.	Action Owner: Director Policy, Strategy and Partnerships.	Portfolio Flag: Finance, Governance and Performance.				Strategy Theme: Our Organisation.			

Directorate Risk Register as at July 2019 – Opportunity Risks to the achievement of Bristol City Councils Objectives. .								
			Current Risk Level				**Tolerance Risk Level**	
Risk title and description	**What we have done**	**Performance**	**Likelihood**	**Impact**	**Risk Rating**	**What we are doing**	**Likelihood**	**Impact**	**Risk Rating**
OPP3: Devolution Should the potential arise for opportunities from a region's evolving, second devolution deal that could lead to an opportunity to align the Council's corporate priorities and strengthen regional partnership working. Key potential causes: • Potential development of second devolution deal.	We have continued engagement with WECA; but with recognition that focus has been placed more on a proposed housing fund. We have commissioned work to investigate the potential for a Western Powerhouse, a cross-border, cross-sector partnership akin to the Northern Powerhouse or Midlands Engine.	↔	3	5	**15**	We will continue to engage with WECA at strategic level. We will launch the 'Powerhouse for the West' report at the House of Lords on 8 July and continue development of the concept. We will continue to engage with HM Government following suggestion that more devolution opportunities may be available following Brexit, including specific spending review asks and engagement on the Western Powerhouse proposal.	3	7	**21**
Risk Owner: Head of Paid Service.	Action Owner: Director Policy, Strategy and Partnerships.	Portfolio Flag: Finance, Governance and Performance.				Strategy Theme: Our Organisation.			

Directorate Risk Register as at July 2019 – Opportunity Risks to the achievement of Bristol City Councils Objectives. .								
			Current Risk Level				**Tolerance Risk Level**	
Risk title and description	**What we have done**	**Performance**	**Likelihood**	**Impact**	**Risk Rating**	**What we are doing**	**Likelihood**	**Impact**	**Risk Rating**
OPP4: Brexit. If exiting the European Union provides benefits, such as increased domestic concentration of power, this may lead to opportunities for this to be harnessed at a local or regional level. Key potential causes for enhancing and exploiting: • Exiting the European Union.	We have: Undertaken an internal assessment of threat and opportunities following an externally-provided workshop, publishing our No Deal Scenario Assessment Established a city Brexit Response Group and met since 2016. Met Michel Barnier in Brussels with the Core Cities. Been monitoring the environment; including news of threats from large local employers of leaving UK. Collaborated on draft Inclusive Economic Growth Strategy and Local Industrial Strategy. Participating in MHCLG events and national working group of local authority representatives. We continue to work with Core Cities and M8 leaders on concerted joint efforts. We have formed a Brexit Project Board for internal preparedness and provided fortnightly updates to all Members on preparedness work. We have agreed terms of reference for a Brexit Coordination Group to manage daily operations in the event of a No Deal exit.	↔	1	5	**5**	We are monitoring the issue on an ongoing basis. Have further meetings of Bristol Brexit Response Group and Brexit Project Board. Continued monitoring of external environment and government relations. Attend MHCLG regional preparedness workshop for Chief Officers and regularly contribute to Local Resilience Forum (LRF), MHCLG and other formal preparation networks/meetings. Revisiting our No Deal Scenario Assessment to check it against refreshed evidence base.	1	5	**5**
Risk Owner: Head of Paid Service.	Action Owner: Director Policy, Strategy and Partnerships.	Portfolio Flag: Finance, Governance and Performance.				Strategy Theme: Our Organisation.			

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

Resources Directorate Risk Report Summary as at July 2019 - External and Civil Contingency Risks											
			Current Risk Level					**Tolerance Risk Level**		
Risk title and description	**What we have done**	Performance	Likelihood	Impact	Risk Rating	**What we are doing**		Likelihood	Impact	Risk Rating
BCCC2: Brexit The risk that Brexit (and any resulting 'deal' or 'no deal') will impact the local economy, local funding and delivery of council services, and that uncertainty around Brexit could impact our ability to accurately assess or plan for potential positive or negative outcomes. Key potential causes are: • Exiting the European Union. • Lack of majority view on draft agreement with EU. • Unprecedented and complex national / international process. • Lack of planning by the authority.	We have established Bristol Brexit Response Group. With Core Cities, met Michel Barnier in Brussels. Working with Core Cities and M8 leaders on concerted joint efforts. Monitored environment; including news of threats from large local employers of leaving UK. Collaborated on draft Inclusive Economic Growth Strategy and Local Industrial Strategy. Developed a BCC Brexit No Deal Scenario Assessment to inform action planning - focusing on workforce, supply chain, city economy, legal, data & regulatory, finance & funding, core operations, civil contingencies and housing. Tested this with partners, Resources Scrutiny and OSMB. Participation in MHCLG events and national working group of local authority representatives. Formed Brexit Project Board to take forward preparedness actions and met consistently to drive progress. Agreed funding for key areas for mitigation work. Provided fortnightly update emails to members. Established TOR for a Brexit Coordination Group to manage daily activity in a No Deal scenario (Jan 2019) and tested (Mar 2019).	⬇	3	7	21	Continue to implement actions identified through No Deal Brexit Scenario Assessment. Ongoing. Continued internal Brexit Project Board to oversee BCC preparedness and respond with agility to changing circumstances. Ongoing. Continued monitoring of external environment and government relations. Ongoing. Continue engagement with all relevant government departments and partners to ensure sectoral/organisation risks are communicated and mitigations proactively suggested. Ongoing. Revisiting our No Deal Scenario Assessment to check it against refreshed evidence base.	3	7	21
Risk Owner: Head of Paid Service.	Action Owner: Director Policy, Strategy and Partnerships.	Portfolio Flag: Finance, Governance and Performance.				Strategy Theme: Our Organisation.				

Key External Risk and Civil Contingency Risks to note

Corporate Risk Register as at July 2019 - External and Civil Contingency Risks										
Risk title and description	What we have done	Performance	Current Risk Level			What we are doing	Tolerance Risk Level		
			Likelihood	Impact	Risk Rating		Likelihood	Impact	Risk Rating
BCCC1: Flooding. 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. Key potential causes are: • Tidal surge, heavy rainfall, river and groundwater flood events. • Impact of climate change. • Lack of effective flood defences and preparedness for major incidents.	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. 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. It provide 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. 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.	↔	3	5	15	There is sustained resourcing and delivery of all actions in LFRMS over life of strategy. Strategy includes the following key projects: • Working in partnership with the Environment Agency to develop a Bristol Tidal Flood Risk Management Strategy to protect the city centre, including climate change. • 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.	3	3	9
Risk Owner: Interim Executive Director Growth and Regeneration.	Action Owner: Director Management of Place, Flood Risk Engineer, Strategic City Transport.	Portfolio Flag: Energy, Waste and Regulatory Services.				Strategy Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing.			

Corporate Threat Risk Performance Summary
The risks are set out by the highest risk rating first in the Q1 19/20 column.

Appendix Page	Risk ID	Risk	Risk Owner	Quarter 4 Jan – Mar 18/19		Quarter 1 Apr – Jun 19/20		Quarter 2 Jul - Sept 19/20		Quarter 3 Oct - Dec 19/20		Quarter 4 Jan - Mar 19/20	
				Rating	Travel	Rating	Travel	Rating	Travel	Rating	Travel	Rating	Travel
6	CRR7	Cyber-Security(Previously Cyber-Attack)	Senior Information Risk Owner (SIRO)	3x7=21	⬅➡	3x7=21	⬅➡						
1	CRR1	Long Term Commercial Investments and Major projects Capital Investment	Interim Executive Director Growth and Regeneration, Executive Director Resources and Section 151 Officer	3x7=21	⬅➡	3x7=21	⬅➡						
2	CRR3	Asbestos Management	Head of Paid Service and CLB	3x7=21	⬅➡	3x7=21	⬅➡						
3	CRR4	Corporate Health, Safety and Wellbeing	Head of Paid Service and CLB	3x7=21	⬅➡	3x7=21	⬅➡						
19	CRR25	ICT Line of Business (LOB) (Previously IT infrastructure CRR2)	Director Digital Transformation	3x5=15	⬅➡	4x5=20	⬇						
21	CRR29	Information Security Management System.	Senior Information Risk Owner (SIRO)			4x5=20	New						
18	CRR24	Procurement and contract management compliance	Executive Director Resources and Director of Finance (Section 151 Officer)	3x5=15	⬅➡	3x5=15	⬅➡						
14	CRR19	Tree Management	Head of Paid Service	3x5=15	⬅➡	3x5=15	⬅➡						
4	CRR5	Business Continuity and Council Resilience	Head of Paid Service and CLB	3x5=15	⬅➡	3x5=15	⬅➡						
5	CRR6	Fraud and Corruption	Executive Director Resources and Director of Finance (Section 151 Officer)	3x5=15	⬅➡	3x5=15	⬅➡						
21	CRR27	Capital Transport Programme Delivery	Interim Executive Director Growth and Regeneration	3x7=21	New	3x5=15	⬆						
17	CRR23	Better Lives Programme	Executive Director, Adults, Children and Education	2x7=14	⬅➡	2x7=14	⬅➡						
7	CRR9	Safeguarding Vulnerable Children	Executive Director, Adults, Children and Education	2x7=14	⬅➡	2x7=14	⬅➡						
8	CRR10	Safeguarding Vulnerable Adults	Executive Director, Adults, Children and Education	2x7=14	⬅➡	2x7=14	⬅➡						
20	CRR26	ICT Resilience (Previously IT infrastructure CRR2)	Director Digital Transformation	3x7=21	⬅➡	2x7=14	⬆						
9	CRR11	BCC Infrastructure Delivery	Director of Finance (Section 151 Officer) and Interim Executive Director Growth and Regeneration	2x7=14	⬅➡	2x7=14	⬅➡						
10	CRR12	Failure to deliver suitable emergency planning measures, respond to and manage emergency events when they occur. (Previously Civil Contingencies and Council Resilience)	Head of Paid Service	2x7=14	⬅➡	2x7=14	⬅➡						
12	CRR15	Financial Deficit	Director of Finance (Section 151 Officer)	1x5=5	⬅➡	2x5=10	⬇						
13	CRR18	Failure to deliver 2000 Homes per annum by 2020.	Interim Executive Director Growth and Regeneration	2x7=14	⬇	2x5=10	⬆						
11	CRR13	Financial Framework and MTFP	Director of Finance (Section 151 Officer)	3x5=15	⬇	2x5=10	⬆						
15	CRR21	Information Governance (Replaces CRR14)	Senior Information Risk Owner (SIRO)	3x5=15	⬅➡	2x5=10	⬆						
16	CRR21	Partnerships Governance	Head of Paid Service	3x3=9	⬆	3x3=9	⬅➡						

Corporate risk performance summary for closed / de-escalated risks

Status	Risk ID	Risk	Risk Owner	Quarter 4 Jan – Mar 18/19		Quarter 1 Apr – Jun 19/20		Quarter 2 Jul – Sept 19/20		Quarter 3 Oct - Dec 19/20		Quarter 4 Jan - Mar 19/20	
				Rating	Travel	Rating	Travel	Rating	Travel	Rating	Travel	Rating	Travel
Closed	CRR8	Service Review	Head of Paid Service	2x5=10	Closed								
Closed	CRR28	Instability of Housing's new IT (Replaces CRR20)	Interim Executive Director Growth and Regeneration	3x7=21	New	3x7=21	Closed						
De -escalated	CRR16	Leadership	Head of Paid Service and CLB	2x5=10	↔	2x5=10	↔						
De -escalated	CRR17	Strategy Management	Head of Paid Service	1x7=7	↔	1x7=7	↔						

Corporate Risk Performance Summary for Opportunity risks
The risks are set out by the highest risk rating first in the Quarter 1 April June 2019/20

Page	Risk ID	Risk	Risk Owner	Quarter 4 Jan – Mar 18/19		Quarter 1 Apr – Jun 19/20		Quarter 2 Jul – Sept 19/20		Quarter 3 Oct - Dec 19/20		Quarter 4 Jan - Mar 19/20	
				Travel	Rating	Rating	Travel	Rating	Travel	Rating	Travel	Rating	Travel
22	OPP2	Corporate Strategy	Head of Paid Service	4x7=28	↔	4x7=28	↔						
22	OPP1	One City	Head of Paid Service	4x5=20	↔	4x5=20	↔						
23	OPP3	Devolution	Head of Paid Service	3x5=15	↔	3x5=15	↔						
23	OPP4	Brexit	Head of Paid Service	1x5=5	↔	1x5=5	↔						

Directorate Risk Performance Summary for External and Civil Contingency risks
The risks are set out by the highest risk rating first in the Quarter 1 April to June 2019/20

Page	Risk ID	Risk	Risk Owner	Quarter 4 Jan – Mar 18/19		Quarter 1 Apr – Jun 19/20		Quarter 2 Jul – Sept 19/20		Quarter 3 Oct - Dec 19/20		Quarter 4 Jan - Mar 19/20	
				Travel	Rating	Rating	Travel	Rating	Travel	Rating	Travel	Rating	Travel
24	BCCC2	Brexit	Head of Paid Service	4x5=20	↔	3x7=21	↓						
25	BCCC1	Flooding	Interim Executive Director Growth and Regeneration	3x5=15	↔	3x5=15	↔						

Risk Scoring Matrix

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

Threat Level	Opportunity Level	Level of Risk	Actions Required
1-4	1-4	Low	May not need any further action / monitor at the Service level.
5-12	5-12	Medium	Action required, manage and monitor at the Directorate level.
14-21	14-21	High	Must be addressed - if Directorate level consider escalating to the Corporate Risk Report, if Corporate consider escalating to the Cabinet Lead.
28	28	Critical / Significant	Action required - escalate if a Directorate level risk, escalate to the Corporate Level, if Corporate bring to the attention of the Cabinet Lead to confirm action to be taken.

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

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

LIKELIHOOD AND IMPACT RISK RATING SCORING

Likelihood Guidance

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

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

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