

Corporate Risk Register as at September 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
<p><b>CRR1: Long term commercial investments and major projects capital investment.</b></p> <p>BCC'S long-term commercial investments and major projects may require greater than anticipated capital investment.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>The cost is higher than expected.</li> <li>The project is delivered later than planned.</li> <li>The operating and maintenance cost of the asset exceeds expectations.</li> <li>Strategic, geographic, social, financial and economic conditions changing over time.</li> <li>Oversight of Project Interdependencies not well managed.</li> </ul>	<p>We have reviewed Capital Governance arrangements and have established the 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.</p> <p>The first meeting of the CLB / Capital and Investment Board was held on 2 July 2019. Terms of reference and governance arrangements for the Capital Board were agreed, and the Board meets on a monthly basis. The Board will ensure that there is greater rigour and control, including Risk Management, of the Council's Capital Programme.</p> <p>We are understanding, monitoring and reporting the cost-determining factors, and seeking relevant professional advice to ensure Value for Money (VfM) by undertaking due diligence which covers the economic, financial, social and environmental case. This is ongoing.</p> <p>Governance arrangements are in place for the council as a Company Shareholder.</p> <p>The Growth and Regeneration Directorate is responsible for delivery of major infrastructure projects. Some of the key projects include:</p> <p>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.</p> <p>We have completed a commercial benchmarking exercise in terms of charges and commercial offering using similar marina sites across the UK.</p> <p>We are constructing a plan around our commercial offering, fees &amp; charges, leases etc. to ensure we are maximising income that can be used to invest in the area.</p> <p>Carrying out condition surveys to assist with the development of a robust maintenance schedule.</p> <p>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.</p> <p>Cattlemarket Road Cabinet approved reallocation of existing budget in January 2019 to enable demolition of the former sorting office to ground level.</p> <p>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).</p> <p>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.</p>	↔	3	7	21	<p>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.</p> <p>The Growth and Regeneration Board meets monthly to continue to improve project, programme and portfolio risk management and to ensure robust arrangements are in place and there is challenge against deliverables. We will maintain a balanced portfolio of investment assets so that exposure to particular classes of risk can be minimised.</p> <p>Harbour Strategy: Colleagues across Growth &amp; 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 Division leading on the Harbour Estate Review.</p> <p>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.</p> <p>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.</p> <p>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).</p> <p>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.</p>	1	7	7
<p>Risk Owner: Executive Director Growth and Regeneration, Executive Director Resources and S151 Officer.</p>	<p>Action Owner: Executive Director Growth and Regeneration, Director Finance, Director Commercialisation and Citizens.</p>	<p>Portfolio Flag: Finance, Governance and Performance.</p>	<p>Strategy Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing.</p>						

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<p><b>CRR3: Failure to Manage Asbestos.</b></p> <p>Failure to manage the asbestos management plan for properties.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>• Staff availability to carry out work plans in a safe way.</li> <li>• Lack of appropriate training.</li> <li>• Lack of oversight and control by local management.</li> <li>• Lack of information on the potential or known risks.</li> <li>• Inadequate contract management arrangements.</li> <li>• Lack of effective processes and systems consistently being applied.</li> <li>• Policies are not kept up to date.</li> <li>• Budget pressures.</li> </ul>	<p>The Asbestos policy, termed as the ‘Asbestos Arrangement’ is owned by Corporate Health and Safety services and was introduced in February 2013, it was again reviewed in June 2018.</p> <p>An internal review was carried out on asbestos management arrangements in Housing in 2018.</p> <p>An action plan is in place within Housing and being governed on a regular basis by the Safety, Health and Wellbeing Team. To date, all actions have been completed and 4 remain outstanding.</p> <p>Reportable exposures (RIDDOR reportable) have reduced. Progress has been made to raise the risk profile of asbestos amongst managers and operatives, introduction of more robust strategies for managing staff and contractors, asbestos good working practice is also regularly communicated.</p> <p>Staff and operatives have attended asbestos training.</p> <p>A management directive has been made this training a mandatory requirement for staff at every level with Housing and Landlord Services.</p> <p>There is a process for reporting Asbestos exposure incidents to the HSE via F2508 form. Asbestos incidents are reported via the Corporate health and safety accident/incident process.</p> <p>We have an ongoing plan for properties to be surveyed prior to any work being undertaken by Asbestos Consultants plus an ongoing programme of surveys is being carried out.</p> <p>Asbestos incidents are investigated in-house and appropriate actions taken.</p> <p>Property Services have improved the contract management arrangements with MSS, the surveyor to ensure that all inspections are carried out according to required timescales.</p> <p>A new dedicated safety Team based within Housing and Landlord Services has been created.</p>	↑	2	7	14	<p>Property CHASM project is underway, to ensure all premises report on compliance this was planned for completion end September.</p> <p>The structure of the new team is currently being formulated by the newly appointed Construction Safety Manager. Jan 2020.</p> <p>The terms of reference for the new Team are being developed, it is envisaged that the team will take working responsibility for the Keystone asbestos management software and for leading other asbestos improvement strategies. Jan 2020.</p> <p>We are holding regular ‘Asbestos working group’ meetings to progress the management of Asbestos across the authority. Ongoing.</p> <p>Now that progress has been made with the plan, a second detailed review will be carried out by the Safety Health and Wellbeing Team and the Construction Health and Safety Manager to re- assess the effectiveness of all action that has been taken to date and to ensure the Asbestos Management arrangements are continually improving. Jan 2020.</p> <p>Mandatory asbestos staff training within Housing and Landlord Services is in progress.</p>	1	7	7
<p>Risk Owner: Head of Paid Service and Corporate Leadership Board (CLB) / Director HR, Workforce and Organisational Design, John Walsh</p>	<p>Action Owner: Director of Commercialisation and Citizens (for Corporate Estate) and Director of Housing and Landlord Services (for Social Housing).</p>	<p>Portfolio Flag: Finance, Governance and Performance.</p>			<p>Strategy Theme: Our Organisation.</p>				

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<p><b>CRR4: Corporate Health, Safety and Wellbeing.</b></p> <p>If the City Council does not meet its wide range of Health &amp; Safety requirements then there could be a risk to the safety of employees, visitors, contractors, citizens and BCC corporate body.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>• If services do not have sufficient staff numbers to carry out work plans in a safe way.</li> <li>• If services are not able to order appropriate equipment required for staff safety.</li> <li>• Lack of appropriate equipment.</li> <li>• Lack of appropriate training.</li> <li>• Lack of oversight and control by local management.</li> <li>• Lack of information on the potential or known risks.</li> <li>• Inadequate contract management arrangements.</li> <li>• Lack of effective processes and systems consistently being applied.</li> <li>• Policies are not kept up to date.</li> <li>• Budget pressures.</li> </ul>	<p>The Corporate Health &amp; Wellbeing (HS&amp;W) team is in place to support the council and provide advice and guidance. The Corporate Policy Statement, service specific policies, procedures and systems of work and safety arrangements are in place and routinely reviewed.</p> <p>BCC has a Corporate Health and Safety Management System (CHaSMS) to identify and monitor hazards, risks and appropriate actions. Each manager (with staff and /or premises responsibilities) have an action plan which is completed by all Managers on a quarterly basis. Once completed the HS&amp;W team check the returns and give relevant feedback to the individual Managers and report the overall results to Senior Management.</p> <p>The accident/incident reporting procedure is in place to monitor injury to colleagues and is communicated. All incidents are subject to the investigation procedure to reduce the potential for any recurrences.</p> <p>Corporate procedures and a risk assessment pro-forma exist for core safety functions including arrangements for fire risk assessment of all workplaces. A register is in place for potential asbestos exposures. We have reviewed and further invested in statutory health surveillance equipment and training and a programme of work in place within council housing post Grenfell.</p> <p>BCC has a programme of e-learning and personal face to face course delivery available to all staff and members. Ongoing specific training on H&amp;S and excessive pressure/ personal resilience is also available. Stress management training and stress risk assessment training is available for managers and employees.</p> <p>An independent occupational health support (NHS Avon Partnership Occupational Health Service) is in place to provide advice, employee support, management medical opinion and advice to support managers dealing with employee ill-health and absence. A pre-employment health screening service is in place to ensure reasonable adjustments are identified to support employees and also an HGV driver medical support service.</p> <p>A confidential Employee Assistance Programme, Wellbeing telephone helpline operates (24hrs / 7 days a week); this programme also includes a range of Wellbeing information via a website. Partnerships with external providers of counselling and physiotherapy services are in place to provide fast-track access to these services. The council is routinely monitoring these services.</p> <p>The Intelligence network including the Corporate Safety Information System is in place to share details of the addresses to the Citizens of Bristol considered to present risks to staff.</p> <p>BCC also has a system of Trade Union Consultation with Health and Safety trained Representatives.</p> <p>Benchmarking and annual reports are provided to BCC along with the annual performance report.</p> <p>All contracts set up with external providers include checking their relevant Health and Safety competency.</p> <p>The council's audit programme monitors compliance with statutory duty and best practices.</p> <p>A review of the Health and Safety Management arrangements was carried out and an improvement plan in place.</p> <p>CHASMs have been in 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.</p>	↑	2	7	14	<p>A revised electronic accident /incident local reporting database is being developed. Product specification has been scoped and assessment made for feasibility to use Itrent. This was planned for October and has been delayed to Feb 2020.</p> <p>Project plan in place to update and improve all elements of the health and safety management system. This plan is being governed quarterly by Statutory and Policy Board. Ongoing.</p> <p>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.</p> <p>All policies and procedures plan to be reviewed and refreshed by April 2020.</p> <p>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.</p> <p>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.</p> <p>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.</p> <p>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.</p> <p>Time to Change action plan is planned for April 2020 which will be monitored.</p>	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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<p><b>CRR5: Business Continuity and Councils Service Resilience.</b></p> <p>If the council has a Business Continuity disruption and is unable to ensure the resilience of key BCC operations and business activities, then the impact of the event maybe increased with a greater impact on people and council Services.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>• Strikes (People, Fuel).</li> <li>• Loss of key staff (communicable diseases and influenza epidemics).</li> <li>• Loss of suppliers.</li> <li>• Loss of accommodation to deliver key services.</li> <li>• Loss of equipment.</li> <li>• Any event which may cause major disruption.</li> <li>• Unavailability of IT and/or Telecoms.</li> <li>• Loss of staff /staff availability.</li> <li>• Knowledge loss.</li> <li>• Reduced chances of preventing/ responding to incidents due to a lack of forward planning or investment.</li> </ul>	<p>The council has a Corporate Resilience Group (CRG) supported by directorate representatives 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.</p> <p>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.</p> <p>Service Business Continuity Plans were in place for January 2018, the plans have undergone ‘refreshing by services’ annually.</p> <p>An Incident Management Team training session was carried out October 2018.</p> <p>A Senior Management on-call rota has been devised agreed and is regularly monitored.</p> <p>A successful annual recovery exercise Day Two was carried out 25th May 2018 and relevant improvements are being built into the wider council arrangements and will be briefed to the CRG.</p> <p>CLB accepted growth bid for extra staff on Civil Protection Unit (CPU) team.</p> <p>A Business Continuity Officer recruited.</p>	↑	2	5	10	<p>The Business Continuity Policy and the Corporate Business Continuity Plan is planned to be reviewed once Business Continuity Officer recruited.</p> <p>Business Continuity refresher training - workshops held at 100TS and City Hall.</p> <p>A review of Service Level Business Continuity Plans will be carried out in early 2020. We are introducing a quality assurance approach for our business continuity plans to emphasise service accountability.</p> <p>The Businesses Continuity Working Group will be refreshed within the year and we are currently drafting a plan for future exercises to test different elements of BCC Business Continuity arrangements with partners.</p>	1	7	7
Risk Owner: Executive Director Growth and Regeneration / Head of Paid Service.	Action Owner: Director Management of Place and Civil Protection Manager.	Portfolio Flag: Finance, Governance and Performance.			Strategy Theme: Our Organisation, Wellbeing.				

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<p><b>CRR6: Fraud and Corruption.</b></p> <p>Failure to prevent or detect acts of significant fraud or corruption against the council from either internal or external sources.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>• Failure of management to implement a sound system of internal control and/or to demonstrate commitment to it at all times.</li> <li>• Not keeping up to date with developments, in new areas of fraud.</li> <li>• Insufficient risk assessment of new emerging fraud issues.</li> <li>• Lack of clear management control of responsibility, authorities and / or delegation.</li> <li>• Lack of resources to undertake the depth of work required to minimise the risks of fraud / avoidance.</li> <li>• Under investment in fraud prevention and detection technology and resource.</li> </ul>	<p>We are continually improving the comprehensive system of control which aims to prevent fraud and increase the likelihood of detection. This includes a strong and robust policy on anti-fraud, corruption and bribery. A Bribery and Corruption review has been completed which concluded that controls in the services most at risk of corruption are in place. However it highlighted that work is required to strengthen the declarations of interest processes and the gifts and hospitality register and approvals.</p> <p>We take a strong stance when fraud is found and seek financial recovery through a strong and effective counter fraud team.</p> <p>The counter Fraud and Investigations 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.</p> <p>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. Whilst awareness of the whistleblowing process has been raised, there remains work to be done to enhance employee confidence in reporting concerns. Options are being considered for this.</p> <p>Employees are aware of probity standards expected of them via an Employee Code of Conduct, improving awareness of fraud and compliance through a process of reminders about ethics and conduct, fraud awareness training and other publicity, continual maintenance of Counter Fraud information on Web pages and monitoring and review of the effectiveness of the Counter Fraud Arrangements.</p> <p>Key Counter Fraud Objectives were defined for 2019/20. Counter Fraud Performance is monitored by Audit Committee via the Annual and half yearly Counter Fraud Update, periodic Internal Audit Updates and the Annual review of arrangements against CIPFA Count Fraud Assessment Tool. Improvements are highlighted in an action plan which is monitored by Audit Committee.</p> <p>An initiative to provide an amnesty period for tenancy fraudsters to return keys to Council properties has been completed.</p> <p>Revised structure of Counter Fraud team approved and HRA funding source agreed for tenancy fraud work.</p> <p>Regular meetings taking place with Legal services to ensure cases progress swiftly.</p> <p>Data sets submitted to National Fraud Initiative and output received for review.</p>	↔	3	5	15	<p>We are monitoring fraud indicators (warning signs and fraud alerts) to ensure anti- fraud approach is correctly targeted.</p> <p>The Fraud Policy is currently being reviewed and updated.</p> <p>Work is underway with legal services to ensure maximum recovery with minimum resource. Analysis of how much 'recoverable' overpayment is actually 'recovered' is currently underway to ensure resources are targeted most effectively.</p> <p>Project to develop a data hub, potentially regionally is in early stages. Plan and dataset matrix are currently being finalised. Available hub software is currently being researched. Ongoing exercises to establish proof of concept are under way. Business case to be completed.</p> <p>Council wide fraud and avoidance initiatives including:</p> <ul style="list-style-type: none"> <li>▪ NNDR Small Business Rate Relief</li> <li>▪ National Fraud Initiative</li> <li>▪ Personal Budgets</li> <li>▪ Bribery and Corruption Risk Assessment</li> <li>▪ New Fraud Case Management System</li> </ul>	2	5	10
<p>Risk Owner: Executive Director Resources and Director of Finance (\$151 Officer).</p>	<p>Action Owner: Director of Finance and Chief Internal Auditor.</p>	<p>Portfolio Flag: Finance, Governance and Performance.</p>	<p>Strategy Theme: Our Organisation.</p>						

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<p><b>CRR7: Cyber-Security.</b></p> <p>The Council's risk level in regards to Cyber-security is higher than should be expected.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>Lack of investment in appropriate technologies.</li> <li>Reliance on in-house expertise, and self-assessments (PSN).</li> <li>Lack of formal approach to risk management (ISO27001).</li> <li>Historic lack of focus.</li> </ul>	<p>Budget provision for Cyber Security was allocated within the Future State Assessment Plan (FSA) as approved by Cabinet June 2018.</p> <p>Independent full security assessments have been carried out November 2018.</p> <p>Increased training - Phishing attacks November 2018.</p> <p>An Information Governance Board has been established to provide oversight of information security and an escalation point to the Council's SIRO.</p> <p>Head of Information Assurance commenced in post September 2019.</p>	↔	3	7	21	<p>The Council is starting to use a SIRO checklist to capture and escalate cyber security risks.</p> <p>The Council is procuring an Information Security Management System which will review and enhance the Council's policies and strategies for information management. The Information Assurance Service is working closely with the Council's ICT Department to improve the approach to all aspects of Information Assurance (including adoption of ISO27001).</p> <p>The ITTP (formerly 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.</p> <p>The ITTP (formerly FSA Programme) will align with the new Information Assurance approach and the strategy set by the Council's SIRO.</p> <p>As well as technical controls, the Council continues to carry out regular Phishing attack exercises where we are sending emails to staff to see how users react to this type of Cyber Attack. Anyone clicking on links is directed towards targeted training.</p> <p>The Information Assurance and ICT team will continue to work together to support the SIRO to develop appropriate targeted training for all Council staff relating to cyber security.</p>	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.				

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<p><b>CRR9: Safeguarding Vulnerable Children.</b></p> <p>The council fails to ensure that adequate safeguarding measures are in place, resulting in harm or death to a vulnerable child.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>Safeguarding arrangements do not meet the requirements of the Children Act and associated legislation, guidance and regulations.</li> <li>Inadequate controls result in harm.</li> <li>Poor Management and operational practices.</li> <li>Demand for services exceeds its capacity and capability.</li> <li>Inability to recruit/retain social care staff in a competitive market.</li> <li>Poor information sharing.</li> <li>Strategic commissioning arrangements do not meet identified need and our ability to commission safe care for children is impaired.</li> <li>Increase in complex safeguarding risks, criminal exploitation, serious youth violence and gang affiliation.</li> </ul>	<p>Regular analysis of performance and reports to Cabinet Members and Directors regarding safeguarding performance and progress. A children's safeguarding assurance report updates senior leaders on a quarterly basis.</p> <p>The Safeguarding Children's Board provides independent scrutiny of children's safeguarding arrangements in the city and holds BCC and partner agencies to account.</p> <p>There has been a review of arrangements to meet the Prevent Duty and the Safer Bristol Board has adopted an Improvement Plan to deliver better outcomes in service provision quality and safety.</p> <p>BCC works with partners to effectively identify victims and perpetrators of CSE and take action to disrupt and protect. Multi Agency Public Protection Arrangements are in place (MAPPA) with BCC contributors at every level to support family safeguarding.</p> <p>The Safeguarding and Quality Assurance Service has been remodelled to secure additional capacity (Independent Reviewing Officer and Child Protection Chairs) and has the Local Authority Designated Officer for allegations against people who work with children.</p> <p>Comprehensive training and development offer, together with publication of Bristol's policies and procedures and monthly professional supervision help ensure safe practice and adequate control of risks. This is monitored and tested through a performance and quality assurance framework.</p> <p>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.</p> <p>Bristol's Strengthening Families transformation programme is taking a whole system approach to meeting the needs of children and families at the earliest point. In this way we aim to manage demand and maintain capacity within the system. Universal services may be supported by early help and targeted services, including a team around the school offer.</p> <p>Bristol's workforce strategy is 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 a temporary basis to fill vacancies.</p> <p>A robust social worker caseload monitoring framework is in place.</p> <p>Information sharing protocols are in place with services taking action to comply with GDPR where sensitive data is stored/processed.</p> <p>Children's strategic commissioning team have a priority work plan in place and are working to increase placement sufficiency through regional framework arrangements. 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.</p> <p>Bristol Multiagency Safer Options Team established for East Central Bristol (April 2019) tackling Serious Youth Violence and Criminal Exploitation of Children taking an intelligence led preventative approach.</p>	↔	2	7	14	<p>New Keeping Bristol Safe Arrangements submitted to DfE and published end June 2019. New arrangements in place September 2019 with place based life course approach to children, adult and community safety holding BCC and partners to account.</p> <p>Reviewing and reassessing information sharing arrangements with the aim of improving our ability to understand and respond to children at risk of criminal exploitation and going missing following CSE/Missing National Working Group recommendations.</p> <p>Working with University of Bedfordshire as part of the Contextual Safeguarding Scale Up Project to develop improved responses to contextual safeguarding risks.</p> <p>The Strengthening Families Programme is coming to the end of its phase as a form project - however, work continues to:</p> <ul style="list-style-type: none"> <li>Work with families from the earliest point of need and reduce caseloads of social care practitioners</li> <li>Ensure purposeful practice that supports children to live safely within their families and provide local authority care for those who need it.</li> <li>Ensure effective management oversight is evident on all children's records.</li> </ul> <p>Delivering new career progression and pay arrangements to recruit and retain highly skilled Social Workers (June 2019). In response to an identified and increasing risk of serious youth violence and criminal exploitation a multiagency plan is being implemented under a 'Gold' Exec Group (Feb 2019):</p> <ul style="list-style-type: none"> <li>Bristol is taking a Public Health Approach and focussing on primary, secondary and tertiary prevention.</li> <li>Safer Options Team established and working to profile and reduce SYV in East Central (April 2019)</li> <li>Investment secured to extend reach of Safer Options/Meet citywide demand pressures (Jun/Jul 2019)</li> <li>Investing in systemic practice approach and training staff members at all levels of Children and Families Services.</li> <li>An improvement plan for 2019-20 is being implemented to address areas identified for improvement during our ILACS Inspection and incorporating other actions in response to learning from other Inspections, Peer Review, Serious Case Review, complaints and other feedback received.</li> </ul>	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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<p><b>CRR10: Safeguarding Adults at Risk with Care and support needs.</b></p> <p>The council fails to ensure adequate safeguarding measures are in place, Adults at risk.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>• Adequacy of its controls.</li> <li>• Management and operational practices.</li> <li>• Demand for its services exceeded its capacity and capability.</li> <li>• Poor information sharing.</li> <li>• Lack of capacity or resources to deliver safe practice.</li> <li>• Failure to commission safe care for adults at risk.</li> <li>• Failure to meet the requirements of the “Prevent Duty” placed on Local Authorities.</li> </ul>	<p>The Adults Safeguarding Board has now been reconstituted into the Keeping Bristol Safe Board which also includes responsibility for Children and Community Safety. The Board has senior executive representation and will ensure a strong focus on strategic matters of concern. The constitution for the Board has been confirmed and it will meet regularly and have oversight of safeguarding priorities.</p> <p>Safeguarding improvement plans are in place for Older People, Physical Disability and Disabled Children and the Capability framework for safeguarding and the mental capacity act have been introduced. The Adult Change Programme ‘ Better Lives’ - Transforming Care Programme has been established to implement policy objectives of moving people into more suitable care settings.</p> <p>We have an active strategy in place to attract, recruit and retain social workers through a variety of routes with particular emphasis on experienced social workers. The Adult South West Recruitment and Retention Strategy has been drafted, the risks and costs identified. The strategy will be presented through the Decision Pathway. Regular strategies and campaigns support the recruitment and retention of high calibre social workers and managers, with competent agency social workers and managers used on temporary basis to fill vacancies.</p> <p>All key staff working with people directly at risk are trained in the essentials of safeguarding and BCC has an ongoing awareness-raising ‘Prevent’ training programme.</p> <p>Regular reporting on safeguarding is taking place quarterly for Directors and Cabinet Members, with an annual report for elected Members to allow for scrutiny of progress. The quality assurance framework and performance framework is routinely monitored and reported on.</p> <p>Focused work is being undertaken to address the backlog in safeguarding referrals and good progress has been made in bringing the number outstanding down to more manageable numbers.</p>	↔	2	7	14	<p>Social workers working with Multi-agency partners supporting Adults and elderly people to live safely within their families and communities.</p> <p>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.</p> <p>Review of the Safeguarding Pathway</p> <p>Transforming the Safeguarding Adults Board.</p>	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 September 2019 – Threat Risks to the achievement of Bristol City Councils Objectives.								
Risk title and description	What we have done	Performance	Current Risk Level			Tolerance Risk Level		
			Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p><b>CRR11: Bristol City Council (BCC) Infrastructure Delivery.</b></p> <p>If the council fails to prioritise infrastructure investment and resources, has inconsistent policies and attitudes, and has no bargaining power regionally or with central government; there is a risk that inward investment will be reduced. 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.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>No clear strategic direction and objective set for the Property estate.</li> <li>Services and resources (human and financial) are not fully aligned and/ or controlled to deliver the objectives.</li> <li>Failure to deliver the level of anticipated Capital Receipts.</li> <li>Leadership capacity, engagement and capability are insufficient to drive change and transformation within the council.</li> <li>Resources are poorly managed, short term approach being adopted or are not contributing fully to council priorities; resulting in agreed outcomes and objectives not being fully achieved.</li> <li>Ineffective collection, integrity and use of data and information.</li> <li>Infrastructure Condition and suitability of overall asset base is not being used or managed efficiently or effectively.</li> <li>Lack of joined up planning, decision making and effective project management.</li> <li>Ineffective collection, integrity and use of data and information.</li> <li>Reduced public sector funding impacting on the resources available.</li> <li>Currently a more uncertain future due to Brexit.</li> </ul>	<p>Governance arrangements have been established through the Growth and Regeneration (G&amp;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.</p> <p>The G&amp;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.</p> <p>AGR is regularly reviewed and re-prioritised by the G&amp;R Board.</p> <p>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-launched in April 2019.</p> <p>Corporate Leadership Board identified the need to re-establish a Capital Board which existed until December 2016.</p> <p>The first meeting of the CLB / Capital and Investment Board was held on 2 July 2019. Terms of reference and governance arrangements for the Capital and Investment Board were agreed, and go-going forward the CLB / Capital and Investment Board will 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.</p> <p>Bristol Transport Board established in January 2019 and Bristol Transport Strategy. The latter sets the framework and will hold us to account for delivery.</p>	<p>↔</p>	2	7	14	1	7	7
Risk Owner: Executive Director Growth and Regeneration.	Action Owner: Executive Director Growth and Regeneration	Portfolio Flag: Finance, Governance and Performance.	Strategy Theme: Our Organisation					

Corporate Risk Register as at September 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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<p><b>CRR12: Failure to deliver suitable emergency planning measures and respond to and manage emergency events when they occur. (Civil Contingency and Resilience)</b></p> <p>If the City has a Major Incident, Contractor Failure or the council inadequately responds, then the impact of the event may be increased with a greater impact on people and businesses.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>• Critical services unprepared or have ineffective emergency and business continuity plans and associated activities.</li> <li>• Lack of resilience in the supply chain hampers effective response to incidents.</li> <li>• Lack of trained and available strategic staff.</li> </ul> <p>(Previously Civil Contingencies and Council Resilience).</p>	<p>The Avon and Somerset Local Resilience Forum (LRF) is a legally required multi-agency partnership of all the organisations needed to prepare for an emergency in the LRF area. It includes the emergency services, health services, Maritime and Coastal Agency, Environment Agency, volunteer agencies, utility companies, transport providers and the five councils of Bath and North East Somerset, Bristol, North Somerset, Somerset and South Gloucestershire. The Avon and Somerset LRF to drive work identified by risk and impact based on Avon and Somerset Community Risk Register. Key roles of the group includes: Intelligence gathering and forecasting, regular training exercises and tests, Task and Finish groups addressing key issues, procedure, plan writing and capability building, and a multi-Agency recovery structure is in place.</p> <p>Bristol is working with Avon and Somerset Local Resilience Forum (LRF) together with personnel as an integrated and co-located team to deliver enhanced emergency planning and business continuity along with Avon and Somerset Local Health Resilience Partnership to ensure a coordinated health services and Public Health England and planning, response is in place.</p> <p>A system is in place for ongoing monitoring of severe weather events (SWIMS).</p> <p>Emergency planning training has been rolled and a multi-agency exercise is regularly conducted to test different elements of BCC emergency arrangements with partners. The most recent exercises being Day Two May 2018, Dark Zodiac April 2018, Saxon Resolve November 2017 and major COMAH training exercise in November 2018 (Operation Spitfire).</p> <p>A senior management on-call rota has been devised, agreed and is monitored. Emergency Reservists have been recruited to aid emergency responses.</p> <p>The Bristol Operations Centre capacity to support multi-agency operations has been tested.</p> <p>BCC took receipt the South West’s share of the National Emergency Mortuary Equipment in July 2018.</p> <p>A progress paper on Civil Contingency is scheduled to go to Strategy and Policy Board July 2018.</p> <p>Review of Excess Deaths capability and plan is planned for September 2018.</p> <p>Recruitment and training of additional Emergency Centre Managers and Emergency Volunteers is ongoing</p>	↔	2	7	14	<p>An ‘Introduction to Emergency Planning’ e-learning package is in progress.</p> <p>An Emergency Centre live exercise was planned for November 2018. This was postponed, although smaller training exercises have been completed. The corporate exercise is now planned for Nov 2019.</p> <p>Emergency Planning College (EPC)-led Strategic Incident Management Training sessions planned.</p> <p>Voluntary agency capacity to support incidents will be reviewed by through the LRF.</p> <p>Training for ABS staff to support incident response and recovery (admin, logging and logistics) is ongoing.</p> <p>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).</p> <p>A review and exercise of the COMAH (Control of Major Accident Hazards) Plan is planned.</p>	1	7	7
Risk Owner: Executive Director Growth and Regeneration.	Action Owner: Director Management of Place.	Portfolio Flag: Finance, Governance and Performance.	Strategy Theme: Our Organisation, Wellbeing.						

Corporate Risk Register as at September 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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<p><b>CRR13: Financial Framework and MTFP.</b></p> <p>Failure to be able to reasonably estimate and agree the financial 'envelope' available, both annually and in the medium-term and the council is unable to set a balanced budget.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>• Failure to achieve Business Rates income- appeals/ general economic growth/loss of major sites (in budget setting).</li> <li>• Economic uncertainty impact on locally generated revenues - business rates and housing growth, impacting on council tax, new homes bonus and business rate income.</li> <li>• Brexit - the general uncertainty affecting the financial markets, levels of trade &amp; investment.</li> <li>• Governments spending review 2019.</li> <li>• Inadequate budgeting &amp; budgetary control/Financial Settlements &amp; wider fiscal policy changes: <ul style="list-style-type: none"> <li>▪ The potential for new funding formulas such as fair funding, business rates retention to significantly reduce the government funding available to the council alongside possible increase in demand for council services.</li> <li>▪ Embedding of the new national funding formula for schools and High Needs.</li> <li>▪ Political failure to facilitate the setting of a lawful budget.</li> <li>▪ Unable to agree a deliverable programme of propositions that enable the required savings to be achieved.</li> <li>▪ Insufficient reserves to mitigate risks and liabilities and provide resilience.</li> <li>▪ Rising inflation could lead to increased costs.</li> </ul> </li> <li>• Judicial review.</li> </ul>	<p>BCC manages its financial risks through a range of controls including budget preparation, budget setting and a Budget Accountability Framework. Roles and responsibilities for managing, monitoring and forecasting income and expenditure against approved budgets have been updated.</p> <p>The council has developed a strong rolling Medium-term financial planning process to enable the strategic objectives and 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:</p> <ul style="list-style-type: none"> <li>• The maintaining of the evolving financial model that reflects in a timely manner changes in national and local assumptions.</li> <li>• 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.</li> <li>• Financial Regulations and Financial Scheme of Delegation is in place.</li> <li>• Regular in-year monitoring and reporting, review of future financial plans and assessment of financial risks and reserves are undertaken to ensure the financial plans are delivered.</li> <li>• Changes to savings in year are monitored by delivery executive.</li> </ul> <p>Restructured the finance team and planned skills development remains a key priority which will include commercial and business acumen. This will be an ongoing and aligned with professional development.</p> <p>Ensuring that Bristol City Council are engaged with or receiving timely feedback from the range of Government working groups exploring future local funding.</p>	↔	2	5	10	Review of the medium term financial plan, capital strategy and developing a financial sustainability strategy by December 2019. <p>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.</p>	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 September 2019 – Threat Risks to the achievement of Bristol City Councils Objectives.								
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<p><b>CRR15: Financial Deficit.</b></p> <p>The council’s financial position goes into significant deficit in the current year resulting in reserves (actual or projected) being less than the minimum specified by the council’s reserves policy.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>• A failure to appropriately plan and deliver savings unscheduled loss of material income streams.</li> <li>• Increase in demography, demand and costs for key council services.</li> <li>• The inability to generate the minimum anticipated level of capital receipts.</li> <li>• Insufficient reserves to facilitate short term mitigations, risks and liabilities.</li> <li>• Interest rate volatility impacting on the council’s debt costs.</li> <li>• Impairments in our commercial Investments are realised.</li> </ul>	<p>BCC’s Financial framework ensures that we have in place sound arrangements for financial planning, management, monitoring and reporting. New spend decisions and borrowing is only supported where the source of revenue resources to meet the costs is clearly identified and availability confirmed by Finance.</p> <p>Corporate Revenue Monitoring Reports with identified risks are reported to Cabinet, overspending departments prepare action plans with responsible Directors identified.</p> <p>The ongoing review and due diligence of all budget savings by Delivery 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.</p> <p>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.</p> <p>Implemented budget improvement processes– The executive will review service recovery/delivery plans, options for mitigation and their viability, risk and priority outcome implications - both immediate and the wider MTFP impact.</p> <p>Where viable in year recovery/delivery plans cannot be achieved, Executive Directors will report to the Mayor and Cabinet seeking a supplementary funding approval in accordance with the council’s delegated executive approval powers (up to £1,000,000 for an area of activity).</p> <p>Where viable in year recovery/delivery plans cannot be achieved, Executive Directors will report to Full Council (in accordance with the Budget &amp; Policy framework) to seek agreement to a supplementary estimate (&gt; £1,000,000 for an area of activity).</p> <p>We will seek agreement from the Executive of the alternative measures held in abeyance across other General Fund services e.g. which will be offset and advise all associated Executive Directors appropriately.</p> <p>We have continual oversight and ongoing management of the council’s financial risks.</p> <p>Internal audit also undertakes a number of reviews of our financial planning and monitoring arrangements.</p>	↔	2	5	10	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 September 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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<p><b>CRR18: The risk of failing to deliver the range of housing to meet Bristol's needs and not realise the ambition to deliver 2000 homes, of which 800 are affordable, per annum by 2020.</b></p> <p>Strategies and delivery models designed to further stimulate growth in the housing market and deliver diversity of the housing offer across the city prove to be ineffective and do not attract and retain economically active residents.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>• Not enough planning applications submitted</li> <li>• Not enough permissions granted</li> <li>• Inability of the housebuilding industry to deliver at this level.</li> <li>• Increased uncertainty in the market due to Brexit</li> <li>• Lack of capacity within the council's delivery system and the local market.</li> <li>• Insufficient housing land identified in Planning documents</li> </ul>	<p>Secured planning permissions.</p> <p>Secured additional grant funding for infrastructure.</p> <p>Releasing land.</p> <p>Issuing grants to Registered Providers (RPs).</p> <p>Established Local Housing Company (Goram Homes).</p> <p>Secured funding from Homes England under HIF and Accelerated Construction and Community Development in order to release further housing land.</p> <p>Established a grant funding programme to subsidise the delivery of affordable homes.</p> <p>Introduced the Affordable Housing Practice Note.</p> <p>Working collaboratively with Homes England to maximise subsidy in schemes to provide as much affordable housing as possible.</p> <p>Requiring a minimum of 30% affordable housing on land released by the Council.</p>	↔	2	5	10	<p>We are addressing all areas of provision including: Community Led Housing (CLH), Registered Providers (RPs) and Direct Delivery, (New Council Homes).</p> <p>We are carrying out a Service Review of Housing Delivery Team commencing October 2019 – December 2019.</p> <p>Significant land release programme to Registered Partners (RPs).</p> <p>We are looking at opportunities to fund the acquisition of additional units in developments on site.</p> <p>External funding bids have been made to secure infrastructure funding to accelerate delivery.</p> <p>Revised the Affordable Housing Grant Funding Policy to ensure it is relevant and assist the delivery of new affordable homes.</p> <p>Working Closely with Homes England to ensure additional subsidy is secured</p> <p>Identifying opportunities to acquire additional affordable homes off the shelf.</p>	2	5	10
Risk Owner: Executive Director Growth and Regeneration.	Action Owner: Director Development of Place.	Portfolio Flag: Housing.			Strategy Theme: Fair and Inclusive.				

Corporate Risk Register as at September 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
<p><b>CRR19: Tree Management.</b></p> <p>Risk of trees and tree limbs falling and causing harm to people or property due to unfavourable weather conditions and tree diseases.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>The Council has 100,000 trees. Severe weather conditions and / or disease can leads to tree failure.</li> <li>Lack of maintenance of trees can result in tree failure.</li> <li>Some council trees are not being managed or inspected, increasing the chance of failure.</li> </ul>	<p>Analysis of all trees is the main task and this takes time to complete.</p> <p>Analysis work on trees is underway by the tree team and Desktop mapping is complete.</p> <p>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.</p>	↔	3	5	15	<p>Analysis continues on trees potentially at risk. Desktop mapping is completed and trees will need to be assessed.</p> <p>Contract has been extended for tree maintenance Budget for 18/19 has been protected, work is commencing to identify budget for 19/20.</p> <p>Budget for 19/20 is available to continue tree analysis and maintain trees on the existing contract.</p> <p>Budget uplift for new contract is proposed to be taken from land owning departments but this needs to be confirmed by finance and departments. Not yet agreed.</p> <p>Carry out in-depth audit of non-managed sites to identify costs to service areas</p> <p>Cabinet report approval means that additional personnel resource can be recruited to undertake the work. Finance work to identify budget to pay for tree maintenance works from landowning departments still needs to be done. Departments will be alerted initially in October 2019.</p> <p>New tree management contract going through procurement process - on track. QTRA system being rolled out via tree audits and tree group ID.</p>	1	5	5
Risk Owner: Executive Director Growth and Regeneration.	Action Owner: Director Management of Place.	Portfolio Flag: Communities.			Strategy Theme: Our Organisation, Wellbeing.				

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<p><b>CRR21: General Data Protection Regulation (GDPR) compliance.</b></p> <p>If the Council fails to maintain a defensible and compliant response to the Data Protection Act 2018 and General Data Protection Regulation (GDPR) then it will fail to fully comply with its statutory requirements.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>• Failure to invest in the required systems, equipment and posts required to implement these regulations.</li> <li>• Failure to adequately train staff in the requirements of the regulations.</li> <li>• Lack of resource (capacity or expertise) to manage Subject Access Requests.</li> <li>• (This risk replaces CRR14 Introduction of the General Data Protection Regulation).</li> </ul>	<p>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.</p> <p>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.</p> <p>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.</p> <p>Improved data breach reporting for EDM's from December 2018.</p> <p>Information Assurance Service established January 2019.</p> <p>Updated guidance on GDPR compliance and breach reporting published on the Council's intranet (Source) pages in January 2019.</p> <p>Improved PIA process and PIA register in February 2019.</p> <p>Business Continuity plan produced and updated to reflect new IG Service in March 2019.</p> <p>The Council provides e-learning training for new starters on data protection.</p> <p>The purchase of a privacy management system is being considered as part of service and budget planning for 2020/21.</p> <p>Data protection staff have attended training courses to maintain up to date knowledge and expertise.</p>				10	<p>We have made significant progress on compliance with the General Data Protection Regulation (GDPR).</p> <p>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.</p> <p>Continuing delivery of prioritised objectives to embed GDPR compliance, in this quarter we are working on:</p> <ul style="list-style-type: none"> <li>• New starters induction and awareness training</li> <li>• Training for offline staff</li> <li>• Reviewing procurement templates</li> <li>• Reviewing data protection policies</li> <li>• Progressing the business case for a privacy management system (with Head of Service and Director)</li> <li>• Implementing a case management system</li> <li>• Team training plan.</li> <li>• Targeted training for data protection champions within the Council</li> </ul>			
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.			

Corporate Risk Register as at September 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
<p><b>CRR22: Partnerships Governance</b></p> <p>If the council does not maximise (or cannot quantify) the benefits of partnership working and/or experiences negative or counter-productive results may arise from partnership working.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>Failure to establish and/or manage contracts, Service Level Agreements and/or Terms of Reference in relation to partnerships.</li> <li>Not maintaining a central register of partnerships, membership, governance arrangements and performance measures.</li> <li>No identified lead officer to progress development of partnership working as in proposals presented to the Audit Committee in April 2016.</li> <li>Outdated partnership policy and toolkit (last iteration 2010).</li> <li>A broad range of partnerships with variable degrees of formality.</li> </ul>	<p>BCC has close involvement of Elected Mayor and Members in key partnerships. Regular review and evaluation of the current position by CLB.</p> <p>Leads have been defined for recommendations to develop partnership working which were received by the Audit Committee in April 2016.</p> <p>BCC has mechanisms in place for regular dialogue including formal partnerships. 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.</p> <p>A refreshed Partnerships Policy has been drafted. (June 2019).</p> <p>Scoping and reviewing the need for Commercial Training for relevant managers as part of Procurement and Commercial Strategy.</p> <p>Created a central partnership register.</p>	↔	3	3	9	<p>We are reviewing and refreshing the Partnership Policy and Toolkit by August 2019.</p> <p>Creating a central Partnership Register including Service Level Agreements (SLAs), Terms of Reference (Terms of reference) and contracts where appropriate.</p> <p>Creating a template terms of reference.</p> <p>We are scoping and reviewing the need for appropriate procurement training for relevant managers as part of Procurement Strategy.</p>	2	3	6
Risk Owner: Head of Paid Service.	Action Owner: Head of Delivery Support Unit.	Portfolio Flag: Finance, Governance and Performance.			Strategy Theme: Our Organisation.				

Corporate Risk Register as at September 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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<p><b>CRR23: Better Lives Programme.</b></p> <p>Failure to deliver the required outcomes and savings from the Better Lives Programme, whilst delivering against our statutory duties and maintaining quality services.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>Increased demand and complexity of Service Users' needs.</li> <li>The Provider Market is unable to meet needs in the required way and/or we suffer relationship breakdown.</li> <li>Other Directorates within the organisation are unable to support the Programme in the way required.</li> <li>Statutory requirements of Adult Social Care (ASC) mean resources have to be diverted away from Programme activity.</li> <li>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.</li> <li>There is a lack of sufficient skills and capacity within Adult Social Care (ASC) to deliver the required change at the required pace.</li> <li>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.</li> </ul>	<p>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.</p> <p>The Programme Senior Responsible Officer (SRO) regularly attends key internal governance meetings e.g. ACE Scrutiny Commission, Delivery Executive.</p> <p>We have introduced a trajectory management approach to define and track key performance metrics across all areas of the programme, which are shared with the Programme Board and ASC DMT on a monthly basis. This identifies any areas of particular risk and allows the programme to put mitigating actions in place.</p> <p>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).</p> <p>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.</p> <p>We have a specific area of the Programme dedicated to strengthening partnership working and integration with Health.</p> <p>We have workstreams focussing on practice which ensure we are meeting statutory requirements and that people receive the correct care and support, including a Reviews workstream.</p> <p>We have introduced a number of interventions that are impacting new demand and enabling individuals to maximise their independence 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).</p> <p>Developing proposals for a new Technology Enabled Care offer (Cabinet approval gained May 2019).</p>	↔	2	7	14	<p>We have moved in to a new phase of the Better Lives Programme, focused on delivering the programme vision at pace. This includes 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 and Preparing for Adulthood.</p> <p>Piloting provider reviews to ensure that people are receiving the right care and support and freeing up capacity in the Market.</p> <p>Delivering new technology and working practices to our Social Workers.</p> <p>Deliver 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.</p> <p>Introducing a further rate increase for Home Care.</p> <p>Developing a new Preparing for Adulthood service.</p> <p>Social workers working with Multi-agency partners supporting Adults and elderly people to live safely within their families and communities</p> <p>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.</p> <p>Transforming the Safeguarding Adults Board.</p>	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 September 2019 – Threat Risks to the achievement of Bristol City Councils Objectives.								
Risk title and description	What we have done	Performance	Current Risk Level			Tolerance Risk Level		
			Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p><b>CRR24: Procurement and Contract Management Compliance</b></p> <p>Failure to ensure that BCC:</p> <ul style="list-style-type: none"> <li>• Achieves value for money when purchasing goods and services.</li> <li>• Complies with legislation (including the risk of legal challenge), quality and cost.</li> <li>• Meets social value requirements for contract awards.</li> <li>• Ensure orders for goods / services are efficiently placed and observes agreed terms.</li> <li>• BCC do not take into account long term view with regards to TCO (Total Cost of Ownership) &amp; Life Cycle Costs.</li> <li>• High incidence of non-contracted spends.</li> </ul> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>• Poor / weak pre procurement forward planning and tender specifications.</li> <li>• Over reliance and inappropriate use of waivers.</li> <li>• Skills / knowledge gaps.</li> <li>• Ineffective Supply chain and market engagement.</li> <li>• Poor / weak contract monitoring.</li> <li>• Supplier failure and missed opportunities of warning signs.</li> <li>• Resourcing and personnel gaps in the Procurement Service.</li> <li>• Failure to properly embed Category Management</li> </ul>	<p>In 2018/19 BCC adopted a Category Management approach and revised the structure of the procurement team to reflect the principles and methodology</p> <p>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.</p> <p>Whilst the current Council procurement rules were revised and agreed by Full Council in May 2018 there is a further review being undertaken to ensure that the rules support robust commercial governance whilst at the same time support and enable proportional approach to managing commercial risks. This is also undertaking a fundamental review on how the functioning of the Commissioning and Procurement Group operates to ensure commercial decision making is proportionate to risks.</p> <p>From 2 September the Commissioning Supplier Relationship Management Service (CSRM) has been aligned with Corporate Procurement Service, to better align resource and capacity to deliver both required levels of procurement support coupled with improved strategic management of contracts. A formal review of the service is currently underway.</p> <p>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.</p> <p>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.</p>	↔	3	5	15	1	5	5
<p>Following the alignment of CSRM and Procurement work is underway to review the Service Offering for the Procurement Service.</p> <p>The draft service plan for 2019/20 includes</p> <ul style="list-style-type: none"> <li>• Further developing and embedding of Social Value Policy and associated toolkit;</li> <li>• Developing and embed complimentary strategies that support sustainable procurement and supply chain practice,</li> <li>• Active commercial engagement at a strategic level on third party contracts and commercial arrangements.</li> <li>• Improving stakeholder engagement around forward planning and solution focus around commercial and procurement opportunities that are driven by the wider Council Objectives,</li> <li>• Maximising resources through effective approaches of commercial arrangements</li> <li>• Further develop an expert team of competent commercial professionals supported by fit for purpose tools, systems and processes, and where appropriate suitable strategic partner arrangements to compliment resources and add value around any identified gaps.</li> <li>• Embedding robust commercial processes and systems including clarity on the approach around Category Management</li> </ul> <p>We are developing an improvement action plan which will include the following:</p> <ul style="list-style-type: none"> <li>• Further development of the contract register to ensure that all contracts over £5k are captured.</li> <li>• Training and development plan for the procurement staff and the wider organisation.</li> <li>• Systems and processes to standardise and improve the monitoring of procurement performance.</li> <li>• Procurement efficiencies are to be tracked in delivering agreed savings targets.</li> <li>• Further reviewing and where appropriate streamlining key processes, for example the Commissioning Procurement Group (CPG).</li> <li>• Seeking external support to both advance contract reviews to deliver savings and efficiencies as well as support knowledge transfer and upskilling within the service.</li> <li>• Implementing the new Social Value Policy and toolkit for measuring, monitoring and reporting additional benefits.</li> <li>• Improving engagement within and across Services to enhance forward planning and driving down reliance on use of waivers.</li> </ul> <p>Tendering processes are being reviewed to eliminate non-value added activity and support the appropriate route to market.</p> <p>The early warning system pilot will be reviewed with a view to wider rollout.</p> <p>This is not an exhaustive list and once the improvement plan has been endorsed it will inform on next steps – end of Qtr. 4.</p>	<p>Risk Owner: Section 151 Officer, Executive Director Resources.</p>	<p>Action Owner: Director Finance (Section 151 Officer).</p>	<p>Portfolio Flag: Finance, Governance and Performance.</p>	<p>Strategy Theme: Our Organisation.</p>				

Corporate Risk Register as at September 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
<p><b>CRR25: Suitability of Line of Business (LOB) systems</b></p> <p>The Councils reliance on legacy systems.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>• Lack of desire to change; systems.</li> <li>• Significant transition activity leads to systems being expensive/complex to change</li> <li>• Lack of understanding of consequences of not changing systems on ICT.</li> <li>• Lack of adherence to Procurement rules in relation to re-procurements.</li> </ul>	<p>IT Services continue to highlight risks and shortcomings with systems (in an informal manner) to Heads of Service and Senior Leadership whilst the on-going formal review continues. We continue to work with Information Assurance colleagues in regards to those systems which may perpetuate a Cyber Security or Information Management risk.</p>	↔	4	5	20	<p>Planning for the roll out Windows 10, ICT are undertaking a review of the Council’s application portfolio to check compatibility with the new operating system. This has resulted in a widening of the review to look at a number of other aspects, such as cost, contract status, security and whether the functionality could be delivered through other products/solutions.</p> <p>We will continue to assess functionality and compatibility of LOS systems as part of the roll out of Windows 10. This will continue through to mid-2020.</p> <p>It is the intention of ITTP to produce a report against the Council’s line of business review which places the applications into groups which can be considered by stakeholders for replacement/removal/upgrade.</p>	2	5	10
<p>Risk Owner: Senior Information Risk Owner (SIRO) for Cyber Security Service Areas for BCP/DR.</p>	<p>Action Owner: Director, Digital Transformation.</p>	<p>Portfolio Flag: Finance, Governance and Performance.</p>			<p>Strategy Theme: Our Organisation.</p>				

Corporate Risk Register as at September 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
<p><b>CRR26: ICT Resilience</b></p> <p>The Councils ability to deliver critical and key services in the event of ICT outages, and be able to recover in the event of system and/or data loss.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>• Poor BCP planning and understanding of key system architecture.</li> <li>• Untested DR arrangements including data recovery.</li> <li>• Untested network reconfiguration to alleviate key location outage.</li> <li>• Untested recovery schedules in terms of order and instructions</li> <li>• Lack of resilience available for legacy systems (single points of failure – people and technology).</li> <li>• Services undertaking their own IT arrangements outside of the corporate approach.</li> </ul>	<p>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.</p> <p>Backups are held within, and external, to the corporate network to ensure availability. Work to date.</p> <p>The ITTP (formerly 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.</p> <p>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.</p> <p>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.</p>	↔	2	7	14	<p>The Council has a contract with a third party to provide DR capability. The Council is working to undertake a full end to end test of the services it procures however, this has been challenging. The Council continues to engage with the third party supplier and have recently received a quote to undertake a full DR test, which is under review.</p> <p>The small scale tests undertaken to date have taken far longer and have been more complex than was envisaged. This has reduced confidence in the ICT service.</p> <p>It is our intention to undertake a full DR test on an annual basis. However, as the small scale tests have been problematic, this has not been possible to date.</p> <p>As part of the project to replace the Council’s on premise SAN, the Council is improving the resilience of hosted services by extending our replication of data. Our on-going move of service to Cloud infrastructure will reduce the Council’s risk profile over time.</p>	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 September 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
<p><b>CRR27: Capital Transport Programme Delivery</b></p> <p>Management of the overall transport capital programme is key to ensuring we deliver against mayoral priorities in the most cost and time efficient way possible. Failure to do so negatively impacts the council's reputation and finances and makes the council less likely to reduce congestion, air pollution and inequality.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>• Overspend on individual schemes leading to uncontainable cost pressures.</li> <li>• Underspend on annual profile.</li> <li>• Lack of coordination and programme management across divisions.</li> </ul>	<p>Transport Programme Team set up.</p> <p>Transport Delivery Board set up.</p> <p>Shared paperwork and highlight reporting process initiated.</p> <p>Regular briefings and reporting to senior management and cabinet members.</p> <p>5 year capital programme mapping process underway.</p>	↔	3	5	15	<p>Transport department split which could endanger work done to date working on ways to mitigate this.</p> <p>Work ongoing to ensure that recent progress is not lost and that positive direction of travel is not lost. Working with Transport Planning Team (TPT) and other managers to develop systems further engaging with Directors of Economy of Place and Management of Place, to develop proposals for overall improved management of capital programme and recruitment of appropriate resource levels.</p> <p>We continuing to develop Transport Planning Team (TPT), Transport Development Board (TDB) and highlight report processes which are governed by the Growth and Regeneration (G&amp;R) Board (monthly meeting).</p> <p>5 Year mapping ongoing, 19/20 programme mapped and ongoing.</p>	2	5	10
Risk Owner: Executive Director Growth and Regeneration.	Action Owner: Director Management of Place.	Portfolio Flag: Communities.			Strategy Theme: Our Organisation, Wellbeing.				

Corporate Risk Register as at September 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
<p><b>CRR29: Information Security Management System.</b></p> <p>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.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>• Ineffective Information Security Management System, inadequate resources to create and maintain an ISMS, management buy in and support to operate an ISMS</li> </ul>	<p>We have worked with Information Governance Board (IGB) and ICT on introducing and/or designing an ISMS aligned to ISO 27001.</p> <p>The Information Assurance Team have started a procurement process to design and deliver a new information security management system during ?</p>	↔	4	5	20	<p>Information Assurance are continuing to work with ICT and IGB on implementing an Information Security Management System.</p>	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.				

Corporate Risk Register as at September 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
<p><b>CRR30: Failure to deliver Bristol City Council's wider Clean Air Plan (excluding traffic clean air zone) Communication/engagement with stakeholders does not result in sufficient behavioural change.</b></p> <p>We are unable to deliver actions committed to by Mayor in the wider Clean Air Plan (excluding Traffic Clean Air Zone) - which is addressed in MoP service area.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>• Staff capacity.</li> <li>• Procurement risks.</li> </ul>	<p>Measures have been developed and will form part of the Clean Air Plan. Mayors Speech June 2019 announced some of these as policy commitments (Mayors Office).</p>	New	3	5	15	<p>Measures have been finalised and implementation plans are being developed.</p> <p>A proposal for funding from Reserves have been produced and now approved.</p> <p>Staff being allocated to complete the work.</p>	1	1	1
<p>Risk Owner: Executive Director Growth and Regeneration, Colin Molton</p>	<p>Action Owner: Climate Change &amp; Sustainable City Manager</p>	<p>Portfolio Flag: Strategic Planning and City Design</p>			<p>Strategy Theme: Wellbeing</p>				

Corporate Risk Register as at September 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
<p><b>OPP1: One City Approach</b></p> <p>The One City Approach will offer a new way to plan strategically with partners as part of a wider city system.</p> <p>Key potential causes:</p> <ul style="list-style-type: none"> <li>• Mayoral aspiration and widespread partner sign-up to the principle.</li> <li>• Work to date has produced outline plan and engaged partners in the long-term vision and necessary work to complete the plan.</li> </ul>	<p>We have Launched the One City Plan v1 in January 2019.</p> <p>We have funded the core City Office staff team for 2019/20 (April 2019).</p> <p>We have appointed to the Head of City Office role, with post holders to take up job-share position in July/Aug 2019.</p> <p>We have established the majority of One City Boards, with Environment and Economy to Launch in the next quarter.</p> <p>We have agreed the top three priority One City projects for 19/20 and are actively supporting these.</p> <p>Aligned internal resourcing for One City Plan development with our review of Partnership Policy (see CRR21) to ensure a joined-up approach.</p>	↑	3	7	21	<p>Have implemented the citywide governance structure including establishing the Economy Board, Environment Board and the associated city Climate Advisory Committee. All boards have now met and are refreshing their contributions to the One City Plan.</p> <p>The City Office has engaged a sponsorship expert to scope potential opportunities for future funding. Project activity will also be supported by the 100,000 Euros awarded to One City as a prize-winner for European Capital of Innovation.</p> <p>The office is now staffed with 2x Operational and Stakeholder Engagement Managers, a SDG Coordinator and with a sequence of interns, work experience and external offers of resourcing to support the initiatives.</p> <p>Planning work to iterate the One City Plan for v2 in January 2020.</p> <p>Establishing the leadership framework with a regular meeting pulse and associated governance mechanisms</p>	4	7	28
Risk Owner: Head of Paid Service.	Action Owner: Director Policy, Strategy and Partnerships.	Portfolio Flag: Mayor.			Strategy Theme: Our Organisation.				

Corporate Risk Register as at September 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
<p><b>OPP2: Corporate Strategy</b></p> <p>The approved Corporate Strategy presents an opportunity to fundamentally refresh and strengthen our business planning, leadership and performance frameworks.</p> <p>Key potential causes:</p> <ul style="list-style-type: none"> <li>• Approved Corporate Strategy provides the foundation and direction for the organisation.</li> </ul>	<p>We have approved and adopted the Corporate Strategy, Business Plan 18/19 and Performance Framework 18/19 through appropriate Decision Pathways.</p> <p>Re-launched and completed 'My Performance' reviews for all colleagues including annual objective setting linked to the Corporate Strategy and Business Plan 18/19.</p> <p>Designed and launched an integrated business planning approach for 2019/20, linking financial planning, service planning, Risk Management and performance management more closely and from an earlier starting point.</p> <p>The LGA Corporate Peer Challenge completed, providing fresh learning opportunities to improve our approach.</p> <p>Leadership Framework introduced and senior management posts recruited against it.</p>	↔	4	7	28	<p>Running an integrated business planning approach for 2020/21, linking financial planning, and service planning and performance management more closely and from an earlier starting point.</p> <p>Following up roll-out of iTrent for performance.</p>	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.				

Corporate Risk Register as at September 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
<p><b>OPP3: Devolution</b></p> <p>Should the potential arise for opportunities from a region's devolving, second devolution deal that could lead to an opportunity to align the Council's corporate priorities and strengthen regional partnership working.</p> <p>Key potential causes:</p> <ul style="list-style-type: none"> <li>Potential development of second devolution deal.</li> </ul>	<p>We have continued engagement with WECA; but with recognition that focus has been placed more on a proposed housing fund. The national uncertainty around long term government funding and approach has decreased the opportunity slightly (Q1 19/20), but this has recovered given the opportunity around a potential 'powerhouse' for the West of Britain, which has early positive momentum. (Q2 19/20)</p> <p>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.</p>	↔	3	5	15	<p>We will continue to engage with WECA at strategic level.</p> <p>We will launch the 'Powerhouse for the West' report at the House of Lords on 8 July and continue development of the concept.</p> <p>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.</p> <p>We are establishing a Secretariat for the proposed western powerhouse and will continue to engage partners and HM Government on this project.</p>	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.				

Corporate Risk Register as at September 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
<p><b>OPP4: Brexit.</b></p> <p>If exiting the European Union provides benefits, such as increased domestic concentration of power, this may lead to opportunities for this to be harnessed at a local or regional level.</p> <p>Key potential causes for enhancing and exploiting:</p> <ul style="list-style-type: none"> <li>Exiting the European Union.</li> </ul>	<p>Undertaken an internal assessment of threat and opportunities following an externally-provided workshop, publishing our No Deal Scenario Assessment and updated it in Q2 2019.</p> <p>Established a city Brexit Response Group and met since 2016.</p> <p>Met Michel Barnier in Brussels with the Core Cities.</p> <p>Been monitoring the environment; including news of threats from large local employers of leaving UK.</p> <p>Collaborated on draft Inclusive Economic Growth Strategy and Local Industrial Strategy.</p> <p>Participating in MHCLG events and national working group of local authority representatives.</p> <p>We continue to work with Core Cities and M8 leaders on concerted joint efforts.</p> <p>We have formed a Brexit Project Board for internal preparedness and provided fortnightly updates to all Members on preparedness work.</p> <p>We have agreed terms of reference for a Brexit Coordination Group to manage daily operations in the event of a No Deal exit.</p>	↔	1	5	5	<p>We are monitoring the issue on an ongoing basis. We have further meetings of Bristol Brexit Response Group and Brexit Project Board.</p> <p>Continued monitoring of external environment and government relations.</p> <p>Promoting a potential powerhouse for the West of Britain as a post-Brexit opportunity to invest in the region and city.</p>	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

Corporate Risk Register as at September 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
<p><b>BCCC2: Brexit</b></p> <p>The risk that Brexit (and any resulting 'deal' or 'no deal') will impact the local economy, local funding and delivery of council services, and that uncertainty around Brexit could impact our ability to accurately assess or plan for potential positive or negative outcomes.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>• Exiting the European Union.</li> <li>• Lack of majority view on draft agreement with EU.</li> <li>• Unprecedented and complex national / international process.</li> <li>• Lack of planning by the authority.</li> </ul>	<p>We have established Bristol Brexit Response Group.</p> <p>With Core Cities, met Michel Barnier in Brussels.</p> <p>Working with Core Cities and M8 leaders on concerted joint efforts.</p> <p>Monitored environment; including news of threats from large local employers of leaving UK.</p> <p>Collaborated on draft Inclusive Economic Growth Strategy and Local Industrial Strategy.</p> <p>Developed a BCC Brexit No Deal Scenario Assessment to inform action planning - focusing on workforce, supply chain, city economy, legal, data &amp; regulatory, finance &amp; funding, core operations, civil contingencies and housing. Tested this with partners, Resources Scrutiny and OSMB.</p> <p>Participation in MHCLG events and national working group of local authority representatives.</p> <p>Formed Brexit Project Board to take forward preparedness actions and met consistently to drive progress.</p> <p>Agreed funding for key areas for mitigation work.</p> <p>Provided fortnightly update emails to members.</p> <p>Established TOR for a Brexit Coordination Group to manage daily activity in a No Deal scenario (Jan 2019) and tested (Mar 2019).</p> <p>Updated No Deal Scenario Assessment in line with national planning assumptions and ASLRF risk assessment. (Sep 19).</p> <p>Taken forward a range of actions set by Brexit Project Board, including hiring additional capacity in procurement, communications and civil contingencies. (Ongoing).</p> <p>Established regular meeting of Brexit Lead Officers from neighbouring authorities and WECA to share approaches and best practice. (Sep 19).</p> <p>Established additional formal updates to CMB (CIr Cheney) weekly and to Cabinet (information items) (Sep 19).</p>	↔	3	7	21	<p>Continue to implement actions identified through No Deal Brexit Scenario Assessment. Ongoing.</p> <p>Continued internal Brexit Project Board to oversee BCC preparedness and respond with agility to changing circumstances. Ongoing.</p> <p>Continued monitoring of external environment and government relations. Ongoing.</p> <p>Continue engagement with all relevant government departments and partners to ensure sectoral/organisation risks are communicated and mitigations proactively suggested. Ongoing.</p> <p>Revisiting our No Deal Scenario Assessment to check it against refreshed evidence base.</p> <p>Continue to meet with neighbouring Brexit Lead Officers and plan further actions together, including shared initiatives.</p>	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 September 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
<p><b>BCCC1: Flooding.</b></p> <p>There could be a risk of damage to properties and infrastructure as well as risk to public safety from flooding which may be caused by a tidal surge, heavy rainfall and river and groundwater flood events.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>Tidal surge, heavy rainfall, river and groundwater flood events.</li> <li>Impact of climate change.</li> <li>Lack of effective flood defences and preparedness for major incidents.</li> </ul>	<p>The Avon and Somerset Local Resilience Forum (LRF) is a partnership of all the organisations needed to prepare for an emergency in the LRF area. It includes the emergency services, health services, Maritime and Coastal Agency, Environment Agency, volunteer agencies, utility companies, transport providers and the five councils of Bath and North East Somerset, Bristol, North Somerset, Somerset and South Gloucestershire.</p> <p>Bristol is working with the Avon and Somerset LRF to construct new sea defences around North Somerset, Bristol and South Gloucestershire. Working with emergency services, local authorities and other agencies to develop flood response plans and procedures, investigating instances of flooding, training specialist staff in swift water rescue techniques, communicating with housing and business developers to incorporate flood protection into new developments. 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.</p> <p>Bristol has in place a local Flood Risk Management Strategy approved at Cabinet in December 2017 which comprises of 5 keys areas and 43 separate actions in line with Environment Agency's national strategy.</p>	↔	3	5	15	<p>There is sustained resourcing and delivery of all actions in LFRMS over life of strategy. Strategy includes the following key projects:</p> <ul style="list-style-type: none"> <li>Working in partnership with the Environment Agency to develop a Bristol Tidal Flood Risk Management Strategy to protect the city centre, including climate change.</li> <li>Working in partnership with South Gloucester and the Environment Agency to deliver a flood scheme to help protect Avonmouth Village and the Enterprise Area from tidal flooding, including climate change.</li> </ul>	3	3	9
Risk Owner: Executive Director Growth and Regeneration.	Action Owner: Director Management of Place, Flood Risk Engineer.	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

Corporate Threat Risk Performance Summary				Quarter 4 Jan – Mar 19/20		Quarter 1 Apr – Jun 19/20		Quarter 2 Jul - Sept 19/20		Quarter 3 Oct - Dec 19/20		Quarter 4 Jan - Mar 20/21	
Page	Risk ID	Risk	Risk Owner	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	↔	3x7=21	↔				
1	CRR1	Long Term Commercial Investments and Major projects Capital Investment	Executive Director Growth and Regeneration, Executive Director Resources and Section 151 Officer	3x7=21	↔	3x7=21	↔	3x7=21	↔				
19	CRR25	Suitability of Line of Business Systems (LOB)	Senior Information Risk Owner (SIRO)	3x5=15	↔	4x5=20	↓	4x5=20	↔				
21	CRR29	Information Security Management System.	Senior Information Risk Owner (SIRO)			4x5=20	New	4x5=20	↔				
21	CRR27	Capital Transport Programme Delivery	Executive Director Growth and Regeneration	3x7=21	New	3x5=15	↑	3x5=15	↔				
14	CRR19	Tree Management	Executive Director Growth and Regeneration	3x5=15	↔	3x5=15	↔	3x5=15	↔				
18	CRR24	Procurement and contract management compliance	Executive Director Resources and Director of Finance (Section 151 Officer)	3x5=15	↔	3x5=15	↔	3x5=15	↔				
5	CRR6	Fraud and Corruption	Executive Director Resources and Director of Finance (Section 151 Officer)	3x5=15	↔	3x5=15	↔	3x5=15	↔				
22	CRR30	Failure to deliver Bristol City Council's wider Clean Air Plan. Communication/engagement with stakeholders does not result in sufficient behavioural change (excluding traffic clean air zone).	Executive Director Growth and Regeneration					3x5=15	New				
2	CRR3	Asbestos Management	Head of Paid Service and CLB	3x7=21	↔	3x7=21	↔	2x7=14	↑				
3	CRR4	Corporate Health, Safety and Wellbeing	Head of Paid Service and CLB	3x7=21	↔	3x7=21	↔	2x7=14	↑				
20	CRR26	ICT Resilience (Previously IT infrastructure CRR2)	Head of Paid Service, service area leads	3x7=21	↔	2x7=14	↑	2x7=14	↔				
17	CRR23	Better Lives Programme	Executive Director, People	2x7=14	↔	2x7=14	↔	2x7=14	↔				
7	CRR9	Safeguarding Vulnerable Children	Executive Director, People	2x7=14	↔	2x7=14	↔	2x7=14	↔				
8	CRR10	Safeguarding Vulnerable Adults	Executive Director, People	2x7=14	↔	2x7=14	↔	2x7=14	↔				
9	CRR11	BCC Infrastructure Delivery	Director of Finance (Section 151 Officer) and Executive Director Growth and Regeneration	2x7=14	↔	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)	Executive Director Growth and Regeneration	2x7=14	↔	2x7=14	↔	2x7=14	↔				
4	CRR5	Business Continuity and Council Resilience	Head of Paid Service / Executive Director Growth and Regeneration	3x5=15	↔	3x5=15	↔	2x5=10	↑				
13	CRR18	The risk of failing to deliver the range of housing to meet Bristol's needs and not realise the ambition to deliver 2000 homes, of which 800 are affordable, per annum by 2020.	Executive Director Growth and Regeneration	2x7=14	↓	2x5=10	↑	2x5=10	↔				
11	CRR13	Financial Framework and MTFP	Director of Finance (Section 151 Officer)	3x5=15	↓	2x5=10	↑	2x5=10	↔				
15	CRR21	Information Governance (Replaces CRR14)	Senior Information Risk Owner (SIRO)	3x5=15	↔	2x5=10	↑	2x5=10	↔				
12	CRR15	Financial Deficit	Director of Finance (Section 151 Officer)	1x5=5	↔	2x5=10	↓	2x5=10	↔				
16	CRR22	Partnerships Governance	Head of Paid Service	3x3=9	↑	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								
De -escalated	CRR16	Leadership	Head of Paid Service and CLB	2x5=10	↔	2x5=10	Closed						
De -escalated	CRR17	Strategy Management	Head of Paid Service	1x7=7	↔	1x7=7	Closed						

**Corporate Risk Performance Summary for Opportunity risks**

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
23	OPP2	Corporate Strategy	Head of Paid Service	4x7=28	↔	4x7=28	↔	4x7=28	↔				
23	OPP1	One City	Head of Paid Service	4x5=20	↔	4x5=20	↔	3x7=21	↑				
24	OPP3	Devolution	Head of Paid Service	3x5=15	↔	3x5=15	↔	3x5=15	↔				
24	OPP4	Brexit	Head of Paid Service	1x5=5	↔	1x5=5	↔	1x5=5	↔				

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

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
25	BCCC2	Brexit	Head of Paid Service	4x5=20	↔	3x7=21	↓	3x7=21	↔				
26	BCCC1	Flooding	Executive Director Growth and Regeneration	3x5=15	↔	3x5=15	↔	3x5=15	↔				

## Risk Scoring Matrix

		Threat Impact (Negative risks)					Opportunity Impact (Positive Risk)						
		Almost certain	Likely	Unlikely	Rare	Score	Level	Almost certain	Likely	Unlikely	Rare		
Threat Likelihood	Almost certain	4	4 (Low)	12 (Medium)	20 (High)	28 (Critical)	28 (Significant)	20 (High)	12 (Medium)	4 (Low)	4	Almost certain	
	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
<b>Description</b>	Might happen on rare occasions.	Will possibly happen, possibly on several occasions.	Will probably happen, possibly at regular intervals.	Likely to happen, possibly frequently.
<b>Numerical Likelihood</b>	Less than 10%	Less than 50%	50% or more	75% or more

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

Impact Category	Impact Levels 1 to 7			
	1	3	5	7
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.
<b>Financial Loss / Gain</b>	<b>Under £0.5m</b>	<b>Between £0.5m - £3m</b>	<b>Between £3m - £5m</b>	<b>More than £5m</b>
Fraud & Corruption Loss	Under £50k	Between £50k - £100k	Between £100k - £1m	More than £1m
Legal	No significant legal implications or action is anticipated.	Tribunal / BCC legal team involvement required (potential for claim).	Criminal prosecution anticipated and / or civil litigation.	Criminal prosecution anticipated and or civil litigation (> 1 person).
Personal Safety	Minor injury to citizens or colleagues.	Significant injury or ill health of citizens or colleagues causing short-term disability / absence from work.	Major injury or ill health of citizens or colleagues may result in. long term disability / absence from work.	Death of citizen(s) or colleague(s). Significant long-term disability / absence from work.
Programme / Project Management <i>(Including developing commercial enterprises)</i>	Minor delays and/or budget overspend but can be brought back on schedule with this project stage.  No threat to delivery of the project on time and to budget and no threat to identified benefits / outcomes.	Slippage causes significant delay to delivery of key project milestones, and/or budget overspends.  No threat to overall delivery of the project and the identified benefits / outcomes.	Slippage causes significant delay to delivery of key project milestones; and/or major budget overspends. Major threat to delivery of the project on time and to budget, and achievement of one or more benefits / outcomes.	Significant issues threaten delivery of the entire project. Could lead to project being cancelled or put on hold.
Reputation	Minimal and transient loss of public or partner trust. Contained within the individual service.	Significant public or partner interest although limited potential for enhancement of, or damage to, reputation. Dissatisfaction reported through council complaints procedure but contained within the council. Local MP involvement. Some local media/social media interest.	Serious potential for enhancement of, or damage to, reputation and the willingness of other parties to collaborate or do business with the council. Dissatisfaction regularly reported through council complaints procedure. Higher levels of local or national interest. Higher levels of local media / social media interest.	Highly significant potential for enhancement of, or damage to, reputation and the willingness of other parties to collaborate or do business with the council. Intense local, national and potentially international media attention. Viral social media or online pick-up. Public enquiry or poor external assessor report.