

| Corporate Risk Register as at April 2020 – 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>CRR1: Long term commercial investments and major projects.</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"> The cost is higher than expected. The project is delivered later than planned. The operating and maintenance cost of the asset exceeds expectations. Strategic, geographic, social, financial and economic conditions changing over time. Oversight of Project Interdependencies not well managed. Insufficient in-house resources to progress major projects lead to missed opportunities to leverage third party investment. Failure to anticipate and secure investment and resources to deliver enabling works and infrastructure. | <p>In July 2019 the Corporate Leadership Board (CLB) / Capital and Investment Board (CIB) were launched and meet on a monthly basis. They have an oversight and stewardship role for the delivery of the Capital Programme and capital investments.</p> <p>Some examples of key projects which were reviewed by CIB include Harbour Strategy, Cattlemarket Road, and Colston Hall.</p> <p>The Growth and Regeneration (G&R) 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.</p> <p>The G&R Board has identified a number of Areas of Growth and Regeneration (AGR) across the City to enable place shaping and contribute to regeneration, affordable housing, community building and the financial sustainability of the Council. The AGR are regularly reviewed and re-prioritised by the G&R Board.</p> | ↓ | 3 | 7 | 21 | <p>We are in the process of reviewing and prioritising / re-prioritising programmes and project and other deliverables in the light of the global Covid-19 pandemic as well as assessing its impact on long term commercial investments and major project delivery.</p> <p>Colston Hall - Work to de risk the building has continued and a significant amount of structural issues have been uncovered. The poor structural stability of the building has manifested as a major issue and is close to our worst case scenario. This has required significant design alterations and engagement with historic England and revised structural steel designs and a number of structural temporary works. This is in order to make the building safe and ensure that design requirements can be met. Additional asbestos has also been discovered and further archaeological discoveries are still being made (although this has almost been mitigated as there is little demolition work left). This re design has created pressure and delay in the design process and a design freeze has not been achieved.</p> <p>The advent of Covid-19 has also impacted on the project, the site is operating at 75% capacity due to supply chain partners furloughing staff and building material suppliers are only delivering to critical construction project such as hospitals. This is further adding delay and cost to the project.</p> <p>Programme and cost RAG status are both RED Harbour Strategy: Colleagues across Growth & Regeneration and Resources Directorates are working together to ensure we have a joined up approach to delivering a new Harbour Strategy. 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>Energy: Commissioning a strategic partner to deliver the ambitions as outlined in the City Leap prospectus. Procurement exercise for strategic partner currently paused due to a number of events.</p> | 1 | 7 | 7 |
| Risk Owner: Executive Director Growth and Regeneration, Executive Director Resources and S151 Officer. | Action Owner: Executive Director Growth and Regeneration, Director Finance, Director Commercialisation and Citizens. | Portfolio Flag: Finance, Governance and Performance. | | | Strategy Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing. | | | | |

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| <p>CRR3: Failure to Manage Asbestos.</p> <p>Failure to manage the asbestos management plan for properties.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> Staff availability to carry out work plans in a safe way. Lack of appropriate training. Lack of oversight and control by local management. Lack of information on the potential or known risks. Inadequate contract management arrangements. Lack of effective processes and systems consistently being applied. Policies are not kept up to date. Budget pressures. Restrictions for operating normally caused by external factors beyond the control of BCC i.e. Covid 19 pandemic. | <p>An action plan is in place within Housing department. The plan is being governed on a regular basis by the Health, Safety and Wellbeing Team. The main elements of the plan have been implemented and full completion will be presumed once the Asbestos Management Plan has been reviewed, scheduled for June 2020. Residual low risk elements of the plan have been adopted as Management objectives for the safety team and are monitored accordingly. Work to bring better compliance with asbestos surveys from with low risk communal areas is actively ongoing.</p> <p>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. The majority of managers, staff and operatives have attended asbestos training and will continue to do so on a two year cycle. This training has been made a mandatory element.</p> <p>Properties are 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>Resources within the safety Team based within Housing and Landlord Services are expanding to meet the needs of the service.</p> <p>Evidencing asbestos compliance to satisfy the Housing Regulator has been given a significant focus this quarter. Property CHASM project is underway, to ensure all premises report on compliance.</p> | ↔ | 2 | 7 | 14 | <p>Failure to manage the asbestos management plan for properties.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> Staff availability to carry out work plans in a safe way. Lack of appropriate training. Lack of oversight and control by local management. Lack of information on the potential or known risks. Inadequate contract management arrangements. Lack of effective processes and systems consistently being applied. Policies are not kept up to date. Budget pressures. Restrictions for operating normally caused by external factors beyond the control of BCC i.e. Covid 19 pandemic. | 1 | 7 | 7 |
| Risk Owner: Head of Paid Service and Corporate Leadership Board (CLB) / Director HR, Workforce and Organisational Design. | Action Owner: Director of Commercialisation and Citizens (for Corporate Estate) and Director of Housing and Landlord Services (for Social Housing). | Portfolio Flag: Finance, Governance and Performance. | | | Strategy Theme: Our Organisation. | | | | |

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| <p>CRR4: Corporate Health, Safety and Wellbeing.</p> <p>If the City Council does not meet its wide range of Health & 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"> • If services do not have sufficient staff numbers to carry out work plans in a safe way. • If services are not able to order appropriate equipment required for staff safety. • Lack of appropriate equipment. • Lack of appropriate training. • Lack of oversight and control by local management. • Lack of information on the potential or known risks. • Inadequate contract management arrangements. • Lack of effective processes and systems consistently being applied • Policies are not kept up to date. | <p>The Corporate Safety, Health & Wellbeing (SH&W) team support the council and provide advice and guidance. The Corporate Policy Statement, service specific policies, procedures and systems of work/safety arrangements are in place and routinely reviewed.</p> <p>BCC has a Corporate Health and Safety Management System (CHaSMS) to identify and monitor hazards, risks and appropriate actions. Each manager (with staff and /or premises responsibilities) has an action plan which is completed on a quarterly basis. Once completed the HS&W team check the returns and give relevant feedback to the individual Managers and report the overall results to Senior Management/EDM and develop appropriate action plans.</p> <p>BCC has a comprehensive programme of e-learning and personal face to face course delivery available to all directors, managers, staff and members.</p> <p>There is a corporate accident/incident reporting procedure. The Corporate Safety Information System is in place to share with staff details of addresses which due to potential violence & aggression or police notification are considered to present risks.</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 a check of their relevant Health and Safety competency.</p> <p>The council's audit programme monitors compliance with statutory duty and best practices.</p> <p>We have reviewed the Health and Safety Management arrangements and developed a (project) service development and improvement plan.</p> | ↔ | 2 | 7 | 14 | <p>A number of options regarding a more robust accident and incident reporting system are currently being explored. Once this is completed an options appraisal will be presented to the CLB for approval. December 2020.</p> <p>A new safety health and wellbeing strategy is currently being developed. This will include adopting HSG65 as the management system which is the Plan, Do, Check, Act approach and will help BCC achieve a balance between the systems and behavioural aspects of management. It also treats health and safety management as an integral part of good management generally, rather than as a stand-alone system. This will replace the existing project plan and work. The plan will have the appropriate monitoring and governance arrangements attached to it. Developed plan is targeted for September 2020.</p> <p>All policies and procedures will be revised in line with the new safety health and wellbeing strategy and PLAN DO CHECK ACT management system. Revision will take place on a risk based approach following the current risk profiling that is taking place. Action plan for procedures September 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. Target date August 2020.</p> <p>A review of training is being undertaken. Linked to the developing strategy and management system. September 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. Programme started but will be closely aligned to the new OHU contract. January 2021.</p> <p>A refreshed focus on wellbeing and health is in progress with a plan in place within the project Improvement Plan to focus on mental health. Work has started and is ongoing.</p> <p>Time to Change action plan scheduled for April 2020 which will be monitored. Started and ongoing.</p> <p>Improved partnership and matrix working between Safety, Health & Wellbeing, Risk and Insurance, Civil Contingencies (including Business Continuity), Procurement and Legal Services – ongoing.</p> | 1 | 7 | 7 |
| <p>Risk Owner: Head of Paid Service and Corporate Leadership Board (CLB).</p> | <p>Action Owner: Director of Workforce Change.</p> | | <p>Portfolio Flag: Finance, Governance and Performance.</p> | | | <p>Strategy Theme: Our Organisation.</p> | | | |

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| <p>CRR5: Business Continuity and Councils Service Resilience.</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"> • Strikes (People, Fuel). • Loss of key staff (communicable diseases and influenza epidemics). • Loss of suppliers. • Loss of accommodation to deliver key services. • Loss of equipment. • Any event which may cause major disruption. • Unavailability of IT and/or Telecoms. • Loss of staff/staff availability. • Knowledge loss. <p>Reduced chances of preventing/responding to incidents due to a lack of forward planning or investment.</p> | <p>The council’s Corporate Resilience Group (CRG) is supported by directorate representatives who meet quarterly to oversee the council’s Business Continuity arrangements / receive significant risks outside council’s Control which are reflected on the Local Resilience Forum Community Risk Register (LRF).</p> <p>Policies and procedures are in place. The Business Continuity Policy communicated to relevant staff. The Incident Response Plan updated in December 2019.</p> <p>Service Business Continuity Plans undergo ‘refreshing by services’ annually.</p> <p>An Incident Management Team training session was carried out November 2019.</p> <p>A Senior Management on-call rota has been devised agreed and is regularly monitored.</p> <p>A successful annual Pandemic Flu-themed continuity exercise was held on 5 Nov 2019.</p> <p>CLB accepted growth bid for extra staff on Civil Protection Unit (CPU) team.</p> <p>A Business Continuity Coordinator has been recruited and in post since the beginning of December 2020 and will lead the February review of service BC Plans.</p> <p>The Covid 19 emergency has required all services to activate and operationalise their Business Continuity Plans (BC).</p> | ↔ | 2 | 5 | 10 | <p>The Covid emergency has developed continuity planning across the Authority and our supply chains. BC Policy and Plan to be reviewed as part of Covid Recovery.</p> <p>Ensuring the learning Covid continuity planning is captured by teams, services and Directorates will be a key aim of the Covid Recovery.</p> <p>A Senior Management on-call rota (weekly) has been devised agreed and is regularly monitored. This rota - will define a core on-call, named officers including: ICT, Public Health, Facilities Management, Housing, Children Services, Adult Care and ICT.</p> <p>As part of the Covid recovery, the Businesses Continuity Working Group will be refreshed and plans for future exercises to test different elements of BCC Business Continuity arrangements with partners will be developed.</p> <p>New CPU officers in post. Greater alignment with the Operations Centre – created through the expansion to CPU manager’s role now titled – City Operational and Response Manager.</p> | 1 | 5 | 5 |
| <p>Risk Owner: Executive Director Growth and Regeneration / Head of Paid Service.</p> | <p>Action Owner: Director Management of Place and Civil Protection Manager.</p> | <p>Portfolio Flag: Finance, Governance and Performance.</p> | <p>Strategy Theme: Our Organisation, Wellbeing.</p> | | | | | | |

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| <p>CRR6: Fraud and Corruption.</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"> • Failure of management to implement a sound system of internal control and/or to demonstrate commitment to it at all times. • Not keeping up to date with developments in new areas of fraud. • Insufficient risk assessment of new emerging fraud issues. • Lack of clear management control of responsibility, authorities and / or delegation. • Lack of resources to undertake the depth of work required to minimise the risks of fraud / avoidance. <p>Under investment in fraud prevention and detection technology and resource.</p> | <p>A Policy is in place on anti-fraud, corruption and bribery and a Bribery and Corruption review has been completed which concluded that controls in the services most at risk of corruption are in place.</p> <p>The counter Fraud and Investigations team concentrates on areas of high fraud risk, investigates fraud promptly where suspected and sanctions appropriately.</p> <p>Work has been undertaken to determine the extent to which 'recoverable' overpayments are actually recovered to ensure the teams work is effectively targeted.</p> <p>An accessible route to report suspected fraud is available to the public and employee via online referral and dedicated phone line available to both employees and the public to report fraud.</p> <p>We have been 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>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>We are monitoring fraud indicators (warning signs and fraud alerts) to ensure anti- fraud approach is correctly targeted and we regularly meet with Legal services to ensure cases progress swiftly.</p> <p>Data sets submitted to National Fraud Initiative and output received and is currently being reviewed.</p> <p>New whistleblowing procedures were introduced with effect from 1st April transferring responsibility for co-ordinations, monitoring and reporting of such reports to Internal Audit.</p> | ↓ | 4 | 5 | 20 | <p>A significant distribution of financial support for both businesses and individuals is being rolled out at this time of national pandemic emergency. Urgent work is underway to assess the fraud risks of emergency financial measures being implemented in response to the current pandemic to ensure pragmatic but non-restrictive control processes are implemented to manage fraud risks with these measures.</p> <p>Procedures in response to the current pandemic take priority. Routine counter fraud and investigation work continues.</p> <p>Emergency financial measures being implemented in response to the current pandemic emergency (Covid 19) are urgently subject to fraud risk assessment by the IA team and advice provided to finance as appropriate. The Counter fraud and investigation team are supporting operational management as necessary to design appropriate protocols that ensure transparency and accountability in the management of public funds.</p> <p>Tools required to assist with fraud detection 'post emergency' are being further researched.</p> <p>Fraud prevention and early detection improvements are progressing. A mandate for the establishment of a regional fraud hub to maximise data use in the prevention and early detection of fraud has been approved. It is anticipated that the fraud hub will:</p> <ul style="list-style-type: none"> - widen data sets available for counter fraud work - regularise what are current ad hoc fraud identifying exercises for fraud prevention or early detection - maximise the use of technology for greater efficiency <p>A new Fraud Case Management System is being considered in time for contract renewal Spring 2020.</p> <p>Programme of fraud prevention and detection work is set out in the Internal Audit plan for 2020. The current emergency response will require revision to the plans.</p> | 3 | 5 | 15 |
| <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>CRR7: Cyber-Security.</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"> Lack of investment in appropriate technologies. Reliance on in-house expertise, and self-assessments (PSN). Lack of formal approach to risk management (ISO27001). Historic lack of focus. | <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 were carried out November 2018.</p> <p>An Information Governance Board was 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> <p>The Council is starting to use a SIRO checklist to capture and escalate cyber security risks.</p> <p>IG team have an operational level risk register that is being used to track local operational risks further aligning to best practice.</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>CRR9: Safeguarding Vulnerable Children.</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"> Failure to meet the requirements of the Children Act and associated legislation. Inadequate controls result in harm. Demand for services exceeds its capacity and capability. Increase in complex safeguarding risks, criminal exploitation, serious youth violence and gang affiliation. During Covid 19, in line with Govt guidelines, there is a reduction in face to face visits to families. Risk assessments are required to assess whether a face to face visit is required but not all families will receive a face to face visit where there are worries for a child. | <p>The Keeping Bristol Safe Board provides independent scrutiny of children's safeguarding arrangements in the city and holds BCC and partner agencies to account. This includes delivery of Safer Communities and the Prevent Duty.</p> <p>BCC works with partners to effectively identify victims and perpetrators of extra-familial abuse including Child Sexual exploitation, Criminal Exploitation and Serious Violence, taking action to disrupt and protect.</p> <p>Bristol's published policies and procedures, comprehensive training and development and monthly professional supervision help ensure safe practice and adequate control of risks.</p> <p>Bristol has invested in an integrated localities and team around the school and family approach aimed at meeting the needs of children and families at the earliest point.</p> <p>Children and Families' Services invests in its workforce and provides career progression opportunities.</p> <p>Bristol has established Violence Reduction Unit focussing on prevention, disruption and recovery from serious youth violence and is working with the University of Bedfordshire to develop its approach to contextual safeguarding in the city.</p> | ↔ | 2 | 7 | 14 | <p>Information sharing and analysis to improve our ability to understand and respond to children at risk of criminal exploitation and going missing.</p> <p>In response to an identified and increasing risk of serious youth violence and criminal exploitation a multiagency plan is being implemented under the Serious Youth Violence Exec Group.</p> <p>Service Delivery Plans for 2020-21 set out further actions to mitigate risks identified and deliver on our ambitions for children and families.</p> | 1 | 7 | 7 |
| Risk Owner: Director Children's and Families Services. | 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>CRR10: Safeguarding Adults at Risk with Care and support needs.</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"> • Adequacy of its controls. • Management and operational practices. • Demand for its services exceeded its capacity and capability. • Poor information sharing. • Lack of capacity or resources to deliver safe practice. • Failure to commission safe care for adults at risk. • Failure to meet the requirements of the “Prevent Duty” placed on Local Authorities. | <p>The Adults Safeguarding Board has 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>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>Review of the Safeguarding Pathway.</p> <p>Transforming the Safeguarding Adults Board.</p> <p>Considering transformational approaches to home care re-commissioning that may offer a more flexible employment offer.</p> <p>Planning placed based approaches to include working with micro providers.</p> | 1 | 7 | 7 |
| Risk Owner: Director Adult Social Care. | Action Owner: Director Adult Social Care. | | Portfolio Flag: Adult Social Care. | | | Strategy Theme: Our Organisation, Empowering others and Caring, Fair and Inclusive, Well connected, Wellbeing. | | | |

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| <p>CRR12: Failure to deliver suitable emergency planning measures and respond to and manage emergency events when they occur. (Civil Contingency and Resilience)</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"> • Critical services unprepared or have ineffective emergency and business continuity plans and associated activities. • Lack of resilience in the supply chain hampers effective response to incidents. • Lack of trained and available strategic staff. | <p>BCC plays a leading role in the Avon and Somerset Local Resilience Forum (LRF), the 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 works to the Avon and Somerset Community Risk Register.</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 volunteers have been recruited to aid emergency responses. Duty rotas in other key service delivery areas (e.g. Housing and Social Care) are also in place.</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 and arrangements for establishing Flax Bourton Public Mortuary as a dedicated disaster mortuary are in place.</p> <p>A progress paper on Civil Contingency is scheduled to go to the Corporate Leadership Board in early 2020.</p> <p>Recruitment and training of additional Emergency Centre Managers and Emergency Volunteers is ongoing.</p> <p>A review and exercise of the COMAH (Control of Major Accident Hazards) Plan is complete.</p> <p>The Covid-19 emergency has stretched the Council’s emergency response capacity and created additional strains and pressures across all responding agencies and the city systems in place to manage emergencies.</p> <p>The risk of a concurrent emergency during the Covid crisis is arguably higher than before the crisis. Covid pressures and additional safety considerations with regards to response have required the OOH CPU service reduce to a telephone only service. Partner agencies are aware.</p> <p>Measures for managing a concurrent emergency have been discussed with emergency services and e.g. the Fire Service has arrangements to support residential evacuations during this period. A ‘concurrent emergency’ plan is being drafted.</p> <p>Emergency Planning College (EPC)-led Strategic Incident Management Training session was delivered to senior officers in November 2019.</p> | ↔ | 2 | 7 | 14 | <p>An ‘Introduction to Emergency Planning’ e-learning package is in progress.</p> <p>Voluntary agency capacity to support incidents has been reviewed by BCC through the LRF.</p> <p>Training for staff to support incident response and recovery (admin, logging, logistics and support to victims, survivors and evacuees) is ongoing.</p> <p>We are in close contact with emergency services regarding the heightened risk of a concurrent emergency during Covid-19.</p> <p>‘Concurrent’ emergency arrangements are being put in place with partners.</p> <p>A ‘concurrent emergency plan’ is being drafted.</p> | 1 | 7 | 7 |
| Risk Owner: Executive Director Growth and Regeneration. | Action Owner: Director Management of Place, and Civil Protection Manager. | Portfolio Flag: Finance, Governance and Performance. | Strategy Theme: Our Organisation, Wellbeing. | | | | | | |

| Corporate Risk Register as at April 2020 – Threat Risks to the achievement of Bristol City Councils Objectives. | | | | | | | | | |
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| | | | Likelihood | Impact | Risk Rating | | Likelihood | Impact | Risk Rating |
| <p>CRR13: Financial Framework and Medium Term Financial Plan (MTFP).</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"> Failure to achieve Business Rates income- appeals/general economic growth/loss of major sites (in budget setting). Economic uncertainty impact on locally generated revenues - business rates and housing growth, impacting on council tax, new homes bonus and business rate income. Brexit - the general uncertainty affecting the financial markets, levels of trade & investment. Governments spending review 2020. Inadequate budgeting & budgetary control/Financial Settlements & wider fiscal policy changes: <ul style="list-style-type: none"> The potential for new funding formulas such as fair funding, business rates retention to significantly reduce the government funding available to the council alongside possible increase in demand for council services. Embedding of the new national funding formula for schools and High Needs. Political failure to facilitate the setting of a lawful budget. Unable to agree a deliverable programme of propositions that enable the required savings to be achieved. Insufficient reserves to mitigate risks and liabilities and provide resilience. Rising inflation could lead to increased cost. Judicial review. | <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>2020 Budget presented and approved by Cabinet Feb 2020.</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"> The maintaining of the evolving financial model that reflects in a timely manner changes in national and local assumptions. The level of reserves and balances are regularly reviewed to ensure that account is taken of any financial/economic risk and the adequacy of general reserves is determined as part of this exercise. Financial Regulations and Financial Scheme of Delegation is in place. Regular in-year monitoring and reporting, review of future financial plans and assessment of financial risks and reserves are undertaken to ensure the financial plans are delivered. Changes to savings in year are monitored by delivery executive. <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 is engaged with or receiving timely feedback from the range of Government working groups exploring future local funding.</p> <p>Refreshed of the MTFP and Capital Strategy and expanded our model to take in a longer term view.</p> | ↓ | 4 | 7 | 28 | <p>The impact of Covid-19 has had a significant impact on the financial sustainability of the organisation in the short term and long term. There is a significant immediate reduction in some of the Council's key income streams and also significant costs associated with the response.</p> <p>All underlying assumptions in the financial outlook will be reviewed as any economic downturn will significantly impact Council Tax growth and receipts as well as business rates retention</p> <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> <p>CIPFA Financial Management Code for Local Authorities has been released for full implementation from April 2021 which will have some additional requirements for the Council's financial management and governance of which we will seek to begin some implement measures in shadow form from April 2020.</p> | 2 | 3 | 6 |
| 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 April 2020 – Threat Risks to the achievement of Bristol City Councils Objectives. | | | | | | | | | |
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| | | | Likelihood | Impact | Risk Rating | | Likelihood | Impact | Risk Rating |
| <p>CRR15: Financial Deficit.</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"> • A failure to appropriately plan and deliver savings. • Unscheduled loss of material income streams. • Increase in demography, demand and costs for key council services. • The inability to generate the minimum anticipated level of capital receipts. • Insufficient reserves to facilitate short term mitigations, risks and liabilities. • Interest rate volatility impacting on the council's debt costs. Impairments in our commercial Investments are realised. | <p>BCC's Financial framework ensures that we have in place sound arrangements for financial planning, management, monitoring and reporting through to Corporate Leadership Team and Cabinet.</p> <p>The ongoing review and due diligence of all budget savings by Delivery Executive, Corporate Leadership Board and the Executive continues to be captured and monitored in the reports to Cabinet.</p> <p>We refreshed the Policy and Budget Framework and provided greater clarity in relation to the approval process for supplementary funding both capital and revenue.</p> <p>We have continual oversight and ongoing management of the council's financial risks and deep dives in areas reported of non-containable pressures.</p> <p>Regular reviews have been undertaken on the level and appropriateness of the earmarked reserves and where redirections have been south reported to Cabinet.</p> | ↓ | 4 | 3 | 12 | <p>Whilst latest budget monitoring is expecting an overspend on in-year budget increasing the likelihood of an overspend at year end provision has been made in setting the 20/21 budget to reinstate use of general reserve reducing the impact on the Council.</p> <p>Ensuring engagement at local, regional and national level in round table and working groups to keep abreast the spending review, Business Rates retention and new funding formulas for Local Government. To ensure funding for Bristol is maximised and impact of changes are fed into our long term financial planning and strategic planning.</p> <p>Ensure that there are sufficient reserves available to provide the Council with some resilience to material variations in spend forecasting and economic shocks.</p> <p>We will carry out frequent re-assessment of service delivery risks and opportunities and risk and other reserves.</p> <p>The financial impact of Covid-19 on the 2019/20 is being reviewed and will be offset against the grant funding where appropriate.</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. | | | | |

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| | | | Likelihood | Impact | Risk Rating | | Likelihood | Impact | Risk Rating |
| <p>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.</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"> • Not enough planning applications submitted. • Not enough permission granted. • Inability of the housebuilding industry to deliver at this level. • Increased uncertainty in the market due to Brexit. • Lack of capacity within the council's delivery system and the local market. • Insufficient housing land identified in planning documents. | <p>Secured planning permissions.</p> <p>Secured additional grant funding for infrastructure.</p> <p>Released land.</p> <p>Issued grants to Registered Providers (RPs).</p> <p>Established a 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>Worked collaboratively with Homes England to maximise subsidy in schemes to provide as much affordable housing as possible.</p> <p>Required a minimum of 30% affordable housing on land released by the Council.</p> <p>Revised the Affordable Housing Grant Funding Policy to ensure it is relevant and assist the delivery of new affordable homes.</p> <p>Created a single multi-disciplinary Housing Delivery Team and additional capacity with Property, Planning, Highways and Legal</p> | ↓ | 3 | 5 | 15 | <p>Monitoring the impact of the coronavirus on the Housing Market.</p> <p>Ongoing active engagement with Housing Association Partners to offer enabling support and grant funding to increase the provision of affordable housing at every opportunity. Looking at ways in which the HRA development programme can be accelerated.</p> <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 recruiting to new posts in the Housing Delivery Team.</p> <p>We are looking at opportunities to fund the acquisition of additional homes on development sites.</p> <p>Working Closely with Homes England to ensure additional subsidy is secured.</p> | 1 | 5 | 5 |
| Risk Owner: Executive Director Growth and Regeneration. | Action Owner: Director Development of Place. | Portfolio Flag: Housing. | | | Strategy Theme: Fair and Inclusive. | | | | |

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| | | | Likelihood | Impact | Risk Rating | | Likelihood | Impact | Risk Rating |
| <p>CRR19: Tree Management. 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"> The Council has 100,000 trees. Severe weather conditions and / or disease can lead to tree failure Lack of maintenance of trees can result in tree failure Some council trees are not being managed or inspected, increasing the chance of failure Failure to carry out regular and programmed tree inspections could result in tree and limb failure. | <p>The service is rolling out a new Quantified Tree Risk Assessment system which increases efficiency of tree inspections - raising the capacity to inspect with the same resources. Trees are being grouped and brought in to the new system and the process will continue through 2020 to 2022.</p> <p>The tree management contract has been re-tendered and a new five year contract began on 1st April 2020. The contract provides new scope to bring all trees on council-owned land in to management.</p> <p>The cost of this will be covered by the departments on whose land the trees are situated - more finance work is needed on this. One additional officer is being recruited to assess trees on land not currently proactively managed. The cabinet report of June 2019 proposed using the Parks reserve to pay for this post until the role can be mainstreamed into the council's revenue budget. GIS analysis work on trees is underway.</p> | ↔ | 3 | 5 | 15 | <p>Analysis continues on trees potentially at risk</p> <p>The tree management contract has been renewed from April 1st 2020 for 5+5 and incorporates potential uplift to manage a higher number of trees in council ownership. Contract has been extended for tree maintenance.</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 at service level. Relevant service asset managers have been advised.</p> <p>Carry out in-depth audit of non-managed sites to identify costs to service areas.</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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| | | | Likelihood | Impact | Risk Rating | | Likelihood | Impact | Risk Rating |
| <p>CRR21: General Data Protection Regulation (GDPR) compliance. If the Council fails to maintain a defensible and compliant response to the Data Protection Act 2018 and General Data Protection Regulation (GDPR) then it will fail to fully comply with its statutory requirements.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> Failure to invest in the required systems, equipment and posts required to implement these regulations. Failure to adequately train staff in the requirements of the regulations. Lack of resource (capacity or expertise) to manage Subject Access Requests. | <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.</p> <p>Guidance on GDPR compliance and breach reporting has been published on the Council's intranet (Source).</p> <p>Improved PIA process and PIA register.</p> <p>Business Continuity plan produced and updated to reflect new IG Service.</p> <p>The Council provides e-learning training for new starters on data protection.</p> <p>Data protection staff have attended training courses to maintain up to date knowledge and expertise.</p> | ↔ | 2 | 5 | 10 | <p>Continuing delivery of prioritised objectives to embed GDPR compliance in this quarter we are working on:</p> <ul style="list-style-type: none"> New starter's induction and awareness training. Training for offline staff. Reviewing procurement templates. Reviewing data protection policies. Progressing the business case for a privacy management system (with Head of Service and Director). Implementing a case management system. Team training plan. Targeted training for data protection champions within the Council. The purchase of a privacy management system is being considered as part of service and budget planning for 2020/21. A GDPR phase 2 project approved for 20/21 financial year to enable BCC to cement progress in our compliance with GDPR. This will include any audit findings that have been made over the last audit cycle as well as areas identified for improvement by the IG team. | 2 | 3 | 6 |
| Risk Owner: Senior Information Risk Owner (SIRO). | Action Owner: Senior Information Risk Owner (SIRO) and Statutory Data Protection Officer (SDPO). | Portfolio Flag: Finance, Governance and Performance. | | | Strategy Theme: Our Organisation. | | | | |

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| | | | Likelihood | Impact | Risk Rating | | Likelihood | Impact | Risk Rating |
| <p>CRR22: Partnerships Governance.</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"> Failure to establish and/or manage contracts, Service Level Agreements and/or Terms of Reference in relation to partnerships. Not maintaining a central register of partnerships, membership, governance arrangements and performance measures. No identified lead officer to progress development of partnership working as in proposals presented to the Audit Committee in April 2016. Outdated partnership policy and toolkit (last iteration 2010). A broad range of partnerships with variable degrees of formality. | <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>BCC has mechanisms in place for regular dialogue including formal partnerships.</p> <p>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 and iterated in consultation with relevant business partners. (June-Dec 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> | ↔ | 2 | 3 | 6 | <p>Pace is slower than originally planned in addressing this risk due to other priorities, a need to align to the One City Approach, teams not being fully recruited following restructure and the absence of a dedicated team or function handling 'Partnerships'. A key element of the action required is to consider how this is best managed corporately without a central team to resource it.</p> <p>The policy work and legal input has been completed. The policy is due to be disseminated within the decision pathway but this is subject to delay due to the Covid-19 crisis.</p> <p>We are reviewing and refreshing the Partnership Policy and Toolkit.</p> <p>Creating a template Terms of Reference and porting existing Terms of reference to it where required.</p> | 2 | 3 | 6 |
| Risk Owner: Head of Paid Service. | Action Owner: Head of Policy and Public Affairs | Portfolio Flag: Finance, Governance and Performance. | Strategy Theme: Our Organisation. | | | | | | |

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| | | | Likelihood | Impact | Risk Rating | | Likelihood | Impact | Risk Rating |
| <p>CRR23: Better Lives Programme</p> <p>Failure to deliver the required outcomes and savings from the Better Lives Programme due to statutory duties and population demands.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> Increased demand and complexity of Service Users' needs. The Provider Market is unable to meet needs in the required way and/or we suffer relationship breakdown. Other Directorates within the organisation are unable to support the Programme in the way required. Statutory requirements of Adult Social Care (ASC) mean resources have to be diverted away from Programme activity. Changes to the priorities of the wider health system and/or the National context, requires us to divert resources/focus away from the Programme's objectives. There is a lack of sufficient skills and capacity within Adult Social Care (ASC) to deliver the required change at the required pace. Focus on savings, demand management and specific areas of the service creates risk in other areas of adult social care where we have a statutory duty to deliver. Inadequate technology to support agile working efficiency results in current capacity being insufficient to deliver BAU work or engage with practise changes delivered through Programme. There is a lack of sufficient skills and capacity within Adult Social Care (ASC) to deliver the required change at the required pace | <p>Programme Board in place that meets monthly with representation from Executive Directors, cabinet member for Adults and NHS and has a key governance role for the Programme in terms of managing risk. Risks and issues are shared and actions and decisions arising are minuted and logged.</p> <p>The Programme Senior Responsible Officer (SRO) flags up risks and issues at key internal governance meetings e.g. People EDM, Statutory & Policy Board.</p> <p>A Trajectory management approach tracks key performance metrics across all areas which are shared with Programme Board, ASC DMT and People to identify risks, dependencies and alter priorities accordingly.</p> <p>Key interventions to improve Provider Market's ability to respond to changing requirements and needs e.g. Bristol Price introduced for residential and nursing care and unit cost for Home Care.</p> <p>Working closely with wider Council partners where there are dependencies e.g. Change Services, Housing, Communities, Information Communication Technology (ICT) and Procurement colleagues as well as external partners including NHS where there is direct impact between services.</p> <p>All 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>Interventions that are impacting new demand and enabling individuals to maximise their independence e.g. the introduction of the Bristol Price; increased capacity and investment in Home Care; increased capacity in the Reablement Service; Introduced a new Home First Service and a new Technology Enabled Care offer.</p> | ↓ | 3 | 7 | 21 | <p>Current phase of programme 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>Provider reviews to ensure that people are receiving the right care and support and freeing up capacity in the Market is now embedded into business as usual.</p> <p>New technology and ways of working to our Home First and Reablement teams in place and 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>Embedding the new Pathway to Independence service.</p> <p>Safeguarding Pathway review to ensure greater efficiency and response to Safeguarding Alerts.</p> <p>Opening two new Extra Care Housing sites in the City each with 60 units with BCC nomination rights (120 units in total). Also new 'First Home' provision for young adults (Preparing for Adulthood) March 20.</p> | 1 | 7 | 7 |
| Risk Owner: Director Adult Social Care. | Action Owner: Deputy Director -Adult Social Care | Portfolio Flag: Adult Social Care. | Strategy Theme: Our Organisation, Empowering others and Caring, Fair and Inclusive, Well connected, Wellbeing. | | | | | | |

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| | | | Likelihood | Impact | Risk Rating | | Likelihood | Impact | Risk Rating |
| <p>CRR24: Procurement and Contract Management Compliance</p> <p>Failure to ensure that BCC:</p> <ul style="list-style-type: none"> • Achieves value for money when purchasing goods and services. • Complies with legislation (including the risk of legal challenge), quality and cost. • Meets social value requirements for contract awards. • Ensure orders for goods / services are efficiently placed and observes agreed terms. • BCC do not take into account long term view with regards to TCO (Total Cost of Ownership) & Life Cycle Costs. • High incidence of non-contracted spends. <p>Key potential causes are:</p> <ul style="list-style-type: none"> • Poor / weak pre procurement forward planning and tender specifications. • Over reliance and inappropriate use of waivers. • Ineffective Supply chain and market engagement. • Poor / weak contract monitoring. • Supplier failure and missed opportunities of warning signs. | <p>New Procurement Rules were adopted in January 2020 by Full Council.</p> | ↔ | 3 | 5 | 15 | <p>Work is underway to assess how the Council can better deliver improvements on Contract Management arrangements. A tender has also been carried out to seek a Strategic Partner to add capacity and resilience to the Service</p> <p>Ongoing work continues and is in place to build the capabilities and capacity within the Service.</p> | 3 | 3 | 9 |
| <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> | | | | |

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| | | | Likelihood | Impact | Risk Rating | | Likelihood | Impact | Risk Rating |
| <p>CRR25: Suitability of Line of Business (LOB) systems</p> <p>The Councils reliance on legacy systems.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • Lack of desire to change; systems. • Significant transition activity leads to systems being expensive/complex to change. • Lack of understanding of consequences of not changing systems on ICT. • Lack of adherence to Procurement rules in relation to re-procurements. | <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> | | | | |

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| | | | Likelihood | Impact | Risk Rating | | Likelihood | Impact | Risk Rating |
| <p>CRR26: ICT Resilience.</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"> • Poor BCP planning and understanding of key system architecture. • Untested DR arrangements including data recovery. • Untested network reconfiguration to alleviate key location outage. • Untested recovery schedules in terms of order and instructions. • Lack of resilience available for legacy systems (single points of failure – people and technology). • Services undertaking their own IT arrangements outside of the corporate approach. | <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 IT Transformation 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.</p> <p>The ITTP includes the review of future DR arrangements with the move to cloud for most services, and a move to crown hosting for remaining, servers.</p> <p>The ITTP includes work to aid with the survivability and recovery of Cyber Security Incidents which will aid the resilience of key Council systems.</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 April 2020 – 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>CRR27: Capital Transport Programme Delivery</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"> • Overspend on individual schemes leading to uncontrollable cost pressures. • Underspend on annual profile. • Lack of coordination and programme management across divisions. • COVID 19. | <p>Transport Programme Team and Delivery Board established.</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> <p>Regular reviews with directors taking place, workshop carried out to examine governance and further improvements to processes.</p> | ↓ | 4 | 5 | 20 | <p>COVID-19 lockdown has restricted progress of all non-essential capital programme schemes. This is in part due to the non-essential nature of schemes but also down to the inability to carry out site surveys, engage and consult appropriately and to process TROs. We are aiming to start processing TROs following revised government guidance - decision currently with EDM. We are also reviewing the whole programme in light of the challenges posed by COVID-19.</p> <p>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&R) Board (monthly meeting).</p> <p>5 Year mapping ongoing, 19/20 programme mapped and ongoing.</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&R) Board (monthly meeting).</p> | 2 | 5 | 10 |
| Risk Owner: Executive Director Growth and Regeneration. | Action Owner: Director Economy of Place. | Portfolio Flag: Communities. | | | Strategy Theme: Our Organisation, Wellbeing. | | | | |

| Corporate Risk Register as at April 2020 – 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>CRR29: Information Security Management System (ISMS)</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"> Ineffective Information Security Management System, inadequate resources to create and maintain an ISMS, management buy in and support to operate an ISMS. | <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.</p> | ↔ | 4 | 5 | 20 | <p>Information Assurance are continuing to work with ICT and IGB on implementing an Information Security Management System.</p> <p>Contractor is in place and has begun creating policies to align BCC with ISO27001. These policies and procedures will be approved by the IGB.</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 April 2020 – 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>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.</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 Management of Place service area.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> Staff capacity. Procurement risks. Lack of resources. Unable to secure political agreement. Unable to secure stakeholder buy in in the time available. COVID 19. | <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> <p>Officers undertake initial works and the Mayor's Report was presented to Full Council 17th July 2019.</p> <p>Officers are working on the plan. Staff and consultancy resources are in place.</p> <p>Stakeholder engagement plan is in place and being implemented. Timetable remains very challenging.</p> <p>Mayor led Environment Sustainability Board being set up to oversee Climate Plan. 1st Meeting 10th July 2019.</p> <p>A proposal to allocate £250k of reserves has been approved by G&R EDM and CLB, and has now been approved by Cabinet.</p> | ↑ | 2 | 3 | 6 | <p>Measures have been finalised and implementation plans are being developed.</p> <p>Staff being allocated to complete the work.</p> <p>Commissioning consultants have been engage to help develop the Bristol Climate Strategy.</p> <p>Engagement plan with stakeholders is being implemented.</p> | 1 | 3 | 3 |
| Risk Owner: Executive Director Growth and Regeneration. | Action Owner: Climate Change & Sustainable City Manager | | Portfolio Flag: Strategic Planning and City Design | | | Strategy Theme: Wellbeing | | | |

| Corporate Risk Register as at April 2020 – 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>CRR31: Failure to deliver Mayor’s Climate Emergency Action Plan and One City Climate Strategy.</p> <p>We are unable to deliver actions committed to by Mayor and/or the goals of the One City Climate Strategy.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> Lack of BCC staff resources. Inability of partners and BCC colleagues to progress action on climate change due to Covid19. | <p>Officers undertake initial works and the Mayor’s Report was presented to Full Council 17th July 2019.</p> <p>Officers are working on the plan. Maternity cover is being provided. Additional 2nd officer to work on the programme in place.</p> <p>Stakeholder engagement plan is in place and being implemented. Timetable remains very challenging.</p> <p>One City Climate Strategy - the main and priority task - has been completed.</p> <p>However, staff resource was due to be increased in 2020/21 using resources allocated in the Council Budget. This recruitment is paused due to Covid19.</p> | New | 4 | 5 | 20 | <p>Dissemination and partner engagement of the strategy has been paused due to Covid19 and is being redesigned to be online.</p> <p>Moving to delivery of the climate strategy. Funding has been allocated in the budget. Staff structure agreed but recruitment has been paused due to Covid19.</p> <p>Commissioning consultants to help develop the Bristol Climate Strategy. Initial ones in place but further consultants won’t be procured until October.</p> <p>Mayor led Environment Sustainability Board being set up to oversee Climate Plan. 1st Meeting 10th July</p> <p>A proposal to allocate £250k of reserves has been approved by G&R EDM and CLB, and has now been approved by Cabinet</p> <p>Staff Resource request has been made for an additional officer</p> <p>Staff and consultancy resources are in place for 19/20.</p> <p>Engagement plan with stakeholders is being re-designed in the light of Covid19.</p> <p>Funding allocated in 2020/21 budget for Climate Change and business case/ programme is being developed.</p> <p>Staffing structure has been approved but recruitment has been paused.</p> | 1 | 3 | 3 |
| Risk Owner: Executive Director Growth and Regeneration. | Action Owner: Director Development of Place. | Portfolio Flag: Communities. | | | Strategy Theme: Our Organisation, Wellbeing. | | | | |
| Corporate Risk Register as at April 2020 – 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>CRR32: The supply of affordable housing not sufficient to meet community needs.</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"> Subsidy availability. COVID 19. | <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> <p>Refer to CRR18 above for full list of interventions</p> | New | 3 | 7 | 21 | <p>We are reviewing the impact of Covid-19 on Housing Association and Developer Partners delivery Programmes.</p> <p>Intending to refocus the Housing Delivery Team delivery programme to de-risk sites to create a pipeline of investable development opportunities to bring forward for development once the impact of Covid-19 on the housing market are clearer.</p> <p>Continue to promote the Affordable Housing Grant Funding Programme to maximise the opportunities to deliver affordable housing potentially unlocking stalled sites.</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> <p>Refer to CRR18 above</p> | 2 | 7 | 14 |
| Risk Owner: Executive Director Growth and Regeneration. | Action Owner: Director Development of Place. | Portfolio Flag: Communities. | | | Strategy Theme: Fair and Inclusive. | | | | |

| Corporate Risk Register as at April 2020 – 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>CRR33: Failure to Deliver Joint Spatial Plan (JSP) The JSP is not found sound at examination or adopted by Full Council.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> JSP Inspectors not satisfied by evidence re housing numbers, unable to justify delivery of housing/employment numbers through policy. Members not satisfied by Inspectors modifications/approach. | <p>Undertaken review of letters from the Planning Inspectorate; sought advice from QC; Sought advice from Mayors and Leaders of the UAs and WECA on mechanisms for ongoing strategic land use policy development.</p> <p>Decision now taken to withdraw from JSP process. New process for preparing strategic planning policies for WECA authorities to be confirmed.</p> | New | 4 | 5 | 20 | <p>Progress on strategic policy development with West of England (WoE) will be informed by Mayor and Leaders. Cabinet member engagement in arising issues will be key as will engagement with Mayors office aware. New risk stream to be identified from Q1 2020/2021.</p> <p>We are working with WoE Mayors/Leaders and Cabinet members and MHCLG to establish best mechanism for providing Strategic Planning advice for the WoE</p> <p>We have regular briefings for Cabinet members and Mayor's Office and members of the Local Plan Working Group on progress with the strategic planning policy mechanisms to ensure proposed approach in response to Inspectors letter and any modifications brought forward are understood and acceptable</p> <p>Commissioning of refreshed and new evidence base to support the early provision and adoption of strategic policy and the rapid completion of the Bristol Local Plan review.</p> <p>We are preparing for new strategic policy preparation approach</p> | 2 | 5 | 10 |
| Risk Owner: Executive Director Growth and Regeneration. | Action Owner: Director Development of Place. | Portfolio Flag: Communities. | | | Strategy Theme: Fair and Inclusive. | | | | |

| Corporate Risk Register as at April 2020 – 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>OPP1: One City Approach.</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"> • Mayoral aspiration and widespread partner sign-up to the principle. • Work to date has produced outline plan and engaged partners in the long-term vision and necessary work to complete the plan. | <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 appointed to the Head of City Office role, 2x Operational and Stakeholder Engagement Managers, a SDG Coordinator and a sequence of interns, work experience and external offers of resourcing to support the initiatives.</p> <p>We have established all One City Boards.</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> <p>Established the leadership framework with a regular meeting pulse and associated governance mechanisms.</p> <p>We have launched the One City Plan refreshed 2020 version in January 2020</p> <p>As part of the response to Covid-19, a One City Approach has been used to coordinate a 'One City' response, helping to bring together leaders from key city institutions around shared priorities, using relationships developed through the work of the City Office to improve stakeholder engagement and communications</p> | ↔ | 3 | 7 | 21 | <p>Due to Covid-19, the potential for local sponsorship for the City Office is likely reduced; there may however be other funding opportunities available at a national or international level</p> <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>Producing One City Plan for v2 in January 2020.</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 April 2020 – 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>OPP2: Corporate Strategy.</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"> • Approved Corporate Strategy provides the foundation and direction for the organisation. | <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> <p>Completed six-monthly performance reviews in ITrent.</p> <p>We learned from last year's business planning process and have made improvements for 2020/21. This was launched formally in Sept 2019.</p> | ↔ | 4 | 7 | 28 | <p>Due to Covid-19 pandemic we have had to postpone publication of the Corporate Business Plan and this will be carried out in Q1 20/21 to accommodate new priorities.</p> <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 April 2020 – 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>OPP3: Devolution.</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"> Potential development of second devolution deal. | <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> <p>We worked with partners to establish a cross-border economic powerhouse for western England and south Wales, the Western Gateway, an entity similar to the well-established Northern Powerhouse.</p> | ↔ | 3 | 5 | 15 | <p>We are engaging with HM Government and WECA as well as working alongside other combined authorities and core cities on potential devolution options. There are risks that devolution takes a different turn following Covid-19 pandemic.</p> <p>We will continue to engage with WECA at strategic level.</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 April 2020 – 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>OPP4: Brexit.</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"> Exiting the European Union. | <p>BCC published a No Deal Impact Assessment and established a Brexit Project Board to manage the council's preparedness. The opportunity score reflects the highest opportunity score as set out in the No Deal Impact Assessment. Preparing for Brexit outcomes post-transition phase. 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, Brexit and Covid 19

| Corporate Risk Register as at April 2020 - 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>BCCC1: Flooding.</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 flood events.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> Tidal surge, heavy rainfall, and river flood events. Impact of climate change. Lack of effective flood defences and preparedness for major incidents. Failure of existing flood defences. | <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>Work has started with the Environment Agency and South Gloucestershire Council to construct new sea defences in Avonmouth and Severnside.</p> <p>Technical studies have been undertaken to develop a strategy for managing the risk of flooding from the river Avon to the city centre over the next century</p> <p>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 which comprises of 5 key themes 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 and objectives:</p> <ul style="list-style-type: none"> Working in partnership with the Environment Agency to complete and deliver the Bristol Avon Flood Risk Management Strategy to protect the city centre, including allowances for climate change. Working in partnership with South Gloucestershire and the Environment Agency to deliver a flood scheme to help protect Avonmouth Village and the Enterprise Area from tidal flooding, including allowances for climate change. Actively managing flood risk infrastructure Ensuring development is sustainable, seeks to reduce flood risk and includes consideration to climate change | 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 Risk Register as at April 2020 - 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>BCCC2: Brexit</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"> Exiting the European Union. Lack of agreed Trade Deal and/or a defined permanent future relationship with the EU. Unprecedented and complex national / international process. Lack of planning by the authority. | <p>We have established and operated a city-wide Bristol Brexit Response Group.</p> <p>Working with Core Cities and M8 leaders on concerted joint efforts, including meeting Michel Barnier.</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, then refreshed it in Q2 19/20.</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>Established TOR for a Brexit Coordination Group to manage daily activity in a No Deal scenario (Jan 2019) and tested (Mar 2019).</p> <p>Established regular meeting of Brexit Lead Officers from neighbouring authorities and WECA to share approaches and best practice. (Sep 19).</p> | ↓ | 3 | 7 | 21 | <p>The General Election result in December 2019 led to a vote in Parliament to leave the EU. The transition phase is due to last until end of December 2020.</p> <p>We are monitoring developments concerning Brexit since the Covid-19 crisis broke. As this is an external risk, it is challenging to assess, and is changing very frequently.</p> <p>The Brexit Project Board to ensure preparedness for any Brexit outcome following the transition and work has been carried out on actions which can be taken in any future scenario. This is monitored by the Project Board (which now meets on needs-to basis and reported to Statutory and Policy Board.</p> <p>The risk rating remains high due to ongoing national uncertainty and on the basis of the highest score in the council's No Deal Scenario Assessment. We continue to implement actions identified through No Deal Brexit Scenario Assessment as required. 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>Continue to meet with neighbouring Brexit Lead Officers and plan further actions together, including shared initiatives.</p> <p>Taking forward a range of actions set by Brexit Project Board. Ongoing.</p> | 2 | 5 | 10 |
| 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 April 2020 - 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>BCCC3: COVID-19</p> <p>A failure to respond and recover effectively to the Covid crisis will jeopardise the delivery of statutory duties across the Council, put the lives and welfare of staff and service users at risk, create additional social anxiety, cause unnecessary expense, undermine Council finances and severely damage the Council's reputation.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • Staff sickness, absence and bereavement. • Surges in demand in key service areas, particularly social care, safeguarding, housing, community engagement, hardship, public health and civil protection. • A lack of personal protective equipment for staff and providers. • Increased social anxiety and community tension. • Failure of key providers and contractors. • A lack of management control and oversight associated with home working. • Failure to identify and seize opportunities. | <p>The Council has moved at pace to change the way that it works across every Directorate and Service area:</p> <ul style="list-style-type: none"> • An Incident Management Team has been operating since the outset of the pandemic crisis, coordinating the response and managing emerging risks and issues, including twice weekly Silver meetings and a wide Coronavirus Coordination Group. • Twice weekly CLB/Gold meetings are taking place. • Mayoral and Member briefings are being held regularly. • 6 'cross-cutting' cells have been established covering: Info and communications, Logistics (incl. PPE), HR and staff redeployment, IT and homeworking, Public Health and finance and funding. • 13 workstreams are underway covering: Community Safety, Children and Families, Community Mobilisation, Hardship, Public Facing Services, Education, Waste, Housing and Landlord Services, Homelessness and Complex Needs, Adult Social Care, Economic Impact, Parks and Green Spaces and After Death. | New | 4 | 7 | 28 | <ul style="list-style-type: none"> • Work on the transition out of 'lockdown' is underway. • Work on the recovery structure is underway. • Project Health Check' looking at the sustainability and governance of the above, including a Covid Operational Risk Register - risks associated with the Covid Emergency, has been completed, regularly monitored and actioned. | 2 | 7 | 14 |
| Risk Owner: CLB (For discussion at G&R EDM) | Action Owner: Director Resilience (For discussion G&R EDM) | Portfolio Flag: Corporate wide. | Strategy Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing. | | | | | | |

| 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 19/20 - Apr 20/21 | |
|---|---------|--|--|------------------------------|--------|------------------------------|--------|-------------------------------|--------|------------------------------|--------|------------------------------------|--------|
| Page | Risk ID | Risk | Risk Owner | Rating | Travel | Rating | Travel | Rating | Travel | Rating | Travel | Rating | Travel |
| 8 | CRR13 | Financial Framework and MTFP | Director of Finance (Section 151 Officer) | 3x5=15 | ↓ | 2x5=10 | ↑ | 2x5=10 | ↔ | 2x5=10 | ↔ | 4x7=28 | ↓ |
| 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 | ↔ | 2x7=14 | ↑ | 3x7=21 | ↓ |
| 15 | CRR32 | The supply of affordable housing not sufficient to meet community needs | Executive Director Growth and Regeneration | | | | | | | | | 3x7=21 | New |
| 11 | CRR23 | Better Lives Programme | Executive Director, People | 2x7=14 | ↔ | 2x7=14 | ↔ | 2x7=14 | ↔ | 2x7=14 | ↔ | 3x7=21 | ↔ |
| 5 | CRR7 | Cyber-Security(Previously Cyber-Attack) | Senior Information Risk Owner (SIRO) | 3x7=21 | ↔ | 3x7=21 | ↔ | 3x7=21 | ↔ | 3x7=21 | ↔ | 3x7=21 | ↔ |
| 13 | CRR27 | Capital Transport Programme Delivery | Executive Director Growth and Regeneration | 3x7=21 | New | 3x5=15 | ↑ | 3x5=15 | ↔ | 3x3=9 | ↑ | 4x5=20 | ↓ |
| 4 | CRR6 | Fraud and Corruption | Executive Director Resources and Director of Finance (Section 151 Officer) | 3x5=15 | ↔ | 3x5=15 | ↔ | 3x5=15 | ↔ | 3x5=15 | ↔ | 4x5=20 | ↓ |
| 15 | CRR31 | Failure to deliver Mayor's Climate Emergency Action Plan and One City Climate Strategy | Executive Director Growth and Regeneration | | | | | | | | | 4x5=20 | New |
| 16 | CRR33 | Failure to Deliver Joint Spatial Plan (JSP) | Executive Director Growth and Regeneration | | | | | | | | | 4x5=20 | New |
| 12 | CRR25 | Suitability of Line of Business Systems (LOB) | Senior Information Risk Owner (SIRO) | 3x5=15 | ↔ | 4x5=20 | ↓ | 4x5=20 | ↔ | 4x5=20 | ↔ | 4x5=20 | ↔ |
| 14 | CRR29 | Information Security Management System | Senior Information Risk Owner (SIRO) | | | 4x5=20 | New | 4x5=20 | ↔ | 4x5=20 | ↔ | 4x5=20 | ↔ |
| 9 | 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 | ↔ | 2x5=10 | ↔ | 3x5=15 | ↓ |
| 12 | CRR24 | Procurement and contract management compliance | Executive Director Resources and Director of Finance (Section 151 Officer) | 3x5=15 | ↔ | 3x5=15 | ↔ | 3x5=15 | ↔ | 3x5=15 | ↔ | 3x5=15 | ↔ |
| 10 | CRR19 | Tree Management | Executive Director Growth and Regeneration | 3x5=15 | ↔ | 3x5=15 | ↔ | 3x5=15 | ↔ | 3x5=15 | ↔ | 3x5=15 | ↔ |
| 13 | CRR26 | ICT Resilience | Head of Paid Service, service area leads | 3x7=21 | ↔ | 2x7=14 | ↑ | 2x7=14 | ↔ | 2x7=14 | ↔ | 2x7=14 | ↔ |
| 1 | CRR3 | Asbestos Management | Head of Paid Service and CLB | 3x7=21 | ↔ | 3x7=21 | ↔ | 2x7=14 | ↑ | 2x7=14 | ↔ | 2x7=14 | ↔ |
| 2 | CRR4 | Corporate Health, Safety and Wellbeing | Head of Paid Service and CLB | 3x7=21 | ↔ | 3x7=21 | ↔ | 2x7=14 | ↑ | 2x7=14 | ↔ | 2x7=14 | ↔ |
| 5 | CRR9 | Safeguarding Vulnerable Children | Director Children's and Families Services | 2x7=14 | ↔ | 2x7=14 | ↔ | 2x7=14 | ↔ | 2x7=14 | ↔ | 2x7=14 | ↔ |
| 6 | CRR10 | Safeguarding Adults at Risk with Care and support needs. | Director Adult Social Care | 2x7=14 | ↔ | 2x7=14 | ↔ | 2x7=14 | ↔ | 2x7=14 | ↔ | 2x7=14 | ↔ |
| 7 | CRR12 | Failure to deliver suitable emergency planning measures, respond to and manage emergency events when they occur | Executive Director Growth and Regeneration | 2x7=14 | ↔ | 2x7=14 | ↔ | 2x7=14 | ↔ | 2x7=14 | ↔ | 2x7=14 | ↔ |
| 9 | CRR15 | Financial Deficit | Director of Finance (Section 151 Officer) | 1x5=5 | ↔ | 2x5=10 | ↓ | 2x5=10 | ↔ | 2x5=10 | ↔ | 4x3=12 | ↓ |
| 3 | CRR5 | Business Continuity and Council Resilience | Head of Paid Service / Executive Director Growth and Regeneration | 3x5=15 | ↔ | 3x5=15 | ↔ | 2x5=10 | ↑ | 2x5=10 | ↔ | 2x5=10 | ↔ |
| 10 | CRR21 | General Data Protection (GDPR Compliance) | Senior Information Risk Owner (SIRO) | 3x5=15 | ↔ | 2x5=10 | ↑ | 2x5=10 | ↔ | 2x5=10 | ↔ | 2x5=10 | ↔ |
| 14 | 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 | 2x5=10 | ↑ | 2x3=6 | ↑ |
| 11 | CRR22 | Partnerships Governance | Head of Paid Service | 3x3=9 | ↑ | 3x3=9 | ↔ | 3x3=9 | ↔ | 2x3=6 | ↑ | 2x3=6 | ↔ |

| Corporate Risk Performance Summary for closed / de-escalated risks | | | | 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 19/20 – Apr 20/21 | |
|--|---------|-----------------------------|--|------------------------------|--------|------------------------------|--------|-------------------------------|--------|------------------------------|--------|------------------------------------|--------|
| Status | Risk ID | Risk | Risk Owner | 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 | | | | | | |
| Merged into CRR1 | CRR11 | BCC Infrastructure Delivery | Director of Finance (Section 151 Officer) and Executive Director Growth and Regeneration | 2x7=14 | ↔ | 2x7=14 | ↔ | 2x7=14 | ↔ | 2x7=14 | Closed | | |

| Corporate Risk Performance Summary for Opportunity risks | | | | 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 19/20 – Apr 20/21 | |
|--|---------|--------------------|----------------------|------------------------------|--------|------------------------------|--------|-------------------------------|--------|------------------------------|--------|------------------------------------|--------|
| Page | Risk ID | Risk | Risk Owner | Travel | Rating | Rating | Travel | Rating | Travel | Rating | Travel | Rating | Travel |
| 17 | OPP2 | Corporate Strategy | Head of Paid Service | 4x7=28 | ↔ | 4x7=28 | ↔ | 4x7=28 | ↔ | 4x7=28 | ↔ | 4x7=28 | ↔ |
| 17 | OPP1 | One City | Head of Paid Service | 4x5=20 | ↔ | 4x5=20 | ↔ | 3x7=21 | ↑ | 3x7=21 | ↔ | 3x7=21 | ↔ |
| 18 | OPP3 | Devolution | Head of Paid Service | 3x5=15 | ↔ | 3x5=15 | ↔ | 3x5=15 | ↔ | 3x5=15 | ↔ | 3x5=15 | ↔ |
| 18 | OPP4 | Brexit | Head of Paid Service | 1x5=5 | ↔ | 1x5=5 | ↔ | 1x5=5 | ↔ | 1x5=5 | ↔ | 1x5=5 | ↔ |

| Corporate Risk Performance Summary for External and Civil Contingency risks | | | | 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 19/20 – Apr 20/21 | |
|---|---------|-----------|--|------------------------------|--------|------------------------------|--------|-------------------------------|--------|------------------------------|--------|------------------------------------|--------|
| Page | Risk ID | Risk | Risk Owner | Travel | Rating | Rating | Travel | Rating | Travel | Rating | Travel | Rating | Travel |
| 20 | BCCC3 | COVID -19 | Executive Director Growth and Regeneration | | | | | | | | | 4x7=28 | New |
| 19 | BCCC2 | Brexit | Head of Paid Service | 4x5=20 | ↔ | 3x7=21 | ↓ | 3x7=21 | ↔ | 2x7=14 | ↑ | 3x7=21 | ↓ |
| 19 | BCCC1 | Flooding | Executive Director Growth and Regeneration | 3x5=15 | ↔ | 3x5=15 | ↔ | 3x5=15 | ↔ | 3x5=15 | ↔ | 3x5=15 | ↔ |

Risk Scoring Matrix

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

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

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

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

LIKELIHOOD AND IMPACT RISK RATING SCORING**Likelihood Guidance**

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

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