


Corporate Risk Register as at June 2020 – Threat Risks to the achievement of Bristol City Councils Objectives.								
Risk title and description	What we have done	Performance	Current Risk Level			Tolerance Risk Level		
			Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p>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 and the AGR are regularly reviewed and re-prioritised by the G&R Board.</p> <p>The Covid-19 pandemic in March 2020 impacted on the progress / delivery of some major projects owing to restrictions placed on based working, supply chain partners furloughing staff, and building material suppliers only delivering to critical construction projects. By the end of June 2020 works are again commencing.</p> <p>NB: There was no halting of reactive or planned highways works during COVID-19, this included the works commencing at the Cumberland Basin (£5m).</p> <p>In response to the Covid-19 pandemic a review and prioritisation exercise of all major projects commenced in April and has been on-going throughout Quarter 1.</p>	<p>↔</p>	3	7	21	1	7	7
<p>Risk Owner: Executive Director Growth and Regeneration, Executive Director Resources and S151 Officer.</p>	<p>Action Owner: Executive Director Growth and Regeneration, Director Finance, Director Commercialisation and Citizens.</p>	<p>Portfolio Flag: Finance, Governance and Performance.</p>	<p>Strategy Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing.</p>					

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<p>CRR2: 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.</p> <p>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.</p> <p>Property CHASM project is underway, to ensure all premises report on compliance.</p>	↔	2	7	14	<p>The structure of the new team has been identified by the Construction Safety Manager and recruitment to post is ongoing.</p> <p>The terms of reference for the new Team are being developed, it is envisaged that the team will take working responsibility for the Keystone asbestos management software and for leading other asbestos improvement strategies from January 2020.</p> <p>Progress has been made with the action plan; a second detailed review will be carried out by the Safety Health and Wellbeing Team and the Construction Health and Safety Manager to reassess the effectiveness of the asbestos management plan. This is scheduled for June 2020.</p>	1	7	7
<p>Risk Owner: Chief Executive and Corporate Leadership Board (CLB) / Director HR, Workforce and Organisational Design.</p>	<p>Action Owner: Director of Commercialisation and Citizens (for Corporate Estate) and Director of Housing and Landlord Services (for Social Housing).</p>	<p>Portfolio Flag: Finance, Governance and Performance.</p>	<p>Strategy Theme: Our Organisation.</p>						

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<p>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 included 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 September2020.</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. December 2020.</p> <p>A review of training is being undertaken. Linked to the developing strategy and management system. December 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 is ongoing.</p> <p>We have currently been working across the organisation to ensure that all buildings are COVID-19 secure. The fire team have now joined the corporate health and safety and wellbeing team and we are developing a fire strategy to ensure compliance across the organisation. This is now being linked to the safety health and wellbeing strategy. Interim report to CLB in September 2020.</p>	1	7	7	
<p>Risk Owner: Chief Executive and Corporate Leadership Board (CLB), Director of Workforce Change.</p>	<p>Action Owner: Director of Workforce Change, Head of Health Safety and Wellbeing.</p>	<p>Portfolio Flag: Finance, Governance and Performance.</p>			<p>Strategy Theme: Our Organisation.</p>					

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<p>CRR5: Business Continuity (BC) 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	7	14	<p>Due to Covid-19, the Corporate Business Continuity Plan will be reviewed in Q3 and Q4 2020/21.</p> <p>The Covid emergency further developed continuity planning across the Authority and our supply chains. BC Policy and Plans to be reviewed as part of Covid Recovery.</p> <p>Business Continuity Manager will ensure the learning Covid continuity planning is captured by teams, services and directorates. This will feed into the Council’s approach to Recovery.</p> <p>New Senior Management on-call rota (weekly) has been introduced containing the core services on-call points of contact, including ICT, Public Health, Facilities Management, Housing, Children Services, Adult Care and ICT.</p> <p>The Businesses Continuity Working Group will be refreshed within the year and we are currently drafting a plan for future exercises to test different elements of BCC Business Continuity arrangements with partners July 2019 was delayed. 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>Recruitment of a new CPU Manager will add a much needed resources and focus on both internal and external business continuity.</p>	1	5	5
<p>Risk Owner: Executive Director Growth and Regeneration Chief Executive, Director Management of Place.</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. The policy is reviewed annually and approved by CLB and the Audit Committee November 2019.</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>Emergency financial measures being implemented in response to the current pandemic emergency (Covid-19) were subject to fraud risk assessment by the team and advice provided to finance as appropriate. The Counter fraud and investigation team supported operational management as necessary to design appropriate protocols that ensure transparency and accountability in the management of public funds. Pre and post -payment fraud checks in respect of significant support being distributed by the Council to businesses has been a key focus of the teams work during Q1. This work will continue in Q2 as distributions continue to be made. Tools required to assist with fraud detection have been acquired as necessary in support pre and post payment fraud checking.</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. New whistleblowing arrangements are in place from 1st April 2020 with strengthened co-ordination, monitoring and reporting of such reports to Internal Audit. The Audit Committee will oversee the effectiveness of the new procedures via regular update reports.</p> <p>Staff are reminded about ethics and conduct via fraud awareness training and other publicity and continual maintenance of Counter Fraud information on Web pages.</p> <p>Counter Fraud Performance is monitored by Audit Committee via the Annual and half yearly Counter Fraud Updates.</p> <p>We are monitoring fraud indicators (warning signs and fraud alerts) to ensure anti-fraud approach is correctly targeted.</p> <p>Proactive exercises, including the national fraud initiative are routinely carried out.</p>	↔	4	5	20	<p>A significant distribution of financial support for both businesses and individuals has occurred at this time of national pandemic emergency. Some further payments are still to be distributed.</p> <p>Pre and post payment fraud checking has been priority for the counter fraud team during Q1 2020/21 with the aim of balancing expedition of payment to support local businesses against the need to ensure fraudulent applications for support were not paid. Pre-payment checking is complete for phase 1 of the discretionary grants and on-going for the Business grants and phase 2 of the discretionary grants Tenancy fraud work and where essential, other counter fraud and investigation work has continued but team resources have focussed on supporting the Council's emergency response. Moving into Q2 2020/21 post payment checking will continue alongside routine counter fraud and investigation work.</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.</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> <p>We are reporting to the Audit Committee regarding implementation of new whistleblowing arrangements.</p> <p>In relation to government grants to support businesses and individuals during the pandemic, both pre and post payment checks are being undertaken to identify potential fraudulent claims and assist the claw back of any funding obtained incorrectly.</p>	3	5	15
Risk Owner: Chief Executive and Director of Finance (\$151 Officer).	Action Owner: Director of Finance, Chief Internal Auditor.		Portfolio Flag: Finance, Governance and Performance.			Strategy Theme: Our Organisation.			

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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 (IGB) 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>Information Governance Team (IG) have an operational level risk register that is being used to track local operational risks further aligning to best practice.</p>	<p>↑</p>	4	5	20	<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> <p>The IG Team are continuing to work with ICT and Microsoft on the ITTP programme to ensure that this is done in line with industry best practice and recognised standards. Progress on the ISMS is continuing.</p> <p>Resources have been appointed to facilitate the improvements required as per the agreed budget. These will also be needed to support capital projects.</p>	1	5	5
Risk Owner: Chief Executive, Senior Information Risk Owner (SIRO).	Action Owner: Head of Information Assurance, Information Governance.	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. An increase in demand of up to 5% is anticipated as a result of Covid and economic downturn, with some children more vulnerable to exploitation and abuse as a result of lost safe, stable and nurturing relationships. 	<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>	<p>↔</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 identified and increasing risk of serious youth violence and criminal exploitation a multiagency plan is in place and will be monitored by the Serious Youth Violence Exec Group.</p> <p>Service Delivery Plans for 2020-21 have been reviewed and set out further actions to mitigate risks identified and deliver on our ambitions for children and families.</p>	1	7	7
Risk Owner: Executive Director People, 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> <p>The Adults Delivery Group is up and running and a new Transitions theme has also been instituted.</p>	↔	2	7	14	1	7	7
Risk Owner: Executive Director People, 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	1	7	7
<p>Risk Owner: Executive Director Growth and Regeneration, Director Management of Place.</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>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. • Review of local Government funding through fair funding formula and business rates retention. • Impact of Covid-19 on key income sources • 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 February 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>We have restructured the finance team. 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: Chief Executive and Director of Finance (S151 Officer).	Action Owner: Director of Finance (S151 Officer), Chief Accountant.		Portfolio Flag: Finance, Governance and Performance.			Strategy Theme: Our Organisation.			

Corporate Risk Register as at June 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>CRR15: In-Year 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>The latest budget monitoring is forecasting an overspend on in-year budget increasing the likelihood of an overspend at year end. The impact of Covid-19 has been offset in part by additional Government funding and there are corporate mitigations for the residual pressures.</p> <p>The overspend not related to Covid will require individual recovery plans and mitigation which are to be developed in the coming months to reduce the likelihood of unplanned drawdown from reserves at year end.</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>	1	5	5
Risk Owner: Director of Finance (\$151 Officer).	Action Owner: Director of Finance (\$151 Officer), Chief Accountant.	Portfolio Flag: Finance, Governance and Performance.	Strategy Theme: Our Organisation.						

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<p>CRR18: Failure to deliver enough homes to meet the City’s needs. (Previously 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. • Insufficient housing land identified in planning documents. • Inability of the housebuilding industry to deliver at this level. • Increased uncertainty in the market due to Brexit and Covid-19. 	<p>Granted 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 and review the impact of the coronavirus on the Housing Market, on Housing Association and Developer Partners delivery Programmes.</p> <p>We refocus the HDT 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>We have 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> <p>Continue to promote the Affordable Housing Grant Funding Programme to maximise the opportunities to deliver affordable housing potentially unlocking stalled sites.</p> <p>We are considering amending the Affordable Housing Practice Note and Grant Funding Policy to stimulate delivery of affordable homes.</p>	1	5	5
Risk Owner: Executive Director Growth and Regeneration, Director Development of Place.	Action Owner: Director Development of Place.	Portfolio Flag: Housing.	Strategy Theme: Fair and Inclusive.						

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<p>CRR19: Tree Management.</p> <p>Risk of trees and tree limbs falling and causing harm to people or property due to unfavourable weather conditions and tree diseases.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> 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 (QTRA) 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 1 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.</p> <p>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. Analysis of all trees is the main task and this takes time to complete. Desktop mapping is completed and trees will need to be assessed. Cabinet report approval means that additional personnel resource is being recruited to undertake the work. Finance work to identify budget to pay for tree maintenance works from landowning departments still needs to be done. Departments were alerted initially October 2019.</p> <p>New tree management contract procured. QTRA system being rolled out via tree audits and tree group ID.</p>	1	5	5
Risk Owner: Executive Director Growth and Regeneration, Director Management of Place.	Action Owner: Director Management of Place.	Portfolio Flag: Communities.			Strategy Theme: Our Organisation, Wellbeing.				

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<p>CRR21: General Data Protection Regulation (GDPR) compliance.</p> <p>If the Council fails to maintain a defensible and compliant response to the Data Protection Act 2018 and General Data Protection Regulation (GDPR) then it will fail to fully comply with its statutory requirements.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> 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> <p>Operational level risk register maintained and monitored that is being used to track local operational risks further aligning ourselves with best practice.</p> <p>COVID-19 has brought new challenges to Information Governance including new systems and ways of working being rolled out. The team are working closely with relevant services such as ICT to ensure that Information Governance is considered in these changes.</p>	↔	2	5	10	<p>Continuing delivery of prioritised objectives to embed GDPR compliance in this quarter we are working on:</p> <p>New starter's induction and awareness training.</p> <p>Training for offline staff.</p> <p>Reviewing procurement templates.</p> <p>Reviewing data protection policies.</p> <p>Progressing the business case for a privacy management system (with Head of Service and Director).</p> <p>Implementing a case management system.</p> <p>Team training plan.</p> <p>Targeted training for data protection champions within the Council.</p> <p>The purchase of a privacy management system is being considered as part of service and budget planning for 2020/21.</p> <p>A GDPR phase 2 project approved for 2020/21 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.</p> <p>On boarding resources to facilitate the continued improvement around Data Protection and ready for the Phase 2 project. This resource will facilitate capital project support.</p>	2	3	6
Risk Owner: Chief Executive, 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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Risk title and description	What we have done	Performance	Current Risk Level			What we are doing	Tolerance Risk Level		
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<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>The Partnerships policy is ready for being socialised and approved within the decision pathway.</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 have reviewed and refreshed the Partnership Policy and Toolkit which will be socialised.</p>	2	3	6
Risk Owner: Director Policy, Strategy & Partnerships.	Action Owner: Head of Policy and Public Affairs.	Portfolio Flag: Finance, Governance and Performance.	Strategy Theme: Our Organisation.						

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<p>CRR23: Adult and Social Care (ASC) Transformation programme 2020/21 – 2021/22 (Previously Better Lives Programme)</p> <p>Failure to deliver the required outcomes and savings from the new 2020/21 ASC transformation Programme:</p> <p>Key potential causes are:</p> <p>Wider factors impacting on Demand</p> <ul style="list-style-type: none"> Rapid increased demand and complexity due to COVID-19. Increase of needs due to more health services being delivered in the community without appropriate funding following the patient. Increased complex needs that must be met under the Care Act. <p>Wider factors impacting on Supply</p> <ul style="list-style-type: none"> Financial pressures on an already vulnerable provider market during sustained changes forced on provider during COVID-19. Time to commission an embed genuine alternatives to Tier 3, long term care provision (ECH, Supported living, shared lives). Time to commission and develop genuine alternatives to Tier 3 long term care (Home first, VCSE, reablement for all). Ability to joint fund this supply through the use of the BCF with our health partners working in an Integrated Care System model. <p>Corporate Support and understanding of the programme</p> <ul style="list-style-type: none"> Lack of corporate support priority from business support services or access to appropriate corporate investment to deliver service redesign and transformation effectively. Critical pressures on corporate budgets lead to immediate service ‘cuts’ being required rather than being able to make efficiencies through long term transformation programme Support with workforce reform and restructures becomes intractable. Support into ASC to build a knowledge function that can interrogate the data using POWERBI and is allowed to re-profile how departmental spend is viewed and understood using the Care Ladder. 	<p>The key areas of focus have been developed by the DASS and ASC transformation team and have been presented to EDM and CLB in July 2020, as well as to the CEO and Director of Finance during their ‘Deep Dive’ into the ASC budget.</p> <p>All parties have given their support to proceed and are championing the work as a priority part of the wider corporate savings plans.</p> <p>The Director Adult and Social Care is currently going out to Director Management Team / wider staff team meetings to take staff through the same slides that were presented to the CEO and Director of Finance to communicate the scale and priority of this work for the department.</p> <p>The green light for the initial 5 areas of work has been approved and ASC transformation are formalising an action plan built on SMART objectives:</p> <p>5 areas:</p> <ul style="list-style-type: none"> Strength Based Practice and Reviews. In house service reviews. Commissioning and Market position. Knowledge function. <p>Monitoring and Grip (debt recovery).</p>	New	2	5	10	<p>The director of transformation has put in place the following:</p> <p>New transformation programme board to be chaired by Executive Director of People.</p> <p>Each work-stream will have a Senior Responsible Officer (SRO) to ensure ownership of progress. This will be at Deputy Director (DD) and Head of Service (HoS) level.</p> <p>Each area will have an Operations and Commissioning lead to ensure alignment and that quality commissioning activity is driven by Operational requirements.</p> <p>The ASC Transformation team will take an overview and be prepared to actively work with leads at the DASS’ request when needed to inject pace, knowledge and provide solutions where there are blockers in the progress/outcomes.</p> <p>The ASC transformation team will oversee corporate business support services input (referred to as the ‘crack’ team), where their expertise in IT, HR, Finance and Legal is needed to assist us programme delivery.</p> <p>Governance will be stripped back and simple, with an action log to monitor progress including risks and issues.</p> <p>Each SRO / HOS will have to attend the programme board once a fortnight, to discuss progress.</p> <p>Progress to be monitored by People Executive Director Meeting and ASC transformation tem programme manager will do the highlight reports to satisfy the PMO demands for clearly reportable progress.</p>	1	5	5
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>CRR24: Procurement and Contract Management failure to deliver value for money.</p> <p>Failure to ensure that BCC achieves value for money when purchasing goods and services; complies with legislation, quality, cost and social value requirements for contract awards to 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> <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. With the impact of Covid-19 it has also seen the need to adopt more agile approaches around how the Council tenders and contracts. A new Covid-19 Procurement and Contracts Protocol has been set out from March and widely communicated internally - this puts in place clarity around approaches for procurement and contract activity to take into account a range of factors including, options to extend current contracts, markets ability to respond to tenders, resource constraints internally, etc. This is for review in September 2020. In addition as agreed by CLB (April 2020) the Council has set out its approach to Supplier Relief and this is being used as part of wider considerations around supplier requests for financial assistance.</p>	↑	2	5	10	<p>Strategic Partner for Procurement contract now signed and contract starting to provide some support. In addition formal consultation has now commenced around the Service restructure. Furthermore, whilst Covid-19 response has impacted in regards to ways of working (working from home) and resource demands to support the response around PPE / logistics as part of the Incidence Command Centre this has now starting to become more managed. Overall the Covid-19 has put the Service improvement work back by around 3 months. Ongoing work continues and is in place to build the capabilities and capacity within the Service.</p>	3	3	9
<p>Risk Owner: Director of Finance (\$151 Officer).</p>	<p>Action Owner: Head of Strategic Procurement and Supplier Relations.</p>	<p>Portfolio Flag: Finance, Governance and Performance.</p>			<p>Strategy Theme: Our Organisation.</p>				

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<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: Director, Digital Transformation, 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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<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: Chief Executive, Director, Digital Transformation, Service Area Leads.	Action Owner: Director, Digital Transformation.		Portfolio Flag: Finance, Governance and Performance.			Strategy Theme: Our Organisation.			

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			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 have restarted processing TROs following revised government guidance. 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 continue to develop Transport Planning Team (TPT), Transport Programme Delivery Board (TPDB) and highlight report processes which are governed by the Growth and Regeneration (G&R) Board (monthly meeting).</p> <p>5 Year mapping ongoing, 2019/20 programme mapped and ongoing.</p> <p>The Emergency Active Travel Fund (EATF) announced by the Department for Transport (DfT) has meant reprioritising resource to deliver cycle schemes and social distancing across the city. This has and will inevitably lead to some profiling and adjustment of the programme. This is ongoing, it is likely that funds can be carried forward to next year and that some funds will be allocated to supporting EATF schemes.</p>	3	5	15
Risk Owner: Executive Director Growth and Regeneration, Director Economy of Place.	Action Owner: Director Economy of Place.		Portfolio Flag: Communities.			Strategy Theme: Our Organisation, Wellbeing.			

Corporate Risk Register as at June 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> <p>Plans for implementation, supported by internal audit will be built in to the 2021/22 service plan.</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 June 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. Lack of resources for implementation of new regulatory arrangements. Unable to secure political agreement. Unable to secure stakeholder buy. Some measures are dependent on Environment Bill later this year. 	<p>Measures have been developed and were announced in the Mayors Speech June 2019. Supplementary funding provided and spent in 2019/20. Implementation of those measures now part of normal activities.</p> <p>A new set of proposals, based on the research undertaken in 2019/20, are being developed for future consideration.</p>	↑	1	3	3	<p>A new set of proposals, based on the research undertaken in 2019/20, are being developed for future consideration.</p>	1	3	3
Risk Owner: Executive Director Growth and Regeneration, Director Development of Place.	Action Owner: Director Development of Place and Climate Change & Sustainable City Manager.	Portfolio Flag: Strategic Planning and City Design			Strategy Theme: Wellbeing				

Corporate Risk Register as at June 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		
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<p>CRR31: Failure to deliver the council’s Climate Change commitments impeding achievement of a carbon neutral and climate resilient city.(Previously 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 in his Climate Emergency Action Plan and/or BCC’s role in the delivery of the One City Climate Strategy.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • Lack of BCC resources. • Inability of partners and BCC colleagues to progress action on climate change due to the on-going impacts of Covid-19. 	<p>Key elements of the Mayor’s Climate Emergency Action Plan were progressed in 19/20 including the most significant action the development of the One City Climate Strategy.</p> <p>Existing staff capacity has been maintained through funding allocated in the Feb 2002 Council budget and additional staff capacity is planned as part of the programme.</p> <p>Climate Programme Mandate approved by Growth and Regeneration Executive Directors Meeting June 9th. Funding is allocated in earmarked reserves.</p>	↑	2	7	14	<p>Delivery of existing commitments is continuing.</p> <p>Business Case is being developed for Cabinet approval.</p> <p>An engagement plan with stakeholders is being re-designed and implemented in the light of Covid-19.</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 and new Climate Team Manager and Ecological Emergency Project Managers Recruited.</p> <p>Key projects such as City Leap are progressing.</p>	1	3	3
Risk Owner: Executive Director Growth and Regeneration, Director Development.	Action Owner: Director Development of Place and Climate Change& Sustainable City Manager.	Portfolio Flag: Communities.			Strategy Theme: Our Organisation, Wellbeing.				

Corporate Risk Register as at June 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		
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<p>CRR32: Failure to deliver enough affordable Homes to meet the City’s needs. (Previously Failure to deliver 800 affordable Homes per annum to meet Local Housing Need).</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. • Insufficient land available. • Uncertainty in the housing market as a result of 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>	↓	4	7	28	<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, Director Development.	Action Owner: Director Development of Place and Head of Housing Delivery.	Portfolio Flag: Communities.			Strategy Theme: Fair and Inclusive.				

Corporate Risk Register as at June 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		
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<p>CRR34: Corporate Equalities.</p> <p>The Council does not meet its ambitions or legally required standards for good practice on equality and inclusion. The Council fails to meet its statutory duties under the Equality Act 2010.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> Lack of consistent council-wide knowledge on the Public Sector Equality Duty and how to take equalities into consideration. Gaps in available data and analysis to understand potential impacts of decision making. Compliance driven rather than understanding based on good analysis. High turnover of staff resulting in loss of knowledge/institutional memory. Institutional racism and structural inequality in the council, city and society as a whole. Under-representation of key demographics in the workforce, particularly within senior roles (including within PSP) 	<p>The Approved new Equality and Inclusion Policy and Strategy was published November 2018 and a new budget approved April 2019.</p> <p>The Equality & Inclusion internal governance structure including champions were established in June 2019 and an action plan developed and being disseminated and taken forward.</p> <p>The Head of Equality and Inclusion was appointed January 2019.</p> <p>Equality action plans were produced by all services for 2020/2021 in March 20 20.</p> <p>New training was developed and rolled out on Equality Impact Assessments and a new programme developed including eLearning. The processes for addressing EQIAs have been improved and tracking is in place. The temporary Covid-19 EQIA process created and E&I team representation on key working groups in May 2020.</p> <p>The corporate governance reporting structure with TORs/roles for a Strategic E&I Leadership Group, staff led groups and other champions was finalised in Apr 2020. A plan agreed to be assessed in August 2020 under the Local Government Association Framework.</p> <p>Internal communications have been underway to enhance visibility.</p> <p>A new programme of work to embed interventions based on David Weaver's recommendations for BCC was approved by CLB in June 2020.</p> <p>A new definition of anti-Semitism was adopted in March 2020.</p> <p>The Stepping Up programme was re-procured to ensure continuity in June 2020.</p> <p>Bespoke support, advice and risk assessment for BAME and other vulnerable staff in light of Covid-19 was developed and communicated in June 2020.</p> <p>The Equality and Inclusion Annual Progress Report was prepared and dispatched to Full Council in June 2020.</p>	New	2	7	14	<p>The work of mainstreaming and embedding equality and inclusion is well underway. Good team work across HR, PSP, and others. The two teams with an equality & Inclusion focus within PSP and HR have now been aligned and beginning to work closely together.</p> <p>However, there is still more to do corporately to tackle institutional racism and improve equality and inclusion practice, an issue brought in to even sharper focus by Covid-19, the global Black Lives Matter movement and the findings of DWC Consulting from their work supporting the council with various HR cases and Staff Led Group relations.</p> <p>Overall this risk has increased due to the disproportionate impact of Covid-19 on BAME people and those from other equality groups; combined with the need to change and redesign services at high pace during unprecedented circumstances, creating risk that the impacts of the council's decisions may not be predictable or will always have been considered in enough detail due to the urgency of implementation.</p> <p>We are currently recruiting to the Equality and Inclusion Team.</p>	1	7	7
Risk Owner: Director Policy, Strategy & Partnerships.	Action Owner: Director Policy, Strategy & Partnership, Interim Head of Equality and Inclusion.	Portfolio Flag: Finance, Governance and Performance.	Strategy Theme: Our Organisation.						

Corporate Risk Register as at June 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>CRR35 : Organisational Resilience</p> <p>Emerging risks, disruptions and disturbances can threaten the operations and reputation of the Council. Acute shocks and the impact of chronic stresses result in crises which are becoming an everyday occurrence. The landscape in which the council operates is rapidly and continually changing, often unpredictably.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • Environmental Hazards. • Economic and Social Change. • Geo-Political Change. • Natural Disasters. • Climate Change. • Health / Disease Risk. • Terrorism. • Cyber-Crime. 	<p>We have been responding to Covid-19 crisis and used experience to test existing plans and processes, plus developed new tactics including Head of Service returns process and wide-spread agile working.</p> <p>We have contributed to Local Resilience Forum level planning and consider risks emerging from National Security Risk Assessment through a regional LRF lens.</p> <p>Implemented the Horizon-scan policy and political environments for coming threats and opportunities, including Brexit contingency planning work.</p> <p>The Brexit Project Board and Recovery Overview and Coordination Board considering practical strategies and mitigations over the winter 2020 period.</p> <p>As an inaugural member of Rockefeller 100 Resilient Cities Network, compiled a Resilience Strategy for Bristol and mainstreamed this in to the One City Plan.</p> <p>Adopted British Standard of Resilience principles in recovery planning / strategy work.</p>	New	3	7	21	<p>Covid-19 has highlighted this as an area of risk, and whilst overall resilience was good, the organisation may not have been able to function if any other major crises had occurred at the same time. It also had to stop a large swathe of activity to meet demand, which would not have been sustainable in the medium to long term.</p> <p>Whilst any resilience and business continuity planning needs to be proportionate to the level of risk and likelihood, it is vital to take on board lessons learned from Covid-19 and consider how to build more resilience and sustainability in to our systems.</p> <p>We are reviewing key strategies within the council's Strategic Framework to consider learning from Covid-19 and to embed resilience principles.</p> <p>Structured organisational and multi-agency debriefs planned from Covid-19 response</p> <p>Reviewing the council's overarching ways of working and design principles, including embedding of more agile ways of working.</p> <p>Updating Business Continuity Plans as part of annual service planning process to incorporate learning from 2020.</p> <p>Workforce planning exercises to predict demand and manage staffing / talent pipeline.</p> <p>Re-prioritising key business-as-usual activity through review of Business Plan 2020/21 to match delivery against available resource.</p> <p>Developing Strategic Crisis Management Plan to provide high level overview document to sit about existing tactical Incident Management Plan.</p>	2	5	10
Risk Owner: Chief Executive	Action Owner: Director Policy, Strategy & Partnerships	Portfolio Flag: Finance, Governance and Performance.			Strategy Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing				

Corporate Risk Register as at June 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		
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<p>CRR36 : SEND</p> <p>Delivery of the recovery plan with agreed priorities and actions and clear milestones forming the Written Statement of Action (WSOA) following the SEND local area OFSTED inspection in October 2019.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • Covid-19 delaying ability to complete actions • Increasing demands for services out weighing current capacity to clear the backlog on statutory assessments. • Judicial Review or similar legal actions causing attention to be diverted from BAU. 	<p>We are working in partnership with parent/carers, key partners including social care, health and schools to develop the Written Statement of Action, which is the comprehensive improvement plan for addressing the five priorities.</p> <p>Scrutiny SEND Deep dive (Evidence Day) 3 February 2020.</p> <p>WSOA was formally approved by Ofsted and CQC - April 2020.</p> <p>We have invested in priority areas - Appointed new staff in SEND and EP team. Refocussed the work of the team.</p> <p>We have developed an Accessible City team.</p>	New	2	5	10	<p>We are working with stakeholders and partners across the local area to improve services through the WSOA. The WSOA has a governance route and performance will be monitored by the SEND partnership group monthly and Children's Improvement Board bi-monthly.</p> <p>Following the July 2020 formal monitoring visit from the Department of Education and NHS England further visits are planned for November 2020 and March 2021. A re-inspection visit is scheduled for Autumn 2021.</p>	1	5	5
Risk Owner: Executive Director People, Director Education and Skills.	Action Owner: Director Education and Skills	Portfolio Flag: Education and Skills.			Strategy Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing				

Corporate Risk Register as at June 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		
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<p>CRR37 : Homelessness</p> <p>The risk that homelessness and the subsequent cost of providing emergency short term accommodation will continue to rise.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • The ending of the eviction ban on 23 August 2020. • Economic impact of COVID-19, unemployment rising leading to an increase in evictions from private rented tenancies. • COVID 19 and lockdown leading to an increase in mental health issues, family relationship breakdown and domestic violence & abuse. 	<p>We are working in partnership across the homelessness sector and the City in developing the One City move on project. The aims of the project are to create a step change in the amount of affordable housing delivered as well as ensuring that person centred support is provided to enable people to sustain accommodation.</p> <p>We have worked with the advice sector in Bristol to promote their services with a message to Bristol citizens to make contact early for support.</p> <p>There has been a significant increase in Discretionary Housing Payments budget (Held by the Housing Benefits service), which can make payments to landlords to enable tenancies to be sustained and homelessness prevented.</p> <p>We have been working closely with commissioners of domestic abuse services and providers to support move on from refuge accommodation.</p>	New	4	5	20	<p>Roundtable meeting on 12 August for the broader homelessness sector, advice agencies and key partners to develop proposals and opportunities to work collaboratively around early intervention and prevention of homelessness.</p> <p>We are progressing the Move On Project.</p> <p>Submitting a bid to MHCLG next steps funding to increase the availability for supported move on accommodation for people who sleep rough.</p>	3	5	15
Risk Owner: Executive Director Growth and Regeneration, Director Housing.	Action Owner: Director Housing.	Portfolio Flag: Housing.			Strategy Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing.				

Corporate Risk Register as at June 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>We are taking part in the European Capital of Innovation awards again in 2020, aiming to win further financial funding for the One City Approach.</p> <p>A One City Approach is being taken to support Covid-19 Economic Recovery planning via the One City Economy Board. It is also supporting partnership engagement in the Local Outbreak Management process.</p>	4	7	28
Risk Owner: Director Policy, Strategy and Partnerships.	Action Owner: Director Policy, Strategy and Partnerships.	Portfolio Flag: Mayor.			Strategy Theme: Our Organisation.				

Corporate Risk Register as at June 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		
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<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 2018-23 and the Business Plans and Performance Frameworks for 2018/19, 2019/20 and 2020/21 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 Plans.</p> <p>Designed and launched an integrated business planning approach for 2020/21, 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 September 2019.</p>	↔	4	7	28	<p>Due to Covid-19 pandemic we have had to postpone publication of the Corporate Business Plan 2020/21 and this will be carried out in Q1 and Q2 2020/21 to accommodate new priorities.</p> <p>Running an integrated business planning approach for 2021/22, linking financial planning, risk management, service planning and performance management more closely and from an earlier starting point. This will be critical as this iteration of the Business Plan will also serve as the council's continued Covid-19 recovery plan.</p> <p>Following up roll-out of ITrent for performance.</p>	4	7	28
Risk Owner: Director Policy, Strategy and Partnerships.	Action Owner: Director Policy, Strategy and Partnerships.	Portfolio Flag: Finance, Governance and Performance.			Strategy Theme: Our Organisation.				

Corporate Risk Register as at June 2020 – Opportunity Risks to the achievement of Bristol City Councils Objectives.									
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<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 2019/20).</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. We have supported the creation of a Secretariat for the Western Gateway powerhouse and will continue to engage partners and HM Government on this project. A review of governance options for the partnership has been conducted by Deloitte and its recommendations accepted by the Western Gateway.</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 as it shapes its devolution White Paper anticipated in autumn 2020, and also in light of its Comprehensive Spending Review and its interests in the Western Gateway powerhouse.</p> <p>We will continue to support the Western Gateway, including contributing to an Independent Economic Review during 2020.</p>	3	7	21
Risk Owner: Chief Executive.	Action Owner: Director Policy, Strategy and Partnerships.	Portfolio Flag: Finance, Governance and Performance.			Strategy Theme: Our Organisation.				

Corporate Risk Register as at June 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		
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<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 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> <p>We have re-established regular Brexit Project Board meetings as of Q1 2020/21.</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 the Western Gateway a post-Brexit opportunity to bring additional investment to the region and city.</p> <p>Engaging HM Government on Brexit preparedness and key issues such as future funding arrangements.</p>	1	5	5
Risk Owner: Chief Executive.	Action Owner: Director Policy, Strategy and Partnerships.	Portfolio Flag: Finance, Governance and Performance.			Strategy Theme: Our Organisation.				

Key External Risk and Civil Contingency Risks to note

Corporate Risk Register as at June 2020 – External / Civil Contingency 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>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 provides 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, Director Economy of Place.	Action Owner: Director Economy 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 June 2020 – External / Civil Contingency 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>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 2019/20.</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.</p> <p>Continued internal Brexit Project Board to oversee BCC preparedness and respond with agility to changing circumstances.</p> <p>Continued monitoring of external environment and government relations.</p> <p>Continue engagement with all relevant government departments and partners to ensure sectoral/organisation risks are communicated and mitigations proactively suggested.</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.</p>	2	5	10
Risk Owner: Chief Executive, Director Policy, Strategy and Partnerships.	Action Owner: Director Policy, Strategy and Partnerships.		Portfolio Flag: Finance, Governance and Performance.			Strategy Theme: Our Organisation.			

Corporate Risk Register as at June 2020 – External / Civil Contingency 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>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. 	↔	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.						

Threat Risk Performance Summary				Quarter 4 Jan – Mar 19/20		Quarter 1 Apr – Jun 20/21		Quarter 2 Jul - Sept 20/21		Quarter 3 Oct - Dec 20/21		Quarter 4 Jan - Apr 20/21	
Page	Risk ID	Risk	Risk Owner	Rating	Travel	Rating	Travel	Rating	Travel	Rating	Travel	Rating	Travel
17	CRR32	Failure to deliver enough affordable Homes to meet the City's needs	Executive Director Growth and Regeneration and Director Development of Place	3x7=21	New	4x7=28	↓						
9	CRR13	Financial Framework and MTFP	Director of Finance (S151 Officer) and Chief Accountant.	4x7=28	↓	4x7=28	↔						
19	CRR35	Organisational Resilience	Chief Executive, Director Policy, Strategy & Partnerships			3x7=21	New						
1	CRR1	Long Term Commercial Investments and Major projects Capital Investment	Executive Director Growth and Regeneration and Executive Director Resources and S151 Officer.	3x7=21	↓	3x7=21	↔						
20	CRR37	Homelessness	Executive Director Growth and Regeneration and Director Housing			4x5=20	New						
5	CRR6	Fraud and Corruption	Chief Executive and Director of Finance (S151 Officer), Director of Finance, Chief Internal Auditor	4x5=20	↓	4x5=20	↔						
15	CRR27	Capital Transport Programme Delivery	Executive Director Growth and Regeneration and Director Economy of Place	4x5=20	↓	4x5=20	↔						
6	CRR7	Cyber-Security(Previously Cyber-Attack)	Senior Information Risk Owner (SIRO), Head of Information Assurance, Information Governance	3x7=21	↔	4x5=20	↑						
14	CRR25	Suitability of Line of Business Systems (LOB)	Director, Digital Transformation, Senior Information Risk Owner (SIRO) for Cyber Security. Service Areas for BCP/DR	4x5=20	↔	4x5=20	↔						
16	CRR29	Information Security Management System	Chief Executive , Senior Information Risk Owner (SIRO) and Statutory Data Protection Officer (SDPO)	4x5=20	↔	4x5=20	↔						
10	CRR18	Failure to deliver enough homes to meet the City's needs.	Executive Director Growth and Regeneration and Director Development of Place	3x5=15	↓	3x5=15	↔						
11	CRR19	Tree Management	Executive Director Growth and Regeneration	3x5=15	↔	3x5=15	↔						
4	CRR5	Business Continuity and Council Resilience	Executive Director Growth and Regeneration / Chief Executive	2x5=10	↔	2x7=14	↓						
18	CRR34	Corporate Equalities	Chief Executive and Director Policy, Strategy & Partnerships			2x7=14	New						
17	CRR31	Failure to deliver the council's Climate Change commitments impeding achievement of a carbon neutral and climate resilient city	Executive Director Growth and Regeneration and Director Development of Place	4x5=20	New	2x7=14	↑						
8	CR12	Failure to deliver suitable emergency planning measures, respond to and manage emergency events when they occur	Executive Director Growth and Regeneration / Head of Paid Service, Director Management of Place and Civil Protection Manager	2x7=14	↔	2x7=14	↔						
15	CRR26	ICT Resilience	Director, Digital Transformation, Service Area Leads.	2x7=14	↔	2x7=14	↔						
3	CRR4	Corporate Health, Safety and Wellbeing	Chief Executive and Corporate Leadership Board (CLB), Director of Workforce Change	2x7=14	↔	2x7=14	↔						
2	CRR2	Asbestos Management	Chief Executive, and Corporate Leadership Board (CLB) Director Housing and Landlord Services	2x7=14	↔	2x7=14	↔						
6	CRR9	Safeguarding Vulnerable Children	Executive Director People, Director Children's and Families Services	2x7=14	↔	2x7=14	↔						
7	CRR10	Safeguarding Adults at Risk with Care and support needs	Executive Director People, Director Adult Social Care	2x7=14	↔	2x7=14	↔						
10	CRR15	In-Year Financial Deficit	Director of Finance (S151 Officer) and Chief Accountant.	4x3=12	↓	4x3=12	↔						
19	CRR36	SEND	Executive Director People and Director Education and Skills			2x5=10	New						

Threat Risk Performance Summary				Quarter 4 Jan – Mar 19/20		Quarter 1 Apr – Jun 20/21		Quarter 2 Jul - Sept 20/21		Quarter 3 Oct - Dec 20/21		Quarter 4 Jan - Apr 20/21	
Page	Risk ID	Risk	Risk Owner	Rating	Travel	Rating	Travel	Rating	Travel	Rating	Travel	Rating	Travel
13	CRR23	Adult and Social Care (ASC) Transformation programme 2020/21 – 2021/22 (Previously Better Lives Programme)	Executive Director People and Director Adult Social Care			2x5=10	New						
11	CRR21	General Data Protection (GDPR Compliance)	Senior Information Risk Owner (SIRO) and Statutory Data Protection Officer (SDPO)	2x5=10	↔	2x5=10	↔						
14	CRR24	Procurement and Contract Management failure to deliver value for money	Director of Finance (S151 Officer)	3x5=15	↔	2x5=10	↑						
12	CRR22	Partnerships Governance	Director Policy, Strategy & Partnerships	2x3=6	↔	2x3=6	↔						
16	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, Director Development of Place.	2x3=6	↔	1X3=3	↑						

Risk Performance Summary for Opportunity risks				Quarter 4 Jan – Mar 19/20		Quarter 1 Apr – Jun 20/21		Quarter 2 Jul - Sept 20/21		Quarter 3 Oct - Dec 20/21		Quarter 4 Jan - Apr 20/21	
Page	Risk ID	Risk	Risk Owner	Rating	Travel	Rating	Travel	Rating	Travel	Rating	Travel	Rating	Travel
21	OPP2	Corporate Strategy	Chief Executive and Director Policy, Strategy and Partnerships	4x7=28	↔	4x7=28	↔						
21	OPP1	One City	Chief Executive and Director Policy, Strategy and Partnerships	3x7=21	↔	3x7=21	↔						
22	OPP3	Devolution	Chief Executive and Director Policy, Strategy and Partnerships	3x5=15	↔	3x5=15	↔						
22	OPP4	Brexit	Chief Executive and Director Policy, Strategy and Partnerships	1x5=5	↔	1x5=5	↔						

Risk Performance Summary for External and Civil Contingency risks				Quarter 4 Jan – Mar 19/20		Quarter 1 Apr – Jun 20/21		Quarter 2 Jul - Sept 20/21		Quarter 3 Oct - Dec 20/21		Quarter 4 Jan - Apr 20/21	
Page	Risk ID	Risk	Risk Owner	Rating	Travel	Rating	Travel	Rating	Travel	Rating	Travel	Rating	Travel
24	BCCC3	COVID -19	Executive Director Growth and Regeneration and Director Management of Place	4x7=28	New	4x7=28	↔						
23	BCCC2	Brexit	Chief Executive, Director Policy, Strategy and Partnerships.	3x7=21	↓	3x7=21	↔						
23	BCCC1	Flooding	Executive Director Growth and Regeneration and Director Economy of Place	3x5=15	↔	3x5=15	↔						

Risk Performance Summary closed / replaced risks				Quarter 4 Jan – Mar 19/20		Quarter 1 Apr – Jun 20/21		Quarter 2 Jul - Sept 20/21		Quarter 3 Oct - Dec 20/21		Quarter 4 Jan - Apr 20/21	
Status	Risk ID	Risk	Risk Owner	Rating	Travel	Rating	Travel	Rating	Travel	Rating	Travel	Rating	Travel
Replaced	CRR23	Better Lives Programme	Executive Director People, Director Adult and Social Care	3x7=21	Closed								
Closed	CRR33	Failure to Deliver Joint Spatial Plan (JSP).	Executive Director Growth and Regeneration, Director Development of Place.	4x5=20	Closed								

Risk Scoring Matrix

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

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

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

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

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

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

Severity of Impact Guidance (Risk to be assessed against 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.