

Directorate Risk Register as at January 12 2021 – 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>RDRR1: Organisational Resilience 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> <p>Updated Business Continuity Plans as part of annual service planning process to incorporate learning from 2020.</p> <p>Carried out workforce planning exercises to predict demand and manage staffing / talent pipeline.</p> <p>Developed a strategic Mayoral forward planning grid charting key stressors and threats alongside opportunities and mitigations.</p> <p>Surveyed Directors on winter pressures for 2020/21 and used the results at Corporate Leadership Board to agree areas for additional temporary resourcing or pausing of other business activities.</p> <p>Considered longer term risks and mitigations as part of annual Service Planning process for 2021/22.</p>	↔	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. Whilst any resilience and business continuity planning needs to be proportionate to the level of risk both likelihood and impact, 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:</p> <ul style="list-style-type: none"> • Reviewing key strategies within the council's Strategic Framework to consider learning from Covid-19 and to embed resilience principles. • Review the council's overarching ways of working and design principles, including embedding of more agile ways of working. • Developing a Strategic Crisis Management Plan to provide high level overview document to sit above existing tactical Incident Management Plan. 	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						

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<p>DRR2: Financial Framework and Medium Term Financial Plan (MTFP). Failure to be able to reasonably estimate and agree the financial 'envelope' available, both annually and in the medium-term and the council is unable to set a balanced budget.</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 income - business rates and housing growth, impacting on council tax, new homes bonus and sales, fee and charges income. • Brexit - the general uncertainty affecting the financial markets, levels of trade & investment. • Governments spending review 2021. • Review of local Government funding through fair funding formula and business rates retention. • 2023 Pension actuarial Review • 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>	↔	3	7	21	<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.</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.				

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<p>DRR3 Corporate Health, Safety and Wellbeing. If the City Council does not meet its wide range of Health & Safety requirements then there could be a risk to the safety of 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 <p>Policies are not kept up to date.</p>	<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>	↔	4	5	20	<p>We have agreed in principle a new accident incident reporting system. We will be looking to pilot small and scale up quickly in January 2021.</p> <p>A new strategy for Health Safety and Wellbeing has been developed which sets out an integrated approach for the next five years. This has been agreed by Resources EDM and is currently out to consultation with key stakeholders. A new operating model and staffing structure has been developed to support the delivery of the strategy. The strategy will run from January 2021 – December 2026. A delivery plan is included within the strategy.</p> <p>We continue to support the organisation to be COVID-19 secure. 95% of buildings including schools have been given a COVID secure certificate. A fire safety and building compliance report has been agreed by Resources EDM and a final report with action and delivery plan is being presented to CLB on 3rd November 2020. The health and wellbeing plan continues to support the workforce organisational strategy and key actions including reasonable adjustments training and the launch of Mental Health First Aiders are on track.</p> <p>A new integrated Occupational Health Employee Assistance Programme (EAP) and physiotherapy contract is in its final stages of the procurement process and an award of contract is imminent.</p>	3	5	15
<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>	Portfolio Flag: Finance, Governance and Performance.	Strategy Theme: Our Organisation.						

CRR4 on the Corporate Risk Report

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<p>RDRR4: Information Security Management System (ISMS) 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>IG team now have an operational level risk register that is being used to track local operational risks further aligning ourselves with best practice.</p> <p>Policies have been created, and a gap analysis conducted. Areas for improvement have been captured.</p>	↔	4	5	20	<p>Information Assurance are continuing to work with ICT and IGB on implementing an Information Security Management System.</p> <p>Plans for implementation, supported by internal audit will be built in to the 21/22 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.				

CRR29 on the Corporate Risk Report

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<p>RDRR5: Suitability of Line of Business (LOB) systems. 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>Initiated audit of all council Line of Business (LoB) systems.</p>	↔	4	5	20	<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. Ensure that Line of Business (LOB) systems that pose a Cyber Security, Procurement or Resilience/Recovery risk are identified and service areas understand the risks to their services.</p>	2	5	10
Risk Owner: Director, Digital Transformation, Senior Information Risk Owner (SIRO) for Cyber Security. Service Areas for BCP/DR.	Action Owner: Director, Digital Transformation.	Portfolio Flag: Finance, Governance and Performance.			Strategy Theme: Our Organisation.				

CRR25 on the Corporate Risk Report

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<p>RDRR6: Cyber-Security. 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. Independent full security assessments have been carried out November 2018. Increased training - Phishing attacks November 2018. An Information Governance Board has been established to provide oversight of information security and an escalation point to the Council's Senior Information Risk Owner (SIRO). Head of Information Assurance commenced in post September 2019.</p> <p>The Council is using a SIRO checklist to capture and escalate cyber security risks. IG team have an operational level risk register that is used to track local operational risks further aligning ourselves with best practice. 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. IG team have an operational level risk register that is being used to track local operational risks further aligning ourselves with best practice.</p>	↔	4	5	20	<p>The IT Transformation Programme (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. 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. 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. 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. Resources have been appointed to facilitate the improvements required as per the agreed budget. These will also be needed to support capital projects. New ITTP Tooling is being configured and refined to provide a clear picture of the threat to BCC infrastructure.</p>	1	5	5
<p>Risk Owner: Chief Executive, Senior Information Risk Owner (SIRO).</p>	<p>Action Owner: Head of Information Assurance, Information Governance.</p>	<p>Portfolio Flag: Finance, Governance and Performance.</p>			<p>Strategy Theme: Our Organisation.</p>				

CRR7 on the Corporate Risk Report

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<p>DRRR7: Fraud and Corruption. 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"> Heightened levels of fraud, including cyber fraud, as criminals attempt to exploit the COVID-19 pandemic. Relaxation of controls in current emergency environment (Covid 19) as payments and support are being dispersed quickly in line with government requirement. 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. This potential cause is highlighted at this time given the potential impact of the current pandemic situation and with staff redeployed to support the emergency response. Under investment in fraud prevention and detection technology and resource. 	<p>A Policy is in place on anti-fraud, corruption and bribery. It is reviewed annually and was approved by CLB and the Audit Committee in November 2020.</p> <p>Emergency financial measures being implemented in response to the pandemic (Covid-19) were subject to fraud risk assessment by the Counter Fraud team and advice provided on process, documentation and checks on the business support schemes. Pre and post -payment fraud checks in respect of significant support being distributed by the Council to businesses has been a key focus throughout the year as distributions continue to be made.</p> <p>An accessible route to report suspected fraud is available to the public and employees. New whistleblowing arrangements are in place from 1st April 2020 with strengthened co-ordination, monitoring and reporting of such reports to Internal Audit.</p> <p>Fraud awareness training has been delivered via the learning pool and directly to staff in high fraud risk areas. Additionally, this quarter, a council wide awareness campaign has been undertaken in support of international fraud awareness week and the counter fraud web pages have been update.</p> <p>Counter Fraud Performance is been report to management and Audit Committee via the half yearly Counter Fraud Update.</p> <p>Mandate approved for the establishment of a regional fraud hub that will maximise the use of data in fraud prevention and detection by widening data sets available for counter fraud work, regularising current ad hoc fraud prevention/detection exercises and improving efficiency by greater use of technology.</p>	↑	3	5	15	<p>The Council's exposure to fraud has increased due to Covid and the uncertainty with the pandemic coupled with another national lockdown means that more proactive and reactive work needs to be undertaken to support the business to ensure that fraud losses are minimised. As the government continues to avail large support grants to businesses and individuals, we are using analytic tools and increased resource to undertake both pre-payment fraud checks and post payment fraud assurance checks.</p> <p>Strengthening our arrangements for collating, sharing and analysing intelligence through joint prepayment checks involving West of England Combined Authority Councils and North Somerset</p> <p>Recognising the economic impact of the pandemic and other potential recessionary pressures, we are monitoring and reassessing all other types of fraud ensuring that appropriate prevention and detection controls are in place.</p> <p>Given the increased threat of cybercrime we are strengthening our fraud and cyber controls to ensure they are adequate to meet the challenge.</p> <p>Continuously participating in anti-fraud exercises including the National Fraud Initiative</p> <p>Establishment of a regional fraud hub that will maximise the use of advanced analytics and more datasets is progressing and will be key in tackling fraud as this risk increases.</p> <p>Commissioning an independent review of our whistleblowing arrangements to obtain assurance on the adequacy and effectiveness of arrangements.</p>	3	3	9
<p>Risk Owner: Chief Executive and Director of Finance (S151 Officer).</p>	<p>Action Owner: Director of Finance, Chief Internal Auditor.</p>	<p>Portfolio Flag: Finance, Governance and Performance.</p>	<p>Strategy Theme: Our Organisation.</p>						

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<p>RDRR8: Unplanned Investment in Subsidiary Companies BCC's investments in subsidiaries may require greater than anticipated capital investment.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • Business Failure due to severe Economic Recession. • Winding up of Bristol Energy. • Specific market changes e.g. recycle market, housing market, etc. • Legislation changes. • Lack of sufficient skills, knowledge and experience. • Covid pressures. 	<p>The Shareholding Group meet quarterly. Shareholding is an executive function and the governance of the Companies is delivered through the Council's shareholder group.</p> <p>Each year the Council's subsidiary companies submit a business plan to Cabinet for approval outlining their financial position and outlook and any investment required over the period of the business plan.</p> <p>The remit of the Holding Company governance arrangements have been strengthened with greater oversight and scrutiny.</p>	New	2	7	14	<p>Following the Council's external auditors review of Governance arrangements for subsidiary companies an action plan is in place to improve Governance arrangements and risk management arrangements.</p> <p>This action plan is to be presented to Audit Committee on 25 January 2021.</p>	1	7	7
Risk Owner: Chief Executive and S151 Officer.	Action Owner: Director Finance, Director Legal and Democratic Services.	Portfolio Flag: Finance, Governance and Performance.		Strategy Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing.					

CRR40 on the Corporate Risk Report

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<p>RDRR9: ICT Resilience. The Councils ability to deliver critical and key services in the event of ICT outages and be able to recover in the event of system and/or data loss.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • Poor Business Continuity (BCP) planning and understanding of key system architecture. • Untested Disaster Recovery (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>Some DR/BCP actions are covered by Future State Assessment (FSA)/ IT Transformation Programme (ITTP).</p> <p>We have moved critical systems to the cloud with more effective DR.</p> <p>Application audit have commenced with a view to highlighting those systems with the highest risk.</p>	↔	2	7	14	<p>We are continuing to review Disaster Recovery (DR) options for any systems which will not be moved to the cloud.</p> <p>Highlighting to service areas where applications may be vulnerable and advising on likely timescales for disruption to enable appropriate BC planning.</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.					

CRR26 on the Corporate Risk Report

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<p>RDRR10: In-Year Financial Deficit. The council's financial position goes into significant deficit in the current year resulting in reserves (actual or projected) being less than the minimum specified by the council's reserves policy.</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 (S151 Officer).	Action Owner: Director of Finance (S151 Officer), Chief Accountant.	Portfolio Flag: Finance, Governance and Performance.			Strategy Theme: Our Organisation.				

CRR15 on the Corporate Risk Report

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<p>RDRR11: Financial Investments Losses in interest and/or principal from financial investments, both service led and treasury.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • Investment lent to a counterparty with low / poor credit quality in error, potential loss of principal / interest. • Changes in economic market lead to losses in principal or reduced returns. • Changes in interest rates impacting on return 	<p>Capital and Investment Board review the current service investments monthly and any potential risks and exposure.</p> <p>Annually review the Treasury Management Strategy and continually review the counterparties that we lend to, to ensure our Treasury investments are made in accordance with our strict credit criteria requirements. This includes seeking external professional Treasury advice. This will minimise the risk of credit loss while ensuring liquidity and maximising yield in accordance with approved credit criteria. In addition this includes continuing professional development (including external training) for all Treasury officers.</p>	New	2	5	10	<p>We will increase frequency of assessing any expected losses in line with accounting standards.</p> <p>Develop suitable training for members of Capital and Investment Board</p>	1	5	5
Risk Owner: Director of Finance (S151 Officer).	Action Owner: Director of Finance (S151 Officer), Chief Accountant.	Portfolio Flag: Finance, Governance and Performance.			Strategy Theme: Our Organisation.				

CRR41 on the Corporate Risk Report

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<p>RDRR12: General Data Protection Regulation (GDPR) compliance. If the Council fails to maintain a defensible and compliant response to the Data Protection Act 2018 and General Data Protection Regulation (GDPR) then it will fail to fully comply with its statutory requirements.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • Failure to invest in the required systems, equipment and posts required to implement these regulations. • Failure to adequately train staff in the requirements of the regulations. • Lack of resource (capacity or expertise) to manage Subject Access Requests. 	<p>A Steering Group and Working Group is in place. Regular reports continue to be provided to Executive Directors Meetings (EDM's) to ensure that the high-level of engagement and buy-in across all levels of the organisation is maintained. Improved data breach reporting for EDM's.</p> <p>Guidance on GDPR compliance and breach reporting has been published on the Council's intranet (Source).</p> <p>We have an improved PIA process and PIA register.</p> <p>Business Continuity plan has been updated to reflect new Information Governance Service (IG) Service.</p> <p>The Council provides e-learning training for new starters on data protection. Data protection staff have attended training courses to maintain up to date knowledge and expertise.</p> <p>An operational level risk register is 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. Resource has been on boarded to facilitate the continued improvement around Data Protection and ready for the Phase 2 project. This resource will also facilitate capital project support from IG.</p>	↔	2	5	10	<p>We have made significant progress on compliance with the General Data Protection Regulation (GDPR). We are embedding a new Information Governance team, which has brought together existing specialists into a central team to provide advice guidance and support on all related aspects in a more coordinated manner.</p> <p>We are continuing delivery of prioritised objectives to embed GDPR compliance, in this quarter we are working on:</p> <ul style="list-style-type: none"> • Training for offline staff. • Reviewing procurement templates. • Reviewing data protection policies. • Progressing the business case for a privacy management system (with Head of Service and Director). • Implementing a case management system. <p>Targeted training for data protection champions within the Council GDPR Phase 2 project is being scoped and the mandate will be prepared before PM assigned in October.</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.				

CRR21 on the Corporate Risk Report

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Risk title and description	What we have done	Performance	Current Risk Level			Tolerance Risk Level		
			Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p>RDRR13: Failure to Manage Asbestos. 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>The previous action plan of 2019 has laid foundation for improved processes to manage asbestos and this continues to be effectively embedded within the culture of the service.</p> <p>The main elements of the plan have been implemented and full completion will be presumed once the Asbestos Management Plan has had a final review, currently in process and due December 2020.</p> <p>Management proactivity and training across the service has seen a fall of asbestos incidents and strong processes exist to manage exposure incidents should they in future arise. Asbestos surveys and information contained therein form a key element to reduce asbestos exposure risk. Because of their importance they feature strongly throughout work processes within Planned Programmes and Response and Void services. Historic surveys are readily available for use and scrutiny but to provide added assurance new asbestos surveys are completed both ahead of works and subsequently thereafter.</p> <p>Improvements to manage asbestos risk within housing stock has been made over the previous 12 months with long outstanding surveys relevant to house-block type flats having now been completed. Asbestos surveys and removal works within high rise blocks have also been undertaken, removal works will continue throughout 2021.</p> <p>The Covid pandemic has resulted in an interruption of asbestos awareness training for the bulk of 2020 but decisions made this month will allow face to face training to be reinstated whilst also being Covid secure. The resumption of this successful training package for new staff and staff requiring refresher training is planned this year.</p> <p>In the previous 12 months the housing safety team has grown in number and has had a direct and positive input with investigating incidents and reducing asbestos risk through their intervention. 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>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> <p>Action Owner: Director of Housing and Landlord Services (for Social Housing), Director HR, Workforce and Organisational Design.</p>	↔	2	5	10	1	5	5
<p>Risk Owner: Executive Director Growth and Regeneration, Director HR, Workforce and Organisational Design.</p>	<p>Action Owner: Director Housing and Landlord Services; Director HR, Workforce and Organisational Design.</p>	<p>Portfolio Flag: Finance, Governance and Performance.</p>	<p>Strategy Theme: Our Organisation.</p>					

Directorate Risk Register as at January 12 2021 – 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>RDRR14: Corporate Equalities. 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. 	<p>The Approved new Equality and Inclusion Policy (E&I) 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 Black, Asian, minority ethnic and 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 presented to Full Council in June 2020, followed by a refreshed Equality and Inclusion Policy and Strategy which was approved unanimously by Full Council in December 2020.</p> <p>Submitted draft chapter submissions for the forthcoming 2021 Stonewall Index and obtained Stonewall feedback</p> <p>Invited expressions of interest from aspiring Directors, particularly those from under-represented groups, to apply for a Diverse Voices scheme that will enable participants to take part in Corporate Leadership Board meetings.</p>		1	5	5	1	5	5
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.					

Directorate Risk Register as at January 12 2021 – 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>ROPP1: One City Approach. 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>Published in October 2020 the One City Economic Recovery and Renewal Strategy.</p> <p>In June 2020 published the One City Economic Renewal Statement of Intent.</p> <p>We have funded the core City Office staff team.</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>Aligned internal resourcing for One City Plan development with our review of Partnership Policy (see RDRR7) 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> <p>Developed the One City Economic Recovery and Renewal Strategy.</p>	↔	3	7	21	<p>One City has been integral to Covid-19 response and recovery and has been widely recognised for its value by key city partners.</p> <p>We have been working on sustainable long-term funding models and a more ambitious 'core' City Office offer and resource to maximise benefits of the One City Approach and will be taking forward these conversations with partners in the New Year.</p> <p>We continue to work on the annual update to the One City Plan alongside partners, with a new version scheduled for launch in March 2021.</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.				

OPP1 on the Corporate Risk Report

Directorate Risk Register as at January 12 2021 – 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>ROPP2: Corporate Strategy. The approved Corporate Strategy presents an opportunity to fundamentally refresh and strengthen our business planning, leadership and performance frameworks.</p> <p>Key potential causes:</p> <ul style="list-style-type: none"> • Approved Corporate Strategy provides the foundation and direction for the organisation. 	<p>We have approved and adopted the Corporate Strategy, Business Plan 20/21 and Performance Framework 20/21 through appropriate Decision Pathways. We adapted and created a Covid recovery edition.</p> <p>Re-launched and completed 'My Performance' reviews for all colleagues including annual objective setting linked to the Corporate Strategy and Business Plan 20/21. Completed six-monthly performance reviews in iTrent.</p> <p>Designed and launched an integrated business planning approach for 2020/21, linking financial planning, service planning, equality action plans, strategy alignment, risk management and performance management. We refined our process again in light of lessons learnt for 2021/22. This process was launched formally in Sept 2020 and Service Plans were completed to deadline in December 2020.</p>	↓	3	7	21	<p>The Corporate Strategy is well embedded and whilst capacity to deliver all outcomes is limited, there is a much greater focus on project prioritisation against the Strategy and commensurate improvements in public satisfaction year-on-year since its inception.</p> <p>We are planning to review the Corporate Strategy in 2021/22 following the Mayoral and Council elections. In the meantime we continue working with senior leaders on future ways of working and ideas for further vision-led and transformational change.</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.				

OPP2 on the Corporate Risk Report

Directorate Risk Register as at January 12 2021 – 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>ROPP3: 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 the 'powerhouse' for South Wales and western England, which has positive momentum and was been formally launched by HM Government under the name 'Western Gateway' (Q3 19/20).</p> <p>During 2020/21 we engaged with partners around the potential for geographic expansion of WECA and made representations to partners and HM Government about priorities, governance and investment which would be sought in any potential expansion.</p>	↑	3	7	21	<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 are engaging with the BEIS Select Committee’s Levelling Up/Devolution Inquiry through both BCC and Western Gateway.</p> <p>We will continue to engage with WECA at strategic level.</p> <p>We will continue to engage with HM Government on devolution opportunities, following up on specific spending review asks and engagement on the development of the Western Gateway.</p> <p>We have commissioned an Independent Economic Position Statement for the Western Gateway and recruiting to Secretariat resource. We will continue to engage partners and HM Government on this project.</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.				

OPP3 on the Corporate Risk Report

Directorate Risk Register as at January 12 2021 – 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>ROPP4: 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 M9 leaders on concerted joint efforts.</p> <p>We have formed a Brexit Project Board for internal preparedness and provided fortnightly updates to all Members on preparedness work.</p> <p>We have agreed terms of reference for a Brexit Coordination Group to manage daily operations in the event of a No Deal exit.</p>	↔	1	5	5	<p>Following a late 'deal' between the UK and EU we are assessing its implications, particularly around opportunities in new domestic funding programmes.</p> <p>We are engaging with partners and HM Government about funding programmes, notably the UK Shared Prosperity Fund and the proposed domestic replacement for Erasmus+.</p> <p>We continue to promote the Western Gateway as a post-Brexit opportunity to invest in the region and city.</p> <p>We are working with Core Cities and Eurocities to build partnerships across Europe and show Bristol is still open for business. In March 2020 we plan for there to be a Core Cities/Eurocities Leaders’ Summit to agree how we manage the impact of Brexit and improve bilateral city-to-city trade and investment relations.</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.				

OPP3 on the Corporate Risk Report

Directorate Risk Register as at January 12 2021 – 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, and 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> <p>Established regular meetings of Brexit Lead Officers from neighbouring authorities and WECA to share approaches and best practice. (Sep 19). 'Dry run' of Brexit Coordination Group ahead of 31 October original deadline; with learning informing future arrangements as required. (Oct-19).</p>		2	5	10	<p>As this is an external risk, it is challenging to assess and is changing very frequently, most recently with a late-notice 'deal' announced on 24 December 2020.</p> <p>We are now assessing this deal to ascertain its impacts, which are likely to reduce but not remove threat risk. Among the known areas of residual risk are the lack of an 'adequacy' determination to continue processing data between the UK and EU; the risk of people being left behind with no recourse to public funds once the EU Settlement Scheme deadline passes; changes to border control and import/export measures impacting organisational capacity; disrupted trade affecting businesses as they struggle to adapt to new requirements whilst also managing Covid impacts.</p> <p>These risks and any other identified are being 'mainstreamed' in to the appropriate parts of the council's Risk Registers during Q4 2020/21, and scoring will be reassessed accordingly.</p> <p>We continue to:</p> <ul style="list-style-type: none"> • Monitoring transition developments and impacts • Analyse the agreement with the EU and its impacts • Continue engagement with all relevant government departments and partners to ensure sectoral/organisation risks are communicated and mitigations proactively suggested. 	2	5	10
<p>Risk Owner: Chief Executive, Director Policy, Strategy and Partnerships.</p>	<p>Action Owner: Director Policy, Strategy and Partnerships.</p>	<p>Portfolio Flag: Finance, Governance and Performance.</p>			<p>Strategy Theme: Our Organisation.</p>				

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
1	RDRR1	Organisational Resilience	Director Policy, Strategy & Partnerships			3x7=21	New	3x7=21	↔	3x7=21	↔		
2	RDRR2	Financial Framework and MTFP	Chief Executive and Director of Finance (S151 Officer)	4x7=28	↓	4x7=28	↔	3x7=21	↑	3x7=21	↔		
3	RDRR3	Corporate Health, Safety and Wellbeing	Chief Executive and Corporate Leadership Board (CLB) Director of Workforce Change	2x7=14	↔	2x7=14	↔	4x5=20	↓	4x5=20	↔		
4	RDRR4	Information Security Management System	Senior Information Risk Owner (SIRO)	4x5=20	↔	4x5=20	↔	4x5=20	↔	4x5=20	↔		
4	RDRR5	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	↔	4x5=20	↔	4x5=20	↔		
5	RDRR6	Cyber-Security(Previously Cyber-Attack)	Chief Executive, Senior Information Risk Owner (SIRO)	3x7=21	↔	4x5=20	↑	4x5=20	↔	4x5=20	↔		
6	RDRR7	Fraud and Corruption	Chief Executive and Director of Finance (S151 Officer)	4x5=20	↓	4x5=20	↔	4x5=20	↔	3x5=15	↑		
7	RDRR8	Unplanned Investment in Subsidiary Companies	Director of Finance (S151 Officer)							2X7=14	New		
7	RDRR9	ICT Resilience	Chief Executive, Director Digital Transformation, Service Area Leads	2x7=14	↔	2x7=14	↔	2x7=14	↔	2x7=14	↔		
8	RDRR10	In-Year Financial Deficit	Director of Finance (S151 Officer)	4x3=12	↓	4x3=12	↔	4x3=12	↔	4x3=12	↔		
8	RDRR11	Financial Investment	Director of Finance (S151 Officer)							2X5=10	New		
9	RDRR12	General Data Protection (GDPR) Compliance	Senior Information Risk Owner (SIRO)	2x5=10	↔	2x5=10	↔	2x5=10	↔	2x5=10	↔		
10	RDRR13	Asbestos	Executive Director Growth and Regeneration, Director HR, Workforce and Organisational Design.	2x7=14	↔	2x7=14	↔	2x5=10	↑	2x5=10	↔		
11	RDRR14	Corporate Equalities	Director Policy, Strategy & Partnership			2x7=14	New	2x5=10	↑	1x5=5	↑		

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
12	ROPP2	Corporate Strategy	Director Policy, Strategy and Partnerships	4x7=28	↔	4x7=28	↔	4x7=28	↔	3x7=21	↓		
12	ROPP1	One City	Director Policy, Strategy and Partnerships	3x7=21	↔	3x7=21	↔	3x7=21	↔	3x7=21	↔		
13	ROPP3	Devolution	Director Policy, Strategy and Partnerships	3x5=15	↔	3x5=15	↔	3x5=15	↔	3x7=21	↑		
13	ROPP4	Brexit	Director Policy, Strategy and Partnerships	1x5=5	↔	1x5=5	↔	1x5=5	↔	1x5=5	↔		

Risk Performance Summary for External and Civil Contingency risks

Page	Risk ID	Risk	Risk Owner	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	
				Rating	Travel	Rating	Travel	Rating	Travel	Rating	Travel	Rating	Travel
14	BCCC2	Brexit	Chief Executive Director Policy, Strategy and Partnerships.	3x7=21	↓	3x7=21	↔	3x7=21	↔	2x5=10	↑		

Corporate risk performance summary for closed / de-escalated risks

Page	Risk ID	Risk	Risk Owner	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	
				Rating	Travel	Rating	Travel	Rating	Travel	Rating	Travel	Rating	Travel
Closed / replaced	CRR1	Long Term Commercial Investments and Major projects Capital Investment	Executive Director Growth and Regeneration, Executive Director Resources and Section 151 Officer							3x7=21	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 <i>(Including developing commercial enterprises)</i>	Minor delays and/or budget overspend but can be brought back on schedule with this project stage. No threat to delivery of the project on time and to budget and no threat to identified benefits / outcomes.	Slippage causes significant delay to delivery of key project milestones, and/or budget overspends. No threat to overall delivery of the project and the identified benefits / outcomes.	Slippage causes significant delay to delivery of key project milestones; and/or major budget overspends. Major threat to delivery of the project on time and to budget, and achievement of one or more benefits / outcomes.	Significant issues threaten delivery of the entire project. Could lead to project being cancelled or put on hold.
Reputation	Minimal and transient loss of public or partner trust. Contained within the individual service.	Significant public or partner interest although limited potential for enhancement of, or damage to, reputation. Dissatisfaction reported through council complaints procedure but contained within the council. Local MP involvement. Some local media/social media interest.	Serious potential for enhancement of, or damage to, reputation and the willingness of other parties to collaborate or do business with the council. Dissatisfaction regularly reported through council complaints procedure. Higher levels of local or national interest. Higher levels of local media / social media interest.	Highly significant potential for enhancement of, or damage to, reputation and the willingness of other parties to collaborate or do business with the council. Intense local, national and potentially international media attention. Viral social media or online pick-up. Public enquiry or poor external assessor report.