

Corporate Risk Register as at March 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>CRR4: Corporate Health, Safety and Wellbeing. If the City Council does not meet its wide range of Health & Safety requirements then there could be a risk to the safety of 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 Health, Safety and Wellbeing Team provide an integrated service to support all BCC services and monitor performance and compliance. Support Leadership and engagements with all managers, monitor and provide assurance on risk control, develop learning and development to assist with competence and monitor overall performance on HS&W.</p> <p>A new integrated Health, Safety and Wellbeing strategy has been approved by CLB along with new governance arrangements for HS&W.</p> <p>A new Fire Safety Management System has been developed and consulted on with key stakeholders. This includes a revised training programme and revised roles and responsibilities.</p> <p>A Corporate Health and Safety Monitoring System (CHaSMs) is used to provide a level of assurance on compliance across BCC. Each manager responsible for people and/or facilities are required to complete a two-yearly submission which identifies key hazard and risk control and identify any areas of improvement and/or non-compliance. Data submissions are analysed by the Corporate HS &W team and performance reports submitted to EDM's and the Corporate Health and Safety Committee. Each manager is required to develop an action plan to improve performance. The Corporate HS &W team carry out monitoring and sampling of the completed returns and support managers to develop appropriate action plans.</p> <p>The Accident Incident Reporting Systems (AIRs paper based) has been moved across to SharePoint. AIRs are monitored daily, and H&S Advisors follow up any actions, undertake investigations and report any RIDDORS to the HSE.</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. 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. Benchmarking and annual reports are provided to BCC along with the annual performance report. All contracts set up with external providers include a check of their relevant Health and Safety competency. The council's audit programme monitors compliance with statutory duty and best practices. We have reviewed the Health and Safety Management arrangements and developed a (project) service development and improvement plan.</p> <p>A new Occupational Health, EAP and Physiotherapy provider is in place (from 1st April). The contract management is overseen by the Head of Health Safety and Wellbeing. The new provision provides an offer for Schools.</p> <p>Developed robust risk assessments and control for managing COVID-19 across all of BCC and School.</p> <p>Continue to have good engagement with Trade Unions.</p> <p>Continued to build on the relationships with our Regulators including HSE and Fire Authority. We are working with the HSE on trail blazing work related to managing risk for Electrical Safety in Highways.</p> <p>The plan for updating and revising all health and safety procedures has been drafted.</p> <p>Mental Health First Aiders has now been launched and includes Senior Manager involvement.</p>	<p>↔</p>	4	5	20	<p>We have agreed in a new accident incident reporting system. A named officer has been allocated to work alongside the risk management team to pilot and implement the system which is part of the existing Risk Management Claims Reporting System.</p> <p>The new strategy is now being implemented. The strategy sets out the out a 5 Year end goal and the strategic priorities for Health Safety and Wellbeing. (Leadership and Commitment, Risk Control, Communication and Engagement, Training and Competence and Performance Management). A delivery plan supports the implementation.</p> <p>A new operating model and staff structure will be in place by June/July 2021.</p> <p>The H&S team has started to risk profile all the health and safety risks across BCC this will be used to plan and manage our work and make progress and maturity and provide better assurance at a senior level on what our H&S risk are and how well we are managing them. We continue to support the organisation to be COVID-19 secure. All buildings including schools have been given a COVID secure certificate and monitoring continues in this area.</p> <p>The health and wellbeing plan continues to support the workforce organisational strategy and key actions including reasonable adjustments training which is currently being revised with a plan to roll out to all managers during 2021/2022.</p> <p>A document plan has been developed to review all health and safety procedures to ensure they are user friendly and meet legal requirements.</p> <p>Health and Safety is currently being audited by internal audit services.</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>	<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. 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, including from cyber-attack. • 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>Responding to Covid has accelerated BC planning in keys areas (e.g. homeworking and managing resilient supply chains) and increased resilience.</p> <p>A Business Continuity survey has been released to all Heads of Service (completion date 16 Oct) requiring services to reflect on the Covid experience and their BC plans / resilience. The survey points out the likely challenges ahead and asks services to consider their 'critical activities' and the resources they need to deliver them, as well as consider other risks to the continuity of their services.</p> <p>The Covid Continuity Group chaired by Mark Williams has been established and is meeting regularly to address staffing resilience, including IT to support homeworking, in response to the ongoing homeworking now necessary due to Covid.</p> <p>A number of Policies, procedures and arrangements are in place including duty rotas for key service areas and the Duty Director rota. The Incident Response Plan updated in Decembers 2019.</p>	<p>↑</p>	3	5	15	<p>The Covid Continuity Group has now been stood down. However, it has been established as a successful model for managing business continuity challenges and is being written into plans to be reconvened when necessary in future.</p> <p>Following discussions at CLB and Resources EDM, concerns regarding cyber security and the ability of critical services to manage continuity in the event of a loss of IT services, a project is being developed across CPU, IT and Information Assurance to: review and finalise the list of critical services and the IT they depend on; increase services understanding of the resilience they can expect from IT; ensure that BC plans align with disaster recovery schedules; improve the quality of the BC arrangements services have in place to manage IT outages; place the review and maintenance of service BC plans on a 'corporate governance programme'. The scope for this project will be finalised at Resources EDM during Q1.</p> <p>The review of Service Level Business Continuity Plans planned for January 2021 was delayed by the Covid second wave. Although some of this work will be addressed in the project outlined above, a wider review needs to be re-scheduled.</p> <p>Business Continuity Awareness Week takes place between 17th and 21st May and we are working with Internal Communications to ensure messages to managers encourage review of continuity arrangements.</p> <p>CPU continue to lead exercises to support service response and continuity (e.g. election resilience)</p> <p>We continue to work closely with partners through the LRF to understand Covid, EU Exit Risks and other risks and the impact they may have on continuity.</p>	1	5	5
Risk Owner: Executive Director Growth and Regeneration Chief Executive, Director Management of Place.	Action Owner: Director Management of Place and Civil Protection Manager.	Portfolio Flag: Finance, Governance and Performance.			Strategy Theme: Our Organisation, Wellbeing.				

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<p>CRR6: 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 and emergency payment environment. 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 with staff in key areas redeployed to support the emergency response. Under investment in fraud prevention, detection and technology. 	<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 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 were 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 e-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 reported to management and Audit Committee via the half yearly Counter Fraud Update.</p> <p>Mandate approved for the establishment of a phase 1 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> <p>An independent review of our Whistleblowing arrangements has given substantial assurance on the adequacy and effectiveness of arrangements.</p>	↔	3	5	15	<p>The Council's exposure to fraud remains high due to Covid and there is evidence of attempts to abuse the government grants earmarked to support businesses and individuals in need. As such we will continue to use analytic tools and additional resources to perform both prepayment and post payment assurance checks.</p> <p>Where appropriate we continue to work across the West of England Combined Authority and North Somerset region in undertaking prepayment checks on government grants to minimise fraud losses in the region.</p> <p>Work continues strengthening our fraud and cyber controls ensuring they are robust to effectively mitigate against this increasingly high risk. Lessons are being learnt from other organisations that have been significantly impacted by recent cyber-attacks.</p> <p>We continue to participate in anti-fraud exercises including the National Fraud Initiative and have now obtained approval to join the Cabinet Office Fraud Hub to enable more frequent and regular matching of the data.</p> <p>Work will continue to identify viable options for a longer-term solution for a regional fraud hub that will maximise the use of advanced analytics and more datasets in the detection and prevention of fraud.</p>	3	3	9
Risk Owner: Chief Executive and Director of Finance (S151 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. The Council's risk level regarding 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 SIRO. Head of Information Assurance commenced in post September 2019 The Council is using a SIRO checklist to capture and escalate cyber security risks. IG team now have an operational level risk register that is being 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 now 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 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>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.</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. New ITTP Tooling is being configured and refined to provide a clear picture of the threat to BCC infrastructure.</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. 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 tiers, lockdown and infection control, there has been a reduction in the frequency of face-to-face visits to families. Returning to normal from end Lockdown 3 - 12 April 2021 - for majority of visits). Services are disrupted by COVID, hidden harm/significant harm risks for children escalate. Placement failure due to COVID infection across children's home or fostering households. An increase in demand of up to 5% is anticipated because of Covid and economic downturn, with some children more vulnerable to exploitation and abuse as a result of lost safe, stable, and nurturing relationships. Increased destitution in families, impacting on mental ill health, managing increased infection within children and young people population and their parents. 	<p>We regularly analyse performance and practice quality and report to Cabinet Members and Directors regarding safeguarding performance and progress. A children's safeguarding assurance report updates senior leaders on a quarterly basis.</p> <p>The 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. A Children's multiagency COVID cell meets regularly, coordinating responses across the children's system to pressures and risks arising as a result of COVID.</p> <p>Service delivery during COVID are kept under review, operating as near to normal as possible within the guidelines. Increased demand is monitored and responded to.</p> <p>Children's Homes improvement measures have been instated to strengthen business continuity and provide regulatory assurance in response to exceptional pressures and consequential risks that arose due to COVID.</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>Multi Agency Public Protection Arrangements are in place (MAPPA) with BCC contributors at every level to support family safeguarding.</p> <p>Additional capacity has been committed to the Local Authority Designated Officer for allegations against people who work with children.</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. This is monitored and tested through a performance and quality assurance framework.</p> <p>September 2018 Ofsted ILACS single inspection found the Local Authority Required improvement to be Good and identified that, 'services have improved substantially for care leavers, children in care and children in need of help and protection' and that 'children identified as being at immediate risk of harm receive timely support and interventions.</p> <p>Bristol has invested in Early Help and targeted services through an integrated localities and team around the school and family approach. The aim is to meet the needs of children and families at the earliest point, build family resilience, reduce demand for specialist services and maintain capacity within the system.</p> <p>Children and Families' Services invests in its workforce and has a career progression policy and workforce strategy focussed on attracting, recruiting, retaining, and developing excellent social workers. Senior leaders monitor social work vacancies and caseload levels to ensure the system operates as safely as possible for children and families. Competent agency social workers and managers are used on a temporary basis to fill vacancies.</p> <p>Information sharing protocols are in place with partners. Services take action to comply with GDPR (General Data Protection Regulation) where sensitive data is stored/processed.</p> <p>Children's strategic commissioning team have a priority work plan in place and are working to increase placement sufficiency through regional framework arrangements. BCC commissioners work closely with operational services to identify need and ensure appropriate services are commissioned.</p> <p>Developed a dynamic multi agency sharing information hub (MASH) to enable information to be shared between agencies and risk for children identified at the earliest opportunity.</p> <p>Developed a Domestic Abuse daily triage with colleagues in Police, Nextlink and our IDVA's to ensure support is provided at the earliest opportunity and timely referrals are made to First Response if appropriate.</p>	<p>↑</p>	3	7	21	<p>We are reviewing and reassessing information sharing arrangements with the aim of improving our ability to understand and respond to children at risk of criminal exploitation and going missing following CSE/Missing National Working Group recommendations.</p> <p>Bristol is part of the Contextual Safeguarding Scale Up Project with university of Bedfordshire developing improved responses to contextual safeguarding risks. In response to an identified and increasing risk of serious youth violence and criminal exploitation a multiagency plan is being implemented under the Serious Violence Exec Group and the Safer Options approach now brings together responses to child criminal exploitation, child sexual exploitation, serious violence. Service Delivery Plans for 2020-21 set out further actions to mitigate risks identified and deliver on our ambitions for children and families.</p> <p>Since the easing of Covid restrictions on 12 April 21 face-to-face visiting is expected unless in exceptional circumstances. Risk assessments are undertaken if face to face visiting is not undertaken, and these are required to be signed off by a Tier 3 manager.</p> <p>Vaccination programme is improving resilience and sufficiency across workforce, within our foster carers and Childrens Homes.</p> <p>Referrals have returned to pre-Covid levels and an increase in mental health and extra-familial risks is being closely monitored and responded to by multiagency partners in the city.</p> <p>We are investing further in systemic practice methodology and training staff members at all levels of Children and Families Services</p> <p>Service delivery and improvement plans' implementation is monitored to ensure response to COVID and other emerging pressures as well areas identified for improvement during our ILACS Inspection 2018 and learning from other Inspections, Peer Review, Rapid and Child Practice Safeguarding Review complaints, and other feedback received.</p>	1	7	7
<p>Risk Owner: Executive Director People, Director Children's, and Families Services.</p>	<p>Action Owner: Director Children's and Families Services.</p>	<p>Portfolio Flag: Children and Young People.</p>	<p>Strategy Theme: Our Organisation, Empowering and Caring, Wellbeing.</p>						

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<p>CRR10: Safeguarding Adults at Risk with Care and support needs. 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 controls. • Management and operational practices. • Demand for services exceeds 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. • Increased destitution in families, impacting on mental ill health, managing increased infection within the population. (COVID19). • Increased isolation. (COVID19). • Carer strain / resilience. (COVID19). • Absence of building-based services whilst we have reduced community solutions. (COVID19). 	<p>The Adults Safeguarding Board has been reconstituted into the Keeping Bristol Safe Partnership (KBSP), which also covers Children and Community Safety. The Board has senior executive representation and will ensure a strong focus on matters of strategic concern. The Partnership has oversight of adult safeguarding priorities. The Keeping Bristol Safe Board provides independent scrutiny of adult safeguarding in the city and holds BCC and partner agencies to account.</p> <p>The Adult Social Care Transformation programme has been established to implement policy objectives of delivering financial sustainability and ‘right positioning’ care delivery in the Bristol health, care, and wellbeing system. (See PDRR23)</p> <p>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 Southwest Recruitment and Retention Strategy has been drafted, the risks and costs identified. 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 of the KBSP. 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. Commissioning capacity has increased this to lead on monitoring and assuring quality in the care sector.</p> <p>KBSP business plan priorities agreed and being actioned.</p> <p>Completion of LAS process and forms for Organisational Safeguarding concerns.</p> <p>Corporate safeguarding policy in draft and going to Cabinet to be agreed and signed off.</p> <p>Regular attendance at MARAC (Multi Agency Risk Assessment Conference) and MAPPA.</p> <p>Safeguarding Discussion Forum set up to ensure complex or stuck cases are addressed in a timely manner.</p> <p>Improving Performance-Developed a new data collection with Power BI which is entering its testing phase.</p> <p>Activity continues as planned.</p>	↔	3	7	21	<p>Social workers working with multi-agency partners supporting adults and older people to live safely within their families and communities.</p> <p>Review of the Safeguarding Pathway and delivery on new forms in LAS.</p> <p>Considering transformational approaches to home care recommissioning that may offer a more flexible employment offer.</p> <p>Planning placed based approaches to include working with micro providers.</p> <p>The Adults Delivery Group is up and running and a new Transitions theme has also been instituted. Whilst the Covid-19 ‘lockdown’ situation has changed the complexion of adult safeguarding, it is anticipated that the likelihood and impact of incidence will be similar.</p> <p>Response is to run services as near to normal as possible with increased demand and potential gaps in workforce impacting. Hence elevated risk rating.</p> <p>Development and delivery of an Adults Multi-agency Safeguarding Hub as a priority for the partnership.</p> <p>Performance-New Safeguarding data set due to go operational.</p>	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"> • Emergency risks not identified and prepared for. • Lack of trained and available responding staff. • Emergency roles and responsibilities not embedded. 	<p>We have supported the ongoing Covid response and responded effectively to concurrent incidents including fatal industrial accidents, residential fires, water and utility outages and protests.</p> <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 BCC-led exercises being Exercise New Dawn Nov 2019 (Pandemic Flu) Day Two May 2018 (high rise building collapse) and a major COMAH (Control of Major Accident Hazards) training exercise in November 2018 (Operation Spitfire). CPU and relevant teams have also taken part in multi-agency exercises.</p> <p>A Duty Director on-call rota is in operation. 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. Learning from Covid has accelerated and improved excess death planning.</p> <p>Recruitment of a further 1-year fte Civil Protection Officer is underway to support the ongoing Covid response.</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 required the OOH CPU service to be reduced to a telephone only service. This has now been reversed and a full response is available again.</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 in place.</p> <p>Emergency Planning College (EPC)-led Strategic Incident Management Training session was delivered to senior officers in November 2019.</p>	<p>↑</p>	3	5	15	1	5	5
Risk Owner: Executive Director Growth and Regeneration, Director Management of Place.	Action Owner: Director Management of Place, and Civil Protection Manager.	Portfolio Flag: Finance, Governance and Performance.	Strategy Theme: Our Organisation, Wellbeing.					

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<p>CRR13: 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. • Governments spending review 2021. • 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 reduced funding levels through lower allocations and/or 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. 2020/21 Budget presented and approved by Full Council February 2020. 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. <p>Changes to savings in year are monitored by delivery executive. Planned skills development of finance team remains a key priority which will include commercial and business acumen. This will be an ongoing and aligned with professional development. 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> <p>The MTFP and 21/22 budget now incorporates estimates of medium-term impact of Covid-19 on our income and changes to cost base.</p>	<p>←</p>	3	7	21	2	3	6
<p>Risk Owner: Chief Executive and Director of Finance (S151 Officer).</p>	<p>Action Owner: Director of Finance (S151 Officer), Chief Accountant.</p>	<p>Portfolio Flag: Finance, Governance and Performance.</p>	<p>Strategy Theme: Our Organisation.</p>					

Corporate Risk Register as at March 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		
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<p>CRR15: 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. 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. 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.</p>	↑	1	5	5	<p>The latest budget monitoring is forecasting in-year budget underspend. The impact of Covid-19 in 20/21 has been offset by a mix of additional Government funding and corporate mitigations for the residual pressures.</p> <p>Ongoing measures to manage the risks for 21/22 will include the following: 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 and strategic planning. Ensure there are sufficient reserves available to provide the Council with some resilience to material variations in spend forecasting and economic shocks. 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.				

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<p>CRR18: Failure to deliver enough homes to meet the City's needs. The risk of failing to deliver the range of housing to meet Bristol's needs and not realise the Mayoral Target 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>Working closely with BCC's Housing Company, (Goram Homes) to develop and support their development pipeline of sites.</p> <p>Secured funding from Homes England under HIF and Accelerated Construction and Community Development to release further housing land.</p> <p>Established a grant funding programme to subsidise the delivery of affordable homes.</p> <p>Review of the Affordable Housing Practice Note.</p> <p>Worked collaboratively with Homes England and WECA 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>Reviewing the Affordable Housing Grant Funding Policy to ensure it is relevant and assist the delivery of new affordable homes.</p> <p>Close monitoring of the multi-disciplinary Housing Delivery Team workload and continue to support additional capacity with Property, Planning, Highways and Legal.</p>	↔	3	5	15	<p>Monitoring and review the impact of the coronavirus & Brexit on the Housing Market, on Housing Association and Developer Partners delivery Programmes.</p> <p>The HDT delivery programme continues to prioritise de-risk sites to create a pipeline of investable development opportunities to bring forward for development.</p> <p>We have ongoing active engagement with Registered Providers 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 continuing to ensure that all vacant posts are filled as soon as possible after becoming vacant to ensure we have a full complement of expertise with the HDT.</p> <p>We are acquiring additional homes on development sites to bolster HRA stock.</p> <p>Working Closely with Homes England & WECA 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>Revise the Affordable Housing Practice Note and Grant Funding Policy to stimulate delivery of affordable homes.</p>	3	3	9
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>CRR23: Adult and Social Care (ASC) Transformation Programme 2020/21-2021/22.</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 across our demographics 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 and embed genuine alternatives to Tier 3, long term care provision (ECH (Extra Care Housing), 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 using the BCF with NHS (National Health Service) 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>Central government funding has been secured via the CCG (Clinical Commissioning Group) during the COVID period which has mitigated the immediate impacts of COVID, but this is only short-term funding.</p> <p>New transformation programme board now chaired by ASC portfolio holder with the Chief Executive and Executive Director and DASS meet monthly to keep the focus and impetus on the aims and objectives of the programme.</p> <p>A set of top priority dashboards have been created and each work-stream has a Senior Responsible Officer (SRO) to ensure ownership of progress. This will be at Deputy Director (DD) and Head of Service (HoS) level. Each area has an operations and commissioning lead to ensure alignment and that quality commissioning activity is driven by operational requirements.</p> <p>The ASC Transformation team take an overview and 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 oversee corporate business support services input, where their expertise in IT, HR, Finance and Legal is needed to assist us programme delivery.</p>	↔	2	5	10	<p>Improving Pricing Control – building on existing price controls such as Bristol Rate for Older People's bed based care and a natural drop in prices due to Covid-19 and use of new tools such as Care Cubed to manage price of care and support for younger adults. Commissioners have written providers to notify them that BCC will be negotiating rates based on the national care funding calculator. New processes are just being established for how care cubed will be used operationally.</p> <p>Clear commissioning priorities based on need to maintain supply and quality of services but also reduce spend by £3.85m this financial year across Older People and AWLTC business cases.</p> <p>Dual levers of reducing demand for entry into social care and commissioning less placements of long-term Tier 3 care through good alternatives to bed based care, different referrals from social work colleagues into brokerage and service redesign with the provider market, and the other lever of managing price and the unit costs of care and support.</p> <p>Residual risk of the impact of Covid on social care needs, long Covid and unmet needs being identified as well as packages of care being re-started as society opens back up.</p> <p>Improving Business Intelligence - ASC are leading the corporate objective to move our performance management onto PowerBI. Working with the Intelligent-I team the transformation team are creating a number of sophisticated ASC dashboards which will open ASC data to staff. Giving staff the tools, they need for proactive performance management to become everybody's business. Work is planned to be ongoing with intelligent-I until August.</p> <p>Improving ASC process issues - To drive the right behaviour, we are working on a new Standard Operating Process (SOP) which can start to address issues which promote poor outcomes or move service users into Tier 3 services too soon.</p> <p>Making change everybody's business - New 'change Agent' roles have been established across the business to champion change. The first task is to work directly on the SOP with support from senior staff and to report back on what needs to happen into DMT (Directors Management Team) in June 2021.</p> <p>Realignment of operations - Care management are currently going through a consultation with staff about the realignment of teams into the wider system 'Integrated Care Partnerships' (ICP) model for community health and care delivery. This will help ASC align closer to community health partners such as Sirona and Primary care Networks but also start to develop a more robust locality model offering a greater range of Tier 1 and 2 services working closely with the VCS. This will then be taken through the key decision pathway to get authority to proceed with the modernisation of these services.</p> <p>Two overarching business cases drafted for the department. One for older people (over 65) and one for adults with long term conditions (18-64). These contain the narrative about our priorities and the transformation we want to see. The Older Persons business case has been completed, approved by Transformation Board with a £1.85m 2021/2022 saving and will now go to Cabinet.</p> <p>Dashboards created - The team have worked with commissioning and care management to pull out the top priorities for transformation work over the next 12 months. These will be shared with staff and be the golden thread for ASC that link the more detailed business cases to a clear set of actions.</p>	1	5	5
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.						

Corporate Risk Register as at March 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		
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<p>CRR25: 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. 	Initiated audit of all council Line of Business (LoB) systems.	↔	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 regarding 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> <p>Where appropriate ensure that these risks are articulated to Risk, BCP and procurement colleagues, and to the SIRO, as appropriate.</p>	2	5	10
Risk Owner: Chief Executive, Director, Digital Transformation.	Action Owner: Director, Digital Transformation. Service Area Leads. Senior Information Risk Owner (SIRO) for Cyber Security. Service Areas for BCP/DR.	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>CRR26: ICT Resilience. The Councils ability to deliver critical and key services in the event of ICT outages and be able to recover in the event of system and/or data loss.</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.						

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<p>CRR27: Capital Transport Programme Delivery Management of the overall transport capital programme is key to ensuring we deliver against mayoral priorities in the most cost and time efficient way possible. Failure to do so negatively impacts the council's reputation and finances and makes the council less likely to reduce congestion, air pollution and inequality.</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>	↓	3	5	15	<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> <p>All schemes restarted and works progressing well. 6-month review has highlighted schemes that are behind programme and re-profiling taking place currently.</p>	2	3	6
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.				

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<p>CRR29: 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>Implementation training has been conducted for Information Security and Audit training has also been conducted with Internal Audit colleagues.</p> <p>Policies are signed off and roll out plan work continues as part of GDPR Phase 2 project.</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.				

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<p>CRR32: Failure to deliver enough affordable Homes to meet the City's needs. Failure to deliver 800 affordable Homes per annum to meet Local Housing Need & the Mayoral Target. Strategies and delivery models designed to further stimulate growth in the housing market and deliver diversity of the housing in the City prove to be ineffective.</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. • Not enough planning applications submitted. • Not enough permissions granted. • Inability of the housebuilding industry to deliver at this level. • Increased uncertainty in the market due to Brexit. • Lack of capacity within the council's delivery system and the local market. • Insufficient housing land identified in planning documents. 	<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 page9 for full list of interventions.</p>	↔	4	7	28	<p>Promote Affordable Housing Grant Funding.</p> <p>Working Closely with Homes England to ensure additional subsidy is secured.</p> <p>Acquisition of additional affordable homes from developers to bolster the HRA stock.</p> <p>De-risk the outstanding allocated sites in the City to prepare a pipeline of investable development opportunities for future delivery.</p> <p>Ensure affordable Housing is negotiated to policy requirement on all eligible housing sites.</p> <p>New frameworks for working collaboratively to resolve issues that exist on Residential planning applications and conditions discharge.</p> <p>Review & amendment of Affordable Housing Practice note in 2021/22.</p>	3	5	15
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.			

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<p>CRR34: 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. 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. • Under-representation of key demographics in the workforce, particularly within senior roles. 	<p>BCC Equality and Inclusion (E&I) internal Governance established (October 2020). Action plan developed and being disseminated and taken forward (ongoing). Equality action plans for all service areas are being monitored for progress against actions for 2020/2021 (Oct 2020). Revised templates training and support to be provided for Equality Impact Assessments (EQiA) from Apr 21. Continual Internal communications to enhance visibility. Work continues to embed interventions based on David Weaver's recommendations for BCC. (Jun 2020 approval at CLB). On-going bespoke support, advice, and risk assessment for BAME and other vulnerable staff in light of Covid-19. Staff Led Groups relaunched with new ways of working. On-going temporary Covid-19 EQiA process created and E&I team representation on key working groups. Refreshed Equality and Inclusion Policy and Strategy, approved by Full Council in December 2020. Reviewed Equality Action Plans across all council services through annual service planning process, also introducing workforce planning. (Nov-Dec 2020). Finalised and implemented new E&I Governance Structure. (Dec 2020). Completed initial Stonewall test submission and received feedback. (Dec 2020) Creation of working group to assess Covid impacts for BAME community and recruitment of part-time equalities officer to provide group governance support and take forward actions. (Mar 2021). Team in place - new contracts for a project management apprenticeship and an equalities officer to work on Covid impacts on BAME communities. Head of Service returned from maternity leave and temporary contractor retained to cover special projects until end May. Improve equalities analysis and consideration in changes to policy or practice as a result of Covid-19. Community engagement carried out to understand more about city's relationship with race equality and people's needs in recovery from Covid-19, particularly in the context of the global focus on race equality. Implemented internal equality and inclusion governance structure (including champions and director sponsors). Review workings of the Disability Peer Navigator scheme.</p>	<p>↔</p>	1	5	5	<p>The work of mainstreaming and embedding equality & inclusion is well underway. Good teamwork across Bristol City Council. The two teams with an equality & inclusion focus within Policy, Strategy and Partnerships and Human Resources have now been aligned and are working closely together. 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. The disproportionate impact of Covid-19 on Black, Asian and minority ethnic groups has been recognised and is managed by a focused race equality group within the council's governance structure for managing the impacts of the pandemic. We are:</p> <ul style="list-style-type: none"> • Implementing various new initiatives in Equality and Inclusion proposals approved by CLB in June 2020, including strengthening leadership, policy reviews, updates in HR practice and more. Progress is being tracked and has been audited in Q4 20/21. • Having on-going city conversations on race equality. • Reviewing the E&I learning and development offer for employees at BCC to ensure that their E&I awareness is improving throughout their employee journey. • Launched new approach to positive action in recruitment and/ or leadership/ stepping-up opportunities for under-represented groups. • Participating in LGA Equality Framework for Local Government, with a final report due in May 2021. 	1	5	5
<p>Risk Owner: Director Policy, Strategy & Partnerships.</p>	<p>Action Owner: Director Policy, Strategy & Partnership, Head of Equality, and Inclusion.</p>	<p>Portfolio Flag: Finance, Governance and Performance.</p>	<p>Strategy Theme: Our Organisation.</p>						

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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. 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 into 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. • Reviewing the council's overarching ways of working and design principles, including embedding of more agile ways of working. This will inform a planned update of the Council's Corporate Strategy in 2021/22. • 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				

Corporate Risk Register as at March 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		
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<p>CRR36: SEND (Special Education Needs & Disability). Delivery of the recovery plan with agreed priorities and actions and clear milestones forming the Written Statement of Action (WSOA) following the SEND (Special Education Needs & Disability) 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 outweighing current capacity to clear the backlog on statutory assessments. • Judicial Review or similar legal actions causing attention to be diverted from Business as Usual (BAU). 	<p>Established robust partnership arrangements with parent/carers, key partners including social care, health, and schools to develop and deliver 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 - Recommendations captured in Written Statement of Action (WSOA) – ongoing monitoring of progress.</p> <p>WSOA was formally approved by Ofsted and Care Quality Commission (CQC) - April 2020.</p> <p>Investment in key priority areas - Appointed new staff in SEND and EP team. Re-structured and re-focused the work of the team.</p> <p>Co-production of key system reforms have taken place e.g., EHCP systems and processes, which moves to a child-centred model from September 2021.</p>	↔	2	5	10	<p>Ongoing work with stakeholders and partners across the local area to improve services through the delivery of the WSoA. - Addressing the key milestones for each of the five key areas requiring improvement.</p> <p>The WSOA has a governance route and performance is robustly monitored by the SEND partnership group monthly and Children's Improvement Board bi-monthly.</p> <p>Regular review takes place through People Scrutiny, using the recommendations of the SEND Deep Dive as a model for evaluating progress.</p> <p>Since the formal approval of the WSoA, 3 formal monitoring visits have been undertaken by the Department for Education (DfE) and NHS England 86% of the 175 milestones have been delivered to date.</p> <p>A re-inspection is likely to take place between Autumn – Spring 2021/22.</p>	1	5	5
Risk Owner: Executive Director People, Director Adult Social Care.	Action Owner: Director Education	Portfolio Flag: Education and Skills.			Strategy Theme: Our Organisation, Empowering and Caring, Fair, and Inclusive, Well Connected, Wellbeing				

Corporate Risk Register as at March 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>CRR37: Homelessness. The risk that homelessness and the subsequent cost of providing emergency accommodation will continue to rise.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • The ending of the eviction ban. • Economic impact of the pandemic - unemployment rising leading to an increase in evictions from private rented tenancies. • An increase in mental health issues, family relationship breakdown and domestic violence & abuse as a result of the pandemic • Welfare benefit levels dropping to pre-Covid arrangements from September. 	<p>Launched Change for Good. A multi-agency partnership sponsored by Bristol City Council, Bristol, North Somerset, and South Gloucestershire Clinical Commissioning Group (BNSSG CCG), Golden Key Bristol. Aim to change how agencies work together to support people with complex needs starting with homelessness.</p> <p>Continuing to progress the One City move on project, which is delivering additional move on accommodation for people that are homeless.</p> <p>BCC Submitted a successful bid to Ministry of Housing, Communities & Local Government (MHCLG) next steps funding to increase the availability of supported move on accommodation for people who sleep rough.</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>	↔	4	5	20	<p>Initiated a project with the aim of reducing the net unit cost of Temporary Accommodation. Opportunities being explored and prioritised.</p> <p>Ongoing work with 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 continue to progress the Move On Project. Bringing online additional supported move on accommodation funded from our successful Next Steps programme bid.</p> <p>Co-ordinated bid with City Partners to the Government Changing Futures Programme to improve the way that systems and services work to support individuals experiencing multiple disadvantages.</p> <p>Submitting a bid in April and then July for additional supported move on accommodation through the rough sleeper accommodation programme.</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 March 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		
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<p>CRR39: Adult and Social Care major provider/ supplier failure Failures or closures in the supply chain mean insufficient supply to source adequate appropriate support and meet Care Act needs.</p> <p>Key potential causes could be as follows:</p> <ul style="list-style-type: none"> • Major national care home provider goes into liquidation or starts to sell care homes. • Major local provider/unable to meet demand due to recruitment / workforce/ or organisational issues. Major providers become financially sustainable due to economic context. (COVID-19) Additional costs and pressures on market arising from additional impact on supply. Ongoing pressures of Brexit on supplier market. 	<p>Multi agency support for providers to address impact of pandemic. Regular review of supply and sustainability issues part of weekly SITREP provided by commissioning. Strong contract and performance management including quarterly corporate reporting. Provider Financial sustainability process provides evidenced understanding of issues for strategically important providers. Work on managing market prices based on open book cost of care processes. Balance between ensuring value for money services and making savings while maintaining supply of quality care and support services and ensuring sustainability of the care and support provider base.</p>	↔	2	7	14	<p>Business cases reviewing appropriate investment to ensure supply key provision. Leading role in work across BNSSG re provider market. Support VCSE to work alongside formal supply.</p> <p>Timely distribution of Government funding (e.g., Infection Control Fund) and use of LA (Local Authorities) discretionary payments to support providers. Innovative use of Workforce Capacity fund to support bank staff project and wellbeing and resilience training for care workers, funding for Proud to Care projects. Continued and increased QA (Quality Assurance) team intervention and prevention work with providers. Fortnightly liaison meetings with CQC and CCG reps and closer working with neighbouring authorities. Fortnightly meetings with Care Provider association and key city providers to assess and plan risks to the sector and wider monthly provider forum. Review of Provider Financial Sustainability process- updating of paperwork and process more transparent and collaborative with providers as new factors emerging (e.g. rising insurance costs, Brexit). Updating of continuity plan and Provider Failure policy to address impact of pandemic.</p>	2	7	14
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.				

Corporate Risk Register as at March 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		
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<p>CRR40: 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"> • Failure to have effective corporate governance arrangements in place in one or more of the companies. • Failure to ensure the right leadership with the right skills across the Companies. • Business Failure due to severe economic downturn caused by external factors (incl. Pandemic & Brexit). • Service delivery failure as a result of specific market changes (e.g., recycle market, housing market), failure to secure planning etc. • Delivery of BE2020 wind up within financial envelope. • Legislation changes. 	<p>A Governance Review has been commissioned to consider the governance arrangements in respect of the companies and any potential amendments that may be required to the associated governance documents.</p> <p>The Terms of Reference for the Shareholding Group (SHG) have been updated.</p> <p>Audit & Risks Committee (ARC) established across the companies to review internal controls, governance and risks management and have along with the SHG overseen the establishment of a risk management framework.</p> <p>Annual business plans have been submitted for BHL, BWC and Goram Homes outlining their financial position, outlook and 21/22 investment requirements. 21/22 plans have been approved by Cabinet and delivery against plan reviewed by BHL and SHG.</p> <p>Shareholder support has been secured for key appointments and reserved matters published.</p> <p>Pandemic financial pressures are managed over the medium term for eligible response expenditure.</p> <p>Effective engagement is occurring with BHL re reserved matter decisions and wider engagement with BCC Client teams to review performance of the companies and set clear KPIs.</p> <p>Working capital facilitates (repayable loans) are in place as agreed within the relevant business plans and provision available to support the assumptions for winding up of BE2020. Cashflow are monitored in line with the agreement for requesting draw downs.</p> <p>Specialist advisors are working alongside BE2020 and BHL to finalising the windup of the company.</p>		3	5	15	<p>Following the Council's external auditors review of Governance arrangements for subsidiary companies an action plan is in place to improve Governance and risk management arrangements. A number of actions are ongoing or in the process of being implemented with completion expected by October 2021. SHG will regularly review delivery of agreed actions from the governance review.</p> <p>BCC / BHL will conclude the work underway to improve the alignment of risk management arrangements and monitoring of risk – June 2021.</p> <p>ARC will report annually to BCC Audit Committee on the effectiveness of internal controls, governance and risks – in line with BCC Audit Committee workplan.</p> <p>Board Effectiveness reviews to be part of BHL annual workforce planning - ongoing</p> <p>Business plan for Bristol Heat Network BHN is in the process of being finalised. – date TBC</p> <p>Continued monitoring of the impact of Covid / Brexit on the business and adaptive approach being proposed for optimising emerging opportunities and mitigating pressures - ongoing</p> <p>Effective engagement with BHL re reserved matter decisions and wider engagement with BCC Client teams to review performance, quality and set clear KPIs – ongoing.</p> <p>Weekly progress review provided and regular review of assumptions, cash flow and risks - ongoing</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.						

Corporate Risk Register as at March 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		
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<p>CRR41: Growth and Regeneration (G&R) Portfolio of Capital Programmes and Projects</p> <p>The portfolio of long-term Capital Programmes and Projects with complex budgets or involving complex deals. This includes Cultural, Housing Delivery, Infrastructure, Land and Property, Regeneration and Transport Programmes and Projects e.g., Bristol Beacon (project) and Temple Quarter (programme).</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> A failure to manage the portfolio correctly will expose Bristol City Council to significant levels of risk including <ul style="list-style-type: none"> Significantly higher programme and project costs. Non-delivery of key priority programmes and projects. Reputational damage to Bristol City Council and to the City of Bristol. 	<p>Growth and Regeneration (G&R) Board working has been transformed in 2020/21 and the introduction of enhanced highlight and exception reporting at the G&R Board has started to have a positive impact on overall 'grip' of the portfolio. Project officers now routinely come to G&R board to provide an overview of progress on an exception's basis. This work feeds into the Capital and Investment (C&I) Board process creating a stronger sense of joined up programme management.</p> <p>During the Covid-19 lockdown the G&R Leadership initiated a process of reviewing and prioritising / re-prioritising programmes and projects and other deliverables as well as assessing its impact on long-term commercial investments and Capital Programme and Project delivery. This process involved close engagement with the Mayor and the Mayor's Office to re-confirm priorities and to focus attention on specific issues e.g. Bristol Beacon funding, Highways and Structures.</p> <p>The appointment of the Capital Strategic Partner (Arcadis) in February 2021 has had an impact on the performance culture across the portfolio of Capital Programmes and Projects. A dedicated Programme Director from Arcadis attends the Growth and Regeneration Executive Director Meetings, and the Strategic Partner programme is on track to complete mobilisation by the end of April 2021. Revised contracts are now signed with the main contractors and revised programme management arrangements (led by Arcadis) are in place.</p> <p>In February 2021 Bristol Beacon (formerly Colston Hall) received Cabinet approval for a significantly increased Capital contribution to enable project completion. This followed in depth internal and external reviews covering both the project governance structure and main contract arrangements. This was previously identified as a major risk within CRR41 (formerly CRR1).</p>	↔	4	7	28	<p>A new systemised approach to working is being developed in conjunction with the Strategic Partner (Arcadis) and will be applied to all future programmes and projects going forward within the Capital Portfolio. This is already providing a better understanding and greater rigour around project management and risk management.</p> <p>Whilst the new approach will improve the overall management of risk for programmes and projects in the process of being commissioned, at the present time these represent a small percentage of the overall Capital Programme. Therefore, the overall Portfolio risk is unchanged. Future work will involve applying the new methodology to the legacy Portfolio which will have a positive impact on the overall risk.</p>	1	7	7
Risk Owner: Executive Director Growth and Regeneration.	Action Owner: Executive Director Growth and Regeneration and Director Economy of Place.	Portfolio Flag: Mayor and Finance, Governance and Performance.			Strategy Theme: Our Organisation, Empowering and Caring, Fair, and Inclusive, Well Connected, Wellbeing.				

Corporate Risk Register as at March 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>CRR42: Provision of Leisure Services</p> <p>The ability to provide suitable leisure services to the Community of Bristol.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> Service closure due to Covid 19. Procurement timescales. 	<p>We are now working with Arcadis, the councils Strategic Partner for capital projects, this will provide additional capacity and expertise to support delivery of the technical programme and the design and re-procurement of the service post 2022.</p> <p>A paper has been presented to the Corporate Leadership Board (CLB) outlining the management of the short-term issues resulting from service closer due to Covid we have carried out modelling to forecast the cost of maintaining the SLM leisure management contract once leisure centres re-open on the 12th April has a forecast deficit for April 1st 2021 to March 31st 2022 between £600,000 to f £1,181m. The shortfall in income for 2020/21 due to lockdown has been covered by Public Health grant and General fund reserves.</p>	New	4	7	28	<p>Finances are reviewed monthly to get actual figures.</p> <p>The design and procurement process and options are being scoped, including the investment strategy. This will be brought forward to Cabinet in June</p> <p>We are working with finance on identifying funding for the in-year cost pressure due to Covid and will seek authorisation from cabinet to fund shortfall for 2021/22 cabinet in June 2021.</p>	2	7	14
Risk Owner: Executive Director People, Director Adult Social Care.	Action Owner: Director Public Health	Portfolio Flag: Adult Social Care.			Strategy Theme: Wellbeing.				

Corporate Risk Register as at March 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>OPP1: One City Approach. The One City Approach will offer a new way to plan strategically with partners as part of a wider city system.</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 appointed to the Head of City Office role, 2x Operational and Stakeholder Engagement Managers, an 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. This includes 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 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>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>We have worked closely with all Boards to update the One City Plan timelines ahead of a v3 Plan launch in March 2021, and also continue to collaborate on a city-wide approach to Covid-19 Recovery. We have reviewed longer term funding and governance options and are taking forward conversations with partners in January 2021 about this.</p> <p>We have produced v3 of the One City Plan and produced our second annual report available on the One City Website from 12 March 2021. A new culture board and Children and Young People's Board have been established. Conversations have been had with all anchor institutions over funding. More formalised working arrangements with City Funds have been established. City Office continues to support the COVID response and Recovery.</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.</p> <p>We continue to:</p> <ul style="list-style-type: none"> • Set up a Partnership Board to oversee the work of the City Office and developing MOUs with wider range of partners to further formalised working arrangements. • Negotiate with partners on funding arrangements. • Create a One City Digital Board. • Produce a City Office team mandate to outline the functions of the team for partners. • Develop more detailed metrics for impacting tracking of activity. 	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 March 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>OPP2: 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 18/19, 19/20 and 20/21 and associated Performance Frameworks through appropriate Decision Pathways.</p> <p>Re-launched and completed 'My Performance' reviews for all colleagues including annual objective setting linked to the Corporate Strategy and Business Plan 18/19.</p> <p>Designed and launched an integrated business planning approach for 2020/21, linking financial planning, service planning and performance management more closely and from an earlier starting point. Evolved this in 2021/22 cycle to include Workforce Planning and more refined Equality Action Planning.</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 and annual performance reviews in iTrent.</p> <p>Reviewed organisational design principles and ways of working as part of thinking ahead to a 2021/22 update to the Corporate Strategy.</p> <p>Undertaken Covid-19 Recovery planning mapped against the Corporate Strategy, producing a 'special edition' of the annual Business Plan in 2020/21.</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.				

Corporate Risk Register as at March 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>OPP3: Devolution. 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 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> <p>Elections for the WECA Mayor are due to be held in May 2021.</p> <p>There have been delays in the Government publishing its Devolution White Paper.</p> <p>We continue to monitor developments and can take advantage of opportunities when they arise.</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 March 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>OPP4: Brexit. If exiting the European Union provides benefits, such as increased domestic concentration of power, this may lead to opportunities for this to be harnessed at a local or regional level.</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>We are working closely internally and with partners to assess impacts and the relationships between recovering from the Covid pandemic and leaving the EU with a trade deal. This includes identifying opportunities of benefit to Bristol and its citizens, whether it's funding or new initiatives/activities.</p> <p>Continued monitoring of external environment and government relations.</p> <p>Promoting the Western Gateway as a post-Brexit opportunity to invest in the region and city.</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.				

Corporate Risk Register as at March 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>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>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. The Strategy has used outputs from a number of key studies (which identify the risk of flooding to the city) to structure our response to flood risk management, from emergency management to flood mitigation schemes, summarised below.</p> <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>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. We undertake regular and emergency maintenance and clearing programs of gullies and culverts, especially in advance of storm warnings.</p> <p>Work is ongoing with the Environment Agency and South Gloucestershire Council to construct new sea defences in Avonmouth and Severnside, which take account of climate change and sea level rise.</p> <p>A Strategic Outline Case for managing the risk of flooding from the river Avon to the city centre over the next century was approved by Cabinet in March 2021. The approved strategic approach is to construct new defences and / or raise the level of existing defences along the banks of the river Avon. The Environment Agency approved the SOC and the scheme has been given a £2m approval for further work to develop the Outline Business Case.</p> <p>We have been successful in our expression of interest to participate in the DEFRA Innovation and Resilience programme. This programme allocates approximately £6m to 25 areas to undertake innovative actions to increase resilience to flooding from 2021 - 2027.</p>	↔	3	5	15	<p>There is sustained resourcing and delivery of all actions in Local Flood Risk Management Strategy (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 Strategy to protect the city centre and support sustainable development, 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. • Promote minor sized schemes and green infrastructure to reduce local flood risks. • Actively managing flood risk infrastructure. • Ensuring development is sustainable, seeks to reduce flood risk and includes consideration to climate change. • Working with South Gloucestershire and the Environment Agency to deliver a programme of innovation to increase communities resilience to flooding. 	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 March 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. 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> <p>'Dry run' of Brexit Coordination Group ahead of 31 October original deadline; with learning informing future arrangements as required (Oct-19)</p> <p>Operated and concluded Brexit Project Board throughout transition phase in 2020, signing-off final preparedness and risks aligned to Local Resilience Forum risk register and assessment of national planning scenarios. (Dec 20)</p> <p>Reviewed governance of Brexit response groups to avoid any duplication with similar 'Command and Control' arrangements relating to Covid-19. (Nov 20)</p> <p>The UK exited the EU on 31 Dec 2020, with a trade deal agreed. It is considered a slender trade deal, but it avoided the major risk of 'no deal'.</p> <p>The Brexit response group has been closed by the Council (Nov 2020) and all identified risks have been absorbed into 'business as usual' and managed through EDMs.</p> <p>The key outstanding risks are EUSS (NRPF), post EU funding settlement (UKSPF), regulatory services (port and public health) and data adequacy agreements.</p> <p>We have established a multidisciplinary forum where issues relating to recovering from Brexit and Covid are discussed and agreements on how to take cross-cutting issues forward.</p>	↔	3	5	15	<p>We continue to assess 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 (a draft decision awaits European Council approval); the risk of people being left behind with no recourse to public funds once the EU Settlement Scheme (EUSS) 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' into 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"> • Monitor developments as the trade deal and other arrangements are implemented, including monitoring Parliamentary activities such as Home Affairs Select Committee. • Engage with all relevant government departments and partners to ensure sectoral/organisation risks are communicated and mitigations proactively suggested. • Meet with neighbouring Avon and Somerset Local Resilience Forum and other partners to plan further actions together, including shared initiatives. • Manage EUSS (No Recourse to Public Funds) risk through monitoring developments (court case currently underway regarding eligibility for public benefits for people with pre-settled status). • Work with city and regional partners to run a campaign to raise awareness amongst EU citizens of the EUSS scheme and ensure citizens regulate their status ahead of the deadline. • Engage with local stakeholders on EUSS scheme, and running activities as required (MPs, consulates, city partners). 	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 March 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>BCCC3: COVID-19. 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. • Changes in national guidelines. 	<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"> • The response to Covid is managed through the Outbreak Management Group, Chaired by the Director of Public Health. • The Local Engagement Board and Health Protection Committee were both established and have met regularly. • Work to support the most vulnerable is ongoing. • Work to enforce Covid regulations is ongoing. • PPE supply chains have been stabilised and made more resilient. • Additional body storage capacity has been realised. • The organisation has established remote working practice wherever possible. • Buildings have Covid secure risk assessments in place. • Three Recovery Workstreams have been established – Community and People, Economy and Business and Organisational Change. • Recovery Objectives are being monitored and managed through EDMs. • We have worked in partnership through the One City Economy Board to produce an Economic Recovery and Renewal Plan. • We are participating in a regional Strategic Recovery Group run by the Local Resilience Forum and in economic recovery initiatives hosted by the Combined Authority. • Learning from the multiple waves informs our ongoing response. • Run 'surge testing' programme for Variant of Concern and applied learning from this • Conducted a region-wide Equality Impact Assessment to inform future planning and adapt current practice where required. • Operated a 'Gold' Group chaired by Chief Executive during Major Incident phase(s). 	↔	4	7	28	<p>We continue to work closely with Health Partners and Avon and Somerset Resilience Forum continues.</p> <p>Continued communication to partners, businesses and citizens continues, including oversight from the Local Engagement Board.</p> <p>We continue to understand the ongoing Covid response and recovery in the context of the wider risk landscape of Brexit, winter pressures and the possibility of an unrelated concurrent emergency.</p> <p>We continue to actively contribute to various strands of recovery planning, both internally within the council and with partners.</p>	2	7	14
Risk Owner: CLB	Action Owner: Chief Executive Director		Portfolio Flag: Corporate wide.			Strategy Theme: Our Organisation, Empowering and Caring, Fair, and Inclusive, Well Connected, Wellbeing.			

Corporate risk performance summary for threat 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
17	CRR42	Provision of Leisure Centres	Executive Director People Director Public Health									4x7=28	New
16	CRR41	Growth and Regeneration (G&R) Portfolio of Capital Programmes and Project	Executive Director Growth and Regeneration and Executive Director Resources and S151 Officer							4x7=28	New	4x7=28	↔
12	CRR32	Failure to deliver enough affordable Homes to meet the City's needs	Executive Director Growth and Regeneration Director Development of Place	3x7=21	New	4x7=28	↓	4x7=28	↔	4x7=28	↔	4x7=28	↔
4	CRR9	Safeguarding Vulnerable Children	Executive Director People Director Children's and Families Services	2x7=14	↔	2x7=14	↔	3x7=21	↓	4x7=28	↓	3x7=21	↑
7	CRR13	Financial Framework and MTFP	Chief Executive and Director of Finance (S151 Officer)	4x7=28	↓	4x7=28	↔	3x7=21	↑	3x7=21	↔	3x7=21	↔
14	CRR35	Organisational Resilience	Director Policy, Strategy & Partnerships			3x7=21	New	3x7=21	↔	3x7=21	↔	3x7=21	↔
5	CRR10	Safeguarding Adults at Risk with Care and support needs	Executive Director People Director Adult Social Care	2x7=14	↔	2x7=14	↔	3x7=21	↓	3x7=21	↔	3x7=21	↔
11	CRR29	Information Security Management System	Senior Information Risk Owner (SIRO)	4x5=20	↔	4x5=20	↔	4x5=20	↔	4x5=20	↔	4x5=20	↔
3	CRR7	Cyber-Security (Previously Cyber-Attack)	Chief Executive, Senior Information Risk Owner (SIRO)	3x7=21	↔	4x5=20	↑	4x5=20	↔	4x5=20	↔	4x5=20	↔
10	CRR25	Suitability of Line of Business Systems (LOB)	Chief Executive, Director and Digital Transformation	4x5=20	↔	4x5=20	↔	4x5=20	↔	4x5=20	↔	4x5=20	↔
3	CRR6	Fraud and Corruption	Chief Executive and Director of Finance (S151 Officer)	4x5=20	↓	4x5=20	↔	4x5=20	↔	3x5=15	↑	3x5=15	↔
1	CRR4	Corporate Health, Safety and Wellbeing	Chief Executive and Corporate Leadership Board (CLB) Director of Workforce Change	2x7=14	↔	2x7=14	↔	4x5=20	↓	4x5=20	↔	4x5=20	↔
15	CRR37	Homelessness	Executive Director Growth and Regeneration Director Housing			4x5=20	New	4x5=20	↔	4x5=20	↔	4x5=20	↔
6	CRR12	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	↔	3x7=21	↓	4x5=20	↑	3x5=15	↑
2	CRR5	Business Continuity and Council Resilience	Executive Director Growth and Regeneration Chief Executive	2x5=10	↔	2x7=14	↓	3x7=21	↓	4x5=20	↑	3x5=15	↑
8	CRR18	Failure to deliver enough homes to meet the City's needs.	Executive Director Growth and Regeneration Director Development of Place	3x5=15	↓	3x5=15	↔	3x5=15	↔	3x5=15	↔	3x5=15	↔
11	CRR27	Capital Transport Programme Delivery	Executive Director Growth and Regeneration Director Economy of Place	4x5=20	↓	4x5=20	↔	3x3=9	↑	3x3=9	↔	3x5=15	↓
10	CRR26	ICT Resilience	Chief Executive, Director and Digital Transformation.	2x7=14	↔	2x7=14	↔	2x7=14	↔	2x7=14	↔	2x7=14	↔
15	CRR39	Adult and Social Care major provider/ supplier failure	Executive Director People Director Children's and Families Services					2x7=14	New	2x7=14	↔	2x7=14	↔
16	CRR40	Unplanned Investment in Subsidiary Companies	Director of Finance (S151 Officer)							2x7=14	New	2x7=14	↓
14	CRR36	SEND	Executive Director People Director Education and Skills			2x5=10	New	2x5=10	↔	2x5=10	↔	2x5=10	↔
9	CRR23	Adult and Social Care (ASC) Transformation programme 2020/21 – 2021	Executive Director People Director Adult Social Care			2x5=10	New	2x5=10	↔	2x5=10	↔	2x5=10	↔
13	CRR34	Corporate Equalities	Director Policy, Strategy & Partnership			2x7=14	New	2x5=10	↑	1x5=5	↑	1x5=5	↔
8	CRR15	In-Year Financial Deficit	Director of Finance (S151 Officer)	4x3=12	↓	4x3=12	↔	4x3=12	↔	4x3=12	↔	1x5=5	↑

Corporate risk performance summary for opportunity 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
18	OPP2	Corporate Strategy	Director Policy, Strategy and Partnerships	4x7=28	↔	4x7=28	↔	4x7=28	↔	3x7=21	↓	3x7=21	↔
18	OPP1	One City	Director Policy, Strategy and Partnerships	3x7=21	↔	3x7=21	↔	3x7=21	↔	3x7=21	↔	3x7=21	↔
19	OPP3	Devolution	Director Policy, Strategy and Partnerships	3x5=15	↔	3x5=15	↔	3x5=15	↔	3x7=21	↑	3x7=21	↔
19	OPP4	Brexit	Director Policy, Strategy and Partnerships	1x5=5	↔	1x5=5	↔	1x5=5	↔	1x5=5	↔	1x5=5	↔

Corporate risk Performance Summary for external and civil contingency risks

Page	Risk ID	Risk	Risk Owner	Quarter 4 Jan – Mar 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
2	BCCC3	COVID -19	Executive Director Growth and Regeneration Director Management of Place	4x7=28	New	4x7=28	↔	4x7=28	↔	4x7=28	↔	4x7=28	↔
22	BCCC2	Brexit	Chief Executive Director Policy, Strategy and Partnerships.	3x7=21	↓	3x7=21	↔	3x7=21	↔	3x5=15	↓	3x5=15	↔
20	BCCC1	Flooding	Executive Director Growth and Regeneration Director Economy of Place	3x5=15	↔	3x5=15	↔	3x5=15	↔	3x5=15	↔	3x5=15	↔

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, Regeneration, Executive Director Resources and Section 151 Officer							3x7=21	Closed		
Closed	CRR19	Tree Management	Executive Director Growth and Regeneration	3x5=15	↔	3x5=15	↔	3x5=15	↔	3x5=15	↔	3x5=15	Closed
Closed	CRR21	General Data Protection (GDPR) Compliance	Senior Information Risk Owner (SIRO)	2x5=10	↔	2x5=10	↔	2x5=10	↔	2x5=10	↔	2x5=10	Closed
Closed	CRR2	Failure to Manage Asbestos in housing properties	Executive Director Growth and Regeneration	2x7=14	↔	2x7=14	↔	2x5=10	↑	2x5=10	↔	3x3=9	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.