

| Corporate risk performance summary for threat risks (Resources Risks Only) | | | Quarter 1 Apr – Jun 20/21 | | Quarter 2 Jul - Sept 20/21 | | Quarter 3 Oct - Dec 20/21 | | Quarter 4 Jan - Apr 20/21 | | Quarter 1 Apr – Jun 21/22 | |
|--|---|---|------------------------------|--------|-------------------------------|--------|------------------------------|--------|------------------------------|--------|------------------------------|--------|
| Risk ID | Risk | Risk Owner | Rating | Travel | Travel | Travel | Rating | Travel | Rating | Travel | Rating | Travel |
| CRR13 | Financial Framework and MTFP | Chief Executive and Director of Finance (S151 Officer) | 4x7=28 | ↔ | 3x7=21 | ↑ | 3x7=21 | ↔ | 3x7=21 | ↔ | 3x7=21 | ↔ |
| CRR35 | Organisational Resilience | Director Policy, Strategy & Partnerships | 3x7=21 | New | 3x7=21 | ↔ | 3x7=21 | ↔ | 3x7=21 | ↔ | 3x7=21 | ↔ |
| CRR29 | Information Security Management System | Senior Information Risk Owner (SIRO) | 4x5=20 | ↔ | 4x5=20 | ↔ | 4x5=20 | ↔ | 4x5=20 | ↔ | 4x5=20 | ↔ |
| CRR7 | Cyber-Security | Chief Executive, Senior Information Risk Owner (SIRO) | 4x5=20 | ↑ | 4x5=20 | ↔ | 4x5=20 | ↔ | 4x5=20 | ↔ | 4x5=20 | ↔ |
| CRR25 | Suitability of Line of Business Systems (LOB) | Director, Digital Transformation, Senior Information Risk Owner (SIRO) for Cyber Security. Service Areas for BCP/DR | 4x5=20 | ↔ | 4x5=20 | ↔ | 4x5=20 | ↔ | 4x5=20 | ↔ | 4x5=20 | ↔ |
| CRR4 | Corporate Health, Safety and Wellbeing | Chief Executive and Corporate Leadership Board (CLB) Director of Workforce Change | 2x7=14 | ↔ | 4x5=20 | ↓ | 4x5=20 | ↔ | 4x5=20 | ↔ | 4x5=20 | ↔ |
| CRR6 | Fraud and Corruption | Chief Executive and Director of Finance (S151 Officer) | 4x5=20 | ↔ | 4x5=20 | ↔ | 3x5=15 | ↔ | 3x5=15 | ↔ | 3x5=15 | ↔ |
| CRR40 | Unplanned Investment in Subsidiary Companies | Director of Finance (S151 Officer) | | | | | 2x7=14 | New | 2x7=14 | ↔ | 3x5=15 | ↓ |
| CRR15 | In-Year Financial Deficit | Director of Finance (S151 Officer) | 4x3=12 | ↔ | 4x3=12 | ↔ | 4x3=12 | ↔ | 4x3=12 | ↔ | 3x5=15 | ↓ |
| CRR26 | ICT Resilience | Chief Executive, Director Digital Transformation, Service Area Leads | 2x7=14 | ↔ | 2x7=14 | ↔ | 2x7=14 | ↔ | 2x7=14 | ↔ | 2x7=14 | ↔ |
| CRR34 | Corporate Equalities | Director Policy, Strategy & Partnership | 2x7=14 | New | 2x5=10 | ↑ | 1x5=5 | ↑ | 1x5=5 | ↔ | 1x5=5 | ↔ |

| Corporate risk performance summary for opportunity risks (Resources Risks Only) | | | Quarter 1 Apr – Jun 20/21 | | Quarter 2 Jul - Sept 20/21 | | Quarter 3 Oct - Dec 20/21 | | Quarter 4 Jan - Apr 20/21 | | Quarter 1 Apr – Jun 21/22 | |
|---|--------------------|--|------------------------------|--------|-------------------------------|--------|------------------------------|--------|------------------------------|--------|------------------------------|--------|
| Risk ID | Risk | risk owner | Rating | Rating | Rating | Travel | Rating | Travel | Rating | Travel | Rating | Travel |
| OPP2 | Corporate Strategy | Director Policy, Strategy and Partnerships | 4x7=28 | ↔ | 4x7=28 | ↔ | 3x7=21 | ↓ | 3x7=21 | ↔ | 2x7=14 | ↓ |
| OPP1 | One City | Director Policy, Strategy and Partnerships | 3x7=21 | ↔ | 3x7=21 | ↔ | 3x7=21 | ↔ | 3x7=21 | ↔ | 3x7=21 | ↔ |
| OPP3 | Devolution | Director Policy, Strategy and Partnerships | 3x5=15 | ↔ | 3x5=15 | ↔ | 3x7=21 | ↑ | 3x7=21 | ↔ | 3x7=21 | ↔ |

Appendix A: Bristol City Council – Resources Risks on the Corporate Risk Report Q1 2021/22


| Corporate Risk Register as at June 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 twice-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 H&S 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 H&S 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 (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>There is a new Occupational Health, EAP and Physiotherapy provider 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 have 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> | 3 | 5 | 15 |
| Risk Owner: Chief Executive and Corporate Leadership Board (CLB), Director of Workforce Change. | Action Owner: Director of Workforce Change, Head of Health Safety and Wellbeing. | Portfolio Flag: Finance, Governance and Performance. | Strategy Theme: Our Organisation. | | | | | | |

Appendix A: Bristol City Council – Resources Risks on the Corporate Risk Report Q1 2021/22


| Corporate Risk Register as at June 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>CRR6: Fraud and Corruption. Failure to prevent or detect acts of significant fraud or corruption against the council from either internal or external sources. 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. | <ul style="list-style-type: none"> • The Council's exposure to fraud remains so we continued to use analytic tools and additional resources to perform both prepayment and post payment assurance checks. • We continued to work across the region in undertaking prepayment checks on government grants to minimise fraud losses in the region. • An audit on Cyber Security was completed and the actions arising from this review enhance our fraud and cyber controls. • We continued 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 • A project team which is exploring viable options for a longer-term solution for a fraud hub was set up and the Project Board chaired by the Section 151 Officer started meeting in June • An independent review of our Whistleblowing arrangements gave substantial assurance on the adequacy and effectiveness of arrangements | ↔ | 3 | 5 | 15 | We will continue to undertake post-payment checking against Covid grants to identify and investigate potential fraudulent claims. Output from the National Fraud Initiative data matching exercise will be reviewed including new reports relating to Covid grants. Work continues to improve the Whistleblowing process and awareness of it, including implementation of recommendations from the independent review. The Cabinet Office Fraud Hub will be implemented as a short-term solution to enable more frequent and regular matching of the data. Focus will be on the Bristol Fraud Hub Project with the target of completing soft market testing and finalisation of an Outline Business Case by end of Quarter 2. | 3 | 5 | 15 |
| 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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| | | | Likelihood | Impact | Risk Rating | | Likelihood | Impact | Risk Rating |
| <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). | <p>An Information Governance Board has been established to provide oversight of information security and an escalation point to the Council's SIRO.</p> <p>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.</p> <p>COVID-19 has brought new challenges to Information Governance including new systems and ways of working being rolled out. The team are working closely with relevant services such as ICT to ensure that Information Governance is considered in these changes. 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>The IT Transformation 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> | <p>↔</p> | 4 | 5 | 20 | <p>Further technical controls are being implemented with support from ICT colleagues External Audit has been undertaken to provide assurance and help with direction of travel for mitigating activities. These are being managed by InfoSec team and reported via the IG Board. Team continue to upskill.</p> <p>Work with ICT colleagues continues and discussions around cementing roles and responsibilities is being undertaken.</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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| | | | Likelihood | Impact | Risk Rating | Likelihood | Impact | Risk Rating |
| <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. Key potential causes are:</p> <ul style="list-style-type: none"> • Failure to achieve Business Rates income- appeals/general economic growth/loss of major sites (in budget setting). • Economic uncertainty impact on locally generated revenues - business rates and housing growth, impacting on council tax, new homes bonus and business rate income. • Brexit - the general uncertainty affecting the financial markets, levels of trade & investment. • Governments spending review 2020. • Review of local Government funding through fair funding formula and business rates retention. • Impact of Covid-19 on key income sources. • Inadequate budgeting & budgetary control/Financial Settlements & wider fiscal policy changes: • The potential for new funding formulas such as fair funding, business rates retention to significantly reduce the government funding available to the council alongside possible increase in demand for council services. • Embedding of the new national funding formula for schools and High Needs. • Political failure to facilitate the setting of a lawful budget. • Unable to agree a deliverable programme of propositions that enable the required savings to be achieved. • Insufficient reserves to mitigate risks and liabilities and provide resilience. • Rising inflation could lead to increased cost. • Judicial review. | <p>BCC manages its financial risks through a range of controls including budget preparation, budget setting and a Budget Accountability Framework. Clear roles and responsibilities for managing, monitoring and forecasting income and expenditure against approved budgets are in place. 2021 Budget presented and approved by Council February 2021.</p> <p>The council has developed a strong rolling Medium-term financial planning process to enable the strategic objectives and the statutory duties are met. We are working to ensure a rigorous structure exists to oversee the budgetary control process from budget setting through to monitoring, oversight and scrutiny including:</p> <ul style="list-style-type: none"> • The maintaining of the evolving financial model that reflects in a timely manner changes in national and local assumptions. • The level of reserves and balances are regularly reviewed to ensure that account is taken of any financial/economic risk and the adequacy of general reserves is determined as part of this exercise. • Financial Regulations and Financial Scheme of Delegation is in place. • Regular in-year monitoring and reporting, review of future financial plans and assessment of financial risks and reserves are undertaken to ensure the financial plans are delivered. • Changes to savings in year are monitored by delivery executive. • Planned skills development 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. • Refreshed of the MTFP and Capital Strategy and expanded our model to take in a longer-term view. |  | 3 | 7 | 21 | 2 | 3 | 6 |
| Risk Owner: Chief Executive and Director of Finance (S151 Officer). | Action Owner: Director of Finance (S151 Officer), Chief Accountant. | Portfolio Flag: Finance, Governance and Performance. | Strategy Theme: Our Organisation. | | | | | |

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| | | | Likelihood | Impact | Risk Rating | Likelihood | Impact | Risk Rating |
| <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. 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. The Policy and Budget Framework provides clear guidance 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. Regular reviews have been undertaken on the level and appropriateness of the earmarked reserves and where redirections have been south reported to Cabinet.</p> |  | 3 | 5 | 15 | 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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| | | | Likelihood | Impact | Risk Rating | | Likelihood | Impact | Risk Rating |
| <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 | 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. | 2 | 5 | 10 |
| Risk Owner: Director, Digital Transformation, Senior Information Risk Owner (SIRO) for Cyber Security. Service Areas for BCP/DR. | Action Owner: Director, Digital Transformation. | Portfolio Flag: Finance, Governance and Performance. | Strategy Theme: Our Organisation. | | | | | | |

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| | | | Likelihood | Impact | Risk Rating | | Likelihood | Impact | Risk Rating |
| <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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| | | | Likelihood | Impact | Risk Rating | Likelihood | Impact | Risk Rating | |
| <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>New and updated policies are being rolled out with oversight from IGB Information Governance Tool will support the roll out and wider awareness and communications.</p> <p>Gap analysis and roll out have been included as a workstream within GDPR Phase 2 project.</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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| | | | Likelihood | Impact | Risk Rating | | Likelihood | Impact | Risk Rating |
| <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.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> Lack of consistent council-wide knowledge on the Public Sector Equality Duty and how to take equalities into consideration. Gaps in available data and analysis to understand potential impacts of decision making. Compliance driven rather than understanding based on good analysis. High turnover of staff resulting in loss of knowledge/institutional memory. Institutional racism and structural inequality in the council, city, and society as a whole. Under-representation of key demographics in the workforce, particularly within senior roles. | <p>The work of mainstreaming and embedding equality and inclusion is well underway. A recent Local Government Association Equality Framework for Local Government Peer Review identified strengths in the Council's strategic leadership on this issue and noted much good progress against its plans, but did identify a greater need to map and report activity (both Council and City-wide) together, and that more work is needed to fully embed good equality and inclusion practice systematically at an operational level across the organisation.</p> <p>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.</p> <p>We are:</p> <ul style="list-style-type: none"> Completing our annual progress reporting against our Equality and Inclusion Strategy, including a closure report for our Advancing Equality and Inclusion Action Plan 2020. This Action Plan was subject to an internal audit in Q4 20/21, providing reasonable assurance overall and substantial assurance in terms of monitoring progress. Starting programme mapping of Council and City-wide equality and inclusion initiatives and activities. Having on-going city conversations on race equality. Working on the establishment of a new Mayoral Commission for disability equality. | ↔ | 1 | 5 | 5 | <ul style="list-style-type: none"> Implementing the recommendations from the LGA Equality Framework for Local Government, including mapping out an E&I programme in line with Corporate Strategy. Taking the Annual Report for the E&I Strategy to Full Council and publishing it - along with a completion report in the Advancing Equality and Inclusion action plan. Completing the Positive Action Toolkit. Holding Race Equality Gatherings. Holding a meeting of the Strategic E&I Governance Group. Recruiting the Chair for the Disability Equality Commission. Refreshing the Council's overall Corporate Strategy with a focus on equality and inclusion as a cross-cutting priority area. | 1 | 5 | 5 |
| Risk Owner: Director Policy, Strategy & Partnerships. | Action Owner: Director Policy, Strategy & Partnership, Head of Equality, and Inclusion. | 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 | | |
| | | | Likelihood | Impact | Risk Rating | | Likelihood | Impact | Risk Rating |
| <p>CRR35: Organisational Resilience</p> <p>Emerging risks, disruptions and disturbances can threaten the operations and reputation of the Council. Acute shocks and the impact of chronic stresses result in crises which are becoming an everyday occurrence. The landscape in which the council operates is rapidly and continually changing, often unpredictably.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • Environmental Hazards. • Economic and Social Change. • Geo-Political Change. • Natural Disasters. • Climate Change. • Health / Disease Risk. • Terrorism. • Cyber-Crime. | <p>Progress is being made, including running the Service/Business Planning 2021/22 process enabling longer term consideration of the risk and mitigations. However, our progress is largely offset by external factors such as the continuing Covid crisis. Corporate Leadership Board approved additional temporary staffing for under-pressure teams across December 2020 - March 2021, some of which has continued in to 2021/22 where there is available funding or mitigation to enable it to continue.</p> <p>In the past quarter we have reviewed Recovery progress and a wide evidence base as part of preparing for an update of the Council's medium term Corporate Strategy and Medium-Term Financial Plan, and we have identified a need to review business continuity planning to gain assurance on its effectiveness, ensure lessons from Covid-19 response are built in, and that in key business areas these plans are actively rehearsed.</p> <p>Plans to create a Strategic Crisis Management Plan are on hold whilst the Corporate Resilience Group is re-scoped and relaunched, enabling it to take on board Covid-19 response learning as part of developing this Plan.</p> | ↔ | 3 | 7 | 21 | <p>Response to Covid is continuing and as further easing of restrictions occurs it is possible new or additional business continuity risks or issues will emerge, such as self-isolation rates affecting front-line services.</p> <p>Business continuity plans are being reviewed and more testing of these undertaken as part of a longer-term programme to provide assurance on continuity arrangements. Given the scale of services the Council provides, this will need to be undertaken in a prioritised and targeted way.</p> <p>Work will be undertaken to prepare a new Corporate Strategy which includes design principles for the organisation and what its priorities are for the coming 3-5 years, making it central to both resilience and recovery planning as they become part of 'business as usual' within the context of the so-called 'new normal'.</p> <p>Work is also being done to reinvigorate the Corporate Resilience Group and take on-board learning from the prolonged Covid-19 response in how we manage resilience and plan for the future.</p> | 2 | 5 | 10 |
| Risk Owner: Chief Executive | Action Owner: Director Policy, Strategy & Partnerships | Portfolio Flag: Finance, Governance and Performance. | | | Strategy Theme: Our Organisation, Empowering and Caring, Fair, and Inclusive, Well Connected, Wellbeing | | | | |

| Corporate Risk Register as at June 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>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 June 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>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 June 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 June 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 19 response and Recovery.</p> | ↔ | 3 | 7 | 21 | <p>We are 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 June 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 2021/22 and associated Performance Frameworks through appropriate Decision Pathways.</p> <p>Commenced work on reviewing the corporate strategy for approval of refreshed strategy during the year.</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> | ↓ | 2 | 7 | 14 | <p>The current 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>In light of performance outturn reporting of 2020/21, the likelihood of this opportunity has been downgraded to reflect the results – which were clearly impacted by Covid-19 and pivoting our organisational focus towards managing the pandemic response and recovery.</p> <p>Overall our level of preparedness for this opportunity is reduced due to many external factors – including the pandemic, EU Exit and national policy – having changed the environment in which we work. This is a key driver to update the overall Corporate Strategy and look ahead to our needs over the next five years, which will help strengthen our level of preparedness and the likelihood of this opportunity manifesting. Work has begun on this process, including early engagement and a desktop review of evidence.</p> | 4 | 7 | 28 |

Appendix A: Bristol City Council - Corporate Risk Report (register of risk summary)

Risk Scoring Criteria

| | | | |
|---|---|--|-----------------------------------|
| Risk Owner: Director Policy, Strategy and Partnerships. | Action Owner: Director Policy, Strategy and Partnerships. | Portfolio Flag: Finance, Governance and Performance. | Strategy Theme: Our Organisation. |
|---|---|--|-----------------------------------|

Corporate Risk Register as at June 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.</p> <p>Should the potential arise for opportunities from a region’s devolving, second devolution deal that could lead to an opportunity to align the Council’s corporate priorities and strengthen regional partnership working.</p> <p>Key potential causes:</p> <ul style="list-style-type: none"> • Potential development of second devolution deal. | <p>We 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>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 | <p>We will continue to engage with WECA at strategic level.</p> <p>We will continue to engage with HM Government on devolution opportunities, following up on specific spending review asks and engagement on the development of the Western Gateway.</p> <p>We have commissioned an Independent Economic Position Statement for the Western Gateway and recruiting to Secretariat resource. We will continue to engage partners and HM Government on this project.</p> | 3 | 7 | 21 |
| Risk Owner: Chief Executive. | Action Owner: Director Policy, Strategy and Partnerships. | Portfolio Flag: Finance, Governance and Performance. | Strategy Theme: Our Organisation. | | | | | | |

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

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. |