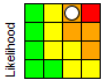


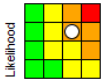
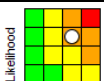
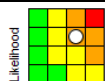
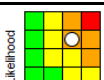
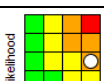
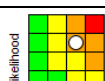
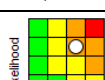
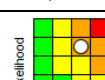
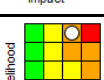
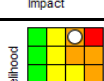
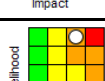


**Corporate risk performance summary for threat risks**

Risk Code and Title	Page Number	Q4 Rating	Q4 Matrix	Q1 Rating	Q1 Matrix	Q2 Rating	Q2 Matrix
CRR32 - Failure to deliver enough affordable Homes to meet the City's needs.	6	28 	 Likelihood Impact	28 	 Likelihood Impact	28 	 Likelihood Impact
CRR9 - Safeguarding Vulnerable Children	7	21 	 Likelihood Impact	28 	 Likelihood Impact	28 	 Likelihood Impact
CRR13 - Financial Framework and Medium Term Financial Plan (MTFP)	9	21 	 Likelihood Impact	21 	 Likelihood Impact	21 	 Likelihood Impact
CRR35 - Organisational Resilience	11	21 	 Likelihood Impact	21 	 Likelihood Impact	21 	 Likelihood Impact
CRR10 - Safeguarding Adults at Risk with Care and support needs	13	21 	 Likelihood Impact	21 	 Likelihood Impact	21 	 Likelihood Impact
CRR39 - Adult and Social Care major provider/supplier failure	15	14 	 Likelihood Impact	14 	 Likelihood Impact	21 	 Likelihood Impact
CRR41 - Long Term Major Capital Projects	16	28 	 Likelihood Impact	28 	 Likelihood Impact	20 	 Likelihood Impact
CRR7 - Cyber Security	17	20 	 Likelihood Impact	20 	 Likelihood Impact	20 	 Likelihood Impact

Appendix A – Corporate Risk Register as at September 2021

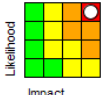
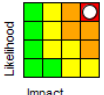
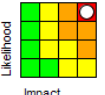
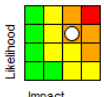
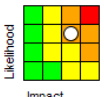
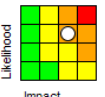
Risk Code and Title	Page Number	Q4 Rating	Q4 Matrix	Q1 Rating	Q1 Matrix	Q2 Rating	Q2 Matrix
CRR25 - Suitability of Line of Business (LOB) systems.	18	20 -		20 -		20 -	
CRR37 - Homelessness	19	20 -		20 -		20 -	
CRR6 - Fraud and Corruption	20	15 -		15 -		15 -	
CRR12 - Failure to deliver suitable emergency planning measures and respond to and manage emergency events when they occur	22	15 ↑		15 -		15 -	
CRR5 - Business Continuity and Council Resilience.	23	15 ↑		15 -		15 -	
CRR40 - Unplanned Investment in Subsidiary Companies	25	14 -		15 ↓		15 -	
CRR15 - In-Year Financial Deficit	27	12 -		15 ↓		15 -	
CRR29 - Information Security Management System (ISMS)	28	20 -		20 -		15 ↑	
CRR4 - Corporate Health, Safety and Wellbeing	29	20 -		20 -		15 ↑	

Appendix A – Corporate Risk Register as at September 2021

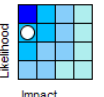

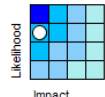
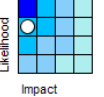
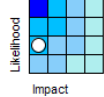



Risk Code and Title	Page Number	Q4 Rating	Q4 Matrix	Q1 Rating	Q1 Matrix	Q2 Rating	Q2 Matrix
CRR18 - Failure to deliver enough homes to meet the City's needs.	31	15 	 Likelihood Impact	15 	 Likelihood Impact	15 	 Likelihood Impact
CRR27 - Capital Transport Programme Delivery	32	9 	 Likelihood Impact	9 	 Likelihood Impact	15 	 Likelihood Impact
CRR23 - Adult and Social Care (ASC) Transformation Programme 2020/21-2021/22	36	10 	 Likelihood Impact	20 	 Likelihood Impact	15 	 Likelihood Impact
CRR36 - SEND	34	10 	 Likelihood Impact	10 	 Likelihood Impact	10 	 Likelihood Impact
CRR26 - ICT Resilience.	35	14 	 Likelihood Impact	14 	 Likelihood Impact	10 	 Likelihood Impact
CRR34 - Corporate Equalities	38	5 	 Likelihood Impact	5 	 Likelihood Impact	5 	 Likelihood Impact




















**Corporate risk performance summary for external and civil contingency risks**

Risk Code and Title	Page Number	Q4 Rating	Q4 Matrix	Q1 Rating	Q1 Matrix	Q2 Rating	Q2 Matrix
BCCC3 – COVID-19	40	28		28		28	
BCCC1 – Flooding	42	15		15		15	


**Corporate risk performance summary for opportunity risk**

Risk Code and Title	Page Number	Q4 Rating	Q4 Matrix	Q1 Rating	Q1 Risk Matrix	Q2 Rating	Q2 Matrix
OPP1 – One City Approach	45	21		21		21	
OPP2 – Corporate Strategy	44	21		14		14	

**Corporate risk performance summary for closing/de-escalating risks**

Risk Code and Title	Page Number	Q4 Rating	Q4 Matrix	Q1 Rating	Q1 Risk Matrix	Q2 Rating	Q2 Matrix
BCCC2 - Brexit	Closed	15 	 Likelihood Impact	15 	 Likelihood Impact	10 Closed	 Likelihood Impact
CRR42 – Provision of Leisure Services	De-escalated	28 New	 Likelihood Impact	14 	 Likelihood Impact	9 De-escalated	 Likelihood Impact
OPP4 - Brexit	Closed	5 	 Likelihood Impact	5 	 Likelihood Impact	5 Closed	 Likelihood Impact
OPP3 – Devolution	De-escalated	21 	 Likelihood Impact	21 	 Likelihood Impact	15 De-escalated	 Likelihood Impact

## Corporate Threat Risks

Threat Risk Title and Description	Performance	Current Risk Level			Tolerance Risk Level		
		Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p><b>CRR32 - Failure to deliver enough affordable homes to meet the City's needs.</b></p> <p>Failure of the City to deliver to the Mayoral Target of 1000 affordable homes per year by 2024. 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"> <li>• Subsidy availability</li> <li>• Insufficient land available</li> <li>• Uncertainty in the housing market as a result of Covid-19</li> <li>• Not enough planning applications submitted</li> <li>• Not enough planning permissions granted</li> <li>• Inability of the housebuilding industry to deliver at this level</li> <li>• Increased uncertainty in the market due to Brexit</li> <li>• Lack of capacity within the council's delivery system and the local market</li> <li>• Insufficient housing land identified in strategic planning documents</li> </ul>		4	7	28	3	5	15
<b>What we have done</b>	<b>What we are doing</b>						
<p>Continue to deliver a targeted grant funding programme to subsidise the delivery of affordable homes.</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>Created a single multi-disciplinary Housing Delivery Team and additional capacity with Property, Planning, Highways and Legal.</p> <p>Released land.</p> <p>Issued grants to Registered Providers (RPs).</p> <p>Established a Local Housing Company (Goram Homes).</p> <p>Secured funding from Homes England under HIF and Accelerated Construction and Community Development in order to release further housing land.</p>	<p>Provide targeted Affordable Housing Grant Funding.</p> <p>Working Closely with Homes England to ensure additional subsidy is secured.</p> <p>Identifying opportunities to acquire additional affordable homes off the shelf.</p> <p>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 &amp; amendment of Affordable Housing Practice note in 2021/22.</p>						
<p>Risk Owners: Executive Director Growth and Regeneration, Director Development.</p>	<p>Action Owners: Director Development of Place and Head of Housing Delivery.</p>	<p>Portfolio Flag: Housing</p>			<p>Strategic Theme:</p>	<p>Fair and Inclusive</p>	



Threat Risk Title and Description	Performance	Current Risk Level			Tolerance Risk Level		
		Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p><b>CRR9 - Safeguarding Vulnerable Children</b></p> <p>The council fails to prevent increased risk of harm to children, resulting in harm or death to a vulnerable child.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>• Demand for services exceeds its capacity and capability.</li> <li>• Inadequate controls result in harm.</li> <li>• Increase in child protection, complex safeguarding risks, criminal exploitation, serious youth violence and gang affiliation.</li> <li>• Hidden harm resulting from periods of lockdown, increased stress in families and service disruption during COVID</li> <li>• Placement failure due to COVID infection across children’s home or fostering households.</li> <li>• An increase in demand of up to 5% is anticipated as a result of Covid and economic downturn, with some children more vulnerable to exploitation and abuse as a result of lost safe, stable and nurturing relationships.</li> <li>• Increased destitution in families, impacting on mental ill health, managing increased infection within children and young people population and their parents.</li> </ul>		4	7	28	1	7	7
<p><b>What we have done</b></p> <p>We regularly analyse performance against key causes 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.</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 identified that, ‘services have improved substantially for care</p>	<p><b>What we are doing</b></p> <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>Working with University of Bedfordshire as part of the Contextual Safeguarding Scale Up Project to develop 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 Youth Violence Exec Group.</p> <p>Service Delivery Plans 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 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. As vaccinations are being rolled out this is improving sufficiency within our foster carers and Children’s Homes.</p> <p>We have not yet seen an increase in referrals as a result of Covid and the economic downturn, but we are monitoring this closely with our partners under KBSP and are developing early intervention responses.</p>						

Appendix A – Corporate Risk Register as at September 2021

<p>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. (FT)</p>		<p>We are investing in systemic practice approach and training staff members at all levels of Children and Families Services.</p>	
<p>Risk Owners: Executive Director People, Director Children’s and Families Services.</p>	<p>Action Owners: Director Children’s and Families Services.</p>	<p>Portfolio Flag: Children and Young People</p>	<p>Strategic Theme: Our Organisation, Empowering and Caring, Wellbeing.</p>



Appendix A – Corporate Risk Register as at September 2021




Threat Risk Title and Description	Performance	Current Risk Level			Tolerance Risk Level		
		Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p><b>CRR13 - Financial Framework and Medium Term Financial Plan (MTFP)</b></p> <p>Failure to be able to reasonably estimate and agree the financial 'envelope' available, both annually and in the medium-term and the council is unable to set a balanced budget.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>• Failure to achieve Business Rates income- appeals/general economic growth/loss of major sites (in budget setting).</li> <li>• Economic uncertainty impact on locally generated revenues - business rates and housing growth, impacting on council tax, new homes bonus and business rate income.</li> <li>• Brexit - the general uncertainty affecting the financial markets, levels of trade &amp; investment.</li> <li>• Governments spending review 2020.</li> <li>• Review of local Government funding through fair funding formula and business rates retention.</li> <li>• Impact of Covid-19 on key income sources.</li> <li>• Inadequate budgeting &amp; budgetary control/Financial Settlements &amp; wider fiscal policy changes:-</li> <li>• 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.</li> <li>• Embedding of the new national funding formula for schools and High Needs.</li> <li>• Political failure to facilitate the setting of a lawful budget.</li> <li>• Unable to agree a deliverable programme of propositions that enable the required savings to be achieved.</li> <li>• Insufficient reserves to mitigate risks and liabilities and provide resilience.</li> <li>• Rising inflation could lead to increased cost.</li> <li>• Judicial review.</li> </ul>		3	7	21	2	3	6
<p><b>What we have done</b></p> <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.</p> <p>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"> <li>• The maintaining of the evolving financial model that reflects in a timely manner changes in national and local assumptions.</li> <li>• 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.</li> <li>• Financial Regulations and Financial Scheme of Delegation is in place.</li> <li>• 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.</li> <li>• Changes to savings in year are monitored by delivery executive.</li> <li>• Planned skills development remains a key priority which will include commercial and business acumen. This will be an ongoing and aligned with professional development.</li> </ul>	<p><b>What we are doing</b></p> <p>The impact of Covid-19 has had a significant impact on the financial sustainability of the organisation in the short term and long term. There is a significant immediate reduction in some of the Council's key income streams and also significant costs associated with the response. The 2021/22 set an indicative balanced position for the medium term, however due to imminent changes in local government funding and also significant uncertainty about medium term impact on Covid-19 there remains significant risk to the on-going financial position.</p> <p>All underlying assumptions in the financial outlook will be reviewed as any economic downturn will significantly impact Council Tax growth and receipts as well as business rates retention.</p> <p>A review will be ongoing to identify a programme of propositions that exceed the forecasted budget gap to provide members with options and headroom for variations in financial estimates.</p> <p>CIPFA Financial Management Code for Local Authorities has been released for full</p>						

Appendix A – Corporate Risk Register as at September 2021



· 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.		implementation from April 2021.	
Risk Owners: Chief Executive and Director of Finance (S151 Officer).	Action Owners: Director of Finance (S151 Officer), Chief Accountant.	Portfolio Flag: Finance, Governance and Performance	Strategic Theme: Our Organisation

Appendix A – Corporate Risk Register as at September 2021


Threat Risk Title and Description	Performance	Current Risk Level			Tolerance Risk Level		
		Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p><b>CRR35 - Organisational Resilience</b></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"> <li>• Environmental hazards, Economic and social change, Geo-political change, Natural disasters, Climate change, Health/ disease risk, Terrorism, Cyber-crime</li> </ul>		3	7	21	2	5	10
<b>What we have done</b>	<b>What we are doing</b>						
<p>In the past quarter we have reviewed Recovery progress (including receiving an internal audit report on its governance) and also a wide evidence base as part of preparing for an update of the Council’s medium term Corporate Strategy and Medium-Term Financial Plan. We have added ‘Resilience’ as a key design principle for the council within the refreshed draft Corporate Strategy 2022-27, and planned sessions for engaging senior managers and staff in this.</p> <p>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. This has been embedded within Service Planning for 2022/23.</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> <p>We have continued to respond to emerging external threats and issues, including monitoring, horizon scanning and planning through several forums, including the Local Resilience Forum/ResCG multi-agency work, reconvening the council’s internal Business Continuity Group and holding a preparatory meeting of the internal Severe Weather Group ahead of winter 21/22.</p>	<p>Work will continue to complete, approve, launch and embed 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>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.</p> <p>We are reviewing energy prices and provision in light of national issues.</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>We are continuing to prepare for emergency situations, including a planned COMAH exercise in November 2021, a counter-terror exercise in late November / December 2021, and supporting an NHS mass casualty exercise and Bristol Airport exercise before Christmas 2021.</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> <p>We are mapping compound pressures affecting us and considering threats as we approach winter 21/22, including holding a discussion with city partner representatives to compare threats and issues facing us all. The ongoing Covid crisis alongside the oncoming seasonal flu continues to present health risks to citizens and staff, and alongside well</p>						

Appendix A – Corporate Risk Register as at September 2021



		publicised national issues affecting supply chains and fuel/energy prices, presents an ongoing high level of risk to the organisation.		
Risk Owners:	Chief Executive	Action Owners:	Director Policy, Strategy & Partnerships	Portfolio Flag: Finance, Governance and Performance
				Strategic Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing


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Threat Risk Title and Description	Performance	Current Risk Level			Tolerance Risk Level		
		Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p><b>CRR10 - Safeguarding Adults at Risk with Care and support needs.</b></p> <p>The council fails to ensure adequate safeguarding measures are in place, Adults at risk.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>• Adequacy of controls.</li> <li>• Management and operational practices.</li> <li>• Demand for services exceeds capacity and capability.</li> <li>• Poor information sharing.</li> <li>• Lack of capacity or resources to deliver safe practice.</li> <li>• Failure to commission safe care for adults at risk.</li> <li>• Failure to meet the requirements of the ‘Prevent Duty’ placed on Local Authorities.</li> <li>• Increased destitution in families, impacting on mental ill health, managing increased infection within the population. (COVID19)</li> <li>• Increased isolation. (COVID19)</li> <li>• Carer strain / resilience. (COVID19)</li> <li>• Absence of building based services whilst we have reduced community solutions. (COVID19)</li> </ul>		3	7	21	1	7	7
<b>What we have done</b>	<b>What we are doing</b>						
<p>Bristol has the Keeping Bristol Safe Partnership (KBSP), which covers Adult Safeguarding, Children’s Safeguarding and Community Safety. The Board has senior executive representation and ensures a strong focus on matters of strategic concern. The Keeping Bristol Safe Board provides independent scrutiny of adult safeguarding in the city and holds BCC and partner agencies to account. The Keeping Adults Safe board reports into the KBSP and has oversight of adult safeguarding priorities. KBSP business plan priorities are agreed and being actioned and regularly reviewed.</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.</p> <p>An active strategy is in place to attract, recruit and retain social workers through a variety of routes with particular emphasis on experienced social workers. 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>Social workers and other social care practitioners are working with multi-agency partners supporting adults and older people to live safely within their families and communities.</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 situation has changed the complexion of adult safeguarding, it is anticipated that the likelihood and impact of incidence will be similar This is being monitored through Power BI and reported to DMT by exception.</p> <p>Services operating within Covid guidance and are provision a near to normal to pre Covid. Business Continuity response enacted to manage increased demand, potential gaps in workforce or services.</p> <p>Development and delivery of an Adults Multi-agency Safeguarding Hub as a priority for the partnership</p>						

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<p>Community Finance Support Scheme meets regularly to respond to provide financial protection to adults with Care and Support needs who are unable to protect themselves and have no one willing or unable to act on their behalf.</p> <p>Annual report shared with Elected Members to allow for scrutiny of progress of the KBSP.</p> <p>The quality assurance and performance visits to teams</p> <p>Corporate safeguarding policy in draft and going to Cabinet to be agreed and signed off.</p> <p>Regular attendance at Channel, MARAC (Multi Agency Risk Assessment Conference) and Multi Agency Public Protection Arrangements are in place (MAPP) with BCC contributors to support risk management.</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>Focused work is being undertaken to address the backlog in safeguarding referrals due to reduced capacity and an action plan is in place. Agency staff agreed to increase capacity within the safeguarding adults team. Flow and capacity issues in the First teams have an action plan being constructed for sign off at Director level.</p> <p>Commissioning capacity has increased this to lead on monitoring and assuring quality in the care sector with clear links to adult safeguarding. Provider failure process is enacted to support and manage whole service risks.</p> <p>Corporate safeguarding policy in draft and going to CLB to be agreed and signed off procedures being written to accompany this for publication on the Source. Strategic Safeguarding Leads Group Meeting set up.</p> <p>Improving Performance-Developed a new data collection with Power BI which tested and is live.</p>		<p>Power BI data set being used to monitor performance, trends, timeliness alongside auditing.</p>	
<p>Risk Owners: Executive Director People, Director Adult Social Care.</p>	<p>Action Owners: Director Adult Social Care.</p>	<p>Portfolio Flag: Adult Social Care</p>	<p>Strategic Theme: Strategy Theme: Our Organisation, Empowering others and Caring, Fair and Inclusive, Well connected, Wellbeing.</p>

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Threat Risk Title and Description	Performance	Current Risk Level			Tolerance Risk Level		
		Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p><b>CRR39 - Adult and Social Care major provider/supplier failure</b></p> <p>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 are:</p> <ul style="list-style-type: none"> <li>• Major national care home provider goes into liquidation or starts to sell care homes.</li> <li>• Major local provider/unable to meet demand due to recruitment / workforce/ or organisational issues.</li> </ul>		3	7	21	2	7	14
<p><b>What we have done</b></p> <p>As of 11/10/2021 ASC supply of key forms of care is in crisis due primarily to workforce shortages. Homecare, services to access the community and supported living are the key services at risk of not enough supply of care (in-house or externally commissioned) to meet needs. Daily review of supply and sustainability issues and x3 week business continuity meetings across operations, commissioning and brokerage and wider system calls on hospital demand and OOH flow. All document in an ASC business continuity risk log and plan and overall supply picture is documented in a weekly SITREP provided by commissioning. Strong contract and performance management including quarterly corporate reporting on quality. Cost pressures increasing and seeking investment from health to join up approaches and support supply and flow in all care pathways. Provider Financial sustainability process in place working alongside procurement colleagues. Work on managing market prices albeit this is challenging in current climate.</p>	<p><b>What we are doing</b></p> <p>1) sourced PH Covid money to support investment in supply of care for vulnerable people 2) funding VCSE organisations such as Age Uk Home Support service and other organisations to deliver care at home 3) continuing incentive schemes and block contracts to try to better ensure/ guarantee supply of care, mainly homecare and 4) provider crisis meetings to work through these wicked issues, mainly workforce related, and solutions as they see them.</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.</p> <p>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.</p> <p>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>						
<p>Risk Owners: Executive Director People, Director Adult Social Care.</p>	<p>Action Owners: Director Adult Social Care</p>	<p>Portfolio Flag: Adult Social Care.</p>	<p>Strategic Theme: Our Organisation, Empowering others and Caring, Fair and Inclusive, Well connected, Wellbeing.</p>				

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Threat Risk Title and Description	Performance	Current Risk Level			Tolerance Risk Level		
		Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p><b>CRR41 - Long Term Major Capital Projects</b></p> <p>BCC'S long-term major capital projects may require greater than anticipated investments.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>The cost is higher than expected, The project is delivered later than planned, The operating and maintenance cost of the asset exceeds expectations, Strategic, geographic, social, financial and economic conditions changing over time, Oversight of Project Interdependencies not well managed, Insufficient in-house resources to progress major projects lead to missed opportunities to leverage third party investment, Failure to anticipate and secure investment and resources to deliver enabling works and infrastructure</li> </ul>	↑	4	5	20	1	7	7
<p><b>What we have done</b></p> <p>Corporate Leadership Board (CLB) / Capital and Investment Board (CIB) meets on a monthly basis and has an oversight and stewardship role for the delivery of the Capital Programme and investments.</p> <p>The Growth and Regeneration (G&amp;R) Board meets monthly and is a strategic forum for the review and monitoring of regeneration assets and growth programmes and projects – enabling effective decision-making and ensuring alignment with the wider objectives of the Council.</p> <p>The G&amp;R Board has identified a number of Areas of Growth and Regeneration (AGR) across the City to enable place shaping and contribute to regeneration, affordable housing, community building and the financial sustainability of the Council and the AGR are regularly reviewed and re-prioritised by the G&amp;R Board.</p> <p>The Covid-19 pandemic continues to impact on the delivery of some major projects owing to restrictions placed on based working, supply chain partners furloughing staff, and building material suppliers only delivering to critical construction projects.</p> <p>Capital Strategic Partner, Arcadis, appointed in February 2021 and mobilisation phase concluded in May 2021. A dedicated Programme Director from Arcadis attends the Growth and Regeneration Executive Director Meetings (EDM) and G&amp;R Board; and the programme has started to deliver.</p> <p>The introduction of enhanced highlight and exception reporting at the G&amp;R Board has had a positive impact on overall 'grip' of the portfolio. Project officers now routinely come to G&amp;R board to provide an overview of progress on an exception basis.</p>	<p><b>What we are doing</b></p> <p>We have done and we continue to review and prioritise / re-prioritise programmes and projects and other deliverables in the light of the on-going global Covid-19 pandemic, as well as assessing its impact on long-term commercial investments and major capital project delivery.</p> <p>The recent appointment of the Capital Strategic Partner is starting to have an impact on the performance culture across major capital programmes. There will be quarterly review meetings between BCC's Senior Leadership and the Strategic Partner to review performance and progress with Capital Programme delivery.</p> <p>Workshops organised in July 2021 to review and refresh the Capital Programme. To be followed in August 2021 by a similar workshop to review Capital receipting/disposal. There will be a more comprehensive review/reset of the Capital Programme as part of the annual service planning process in the Autumn 2021.</p> <p>Work is on-going in conjunction with the Strategic Partner to enhance and improve Programme and Project reporting. This work feeds into the CIB process to create a stronger sense of joined up programme management across BCC. In addition, we are trialling a recommended approach to embedded assurance with some key Capital Projects.</p>						
<p>Risk Owners: Executive Director Growth and Regeneration.</p>	<p>Action Owners: Executive Director Growth and Regeneration and Director Economy of Place.</p>	<p>Portfolio Flag: Mayor and Finance, Governance and Performance.</p>	<p>Strategic Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing.</p>				




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Threat Risk Title and Description	Performance	Current Risk Level			Tolerance Risk Level		
		Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p><b>CRR7 - Cyber Security</b></p> <p>The Council's risk level in regard to Cyber-security is higher than should be expected.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>• Lack of investment in appropriate technologies.</li> <li>• Reliance on in-house expertise, and self-assessments (PSN).</li> <li>• Lack of formal approach to risk management (ISO27001).</li> <li>• Historic lack of focus.</li> </ul>		4	5	20	1	5	5
<p><b>What we have done</b></p> <p>As well as technical controls, the Council continues to carry out regular Phishing attack exercises where we are sending emails to staff to see how users react to this type of Cyber Attack. Anyone clicking on links is directed towards targeted training.</p> <p>The Information Governance (IG) and ICT team will continue to work together to support the SIRO to develop appropriate targeted training for all Council staff relating to cyber security.</p> <p>The IG Team are continuing to work with ICT and Microsoft on the delivery of technical controls.</p>	<p><b>What we are doing</b></p> <p>Further technical controls are being implemented with support from ICT colleagues.</p> <p>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.</p> <p>Team continue to upskill via training and other means.</p> <p>Work with ICT colleagues continues and discussions around cementing roles and responsibilities is being undertaken</p> <p>Audit work by external partners has confirmed the direction of travel and mitigating actions required for this Risk. IG continue to work on implementing those actions, oversight being provided by the IG Board.</p>						
<p>Risk Owners: Chief Executive, Senior Information Risk Owner (SIRO).</p>	<p>Action Owners: Head of Information Assurance, Information Governance.</p>	<p>Portfolio Flag: Finance, Governance and Performance</p>		<p>Strategic Theme: Our Organisation</p>			



Threat Risk Title and Description	Performance	Current Risk Level			Tolerance Risk Level		
		Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p><b>CRR25 - Suitability of Line of Business (LOB) systems.</b></p> <p>The Council has reliance on legacy software systems which cause a number of risks due to;                      1. Supportability from internal IT resource 2. The supportability of the hardware utilised 3. Lack of alignment to strategy and therefore a blocker to Digital Transformation 4. Within an appropriate support contract 5. Legacy data used for current work (GDPR) 6. Lack of Information (Cyber) Security controls 7. High cost where alternative core Council solutions exist</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>• Sovereignty within service areas, and a lack of motivation to change.</li> <li>• Cost of transition.</li> <li>• Lack of knowledge of which systems are problematic and the impacts of these.</li> <li>• Lack of understanding of impact.</li> <li>• Lack of ownership from Information Asset Owners.</li> <li>• Lack of documentation pertaining to software systems and ownership of strategy.</li> <li>• Cost avoidance of replacing systems.</li> <li>• This is seen as an IT problem, not one for the software system owners.</li> </ul>	■	4	5	20	2	5	10
<p><b>What we have done</b></p> <p>Initiated audit of all council Line of Business (LoB) systems.</p>	<p><b>What we are doing</b></p> <p>Undertake comprehensive review of all software systems and identify potential risks (as per threat risk description). Place all risks into an Operational Risk format. Risks will be scored and any known mitigation noted. This will be presented to CLB for further review and to agree action plan.</p> <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>						
<p>Risk Owners: Director, Digital Transformation, Senior Information Risk Owner (SIRO) for Cyber Security. Service Areas for BCP/DR.</p>	<p>Action Director, Digital Owners: Transformation.</p>	<p>Portfolio Flag: Finance, Governance and Performance</p>	<p>Strategic Our Organisation Theme:</p>				

Threat Risk Title and Description	Performance	Current Risk Level			Tolerance Risk Level		
		Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p><b>CRR37 - Homelessness</b></p> <p>The risk that homelessness and the subsequent cost of providing emergency short term accommodation will continue to rise.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>• The ending of the eviction ban</li> <li>• Unemployment rising leading to an increase in evictions from private rented tenancies.</li> <li>• COVID 19 and lockdown leading to an increase in mental health issues, family relationship breakdown and domestic violence &amp; abuse.</li> </ul>		4	5	20	3	5	15
<p><b>What we have done</b></p> <p>Continuing to progress the One City move on project, which is delivering additional move on accommodation for people that are homeless. This includes:                      Securing funding through the first two rounds of the rough sleeper accommodation programme and have submitted a bid for the third round                      Successfully moved on most households placed in Temporary Accommodation through our everyone in initiative. This has reduced the number of households from a peak of 1122 to 960.                      Initiated a project with the aim of reducing the net unit cost of Temporary Accommodation. Opportunities being explored and prioritised.                      Ongoing work with the wider homelessness sector, advice agencies and key partners identifying opportunities to work collaboratively around early intervention and the prevention of homelessness.                      Bristol has secured a £3.3 million grant from the Ministry of Housing, Communities and Local Government’s (MHCLG) three-year ‘Changing Futures’ scheme. Delivery starts now and runs until March 2024.                      We have been working closely with commissioners of domestic abuse services and providers to support move on from refuge accommodation.</p>	<p><b>What we are doing</b></p> <p>The number of households in Temporary Accommodation is 960 compared with 650 before COVID and is not reducing.                      Introduce longer term contracts for Temporary Accommodation that will reduce the net unit cost of TA to BCC.                      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.                      We continue to progress the Move On Project. Bringing online additional supported move on accommodation funded from our successful bids.                      BCC is working with partners in developing and delivering its changing futures scheme.                      Prioritise the use of Discretionary Housing Payments for homelessness prevention/tenancy sustainment.</p>						
<p>Risk Owners: Executive Director Growth and Regeneration, Director Housing.</p>	<p>Action Owners: Director Housing.</p>	<p>Portfolio Flag: Housing</p>	<p>Strategic Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing.</p>				

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Threat Risk Title and Description	Performance	Current Risk Level			Tolerance Risk Level		
		Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p><b>CRR6 - Fraud and Corruption</b></p> <p>Failure to prevent or detect acts of significant fraud or corruption against the council from either internal or external sources.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>• Heightened levels of fraud, including cyber fraud, as criminals attempt to exploit the COVID-19 pandemic.</li> <li>• Relaxation of controls in current emergency environment (Covid 19) as payments and support are being dispersed quickly in line with government requirement.</li> <li>• Failure of management to implement a sound system of internal control and/or to demonstrate commitment to it at all times.</li> <li>• Not keeping up to date with developments, in new areas of fraud.</li> <li>• Insufficient risk assessment of new emerging fraud issues.</li> <li>• Lack of clear management control of responsibility, authorities and / or delegation</li> <li>• Lack of resources to undertake the depth of work required to minimise the risks of fraud /avoidance. This potential cause is highlighted at this time given the potential impact of the current pandemic situation and with staff redeployed to support the emergency response.</li> <li>• Under investment in fraud prevention and detection technology and resource.</li> </ul>		3	5	15	3	3	9
<p><b>What we have done</b></p> <p>The Council's exposure to fraud has increased due to Covid and the uncertainty with the pandemic coupled with another national lockdown means that more proactive and reactive work needs to be undertaken to support the business to ensure that fraud losses are minimised. As the government continues to avail large support grants to businesses and individuals, we are using analytic tools and increased resource to undertake both pre-payment fraud checks and post payment fraud assurance checks.</p> <p>Strengthening our arrangements for collating, sharing and analysing intelligence through joint prepayment checks involving West of England Combined Authority Councils and North Somerset</p> <p>Recognising the economic impact of the pandemic and other potential recessional pressures, we are monitoring and reassessing all other types of fraud ensuring that appropriate prevention and detection controls are in place.</p> <p>Given the increased threat of cybercrime we are strengthening our fraud and cyber controls to ensure they are adequate to meet the challenge.</p> <p>Continuously participating in anti-fraud exercises including the National Fraud Initiative</p>	<p><b>What we are doing</b></p> <p>We are continuing to undertake post-payment checking against Covid grants to identify and investigate potential fraudulent claims.</p> <p>Output from the National Fraud Initiative data matching exercise is being reviewed including new reports relating to Covid grants.</p> <p>Work continues to improve the Whistleblowing process and awareness of it. We are implementing the Cabinet Office Fraud Hub as a short-term solution to enable more frequent and regular matching of the data.</p> <p>Work continues through the Bristol Fraud Hub Project to develop an Outline Business Case for consideration by CLB by end of Quarter 2.</p> <p>We are reviewing the costing model for fraud related activities across the Council.</p>						

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<p>Establishment of a regional fraud hub that will maximise the use of advanced analytics and more datasets is progressing and will be key in tackling fraud as this risk increases.</p> <p>Commissioning an independent review of our whistleblowing arrangements to obtain assurance on the adequacy and effectiveness of arrangements.</p>					
<p>Risk Owners: Chief Executive and Director of Finance (S151 Officer).</p>	<p>Action Owners: Director of Finance, Chief Internal Auditor.</p>	<p>Portfolio Flag: Finance, Governance and Performance</p>	<p>Strategic Theme: Our Organisation</p>		

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Threat Risk Title and Description	Performance	Current Risk Level			Tolerance Risk Level		
		Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p><b>CRR12 - Failure to deliver suitable emergency planning measures and respond to and manage emergency events when they occur</b></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"> <li>• Emergency risks not identified and prepared for.</li> <li>• Lack of trained and available responding staff.</li> <li>• Emergency roles and responsibilities not embedded.</li> </ul>	■	3	5	15	1	5	5
<p><b>What we have done</b></p> <p>CPU have supported the Covid response and responded effectively to concurrent incidents including fatal industrial accidents, residential fires, water and utility outages and protests.</p> <p>BCC has a leading role within the Local Resilience Forum.</p> <p>Severe weather incidents are monitored via the SWIMS system.</p> <p>Emergency planning training with multi-agency exercising in place. Duty director rota in place.</p> <p>24/7 Operations Centre provides effective monitoring for the city and a coordinator role in response and recovery.</p> <p>Recruitment of a fixed term Civil Protection Officer to support Covid response.</p> <p>Covid emergency has stretched BCC's emergency response capacity and created additional strains and pressures. Managed through BAU and business continuity planning and escalation.</p> <p>BCC took receipt of the South West's share of the National Emergency Mortuary Equipment in July 2018 and arrangements for establishing Flax Bourton Public Mortuary as a dedicated disaster mortuary are in place.</p> <p>Review of COMAH (Control of Major Accident Hazards) Plan complete</p>	<p><b>What we are doing</b></p> <p>Restarted the Corporate Resilience Group, directorate leads in place.</p> <p>Continuing to work closely with the LRF.</p> <p>Held our winter preparation weather meeting</p> <p>Horizon scanning internally and LRF on the overlapping risk this winter and the mitigations needed.</p> <p>Corporate exercise being planned for Autumn 2021.</p> <p>Introduction to Emergency Planning e-learning package will soon be available for all staff.</p>						
<p>Risk Owners: Executive Director Growth and Regeneration, Director Management of Place.</p>	<p>Action Owners: Director Management of Place, and Civil Protection Manager.</p>	<p>Portfolio Flag:</p>	<p>Finance, Governance and Performance</p>	<p>Strategic Theme:</p>	<p>Our Organisation, Wellbeing.</p>		



Threat Risk Title and Description	Performance	Current Risk Level			Tolerance Risk Level		
		Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p><b>CRR5 - Business Continuity and Council Resilience.</b></p> <p>If the council has a Business Continuity disruption and is unable to ensure the resilience of key BCC operations and business activities, then the impact of the event maybe increased with a greater impact on people and council Services.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>• Strikes (People, Fuel).</li> <li>• Loss of key staff (communicable diseases (Covid - illness and self-isolation) and influenza.</li> <li>• Loss of suppliers / supply chain disruption.</li> <li>• Loss of accommodation to deliver key services.</li> <li>• Loss of equipment / infrastructure, including utilities.</li> <li>• Any event which may cause major disruption - e.g. severe weather</li> <li>• Unavailability of IT and/or Telecoms.</li> <li>• Knowledge loss.</li> <li>• Reduced chances of preventing/ responding to incidents due to a lack of forward planning or investment.</li> </ul>		3	5	15	1	5	5
<p><b>What we have done</b></p> <p>A number of Policies, procedures and arrangements are in place including duty rotas for key service areas and the Duty Director rota.</p> <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>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 took 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>	<p><b>What we are doing</b></p> <p>Due to risk due to 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'.</p> <p>BIA and BCPs are required to be submitted as part of the service planning process.</p>						


Appendix A – Corporate Risk Register as at September 2021



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	Strategic Theme:	Our Organisation, Wellbeing.
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Appendix A – Corporate Risk Register as at September 2021

Threat Risk Title and Description	Performance	Current Risk Level			Tolerance Risk Level		
		Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p><b>CRR40 - Unplanned Investment in Subsidiary Companies</b></p> <p>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"> <li>• Failure to have effective corporate governance arrangements in place in one or more of the companies.</li> <li>• Failure to ensure the right leadership with the right skills across the Companies.</li> <li>• Business Failure due to severe economic downturn caused by external factors (incl. Pandemic &amp; Brexit).</li> <li>• Service delivery failure as a result of specific market changes (e.g., recycle market, housing market, lack of HGV drivers), failure to secure planning etc.</li> <li>• Delivery of BE2020 wind up within financial envelope.</li> <li>• Legislation changes.</li> <li>• Cyber Security - risk that key systems are compromised and that sensitive data is stolen</li> <li>• Failure to develop and grow commercial trading activities</li> </ul>		3	5	15	1	7	7
<b>What we have done</b>	<b>What we are doing</b>						
<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 &amp; 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</p>	<p>Business plan for Bristol Heat Network BHN is in the process of being finalised for Cabinet approval - Q4 21/22.</p> <p>Business plans for other BHL subsidiaries are also in the process of being reviewed and presented to Cabinet for approval - Q4 21/22.</p> <p>BCC / BHL continue to monitor risks and improve the alignment of risk management arrangements - ongoing at this time.</p> <p>BCC's latest Capital Strategy for 2022/23-2031/32 regarding loans to subsidiary organisations now limits BCC's maximum exposure to the lower of 10% of the Council's general fund capital financing requirement or to £70m - November 2021</p>						

Appendix A – Corporate Risk Register as at September 2021

<p>teams to review performance of the companies and set clear KPIs.</p> <p>Working capital facilities (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> <p>The governance review in respect of the Council’s companies has now been completed and an implementation plan agreed.</p> <p>The early engagement with the Council’s Holding Company and subsidiaries will continue as part of the 2022/23 business planning process.</p> <p>SHG will regularly review delivery of agreed actions from the governance review.</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>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>			
<p>Risk Owners: Chief Executive and S151 Officer.</p>	<p>Action Owners: Director Finance, Director Legal and Democratic Services.</p>	<p>Portfolio Flag: Finance, Governance and Performance</p>	<p>Strategic Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing.</p>

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Threat Risk Title and Description	Performance	Current Risk Level			Tolerance Risk Level		
		Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p><b>CRR15 - In-Year Financial Deficit</b></p> <p>The council’s financial position goes into significant deficit in the current year resulting in reserves (actual or projected) being less than the minimum specified by the council’s reserves policy.</p> <p>Key potential causes are: • 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>	-	3	5	15	1	5	5
<p><b>What we have done</b></p> <p>BCC’s Financial framework ensures that we have in place sound arrangements for financial planning, management, monitoring and reporting through to Corporate Leadership Team and Cabinet.</p> <p>The ongoing review and due diligence of all budget savings by Delivery Executive, Corporate Leadership Board and the Executive continues to be captured and monitored in the reports to Cabinet.</p> <p>The Policy and Budget Framework provides clear guidance in relation to the approval process for supplementary funding both capital and revenue.</p> <p>We have continual oversight and ongoing management of the council’s financial risks and deep dives in areas reported of non-containable pressures.</p> <p>Regular reviews have been undertaken on the level and appropriateness of the earmarked reserves and where redirections have been south reported to Cabinet.</p>	<p><b>What we are doing</b></p> <p>The latest budget monitoring indicates significant risks to achieving a balanced position in 2021/22. The impact of Covid-19 has been offset in part by additional Government funding and there are corporate mitigations for the residual pressures, however this must be closely managed to ensure spend remains within approved resources.</p> <p>Any risks not related to Covid will require individual mitigations and recovery plans which are to be developed in the coming months to reduce the likelihood of unplanned drawdown from reserves at year end.</p> <p>Ensuring engagement at local, regional and national level in round table and working groups to keep abreast the spending review, Business Rates retention and new funding formulas for Local Government. To ensure funding for Bristol is maximised and impact of changes are fed into our long-term financial planning and strategic planning.</p> <p>Ensure that there are sufficient reserves available to provide the Council with some resilience to material variations in spend forecasting and economic shocks.</p> <p>We will carry out frequent re-assessment of service delivery risks and opportunities and risk and other reserves.</p>						
<p>Risk Owners: Director of Finance (S151 Officer).</p>	<p>Action Owners: Director of Finance (S151 Officer), Chief Accountant.</p>	<p>Portfolio Flag:</p>	<p>Finance, Governance and Performance</p>	<p>Strategic Theme:</p>	<p>Our Organisation</p>		

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Threat Risk Title and Description	Performance	Current Risk Level			Tolerance Risk Level		
		Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p><b>CRR29 - Information Security Management System (ISMS)</b></p> <p>There is a risk that if the council does not have an Information Security Management System then it will not be able to effectively manage Information Security risks.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>• Ineffective Information Security Management System, inadequate resources to create and maintain an ISMS, management buy in and support to operate an ISMS.</li> </ul>		3	5	15	1	5	5
<b>What we have done</b>	<b>What we are doing</b>						
<p>Information Assurance are continuing to work with ICT and IGB on implementing an Information Security Management System. Plans for implementation, supported by internal audit will be built in to the 21/22 service plan.</p> <p>A number of policies have already been rolled out, new policies continue to be developed.</p>	<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> <p>Online tool is being used to roll out policies, alongside further guidance and awareness campaigns, supported by the regular phishing campaigns.</p> <p>Audit work by external partners has confirmed the direction of travel and mitigating actions required for this Risk. IG continue to work on implementing those actions, oversight being provided by the IG Board.</p>						
<p>Risk Owners: Senior Information Risk Owner (SIRO).</p>	<p>Action Owners: Senior Information Risk Owner (SIRO) and Statutory Data Protection Officer (SDPO).</p>	<p>Portfolio Flag:</p>		<p>Finance, Governance and Performance</p>	<p>Strategic Theme:</p>	<p>Our Organisation</p>	

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Threat Risk Title and Description	Performance	Current Risk Level			Tolerance Risk Level		
		Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p><b>CRR4 - Corporate Health, Safety and Wellbeing</b></p> <p>If the City Council does not meet its wide range of Health &amp; 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"> <li>• If services do not have sufficient staff numbers to carry out work plans in a safe way.</li> <li>• If services are not able to order appropriate equipment required for staff safety.</li> <li>• Lack of appropriate equipment.</li> <li>• Lack of appropriate training.</li> <li>• Lack of oversight and control by local management.</li> <li>• Lack of information on the potential or known risks.</li> <li>• Inadequate contract management arrangements.</li> <li>• Lack of effective processes and systems consistently being applied Policies are not kept up to date.</li> </ul>		3	5	15	3	5	15
<p><b>What we have done</b></p> <p>The Corporate Health, Safety and Wellbeing Team continue to provide general, targeted and specialist health, safety and wellbeing advice, guidance and provide assurance to the Council on compliance. This team is the owners of all policy and procedure and continue to undertake a programme of review and revision. The 5-year health, safety and wellbeing strategy sets the direction of travel and the yearly work plan. This has just been revised. The new Fire Safety Management system has been developed and piloted and is currently being published (October 2021) and rolled out across the Council. The CHaSMs monitoring system has been reviewed and is currently being updated to ensure it provides better assurance. This is in response to the Audit report and audit action plan.</p> <p>The new integrated OH, EAP and Physiotherapy contract is working well and provides a good service across the Council.</p> <p>Continue to ensure that buildings remain COVID secure.</p> <p>New Accident Incident Reporting System will go live October 2021</p> <p>CDM, Legionella and Asbestos procedures have been revised and will go out for consultation in November 2021.</p>	<p><b>What we are doing</b></p> <p>Responding to the Actions required from the Health and Safety Audit.</p> <p>Set an audit programme for key areas of risk taken from MI (CHaSMs OH referrals, EAP, ) this includes stress and musculoskeletal.</p> <p>Developing a new training and development programme for health, safety and wellbeing. This includes online, face to face and blended training.</p> <p>Continuing to deliver mandatory training including stress risk assessment, fire safety, lone working, legionella and asbestos awareness. Delivering face to face refresher for MHFA and Team Teach.</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>Reviewing arrangements for CDM across the Council including developing a robust policy and procedure.</p>						

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				Reorganising the Corporate Health Safety and Wellbeing Team to be able to respond effectively to the key priorities.			
Risk Owners:	Chief Executive and Corporate Leadership Board (CLB), Director of Workforce Change.	Action Owners:	Director of Workforce Change, Head of Health Safety and Wellbeing.	Portfolio Flag:	Finance, Governance and Performance	Strategic Theme:	Our Organisation

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Threat Risk Title and Description	Performance	Current Risk Level			Tolerance Risk Level		
		Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p><b>CRR18 - Failure to deliver enough homes to meet the City's needs.</b></p> <p>Failure of the City to deliver to the Mayoral Target of 2000 new homes per year by 2024. 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"> <li>• Not enough planning applications submitted</li> <li>• Not enough planning permissions granted</li> <li>• Insufficient housing land identified in strategic planning documents</li> <li>• Inability of the housebuilding industry to deliver at this level</li> <li>• Increased uncertainty in the market due to Brexit and Covid-19.</li> </ul>	-	3	5	15	1	3	3
<p><b>What we have done</b></p> <ol style="list-style-type: none"> <li>1. Granted planning permissions.</li> <li>2. Secured additional grant funding for infrastructure.</li> <li>3. Released land.</li> <li>4. Issued grants to Registered Providers (RPs).</li> <li>5. Established a Local Housing Company (Goram Homes).</li> <li>6. Secured funding from Homes England under HIF and Accelerated Construction and Community Development in order to release further housing land.</li> <li>7. Manage a targeted grant funding programme to subsidise the delivery of affordable homes.</li> <li>8. Introduced the Affordable Housing Practice Note.</li> <li>9. Worked collaboratively with Homes England to maximise subsidy in schemes to provide as much affordable housing as possible.</li> <li>10. Required a minimum of 30% affordable housing on land released by the Council.</li> <li>11. Created a single multi-disciplinary Housing Delivery Team and additional capacity with Property, Planning, Highways and Legal.</li> </ol>	<p><b>What we are doing</b></p> <ol style="list-style-type: none"> <li>1. We are addressing all areas of provision including: Community Led Housing (CLH), Registered Providers (RPs) and Direct Delivery, (New Council Homes).</li> <li>2. We are have completed a Service Review of Housing Delivery Team and have recruited to new posts.</li> <li>3. Significant land release programme to Registered Partners (RPs).</li> <li>4. External funding bids have secured infrastructure funding to accelerate delivery.</li> <li>5. Monitoring the impact of a coronavirus and Brexit on the Housing Market</li> <li>6. Revised the Affordable Housing Grant Funding Policy to ensure it is relevant and assist the delivery of new affordable homes.</li> <li>7. Working Closely with Homes England to ensure additional subsidy is secured</li> <li>8. Pipeline of site approved for Goram Homes to deliver around 1700 new homes</li> <li>9. New working arrangements between Housing Delivery Team and Development Management focussing on unlocking barriers to determination and accelerating permissions.</li> </ol>						
<p>Risk Owners: Executive Director Growth and Regeneration, Director Development of Place.</p>	<p>Action Owners: Director Development of Place.</p>	<p>Portfolio Flag: Housing</p>		<p>Strategic Theme: Fair and Inclusive</p>			



Threat Risk Title and Description	Performance	Current Risk Level			Tolerance Risk Level		
		Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p><b>CRR27 - Capital Transport Programme Delivery</b></p> <p>Management of the overall transport capital programme is key to ensuring we deliver against mayoral priorities in the most cost and time efficient way possible. Failure to do so negatively impacts the council's reputation and finances and makes the council less likely to reduce congestion, air pollution and inequality.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>• Overspend on individual schemes leading to uncontrollable cost pressures</li> <li>• Underspend on annual profile</li> <li>• Lack of coordination and programme management across divisions</li> <li>• COVID - 19</li> <li>• Loss of resource and inability to recruit</li> </ul>		3	5	15	2	3	6
<p><b>What we have done</b></p> <p>Transport Programme Team and Delivery Board established.                      Shared paperwork and highlight reporting process initiated.                      Regular briefings and reporting to senior management and cabinet members.                      5-year capital programme mapping process underway.                      Regular reviews with directors taking place, workshop carried out to examine governance and further improvements to processes.</p>	<p><b>What we are doing</b></p> <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&amp;R) Board (monthly meeting).</p> <p>5 Year mapping 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> <p>We have recently commissioned a piece of work through the strategic partner Arcadis to assess capital programme delivery working with the PMO and linked to CA work. This work will assess issues and set a base line to enable potential solutions to be bought forward and implemented</p>						




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Risk Owners:	Executive Director Growth and Regeneration, Director Economy of Place.	Action Owners:	Director Economy of Place.	Portfolio Flag:	Transport	Strategic Theme:	Our Organisation, Wellbeing.
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Threat Risk Title and Description	Performance	Current Risk Level			Tolerance Risk Level		
		Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p><b>CRR36 - SEND</b></p> <p>Delivery of the recovery plan with agreed priorities and actions and clear milestones forming the Written Statement of Action (WSOA) following the SEND local area OFSTED inspection in October 2019.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>• Covid-19 delaying ability to complete actions and creating increased pressure across the locality partnership.</li> <li>• Increasing demands for services outweighing current capacity to clear the backlog on statutory assessments.</li> <li>• Judicial Review or similar legal actions causing attention to be diverted from BAU.</li> <li>• Unprecedented national and local demand for Statutory assessment.</li> <li>• Recruitment and retention including national shortage of Educational Psychologists.</li> </ul>		3	5	15	1	5	5
<p><b>What we have done</b></p> <p>Independently chaired SEND improvement Board meets bi-monthly to oversee improvement progress. Multi agency delivery group 'SEND Partnership Group' (SPG) includes social care, health, and schools meets monthly and reports to the improvement Board.</p> <p>Delivered the 1st phase of the SEND improvement journey through the Written Statement of Action to its formal conclusion in July 2021. 89% of July milestones were achieved or on track for the autumn. The 11% not achieved are all underway and have new timeframes agreed through the Local Area SEND governance arrangements. DFE monitoring of WsoA concluded and overall impressed with achievements and how well the council and its partners are working together to address all areas of weakness.</p> <p>Implemented quality assurance activity, including routine service user feedback and improved data capture and quality, enabling the development of robust data sets that have enhanced operational and strategic performance management and enabled better service planning to meet demand.</p> <p>Investment in key priority areas such as additional staff in statutory SEND and EP team. Re-structured and re-focused the work of the statutory SEND team. All EHCP systems and processes reviewed and remodelled with parent carers, including co-production of a new EHCP template and child centred model of assessment.</p> <p>Focused on early identification and intervention to reduce demand for statutory EHC Plans e.g. training and guidance for schools staff and leaders relating to their responsibilities for meeting the needs of children and young people with SEND.</p>	<p><b>What we are doing</b></p> <p>Developing the next iteration of the SEND action plan taking account of:</p> <ul style="list-style-type: none"> <li>- other programmes of work / strategic developments and initiatives</li> <li>- the progress made and what still needs to be done to address the five significant areas of weakness identified in the SEND inspection</li> <li>- other areas for improvement identified through ongoing analysis of data and service user feedback.</li> </ul> <p>Ongoing work with stakeholders and partners across the local area to continue to improve services and the service user experience.</p> <p>Ongoing governance and monitoring activity including Scrutiny. Inviting the DFE and NHSE advisers to continue to act as critical friends regarding progress made against the inspection findings and the new SEND action plan.</p> <p>Developing a service user engagement and co-production framework to align partnership activity, reach seldom heard voices and embed a sustainable BAU model of engagement and co-production at a strategic level.</p> <p>Preparing for the re-inspection which is likely to take place between Autumn – Spring 2021/22.</p>						
<p>Risk Owners: Director Adult and Social Care, Service Director Education and Skills</p>	<p>Action Owners: Service Director Education and Skills</p>	<p>Portfolio Flag: Education and Skills</p>		<p>Strategic Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing</p>			

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Threat Risk Title and Description	Performance	Current Risk Level			Tolerance Risk Level		
		Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p><b>CRR26 - ICT Resilience.</b></p> <p>The Councils ability to deliver critical and key services in the event of ICT outages and be able to recover in the event of system and/or data loss.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>• Poor Business Continuity (BCP) planning and understanding of key system architecture.</li> <li>• Untested Disaster Recovery (DR) arrangements including data recovery.</li> <li>• Untested network reconfiguration to alleviate key location outage.</li> <li>• Untested recovery schedules in terms of order and instructions.</li> <li>• Lack of resilience available for legacy systems (single points of failure - people and technology).</li> <li>• Services undertaking their own IT arrangements outside of the corporate approach.</li> </ul>	↑	2	5	10	2	5	10
<b>What we have done</b>	<b>What we are doing</b>						
<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>	<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>						
<p>Risk Owners: Chief Executive, Director, Digital Transformation, Service Area Leads.</p>	<p>Action Owners: Director, Digital Transformation.</p>	<p>Portfolio Flag:</p>	<p>Finance, Governance and Performance</p>	<p>Strategic Theme:</p>	<p>Our Organisation</p>		


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Threat Risk Title and Description	Performance	Current Risk Level			Tolerance Risk Level		
		Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p><b>CRR23 - Adult and Social Care (ASC) Transformation Programme 2020/21-2021/22</b></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"> <li>• Rapid increased demand and complexity due to COVID-19.</li> <li>• Increase of needs due to more health services being delivered in the community without appropriate funding following the patient.</li> <li>• Increased complex needs across our demographics that must be met under the Care Act</li> </ul> <p>Wider factors impacting on supply.</p> <ul style="list-style-type: none"> <li>• Financial pressures on an already vulnerable provider market during sustained changes forced on provider during COVID-19.</li> <li>• Time to commission and embed alternative Tier 3 services as another option to traditional care homes, such as Extra Care Housing, supported Living, shared lives</li> <li>• Time to commission and develop genuine step up/ step down alternatives to Tier 3 long term care (Home first, VCSE, reablement for all).</li> <li>• Ability to joint fund this supply using the BCF with NHS (National Health Service) partners working in an Integrated Care System model.</li> <li>• Ability to prioritise the programme under one city plans and to have the corporate support and investment needed alongside ASC staff to deliver on the proposed solutions</li> </ul>	↑	3	5	15	1	5	5
<p><b>What we have done</b></p> <p>Established Transformation programme board chaired by Cabinet Member for Adult Social Care 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 ASC POWERBI accelerators have been developed delivering a detailed understanding of activity and cost across the services delivered to support DMT in building the right solutions and having the evidence of the impact their decisions are having on service numbers and cost.</p> <p>Improving Pricing Control - Procured Care Cubed and written to providers to notify them that we 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><b>What we are doing</b></p> <p>Following a Deep Dive review with corporate services as the Transformation team, the programme was taken out of exception and Delivery Executive approved a revised savings proposal and new approach to the ASC transformation work, which aims to increase delivery confidence</p> <p>The revised programme is made up of three key workstreams:</p> <ul style="list-style-type: none"> <li>• In-house service review (Rehab Centres)</li> <li>• Developing the Strengths based model of care</li> <li>• Knowledge Function</li> </ul> <p>Other priorities will be service-led BAU workstreams which include</p> <ul style="list-style-type: none"> <li>• Commissioning &amp; Market Management</li> <li>• Strengths based practice</li> </ul>						

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<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 increase strengths based practice, greater use of community assets and avoid use of Tier 3 services.</p> <p>Making change everybody's business - New 'change Agent' roles have been established across the business to champion change.</p> <p>Realignment of operations - Care management have now completed 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 go live in November. 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.</p> <p>Inhouse services reviewed - ASC commissioned Mutual Ventures to review our £15m of in-house service provision. Each service is unique and brings different benefits. This created 'road maps' for each service to be taken through the key decision pathway to get authority to proceed with the modernisation of these services. The first of which is a recommendation for the re-provision of Rehab centres going to cabinet in December.</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> <p>We took the programme into Exception in August due to non-delivery of agreed savings caused by additional COVID pressures, increased demand, business continuity and care supply and workforce challenges. In October Delivery Exec agreed a re-modelled savings plan and re-prioritised set of programme workstreams/ priorities and associated capacity/ support required to deliver.</p>		<ul style="list-style-type: none"> <li>• Knowledge Function</li> </ul> <p>In addition, we are developing future service priorities:</p> <ul style="list-style-type: none"> <li>• Care Providers Strategic Partnerships</li> <li>• Housing access to General Needs Housing (delivered through Better Lives at Home programme and in partnership with G&amp;R Directorate)</li> <li>• Fair price of care</li> <li>• In-house Services phase 2</li> </ul> <p>In the interim a number of immediate actions have been taken to address the budget pressures on ASC:</p> <ul style="list-style-type: none"> <li>• All new cases to be referred to Reablement before a longer-term package of care is agreed, increasing the amount of cost avoidance as a result of delaying or avoiding the need for more long-term care</li> <li>• Brokerage to take up to 5 days to secure best value care packages (for non-urgent needs)</li> <li>• Authorisation of high-cost packages:</li> <li>• Additional scrutiny from Deputy Directors for Commissioning and Operations for all placements over £1000</li> <li>• SM to sign off and quality control of cases to be booked into Case Discussion Forum (including ensuring that practitioners have explored all alternative care options before referral to CDF)</li> <li>• Prioritise reviews of all relevant packages that have been set up during COVID, with additional COVID related spend</li> <li>• Increase referrals to the TEC team (based on specific targeted cohorts e.g. night time care in Supported Living)</li> <li>• Single point of coordination for all CHC joint funded and single funded packages</li> <li>• Ensuring that brokerage and commissioning staff work closely with Care Management when agreeing care packages, which will be further embedded when locality model is introduced (from September)</li> </ul>					
Risk Owners:	Director Adult Social Care	Action Owners:	Director Adult Social Care	Portfolio Flag:	Adult Social Care	Strategic Theme:	Our Organisation, Empowering others and Caring, Fair and Inclusive, Well connected, Wellbeing.

Appendix A – Corporate Risk Register as at September 2021


Threat Risk Title and Description	Performance	Current Risk Level			Tolerance Risk Level		
		Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p><b>CRR34 - Corporate Equalities</b></p> <p>The Council does not meet its ambitions or legally required standards for good practice on equality and inclusion. The Council fails to meet its statutory duties under the Equality Act 2010.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>• Lack of consistent council-wide knowledge on the Public Sector Equality Duty and how to take equalities into consideration.</li> <li>• Gaps in available data and analysis to understand potential impacts of decision making.</li> <li>• Compliance driven rather than understanding based on good analysis.</li> <li>• High turnover of staff resulting in loss of knowledge/institutional memory.</li> <li>• Institutional racism and structural inequality in the council, city, and society as a whole.</li> <li>• Under-representation of key demographics in the workforce, particularly within senior roles.</li> </ul>		1	5	5	1	5	5
What we have done	What we are doing						
<p>The work of mainstreaming and embedding equality &amp; inclusion is well underway. Good teamwork across Bristol City Council. The two teams with an equality &amp; inclusion focus within Policy, Strategy and Partnerships and Human Resources have now been aligned and are working closely together.</p> <p>However, there is still more to do corporately to tackle institutional racism and improve equality and inclusion practice, an issue brought into 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.</p> <p>We are:</p> <ol style="list-style-type: none"> <li>1. 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.</li> <li>2. Having on-going city conversations on race equality.</li> <li>3. Reviewed the E&amp;I learning and development offer for employees at BCC to ensure that their E&amp;I awareness is improving throughout their employee journey</li> <li>4. A steering group are developing a new approach to positive action for under-represented groups.</li> <li>5. We received the report and recommendations from the LGA Equality Framework for Local Government.</li> </ol>	<ul style="list-style-type: none"> <li>• Continuing to implement the recommendations from the LGA Equality Framework for Local Government, including mapping out an E&amp;I programme in line with Corporate Strategy.</li> <li>• Completing the Positive Action Toolkit.</li> <li>• Holding Race Equality Gatherings.</li> <li>• Holding meetings of the Strategic E&amp;I Governance Group.</li> <li>• Recruitment of the Commissioners for the Disability Equality Commission.</li> <li>• Embed the Equality and Inclusion calendar and link to ongoing engagement from the Mayor’s Office.</li> <li>• Further develop the Champions Network</li> </ul>						

Appendix A – Corporate Risk Register as at September 2021



<ol style="list-style-type: none"> <li>6. Taken the Annual Report for the E&amp;I Strategy to Full Council and published it in July- along with a completion report in the Advancing Equality and Inclusion action plan.</li> <li>7. Recruited the first Chair and the support organisation for the Disability Equality Commission and a new Chair for the Commission on Race Equality.</li> <li>8. Rolled out updated training on Rights and Responsibilities.</li> <li>9. Launched a reverse mentoring programme.</li> <li>10. Developed an Equality &amp; Inclusion calendar for the whole organisation.</li> <li>11. Created a network of Champions and Director Sponsors.</li> <li>12. Recruited a temporary consultant to support with strategic migration issues.</li> </ol>							
Risk Owners:	Director Policy, Strategy & Partnerships.	Action Owners:	Director Policy, Strategy & Partnership, Head of Equality and Inclusion.	Portfolio Flag:	Finance, Governance and Performance	Strategic Theme:	Our Organisation

**Corporate external and civil contingency risks**


External/Civil Contingency Risk Title and Description	Performance	Current Risk Level			Tolerance Risk Level		
		Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p><b>BCCC3 - COVID-19</b></p> <p>A failure to respond and recover effectively to the Covid crisis will jeopardise the delivery of statutory duties across the Council, put the lives and welfare of staff and service users at risk, create additional social anxiety, cause unnecessary expense, undermine Council finances and severely damage the Council’s reputation.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>• Staff sickness, absence, and bereavement.</li> <li>• Surges in demand in key service areas, particularly social care, safeguarding, housing, community engagement, hardship, public health, and civil protection.</li> <li>• A lack of personal protective equipment for staff and providers.</li> <li>• Increased social anxiety and community tension.</li> <li>• Failure of key providers and contractors.</li> <li>• A lack of management control and oversight associated with home working.</li> <li>• Failure to identify and seize opportunities.</li> <li>• Changes in national guidelines.</li> </ul>		4	7	28	2	7	14
<p><b>What we have done</b></p> <ul style="list-style-type: none"> <li>• The Council has moved at pace to change the way that it works across every Directorate and Service area:                             <ul style="list-style-type: none"> <li>• The response to Covid is managed through the Outbreak Management Group, Chaired by the Director of Public Health</li> <li>• The Local Engagement Board and Health Protection Committee were both established and have met regularly</li> <li>• Work to support the most vulnerable is ongoing</li> <li>• Work to enforce Covid regulations is ongoing</li> <li>• PPE supply chains have been stabilised and made more resilient</li> <li>• Additional body storage capacity has been realised</li> <li>• The organisation has established remote working practice wherever possible</li> <li>• Buildings have Covid secure risk assessments in place</li> </ul> </li> </ul>	<p><b>What we are doing</b></p> <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.</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>						



Appendix A – Corporate Risk Register as at September 2021

<ul style="list-style-type: none"> <li>• Three Recovery Workstreams have been established – Community and People, Economy and Business and Organisational Change</li> <li>• Recovery Objectives are being monitored and managed through EDMs</li> <li>• We have worked in partnership through the One City Economy Board to produce an Economic Recovery and Renewal Plan</li> <li>• 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.</li> <li>• Learning from the multiple waves informs our ongoing response</li> <li>• Run ‘surge testing’ programme for Variant of Concern and applied learning from this</li> <li>• Conducted a region-wide Equality Impact Assessment to inform future planning and adapt current practice where required</li> <li>• Operated a ‘Gold’ Group chaired by Chief Executive during Major Incident phase(s)</li> <li>• The local outbreak response has been enhanced</li> <li>• Capital for a Community Resilience Fund has been established</li> <li>• We have increased the community development capacity in the short term and introduced a fortnightly Community Exchange to maintain conversation with communities</li> </ul>							
Risk Owners:	CLB	Action Owners:	Director Resilience, Public Health Service Director	Portfolio Flag:	Corporate Wide	Strategic Theme:	Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing.

Appendix A – Corporate Risk Register as at September 2021

External/Civil Contingency Risk Title and Description	Performance	Current Risk Level			Tolerance Risk Level		
		Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p><b>BCCC1 - Flooding</b></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"> <li>• Tidal surge, heavy rainfall, and river flood events</li> <li>• Impact of climate change</li> <li>• Lack of effective flood defences and preparedness for major incidents</li> <li>• Failure of existing flood defences</li> </ul>		3	5	15	3	3	9
<p><b>What we have done</b></p> <p>Bristol has in place a local Flood Risk Management Strategy which comprises of 5 key themes and 43 separate actions in line with Environment Agency's national strategy. 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 June 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>	<p><b>What we are doing</b></p> <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> <p>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.</p> <p>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.</p> <p>Promote minor sized schemes and green infrastructure to reduce local flood risks.</p> <p>Actively managing flood risk infrastructure.</p> <p>Ensuring development is sustainable, seeks to reduce flood risk and includes consideration to climate change.</p> <p>Working with South Gloucestershire and the Environment Agency to deliver a programme of innovation to increase communities resilience to flooding.</p>						

Appendix A – Corporate Risk Register as at September 2021



Risk Owners:	Executive Director Growth and Regeneration, Director Economy of Place.	Action Owners:	Director Economy of Place, Flood Risk Engineer.	Portfolio Flag:	Energy, Waste and Regulatory Services	Strategic Theme:	Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing.
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**Corporate Opportunity Risks**

Opportunity Risk Title and Description	Performance	Current Risk Level			Tolerance Risk Level		
		Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p><b>OPP2 - Corporate Strategy</b></p> <p>The approved Corporate Strategy presents an opportunity to fundamentally refresh and strengthen our business planning, leadership and performance frameworks.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> <li>Approved Corporate Strategy provides the foundation and direction for the organisation.</li> </ul>	-	2	7	14	4	7	28
<p><b>What we have done</b></p> <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> <p>Drafted a refreshed Corporate Strategy 2022-27 and briefed Heads of Service; also beginning staff engagement sessions and embedding within annual Service Planning for 22/23.</p>	<p><b>What we are doing</b></p> <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>						
<p>Risk Owners: Director Policy, Strategy and Partnerships.</p>	<p>Action Owners: Director Policy, Strategy and Partnerships.</p>	<p>Portfolio Flag:</p>	<p>Finance, Governance and Performance</p>	<p>Strategic Theme:</p>	<p>Our Organisation</p>		

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Opportunity Risk Title and Description	Performance	Current Risk Level			Tolerance Risk Level		
		Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p><b>OPP1 - One City Approach</b></p> <p>The One City Approach will offer a new way to plan strategically with partners as part of a wider city system.</p> <p>Key potential causes are:</p> <ol style="list-style-type: none"> <li>1. Mayoral aspiration and widespread partner sign-up to principles</li> <li>2. Work to date has produced outline plan and engaged partners in the long-term vision and necessary work to complete the plan</li> </ol>		3	7	21	4	7	28
<p><b>What we have done</b></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 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>	<p><b>What we are doing</b></p> <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"> <li>• 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.</li> <li>• Negotiate with partners on funding arrangements.</li> <li>• Create a One City Digital Board.</li> <li>• Produce a City Office team mandate to outline the functions of the team for partners.</li> </ul> <p>Develop more detailed metrics for impacting tracking of activity.</p>						
<p>Risk Owners: Director Policy, Strategy and Partnerships.</p>	<p>Action Owners: Director Policy, Strategy and Partnerships.</p>	<p>Portfolio Flag:</p>	<p>Mayor</p>	<p>Strategic Theme:</p>	<p>Our Organisation</p>		



**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.

## LIKELIHOOD AND IMPACT RISK RATING SCORING

### Likelihood Guidance

Likelihood	Likelihood Ratings 1 to 4			
	1	2	3	4
<b>Description</b>	Might happen on rare occasions.	Will possibly happen, possibly on several occasions.	Will probably happen, possibly at regular intervals.	Likely to happen, possibly frequently.
<b>Numerical Likelihood</b>	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.
<b>Financial Loss / Gain</b>	<b>Under £0.5m</b>	<b>Between £0.5m - £3m</b>	<b>Between £3m - £5m</b>	<b>More than £5m</b>
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.