Bristol City Council
Business Change & Resources Scrutiny Commission
22 September 2016

Report of: **Richard Billingham, Service Director HR**

Title: **Business Change Risk Register**   **Ward:** Citywide

Officer presenting report: **Richard Billingham**

Recommendation

The Commission review and scrutinise the Directorate Risk Register as at 22nd September 2016 which is attached to this report.

Summary

This report presents the Directorate Risk register. Going forward, Directorate Risk Registers will be reviewed by Directorate Leadership Teams on a quarterly basis and will be provided for scrutiny at six monthly intervals.

The significant issues in the report are:
•   Process for review of Directorate risks. (Paragraph 5.2)
•   Issues arising from the Directorate Risk Register (Paragraph 5.5)
•   The full directorate risk register (Appendix 1)

Policy

1.   The Audit Committee is responsible for providing independent assurance to the Council regarding the effectiveness of its strategic risk management arrangements. The Council has a Risk Management Policy which requires strategic risks to the Council, and details of how they are managed to be recorded in strategic risk registers – the Corporate and Directorate Risk Registers. Whilst the Corporate risk Register is scrutinised by the Audit Committee on a six monthly basis, it was agreed at Overview and Scrutiny Management Board, that the Directorate Risk Registers will be scrutinised by each Directorate scrutiny twice a year. They will however also be provided once each year to Audit Committee, for information (not scrutiny) to provide the Audit Committee with assurance that Directorate Risk Registers are in place and effectively scrutinised.

Consultation

2.   Internal
Directorate Leadership Team / Risk Owners / Cabinet Member – Business Change

3.   External
Not applicable

4.   Background – Risk Management and the Corporate Risk Register

4.1.   Risk is defined in the Risk Management Policy as 'the chance of something happening that will impact (positively or negatively) on the achievement of the Council's Objectives'. Risk Management is the planned and systematic approach to the identification, evaluation, prioritisation and control of risks and opportunities facing the Council Management.

4.2.   Risk Assessment is the measure of likelihood and impact on objectives of an uncertain action of event.

4.3.   The Corporate Risk Register (CRR) is an integral element of the Council's Strategic Risk Management arrangements and aims to support the delivery of the Council's objectives by setting out the strategic high level risks facing the Council in delivering its plans and how they are ensuring these risks are effectively managed.

4.4.   The CRR is used by the Strategic Leadership Team to monitor risk levels and take assurance that all necessary steps are being taken to ensure the risks are managed to a level acceptable to them.

5.   The Directorate Risk Register

5.1.   As well as Corporate Risks, Directorate Risk Registers (DRR) detail risks faced by each Directorate. The DRR is owned by the Strategic Director and is used by the Directorate Leadership Team to ensure and monitor that risks are effectively managed.

5.2.   The Directorate Risk Register was developed following:

•   DLT Risk identification and assignment of a risk owner who is responsible to ensure each risk is effectively managed
•   Detailed work with the Risk Owner to determine key current mitigations and further actions to ensure the risk is properly managed
•   Re-review by DLT to ensure risk levels are correctly identified and target risk levels are acceptable
5.3.   The Business Change Directorate Risk Register is attached as Appendix 1 for scrutiny. The register is presented in the standard format agreed by ELT / SLT and uses the risk management methodology in the risk management policy agreed by the SLT and the Audit Committee in November 2014. Appendix 2 provides helpful extracts from that policy to assist Members in understanding risk levels recorded in the register. The risk matrix, Guidance parameters used to measure impact and Guidance parameters used to measure likelihood.

5.4.   The timing of presentation of the Directorate Risk Register to Scrutiny is such that the commission are also receiving information concerning Directorate performance at this meeting. It is envisaged that both the risk and performance information provided to the Committee should be reviewed together to aide effective challenge to both sets of information.

5.5.   The Business Change Directorate Scrutiny Commission last received the Directorate Risk Register on 15th February 2016. The following paragraphs summarise the key changes to the risk environment since then:

5.6.   New risks identified and added to the register include:

5.6.1 Risk 3: Over reliance on interim senior management in Business Change

5.7.   Previous risks which are no longer relevant and removed from the register include:

5.7.1 Leadership development and Continuous Service
5.7.2 Democratic reform
5.7.3 Income generation
5.7.4 New Company start ups
5.7.5 PSC Service redesign
5.7.6 Redesigned Revenue and Benefits Service
5.7.7 Citizens Services Redesign
5.7.8 Identity and Brand
5.7.9 Corporate Plan

5.8.   Previous risks which have changed into new risks:

5.8.1 The Delivery of the medium term financial plan (MTFP) and the Change Programme risks have been replaced by Risk 1 in the Risk Register – The organisation's ability to maintain a balanced budget in the short and medium term.

The following table demonstrates where risk levels have increased/decreased or stayed the same compared to the Risk Register in February 2016.

Current Risk ref	Risk	Feb 2016 Previous risk level	Sept 2016 Current risk level
1	The organisation's ability to maintain a balanced budget in the short and medium terms	Replaced previous risk	(purple)
2	The ongoing availability and stability of core Finance and HR/Payroll systems.	(amber)	(red)
3	Over reliance on interim senior management in Business Change	New	(red)
4	Effects of ICT under-delivery on business confidence and knock-on effect to in-flight projects.	(green)	(red)
5	The integration of new technology into business operations, training and empowering users.	(red)	(amber)
6	Recruitment and retention	(red)	(amber)
7	Bristol Workplace Programme governance and control mechanisms	(amber)	(amber)
8	Service Transition –the activity designed through BWP is not effectively transitioned to the business to manage	(red)	(amber)
9	Performance Management Framework and System not being effectively embedded into BAU Business Change activities	Amended risk (amber)	(green)

Other Options Considered

6.   None necessary

Risk Assessment

7.   Robust and effective strategic risk management arrangements are essential in helping the Council manage its business and deliver its priorities.

Public Sector Equality Duties

None necessary for this report

Legal and Resource Implications

Legal

None sought

Financial
(a) Revenue
None arising from this report

(b) Capital
None arising from this report

Land
Not applicable

Personnel
Not applicable

Appendices:
Appendix 1 – Business Change Directorate Risk Register
Appendix 2 – Risk Matrix, Guidance parameters used to measure impact and Guidance
parameters used to measure likelihood

LOCAL GOVERNMENT (ACCESS TO INFORMATION) ACT 1985
Background Papers:

None

Appendix 1

Risk Description, Causes, Consequences and Horizon	Risk Owner	Current Risk Management Arrangements (Current Mitigation) Responsible officer (RO):	Status of Current Mitigation	Current Risk Like/Imp	Target Risk Like/Imp	Further Actions Required	Timeframe for Action	Responsible Officer for Action	Risk Review Period
1.									
Risk description: **The organisation's ability to maintain a balanced budget in the short and medium terms** **Cause** - A challenging Local Government Financial Settlement - Delayed delivery of existing savings plans contributing to financial pressures - Q1 Financial Monitor is forecasting a significant budget gap **Consequence** - Potential need to draw on General Reserves that are otherwise set aside for unforeseen emergencies	Annabel Scholes Anna Klonowski	Regular financial monitoring to each DLT and to SLT and key corporate boards (e.g. Capital Programme Board) Savings tracker in place and reviewed with all services Savings tracker a standing item on weekly SLT meetings. A programme of Voluntary Severance was started on 22nd August to reduce workforce cost quickly to achieve in year savings. Series of mitigating actions agreed by Cabinet in Q1 monitor. Production of savings proposals for consideration by Cabinet to cover 2017-20	↑ Ongoing Regularly reviewed and ongoing VS scheme started and ongoing ELT to produce for 16 Sept	**Critical / likely (20)**	**Critical / possible (20)**	Ongoing programme of work via SLT Cabinet and SLT 2 day Away Day to examine savings proposals for 2016/17 and 2017-20 Line by line budget review Establish the process and timeline to set the MTFP	Ongoing 19/20 Sept	SLT SLT Annabel Scholes Annabel Scholes/ Stephen Hughes	Quarterly

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2.									
Risk description: **The ongoing availability and stability of core Finance and HR/Payroll systems.** **Cause:** - Finance system Milestone 4 is out of support by Unit 4 from December 2016 - Ongoing availability of HR and payroll business critical platforms is required - Delivery of a stable, and functional Finance platform is required - Ownership of the Finance Platform Project has been unclear between IT and Finance. - Governance structure for replacement projects required. - Our relationship with the service supplier, Agilisys (Service) is not strong. Our contact with the product supplier, Unit4, has been limited. - Additional resourcing needed in short-mid term to ensure expertise, stability and care.	Richard Billingham Annabel Scholes Dominic Mason	Programme governance has been put in place for both Finance and HR&Payroll systems A plan is in place to deliver an upgraded Finance Platform by Christmas 2016. HR & Payroll project group is in place and considering immediate options to ensure continuity of system availability. Relationship with Agilisys (Operations) is being strengthened. Ownership of the Day to day operation, workflows and configuration of the Finance Platform Project is with Finance Support, supported by ICT. Ownership of the Finance Platform Project platform and contract and is with IT, advised by Finance through the Finance Platform Project Steering Group. Steering groups, governance and terms of reference for the two new projects: Finance and HR&P have been initiated. Dialogue is required with the platform supplier Unit 4, to ensure best knowledge of the current version and ongoing product roadmap.	The Finance Platform Project Steering Group and Finance Platform Project Working Group have both sat and decided to upgrade the existing platform, address the product backlog managed by Finance Support, and negotiate an extension of the support contract by one year from May 2017 to May 2018. The Finance Platform Project upgrade is expected to hit its delivery deadline of Dec 6th 2016. The HR&P Project Steering group has sat and will decide on future direction in a meeting on 25/08. Enterprise Architecture resources & IT PM resources are involved (a minimum of 3 months) to advise and support Finance Support in available expertise in stabilising and creating a forwards plan for the Finance Platform Project. We now have direct access to our AM and Senior AM at Unit4, they are open to advising us on their product.	Catastrophic / probable (16)	Critical / possible (9)	HR&P steering group give direction on future platform strategy Finance support/IT agree on risks and complete project plan for Finance Platform Project upgrade. Finance support/IT initiate Finance Platform Project upgrade Finance Platform Project steering group approves plan Renegotiation of support contract past May 17 is successful to Finance Platform Project steering group Finance Platform Project upgrade is successful and UAT report is successful to Steering Group	25/08 30/08 30/08 w/b 05/09 est. Oct 2016 16/12	Richard Billingham Dominic Mason Sam Marsh Graham Booth Graham Booth Annabel Scholes Dominic Mason Annabel Scholes Dominic Mason Annabel Scholes Dominic Mason	Monthly

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3. New									
Risk description: Over reliance on interim senior management in Business Change **Cause:** - Turnover of senior staff within a short space of time has resulted in 5 senior positions being covered by interim managers. - In Finance there have been ongoing problems recruiting to senior roles owing to both the availability of suitable candidates in the local labour market and the relative uncompetitiveness of the financial package for these roles	Richard Billingham	Processes have been initiated to permanently recruit to senior statutory roles including: - Service Director Finance successfully recruited to with new s151 starting in Nov 2016 - Service Director Legal – interview to be held October 2016 Targeted search underway for other senior finance roles to ensure a permanent cadre of senior finance personnel. Senior pay review completed and implemented	Recruitment processes for vacant statutory officer roles are all in hand and nearing completion. Exec search is being initiated to identify suitably qualified candidates for senior finance roles.	**Likely / Significant (10)**	Significant / probable (8)	Review of senior structure in Business Change to consolidate services under fewer Service Directors in order to achieve in year and recurring savings. Recruitment process for permanent Strategic Director Resources to be commenced.	Oct 2016 Oct 2016	Anna Klonowski Richard Billingham	
Risk Description, Causes, Consequences and Horizon	Risk Owner	Current Risk Management Arrangements (Current Mitigation) Responsible officer (RO):	Status of Current Mitigation	Current Risk Like/Imp	Target Risk Like/Imp	Further Actions Required	Timeframe for Action	Responsible Officer for Action	Risk Review Period
4.									
Risk description: Effects of ICT under-delivery on business confidence and knock-on effect to in-flight projects. **Cause:** -Very large delivery	Dominic Mason	IT Service Improvement plan delivers Nov 2016 A service improvement programme is in place, it reports into Business Change DLT and completes Nov 2016. This programme's aim is bringing	Ongoing Ongoing	**Significant / Likely (10)**	**Significant / probable (8)**	The service improvement forward plan's first deliverable is an IT roadmap, service catalogue and set of performance indicators. The above will allow to form an improved delivery model for ICT, consisting (at its core of):	A detailed project plan is available. New model expected complete	Dominic Mason	Monthly

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agenda and linked to many other cross-council deliverables - Structural issues - Quality issues - Financial issues		together all of the activities needed to address this risk. ICT Project Governance has been strengthened by re-starting governance review measures and creating a governance loop via PMO. ICT Management meeting frequency is temporarily twice weekly Financial pressures are in open discussion with Finance. An ICT restructure has been proposed	Ongoing Ongoing Ongoing Ongoing			• A plan, approved by SLT and circulated to ELT for a more fit-for-purpose ICT service • The above plan linked to ongoing BCC strategy and continuous improvement (CI) planning. • A service catalogue and proposed service levels • Plain English guide to: How BCC buy ICT services • Plain English guide to: How ICT deliver those services • ICT governance, processes and tools in place for successful delivery • Clear and simple budgetary governance and reporting Ongoing liaison with PMO to ensure ICT work packages meet BCC Governance standards.	Nov 16 with incremental service improvement en route. During ICT Management meeting of 01/09		

| **5.** | | | | | | | | | |
| **Risk description:**
The integration of new technology into business operations, training and empowering users.

Cause:
- The workforce does not understand use or benefits

- Introduction of new technology not signposted to potential users.

- 'Technophobic' culture amongst a significant proportion of staff | Richard Billingham

Lucy Murray Brown | Delivery through the technology workstream of the Bristol Workplace programme.

Monitored through the BWP Steering group

Mitigations:
-Tech deployment training which 'brings technology opportunities to life'.

-BWP discovery process now includes additional support on use of technology

-Paperless environment | ↓

Resources have now been dedicated to business transition of new technology, ensuring clear support and guidance is in place.

Formal transition | **Significant/ probable (12)** | **Critical / unlikely (6)** | • Develop and implement process for integrating technology into user communities for all new technologies planned for implementation

• Integrated into council training & development and induction arrangements for new staff

• Implement data dashboard to measure impact of BWP interventions, including use of technology and spaces associated with new ways of working

, | D Moving to new operational model for workplace support, open access core office hubs (Temple and City Hall by late 2016) and the closure of the final 6 amber rated surplus | Steve Palmer (BWP tech)

Robin Burton (BWP engagement)

Ian Gale, Annabel Parfitt

Service Director and Manager lead TBC | Quarterly |

Risk Description, Causes, Consequences and Horizon	Risk Owner	Current Risk Management Arrangements (Current Mitigation) Responsible officer (RO):	Status of Current Mitigation	Current Risk Like/Imp	Target Risk Like/Imp	Further Actions Required	Timeframe for Action	Responsible Officer for Action	Risk Review Period
- difficulties embedding new technology within user communities and empowering users to exploit these tools

Consequence:

Below optimal take up and exploitation of technology.

Inability to realise the direct and indirect financial benefits, as set out in the BWP business case, as a result of new ways of working supported by new technology. | | more robustly encouraged through discovery

-Reduced storage New behaviour challenge and communications approach being tested at core office accommodation and some 'swing space' sites such as St Annes, Parkview, B Bond etc. | documentation and processes have been established. | | | | office sites that BWP will come out of by March 2017. | | |
| **6.** | | | | | | | | | |
| **Risk description:**

Workforce planning including recruitment and retention and talent management

Cause:
- Failure to recruit to critical posts within service structures owing to uncompetitive pay lines and employment proposition
- Lack of a clear employee value proposition and brand
- Badly designed and | Richard Billingham | • Review of pay structure for senior and specialist roles that draws on national and local labour market pay data
• Development of a clear Employee Value Proposition that articulates the value of employment for internal employees and external applicants
• Review of recruitment and resourcing | ⬇ | **Critical / possible (9)** | **Critical / unlikely (6)** | • Review of pay structure to be incorporated in the Pay Policy for 2016/17
• Implementation of workforce planning that enables services to design for future need and establish effective supply of suitably qualified personnel.
- Development of talent management approaches that provide clear routes to progression through professions and the wider organisation.
- Provision of prototype mechanisms to develop employees from under-represented groups and achieve a workforce profile that is representative of the communities | By March 2017 | Mark Williams

Richard Billingham | |

Risk Description, Causes, Consequences and Horizon	Risk Owner	Current Risk Management Arrangements (Current Mitigation) Responsible officer (RO):	Status of Current Mitigation	Current Risk Like/Imp	Target Risk Like/Imp	Further Actions Required	Timeframe for Action	Responsible Officer for Action	Risk Review Period
defined roles that hinder effective applications - Lack of effective workforce planning to develop a clear understanding of workforce demand and supply issues - Consequent lack of talent development approaches		processes (Cohort 4) to ensure that applications can be made easily and the process is in the hands of recruiting managers.				BCC serves - Linking up of pay, reward and benefits with a clear employee value proposition and efficient recruitment and induction processes		Alex Holly	
7.									
Bristol Workplace Programme governance and control mechanisms *If programme delivery governance, decision making and control mechanisms are not maintained it will be difficult to monitor and control progress and accurately forecast budgets and benefit realisation.* **Consequences:** Issues arise during delivery of change, potentially adversely impacting the delivery of services and the programme has significant problems in delivering the expected benefits	Lucy Murray-Brown	BWP programme is now status GREEN. a. Improved programme governance, financial and benefits forecasting, decision making and visibility of key programme artefacts; monitor through robust programme processes b. Operating with an agile need-based resourcing model moving forward integrated programme plan in place c. integrated programme plan in place d. Gateway Review completed and recommendations approved e. ADAPT partnership products recast	Significant progress has been made and continues to be made in implementing and monitoring the agreed mitigations	**Critical/ Possible (9)**	**Significant / unlikely (4)**	Continue to review progress and make continuous improvements to programme delivery to ensure risks are minimised. Current priorities: City Hall re-occupation is being delivered to plan Brunel decommissioning on schedule Next 6 building disposals have been brought forward and are on track for delivery by end of March 2017. ADAPT monitoring strengthened and partnership output dramatically reduces from January 2016 New, appropriate, programme artefacts in place – monitor effectiveness.		Lucy Murray-Brown	Monthly
Risk Description, Causes, Consequences and Horizon	**Risk Owner**	**Current Risk Management Arrangements (Current Mitigation)** **Responsible officer (RO):**	**Status of Current Mitigation**	**Current Risk Like/Imp**	**Target Risk Like/Imp**	**Further Actions Required**	**Timeframe for Action**	**Responsible Officer for Action**	**Risk Review Period**

8.

Risk Description, Causes, Consequences and Horizon	Risk Owner	Current Risk Management Arrangements (Current Mitigation) Responsible officer (RO):	Status of Current Mitigation	Current Risk Like/Imp	Target Risk Like/Imp	Further Actions Required	Timeframe for Action	Responsible Officer for Action	Risk Review Period
Service Transition –the activity designed through BWP is not effectively transitioned to the business to manage. High risk areas being the operational blueprint for City Hall and new technology products and processes. **Consequences:** The expected direct and indirect benefits are not extracted. New ways of working are not embedded New technology is not exploited Operational support function unable to support the business in an appropriate way.	Lucy Murray Brown Richard Billingham	Mitigation: - FM services directly related to core office hubs are aligned with the BWP programme structure - Phase 1 operational blueprint for City Hall has been successfully implemented, roadmap for final model developed. - BWP providing temporary service transition support to ICT operations - New technology training being provided via BWP (through engagement work) as new products are installed and teams are moved around the estate	Technology transition resources in place, operational blueprint for city hall being supported by ADAPT, some FM staff wokring in BWP to enable skills transfer	**Significant / probable (8)**	**Significant/ possible (6)**	Transition resource needs to be protected ADAPT doing Quality Assurance on City Hall operational blueprint Capitalise and look for opportunities to transfer skills from BWP to BAU through continued handing over of BWP products to the business		Steve Palmer (BWP ICT) Ellen Hitchins (Workplace Support)	Quarterly

9.

Risk Description, Causes, Consequences and Horizon	Risk Owner	Current Risk Management Arrangements (Current Mitigation) Responsible officer (RO):	Status of Current Mitigation	Current Risk Like/Imp	Target Risk Like/Imp	Further Actions Required	Timeframe for Action	Responsible Officer for Action	Risk Review Period
Risk description: Performance Management Framework and System not being effectively embedded into BAU Business Change activities **Cause:** Difficulty ensuring the new system is utilised	Richard Billingham	'My Performance' system implemented in August and available to 4600 employees. Work currently underway to improve the use and uptake of the new system to ensure	⬇	**Probable / Significant (8)**	**Unlikely / marginal (2)**	• Introduce peer challenge and focus on meeting specific targets – managers chunking their targets up for individuals • Ensure the business process is widely used and that all employees have recorded performance objectives. • Need to clearly set expectations around end of			

to its full effect, fully embedded in the organisation and aids proper accountability -Difficulty linking individual performance with organisational and team objectives Lack of a mature approach to performance management across service management levels		that all employees have performance objectives. Integration with Business World scheduled for post HRIS go live (Q2 2016)				year performance reviews and the links to a talent grid. •		

Appendix 2

Risk Matrix

Likelihood	6	Almost Certain	6	12	18	24
	5	Likely	5	10	15	20
	4	Probable	4	8	12	16
	3	Possible	3	6	9	12
	2	Unlikely	2	4	6	8
	1	Almost Impossible	1	2	3	4

	Marginal 1	Significant 2	Critical 3	Catastrophic 4
		Impact		

Appendix 3

Severity of Impact Guidance

		Effect on service provision	Potential Financial loss/gain	Potential Fraud & Corruption loss	Reputation	Legal	Environmental	Communities	Personal safety
1	Marginal	Very limited effect (positive or negative) on service provision. Impact can be managed within normal working arrangements	Under £0.5m	Under £50k	Minimal and transient loss of public trust. Contained within the individual service	No significant legal implications or action is anticipated	No effect (positive/negative) on the environment/community	Minimal effect on community	Minor injury to citizens or staff may result or can be prevented.
2	Significant	Noticeable and significant effect (positive or negative) on service provision. Effect may require some additional resource, but manageable in a reasonable time frame.	Between £0.5m - £5m	Between £50k - £100k	Significant public 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.	Tribunal/ BCC legal team involvement required (potential for claim)	Short term effect (positive or negative) on the natural and or built environment.	Short term effect (positive or negative) on a small number of vulnerable groups/individuals	Significant injury or ill health of citizens or staff may result or be prevented.
3	Critical	Severe effect on service provision or a corporate Plan priority area. Effect may require considerable additional resource but will not require a major strategy change.	Between £5m - £10m	Between £100k - £1m	Serious potential for enhancement of or damage to reputation. Dissatisfaction regularly reported through Council Complaints procedure . Higher levels of local or national interest. Higher levels of local media/social media interest.	Criminal prosecution anticipated and or civil litigation.	Serious local discharge of pollutant or source of community annoyance that requires remedial action.	Medium term effect (positive or negative) on a significant number of vulnerable groups/individuals.	Major injury or ill health of citizens or staff may result or be prevented. Long term disability/absence from work.
4	Catastrophic	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.	More than £10m	More than £1m	Highly significant potential for enhancement of or damage to reputation Intense local, national and potentially international media attention. 'Viral' on line social media Public enquiry or poor external assessor report.	Criminal prosecution anticipated and or civil litigation (> 1 person)	Lasting effect on the natural and or built environment.	Lasting effect positive or negative) on a significant number of vulnerable groups/individuals.	(Avoidable) Death of citizens or staff may result or be prevented. Long term disability/absence from work.

Appendix 4

Assessment of the likelihood guidance

	Likelihood	Likelihood Descriptors	Numerical likelihood
1	Almost impossible	This will probably never happen	Less than 1%
2	Unlikely	Do not expect it to happen, but it is possible it may do so	Less than 25%
3	Possible	Might happen on rare occasions	Less than 50%
4	Probable	Probably will happen on rare occasions	50% or more
5	Likely	Probably will happen at regular intervals	75% or more
6	Almost certain	Surely will happen and possibly frequently	99% or more