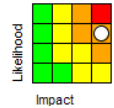
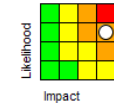

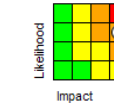

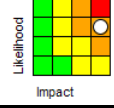
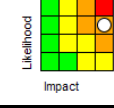
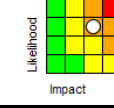
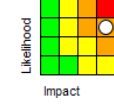
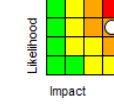
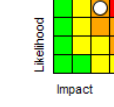
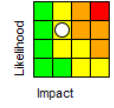
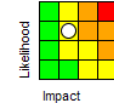
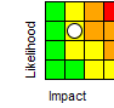

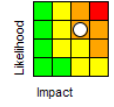
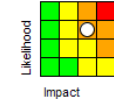
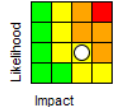
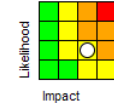
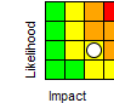


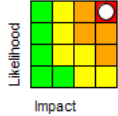
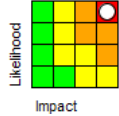
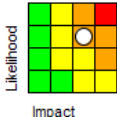
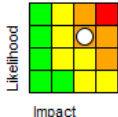
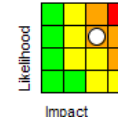
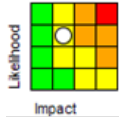
Appendix A – Corporate Risk Register as at September 2022 – People Risks

Threat Risk Performance Summary




| Risk | Q3 Rating | Q3 Matrix | Q4 Rating | Q4 Matrix | Q1 Rating | Q1 Matrix | Q2 Rating | Q2 Matrix |
|--|---------------|--|-----------|--|-----------|--|----------------|--|
| CRR9 - Safeguarding Vulnerable Children | 21 ↑ |  | 21 ▬ |  | 21 ▬ |  | 21 ▬ |  |
| CRR50 - Impact of Adult Care Charging Reforms Legislation | | | | | | | 21 NEW RISK |  |
| CRR10 - Safeguarding Adults at Risk with Care and support needs | 21 ▬ |  | 21 ▬ |  | 15 ↑ |  | 15 ▬ |  |
| CRR39 - Adult and Social Care major provider/supplier failure | 21 ▬ |  | 21 ▬ |  | 21 ▬ |  | 20 ↑ |  |
| CRR45 - Failure to deliver statutory duty in respect of Children | 9 NEW RISK |  | 9 ▬ |  | 9 ▬ |  | 15 ↓ |  |
| CRR23 - Adult and Social Care (ASC) Transformation Programme 2020/21-2021/22 | 15 ▬ |  | 15 ▬ |  | 15 ▬ |  | 15 ▬ |  |
| CRR36 - Risk to delivering required improvements from Ofsted/CQC SEND Inspection | 10 ▬ |  | 10 ▬ |  | 10 ▬ |  | 10 ▬ |  |

Appendix A – Corporate Risk Register as at September 2022 – People Risks

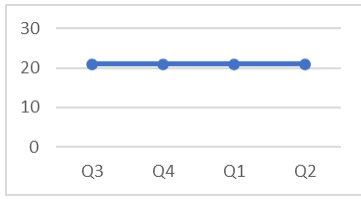

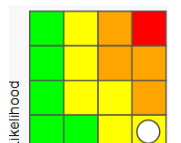
External and Civil Contingency Risk Summary

| Risk | Q3 Rating | Q3 Matrix | Q4 Rating | Q4 Matrix | Q1 Rating | Q1 Matrix | Q2 Rating | Q2 Matrix |
|--|----------------|---|-----------|---|----------------|---|-----------|---|
| BCCC5 - Cost of Living Crisis impact on Citizens and Communities | | | | | 28 NEW RISK |  | 28 |  |
| BCCC4 - COVID-19 – Population Health | 15 NEW RISK |  | 15 |  | 15 |  | 9 |  |

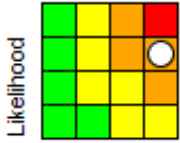
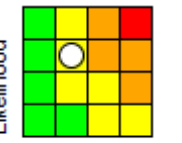
Risk Trend Key

| Arrow | Description |
|---|---|
|  | The risk rating has improved from the previous quarter, having reduced in its severity. |
|  | The risk rating has deteriorated from the previous quarter, having increased in its severity. |
|  | The risk rating has not changed from the previous quarter. |

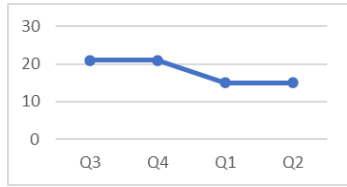
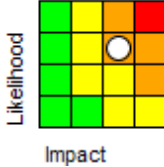
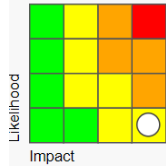
Appendix A – Corporate Risk Register as at September 2022 – People Risks

| Threat Risk | Trend | Current Risk Assessment | | Risk Tolerance Level | |
|--|---|--|---|---|---|
| <p>Risk Title: CRR9 - Safeguarding Vulnerable Children</p> <p>Description: The council fails to prevent increased risk of harm to children, resulting in harm or death to a vulnerable child.</p> | <p>Constant</p>  | <p>21 Likelihood = 3 Impact = 7</p> |  | <p>7 Likelihood = 1 Impact = 7</p> |  |
| <p>Risk Causes:</p> <ul style="list-style-type: none"> -Demand for services exceeds service capacity and capability. -Inadequate controls result in harm. -Increase in child protection, complex safeguarding risks, criminal exploitation, serious youth violence and gang affiliation. -Hidden harm resulting from periods of lockdown, increased stress in families and service disruption during COVID -Placement failure due to COVID infection across children’s home or fostering households. -An increase in demand of 6% evident across care population - specific pressures are clear for teenagers and unaccompanied children requiring our care | <p>Existing Controls</p> | | <p>Mitigating Actions</p> | | |
| | <p>Control</p> | <ul style="list-style-type: none"> • DCS quarterly assurance report to Corporate Leadership Board and action taken to address areas for improvement • Inspections and Peer Reviews • Quality assurance and performance framework in place and reported on at regular intervals through to cabinet members and Scrutiny – which has been strengthened over the past quarter. • The Keeping Bristol Safe Board provides independent scrutiny of children’s safeguarding and safer communities’ arrangements in the city and holds BCC and partner agencies to account. • Strategic Risk assurance | <p style="text-align: center;">Action Title</p> | <p style="text-align: center;">Due Date</p> | <p style="text-align: center;">Progress</p> |
| <p>Risk Consequences:</p> <ul style="list-style-type: none"> -Harm - serious injury or death of a children -Regulatory enforcement action -Litigation -Other unpredicted financial cost to the Local Authority | | | <ul style="list-style-type: none"> Reviewing areas of specific vulnerability and implementing improvements Reviewing national serious case reviews on the back of recent high profile child deaths through multiagency safeguarding arrangements Additional training in relation to professional curiosity New Quality Assurance Processes – including targeted mentoring and training for social workers Mapping Gaps on service provision – working with Police to address capacity issues identified in targeted services | <p>December 2022</p> <p>December 2022</p> <p>September 2022</p> <p>September 2022</p> <p>September 2022</p> | <p>60%</p> <p>30%</p> <p>10%</p> <p>50%</p> <p>50%</p> |
| <p>Risk Owner(s): Executive Director People, Director Children’s and Families Services.</p> | | | | | |
| <p>Portfolio Flag: Children’s Services, Education & Equalities</p> | <p>Summary of Progress: Recruitment and Retention of social workers is of concern currently. There has been a rise in vacancies and turnover and we are not successfully recruiting to the posts.</p> | | | | |
| <p>Strategic Theme: Our Organisation, Empowering and Caring, Wellbeing.</p> | <p>Alongside this we have rising children in care population due to increase in children seeking asylum and adolescents with complex mental health needs.</p> <p>Placement sufficiency is a nationwide issue.</p> | | | | |

Appendix A – Corporate Risk Register as at September 2022 – People Risks

| Threat Risk | Trend | Current Risk Assessment | | Risk Tolerance Level | | | | | | | | | | | | | | | |
|---|--|---|---|--|--|----------|---|---|--|--|------------|--------------|----------|----------|---|---------------|----|--|------------|
| <p>Risk Title: CRR50 - Impact of Adult Care Charging Reforms Legislation</p> <p>Description: Implementation of Adult Social Care Charging Reform pursuant to Health and Care Act 2022 (Part 6 Section 166) and amendments to the Care Act 2014. New legislation will wide scale impact across Adult Care and the council both operationally and financially.</p> | <p>NEW RISK</p> | <p style="text-align: center;">21</p> <p style="text-align: center;">Likelihood = 3 Impact = 7</p> |  <p style="text-align: center;">Likelihood</p> <p style="text-align: center;">Impact</p> | <p style="text-align: center;">9</p> <p style="text-align: center;">Likelihood = 3 Impact = 3</p> |  <p style="text-align: center;">Likelihood</p> <p style="text-align: center;">Impact</p> | | | | | | | | | | | | | | |
| <p>Risk Causes: The legislation places a statutory duty from Oct 23 to maintain Care Accounts to ensure no one will have to pay more than £86,000 for their personal care costs. Also from Oct 23 the threshold above which somebody is not eligible for local authority support will increase from £23,250 to £100,000 hence increasing the number people eligible for financial support. People who fund their own care will also be able to ask their local authority to arrange their care so their benefit from rates Local Authority agreed with providers.</p> | <p style="text-align: center;">Existing Controls</p> <table border="1" style="width: 100%;"> <thead> <tr> <th data-bbox="851 539 1072 563">Control</th> <th data-bbox="1072 539 1377 563"></th> </tr> </thead> <tbody> <tr> <td data-bbox="851 563 1072 1173"> <ul style="list-style-type: none"> Formation of a project team - A Charging Reform Lead / Subject matter expert has been appointed to work with a senior project manager to assess the impact of the legislation and put in place the systems and processes. </td> <td data-bbox="1072 539 1377 1173"> <table border="1" style="width: 100%;"> <thead> <tr> <th colspan="2" data-bbox="1377 539 2190 563">Mitigating Actions</th> </tr> <tr> <th data-bbox="1377 563 1825 587">Action Title</th> <th data-bbox="1825 563 2190 587">Due Date</th> <th data-bbox="2190 563 2190 587">Progress</th> </tr> </thead> <tbody> <tr> <td data-bbox="1377 587 1825 671"> Assess financial impact of the legislation - Use and test data on self-funders to understand how many more people will approach LA for funding. </td> <td data-bbox="1825 587 2190 671"> December 2022 </td> <td data-bbox="2190 587 2190 671"> 0% </td> </tr> <tr> <td data-bbox="1377 671 1825 804"> Commissioning of appropriate IT systems - The govt has specified the need for LAs to have suitable IT systems to manage the Care Accounts and other aspects of the charging reform legislation </td> <td data-bbox="1825 671 2190 804"> April 2023 </td> <td data-bbox="2190 671 2190 804"> 5% </td> </tr> </tbody> </table> </td> </tr> </tbody> </table> | | | | | Control | | <ul style="list-style-type: none"> Formation of a project team - A Charging Reform Lead / Subject matter expert has been appointed to work with a senior project manager to assess the impact of the legislation and put in place the systems and processes. | <table border="1" style="width: 100%;"> <thead> <tr> <th colspan="2" data-bbox="1377 539 2190 563">Mitigating Actions</th> </tr> <tr> <th data-bbox="1377 563 1825 587">Action Title</th> <th data-bbox="1825 563 2190 587">Due Date</th> <th data-bbox="2190 563 2190 587">Progress</th> </tr> </thead> <tbody> <tr> <td data-bbox="1377 587 1825 671"> Assess financial impact of the legislation - Use and test data on self-funders to understand how many more people will approach LA for funding. </td> <td data-bbox="1825 587 2190 671"> December 2022 </td> <td data-bbox="2190 587 2190 671"> 0% </td> </tr> <tr> <td data-bbox="1377 671 1825 804"> Commissioning of appropriate IT systems - The govt has specified the need for LAs to have suitable IT systems to manage the Care Accounts and other aspects of the charging reform legislation </td> <td data-bbox="1825 671 2190 804"> April 2023 </td> <td data-bbox="2190 671 2190 804"> 5% </td> </tr> </tbody> </table> | Mitigating Actions | | Action Title | Due Date | Progress | Assess financial impact of the legislation - Use and test data on self-funders to understand how many more people will approach LA for funding. | December 2022 | 0% | Commissioning of appropriate IT systems - The govt has specified the need for LAs to have suitable IT systems to manage the Care Accounts and other aspects of the charging reform legislation | April 2023 |
| Control | | | | | | | | | | | | | | | | | | | |
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| Mitigating Actions | | | | | | | | | | | | | | | | | | | |
| Action Title | Due Date | Progress | | | | | | | | | | | | | | | | | |
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| Commissioning of appropriate IT systems - The govt has specified the need for LAs to have suitable IT systems to manage the Care Accounts and other aspects of the charging reform legislation | April 2023 | 5% | | | | | | | | | | | | | | | | | |
| <p>Risk Consequences: Significant new financial burden on the LA estimate of £7.4m in 23/24 Need to put in place significant digital solutions to cope with new processes and demands Need for additional staffing both in Care Management / Social Work and financial assessment and administration – estimate of 26 social workers and 3 finance officers Significant engagement with stakeholders (citizens, internal staff, care providers etc) to ensure advice, guidance processes are accessible and workable.</p> | | | | | | | | | | | | | | | | | | | |
| <p>Risk Owner(s): Executive Director People, Director Adult Social Care.</p> | | | | | | | | | | | | | | | | | | | |
| <p>Portfolio Flag: Adult Social Care & Integrated Care System</p> | | | | | | | | | | | | | | | | | | | |
| <p>Strategic Theme: Our Organisation, Empowering others and Caring, Fair and Inclusive, Well connected, Wellbeing.</p> | | | | | <p>Summary of Progress: As statutory duty, legal/reputational risk on not implementing legislation in the time scale. No clear government funding in place to meet the significant new financial burden. Digital solutions not in place and many only in development stage. Resources required to implement, administer and maintain systems / training staff. There is no clear funding to resource the additional staff and there already is a shortage of social workers in Bristol. The implementation time is short so it may be difficult to fully engage and co-produce some of the solutions to the implementation of this before Oct 23.</p> | | | | | | | | | | | | | | |

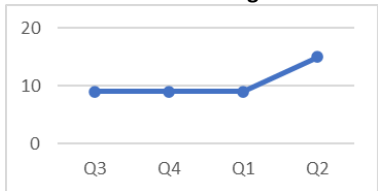
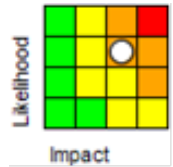
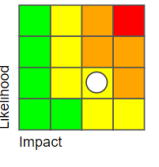
Appendix A – Corporate Risk Register as at September 2022 – People Risks

| Threat Risk | Trend | Current Risk Assessment | | Risk Tolerance Level | |
|--|---|--|---|---|---|
| <p>Risk Title: CRR10 - Safeguarding Adults at Risk with Care and Support Needs</p> <p>Description: The council fails to ensure adequate safeguarding measures are in place for adults at risk.</p> | <p>Constant</p>  | <p>15</p> <p>Likelihood = 3 Impact = 5</p> |  | <p>7</p> <p>Likelihood = 1 Impact = 7</p> |  |
| <p>Risk Causes:</p> <p>Adequacy of controls. Management and operational practices. Demand for services exceeds capacity and capability. Poor information sharing. Lack of capacity or resources to deliver safe practice. Reduction in or lack of supply of commissioned care. Failure to commission safe care for adults at risk. Failure to meet the requirements of the 'Prevent Duty' placed on Local Authorities. Increased destitution in families, impacting on mental ill health, managing increased infection within the population. (COVID19) Increased isolation. (COVID19) Increase identification of self-neglect and complexity. Carer strain / resilience. (COVID19)</p> | <p>Existing Controls</p> | | | | |
| <p>Risk Consequences:</p> <p>Financial damage Legal liability Death/Injury Reputational damage</p> | <p>Control</p> <ul style="list-style-type: none"> Annual report shared with Elected Members to allow for scrutiny of progress of the Keep Bristol Safe Partnership (KBSP). Training for all key staff in the essentials of safeguarding. Twice weekly business continuity meeting around supply of commissioned care and active management of waiting list. Improved Data through PowerBI – capturing safeguarding concerns feeding into monthly management operational meetings Safeguarding Discussion Forum – multi-agency held monthly – sharing information on high risk/complex cases | <p>Action Title</p> | <p>Due Date</p> | <p>Progress</p> | |
| <p>Risk Owner(s): Executive Director People, Director Adult Social Care.</p> | | <p>Development and delivery of Safeguarding Hub as a priority for the partnership.</p> <p>Review of Safeguarding Pathways and creation of Standard Operating Procedures and Performance Clinics.</p> <p>Internal Audit Actions – feeding into existing controls</p> <p>Developing a Risk Enablement Tool</p> <p>Develop Self-neglect pathway – providing training, tools to better escalate cases of neglect</p> | <p>December 2022</p> <p>December 2022</p> <p>March 2023</p> <p>August 2022</p> <p>August 2022</p> | <p>80%</p> <p>100%</p> <p>95%</p> <p>50%</p> <p>60%</p> | |
| <p>Portfolio Flag: Adult Social Care & Integrated Care System</p> | <p>Summary of Progress: Risk rating reduced in quarter 1 however currently we have pressure on our staffing capacity with high vacancy rates which is having an impact on workforce's performance in dealing with complexity and safeguarding.</p> | | | | |
| <p>Strategic Theme: Strategy Theme: Our Organisation, Empowering others and Caring, Fair and Inclusive, Well connected, Wellbeing.</p> | <p>Rolling recruitment in hand, exemption from vacancy freeze, trying to recruit non-qualified staff on a temporary basis to bolster teams in the short term to absorb tasks that qualified staff need not doing, use of agency staff where able.</p> <p>Next phase of development started risk enablement tools, potential MASH pilot, self-neglect pathways commencing or being scoped.</p> | | | | |

Appendix A – Corporate Risk Register as at September 2022 – People Risks

| Threat Risk | Trend | Current Risk Assessment | | Risk Tolerance Level | | | | | | | | | | | | | | | | | | |
|---|--|---|--|---|--|---|--|--|--------------|----------|----------|---|---------------|-----|-------------------------|------------|-----|----------------------------|--------------|-----|---------------------|--------------|
| <p>Risk Title: CR39 – Adult and Social Care major provider/supplier failure</p> <p>Description: Failure or potential degradation of ASC service provision linked to a complex set of internal / external risks causing service interruption or cessation. Failures or closures in the supply chain mean insufficient supply to source adequate appropriate support and meet Care Act needs.</p> | <p>Improving</p> | <p>20</p> <p>Likelihood = 4 Impact = 5</p> | | <p>14</p> <p>Likelihood = 2 Impact = 7</p> | | | | | | | | | | | | | | | | | | |
| <p>Risk Causes:</p> <ul style="list-style-type: none"> -Provider goes into liquidation or ceases operations -Provider unable to meet demand due to recruitment / workforce/ or organisational issues. <p>Risk Consequences:</p> <p>Citizens (many of whom are very vulnerable) may have services ended or reduced without much notice putting them at risk and causing distress</p> <p>Lack of suitable local provision may mean people moving away from community, support networks</p> <p>Lack of alternative provision should mean not meeting statutory duties under Care Act</p> <p>Pressures on ASC workforce (social work, contracts, brokerage commissioning etc) to review and find alternative provision in timely manner</p> <p>Financial pressures as demand may drive prices up</p> <p>Lack of suitable provision resulting people moving to inappropriate more costly provision (e.g. care home instead of home care)</p> <p>Risk Owner(s): Executive Director People, Director Adult Social Care.</p> | <p>Existing Controls</p> <ul style="list-style-type: none"> • Daily review of supply and sustainability issues and x3 week business continuity meetings across operations • Twice weekly Operational Business continuity meetings • Weekly ASC Business continuity meeting – DMT level • Weekly produced Sit Rep with information on Covid Outbreak Management, supply, demand, provider quality • Regular information received from D&B Credit ratings to help assess financial risk • Each major contract (Home Care, Care Homes, Community Support Services, ECH) has a multi-disciplinary Business Relations team which assess risks to those provisions and plan response whether QA or Commissioning • Provider Sustainability Panel is a forum where ASC can assess the financial issues facing individual provider and consider support options • Regular meetings with a) key Strategic Providers in the city b) all provider forums and regular dialogue with Care and Support West Care Association • Daily assessment of supply - via Brokerage team, Business relationship team and Contracts • Strategic Planning and information sharing with CCG, other LAs and other key stakeholders - Great integration across BNSSG and joint problem solving, sharing of information and resources. • Provider Failure/Service Interruption Process | | | | | <p>Mitigating Actions</p> <table border="1"> <thead> <tr> <th>Action Title</th> <th>Due Date</th> <th>Progress</th> </tr> </thead> <tbody> <tr> <td>Review of Provider Financial Sustainability process</td> <td>December 2022</td> <td>25%</td> </tr> <tr> <td>Proud to Care Programme</td> <td>March 2023</td> <td>50%</td> </tr> <tr> <td>Fair Cost of Care exercise</td> <td>October 2022</td> <td>50%</td> </tr> <tr> <td>Cost of Living Work</td> <td>October 2022</td> <td>0%</td> </tr> <tr> <td>Update of Provider Failure Procedure</td> <td>December 2022</td> <td>25%</td> </tr> </tbody> </table> | | | Action Title | Due Date | Progress | Review of Provider Financial Sustainability process | December 2022 | 25% | Proud to Care Programme | March 2023 | 50% | Fair Cost of Care exercise | October 2022 | 50% | Cost of Living Work | October 2022 |
| Action Title | Due Date | Progress | | | | | | | | | | | | | | | | | | | | |
| Review of Provider Financial Sustainability process | December 2022 | 25% | | | | | | | | | | | | | | | | | | | | |
| Proud to Care Programme | March 2023 | 50% | | | | | | | | | | | | | | | | | | | | |
| Fair Cost of Care exercise | October 2022 | 50% | | | | | | | | | | | | | | | | | | | | |
| Cost of Living Work | October 2022 | 0% | | | | | | | | | | | | | | | | | | | | |
| Update of Provider Failure Procedure | December 2022 | 25% | | | | | | | | | | | | | | | | | | | | |
| <p>Portfolio Flag: Adult Social Care & Integrated Care System</p> <p>Strategic Theme: Our Organisation, Empowering others and Caring, Fair and Inclusive, Well connected, Wellbeing.</p> | <p>Summary of Progress: Providers have approached the council highlighting the significant increases due to cost of living. The energy costs will particularly impact 'building based' services such as care homes and it is clear that will be organisations reducing or closing services in the coming months and some have already indicated their intention to do this. As a result, the likelihood of the risk has been increased from a 3 'Likely' to 4 'Almost Certain'. The risk to the health and wellbeing of service users is mitigated by having well established procedures to manage care home / service closures and commissioning options to secure capacity. As such, the impact of the risk has been reduced from a 7 'Critical' to a 5 'Major', meaning the overall risk rating has changed from a 3*7 = 21 to 4*5 = 20 for Q2.</p> | | | | | | | | | | | | | | | | | | | | | |



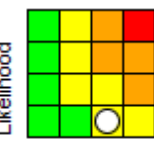
Appendix A – Corporate Risk Register as at September 2022 – People Risks

| Threat Risk | Trend | Current Risk Assessment | | Risk Tolerance Level | | |
|---|--|---|---|---|---|------------------------|
| <p>Risk Title: CRR45 - Failure to deliver statutory duty in respect of children</p> <p>Description: Failure to deliver statutory duty in respect of the Children Act resulting in harm or death to a child or other unmitigated risk to the local authority</p> | <p>Deteriorating</p>  | <p>15 Likelihood = 3 Impact = 5</p> |  | <p>6 Likelihood = 2 Impact = 3</p> |  | |
| <p>Risk Causes: Staffing failure: recruitment and retention COVID failure: business continuity plans fail due to higher infection/isolation Management failure: failure to oversee and respond in a timely way to child protection concerns, leaving children at risk</p> <p>Risk Consequences: Harm or death of a child Inspection failure and regulatory action Litigation and reputational damage Other unpredicted costs to the LA</p> <p>Risk Owner(s): Executive Director People, Director Children's and Families Services.</p> | <p>Existing Controls</p> | | <p>Mitigating Actions</p> | | | |
| | <p>Control</p> | | <p>Action Title</p> | | <p>Due Date</p> | <p>Progress</p> |
| | <p>1. Benchmarking salaries with regional levels</p> | | <p>Revising recruitment and retention strategy</p> | | <p>May 2022</p> | <p>100%</p> |
| | <p>2. Investing in training and development</p> | | <p>Commissioned independent peer review of the statutory safeguarding arrangements to ensure that the council's statutory officers are executing their responsibilities and undertaking due diligence in a legal and appropriate way.</p> | | <p>May 2022</p> | <p>100%</p> |
| | <p>3. Over-recruiting where required</p> | | | | | |
| | <p>4. Reviewing system pressures and taking action on a weekly basis</p> | | | | | |
| | <p>5. Systemic unit model and integrated locality arrangements</p> | | | | | |
| | <p>6. Skilled and stable workforce with low use of agency workers - Continued low use of agency workers but turnover and vacancies have risen.</p> | | | | | |
| | <p>7. Strong multiagency children's safeguarding partnership under Keeping Bristol Safe arrangements</p> | | | | | |
| <p>8. Scrutiny of statutory safeguarding partners</p> | | | | | | |
| <p>Portfolio Flag: Children's Services, Education & Equalities</p> | | <p>Summary of Progress: The recruitment and retention activities planned and referenced in June 2022 have not been able to be progressed. There is a national shortage of social workers and Bristol is struggling to compete with neighbouring LAs to recruit social workers.</p> | | | | |
| <p>Strategic Theme: Our Organisation, Empowering and Caring, Wellbeing.</p> | | <p>This is combined with the cost-of-living crisis and more families requesting support and an increase in our children in care population particularly adolescents with complex mental health needs and children seeking asylum. There is a nationwide lack of placements for children and a number of children (up to 6 at any one time) are placed in unregistered placements which are not legal.</p> | | | | |

Appendix A – Corporate Risk Register as at September 2022 – People Risks


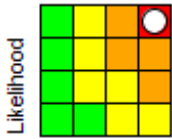

| Threat Risk | Trend | Current Risk Assessment | | Risk Tolerance Level | | | | | | | | | | | | | | | | | | |
|--|---|---|----------|--|--|---------|--------------------|----------|----------|---|---|--------------|------|--|-------------------------------------|-----------|-----|--|---------------------------------------|---------------|------|--|
| <p>Risk Title: CRR23 - Adult and Social Care (ASC) Transformation Programme 2020/21-2021/22</p> <p>Description: Failure to deliver the required outcomes and savings from the new 2020/21 ASC Transformation Programme</p> | <p>Constant</p> | <p>15</p> <p>Likelihood = 3 Impact = 5</p> | | <p>5</p> <p>Likelihood = 1 Impact = 5</p> | | | | | | | | | | | | | | | | | | |
| <p>Risk Causes:</p> <p>Wider factors impacting on demand: Rapid increased demand and complexity due to COVID-19. Increase of needs due to more health services being delivered in the community without appropriate funding following the patient. Increased complex needs across our demographics that must be met under the Care Act</p> <p>Wider factors impacting on supply: Financial pressures on an already vulnerable provider market during sustained changes forced on provider during COVID-19. 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 Time to commission and develop genuine step up/ step down alternatives to Tier 3 long term care (Home first, VCSE, reablement for all). Ability to joint fund this supply using the BCF with NHS (National Health Service) partners working in an Integrated Care System model. 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</p> | <p>Existing Controls</p> <table border="1"> <thead> <tr> <th>Control</th> <th>Mitigating Actions</th> <th>Due Date</th> <th>Progress</th> </tr> </thead> <tbody> <tr> <td>Change Agent roles created to champion change</td> <td>Additional priorities workstreams for revised programme</td> <td>January 2023</td> <td>100%</td> </tr> <tr> <td>Improving Business Intelligence - ASC PowerBI accelerators developed</td> <td>Future Service Priorities Developed</td> <td>July 2023</td> <td>75%</td> </tr> <tr> <td>Inhouse services reviewed by Mutual Ventures</td> <td>Key Workstreams for Revised Programme</td> <td>December 2022</td> <td>100%</td> </tr> <tr> <td>Transformation Programme Board established - New transformation programme board to be chaired by Executive Director of People. Each workstream will have a Senior Responsible Officer (SRO) to ensure ownership of progress. This will be at Deputy Director (DD) and Head of Service (HoS) level.</td> <td>Various actions taken to address budget pressures</td> <td>December 2022</td> <td>50%</td> </tr> </tbody> </table> | | | | | Control | Mitigating Actions | Due Date | Progress | Change Agent roles created to champion change | Additional priorities workstreams for revised programme | January 2023 | 100% | Improving Business Intelligence - ASC PowerBI accelerators developed | Future Service Priorities Developed | July 2023 | 75% | Inhouse services reviewed by Mutual Ventures | Key Workstreams for Revised Programme | December 2022 | 100% | Transformation Programme Board established - New transformation programme board to be chaired by Executive Director of People. Each workstream will have a Senior Responsible Officer (SRO) to ensure ownership of progress. This will be at Deputy Director (DD) and Head of Service (HoS) level. |
| Control | Mitigating Actions | Due Date | Progress | | | | | | | | | | | | | | | | | | | |
| Change Agent roles created to champion change | Additional priorities workstreams for revised programme | January 2023 | 100% | | | | | | | | | | | | | | | | | | | |
| Improving Business Intelligence - ASC PowerBI accelerators developed | Future Service Priorities Developed | July 2023 | 75% | | | | | | | | | | | | | | | | | | | |
| Inhouse services reviewed by Mutual Ventures | Key Workstreams for Revised Programme | December 2022 | 100% | | | | | | | | | | | | | | | | | | | |
| Transformation Programme Board established - New transformation programme board to be chaired by Executive Director of People. Each workstream will have a Senior Responsible Officer (SRO) to ensure ownership of progress. This will be at Deputy Director (DD) and Head of Service (HoS) level. | Various actions taken to address budget pressures | December 2022 | 50% | | | | | | | | | | | | | | | | | | | |
| <p>Risk Owner(s): Director Adult Social Care</p> | <p>Procure Care Cubed to improve pricing control of providers</p> <p>Realignment of operations</p> <p>Interim Actions to Address Budget Pressures</p> | | | | | | | | | | | | | | | | | | | | | |
| <p>Portfolio Flag: Adult Social Care & Integrated Care System</p> <p>Strategic Theme: Our Organisation, Empowering others and Caring, Fair and Inclusive, Well connected, Wellbeing.</p> | <p>Summary of Progress: The Transformation programme has continued with delivery of in-house service redesign, strength-based practice, developing a knowledge function, and also market testing to secure a Learning Disability and Autism strategic partner. This is alongside a number of service-led transformation projects. In recognition of the scale of the financial challenges facing the service, the need to develop a more preventative and personalised model of care, and the scale of change within the Social Care White Papers, the transformation programme is being re-set for 2022/23 onwards. This is alongside the continued delivery of the existing programme, as well as additional savings-focused projects. The Transformation programme is managed by a monthly Board meeting chaired by the Portfolio Holder for Adult Social Care. The Transformation team has a dedicated interim Director and Programme Manager who have appointed two new project managers to provide dedicated capacity on housing and in-house services. An existing project manager is supporting the project to increase Technology Enabled Care.</p> | | | | | | | | | | | | | | | | | | | | | |

Appendix A – Corporate Risk Register as at September 2022 – People Risks

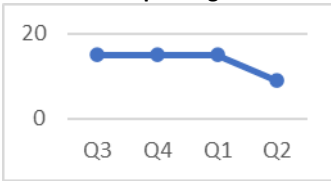
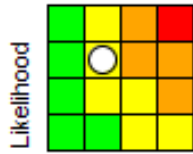
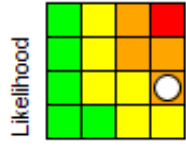
| Threat Risk | Trend | Current Risk Assessment | | Risk Tolerance Level | | | | | | | | | | | | | | | | | | | | | | | | | |
|--|--|---|--|--|---|---------|--|--|------|--|-------------|--|--|------------------------------------|--|--|--------------|----------|----------|--|---------------|-----|--|------------|------|--|-----------|-----|--------------------------|
| <p>Risk Title: CRR36 - Risk to delivering required improvements from Ofsted/CQC SEND Inspection</p> <p>Description: 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>Constant</p>  | <p>10</p> <p>Likelihood = 2 Impact = 5</p> |  | <p>5</p> <p>Likelihood = 1 Impact = 5</p> |  | | | | | | | | | | | | | | | | | | | | | | | | |
| <p>Risk Causes:</p> <p>Covid-19 delaying ability to complete actions and creating increased pressure across the locality partnership. Increasing demands for services outweighing current capacity to clear the backlog on statutory assessments. Judicial Review or similar legal actions causing attention to be diverted from BAU. Unprecedented national and local demand for Statutory assessment. Recruitment and retention including national shortage of Educational Psychologists.</p> | <p>Existing Controls</p> <table border="1"> <thead> <tr> <th data-bbox="651 544 1055 587">Control</th> <th data-bbox="1055 544 1361 587"></th> </tr> </thead> <tbody> <tr> <td data-bbox="651 587 1055 647">Committed to further follow up monitoring visits, beyond the life of the WSoA, with DfE and NHS advisers</td> <td data-bbox="1055 587 1361 647"></td> </tr> <tr> <td data-bbox="651 647 1055 691">Focus on early identification and intervention</td> <td data-bbox="1055 647 1361 691"></td> </tr> <tr> <td data-bbox="651 691 1055 751">Ongoing governance and monitoring activity including Scrutiny.</td> <td data-bbox="1055 691 1361 751"></td> </tr> <tr> <td data-bbox="651 751 1055 799">SEND Improvement Board Established</td> <td data-bbox="1055 751 1361 799"></td> </tr> </tbody> </table> | | | | | Control | | Committed to further follow up monitoring visits, beyond the life of the WSoA, with DfE and NHS advisers | | Focus on early identification and intervention | | Ongoing governance and monitoring activity including Scrutiny. | | SEND Improvement Board Established | | <p>Mitigating Actions</p> <table border="1"> <thead> <tr> <th data-bbox="1361 544 1809 587">Action Title</th> <th data-bbox="1809 544 2056 587">Due Date</th> <th data-bbox="2056 544 2181 587">Progress</th> </tr> </thead> <tbody> <tr> <td data-bbox="1361 587 1809 647">Develop next iteration of SEND action plan</td> <td data-bbox="1809 587 2056 647">December 2022</td> <td data-bbox="2056 587 2181 647">80%</td> </tr> <tr> <td data-bbox="1361 647 1809 691">Develop separate accelerated action plan</td> <td data-bbox="1809 647 2056 691">April 2022</td> <td data-bbox="2056 647 2181 691">100%</td> </tr> <tr> <td data-bbox="1361 691 1809 751">Developing a service user engagement and co-production framework</td> <td data-bbox="1809 691 2056 751">June 2022</td> <td data-bbox="2056 691 2181 751">50%</td> </tr> <tr> <td data-bbox="1361 751 1809 799">Phase 1 SEND Improvement</td> <td data-bbox="1809 751 2056 799">July 2021</td> <td data-bbox="2056 751 2181 799">100%</td> </tr> </tbody> </table> | Action Title | Due Date | Progress | Develop next iteration of SEND action plan | December 2022 | 80% | Develop separate accelerated action plan | April 2022 | 100% | Developing a service user engagement and co-production framework | June 2022 | 50% | Phase 1 SEND Improvement |
| Control | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Committed to further follow up monitoring visits, beyond the life of the WSoA, with DfE and NHS advisers | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Focus on early identification and intervention | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Ongoing governance and monitoring activity including Scrutiny. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| SEND Improvement Board Established | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Action Title | Due Date | Progress | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Develop next iteration of SEND action plan | December 2022 | 80% | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Develop separate accelerated action plan | April 2022 | 100% | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Developing a service user engagement and co-production framework | June 2022 | 50% | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Phase 1 SEND Improvement | July 2021 | 100% | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <p>Risk Consequences:</p> <p>The OFSTED reinspection resulting in requirement for accelerated improvement plan Worsening of parental confidence in Bristol’s SEND system and associated reputational damage / increased potential litigation / Judicial Reviews</p> | | | <table border="1"> <tbody> <tr> <td data-bbox="1361 799 1809 842">Quality Assurance Activity</td> <td data-bbox="1809 799 2056 842">July 2021</td> <td data-bbox="2056 799 2181 842">100%</td> </tr> <tr> <td data-bbox="1361 842 1809 935">Re-structured and re-focused the work of the statutory SEND team and invested in key areas</td> <td data-bbox="1809 842 2056 935">June 2022</td> <td data-bbox="2056 842 2181 935">100%</td> </tr> <tr> <td data-bbox="1361 935 1809 995">All EHCP systems and processes reviewed and remodelled</td> <td data-bbox="1809 935 2056 995">August 2022</td> <td data-bbox="2056 935 2181 995">100%</td> </tr> </tbody> </table> | Quality Assurance Activity | July 2021 | 100% | Re-structured and re-focused the work of the statutory SEND team and invested in key areas | June 2022 | 100% | All EHCP systems and processes reviewed and remodelled | August 2022 | 100% | | | | | | | | | | | | | | | | | |
| Quality Assurance Activity | July 2021 | 100% | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Re-structured and re-focused the work of the statutory SEND team and invested in key areas | June 2022 | 100% | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| All EHCP systems and processes reviewed and remodelled | August 2022 | 100% | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <p>Risk Owner(s): Director Adult and Social Care, Service Director Education and Skills</p> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <p>Portfolio Flag: Children’s Services, Education & Equalities</p> | <p>Summary of Progress: The SEND Improvement work continues along with continued monitoring visits from the DfE and NHS England. The SEND Partnership Plan, which is being developed through a co-produced model with key stakeholders is almost complete and will guide future development. The window for an Ofsted re-visit has been open since early Spring. However, this has not prevented a continued focus on systemic improvement.</p> | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <p>Strategic Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing</p> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

Appendix A – Corporate Risk Register as at September 2022 – People Risks

External and Civil Contingency Risks

| Threat Risk | Trend | Current Risk Assessment | | Risk Tolerance Level | | |
|--|--|--|---|---|---|----------------------------------|
| <p>Risk Title: BCCCS - Cost of Living Crisis impact on Citizens and Communities</p> <p>Description: Failure of the council and its one-city partners to mitigate against, and provide adequate services to, citizens experiencing increases in living costs including fuel and food leading to increased poverty, inequity and worsening health & wellbeing as a result of the ongoing cost of living crisis.</p> | <p>Constant</p>  | <p>28 Likelihood = 4 Impact = 7</p> |  | <p>9 Likelihood = 3 Impact = 3</p> |  | |
| <p>Risk Causes:</p> <ul style="list-style-type: none"> -Supply chains disruption -Global COVID-19 Pandemic -Brexit -War in Ukraine -Leading to rapid inflation <p>Risk Consequences:</p> <ul style="list-style-type: none"> -Destitution - homelessness -Inability for citizens to pay general services and utilities -Increased debt for citizens and the council -Health and well-being deterioration -Inequity deepening -Increased demand on services across the council leading to failure to meet this demand -Community cohesion deteriorates | <p>Existing Controls</p> | | | | | <p>Mitigating Actions</p> |
| <p>Risk Owner(s): Executive Director People, Director Public Health</p> | <p>Control</p> | <ol style="list-style-type: none"> 1. Baseline / impact assessment to understand potential impact on Bristolians 2. Creation of monitoring framework with 'red flag' indicators 3. Development of civic & community asset map 4. Development of framework for targeted action 6. Established One Council Group to monitor impact and coordinate action (meeting appx every 3 weeks) 7. Established One City Coordination Group 8. Communication plan in place | <p>Action Title</p> | <p>Due Date</p> | <p>Progress</p> | |
| <p>Portfolio Flag: Public Health and Communities</p> | <p>Summary of Progress: Good progress is being made to implement a network of community hubs and welcomes spaces which will have access to support from a range of organisations including advice including energy advice, money management, employment support and health. How this will work in practice will be finalised in September ready for 1st October. There is now a cost-of-living page on the BCC website with a link on the home page. As we head into winter it will focus on where you can get help and what you can do - we need to respond to the crisis but also foster a sense of hope.</p> | | | | | |
| <p>Strategic Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing</p> | | | | | | |
| | <p>Update baseline assessment following gov announcement 26 May 22</p> | | | | | |
| | <p>July 2022</p> | | | | | |
| | <p>100%</p> | | | | | |
| | <p>Work with Quartet to ensure COVID recovery /health inequity funding is directed to response and building community resilience</p> | | | | | |
| | <p>July 2022</p> | | | | | |
| | <p>100%</p> | | | | | |
| | <p>Communication plan</p> | | | | | |
| | <p>July 2022</p> | | | | | |
| | <p>100%</p> | | | | | |
| | <p>Establish network of community hubs and 'city offer' by September</p> | | | | | |
| | <p>September 2022</p> | | | | | |
| | <p>70%</p> | | | | | |
| | <p>Cost of Living – assess impact on business</p> | | | | | |
| | <p>September 2022</p> | | | | | |
| | <p>0%</p> | | | | | |
| | <p>Work with Quartet and other funders to deliver grant funding to implement autumn/winter response as agreed</p> | | | | | |
| | <p>September 2022</p> | | | | | |
| | <p>0%</p> | | | | | |

Appendix A – Corporate Risk Register as at September 2022 – People Risks

| External and Civil Contingency Risk | Trend | Current Risk Assessment | | Risk Tolerance Level | | | | | | | | | |
|--|--|--|---|---|---|---------|---|---|---|--|--|--------------|----------|
| <p>Risk Title: BCCC4 – COVID-19 Population Health</p> <p>Description: Covid 19 poses multiple risks to population health. Directly from infection; indirectly through social and economic impacts; and through pressures on the health and care system. On 21ST Feb 2022 the Gov announced Living with Covid Strategy which includes withdrawal of population testing and contact tracing. Isolation and other compliance is voluntary. New risks are:</p> <ul style="list-style-type: none"> • Reduced ability to see infection • Negative impacts on business continuity and health from high levels of circulating infection • Harms to high-risk individuals and risks within high consequence settings • Emergence of harmful new variant | <p>Improving</p>  | <p style="text-align: center;">9</p> <p>Likelihood = 3 Impact = 3</p> |  | <p style="text-align: center;">14</p> <p>Likelihood = 2 Impact = 7</p> |  | | | | | | | | |
| <p>Risk Causes: Covid 19 poses multiple risks to population health. Directly from infection; indirectly through social and economic impacts; and through pressures on the health and care system. Removal of Covid controls reduces ability to contain infection.</p> | <p style="text-align: center;">Existing Controls</p> <table border="1"> <thead> <tr> <th data-bbox="680 708 1039 740">Control</th> </tr> </thead> <tbody> <tr> <td data-bbox="680 740 1039 783">1. Daily Situation Reports – weekly from April 2022</td> </tr> <tr> <td data-bbox="680 783 1039 826">2. Investment in Infection Prevention and Control -</td> </tr> <tr> <td data-bbox="680 826 1039 869">3. Local Outbreak Management and Response Plan – weekly outbreak management group</td> </tr> <tr> <td data-bbox="680 869 1039 912">4. Ongoing Community Engagement and Mental Health Work</td> </tr> </tbody> </table> | | | | | Control | 1. Daily Situation Reports – weekly from April 2022 | 2. Investment in Infection Prevention and Control - | 3. Local Outbreak Management and Response Plan – weekly outbreak management group | 4. Ongoing Community Engagement and Mental Health Work | <p style="text-align: center;">Mitigating Actions</p> <table border="1"> <thead> <tr> <th data-bbox="1039 708 1778 740">Action Title</th> <th data-bbox="1778 708 2024 740">Due Date</th> <th data-bbox="2024 708 2141 740">Progress</th> </tr> </thead> <tbody> <tr> <td colspan="3" data-bbox="1039 740 2141 1150">There are 11 COVID Population Health Sub risks with multiple mitigating Actions</td> </tr> </tbody> </table> | Action Title | Due Date |
| Control | | | | | | | | | | | | | |
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| There are 11 COVID Population Health Sub risks with multiple mitigating Actions | | | | | | | | | | | | | |
| <p>Risk Consequences: Infection from Covid, proportion of severe illness, long Covid and deaths. Disruption to work, school, university. Emotional and mental health impacts, for all ages including loneliness. Food poverty.</p> | <table border="1"> <tbody> <tr> <td data-bbox="680 954 1039 997">5. Priority Programmes focussed on Mental Health, Well-Being and Food Poverty</td> </tr> <tr> <td data-bbox="680 997 1039 1040">6. Protecting Health Function</td> </tr> <tr> <td data-bbox="680 1040 1039 1091">7. Weekly Death Management and Vaccine Reports</td> </tr> </tbody> </table> | 5. Priority Programmes focussed on Mental Health, Well-Being and Food Poverty | 6. Protecting Health Function | 7. Weekly Death Management and Vaccine Reports | | | | | | | | | |
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| <p>Risk Owner(s): Executive Directors & Director of Public Health</p> | | | | | | | | | | | | | |
| <p>Portfolio Flag: Mayor</p> | <p>Summary of Progress: The likelihood of further Covid waves remains moderate, but due to the current strain and wide population vaccination risks to health are reduced considerably. Widespread infection does impact on business continuity, service provision and present a risk for clinically vulnerable groups. Public Health is focussed on protecting the most vulnerable and advising business and the public how to maintain proportionate safe working environments. The emergence of a new harmful variant and/ or vaccine failure could change the situation very quickly. Combined winter infections, including flu will also raise the risk. Public Health surveillance remains in place to monitor the situation.</p> | | | | | | | | | | | | |
| <p>Strategic Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing</p> | | | | | | | | | | | | | |

Risk Scoring Matrix

| | | Threat Impact (Negative risks) | | | | | Opportunity Impact (Positive Risk) | | | | |
|-------------------|----------------|-----------------------------------|----------------|----------------|------------------|---------------------|---------------------------------------|----------------|-------------|------------------------|--|
| Threat Likelihood | Almost certain | 4 (Low) | 12 (Medium) | 20 (High) | 28 (Critical) | 28 (Significant) | 20 (High) | 12 (Medium) | 4 (Low) | Opportunity Likelihood | |
| | Likely | 3 (Low) | 9 (Medium) | 15 (High) | 21 (High) | 21 (High) | 15 (High) | 9 (Medium) | 3 (Low) | | |
| | Unlikely | 2 (Low) | 6 (Medium) | 10 (Medium) | 14 (High) | 14 (High) | 10 (Medium) | 6 (Medium) | 2 (Low) | | |
| | Rare | 1 (Low) | 3 (Low) | 5 (Medium) | 7 (Medium) | 7 (Medium) | 5 (Medium) | 3 (Low) | 1 (Low) | | |
| | | 1 Minor | 3 Moderate | 5 Major | 7 Critical | 7 Exceptional | 5 Significant | 3 Modest | 1 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 |
| Description | Might happen on rare occasions. | Will possibly happen, possibly on several occasions. | Will probably happen, possibly at regular intervals. | Likely to happen, possibly frequently. |
| Numerical Likelihood | Less than 10% | Less than 50% | 50% or more | 75% or more |

Severity of Impact Guidance (Risk to be assessed against all of the Categories, and the highest score used in the matrix).

| Impact Category | Impact Levels 1 to 7 | | | |
|--|--|--|--|---|
| | 1 | 3 | 5 | 7 |
| Service provision | Very limited effect (positive or negative) on service provision. Impact can be managed within normal working arrangements. | Noticeable and significant effect (positive or negative) on service provision. Effect may require some additional resource, but manageable in a reasonable time frame. | Severe effect on service provision or a Corporate Strategic Plan priority area. Effect may require considerable /additional resource but will not require a major strategy change. | Extremely severe service disruption. Significant customer opposition. Legal action. Effect could not be managed within a reasonable time frame or by a short-term allocation of resources and may require major strategy changes. The Council risks 'special measures'. Officer / Member forced to resign. |
| Communities | Minimal impact on community. | Noticeable (positive or negative) impact on the community or a more manageable impact on a smaller number of vulnerable groups / individuals which is not likely to last more than six months. | A more severe but manageable impact (positive or negative) on a significant number of vulnerable groups / individuals which is not likely to last more than twelve months. | A lasting and noticeable impact on a significant number of vulnerable groups / individuals. |
| Environmental | No effect (positive or negative) on the natural and built environment. | Short term effect (positive or negative) on the natural and or built environment. | Serious local discharge of pollutant or source of community annoyance that requires remedial action. | Lasting effect on the natural and or built environment. |
| Financial Loss / Gain | Under £0.5m | Between £0.5m - £3m | Between £3m - £5m | More than £5m |
| Fraud & Corruption Loss | Under £50k | Between £50k - £100k | Between £100k - £1m | More than £1m |
| Legal | No significant legal implications or action is anticipated. | Tribunal / BCC legal team involvement required (potential for claim). | Criminal prosecution anticipated and / or civil litigation. | Criminal prosecution anticipated and or civil litigation (> 1 person). |
| Personal Safety | Minor injury to citizens or colleagues. | Significant injury or ill health of citizens or colleagues causing short-term disability / absence from work. | Major injury or ill health of citizens or colleagues may result in. long term disability / absence from work. | Death of citizen(s) or colleague(s). Significant long-term disability / absence from work. |
| Programme / Project Management <i>(Including developing commercial enterprises)</i> | Minor delays and/or budget overspend but can be brought back on schedule with this project stage. No threat to delivery of the project on time and to budget and no threat to identified benefits / outcomes. | Slippage causes significant delay to delivery of key project milestones, and/or budget overspends. No threat to overall delivery of the project and the identified benefits / outcomes. | Slippage causes significant delay to delivery of key project milestones; and/or major budget overspends. Major threat to delivery of the project on time and to budget, and achievement of one or more benefits / outcomes. | Significant issues threaten delivery of the entire project. Could lead to project being cancelled or put on hold. |
| Reputation | Minimal and transient loss of public or partner trust. Contained within the individual service. | Significant public or partner interest although limited potential for enhancement of, or damage to, reputation. Dissatisfaction reported through council complaints procedure but contained within the council. Local MP involvement. Some local media/social media interest. | Serious potential for enhancement of, or damage to, reputation and the willingness of other parties to collaborate or do business with the council. Dissatisfaction regularly reported through council complaints procedure. Higher levels of local or national interest. Higher levels of local media / social media interest. | Highly significant potential for enhancement of, or damage to, reputation and the willingness of other parties to collaborate or do business with the council. Intense local, national and potentially international media attention. Viral social media or online pick-up. Public enquiry or poor external assessor report. |