



Threat Risk Performance Summary

Risk	Page Number	Q4 Rating	Q4 Matrix	Q1 Rating	Q1 Matrix	Q2 Rating	Q2 Matrix	Q3 Rating	Q3 Matrix
CRR13 - Financial Framework and Medium-Term Financial Plan (MTFP)	6	21 	 Likelihood Impact	21 	 Likelihood Impact	28 	 Likelihood Impact	28 	 Likelihood Impact
CRR15 - In-Year Financial Deficit	7	15 	 Likelihood Impact	21 	 Likelihood Impact	21 	 Likelihood Impact	21 	 Likelihood Impact
CRR9 - Safeguarding Vulnerable Children	8	21 	 Likelihood Impact	21 	 Likelihood Impact	21 	 Likelihood Impact	21 	 Likelihood Impact
CRR48 - Failure to meet the affordable housing needs of the City by failing to meet the Project 1000 Delivery target (Replaced CRR32)	9			21 NEW RISK	 Likelihood Impact	21 	 Likelihood Impact	21 	 Likelihood Impact
CRR12 - Emergency planning measures and resources overwhelmed by scope and scale of an emergency or incident faced by the council	11	21 	 Likelihood Impact	21 	 Likelihood Impact	21 	 Likelihood Impact	21 	 Likelihood Impact
CRR52 - Fire Safety in High Rise residential buildings	12							21 Escalated from service risk registers	 Likelihood Impact
CRR51 - Risk that ASC financial unsustainability due to national and local pressures leads to a failure to deliver statutory duties and budgetary control	14							21 NEW RISK	 Likelihood Impact
CRR53 - Risk that increased social worker and occupational therapist vacancies and sickness rates will result in vulnerable adults' care being compromised	15							20 NEW RISK	 Likelihood Impact
CRR39 - Adult and Social Care major provider/supplier failure	16	21 	 Likelihood Impact	21 	 Likelihood Impact	20 	 Likelihood Impact	20 	 Likelihood Impact

Appendix A – Corporate Risk Register as at December 2022



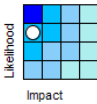
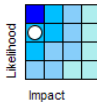
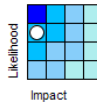
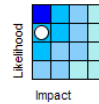
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CRR7 - Cyber Security	17	20		20		20		20	
CRR25 - Suitability of Line of Business (LOB) systems	18	20		20		20		20	
CRR40 - Unplanned Investment in Subsidiary Companies	19	15		20 ↓		20		20	
CRR49 – Workforce Resilience	20			21 NEW RISK		20 ↑		20	
CRR41 – Capital Portfolio Delivery	22	20		20		20		20	
CRR37 - Homelessness	24	20		20		20		20	
CRR43 - Lack of progress for Mass Transit Impact on city	26	20		20		20		20	
CRR45 - Failure to deliver statutory duty in respect of Children	27	9		9		15 ↓		15	
CRR10 - Safeguarding Adults at Risk with Care and support needs	28	21		15 ↑		15		15	

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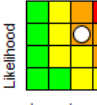
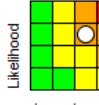


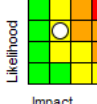
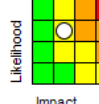


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CRR6 - Fraud and Corruption	29	15		15		15		15	
CRR27 – Failure to deliver the Capital Transport Programme Delivery	31	15		15		15		15	
CRR5 - Business Continuity and Operational Resilience.	32	15		15		15		15	
CRR26 - ICT Resilience.	33	14		14		14		14	
CRR29 - Information Security Management System (ISMS)	34	15		10		10		10	
CRR4 - Failure to Deliver an effective Corporate Health, Safety and Wellbeing Framework	35	15		15		10		10	
CRR18 - CRR18 - Failure to deliver enough new homes to meet Mayoral and Annual Business Plan targets. (Formerly 'Failure to deliver enough homes to meet the City's needs')	37	15		15		10		10	



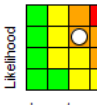
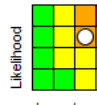
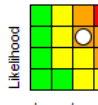
Opportunity Risk Performance Summary

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OPP1 - One City Approach	38	21		21		21		21	


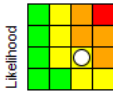

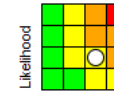

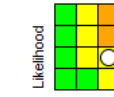
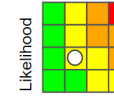
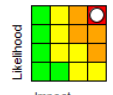

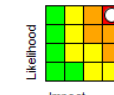


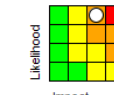
External and Civil Contingency Risk Summary

Risk	Page Number	Q4 Rating	Q4 Matrix	Q1 Rating	Q1 Matrix	Q2 Rating	Q2 Matrix	Q3 Rating	Q3 Matrix
BCCC5 - Cost of Living Crisis impact on Citizens and Communities	39			28 NEW RISK		28		28	
BCCC1 - Flooding	40	15		15		15		15	
BCCC4 - Winter diseases including COVID-19 and Flu (formerly COVID-19 Population Health)	41	15		15		9		9	




Closing/De-escalating Risks

Risk	Page Number	Q4 Rating	Q4 Matrix	Q1 Rating	Q1 Matrix	Q2 Rating	Q2 Matrix	Q3 Rating	Q3 Matrix
CRR51e - Impact of Adult Care Charging Reforms Legislation	N/A					21 NEW RISK		7 Risk De-escalating	
CRR23 - Adult and Social Care (ASC) Transformation Programme 2020/21-2021/22	N/A	15		15		15		Risk Replaced	Risk Replaced

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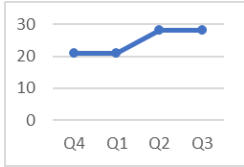
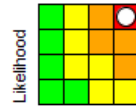

CRR36 - Risk to delivering required improvements from Ofsted/CQC SEND Inspection	N/A	10 	 Likelihood Impact	10 	 Likelihood Impact	10 	 Likelihood Impact	6 Risk De-escalating	 Likelihood Impact
CRR46 - Increased costs, restrictions and uncertainty of future sufficient insurance cover for higher risk properties	N/A	28 NEW RISK	 Likelihood Impact	28 	 Likelihood Impact	28 	 Likelihood Impact	15 Risk De-escalating to DRR	 Likelihood Impact

Risk Trend Key

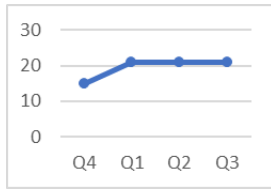
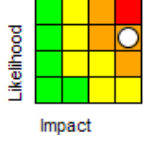
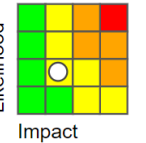
Arrow	Description
	The risk rating has improved from the previous quarter, having reduced in its severity.
	The risk rating has deteriorated from the previous quarter, having increased in its severity.
	The risk rating has not changed from the previous quarter.

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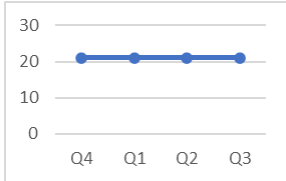
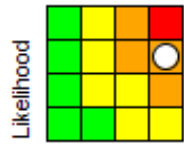
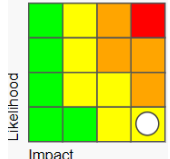
Threat Risks

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p>Risk Title: CRR13 - Financial Framework and Medium-Term Financial Plan (MTFP)</p> <p>Description: Failure to be able to reasonably estimate and agree the financial 'envelope' available, both annually and in the medium-term and the council is unable to set a balanced budget.</p>	<p>Constant</p> 	<p>28 Likelihood = 4 Impact = 7</p>		<p>14 Likelihood = 2 Impact = 7</p>	
<p>Risk Causes: Failure to achieve Business Rates income- appeals/general economic growth/loss of major sites Economic uncertainty impact on locally generated revenues - business rates and housing growth, impacting on council tax, new homes bonus and business rate income. The general economic uncertainty affecting the financial markets, levels of trade & investment Local Government finance settlement from spending review Continued Impact of Covid-19 on key income sources. Inadequate budgeting & budgetary control/Financial Settlements & wider fiscal policy changes:- The potential for new funding formulas such as fair funding, business rates retention to significantly reduce the government funding available to the council alongside possible increase in demand for council services. Embedding of the new national funding formula for schools and High Needs. Political failure to facilitate the setting of a lawful budget. Unable to agree a deliverable programme of propositions that enable the required savings to be achieved. Insufficient reserves to mitigate risks and liabilities and provide resilience. Rising inflation could lead to increased cost. Impact of Adult Social Care reform and sufficient funding available to meet increased cost</p>	Existing Controls		Mitigating Actions		
	Control	Action Title	Due Date	Progress	
	<ol style="list-style-type: none"> Budget Preparation, Setting and Budget Accountability Framework - BCC manages its financial risks through a range of controls including budget preparation, budget setting and a Budget Accountability Framework. Clear roles and responsibilities for managing, monitoring and forecasting income and expenditure against approved budgets are in place. Medium Term Financial Plan – Twice yearly update including sensitivity and scenario based financial modelling on all assumptions including inflation and demand growth 	<ol style="list-style-type: none"> Implementation of CIPFA Financial Management Code Review of financial outlook assumptions Undertake annual financial resilience assessment - Links to CIPFA Action Fully refreshed MTFP report to Cabinet in October 	<p>December 2022</p> <p>June 2022</p> <p>June 2022</p> <p>September 2022</p>	<p>40%</p> <p>100%</p> <p>100%</p> <p>100%</p>	
<p>Risk Consequences: Potential failure to set a legal budget and council tax by the due date, would have a significant adverse impact on the council's ability to provides services and the council's reputation locally and nationally in terms of investor confidence. That the budget is unlikely to reflect council priorities and objectives. That the budget may not adequately resource pressures and increases in demand. That the budget includes savings which are not deliverable. That the council reserves are used for mitigating the medium-term financial plan; running down reserves, avoiding decision and reducing the Council's resilience. Negative impact on front line services. A negative opinion from external audit. Secretary of State intervention.</p>		<ol style="list-style-type: none"> Establishing the Business & Budget Planning Board to oversee development of budget Making representation to government departments in relation to: - the likely costs at a local level for the proposed Adult Social Care reforms 	<p>February 2023</p> <p>March 2024</p>	<p>100%</p> <p>0%</p>	
<p>Risk Owner(s): Chief Executive and Director of Finance (S151 Officer).</p> <p>Portfolio Flag: Finance, Governance and Performance</p> <p>Strategic Theme: Our Organisation</p>	<p>Summary of Progress: Savings have been formulated to address budget gap. This is now going through consultation with aim of producing a balanced budget in February. Once a balanced budget has been approved the likely hood of this risk reduces.</p>				

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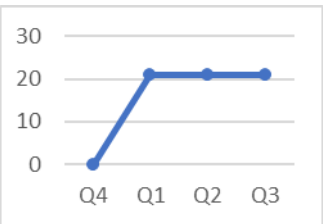

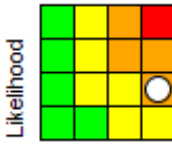
Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level																
<p>Risk Title: CRR15 – In-Year Financial Deficit</p> <p>Description: The council’s financial position goes into significant deficit in the current year resulting in reserves (actual or projected) being less than the minimum specified by the council’s reserves policy.</p>	<p>Constant</p> 	<p>21</p> <p>Likelihood = 3 Impact = 7</p>		<p>6</p> <p>Likelihood = 2 Impact = 3</p>																
<p>Risk Causes: A failure to appropriately plan and deliver savings. Unscheduled loss of material income streams. Increase in demography, demand and costs for key council services. The inability to generate the minimum anticipated level of capital receipts. Insufficient reserves to facilitate short term mitigations, risks and liabilities. Interest rate volatility impacting on the council’s debt costs. Impairments in our commercial Investments are realised. Response to inadequate SEND inspection in 2019, Increased demand for EHCPs, Lack of specialist provision in Bristol, increased compliance to statutory requirements in relation to SEND.</p>	<p>Existing Controls</p> <table border="1"> <thead> <tr> <th>Control</th> <th>Mitigating Actions</th> </tr> </thead> <tbody> <tr> <td rowspan="8"> <ol style="list-style-type: none"> BCC Financial Framework - BCC’s Financial framework ensures that we have in place sound arrangements for financial planning, management, monitoring and reporting through to Corporate Leadership Team and Cabinet. Deep Dives on non-containable pressure areas - We have continual oversight and ongoing management of the council’s financial risks and deep dives in areas reported of non-containable pressures. Ensuring engagement at local, regional and national level - in round table and working groups to keep abreast the spending review, Business Rates retention and new funding formulas for Local Government. To ensure funding for Bristol is maximised and impact of changes are fed into our long-term financial planning and strategic planning. Policy and Budget Framework - The Policy and Budget Framework provides clear guidance in relation to the approval process for supplementary funding both capital and revenue. Re-assessment of service delivery risks and opportunities and risk and other reserves - We will carry out frequent re-assessment of service delivery risks and opportunities and risk and other reserves. DSG - Detailed Management Plan Based on DfE Framework - A detailed Management Plan is in development, using the DfE’s recommended framework - The deficit and development of the plan was discussed with the DfE in Spring 21. The DfE were not requesting a formal submission at this time. 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	<p>Risk Consequences: The council’s financial position goes into significant deficit in the current year resulting in reserves (actual or projected) being less than the minimum specified by the council’s reserves policy.</p>	<p>Summary of Progress: There is a vacancy freeze in place to manage budget overspend in addition to specific service mitigations that are also in place (Primary and Secondary mitigations).</p>																		
	<p>Risk Owner(s): Director of Finance (S151 Officer).</p>																			
<p>Portfolio Flag: Finance, Governance and Performance</p>																				
<p>Strategic Theme: Our Organisation</p>																				

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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</p> <p>Likelihood = 3 Impact = 7</p>		<p>7</p> <p>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>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 <p>Risk Owner(s): Executive Director People, Director Children's and Families Services.</p> <p>Portfolio Flag: Children's Services, Education & Equalities</p> <p>Strategic Theme: Our Organisation, Empowering</p>	<p>Existing Controls</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 - Recent inspection activity (Inspection of Local Authority Children's Services) and peer review indicates that progress has been made across services in ensuring children/adults are safeguarded. (Sep 2018 and Dec 2021) • Quality assurance and performance framework in place and reported on at regular intervals through to cabinet members and Scrutiny – which has been strengthened recently. • 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>Mitigating Actions</p> <table border="1"> <thead> <tr> <th>Action Title</th> <th>Due Date</th> <th>Progress</th> </tr> </thead> <tbody> <tr> <td>Reviewing areas of specific vulnerability and implementing improvements</td> <td>December 2022</td> <td>61%</td> </tr> <tr> <td>Reviewing national serious case reviews on the back of recent high profile child deaths through multiagency safeguarding arrangements</td> <td>December 2022</td> <td>30%</td> </tr> <tr> <td>Additional training in relation to professional curiosity</td> <td>Sept 2022</td> <td>81%</td> </tr> <tr> <td>New Quality Assurance Processes – including targeted mentoring and training for social workers</td> <td>Sept 2022</td> <td>100%</td> </tr> <tr> <td>Mapping Gaps on service provision – working with Police to address capacity issues identified in targeted services</td> <td>Ongoing</td> <td>76%</td> </tr> <tr> <td>Draft revised Threshold Document which is due to be approved by Keeping Bristol Safe Partnership over the next quarter.</td> <td>January 2023</td> <td>90%</td> </tr> <tr> <td>Procure a strategic partner to undertake work regarding extra familial harm and with our children who go missing from home or care.</td> <td>April 2023</td> <td>80%</td> </tr> <tr> <td>Working with Cornwall as part of Sector Led Improvement to review our place-based leadership arrangements and prevention of care offer.</td> <td>March 2023</td> <td>90%</td> </tr> </tbody> </table>	Action Title	Due Date	Progress	Reviewing areas of specific vulnerability and implementing improvements	December 2022	61%	Reviewing national serious case reviews on the back of recent high profile child deaths through multiagency safeguarding arrangements	December 2022	30%	Additional training in relation to professional curiosity	Sept 2022	81%	New Quality Assurance Processes – including targeted mentoring and training for social workers	Sept 2022	100%	Mapping Gaps on service provision – working with Police to address capacity issues identified in targeted services	Ongoing	76%	Draft revised Threshold Document which is due to be approved by Keeping Bristol Safe Partnership over the next quarter.	January 2023	90%	Procure a strategic partner to undertake work regarding extra familial harm and with our children who go missing from home or care.	April 2023
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<p>Summary of Progress: Demand continues to increase for services due to: 1. The aftermath of Covid, which has had an impact on the emotional health of adolescents. 2. Increase in children seeking asylum. 3. Cost of living crisis.</p>																													

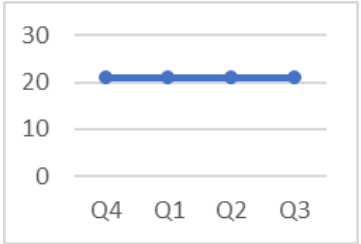

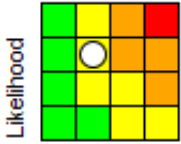
Appendix A – Corporate Risk Register as at December 2022

and Caring, Wellbeing.

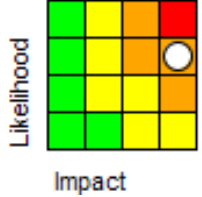
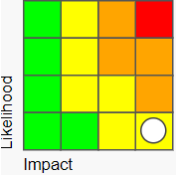
Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level											
<p>Risk Title: CRR48 - Failure to meet the affordable housing needs of the City by failing to meet the Project 1000 Delivery targets. (Replacing CRR32)</p> <p>Description: Failure of the City to deliver to the Mayoral Target of 1000 affordable homes per year by 2024. Strategies and delivery models designed to further stimulate growth in the housing market and deliver diversity of the housing in the City prove to be ineffective.</p>	<p style="text-align: center;">Constant</p>  <table border="1"> <caption>Line Graph Data</caption> <thead> <tr> <th>Quarter</th> <th>Value</th> </tr> </thead> <tbody> <tr> <td>Q4</td> <td>0</td> </tr> <tr> <td>Q1</td> <td>20</td> </tr> <tr> <td>Q2</td> <td>20</td> </tr> <tr> <td>Q3</td> <td>20</td> </tr> </tbody> </table>	Quarter	Value	Q4	0	Q1	20	Q2	20	Q3	20	<p style="font-size: 24pt; font-weight: bold;">21</p> <p>Likelihood = 3 Impact = 7</p>	 <p style="font-size: 12pt;">Likelihood</p> <p style="font-size: 12pt;">Impact</p>	<p style="font-size: 24pt; font-weight: bold;">14</p> <p>Likelihood = 2 Impact = 7</p>	 <p style="font-size: 12pt;">Likelihood</p> <p style="font-size: 12pt;">Impact</p>
Quarter	Value														
Q4	0														
Q1	20														
Q2	20														
Q3	20														
<p>Risk Causes:</p> <ul style="list-style-type: none"> - Availability of public subsidy from homes England and challenges in meeting their funding viability and value for money assumptions -reduction in the levels of Capital funding the Council has to support affordable housing delivery by third party providers - the complexity and costs associated with the development of brownfield sites, leading to viability challenges for both direct and 3rd party delivery. - Insufficient land available - continued impact of Covid 19 on the delivery programme of developments in the City - Not enough planning applications submitted - Not enough planning permissions granted and delays within the planning process - Inability of the housebuilding industry to deliver at this level to meet need through the planning system - Increased uncertainty in the market due to Brexit - Lack of capacity within the council's delivery system and the local market - Insufficient housing land identified in strategic planning documents 	Existing Controls		Mitigating Actions												
	Control		Action Title	Due Date	Progress										
	<ol style="list-style-type: none"> 1. Improved our monitoring of affordable housing delivery and pipeline including identification of where HDT can unblock barriers to delivery. 2. Requiring a minimum of 30% affordable housing on land released by the Council. 3. Working collaboratively with Homes England to maximise subsidy in schemes - This provides as much affordable housing as possible. New framework for regular collaboration and review in place, focussing on both BCC direct delivery and RP delivery. 4. Project 1000 and Housing Delivery Boards - Scrutiny and active decision making / support at a senior and political level to influence and unblock barriers to delivery. Project 1000 leads in place. 5. KPI Targets for affordable housing delivery - quarterly reporting of KPI targets through spar.net providing corporate scrutiny on annual delivery against targets 6. Revised Affordable Housing Practice Note 		<ol style="list-style-type: none"> 1. Bid for second round funding through OPE BFLR fund to unlock a second CLH site. 2. Develop the Housing Delivery Plan 2022-25. 3. Review & amend the Affordable Housing Practice note in 2021/22. 4. Revised Affordable Housing Funding Policy 2022-2025 5. Secure Homes England Affordable Housing Programme Funding 6. Develop new practice notes on affordable housing delivery through Build to Rent and First Homes 	<p>July 2022</p> <p>December 2022</p> <p>July 2022</p> <p>March 2022</p> <p>March 2026</p> <p>April 2022</p>	<p>100%</p> <p>100%</p> <p>100%</p> <p>100%</p> <p>40%</p> <p>100%</p>										
<p>Risk Consequences:</p> <ol style="list-style-type: none"> 1. Reputational damage 2. Increased levels of homelessness 3. Increased demand from the private rented sector, 															

Appendix A – Corporate Risk Register as at December 2022

<p>(non-affordable), by those in highest need 4. Residualisation of lower value areas of the city 5. Economic deprivation, poorer health and lower educational attainment of households living in poverty in poor housing conditions with limited tenancy sustainability 6. Balance between addressing need for family homes V increased viability of delivering smaller units</p>		<p>7. Plan and establish a monthly Project 1000 working group to oversee all affordable housing development activity, monitor and manage risk and unblock internal barriers to delivery</p>	<p>August 2022</p>	<p>100%</p>
<p>Risk Owner(s): Executive Director Growth and Regeneration, Director Development.</p>		<p>8. Develop a new framework of appraisal parameters and agree a clear funding programme approach for HRA delivery</p>	<p>October 2022</p>	<p>95%</p>
		<p>9. Review structure and capacity of current Housing Delivery Team to ensure the team has the ability to meet Project 1000 and HRA Business plan targets for direct delivery</p>	<p>December 2022</p>	<p>100%</p>
		<p>10. Maximise capital funding from Homes England, WECA and DLUHC to address the complexities and additional costs of delivering an affordable housing programme on brownfield sites, including looking at ways of developing a strategic approach with key funding partners to meet infrastructure and abnormal costs.</p>	<p>March 2025</p>	<p>50%</p>
<p>Portfolio Flag: Housing Delivery and Homes</p>	<p>Summary of Progress: Affordable housing delivery remains challenging for the city and longer-term interventions / new housing projects are unlikely to impact significantly on the emerging pipeline of completions for 2023/24/5 but will support high levels of delivery in the years beyond Project 1000. Providers are reporting increasing concerns with the increased costs and supply in construction materials and labour, which coupled with the likelihood of rent capping and a downturn in property values, are creating viability gaps in scheme appraisals. Strategies around addressing these gaps are being discussed at a both a scheme-by-scheme level and more strategically with Homes England. Focus is currently on unblocking and accelerating the current programme of HRA, Goram and third-party sites to protect and maintain forecasts. Work around property acquisitions and changes of use to council buildings to deliver a new supply of affordable Temporary Accommodation will add to the current completions pipeline.</p>			
<p>Strategic Theme: Fair and Inclusive</p>				

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p>Risk Title: CRR12 - Emergency planning measures and resources overwhelmed by scope and scale of an emergency or incident faced by the council</p> <p>Description: A Major Incident or emergency which exceeds the response capacity of the council and partner responding organisations leading to mass fatalities, excess deaths, damage to property and infrastructure and an ability to deliver key service to the community. In addition, further consequences could be litigation and reputational damage to the council.</p>	<p>Constant</p> 	<p>21 Likelihood = 3 Impact = 7</p>		<p>9 Likelihood = 3 Impact = 3</p>	
<p>Risk Causes:</p> <ul style="list-style-type: none"> -Emergency risks not identified and prepared for. -Lack of trained and available responding staff. -Emergency roles and responsibilities not embedded. 	<p>Existing Controls</p>				
<p>Risk Consequences: Increased risk of:</p> <ul style="list-style-type: none"> - Disruption of public services - Disruption of transport networks - Death/injury - Displacement of people 	<p>Control</p>	<p>Action Title</p>	<p>Due Date</p>	<p>Progress</p>	
	1.24/7 Operations Centre provides effective monitoring for the city and a co-ordinatory role in response and recovery.	1.Emergency training – rest centres, humanitarian assistance and training for Marshals currently running	April 2022	100%	
	2.Corporate Resilience Group, overseeing mitigations of contingencies risks identified on the National Security Risk Assessment and delivery of Category 1 Responder duties	2.Plan and Deliver Corporate exercise	October 2022	85%	
	3.Active participation in the Avon and Somerset Local Resilience Forum and close working with multi-agency partners, including training and exercising	3.Development and sign off of Strategic Crisis Management Plan	May 2022	100%	
	4.Emergency Plans	4.Development and roll out of the Emergency Planning e-learning package	October 2022	60%	
	5.Duty Director rota in place	5.Community Resilience Mapping development	May 2022	85%	
	6.Duty Civil Protection Officer and other duty rotas in place (Highways, Dangerous Structures, Public Health, Social Care, etc)	6.Supporting the review of the ASLRF work programme and Operational Model	May 2022	100%	
	7.BCC emergency plan training and exercising in place	7.Continued support to the Covid response, particularly around testing and vaccinations	June 2022	100%	
	8.Monitoring of severe weather events	8.Coordination of support for Afghan refugee hotels	May 2022	100%	
	9.Close working with Safety Advisory Group for Events				
<p>Risk Owner(s): Executive Director Growth and Regeneration, Director Management of Place.</p>	9.Horizon scanning for emerging risks, including Ukraine war (through CRG, BC Group and LRF)				

Appendix A – Corporate Risk Register as at December 2022

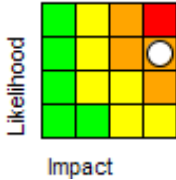
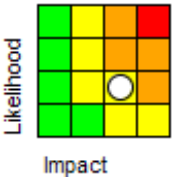
Portfolio Flag: City Economy, Finance & Performance	Summary of Progress: The likelihood and impact of a civil emergency overwhelming BCC's capacity to respond unfortunately remains high. A combination of risks documented in the National Security Risk Assessment, such as severe weather and terrorism, and additional risks such as the ongoing threat of further Covid waves and the cost-of-living crisis and associated risk of civil unrest, layered on the difficult situation the Council and other responding agencies find themselves following Covid and as a result of financial pressure, mean it is not possible to reduce this risk score. Although good and well drilled mitigations are in place, capacity to maintain a response to multiple pressures is stretched.						
Strategic Theme: Our Organisation, Wellbeing							
Threat Risk		Trend	Current Risk Assessment		Risk Tolerance Level		
Risk Title: CRR52 - Fire Safety in high Rise residential buildings Description: Risk of failing to ensure high rise properties meet safety requirements		Escalated from Service Risk Registers	<div style="text-align: center;"> 21 Likelihood = 3 Impact = 7 </div>		<div style="text-align: center;"> 7 Likelihood = 1 Impact = 7 </div>		
Risk Causes: Findings from new PAS9980 inspection regime, learning from fires and new regulatory requirements. Difficulty recruiting to new posts and conducting service review resulting in no additional dedicated resources with responsibility for building safety cases and resident engagement.		Existing Controls					Mitigating Actions
Risk Consequences: Risks to personal safety, reputational and legal (financial and criminal), increased insurance costs		Control		Action Title		Progress	
Risk Owner(s): Executive Director Growth and Regeneration, Director Homes and Landlord Service		<ul style="list-style-type: none"> Carry out fire risk assessments on all communal areas/assets identified as requiring an FRA on an annual of bi-annual basis depending on level of risk and occupancy (97% complete) Fire Engineer Independent Assessments (IA) on its High-Rise blocks. The IA's included holistic assessments of fire safety equivalent to type 4 intrusive investigations. Separate contractual arrangements for FRA's and remedial works Deliver programme of PAS 9980 appraisals and FRAEW's as necessary BCC instructs further assessments as directed from FRA's Carpenters are TRADA trained to ensure fire doors meet required standards Fire risk assessments are carried out by qualified and competent people. Fire safety and awareness training for staff in place Fire safety policy implemented and includes approach to stay put, evacuation etc. Monthly building safety board meetings monitor fire and building safety compliance Our current fire safety consultant for High rise (Building Control) is IFE (Institution of Fire Engineers) accredited. For low rise, our current assessor is FRACS (Fire Risk Assessor's Certification Scheme) qualified. 		Waking watch implemented in all 38 blocks with EPS cladding		November 2022	100%
				Building new investment into the budget/business plan for 2023/24		March 2023	0%
				Complete a review of business innovation		April 2023	0%
				Complete a review of fire safety policies and processes		May 2023	0%

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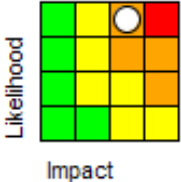
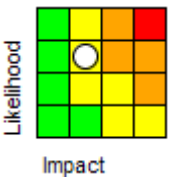


	<ul style="list-style-type: none"> • Separate contractual arrangements are held for FRA’s and remedial works 	
<p>Portfolio Flag: Housing Delivery and Homes</p>	<p>Summary of Progress: Work to commence to review alternative structure options to ensure additional required fire safety resources can be secured.</p> <p>Procurement activity is underway to secure companies who can work with us to complete PAS9980 assessments and tender in progress secure a contractor to carry our Fire Risk Assessments,</p>	
<p>Strategic Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing</p>	<p>A temporary project team is in place reviewing our fire safety approach, work includes: introducing waking watch and simultaneous evacuation policies, leading a programme of communication and engagement events for residents, reviewing associated policies, building new budget requirements and procuring contracts as previously detailed. As part of the 2023/24 budget setting process we are ensuring sufficient resources are in place to fund the waking watch and we are developing an EPS removal programme and options for an sprinkler programme</p>	

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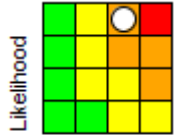

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level																		
<p>Risk Title: CRR51 - Risk that ASC financial unsustainability due to national and local pressures leads to a failure to deliver statutory duties and budgetary control</p> <p>Description: There is a risk that ASC financial unsustainability due to a number of national and local pressures compromises the ability to deliver statutory duties and the independence of people that draw on care and support.</p>	New Risk	<p>21 Likelihood = 3 Impact = 7</p>		<p>10 Likelihood = 2 Impact = 5</p>																		
<p>Risk Causes:</p> <ul style="list-style-type: none"> -Rising demand in Adult Social Care which must be met under the Care Act. Particularly from complex needs and higher cost requirements in people under 65. These needs are more likely to be met outside of area, be subject to lower personal contributions, and be needed for longer. -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. -Lack of funds available within budget to meet statutory duties. -Lack of systems in order to ensure effective governance and control of all spend. -Pressure from wider system pressures - for example, delays in hospitals which lead to increased long term cost provision for care. -Non-recurrent funding which limits opportunity for long term investment. <p>Risk Consequences:</p> <ul style="list-style-type: none"> - Overspending on the budget which may impact the wider council. -The consequence of this risk are that appropriate and effective care and support as required under the Care Act may not be possible for all those who require it. The consequence could be felt in the quality or quantity of care and support, or in both. 	<p>Existing Controls</p> <table border="1"> <thead> <tr> <th>Control</th> </tr> </thead> <tbody> <tr> <td> <ul style="list-style-type: none"> Established Care Cubed to improve pricing controls - enabling the service to maximise value for money Improved Business Intelligence - Developing advanced tools for analysing and reporting business intelligence and performance information Improved governance process on all spend - Improved case discussion where all spend is approved through tighter governance. Leading integration opportunities with Health - Through establishment of the Integrated Care Board (ICB) BCC are leading implementation of integration opportunities which will maximise vfm e.g. joint commissioning of learning disability and autism team Realignment of ASC Operations - Using new locality teams to work with local providers, community and voluntary sector to maximises care and support provision outside of Council statutory provision. This builds resilience in communities and individuals, and ensure statutory services are focused on the right interventions. Reset the ASC Transformation Programme - Reset the programme to address market provision, workforce challenges, price control, practice and integration </td> </tr> </tbody> </table>					Control	<ul style="list-style-type: none"> Established Care Cubed to improve pricing controls - enabling the service to maximise value for money Improved Business Intelligence - Developing advanced tools for analysing and reporting business intelligence and performance information Improved governance process on all spend - Improved case discussion where all spend is approved through tighter governance. Leading integration opportunities with Health - Through establishment of the Integrated Care Board (ICB) BCC are leading implementation of integration opportunities which will maximise vfm e.g. joint commissioning of learning disability and autism team Realignment of ASC Operations - Using new locality teams to work with local providers, community and voluntary sector to maximises care and support provision outside of Council statutory provision. This builds resilience in communities and individuals, and ensure statutory services are focused on the right interventions. Reset the ASC Transformation Programme - Reset the programme to address market provision, workforce challenges, price control, practice and integration 	<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>Develop alternative to long term care provision - Increase provision of Technology Enabled Care, Shared Lives and Direct Payments</td> <td>December 2022</td> <td>50%</td> </tr> <tr> <td>Increase the number of direct payments through reviewing process and practice</td> <td>March 2023</td> <td>40%</td> </tr> <tr> <td>Increase the take up and opportunity around the use of technology enabled care</td> <td>January 2023</td> <td>70%</td> </tr> <tr> <td>Management restructure and vacancy management to deliver savings</td> <td>March 2023</td> <td>70%</td> </tr> <tr> <td>Review of in-house service provision to deliver efficiencies and savings</td> <td>March 2023</td> <td>50%</td> </tr> </tbody> </table>	Action Title	Due Date	Progress	Develop alternative to long term care provision - Increase provision of Technology Enabled Care, Shared Lives and Direct Payments	December 2022	50%	Increase the number of direct payments through reviewing process and practice	March 2023	40%	Increase the take up and opportunity around the use of technology enabled care	January 2023	70%	Management restructure and vacancy management to deliver savings	March 2023
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Portfolio Flag: Children’s Services, Education & Equalities	Summary of Progress: The likelihood of this risk is under constant review as it may increase in coming weeks due to the significant financial pressures on the health and social care system in Bristol (and nationally), combined with winter pressures. Bristol is one of the worst performing health systems in terms of discharge from hospital and addressing this puts considerable pressure on social care. This risk continues to be managed in the same three ways referenced in the last quarter i.e. day to day performance improvement, the ASC Transformation programme, and the health and social care integration programme. The Council's focus on budget setting for 2023/24 during October and November has reviewed the absolute requirements for the Council to meet its statutory requirements under the Care Act. The financial support announced by the Chancellor in November is being reviewed to understand the extent to which the ASC and Health elements will be able to help mitigate this risk escalating.
Portfolio Flag: Adult Social Care & Integrated Care System	
Strategic Theme: Our Organisation, Empowering and Caring, Wellbeing.	

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level		
<p>Risk Title: CRR53 - Risk that increased social worker and occupational therapist vacancies and sickness rates will result in vulnerable adults’ care being compromised.</p> <p>Description: Limited staff capacity within operational teams will result in increased waiting times for assessment and review potentially putting vulnerable adults at risk of going without sufficient care and support.</p>	New Risk	<p>20</p> <p>Likelihood = 3 Impact = 7</p>		<p>9</p> <p>Likelihood = 3 Impact = 3</p>		
<p>Risk Causes:</p> <ul style="list-style-type: none"> -Difficulties recruiting and retain experienced social workers and OTs. This is in line with national picture of increasing vacancy rates in statutory adult care social care departments across the country. -These vacancies are not distributed equally with some operational teams having nearly 50% vacant posts. -Sickness absence in operational teams have also increased during this period which is further compounding operational teams’ ability to respond to those in most urgent need. -Cost of living crisis is also likely to impact on retention rates of social work staff <p>Risk Consequences:</p> <ul style="list-style-type: none"> - As a result of this decreased operational capacity this has seen an increase in numbers of people waiting for assessment and reviews (insert data) -The percentage of individuals who have had an annual review of their care and support needs has also decreased in the last year with less than 50% of individual in receipt of care and support having had a formal review. 	Existing Controls					Mitigating Actions
<p>Risk Owner(s): Executive Director People, Director Adult Social Care.</p>	Control	<ul style="list-style-type: none"> • Increase Social Work and OT Apprentice capacity - ASC have doubled the amount of SW and OT apprentices this year increasing to 6 SW Apprentices per year and 2 OT apprentices. • Operational Business Continuity plans duty - All operational teams have internal prioritisation process for workflow and demand. Additionally, they have robust duty systems in place with duty workers present to respond to urgent demands or cases to mitigate against highest risk of harm to citizens and respond in a timely way to those at greatest need. • Recruitment Strategy - Developed new recruitment strategy and implemented rolling recruitment advert. • Developing enhanced Wellbeing offer for operational staff - dedicated additional resource within Adult Workforce L&D to enhance our wellbeing and support offer. 	Action Title	Due Date	Progress	
			<ul style="list-style-type: none"> Review AMHP Market Supplement Recruit Non- registered Social Care Practitioners to bolster workforce - Agreed to recruit Social Care Practitioners and OT aides on a fixed term basis to off sent challenges in recruiting registered staff. Cost will be covered by SW vacancies and underspend and can offer some mitigation. Historically we have more success and recruiting and retaining non-registered staff than SW and OT roles. 	<ul style="list-style-type: none"> January 2023 October 2022 	<ul style="list-style-type: none"> 75% 100% 	

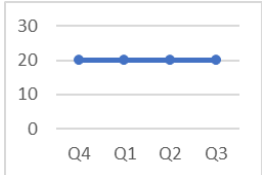
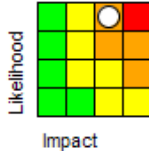
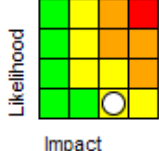
Appendix A – Corporate Risk Register as at December 2022

Portfolio Flag: Adult Social Care & Integrated Care System	<p>Summary of Progress: Operational capacity within ASC continues to be stretched. Currently average practitioner capacity sits at 70% which includes vacancies and all absences. This varies significantly across teams and localities with 3 operational teams below 50%.</p> <p>This has been impacted further by delays resulting from further vacancy management and dispensation process.</p>
Strategic Theme: Our Organisation, Empowering others and Caring, Fair and Inclusive, Well connected, Wellbeing.	

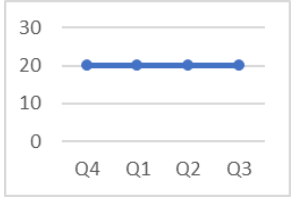
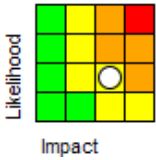
Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level		
<p>Risk Title: CRR39 – Adult and Social Care major provider/supplier failure</p> <p>Description: Failure or potential degradation of ASC service provision linked to a complex set of internal / external risks causing service interruption or cessation. Failures or closures in the supply chain mean insufficient supply to source adequate appropriate support and meet Care Act needs.</p>	<p style="text-align: center;">Constant</p> 	<p>20</p> <p>Likelihood = 4 Impact = 5</p>	 <p>Likelihood</p> <p>Impact</p>	<p>14</p> <p>Likelihood = 2 Impact = 7</p>	 <p>Likelihood</p> <p>Impact</p>	
<p>Risk Causes: - Provider goes into liquidation or ceases operations -Provider unable to meet demand due to recruitment / workforce/ or organisational issues. -Factors influencing provider/supplier failure: Increased demand and increased complexity of need of individuals putting further pressure on social care sector. Chronic workforce recruitment and retention problems heightened by pandemic. The social care sector facing a number of other issues – highly competitive job market, covid ‘exhaustion’, rising energy costs, changes to National Living Wage, inflation/ raising costs of supplies, high cost of living in Bristol, significant pressures from two large acute hospitals.</p> <p>Risk Consequences: Citizens (many of whom are very vulnerable) may have services ended or reduced without much notice putting them at risk and causing distress Lack of suitable local provision may mean people moving away from community, support networks Lack of alternative provision should mean not meeting statutory duties under Care Act Pressures on ASC workforce (social work, contracts, brokerage commissioning etc) to review and find alternative provision in timely manner Financial pressures as demand may drive prices up 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>	Existing Controls		Mitigating Actions			
	<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 		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	100%		
		Cost of Living Work	October 2022	100%		
		Update of Provider Failure Procedure	December 2022	50%		

Appendix A – Corporate Risk Register as at December 2022

	resources. <ul style="list-style-type: none"> Provider Failure/Service Interruption Process
Portfolio Flag: Adult Social Care & Integrated Care System	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. 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. The risk remains the same risk score as Q2. There has been some handbacks of care contracts in the last quarter.
Strategic Theme: Our Organisation, Empowering others and Caring, Fair and Inclusive, Well connected, Wellbeing.	

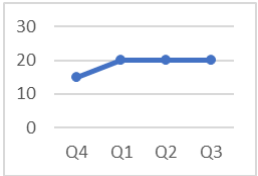
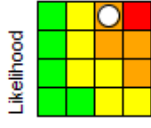
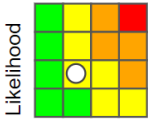
Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level																				
Risk Title: CRR7 – Cyber Security Description: The Council's risk level in regard to Cyber-security is higher than should be expected.	Constant 	<div style="background-color: #8B4513; color: white; padding: 10px; text-align: center;"> <h2>20</h2> <p>Likelihood = 4 Impact = 5</p> </div>		<div style="background-color: #FFD700; color: black; padding: 10px; text-align: center;"> <h2>5</h2> <p>Likelihood = 1 Impact = 5</p> </div>																				
Risk Causes: <ul style="list-style-type: none"> Lack of investment in appropriate technologies. Reliance on in-house expertise, and self-assessments (PSN). Lack of formal approach to risk management (ISO27001). Historic lack of focus. Risk Consequences: <ol style="list-style-type: none"> Information security incidents resulting in loss of personal data or breach of privacy / confidentiality. Safeguarding data breach impacting on safety of vulnerable child or adult. Risk of breaching the regulations and being subject to penalties/fines - Regulations Fines increasing from up to £500,000 to 10-20m Euros of 4% of global turnover, enforced by the Information Commissioners Office on behalf of the European Union. Increased litigation. Reputational damage. 	Existing Controls					Mitigating Actions																		
	<table border="1"> <thead> <tr> <th>Control</th> <th>Action Title</th> <th>Due Date</th> <th>Progress</th> </tr> </thead> <tbody> <tr> <td>1. Phishing attack exercises - As well as technical controls, the Council continues to carry out regular Phishing attack exercises where we are sending emails to staff to see how users react to this type of Cyber Attack. Anyone clicking on links is directed towards targeted training.</td> <td>1. Work with ICT colleagues continues and discussions around cementing roles and responsibilities is being undertaken</td> <td>December 2022</td> <td>75%</td> </tr> <tr> <td>2. Targeted Training of employees – The Information Governance and ICT team will continue to work together to support the SIRO to develop appropriate targeted training for all Council staff relating to cyber security. developed by IG and ICT Teams</td> <td></td> <td></td> <td></td> </tr> <tr> <td>3. Technical controls</td> <td>2. Implement audit actions with oversight by IG Board</td> <td>December 2022</td> <td>80%</td> </tr> <tr> <td>4. Security team training</td> <td></td> <td></td> <td></td> </tr> </tbody> </table>	Control	Action Title	Due Date	Progress	1. Phishing attack exercises - As well as technical controls, the Council continues to carry out regular Phishing attack exercises where we are sending emails to staff to see how users react to this type of Cyber Attack. Anyone clicking on links is directed towards targeted training.	1. Work with ICT colleagues continues and discussions around cementing roles and responsibilities is being undertaken	December 2022	75%	2. Targeted Training of employees – The Information Governance and ICT team will continue to work together to support the SIRO to develop appropriate targeted training for all Council staff relating to cyber security. developed by IG and ICT Teams				3. Technical controls	2. Implement audit actions with oversight by IG Board	December 2022	80%	4. Security team training						
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Appendix A – Corporate Risk Register as at December 2022

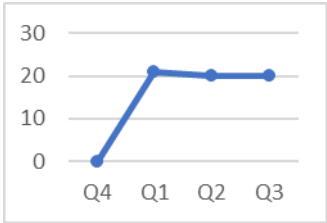

Risk Owner(s): Chief Executive, Senior Information Risk Owner (SIRO).					
Portfolio Flag: Finance, Governance and Performance	Summary of Progress: Ever present risk, the impact still remains significant posing a major threat to the Council. No change to the score at this time, the Council is also facing challenges around recruitment which are having an impact on this risk. Progress is being made in addressing some large and complex areas of concern, such as the creation of a Security Operations Centre (SOC) & configuration and updates of our Security Incident Event Monitoring (SIEM). In reviewing the risk, satisfied that the threshold for a Critical Impact is not met, therefore risk score remains unchanged				
Strategic Theme: Our Organisation					
Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
Risk Title: CRR25 – Suitability of Line of Business (LOB) Systems Description: The Council has reliance on legacy software systems which cause a number of risks due to; 1. Supportability from internal IT resource 2. The supportability of the hardware utilised 3. Lack of alignment to strategy and therefore a blocker to Digital Transformation 4. Within an appropriate support contract 5. Legacy data used for current work (GDPR) 6. Lack of Information (Cyber) Security controls 7. High cost where alternative core Council solutions exist	Constant 	20 Likelihood = 4 Impact = 5		10 Likelihood = 2 Impact = 5	
Risk Causes: Sovereignty within service areas, and a lack of motivation to change. Cost of transition. Lack of knowledge of which systems are problematic and the impacts of these. Lack of understanding of impact. Lack of ownership from Information Asset Owners. Lack of documentation pertaining to software systems and ownership of strategy. Cost avoidance of replacing systems. This is seen as an IT problem, not one for the software system owners.	Existing Controls		Mitigating Actions		
	Control	Action Title		Due Date	Progress
	1. Auditing of all councils Line of Business (LOB systems)	1.Undertake comprehensive review of all software systems and identify potential risks (as per threat risk description). Place all risks into an Operational Risk format. Risks will be scored and any known mitigation noted. This will be presented to CLB for further review and to agree action plan.		December 2022	100%
2. IT Services highlight risks and shortcomings with systems (in an informal manner) to Heads of Service and Senior Leadership	2.Channel Shift Project - Review legacy line of business systems with the view to rationalising and replacing either by building on existing internal platforms such as dynamics or via procurement of new products and better utilisation of functionality.		February 2028	0%	
3. Work with Information Governance perpetuate a Cyber Security or Information Management risk are identified and service areas understand the risks to their services.					
Risk Consequences: Lack of resilience and continuity in event of an incident/failure High-cost applications without appropriate support. Inability to improve service delivery through digital					

Appendix A – Corporate Risk Register as at December 2022

transformation. May feed into Information (Cyber) Security risks.	
Risk Owner(s): Director, Digital Transformation, Senior Information Risk Owner (SIRO) for Cyber Security. Service Areas for BCP/DR.	
Portfolio Flag: Finance, Governance and Performance	Summary of Progress: Sub-risks of the individual applications that make up this overarching risk are continuing to be added by the Risk team and each of those need mitigating individually.
Strategic Theme: Our Organisation	

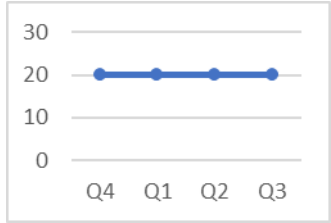
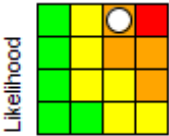
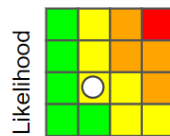
Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level															
<p>Risk Title: CRR40 – Unplanned Investment in Subsidiary Companies</p> <p>Description: There is a risk that BCC’S investments in subsidiaries may require greater than anticipated capital investment.</p>	<p>Constant</p> 	<p>20</p> <p>Likelihood = 4 Impact = 5</p>	 <p>Likelihood</p> <p>Impact</p>	<p>6</p> <p>Likelihood = 2 Impact = 3</p>	 <p>Likelihood</p> <p>Impact</p>														
<p>Risk Causes: Failure to have effective corporate governance arrangements in place in one or more of the companies. Failure to ensure the right leadership with the right skills across the Companies. Business Failure due to severe economic downturn caused by external factors (incl. Pandemic & Brexit). Service delivery failure as a result of specific market changes (e.g., recycle market, housing market, volatility in gas and electric market prices, delays in timing of income from customer heat network connections), failure to secure planning etc. Delivery of BE2020 wind up within financial envelope. Legislation changes. Cyber Security - risk that key systems are compromised and that sensitive data is stolen Failure to develop and grow commercial trading activities</p>	<p>Existing Controls</p> <p>Control</p> <ol style="list-style-type: none"> Audit and Risk Committee - Supports on issues of risk, control and governance Board Effectiveness Reviews to be annual workforce planning Continued monitoring of the impact of External issues such as COVID on the business and adaptive approach being proposed for optimising emerging opportunities and mitigating pressures Effective engagement with BHL re reserved matter decisions and wider engagement with BCC Client teams to review performance, quality and set clear KPIs Shareholding Group Weekly progress review provided and regular review of assumptions, cash flow and risks 					<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>1. Align Risk Management Arrangements Between BCC/BHL</td> <td>September 2022</td> <td>20%</td> </tr> <tr> <td>2.BCC Capital Strategy limits BCC exposure to loans</td> <td>December 2021</td> <td>100%</td> </tr> <tr> <td>3.Business Plan for Bristol Heat Network</td> <td>March 2022</td> <td>50%</td> </tr> <tr> <td>4.Business Plan for Holding Companies 23/24</td> <td>March 2023</td> <td>0%</td> </tr> </tbody> </table>			Action Title	Due Date	Progress	1. Align Risk Management Arrangements Between BCC/BHL	September 2022	20%	2.BCC Capital Strategy limits BCC exposure to loans	December 2021	100%	3.Business Plan for Bristol Heat Network	March 2022
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4.Business Plan for Holding Companies 23/24	March 2023	0%																	
Risk Consequences:																			

Appendix A – Corporate Risk Register as at December 2022

<p>- Financial Loss - Reputational damage to the council - Impact to service provision provided by subsidiary companies</p>		5. Business Plan for Holdings Companies	March 2022	100%		
<p>Risk Owner(s): Chief Executive and S151 Officer.</p>		6. Capital Programme	March 2022	100%		
<p>Portfolio Flag: Finance, Governance and Performance</p>	<p>Summary of Progress: Risk exists and assessment remains same due to continued pressures in BWC.</p>					
<p>Strategic Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing</p>						
Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level		
<p>Risk Title: CRR49 - Workforce Resilience</p>	<p>Constant</p> 	<p>20 Likelihood = 4 Impact = 5</p>		<p>9 Likelihood = 3 Impact = 3</p>		
<p>Description: A lack of workforce resilience or capacity to provide statutory services and achieve strategic aims and objectives</p>						
<p>Risk Causes: Failure to recruit – particularly in specialist areas where the market is highly competitive COVID-19 impact in labour market and workforce sickness High levels of staff turnover High staff sickness levels Ineffective prioritisation of workloads</p> <p>Risk Consequences: Key services fail – inability to meet service demands Statutory and/ or regulatory obligations are not delivered Strategic priorities and aims are not delivered. The council becomes unfocused and demand led. Increasing levels of sickness absence Higher staff turnover and loss of talent</p>	<p>Existing Controls</p>		<p>Mitigating Actions</p>			
<p>Control</p>				<p>Action Title</p>	<p>Due Date</p>	<p>Progress</p>
<ul style="list-style-type: none"> • Agreements in place with employment businesses for the supply of contingent workforce; agency and statement of works • Promotion of apprenticeships and internal progression opportunities • Regular and close review of management information (through HR Dashboards and leavers survey) to monitor turnover, staff starters/exits to enable targeted actions to be taken • Stress risk assessments, supporting attendance policy, occupational health advice and Employee Assistance Programme are in place to minimise the incidence and length of sickness absence. A refreshed stress risk assessment has been developed through consultation with trade unions and staff led groups and is due for launch in December 22. • Support for managers with future workforce planning and succession planning, with bespoke action plans to target diversity and skills gaps 				<p>Analysis of staff feedback (from surveys and team discussions) to take targeted action to support the resilience and wellbeing of the workforce. This includes the introduction of workshops, e-learning resources, training courses, coaching and advice, in addition to the Employee Assistance Programme</p>	<p>October 2022</p>	<p>100%</p>
				<p>Workforce Strategy is currently being refreshed and will have workforce resilience and wellbeing as a primary theme</p>	<p>October 2022</p>	<p>75%</p>

Appendix A – Corporate Risk Register as at December 2022

<p>HSE/Legal action Reputational damage Poor customer satisfaction leading to complaints and requests for compensation</p>	<ul style="list-style-type: none"> • Consideration of impact of cost of living and winter pressures, encouraging take up of booster and flu jabs and review the facilities available in the workplace • Introduction of an agile self-assessment form - for managers to discuss with team members and put in place actions to help ensure a workplace that is suitable for their physical and mental wellbeing • Prioritisation of tasks to better manage workforce pressures 	
<p>Risk Owner(s): Chief Executive, Director of Workforce and Change</p>	<p>Summary of Progress: This risk remains as High due to the adverse impact of the budget saving proposals may have on workforce resilience and wellbeing, and the impact of the continued vacancy freeze and the likely impact on service resilience.</p> <p>Mitigation includes an enhanced wellbeing support package, including on-line resources, drop-in sessions, a refreshed stress risk-assessment, bespoke packages for teams. HR and health and wellbeing colleagues are working with managers to support their teams through change.</p> <p>With regards the vacancy freeze, a dispensation process is in place for essential posts</p>	
<p>Portfolio Flag: City Economy, Finance & Performance</p>		
<p>Strategic Theme: Our Organisation</p>		

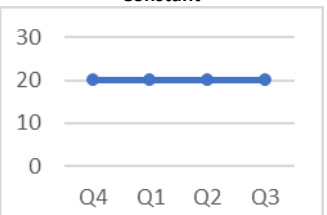
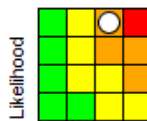
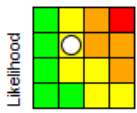
Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p>Risk Title: CRR41 – Capital Portfolio Delivery</p> <p>Description: Capital portfolio is not delivered on time, within budget and does not deliver One City Plan and Corporate Strategy objectives.</p>	<p>Constant</p> 	<p>20 Likelihood = 4 Impact = 5</p>	 <p>Likelihood</p> <p>Impact</p>	<p>6 Likelihood = 2 Impact = 3</p>	 <p>Likelihood</p> <p>Impact</p>
<p>Risk Causes: Strategic, geographic, social, financial and economic conditions changing over time Oversight of Project Interdependencies not well managed Insufficient in-house resources to progress major projects lead to missed opportunities to leverage third party investment Failure to anticipate and secure investment and resources to deliver enabling works and infrastructure</p> <p>Risk Consequences: The cost is higher than expected The capital portfolio is delivered later than planned The operating and maintenance cost of assets exceeds expectations Benefits not delivered resulting in failure</p>	Existing Controls		Mitigating Actions		
	Control		Action Title	Due Date	Progress
	Introduction of enhanced highlight and exception reporting at the G&R Board - Change Services PMO have regular Highlight reports submitted to G&R Board from key and/or large capital programmes and projects. This is now ongoing		Deliver workshops on the review and refresh of the capital programme and review of Capital receipting/disposal.	31 August 2022	100%
	Internal/External comms factored in into all resource requests to reduce reputational risks		Collaboration with Sustainable City and Climate Change Service to develop a Bristol Capital Sustainability Standard	October 2022	100%
	Additional headroom in MTFP assumptions to manage inflationary and supply chain issues - Change Services PMO have regular Highlight reports submitted to G&R Board from key and/or large capital programmes and projects. This is now ongoing.		Developing of a new comprehensive delivery framework, lifecycle and standard operating procedure Spring 21 that overlaid with existing BCC governance and Decision Pathway.	October 2022	100%
		Commissioned capital strategic partner	February 2021	100%	



<p>to deliver outcomes to secure strategic objectives</p>		
<p>Risk Owner(s): Executive Director Growth and Regeneration.</p>		
<p>Portfolio Flag: Mayoral Portfolio and City Economy, Finance & Performance</p>	<p>Summary of Progress: The main risks and mitigation actions remain similar to last reporting cycle. The previous note addresses the governance measures implemented to provide grip over the capital portfolio. This note sets out some of the key areas of risk with high impact scores and discuss management plans / mitigation strategies and why they are scored a such:</p>	
<p>Strategic Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing</p>	<p>Communities / Social: The capital portfolio contains works that if delayed could have a severe but manageable negative impact on vulnerable groups/individuals (school places, affordable homes, transport infrastructure etc). Management responses to risk areas below will help manage the impact on this.</p> <p>Environmental: The capital portfolio is a high waste creator and polluter. It also offers significant opportunity to construct and install tech and infrastructure essential to meeting strategic aims and reducing its negative impact on the environment in the delivery phase.</p> <p>Delivering sustainable projects within policy is now more prevalent but there is significant opportunity to improve. Capital Projects Service is collaborating with Sustainable City and Climate Change Service to develop a Bristol Capital Sustainability Standard. This will set out a strategic plan for environmental sustainability across the whole of Bristol City Council's capital portfolio. It contains objectives for the portfolio as a whole and guidance to help delivery staff understand the relevance to their projects. It will provide a set of metrics to track the sustainability performance of the capital portfolio. It will provide advice on what individual projects should report on to feed into these metrics. It will provide an approach to addressing sustainability across the lifecycle of a capital project.</p> <p>This is being piloted currently in Capital Strategic Partnership commissions.</p> <p>Consider adding the capital portfolio as a strategic opportunity to support attainment of strategic environmental goals. Public realm, building asset operation, energy creation & distribution, sustainable transport, ways of working, modern methods of construction can all make significant contributions if embedded consistently in the portfolio with good structures, process and management.</p> <p>Financial: Impact is 5 as the capital portfolio is currently operating within its 'assumptions'. In short there is sufficient capital to meets its liability. Inflation and the impact on labour and material due to geopolitical factors will place significant strain on budgets and will likely require use of portfolio contingency and may require headroom to be created to protect the ability to meet contractual obligations and high-level aspirations.</p> <p>An iteration of this was completed in Dec 21 to create additional headroom in the MTFP to manage this kind of issue.</p> <p>In June 2022 Grant Thornton published its interim Auditors Report on Bristol City Council. The report made several observations on capital delivery and capital spend including that the capital programme historically delivers 75% of its spend in the final quarter of the financial year. The recommendations and actions made in the report are factored into the responses and actions associated with this risk. Accurate forecasting and highly assured and smooth delivery of the capital portfolio are the key goals for the steps articulated in the Programme and Project Management section below.</p> <p>As part of the contract with the Strategic Capital Partnership, resource and support has been provided to increase training for officers to improve accuracy of current and future forecasting and budget requests for consideration within decision pathways and corporate governance.</p> <p>Programme & Project Management: The capital programme was rated as 'Limited' when internally audited in 2021. Head of Capital Projects developed a new comprehensive delivery framework, lifecycle and standard operating procedure Spring 21 that overlaid with existing BCC governance and Decision Pathway. This was internally audited at the same time and was given a 'Reasonable' assurance level with the steps to make it Substantial being to roll it out for all capital projects, not just Strategic Partner commissions. This is now a Audit management action allocated to the Head of Capital Projects.</p> <p>All Strategic Partner commissions are using the framework and SOS's. City Transport are adopting as part of the organisational refresh with 5 projects trialling already. Housing Delivery are currently considering pilot schemes for the framework as well.</p> <p>The need for a Portfolio Management Office set up has been recognised by the organisation to coordinate the portfolio's programmes and sub projects. This will allow far greater level 2 assurance, understanding interconnected risks and issues and the application of the framework across the majority of the portfolio. This will improve reporting, decision making, control and risk management. Capital Projects is working with Change Services to design and implement this capital PMO function.</p> <p>Resource has been a continual issue in delivery of capital programmes and projects. In Feb 21 the Capital Strategic Partner was commissioned. This has enabled quick call off for professional services required for capital delivery. The take up of the Partnership by officers has been greater than initially anticipated. This indicates that key projects and programmes are benefiting from this resource particularly in PM and Programme Management.</p>	

Appendix A – Corporate Risk Register as at December 2022

	<p>Demonstrable improvements are seen in the parts of the portfolio with pilots and those that are using the new delivery framework but this score will only be reduced when there is a consistent improvement across the whole capital portfolio.</p> <p>Reputation: External and internal comms are being factored into all resource requests (mandate, OBC, FBC). There is significant risk capital delivery (Bristol Beacon as an example). The council’s reputation in the market is also very important. The construction market is volatile and unpredictable at the moment. The Council needs to be considered a client of choice that suppliers want to work with or there is a significant risk that tender responses will be limited with poor value for money implications. Behaviours of commissioners and how the Council communicates its aspiration and values is key to manage this.</p> <p>Likelihood: The likelihood has been reviewed against the criteria and believe there is some justification in considering reducing to a Likely level due to the management actions we have in place and the steps we have taken to address PM and Programme Management deficiencies and resource issues. However, it is recommended that the likelihood is kept at Almost Certain for review in 3 months time. We will have had more time to assess the impact of the strategies/actions and have evidence in tangible outputs (completed projects & programmes) that will evidence the reduction rather than the improvement being only anticipated</p>
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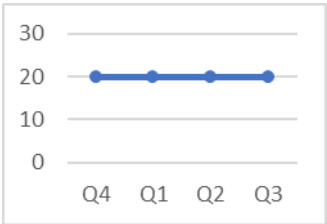
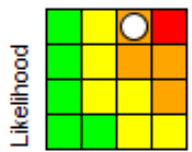
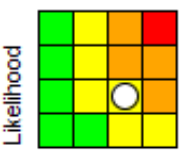
Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level		
<p>Risk Title: CRR37 - Homelessness</p> <p>Description: The risk that homelessness and the subsequent cost of providing suitable affordable accommodation to meet needs and achieve effective long-term outcomes increases.</p>	<p style="text-align: center;">Constant</p> 	<p style="font-size: 24pt;">20</p> <p>Likelihood = 4 Impact = 5</p>		<p style="font-size: 24pt;">9</p> <p>Likelihood = 3 Impact = 3</p>		
<p>Risk Causes:</p> <ul style="list-style-type: none"> -The ending of the eviction ban -Unemployment and cost of living rising leading to an increase in evictions. -A recent sharp increase in the number of households partly or wholly reliant on welfare benefits [UC claimant households in Bristol have risen from 17,000 in number in April 2020 to 38,000+ in Feb. 2022]. For most welfare benefits recipients, particularly those living in the private rented sector, housing and essential household costs are not met by their benefits entitlements’. -Impact of the pandemic leading to an increase in mental health issues, family relationship breakdown and domestic violence & abuse. -Supply of affordable rented housing reducing -Increasing popularity of Bristol as a city to move 	Existing Controls		Mitigating Actions			
	Control	Action Title			Due Date	Progress
	<ul style="list-style-type: none"> • Joint commissioning of services - Focus on more joint commissioning of services for those homeless households who also face multiple disadvantages - to create a more holistic approach and to improve outcomes. Proposals for commissioning a new framework for supported TA is going to cabinet in October 2022. • Effective Commissioning - Recommission our short-term supported housing (Pathways) accommodation & support contracts - to maximise effectiveness of these resources / funding stream and minimise repeat homelessness • Effective cost - New supplier contracts - successfully 	<ul style="list-style-type: none"> Changing Futures Programme Introduce longer term block contracts for Temporary Accommodation that will reduce the net unit cost of TA to BCC Increase the supply of move on accommodation - RSAP round 5 bid deadline 13th April 2022 			<p>March 2024</p> <p>July 2022</p> <p>March 2024</p>	<p>20%</p> <p style="background-color: #4CAF50; color: white; text-align: center;">100%</p> <p>60%</p>

Appendix A – Corporate Risk Register as at December 2022

<p>to, and associated increased pressure on demand and cost of private rented accommodation</p>	<p>introduced new block contracts for some Temporary Accommodation, reducing the cost of TA to the Council. Planning to bring more block contracts on-line this financial year</p>			
<p>Risk Consequences: Increase in homelessness and the number of households in Temporary Accommodation. Expenditure on Temporary Accommodation does not return to pre-pandemic levels and could continue to increase.</p>		<p>Cost Effective Accommodation - Initiated a project with the aim of reducing the net unit cost of Temporary Accommodation. Opportunities being explored and prioritised.</p>	<p>December 2022</p>	<p>50%</p>
		<p>Homelessness prevention - increase access to private rented - Review our approach to working with the Private rented sector and produce spend to save proposals which will increase access to accommodation and reduce TA use</p>	<p>December 2022</p>	<p>100%</p>
<p>Risk Owner(s): Executive Director Growth and Regeneration, Director Housing</p>		<p>Homelessness prevention - review client access - Review how the service and the wider homelessness sector works with clients to identify opportunities for more early intervention and prevention of homelessness</p>	<p>March 2023</p>	<p>10%</p>
<p>Portfolio Flag: Housing Delivery and Homes</p>	<p>Summary of Progress: The cost-of-living crisis poses significant risks for increasing homelessness. The scale of the impact is not yet known and will depend partly on what government support is put in place. The homelessness organisation crisis is predicting a 30% increase in homelessness.</p>			
<p>Strategic Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing.</p>	<p>The number of households presenting to Bristol City Council is continuing to increase. There has been a small increase in the number of households living in Temporary Accommodation (TA) from 1137 on 31st March 2022 to 1173 on 30th November 2022.</p> <p>In the last year the number of families with children living in TA has increased whilst the number of single clients has stayed roughly the same. Family TA is more expensive than that for single clients. This is adding to the financial pressure.</p> <p>There is an underlying pressure of £5m due to Housing Benefit Subsidy loss. With in-year mitigations the forecast pressure for 22/23 has reduced to £1.2m.</p> <p>An ambitious programme of initiatives focussed on creating a portfolio of TA without the Housing Benefit subsidy loss is out for public consultation as part of the wider Council savings initiatives. We will do this by making use of existing properties, including council housing, and working with partners to source available properties.</p>			

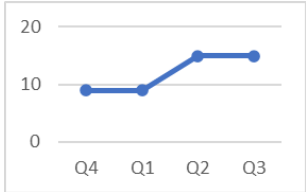
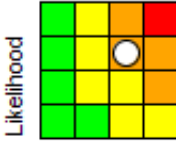
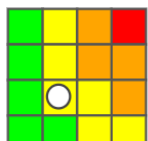
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	<p>Good progress has been made on introducing block contracts for TA.</p> <p>An enhanced package for private landlords has been developed to secure more affordable private rented accommodation for homeless clients.</p> <p>Targeted approach focussing on moving on those households in the most expensive TA placements</p> <p>Progressing opportunities to bring on-line cheaper TA.</p>
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Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level		
<p>Risk Title: CRR43 - Lack of progress for Mass Transit Impact on city</p> <p>Description: Failure of regional authorities to agree way forward for development of a Mass Transit system. No sign up to results of feasibility study.</p>	<p>Constant</p> 	<p>20 Likelihood = 4 Impact = 5</p>		<p>10 Likelihood = 2 Impact = 5</p>		
<p>Risk Causes:</p> <ol style="list-style-type: none"> 1. Resourcing Business Case development 2. Lack of political consensus 3. Viability of Business Case 4. Lack of DfT support 	Existing Controls		Mitigating Actions			
	Control		Action Title	Due Date	Progress	
	<p>Mass Transit Directors Board - Monthly board in place at regional level to ensure appropriate senior officer engagement with project</p> <p>Regular internal briefings - Regular briefings with senior managers and administration</p>					
<p>Risk Consequences:</p>						

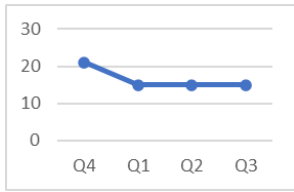
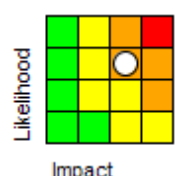
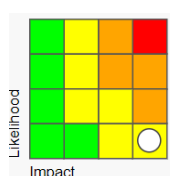
Appendix A – Corporate Risk Register as at December 2022

<p>-Reputational impact. -Long term congestion and air pollution increase. -Regional productivity reduced. -Threat to investment across the city.</p>	
<p>Risk Owner(s): Executive Director Growth and Regeneration, Director Economy of Place.</p>	
<p>Portfolio Flag: Public Health and Communities</p>	<p>Summary of Progress: No change to risk, same issues remain regarding failure to complete consultation or engagement, project cannot progress until this happens. Project risk level cannot realistically increase, unlikely to reduce by next reporting period.</p>
<p>Strategic Theme: Our Organisation, Wellbeing.</p>	

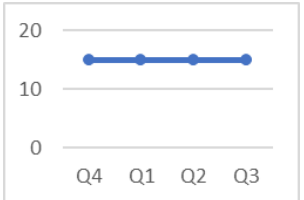
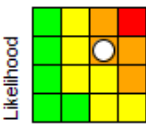
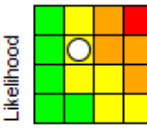
Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level														
<p>Risk Title: CRR45 - Failure to deliver statutory duty in respect of the safeguarding of children</p> <p>Description: Failure to deliver statutory duty in respect of the safeguarding of children resulting in harm or death to a child or other unmitigated risk to the local authority</p>	<p>Constant</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>Existing Controls</p> <table border="1"> <thead> <tr> <th>Control</th> </tr> </thead> <tbody> <tr> <td>1. Benchmarking salaries with regional levels</td> </tr> <tr> <td>2. Investing in training and development</td> </tr> <tr> <td>3. Over-recruiting where required</td> </tr> </tbody> </table>					Control	1. Benchmarking salaries with regional levels	2. Investing in training and development	3. Over-recruiting where required	<table border="1"> <thead> <tr> <th colspan="3">Mitigating Actions</th> </tr> <tr> <th>Action Title</th> <th>Due Date</th> <th>Progress</th> </tr> </thead> <tbody> <tr> <td>Revising recruitment and retention strategy in response to evidence of turnover and vacancies in areas of particular pressure (front door, experienced social workers and frontline managers)</td> <td>May 2022</td> <td>50%</td> </tr> <tr> <td>Commissioned independent peer review of the statutory safeguarding arrangements to ensure that the council's statutory officers are executing their</td> <td>May 2022</td> <td>100%</td> </tr> </tbody> </table>	Mitigating Actions			Action Title	Due Date	Progress	Revising recruitment and retention strategy in response to evidence of turnover and vacancies in areas of particular pressure (front door, experienced social workers and frontline managers)	May 2022
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Appendix A – Corporate Risk Register as at December 2022

	4. Reviewing system pressures and taking action on a weekly basis	responsibilities and undertaking due diligence in a legal and appropriate way.		
Risk Consequences: Harm or death of a child Inspection failure and regulatory action Litigation and reputational damage Other unpredicted costs to the LA	5. Systemic unit model and integrated locality arrangements			
	6. Skilled and stable workforce with low use of agency workers - Continued low use of agency workers but turnover and vacancies have risen.			
	7. Strong multiagency children's safeguarding partnership under Keeping Bristol Safe arrangements			
	8. Scrutiny of statutory safeguarding partners			
Risk Owner(s): Executive Director People, Director Children's and Families Services.				
Portfolio Flag: Children's Services, Education & Equalities	Summary of Progress: Continued demand for services and lack of stability in the workforce. As part of our transformation/ savings plan we are: Revising the recruitment and retention strategy in response to evidence of turnover and vacancies in areas of particular pressure (front door, experienced social workers and frontline managers) Benchmarking salaries with regional levels Proposed business case to increase apprenticeships Reviewing system pressures and taking action on a weekly basis Reviewing spend on agency workers and considering if more economical to progress recruitment of international social workers.			
Strategic Theme: Our Organisation, Empowering and Caring, Wellbeing.				

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
Risk Title: CRR10 - Safeguarding Adults at Risk with Care and Support Needs Description: The council fails to ensure adequate safeguarding measures are in place for adults at risk.	Constant 	15 Likelihood = 3 Impact = 5		7 Likelihood = 1 Impact = 7	
Risk Causes: 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.	Existing Controls		Mitigating Actions		
	Control	<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. 	Action Title	Due Date	Progress
			Development and delivery of Safeguarding Hub as a priority for the partnership.	April 2023	80%
			Review of Safeguarding Pathways and creation of Standard Operating Procedures and Performance Clinics.	December 2022	100%

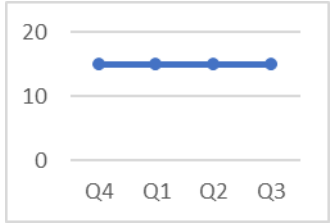
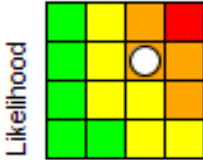
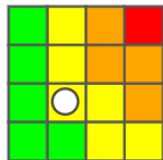
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<p>Failure to commission safe care for adults at risk. Failure to meet the requirements of the 'Prevent Duty' placed on Local Authorities. Increased destitution in families, impacting on mental ill health, managing increased infection within the population. (COVID19) Increased isolation. (COVID19) Increase identification of self-neglect and complexity. Carer strain / resilience. (COVID19)</p>	<ul style="list-style-type: none"> 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>Internal Audit Actions – feeding into existing controls</p>	<p>March 2023</p>	<p>95%</p>	
<p>Risk Consequences: Financial damage Legal liability Death/Injury Reputational damage</p>		<p>Developing a Risk Enablement Tool</p>	<p>April 2023</p>	<p>75%</p>	
<p>Risk Owner(s): Executive Director People, Director Adult Social Care.</p>		<p>Develop Self-neglect pathway – providing training, tools to better escalate cases of neglect</p>	<p>April 2023</p>	<p>75%</p>	
<p>Portfolio Flag: Adult Social Care & Integrated Care System</p>	<p>Summary of Progress: 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 adults with Care and Support needs at risk of harm. Permission to recruit via Dispensation due to vacancy freeze having an impact on teams with vacancy rates at 50% in some teams, 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 if they can be recruited. Monitoring of vacancy rates across teams and the increasing impact on duty, waiting lists and unallocated/untriaged Safeguarding concerns via Quality, Improvement and Performance meetings and escalation in weekly Business continuity meetings. Next phase of development started Quality Assurance visit undertaken in Strategic Safeguarding Adults Team, sign off of closed self-neglect referrals through service manager, risk enablement tools, potential MASH pilot, self-neglect pathways commencing or being scoped.</p>				
<p>Strategic Theme: Strategy Theme: Our Organisation, Empowering others and Caring, Fair and Inclusive, Well connected, Wellbeing.</p>					
Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p>Risk Title: CRR6 Fraud and Corruption</p> <p>Description: Failure to prevent or detect acts of significant fraud or corruption against the council from either internal or external sources.</p>	<p>Constant</p> 	<p>15 Likelihood = 3 Impact = 5</p> 		<p>9 Likelihood = 3 Impact = 3</p> 	
<p>Risk Causes: Heightened levels of fraud, including cyber fraud, as criminals attempt to exploit the COVID-19 pandemic and current cost of living increases Relaxation of controls in current emergency environment (Covid 19) as payments and support are being dispersed</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. A dedicated Counter Fraud and Investigation team - BCC</p>		<p>1. Fraud Risk Assessments</p>	<p>June 2023</p>	<p>5%</p>

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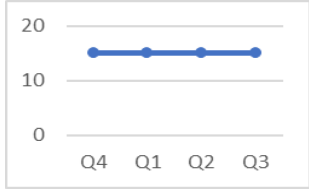
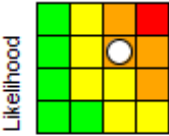

<p>quickly in line with government requirement. Failure of management to implement a sound system of internal control and/or to demonstrate commitment to it at all times. Not keeping up to date with developments, in new areas of fraud. Insufficient risk assessment of new emerging fraud issues. Lack of clear management control of responsibility, authorities and / or delegation Lack of resources to undertake the depth of work required to minimise the risks of fraud /avoidance. This potential cause is highlighted at this time given the potential impact of the current pandemic situation and with staff redeployed to support the emergency response. Under investment in fraud prevention and detection technology and resource.</p>	<p>has a dedicated Counter Fraud and Investigation team with varied skills (investigation, accountancy, audit and data analysis skills).</p> <ol style="list-style-type: none"> 2. Audits - Internal Audit reviews will sometimes include an assessment of fraud controls. In addition, the Counter Fraud team undertake 'Fraud Prevention reviews or Fraudits'. 3. Continued use of analytic and additional resources to perform payment checks. Pre-payment checking of Covid support grants continue, including bank account validation, Company House checks, duplicate claim checks and IP address checks. 4. National Fraud Initiative (NFI) fraud hub App - The NFI/Cabinet Office Fraud Hub is in use, with a limited number of datasets uploaded. In addition, Appcheck has been rolled out to Housing Options team. 5. On-going improvement plan for Whistle-blowing - Whistle-blowing arrangements have been informally assessed against Protect - benchmarking assessment tool. An improvement plan has been developed and is being implemented. 6. Participation in anti-fraud exercises - BCC takes part in the biennial Cabinet Office National Fraud Initiative exercise, the annual Council Tax Single Persons discount exercise and have been involved in pilot exercises of data matching with HMRC/Covid grants. In addition, BCC Counter Fraud team undertake a planned programme of data analytic work. 7. Planned programme of proactive fraud detection and prevention work - BCC Counter Fraud team develop an annual programme of planned work based on known and increasing fraud risks. 8. Whistleblowing procedure - New internal procedure developed. HR advisor assigned to each Whistle-blow. 9. Increased the use of technology and data analytics - Increased use of tools, data analytics and other sources of data to prevent and detect fraud. 	<ol style="list-style-type: none"> 2. Improve Whistleblowing process 3. NFI Fraud Hub Implementation 4. Review National Fraud Initiative Data Matching 5. Establish a long term more technologically advanced fraud hub 	<p>June 2023</p> <p>October 2022</p> <p>March 2023</p> <p>March 2023</p>	<p>75%</p> <p>100%</p> <p>83%</p> <p>100%</p>
<p>Risk Consequences: Losses to fraud under emergency measures is inevitable. Potential increase in financial losses due to increase in scams. Failure to prevent or detect acts of significant fraud or corruption could result in financial loss for the Council. Reputational damage could be suffered if fraud occurs.</p>				
<p>Risk Owner(s): Chief Executive and Director of Finance (S151 Officer).</p>				
<p>Portfolio Flag: Finance, Governance and Performance Strategic Theme: Our Organisation</p>	<p>Summary of Progress: The risk score remains the same. Despite all mitigations, there is always going to be a level of fraud and with the current economic situation of rising costs the risk of fraud is likely to increase. In addition, the low level of tolerance for fraud in the impact threshold keeps fraud as a high risk. In the coming quarters the focus will be on making sure that the Council has appropriate systems and processes that enable</p>			

	effective fraud prevention and detection.
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Threat Risk	Trend	Current Risk Assessment	Risk Tolerance Level
<p>Risk Title: CRR27 – Failure to Deliver the Capital Transport Programme</p> <p>Description: Management of the overall transport capital programme is key to ensuring we deliver against mayoral priorities in the most cost and time efficient way possible. Failure to do so negatively impacts the council's reputation and finances and makes the council less likely to reduce congestion, air pollution and inequality.</p>	<p>Constant</p> 	<p>15 Likelihood = 3 Impact = 5</p>  <p style="text-align: center;">Likelihood Impact</p>	<p>6 Likelihood = 2 Impact = 3</p>  <p style="text-align: center;">Likelihood Impact</p>

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Risk Causes:	Existing Controls		Mitigating Actions		
	Control		Action Title	Due Date	Progress
<ul style="list-style-type: none"> - Overspend on individual schemes leading to uncontrollable cost pressures - Underspend on annual profile - Lack of coordination and programme management across divisions - COVID - 19 - Loss of resource and inability to recruit 	Biweekly Capital Programme Review Board - Capital Programme review board reviewing timescales and status of the relevant projects.		Develop proposals for management of capital programme (working with Transport Planning Team)	May 2022	100%
	PMO Capital Programme Process Review - Reviewing City Transport capital programme processes to align better with corporate PMO and develop management of the capital programme - led by Arcadis/PMO. Reporting April. Likely to replace 6 month review		Strategic partner to complete assessment of capital delivery	May 2022	100%
	Regular briefings and reporting to senior management and cabinet members.		Client Function Review alongside CA proposal - Review client function and how it is delivered to mitigate potential loss of resource and expertise to central PMO	September 2022	0%
	Biweekly capital programme review board - reviewing timescales and status of the relevant projects.				
Risk Consequences: <ul style="list-style-type: none"> - Financial impact - Failure to progress schemes or delays to schemes impact on productivity of city and aims to reduce congestion, air pollution and inequality - Reputation Impact 					
Risk Owner(s): Executive Director Growth and Regeneration, Director Economy of Place.					
Portfolio Flag: Public Health and Communities	Summary of Progress: Significant lack of resource still an issue. In addition, proposals to remove the strategic transport function have unsettled staff resulting in further loss of resource and other staff leaving through succession planning. Very difficult to resource in current climate so good likelihood that resource issues will worsen and risk may increase in next period. Maintenance programme less affected by resourcing issues.				
Strategic Theme: Our Organisation, Wellbeing					

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
Risk Title: CRR5 - Business Continuity and Council Resilience Description: If the council has a Business Continuity disruption and is unable to ensure the resilience of key BCC operations and business activities, then the impact of the event maybe increased with a greater impact on people and council Services.	Constant 	15 Likelihood = 3 Impact = 5		9 Likelihood = 3 Impact = 3	
Risk Causes:	Existing Controls		Mitigating Actions		

Appendix A – Corporate Risk Register as at December 2022

	Control		Action Title	Due Date	Progress
<ul style="list-style-type: none"> -Strikes (People, Fuel). -Loss of key staff (communicable diseases (Covid - illness and self-isolation) and influenza. -Loss of suppliers / supply chain disruption. -Loss of accommodation to deliver key services. -Loss of equipment / infrastructure, including utilities. -Any event which may cause major disruption - e.g. severe weather -Unavailability of IT and/or Telecoms. -Knowledge loss. -Reduced chances of preventing/ responding to incidents due to a lack of forward planning or investment. -Climate change 	<ol style="list-style-type: none"> 1. A number of Policies, procedures and arrangements are in place including duty rotas for key service areas and the Duty Director rota. 2. Corporate Business Continuity Framework, including BC escalation process - Framework presented at CRG on 11th July 2022. 3. Corporate Business Continuity Group, bringing owners of 'cross cutting business support services' together (IT, FM, Procurement, HR) to horizon scan and risk manage - BC Group has met several times since March 2022 - Formalise reporting arrangements and governance required. 4. Corporate Resilience Group overseeing, corporate preparedness, including BC capability - CRG hosted power outage exercise on 22nd March, allowing key services to test business continuity arrangements. Learning from this exercise will shape a corporate power outage plan. 5. The CRG will seek assurances from key service areas regarding the robustness of continuity arrangements against local risk. 6. Service Level Business Continuity Planning - Services will be developing their BC plans in Q3, aligned to service planning. 		1. Align BC Planning with Service Delivery Planning	May 2022	100%
<p>Risk Consequences:</p> <ul style="list-style-type: none"> -Inability to deliver/support front line services. -Service Disruption. -Loss of service. -Transportation disruption. -Additional demand on services. -Stress. -Potential risk to staff and public safety. -Increased financial cost in terms of damage control and insurance costs. -Legal compliance and financial penalty. -Reputational damage. 			2. Review Corporate Business Continuity Framework Doc	September 2022	100%
			3. Review Service-level Business Continuity Plan template	September 2022	90%
			4. Lead IT Resilience / Business Continuity project, including developing battle boxes, an IT Resilience Plan, understanding DR arrangements across BCC delivered IT services and SAAS, improving service-level BC plans for managing IT outages, testing arrangements	December 2022	90%
			5. Workshops to support services to complete BC templates	Paused	50%
			6. Embed CRG and BC Group into corporate governance framework, including alignment with corporate risk group	Ongoing	75%
			7.IT Disaster Recovery / Business Continuity project – understanding critical IT requirements, understanding disaster recovery capacity, improving IT outage planning at corporate and service levels, increasing resilience to IT outages, power failures and other risks - FBC for the project is being developed and will be presented to Resources EDM on 11th July 2022.	December 2022	90%
<p>Risk Owner(s): Executive Director Growth and Regeneration Chief Executive, Director Management of Place.</p>	<p>Summary of Progress: The pace of change in the Authority, combined with significant external challenges this winter (usual winter weather, cost of living crisis, possible energy supply issues), means the risk of business continuity challenges remains likely. Work has been ongoing to address IT resilience and energy supply, however the range of impacts either event could result in makes it difficult to lower the risk score this quarter.</p>				
<p>Portfolio Flag: City Economy, Finance & Performance</p>	<p>Significant progress has been made on the Business Continuity Management System, with CLB signing off the annual Corporate Business Impact Analysis (to be completed by HoS as part of this years' service planning round), the reviewed service-level BC plan template and the BC Response Framework.</p>				
<p>Strategic Theme: Our Organisation, Wellbeing.</p>					

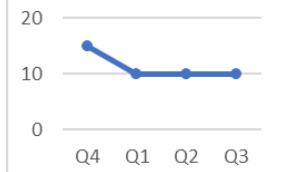
Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p>Risk Title: CRR26 – ICT Resilience</p>	<p>Constant</p>	<p>14</p> <p>Likelihood = 2 Impact = 7</p>		<p>10</p> <p>Likelihood = 2 Impact = 5</p>	
<p>Description: The Councils ability to deliver critical and key services in the event of ICT outages, and be able to recover in the event of system and/or data loss.</p>					



Risk Causes: Poor Business Continuity (BCP) planning and understanding of key system architecture. Untested Disaster Recovery (DR) arrangements including data recovery. Untested network reconfiguration to alleviate key location outage. Untested recovery schedules in terms of order and instructions. Lack of resilience available for legacy systems (single points of failure - people and technology). Services undertaking their own IT arrangements outside of the corporate approach.	Existing Controls		Mitigating Actions		
	Control		Action Title	Due Date	Progress
Risk Consequences: Inability to deliver services Risk Owner(s): Chief Executive, Director, Digital Transformation, Service Area Leads.	1. Connection to BCC systems protections - With the majority of staff working from home, connection to our systems is vital and the main route is via VPN. We have tested alternative access which can be used. 2 factor authentication was tested as a back door which allows non-BCC pcs to login to Microsoft office 365. 2. Highlight to service areas vulnerable applications - Highlighting to service areas where applications may be vulnerable and advising on likely timescales for disruption to enable appropriate BC planning. 3. Moved critical systems to the cloud with more effective DR.	1. Resilience workshops for most critical systems - Workshops are in progress to review and improve resilience for our most critical systems including: Adult and children’s social care, Revs and Bens and Housing 2. Supplier run order in the event of multiple system outage - our disaster recovery supplier has a run order in the event of a major outage involving multiple systems. 3. Weekly testing of individual systems restore - The restore of individual systems is tested weekly on a rotational basis	1. Application/system risk log	September 2021	100%
			2. IT Resilience and BCP Phase 2	January 2023	0%
Portfolio Flag: Finance, Governance and Performance Strategic Theme: Our Organisation	Summary of Progress: DR and BC Plans are being updated. Prices are being sought from our existing 3rd party DR provider and a 1 year contract is being sought with them to enable us to go to market on open tender and replace this service. This will also encapsulate and enable adjustment for any changes delivered via the Cloud Optimisation project planned for the next financial year. Additionally phase 2 of the BC/DR Project is currently on hold and not forecast to restart until the next financial year. Good progress has been made to date and when the new contract is in place, the current score will be reviewed with a view to reducing it.		3. IT Resilience and Business Continuity Project Phase 1	March 2022	100%
			4. Project to move Shared Drives to Cloud	November 2023	50%
			5. Removal of legacy hardware from estate	August 2024	50%

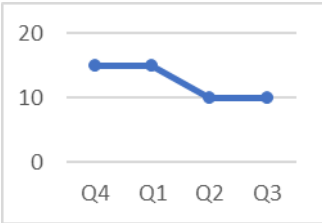
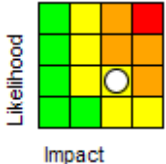
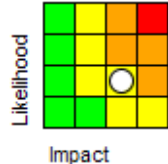
Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
Risk Title: CRR29 - Information Security Management System (ISMS) Description: There is a risk that if the council does not have an Information Security Management System then it will not be able to effectively manage	Constant	10 Likelihood = 2 Impact = 5		5 Likelihood = 1 Impact = 5	

Appendix A – Corporate Risk Register as at December 2022

Information Security risks.					
Risk Causes: Ineffective Information Security Management System, inadequate resources to create and maintain an ISMS, management buy in and support to operate an ISMS.	Control		Mitigating Actions		
Risk Consequences: Information security incidents resulting in loss of personal data or breach of privacy / confidentiality. Safeguarding data breach impacting on safety of vulnerable child or adult. Risk of breaching the regulations, and being subject to penalties/fines - Regulations Fines increasing from up to £500,000 to 10-20m Euros of 4% of global turnover. Increased litigation. Reputational damage.	<ol style="list-style-type: none"> Guidance and awareness campaigns supported by regular phishing campaigns. Comms and awareness being delivered to raise awareness to colleagues around the risk of Cyber incidents and how good Information Security practices (including adherence to policies) will help minimise the likelihood of these occurring Security Team Training MetaCompliance tool online to track compliance/engagement of policies 		Action Title	Due Date	Progress
Risk Owner(s): Senior Information Risk Owner (SIRO).			<ol style="list-style-type: none"> Continue roll out of Policies with oversight from ICGB Information Governance Tool Implement Audit Actions with oversight by IG Board 	December 2022 December 2022	75% 80%
Portfolio Flag: Finance, Governance and Performance	Summary of Progress: Final policy work on the ISMS, has lead to likelihood decrease. Future work on this will take longer due to recruitment challenges.				
Strategic Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing					

Threat Risk	Trend	Current Risk Assessment	Risk Tolerance Level
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Appendix A – Corporate Risk Register as at December 2022

<p>Risk Title: CRR4 – Failure to Deliver an effective Corporate Health, Safety and Wellbeing Framework</p> <p>Description: To deliver an effective management framework in place to ensure that the workplace and work environment is free from health and safety hazards. The framework the Council will use to achieve this is based on the Health and Safety Executives guidance Managing for Health and Safety (HSG65) 'Plan, Do Check Act' approach. The framework will apply to all employees who work at the Council whether on a permanent or temporary basis, Schools, contractors agency staff visitors and other parties who have a business relationship with BCC.</p>	<p>Constant</p>  <p>Q4 Q1 Q2 Q3</p>	<p>10 Likelihood = 2 Impact = 5</p>		<p>10 Likelihood = 2 Impact = 5</p>		
<p>Risk Causes: If services do not have sufficient staff numbers to carry out work plans in a safe way. If services are not able to order appropriate equipment required for staff safety. Lack of appropriate equipment. Lack of appropriate training. Lack of oversight and control by local management. Lack of information on the potential or known risks. Inadequate contract management arrangements. Lack of effective processes and systems consistently being applied Policies are not kept up to date.</p> <p>Risk Consequences: Risk of injury Staff, visitors, contractors, citizens. Risk of injury to our tenants. Staff put under undue pressure leading to staff taking sick leave, or leaving the organisation. Risk of legal action/penalties against the Council and individual managers, including possibility of Corporate Manslaughter. Impact on the reputation of the City Council. Lack of compliance with Health and Safety policies and safe practices, due to pressures of work or lack of training. Reputational damage</p>	<p>Existing Controls</p>		<p>Mitigating Actions</p>			
	<p>Control</p>		<p>Action Title</p>		<p>Due Date</p>	<p>Progress</p>
<p>Risk Owner(s): Chief Executive and Corporate Leadership Board (CLB), Director of Workforce Change.</p>	<ol style="list-style-type: none"> 5 Year Health and Safety Strategy - The strategy has 5 key themes - Leadership and Commitment, Risk Control, Communication and Engagement. Learning and development and Performance Management CDM, Legionella and Asbestos procedures have been revised CHaSMs Monitoring System Reviewed - CHaSMs completed in November and reported on to EDMs in January. Action plans in place and on the SHAREPOINT. Discussion with internal audit over the future of CHaSMs. Will become a yearly assessment September for Corporate Estate and October for Schools, will be linked to service and financial planning cycles to better embed the process. Work will continue on ensuring SMART action plans and better understanding of operational health and safety risks. The revised CHaSMs is due to be sent out in October 2022. Fire Safety Management System - Fire Safety Management System is in place and has been piloted. Is ready to be published on SOURCE by 30th March 2022. Once published a number of information sessions will take place to ensure managers and key responsible people understand how to implement system. Health and Well-being plan - Health and Wellbeing plan in place and being implemented New integrated OH, EAP and Physiotherapy contract - New contract in place for a year. Overall is working well 		<ol style="list-style-type: none"> Audit of key areas of risk New Accident Incident Reporting System Review Health and Safety Procedures Training and Development Programme for Health, Safety and Well-being 		<p>March 2022</p> <p>March 2022</p> <p>March 2023</p> <p>December 2022</p>	<p>100%</p> <p>100%</p> <p>20%</p> <p>10%</p>

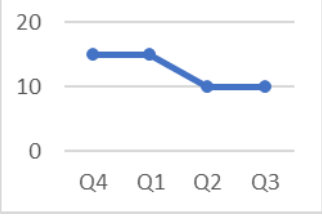
Appendix A – Corporate Risk Register as at December 2022



	<p>there are some red spots (health surveillance) which is currently being contract managed due to delivery.</p> <p>7. Reorganising the Corporate Health Safety and Wellbeing Team - New job and paperwork completed with business plan and EIA. Currently out for consultation with staff group and TU. Consultation end on 21st March 2022. Jobs will go to evaluation panel on Tuesday 29th, appointment to internal post during April onwards. The consultation process has been completed any because of Councils financial position this is being revised and will probably be implemented in two parts.</p>	
<p>Portfolio Flag: Finance, Governance and Performance Strategic Theme: Our Organisation</p>	<p>Summary of Progress: The risk assessment remains the same due to our current programme of work and strategy.</p>	

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
Risk Title: CRR18 - Failure to deliver enough	Improving	10		9	

Appendix A – Corporate Risk Register as at December 2022

<p>new homes to meet Mayoral and Annual Business Plan targets.</p>		<p>Likelihood = 2 Impact = 5</p>		<p>Likelihood = 3 Impact = 3</p>	
<p>Description: Failure of the City to deliver to the Mayoral Target of 2000 new homes per year by 2024. Strategies and delivery models designed to further stimulate growth in the housing market and deliver diversity of the housing offer across the city prove to be ineffective and do not attract and retain economically active residents.</p>					
<p>Risk Causes:</p> <ul style="list-style-type: none"> -Not enough planning applications submitted -Not enough planning permissions granted -Insufficient housing land identified in strategic planning documents -Inability of the housebuilding industry to deliver at this level -Increased uncertainty in the market due to Brexit and Covid-19. 	<p>Existing Controls</p>		<p>Mitigating Actions</p>		
<p>Risk Consequences:</p> <ul style="list-style-type: none"> -Reputational damage - Fail to deliver inclusive growth - Increased housing need / homelessness -Increased cost of housing -Failure to retain economically active residents. -Widening gap on demand -Growth of student accommodation retracting 	<p>Control</p>		<p>Action Title</p>	<p>Due Date</p>	<p>Progress</p>
<p>Risk Owner(s): Executive Director Growth and Regeneration, Director Development of Place.</p>	<p>1.Created a single multi-disciplinary Housing Delivery Team</p>		<p>Secure Homes England Affordable Housing Programme Funding</p>	<p>March 2026</p>	<p>40%</p>
<p>Portfolio Flag: Housing Delivery and Homes</p>	<p>2.Established a Local Housing Company (Goram Homes).</p>		<p>Revised Affordable Housing Funding Policy 2022-202</p>	<p>April 2022</p>	<p>100%</p>
<p>Strategic Theme: Fair and Inclusive</p>	<p>3.Introduced the Affordable Housing Practice Note.</p>		<p>10.Worked collaboratively with Homes England</p>		
<p>Summary of Progress: Completions for 2021/22 exceeded 2,500 units, this represented the highest completion figure for some years. There remains a significant pipeline of planning consents.</p>	<p>4.Issued grants to Registered Providers (RPs).</p>				
<p></p>	<p>5.Manage a targeted grant funding programme to subsidise the delivery of affordable homes.</p>				
<p></p>	<p>6.Required a minimum of 30% affordable housing on land released by the Council.</p>				
<p></p>	<p>7.Secured additional grant funding for infrastructure.</p>				
<p></p>	<p>8.Secured funding from Homes England</p>				
<p></p>	<p>9.Service Review of Housing Delivery Team</p>				
<p></p>	<p>10.Worked collaboratively with Homes England</p>				
<p></p>	<p>11. Strategic City Planning monitor housing completions and future pipeline of consents</p>				

Opportunity Risks

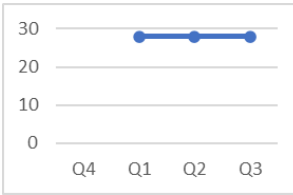
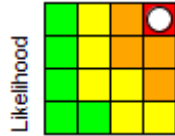
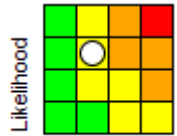
Opportunity Risk	Trend	Current Risk Assessment	Risk Tolerance Level
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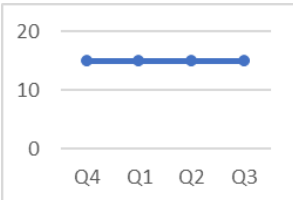
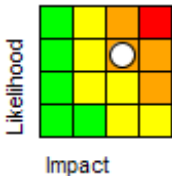
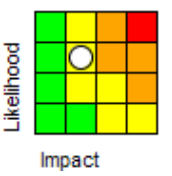
Risk Title: OPP1 - One City Approach		<p>15</p> <p>Likelihood = 3 Impact = 7</p>		<p>28</p> <p>Likelihood = 4 Impact = 7</p>	
Description: The One City Approach will offer a new way to plan strategically with partners as part of a wider city system.	Existing Controls				
Risk Causes: 1. Mayoral aspiration and widespread partner sign-up to principles 2. Work to date has produced outline plan and engaged partners in the long-term vision and necessary work to complete the plan	Control		Mitigating Actions		
Risk Consequences: 1. The council can plan as part of a wider city system, making stronger plans based on agreed city priorities which already have partner buy-in 2. Potential to make financial and efficiency savings and/ or deliver better services and/or reduced demand for service, reducing costs whilst improving citizen outcomes. Update April 2020: 3. Relationships already built can accelerate communication, collaboration and effective delivery of a coherent plan for the city's recovery from Covid-19	1. V3 One City Plan Produced - We have produced v3 of the One City Plan and produced our second annual report available on the One City Website from 12 June 2021.		Action Title	Due Date	Progress
Risk Owner(s): Director Policy, Strategy and Partnerships.			1. One City Plan refresh process 2. Set up Partnership Board 3.City Office Team Mandate	March 2023 October 2022 September 2022	10% 75% 95%
Portfolio Flag: Finance, Governance and Performance Strategic Theme: Our Organisation	Summary of Progress: Opportunity still likely and key updates to Member forums including Scrutiny offered some reassurance this Quarter of an organisational commitment to the principles of One City. However, this positive impact is offset by reduced staffing levels due to seconding the Head of City Office to work on the council's budget process, reducing operational capacity.				

External and Civil Contingency Risks

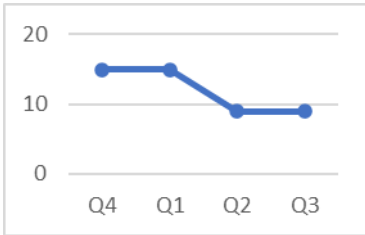
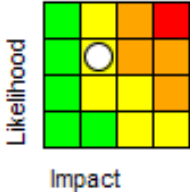

Appendix A – Corporate Risk Register as at December 2022

External and Civil Contingency Risk	Trend	Current Risk Assessment		Risk Tolerance Level																																						
<p>Risk Title: BCCCS5 - 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 style="text-align: center;">28</p> <p style="text-align: center;">Likelihood = 4 Impact = 7</p>		 <p style="text-align: center;">9</p> <p style="text-align: center;">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 	Existing Controls		Mitigating Actions																																							
<p>Risk Owner(s): Executive Director People, Director Public Health</p>	<p style="text-align: center;">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 5. Data monitoring of key 'red flag' indicators - monitored by the One City and One Council Group 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 led by BCC External Communications 9. Bi-weekly meetings of Community Exchange - Meetings with community partners delivering response 		<table border="1"> <thead> <tr> <th data-bbox="1245 555 1814 587">Action Title</th> <th data-bbox="1814 555 2022 587">Due Date</th> <th data-bbox="2022 555 2145 587">Progress</th> </tr> </thead> <tbody> <tr> <td data-bbox="1245 587 1814 639">Update baseline assessment following gov announcement 26 May 22</td> <td data-bbox="1814 587 2022 639">July 2022</td> <td data-bbox="2022 587 2145 639">100%</td> </tr> <tr> <td data-bbox="1245 639 1814 719">Work with Quartet to ensure COVID recovery /health inequity funding is directed to response and building community resilience</td> <td data-bbox="1814 639 2022 719">July 2022</td> <td data-bbox="2022 639 2145 719">100%</td> </tr> <tr> <td data-bbox="1245 719 1814 767">Communication plan</td> <td data-bbox="1814 719 2022 767">July 2022</td> <td data-bbox="2022 719 2145 767">100%</td> </tr> <tr> <td data-bbox="1245 767 1814 820">Establish network of community hubs and 'city offer' by September</td> <td data-bbox="1814 767 2022 820">September 2022</td> <td data-bbox="2022 767 2145 820">100%</td> </tr> <tr> <td data-bbox="1245 820 1814 868">Cost of Living – assess impact on business</td> <td data-bbox="1814 820 2022 868">September 2022</td> <td data-bbox="2022 820 2145 868">0%</td> </tr> <tr> <td data-bbox="1245 868 1814 920">Work with Quartet and other funders to deliver grant funding to implement autumn/winter response as agreed</td> <td data-bbox="1814 868 2022 920">September 2022</td> <td data-bbox="2022 868 2145 920">100%</td> </tr> <tr> <td data-bbox="1245 920 1814 968">Work with Quartet to deliver Social Action Grants</td> <td data-bbox="1814 920 2022 968">January 2023</td> <td data-bbox="2022 920 2145 968">0%</td> </tr> <tr> <td data-bbox="1245 968 1814 1021">Update Impact Assessment</td> <td data-bbox="1814 968 2022 1021">December 2022</td> <td data-bbox="2022 968 2145 1021">0%</td> </tr> <tr> <td data-bbox="1245 1021 1814 1069">Review funding approach with Quartet for 2023</td> <td data-bbox="1814 1021 2022 1069">February 2023</td> <td data-bbox="2022 1021 2145 1069">0%</td> </tr> <tr> <td data-bbox="1245 1069 1814 1121">Planning for 2023 event - Review approach and plan for winter 2023</td> <td data-bbox="1814 1069 2022 1121">April 2023</td> <td data-bbox="2022 1069 2145 1121">0%</td> </tr> <tr> <td data-bbox="1245 1121 1814 1204">Mid-point review - In person workshop with all partners - review what's happened to date, what's gone well/what needs to change</td> <td data-bbox="1814 1121 2022 1204">January 2023</td> <td data-bbox="2022 1121 2145 1204">0%</td> </tr> </tbody> </table>				Action Title	Due Date	Progress	Update baseline assessment following gov announcement 26 May 22	July 2022	100%	Work with Quartet to ensure COVID recovery /health inequity funding is directed to response and building community resilience	July 2022	100%	Communication plan	July 2022	100%	Establish network of community hubs and 'city offer' by September	September 2022	100%	Cost of Living – assess impact on business	September 2022	0%	Work with Quartet and other funders to deliver grant funding to implement autumn/winter response as agreed	September 2022	100%	Work with Quartet to deliver Social Action Grants	January 2023	0%	Update Impact Assessment	December 2022	0%	Review funding approach with Quartet for 2023	February 2023	0%	Planning for 2023 event - Review approach and plan for winter 2023	April 2023	0%	Mid-point review - In person workshop with all partners - review what's happened to date, what's gone well/what needs to change	January 2023	0%
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<p>Portfolio Flag: Public Health and Communities</p>	<p>Summary of Progress: A key consideration in reviewing this risk is whether it could be regraded. The weather has been warmer than average for this time of year. City partners and communities have mobilised so there is a city infrastructure in place to provide some support communities.</p>																																									
<p>Strategic Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing</p>	<p>Government has made available financial support. However, it is the case that the cost of living crisis will have last impact on communities and the and we are yet to see the full impact for this reason the risk continues to be assessed as critical (critical impact and almost certain)</p>																																									

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External and Civil Contingency Risk	Trend	Current Risk Assessment		Risk Tolerance Level																									
<p>Risk Title: BCCC1 - Flooding</p> <p>Description: There could be a risk of damage to properties and infrastructure as well as risk to public safety from flooding which may be caused by a tidal surge, heavy rainfall and river flood events.</p>	<p>Constant</p> 	<p>15 Likelihood = 3 Impact = 5</p>		<p>9 Likelihood = 3 Impact = 3</p>																									
<p>Risk Causes:</p> <ul style="list-style-type: none"> -Tidal surge, heavy rainfall, and river flood events -Impact of climate change -Lack of effective flood defences and preparedness for major incidents -Failure of existing flood defences 	<p>Existing Controls</p> <table border="1"> <thead> <tr> <th data-bbox="645 512 1041 544">Control</th> </tr> </thead> <tbody> <tr> <td data-bbox="696 544 1041 719"> <ol style="list-style-type: none"> Avon and Somerset Local Resilience Forum - The Avon and Somerset Local Resilience Forum (LRF) is a partnership of all the organisations needed to prepare for an emergency in the LRF area. It includes the emergency services, health services, Maritime and Coastal Agency, Environment Agency, volunteer agencies, utility companies, transport providers and the five councils of Bath and North East Somerset, Bristol, North Somerset, Somerset, and South Gloucestershire. </td> </tr> <tr> <td data-bbox="696 719 1041 927"> <ol style="list-style-type: none"> Engagement with external partners to develop flood response plans and procedures - Working with emergency services, local authorities, and other agencies to develop flood response plans and procedures, investigating instances of flooding, training specialist staff in swift water rescue techniques, communicating with housing and business developers to incorporate flood protection into new developments. It provides guidance to members of the public about flooding, including flood warnings and what people can do to help themselves. </td> </tr> </tbody> </table>					Control	<ol style="list-style-type: none"> Avon and Somerset Local Resilience Forum - The Avon and Somerset Local Resilience Forum (LRF) is a partnership of all the organisations needed to prepare for an emergency in the LRF area. It includes the emergency services, health services, Maritime and Coastal Agency, Environment Agency, volunteer agencies, utility companies, transport providers and the five councils of Bath and North East Somerset, Bristol, North Somerset, Somerset, and South Gloucestershire. 	<ol style="list-style-type: none"> Engagement with external partners to develop flood response plans and procedures - Working with emergency services, local authorities, and other agencies to develop flood response plans and procedures, investigating instances of flooding, training specialist staff in swift water rescue techniques, communicating with housing and business developers to incorporate flood protection into new developments. It provides guidance to members of the public about flooding, including flood warnings and what people can do to help themselves. 	<table border="1"> <thead> <tr> <th colspan="3" data-bbox="1041 480 2141 512">Mitigating Actions</th> </tr> <tr> <th data-bbox="1041 512 1783 544">Action Title</th> <th data-bbox="1783 512 2024 544">Due Date</th> <th data-bbox="2024 512 2141 544">Progress</th> </tr> </thead> <tbody> <tr> <td data-bbox="1400 544 1783 576">Avonmouth Village Flood Scheme</td> <td data-bbox="1783 544 2024 576">June 2023</td> <td data-bbox="2024 544 2141 576">20%</td> </tr> <tr> <td data-bbox="1400 576 1783 608">Deliver Bristol Avon Flood Strategy</td> <td data-bbox="1783 576 2024 608">June 2023</td> <td data-bbox="2024 576 2141 608">25%</td> </tr> <tr> <td data-bbox="1400 608 1783 687">Deliver Local Flood Risk Management Actions</td> <td data-bbox="1783 608 2024 687">February 2023</td> <td data-bbox="2024 608 2141 687">25%</td> </tr> <tr> <td data-bbox="1400 687 1783 783">Expression of Interest to participate in the DEFRA Innovation and Resilience programme</td> <td data-bbox="1783 687 2024 783">June 2021</td> <td data-bbox="2024 687 2141 783">100%</td> </tr> <tr> <td data-bbox="1400 783 1783 847">Strategic Outline Case for Managing River Avon Flood Risk</td> <td data-bbox="1783 783 2024 847">June 2021</td> <td data-bbox="2024 783 2141 847">100%</td> </tr> <tr> <td data-bbox="1400 847 1783 959">Frome Catchment Innovation Programme - Development of a number of measures to mitigate flood risk from the river Frome</td> <td data-bbox="1783 847 2024 959">March 2027</td> <td data-bbox="2024 847 2141 959">0%</td> </tr> </tbody> </table>	Mitigating Actions			Action Title	Due Date	Progress	Avonmouth Village Flood Scheme	June 2023	20%	Deliver Bristol Avon Flood Strategy	June 2023	25%	Deliver Local Flood Risk Management Actions	February 2023	25%	Expression of Interest to participate in the DEFRA Innovation and Resilience programme	June 2021	100%	Strategic Outline Case for Managing River Avon Flood Risk	June 2021
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<p>Risk Consequences:</p> <ul style="list-style-type: none"> -Economic Impacts incl loss of Property -Loss of Life/injury -Reputational Damage 																													
<p>Risk Owner(s): Executive Director Growth and Regeneration, Director Economy of Place.</p>		<ol style="list-style-type: none"> Regular and Emergency Maintenance and Clearing of Gullies and Culverts – especially in advance of storm warnings Ongoing engagement with Civil Protection unit 																											
<p>Portfolio Flag: Climate, Ecology, Energy & Waste and Strategic Planning, Resilience and Flood Strategy</p>	<p>Summary of Progress: No change to risk rating. Major projects progressing, recruitment request approved for PM for Frome Catchment project. Still no flood manager and recruitment not approved, reviewing options for how best to manage team and deal with issue going forward. Risk level may increase next period if flood manager role still not approved for recruitment</p>																												
<p>Strategic Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing.</p>																													

Appendix A – Corporate Risk Register as at December 2022

External and Civil Contingency Risk	Trend	Current Risk Assessment		Risk Tolerance Level											
<p>Risk Title: BCCC4 – Winter diseases including COVID-19 and Flu (formerly 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 style="text-align: center;">Constant</p>  <table border="1"> <caption>Line Graph Data</caption> <thead> <tr> <th>Quarter</th> <th>Risk Level</th> </tr> </thead> <tbody> <tr> <td>Q4</td> <td>15</td> </tr> <tr> <td>Q1</td> <td>15</td> </tr> <tr> <td>Q2</td> <td>10</td> </tr> <tr> <td>Q3</td> <td>10</td> </tr> </tbody> </table>	Quarter	Risk Level	Q4	15	Q1	15	Q2	10	Q3	10	<p>9</p> <p>Likelihood = 3 Impact = 3</p>		<p>14</p> <p>Likelihood = 2 Impact = 7</p>	
Quarter	Risk Level														
Q4	15														
Q1	15														
Q2	10														
Q3	10														
<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>	Existing Controls		Mitigating Actions												
	Control		Action Title	Due Date	Progress										
	<p>1. Daily Situation Reports – weekly from April 2022 and will be produced in current format until 31st March 2023</p>		<p>There are 9 COVID Population Health Sub risks with multiple mitigating Actions</p>												
	<p>2. Investment in Infection Prevention and Control - Additional recurrent investment has been made in Community Infection Prevention and control. Regional and Health system IPC oversight established</p>														
<p>3. Local Outbreak Management and Response Plan - LOMP has been replaced by living with Covid Plan -developed with partners. Mitigations in place include: New Surveillance, Communication, Engagement, Prevention – including vaccination, Protection – high risk settings and Response and surge preparedness. Weekly Outbreak Management Group replaced by weekly Living With Covid Group. Monthly reports to CLB Gold and regular updates to ELM Regular staff and public bulletins</p>															
<p>4. Ongoing Community Engagement and Mental Health Work - Additional investment in MH work through Thrive. £500k from CCG for student MH. One City focus on YP and night-time activities. Additional investment in communities, VCSE - £2m from CCG and additional funds for community vaccine champions.</p>															

Appendix A – Corporate Risk Register as at December 2022

<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>	<p>5. Priority Programmes focussed on Mental Health, Well-Being and Food Poverty</p>
<p>Risk Owner(s): Executive Directors & Director of Public Health</p>	<p>6. Protecting Health Function - Enhanced protecting health function - completed / Green. Weekly reports published – will remain in place but frequency may change - Green</p>
<p>Portfolio Flag: Mayor</p>	<p>7. Weekly Death Management and Vaccine Reports</p>
<p>Strategic Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing</p>	<p>Summary of Progress: Risk of severe health to large numbers of people has reduced considerably due to vaccine coverage. Challenge remains to maintain high vaccine coverage, and to business continuity from illness. New variant which evades vaccine remains possible.</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	4	Almost certain	
	Likely	3 (Low)	9 (Medium)	15 (High)	21 (High)	21 (High)	15 (High)	9 (Medium)	3 (Low)		3	Likely	
	Unlikely	2 (Low)	6 (Medium)	10 (Medium)	14 (High)	14 (High)	10 (Medium)	6 (Medium)	2 (Low)		2	Unlikely	
	Rare	1 (Low)	3 (Low)	5 (Medium)	7 (Medium)	7 (Medium)	5 (Medium)	3 (Low)	1 (Low)		1	Rare	
		1	3	5	7	7	5	3	1				
		Minor	Moderate	Major	Critical	Exceptional	Significant	Modest	Slight				

Threat Level	Opportunity Level	Level of Risk	Actions Required
1-4	1-4	Low	May not need any further action / monitor at the Service level.
5-12	5-12	Medium	Action required, manage and monitor at the Directorate level.
14-21	14-21	High	Must be addressed - if Directorate level consider escalating to the Corporate Risk Report, if Corporate consider escalating to the Cabinet Lead.
28	28	Critical / Significant	Action required - escalate if a Directorate level risk, escalate to the Corporate Level, if Corporate bring to the attention of the Cabinet Lead to confirm action to be taken.

LIKELIHOOD AND IMPACT RISK RATING SCORING

Likelihood Guidance

Likelihood	Likelihood Ratings 1 to 4			
	1	2	3	4
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.