

Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023






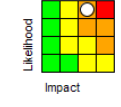

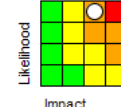

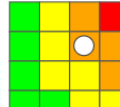

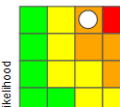
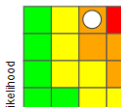

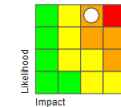

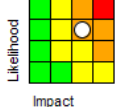

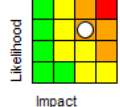

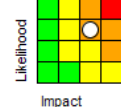

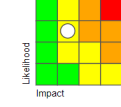
Threat Risk Performance Summary

Risk	Page Number	Q4 Rating (22/23)	Q4 Matrix (22/23)	Q1 Rating (23/24)	Q1 Matrix (23/24)	Q2 Rating (23/24)	Q2 Matrix (23/24)	Q3 Rating (23/24)	Q3 Matrix (23/24)
CRR55 - Children placed in unregistered provision may be at risk	34	N/A	N/A	28 ↓	 Likelihood Impact	28 ↓	 Likelihood Impact	28 ↓	 Likelihood Impact
CRR5 - Business Continuity and Operational Resilience may not be effective	8	10 ↑	 Likelihood Impact	14 ↓	 Likelihood Impact	21 ↓	 Likelihood Impact	21 ↓	 Likelihood Impact
CRR9 - Possible Failure of Safeguarding Vulnerable Children	11	21 ↓	 Likelihood Impact	21 ↓	 Likelihood Impact	21 ↓	 Likelihood Impact	21 ↓	 Likelihood Impact
CRR10 - Safeguarding Adults may be at Risk with Care and support needs.	10	15 ↓	 Likelihood Impact	21 ↓	 Likelihood Impact	21 ↓	 Likelihood Impact	21 ↓	 Likelihood Impact
CRR12 - Emergency planning measures and resources may be overwhelmed by scope and scale of an emergency or incident faced by the council.	13	14 ↑	 Likelihood Impact	14 ↓	 Likelihood Impact	21 ↓	 Likelihood Impact	21 ↓	 Likelihood Impact
CRR13 - Possible Financial Framework and Medium-Term Financial Plan (MTFP) Failure	14	28 ↓	 Likelihood Impact	28 ↓	 Likelihood Impact	21 ↑	 Likelihood Impact	21 ↓	 Likelihood Impact
CRR15 – Possible In-Year Financial Deficit	15	28 ↓	 Likelihood Impact	21 ↑	 Likelihood Impact	21 ↓	 Likelihood Impact	21 ↓	 Likelihood Impact
CRR48 - We may not be able to meet the affordable housing needs of the City by failing to meet the Project 1000 Delivery targets.	27	21 ↓	 Likelihood Impact	21 ↓	 Likelihood Impact	21 ↓	 Likelihood Impact	21 ↓	 Likelihood Impact


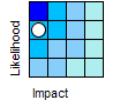

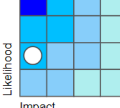

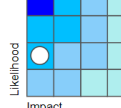

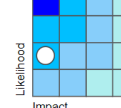
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Risk	Page Number	Q4 Rating (22/23)	Q4 Matrix (22/23)	Q1 Rating (23/24)	Q1 Matrix (23/24)	Q2 Rating (23/24)	Q2 Matrix (23/24)	Q3 Rating (23/24)	Q3 Matrix (23/24)
CRR51 - ASC may be financial unsustainable due to national and local pressures leads to a failure to deliver statutory duties and budgetary control	29	21 	 Likelihood Impact	21 	 Likelihood Impact	21 	 Likelihood Impact	21 	 Likelihood Impact
CRR52 - Potential failure to manage and evidence building safety obligations in HRA stock	30	21 	 Likelihood Impact	21 	 Likelihood Impact	21 	 Likelihood Impact	21 	 Likelihood Impact
CRR56 – Potential threat to the ASC Care Quality Commission (CQC) Assurance Preparedness and Rating	35	15 	 Likelihood Impact	15 	 Likelihood Impact	21 	 Likelihood Impact	21 	 Likelihood Impact
CRR7 - Potential Cyber Security Issues	10	20 	 Likelihood Impact	20 	 Likelihood Impact	20 	 Likelihood Impact	20 	 Likelihood Impact
CRR25 - Possible Suitability of Line of Business (LOB) Systems Issues	17	20 	 Likelihood Impact	20 	 Likelihood Impact	20 	 Likelihood Impact	20 	 Likelihood Impact
CRR37 – Homelessness and the subsequent cost of providing suitable affordable accommodation may affect long-term outcomes	21	20 	 Likelihood Impact	20 	 Likelihood Impact	20 	 Likelihood Impact	20 	 Likelihood Impact
CRR40 - Potential Threat of Unplanned Investment in Subsidiary Companies	23	20 	 Likelihood Impact	20 	 Likelihood Impact	20 	 Likelihood Impact	20 	 Likelihood Impact
CRR43 - Lack of progress for Mass Transit may have on Impact on the city	25	20 	 Likelihood Impact	20 	 Likelihood Impact	20 	 Likelihood Impact	20 	 Likelihood Impact
CRR45 - Potential failure to deliver statutory duty in respect of Children	26	20 	 Likelihood Impact	20 	 Likelihood Impact	20 	 Likelihood Impact	20 	 Likelihood Impact

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Risk	Page Number	Q4 Rating (22/23)	Q4 Matrix (22/23)	Q1 Rating (23/24)	Q1 Matrix (23/24)	Q2 Rating (23/24)	Q2 Matrix (23/24)	Q3 Rating (23/24)	Q3 Matrix (23/24)
CRR53 - Increased social worker and occupational therapists vacancies and sickness rates may result in vulnerable adults care being compromised	32	20 		20 		20 		20 	
CRR57 — Possible procurement breaches and compliance with procurement rules & legislation	36	15 		20 		20 		20 	
CRR39 - Adult and Social Care major provider/supplier may fail to deliver as expected	22	15 		15 		15 		9 	

Opportunity Risk Performance Summary

Risk	Page Number	Q4 Rating (22/23)	Q4 Matrix (22/23)	Q1 Rating (23/24)	Q1 Matrix (23/24)	Q2 Rating (23/24)	Q2 Matrix (23/24)	Q3 Rating (23/24)	Q3 Matrix (23/24)
OPP01 - Possible Impact of One City Approach	39	21 		14 		14 		14 	

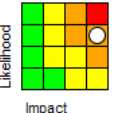
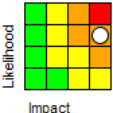
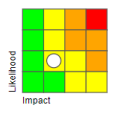
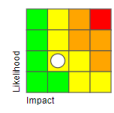
Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

CORPORATE RISKS PROPOSED FOR DE-ESCALATION FROM THE CORPORATE RISK REGISTER

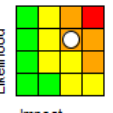
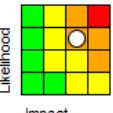
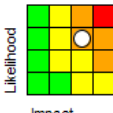
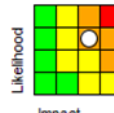
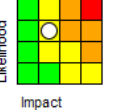
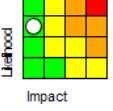
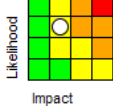
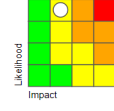
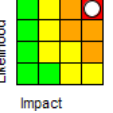
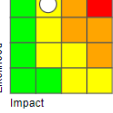
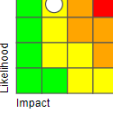
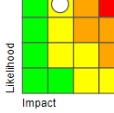
Threat Risks Recommended for De-Escalation

Risks for De-escalation	Page Number	Q4 Rating (22/23)	Q4 Matrix (22/23)	Q1 Rating (23/24)	Q1 Matrix (23/24)	Q2 Rating (23/24)	Q2 Matrix (23/24)	Q3 Rating (23/24)	Q3 Matrix (23/24)
CRR18 - Possible failure to deliver enough new homes to meet Mayoral and Annual Business Plan targets.	16	10 		15 		15 		15 	
CRR27 – We may fail to Deliver the Capital Transport Programme	18	15 		15 		15 		15 	
CRR41 – Capital Portfolio Delivery May Fail	24	20 		20 		15 		15 	
CRR4 – Possible failure to Deliver an effective Corporate Health, Safety and Wellbeing Framework	23	10 		10 		15 		15 	
CRR26 - ICT Resilience May Not Be Effective	18	14 		14 		14 		14 	
CRR29 - Information Security Management System (ISMS) May Not Be Effective	20	10 		10 		10 		10 	
CRR49 – Potential Impact of Weak Workforce Resilience	28	20 		20 		9 		9 	
CRR6 - Potential threat of Fraud and Corruption	9	15 		15 		15 		6 	

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Risks for De-escalation	Page Number	Q4 Rating (22/23)	Q4 Matrix (22/23)	Q1 Rating (23/24)	Q1 Matrix (23/24)	Q2 Rating (23/24)	Q2 Matrix (23/24)	Q3 Rating (23/24)	Q3 Matrix (23/24)
CRR54 - Potential Threat of Financial Sustainability of Nursery Schools	33	21 ↓ Escalated		21 ↓		6 ↑		6 ↓	

External and Civil Contingency Risks Recommended for De-escalation

Risks for De-escalation	Page Number	Q4 Rating (22/23)	Q4 Matrix (22/23)	Q1 Rating (23/24)	Q1 Matrix (23/24)	Q2 Rating (23/24)	Q2 Matrix (23/24)	Q3 Rating (23/24)	Q3 Matrix (23/24)
BCCC1 – Flooding May Impact Public Safety	40	15 ↓		15 ↓		15 ↓		15 ↓	
BCCC4 - Possible Increase In Winter diseases including COVID-19 and Flu	41	9 ↓		3 ↑		9 ↓		12 ↓	
BCCC5 - Cost of Living Crisis may have major impact on Citizens and Communities	42	28 ↓		12 ↑		12 ↓		12 ↓	

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CORPORATE RISKS PROPOSED FOR ESCALATION TO THE CORPORATE RISK REGISTER

Threat Risks Recommended for Escalation


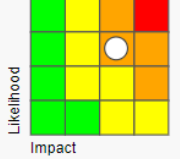
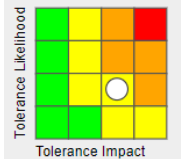
Risks for Escalation	Page Number	Q4 Rating (22/23)	Q4 Matrix (22/23)	Q1 Rating (23/24)	Q1 Matrix (23/24)	Q2 Rating (23/24)	Q2 Matrix (23/24)	Q3 Rating (23/24)	Q3 Matrix (23/24)
CRR58 - Failure to maintain and replace the Highway and Traffic assets may lead to future budget shocks and potential injuries to the public	37	9 		9 		21 		21 	
CRR59 - Failure to deliver timely statutory planning decisions	38	12 		12 		12 		20 	

Risk Trend Key


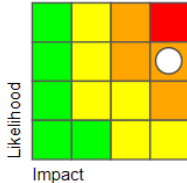
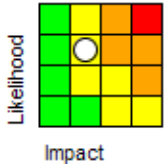
Arrow	Description
	The risk rating has improved from the previous quarter, having reduced in its severity.
	The risk rating has deteriorated from the previous quarter, having increased in its severity.
	The risk rating has not changed from the previous quarter.

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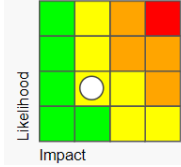
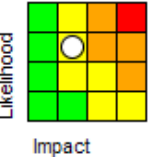
Threat Risks

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level		
<p>Risk Title: CRR4 – Possible 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, contractor's agency staff visitors and other parties who have a business relationship with BCC.</p>	<p>Constant</p> 	<p>15</p> <p>Likelihood = 3 Impact = 5</p>		<p>10</p> <p>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>Risk Owner(s): Chief Executive and Corporate Leadership Board (CLB), Director of Workforce Change.</p> <p>Portfolio Flag: Finance, Governance and Performance</p> <p>Strategic Theme: Our Organisation</p>	Existing Controls		Mitigating Actions			
	Control		Action Title	Due Date	Progress	
	<ol style="list-style-type: none"> Governance Arrangements Health Safety and Wellbeing Strategy 		Review Health and Safety Procedures	March 2024	20%	
<p>Summary of Progress: Currently re prioritising the key policies and working with our policy division to identify which policies are most critical for the management of the overall risk. We are adopting the corporate policy template to do this and this requires some splitting of policy from guidance, there should be a clear plan for January. However, early work shows Asbestos , Legionella Water Management and Accident Incident Reporting will go out for consultation first alongside a review of the Corporate Health Safety and Wellbeing Policy. There is pressure to get a policy on Violence and aggression out and although this does not have a separate legal requirement it has been drafted so will go before the end of year for consultation with a view to publish early in 2024. It should be notes that there are mitigations in place for this risk.</p>						




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Threat Risk	Trend	Current Risk Assessment	Risk Tolerance Level		
<p>Risk Title: CRR5 - Business Continuity and Operational Resilience may not be effective</p> <p>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.</p>	<p>Deteriorating</p> 	<p>21</p> <p>Impact = 7 Likelihood = 3</p>		<p>9</p> <p>Likelihood = 3 Impact = 3</p>	
<p>Risk Causes:</p> <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 	Existing Controls		Mitigating Actions		
	Control		Action Title	Due Date	Progress
<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. 	<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. 7. Finance Budget 8. Growth Paper 	Assessment on adherence and implementation	March 2024	40%	
		BC Resource to support pan BCC	April 2024	70%	
		BCC utilisation of escalation framework	February 2024	30%	
		Business Continuity 2023 workshops pan BCC	March 2024	80%	
		Embed Corporate Resilience Group and Business Continuity Group into corporate governance framework, including alignment with corporate risk group	May 2024	80%	
		IT Resilience (BC)	February 2025	80%	
		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.	January 2024	80%	
		Workshops to support services to complete Business Continuity templates	December 2023	100%	
		BCC wider BC Plan Quality and Adherence	Jan 2025	70%	
<p>Risk Owner(s): Executive Director Growth and Regeneration Director Management of Place.</p> <p>Portfolio Flag: City Economy, Finance & Performance</p> <p>Strategic Theme: Our Organisation, Wellbeing.</p>	<p>Summary of Progress:</p> <p>From September 2023 workshops and awareness sessions have hosted by EPRT BC Resource (1 FTE) these have been running twice a week. Also BIA was required / completed as part of service planning for all HoS. Despite the training and the BIA requirement we are still yet to see a 100% return of impact assessments. So 100% is needed but also an assessment to audit if the BIA's produced are of a meaningful quality and only exercising on the BIA will tell - so that'll be the next actions. But this is a challenge / balance given the limited resource now trying to balance BC demands and support across BCC with an audit of service planning BIA returns for quality and content, this is a challenge with 1 FTE resource on business continuity for all BCC. (when that 1 FTE also supports emergency response and recovery - thus was recently 100% engaged in Barton House Major incident). Risk assessment and support to mitigate / reduce is being drafted into Growth Paper for decision pathway. (DMT/EDM/CLB)</p>				


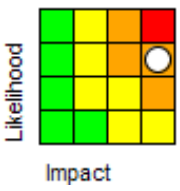
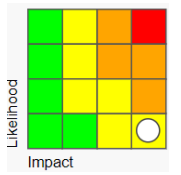
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Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p>Risk Title: CRR6 - Potential threat of Fraud and Corruption</p> <p>Description: Failure to prevent or detect acts of significant fraud or corruption against the council from either internal or external sources.</p>	<p>Improving</p> 	<p>6</p> <p>Likelihood = 2 Impact = 3</p>		<p>6</p> <p>Likelihood = 2 Impact = 3</p>	
<p>Risk Causes: Heightened levels of fraud, including cyber fraud, due to current cost of living increases. 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. Under investment in fraud prevention and detection technology and resource.</p>	Existing Controls		Mitigating Actions		
	Control		Action Title	Due Date	Progress
	<ol style="list-style-type: none"> 1. A dedicated Counter Fraud and Investigation team: 2. Audits: Internal Audit reviews will sometimes include an assessment of fraud controls. 3. Continued use of analytic and additional resources to perform payment checks: 4. Fraud Risk Assessments: 5. Increased use of technology and data analytics: 6. National Fraud Initiative (NFI) fraud hub App. 7. On-going improvement plan for Whistle-blowing. 8. Participation in anti-fraud exercises. 9. Planned programme of proactive fraud detection and prevention work:. 10. Whistleblowing procedure: New internal procedure developed.. 		Fraud Risk Assessments	Nov 2023	60%
			Fraud Reviews	March 2024	25%
			Fraud Prevention Strategy	Nov 23	100%
			Implementation of Fraud Prevention Strategy actions (New)	March 26	0%
			Implementation of Hub development plan (New)	March 25	0%
			Improving control framework	March 26	25%
			Working with other Councils	March 2024	30%
			Partnership Working	March 2024	50%
<p>Risk Consequences: 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>Summary of Progress: - In the current economic environment characterised by rising costs and cyber threat the risk of fraud is likely to increase. However, the mitigation work that has been undertaken in previous years including the set up of a fraud hub and prioritisation of fraud prevention has resulted in the risk score being reduced. Both the likelihood of a significant fraud and its impact have been reduced to reflect the anticipated impact of the completed actions and the existing controls. Given that the fraud risk is inherent in most of our activities this risk will continue to be monitored ensuring that actions from fraud risk assessments are acted up. Ongoing work include improving awareness of fraud risk through training of staff and awareness sessions, consolidation of fraud risk assessments and communicating and taking actions on lessons learned from investigation work.</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>					


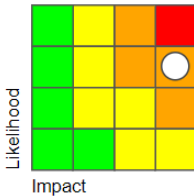
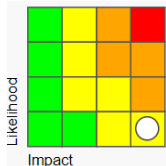
Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p>Risk Title: CRR7 – Potential Cyber Security Issues</p> <p>Description: The Council's risk level in regard to Cyber-security is higher than should be expected.</p>	<p>Constant</p> 	<p>20</p> <p>Likelihood = 4 Impact = 5</p>	 <p>Likelihood Impact</p>	<p>10</p> <p>Likelihood = 2 Impact = 5</p>	 <p>Tolerance Likelihood Tolerance Impact</p>
<p>Risk Causes:</p> <ul style="list-style-type: none"> • Lack of investment in appropriate technologies. • Reliance on in-house expertise, and self-assessments (PSN). • Lack of formal approach to risk management (ISO27001). • Historic lack of focus. <p>Risk Consequences:</p> <p>a. Information security incidents resulting in loss of personal data or breach of privacy / confidentiality.</p> <p>b. Safeguarding data breach impacting on safety of vulnerable child or adult.</p> <p>c. 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.</p> <p>d. Increased litigation. e. Reputational damage.</p>	Existing Controls		Mitigating Actions		
	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	Dec 2023	90%
	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	Dec 2023	90%
4. Security team training					
<p>Risk Owner(s): Chief Executive, Senior Information Risk Owner (SIRO).</p>					
<p>Portfolio Flag: Finance, Governance and Performance</p>	<p>Summary of Progress.</p> <p>Significant work is ongoing, including external assurance being conducted, however there are key elements required before this risk can be reduced. Work being conducted under DTP, as well as with external SME partners, including Microsoft commissioned pieces of work. Supported by BAU activities. In reviewing the risk, satisfied that the threshold for a Critical Impact is not met, therefore risk score remains unchanged.</p>				
<p>Strategic Theme: Our Organisation</p>					


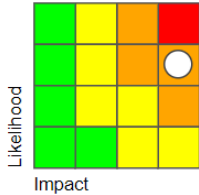
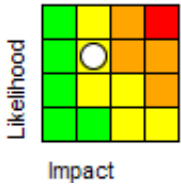
Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p>Risk Title: CRR9 - Possible Failure of 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 	Existing Controls		Mitigating Actions		
	Control	Action Title	Due Date	Progress	
	DCS quarterly assurance report to Corporate Leadership Board Inspections and Peer Reviews	Procure a strategic partner to undertake work regarding extra familial harm and with our children who go missing from home or care.	October 23	85%	
	Quality assurance and performance framework in place.	Our Families Transformation Programme	March 2025	20%	
	Strategic Risk Assurance	Working with other Councils	March 2024	30%	
<p>Risk Owner(s): Executive Director Children and Families</p>					
<p>Portfolio Flag: Children's Services, Education & Equalities</p>	<p>Summary of Progress:</p> <p>Quality Assurance and performance framework in place and reported on at regular intervals through to cabinet members and Scrutiny. DCS quarterly assurance report to Corporate Leadership Board and action taken to address areas for improvement. 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. LGA review undertaken and new Independent Chair driving improvements. Services and structure aimed at ensuring delivery of a safe system of work for safeguarding children and communities. Reviewing various areas of specific vulnerability and implementing improvements:</p> <ul style="list-style-type: none"> • resource in place for missing children by appointment of a strategic partner • reviewing quality assurance practice to ensure consistent quality of audits and sufficient number. Support provided by Islington through PiP. • Appointed a strategic partner to review and redesign extrafamilial harm pathway and services through DfE funds • reviewing child sexual abuse pathway with partners • Revised (as part of KBSP) Threshold document • implementing 'Safe and Together' approach to Domestic Abuse in families. • Our Families Transformation Programme to deliver better outcomes for children and families. • DfE Grant following Enhanced Diagnostics pilot to improve services to and outcomes for children. Consultants regarding adolescent services. housing pathway and recruitment and retention now started 				
<p>Strategic Theme: Our Organisation, Empowering and Caring, Wellbeing.</p>					


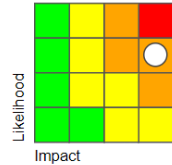
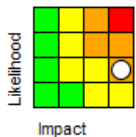
Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p>Risk Title: CRR10 - Safeguarding Adults may be at Risk with Care and support needs.</p> <p>Description: The council fails to ensure adequate safeguarding measures are in place for adults at risk.</p>	<p>Constant</p> 	<p>21</p> <p>Likelihood = 3 Impact = 7</p>		<p>7</p> <p>Likelihood = 1 Impact = 7</p>	
<p>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. 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); Increase identification of self-neglect and complexity. Carer strain / resilience.</p> <p>Risk Consequences: Financial damage Legal liability Death/Injury Reputational damage</p> <p>Risk Owner(s): Executive Director People, Director Adult Social Care.</p>	Existing Controls		Mitigating Actions		
	Control		Action Title	Due Date	Progress
	<ul style="list-style-type: none"> Annual report shared with Elected Members to allow for scrutiny of progress of the Keep Bristol Safe Partnership (KBSP). Training for all key staff in the essentials of safeguarding. Twice weekly business continuity meeting around supply of commissioned care and active management of waiting list. Improved Data through PowerBI – capturing safeguarding concerns feeding into monthly management operational meetings Safeguarding Discussion Forum – multi-agency held monthly – sharing information on high risk/complex cases 		<p>Demand Management Review</p> <p>Workforce - maximising staffing resources within budget</p>	<p>March 24</p> <p>Dec 2023</p>	<p>0 %</p> <p>0%</p>
<p>Portfolio Flag: Adult Social Care & Integrated Care System</p> <p>Strategic Theme: Strategy Theme: Our Organisation, Empowering others and Caring, Fair and Inclusive, Well connected, Wellbeing.</p>	<p>Summary of Progress: Risk remains; reviewed 23 November 2023. Waiting list tray being developed by Business Analyst to enable greater insight, and operational team is working on introducing best practice model for prioritisation of waiting lists to mitigate risk.</p>				


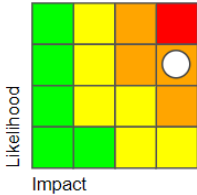
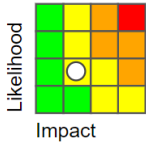
Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p>Risk Title: CRR12 - Emergency planning measures and resources may be 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>Deteriorating</p> 	<p>21</p> <p>Impact 7 = Critical Likelihood 3 = Likely</p>		<p>9</p> <p>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>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>Risk Owner(s): Executive Director Growth and Regeneration, Director Management of Place.</p>	Existing Controls		Mitigating Actions		
	Control		Action Title	Due Date	Progress
	1.24/7 Operations Centre provides effective monitoring for the city and a co-ordinary role in response and recovery		Development and roll out of the Emergency Planning e-learning package	May 24	60%
	2.Corporate Resilience Group, overseeing mitigations of contingencies risks identified on the National Security Risk Assessment and delivery of Category 1 Responder duties		Community Resilience Mapping development	January 24	80%
	3.Active participation in the Avon and Somerset Local Resilience Forum and close working with multi-agency partners, including training and exercising.		Emergency training – rest centres, humanitarian assistance and training for Marshals currently running	May 2024	70%
	4.Emergency Plans		Plan and Deliver Corporate exercise	March 2024	70%
	5.Duty Director rota in place		ERPT Resource Growth bid	March 2024	60%
	6.Duty Civil Protection Officer & other duty rotas in place (Highways, Dangerous Structures, Public Health, Social Care, etc)		Emergency Volunteer Reduction. Need increase.	March 2024	10%
	7.BCC emergency plan training and exercising in place		Horizon scanning for emerging risks annually (Via CRG, BC Group and LRF)	March 2024	65%
	8.Monitoring of severe weather events		Public Health demand v standard	March 2024	80%
9.Close working with Safety Advisory Group for Events		COMAH Off Site Emergency Plan and Exercise (New)	Nov 24	70%	
10.Horizon scanning for emerging risks, including Ukraine war (through CRG, BC Group and LRF)		Updating Core Guidance (New)	March 24	60%	
Portfolio Flag: City Economy, Finance & Performance	<p>Summary of Progress</p> <p>The BCC ERPT team 3.5 FTE (total resource for the team inc manager to support Emergency response, recovery and business continuity across BCC), emergency response and recovery was recently 100% engaged in Barton House Major incident, thus a risk of potential concurrent or sequential incidents maybe impacted BCC./City/Citizens as the 3.5 would not have been able to respond). Risk assessment and support to mitigate / reduce is being drafted into Growth Paper for decision pathway. (DMT/EDM/CLB)</p>				
Strategic Theme: Our Organisation, Wellbeing					


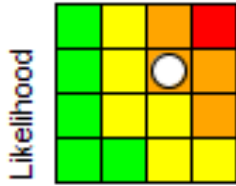

Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

Threat Risk	Trend	Current Risk Assessment			Risk Tolerance Level	
<p>Risk Title: CRR13 - Possible Financial Framework and Medium-Term Financial Plan (MTFP) Failure</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>21</p> <p>Likelihood = 3 Impact = 7</p>		<p>14</p> <p>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> <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>	<p>Existing Controls</p> <p>Control</p>		<p>Mitigating Actions</p> <p>Action Title</p> <p>Due Date</p> <p>Progress</p>			
	<p>1. 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.</p> <p>2. Medium Term Financial Plan – Twice yearly update including sensitivity and scenario based financial modelling on all assumptions including inflation and demand growth</p>	<p>Making representation to government departments in relation to: - the likely costs at a local level for the proposed Adult Social Care reforms</p> <p>Appropriate Finance Resourcing Improvement</p> <p>Robustness of Monitoring and Delivery of Savings</p>	<p>March 2024</p> <p>March 2024</p> <p>March 2024</p>	<p>0%</p> <p>50%</p> <p>50%</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:</p> <p>The risk is significantly impacted by issues outside of the Council's direct control, which is why this risk remains critical, including the National situation economically and politically, funding arrangements from central government and policy that impacts the Council's MTFP. Internal controls and management of the process are undertaken annually and sensitivity testing of assumptions and modelling is undertaken, as well as collaboration with peer organisations and influencing through available channels to ensure that the Council continues to manage and mitigate this risk. The MTFP budget gap remains at this time, with work continuing to enable it to be closed to support a balanced budget and MTFP to be taken forward for recommendation to full council. In addition the provisional local government financial settlement remains outstanding and therefore the final impact from that will need to be taken into account for the coming budget setting period. Overall there is limited certainty available for the medium term in terms of funding, with the current settlement term coming to an end in 24/25 and the changes anticipated at a central government level.</p>					




Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

Threat Risk	Trend	Current Risk Assessment	Risk Tolerance Level		
<p>Risk Title: CRR15 – Possible 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>		<p>Mitigating Actions</p>		
	<p>Control</p> <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 - 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. DSG - Early Years Block Task and Finish Group; Vacancy Freeze to manage budget overspend 	<p>Action Title</p> <p>DfE Deliver Better Programme</p> <p>Appropriate Finance Resourcing Improvement</p> <p>Robustness of Monitoring and Delivery of Savings</p>	<p>Due Date</p> <p>Dec 2023</p> <p>March 2024</p> <p>March 2024</p>	<p>Progress</p> <p>60%</p> <p>50%</p> <p>50%</p>	
<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>Risk Owner: Director Finance (CFO S151)</p>					
<p>Portfolio Flag: Finance, Governance and Performance</p> <p>Strategic Theme: Our Organisation</p>	<p>Summary of Progress: This remains High. At P7 and moving into P8 there remain significant items highlighted on the risk and operations log along side forecast deterioration. Whilst much of the adverse position has been managed through in year mitigation and balances held in abeyance following P4/P5, the position has worsened and further management of that is now required before outturn.</p>				


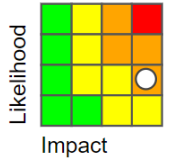
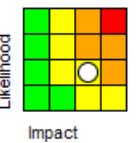
Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level		
<p>Risk Title: CRR18 - Possible failure to deliver enough new homes to meet Mayoral and Annual Business Plan targets.</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>Constant</p> 	<p>15</p> <p>Likelihood = 3 Impact = 5</p>	 <p>Likelihood</p> <p>Impact</p>	<p>9</p> <p>Likelihood = 3 Impact = 3</p>	 <p>Likelihood</p> <p>Impact</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>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>Risk Owner(s): Executive Director Growth and Regeneration, Director Development of Place.</p> <p>Portfolio Flag: Housing Delivery and Homes</p> <p>Strategic Theme: Fair and Inclusive</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.Created a single multi-disciplinary Housing Delivery Team</p>		<p>Secure Homes England Affordable Housing Programme Funding</p>		<p>March 2026</p>	<p>70%</p>
	<p>2.Established a Local Housing Company (Goram Homes). Introduced the Affordable Housing Practice Note.</p>					
	<p>3.Issued grants to Registered Providers (RPs).</p>					
	<p>4.Manage a targeted grant funding programme to subsidise the delivery of affordable homes.</p>					
	<p>5.Required a minimum of 30% affordable housing on land released by the Council.</p>					
	<p>6.Secured additional grant funding for infrastructure. Secured funding from Homes England</p>					
	<p>7.Service Review of Housing Delivery Team</p>					
<p>8.Worked collaboratively with Homes England</p>						
<p>9. Strategic City Planning monitor housing completions and future pipeline of consents</p>						
<p>Summary of Progress:</p> <p>This has materialised for this FY. There may also a likelihood of this re-occurring next FY - however due to the time lag between decision making and completion there is now little that the planning team can do to influence figures in the current FY.</p>						


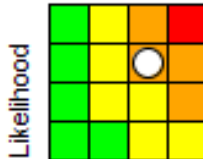
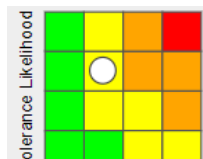
Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p>Risk Title: CRR25 – Suitability of Line of Business (LOB) Systems</p> <p>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</p>	<p>Constant</p> 	<p>20</p> <p>Likelihood = 4 Impact = 5</p>		<p>10</p> <p>Likelihood = 2 Impact = 5</p>	
<p>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.</p> <p>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 transformation. May feed into Information (Cyber) Security risks.</p> <p>Risk Owner(s): Director, Digital Transformation, Senior Information Risk Owner (SIRO) for Cyber Security. Service Areas for BCP/DR.</p> <p>Portfolio Flag: Finance, Governance and Performance</p> <p>Strategic Theme: Our Organisation</p>	Existing Controls		Mitigating Actions		
	Control		Action Title	Due Date	Progress
	1. Auditing of all councils Line of Business (LOB systems)		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%
	2. IT Services highlight risks and shortcomings with systems (in an informal manner) to Heads of Service and Senior Leadership				
	3. Work with Information Governance perpetuate a Cyber Security or Information Management risk are identified and service areas understand the risks to their services.				
Summary of Progress:		Work underway to procure cyber-sec review. Contract mapping completed, giving overview of known IT systems/contracts; but does not lower risk until assessment of LOB estate complete.			


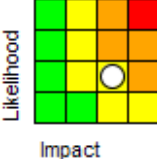
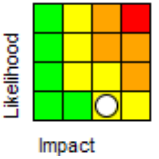
Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

Threat Risk	Trend	Current Risk Assessment			Risk Tolerance Level		
<p>Risk Title: CRR26 – ICT Resilience May Not Be Effective</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>	<p>Constant</p> 	<p>14</p> <p>Likelihood = 2 Impact = 7</p>		<p>10</p> <p>Likelihood = 2 Impact = 5</p>			
<p>Risk Causes: Poor Business Continuity (BCP) planning and understanding of key system architecture.</p> <p>Untested Disaster Recovery (DR) arrangements including data recovery.</p> <p>Untested network reconfiguration to alleviate key location outage.</p> <p>Untested recovery schedules in terms of order and instructions.</p> <p>Lack of resilience available for legacy systems (single points of failure - people and technology).</p> <p>Services undertaking their own IT arrangements outside of the corporate approach.</p>	Existing Controls		Mitigating Actions				
<p>Risk Consequences: Inability to deliver services</p>	Control	<ol style="list-style-type: none"> 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. 4. 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 5. 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. 6. Weekly testing of individual systems restore - The restore of individual systems is tested weekly on a rotational basis 	Action Title	Due Date	Progress		
<p>Risk Owner(s): Chief Executive, Director, Digital Transformation, Service Area Leads.</p>			1. Project to move Shared Drives to Cloud	December 2025	65%		
<p>Portfolio Flag: Finance, Governance and Performance</p>			2. Removal of legacy hardware from estate	November 2025	50%		
<p>Strategic Theme: Our Organisation</p>							


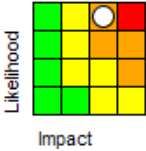
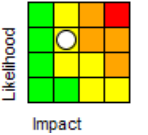
Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p>Risk Title: CRR27 – We may fail 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>9 Likelihood = 3 Impact = 3</p>	
	Existing Controls		Mitigating Actions		
	Control		Action Title	Due Date	Progress
	Quarterly capital review boards		Capital Programme Transformation Project (New)	March 24	50%
	Capital Programme Transformation Project		Health reviews of various projects (New)	March 24	75%
	Regular briefings and reporting to senior management and cabinet members.		Recruit to vacant posts across the service (New)	March 24	10%
<p>Risk Consequences:</p> <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 					
<p>Risk Owner(s): Executive Director Growth and Regeneration, Director Economy of Place.</p>					
<p>Portfolio Flag: Transport (Cllr Alexander)</p>	<p>Summary of Progress: Lack of resource and high number of vacancies still leading to significant risk of failing to deliver capital programme. Support services can also be an issue.</p>				
<p>Strategic Theme: Our Organisation, Wellbeing</p>					


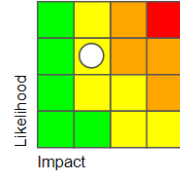
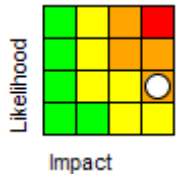
Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p>Risk Title: CRR29 - Information Security Management System (ISMS) May Not Be Effective</p> <p>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 Information Security risks.</p>	<p>Constant</p> 	<p>10</p> <p>Likelihood = 2 Impact = 5</p>	 <p>Likelihood</p> <p>Impact</p>	<p>5</p> <p>Likelihood = 1 Impact = 5</p>	 <p>Likelihood</p> <p>Impact</p>
<p>Risk Causes: Ineffective Information Security Management System, inadequate resources to create and maintain an ISMS, management buy in and support to operate an ISMS.</p>	Control		Mitigating Actions		
			Action Title	Due Date	Progress
<p>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.</p>	<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 Meta Compliance tool online to track compliance/engagement of policies 		1. Continue roll out of Policies with oversight from ICGB Information Governance Tool	December 2023	90%
			2. Implement Audit Actions with oversight by IG Board	December 2023	100%
<p>Risk Owner(s): Senior Information Risk Owner (SIRO).</p>					
<p>Portfolio Flag: Finance, Governance and Performance</p>	<p>Summary of Progress: No change to current score. Policy work complete, just working through approval and publishing. This is being aligned with both the new corporate policy work, and internal collaboration with IT policies that overlap. Staff awareness is the focus next, alongside the continuous improvement needed to be fully aligned to ISO27001</p>				
<p>Strategic Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing</p>					


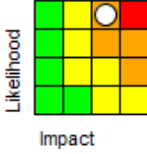
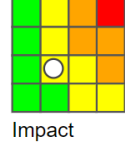
Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level		
<p>Risk Title: CRR37 - Homelessness and the subsequent cost of providing suitable affordable accommodation may affect long-term outcomes</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>Constant</p> 	<p>20</p> <p>Likelihood = 4 Impact = 5</p>		<p>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 to, and associated increased pressure on demand and cost of private rented accommodation <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>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"> 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 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>Changing Futures Programme</p> <p>Increase the supply of move on accommodation - RSAP round 5 bid deadline 13th April 2022</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>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>Submit a bid to Single Homelessness Accommodation Programme (SHAP) to bring on-line additional supported housing</p>	<p>March 2024</p> <p>March 2024</p> <p>December 2023</p> <p>March 24</p> <p>September 2023</p>	<p>45%</p> <p>60%</p> <p>50%</p> <p>15%</p> <p>100%</p>		
	<p>Risk Owner(s): Executive Director Growth and Regeneration, Director Housing</p>		<p>Summary of Progress:</p> <p>The number of households presenting to Bristol City Council is continuing to increase. There has been an increase in the number of households living in Temporary Accommodation (TA) 1300 on 31st July 2023 to 1431 on 30th November 2023. Factors including fast tracked asylum decisions, increased homelessness from the private rented sector and early prison release has contributed to the increase. There is an underlying pressure of £5m due to Housing Benefit Subsidy loss. With in-year mitigations the forecast pressure for 23/24 is now £1.9m.</p>			
	<p>Portfolio Flag: Housing Delivery and Homes</p>					
	<p>Strategic Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing.</p>					


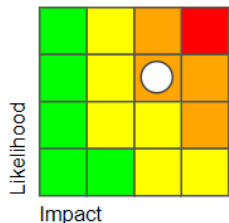
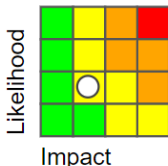
Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level		
<p>Risk Title: CRR39 – Adult and Social Care major provider/supplier may fail to deliver as expected 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>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> <p>Portfolio Flag: Adult Social Care & Integrated Care System Strategic Theme: Our Organisation, Empowering others and Caring, Fair and Inclusive, Well connected, Wellbeing.</p>	<p>Improving</p> 	<p>9</p> <p>Likelihood = 3 Impact = 3</p>		<p>14</p> <p>Likelihood = 2 Impact = 7</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 resources. Provider Failure/Service Interruption Process 		Action Title	Due Date	Progress	
			Provider RAG rating to identify essential / difficult to replace services	March 24	10%	
	Summary of Progress: It continues to be likely that a large supplier could fail but most likely be a planned exit and as market relatively stable, it would be able to cope.					



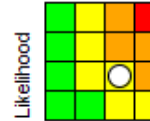
Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level		
<p>Risk Title: CRR40 – Potential Threat of 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>Risk Consequences:</p> <ul style="list-style-type: none"> - Financial Loss - Reputational damage to the council - Impact to service provision provided by subsidiary companies <p>Risk Owner(s): Chief Executive and S151 Officer.</p> <p>Portfolio Flag: Finance, Governance and Performance</p> <p>Strategic Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing</p>	Existing Controls		Mitigating Actions			
	Control	<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 Company assurance group 	Action Title	Due Date	Progress	
		<p>Summary of Progress:</p> <p>Risk rating for 1st December unchanged as a result almost certain outcome that BCC will be required to increase Waste contract payments at year end to deal with shortfall resulting from cost inflationary pressures.</p>				


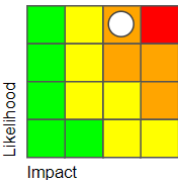
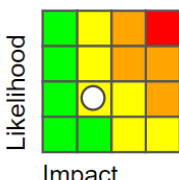
Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level			
<p>Risk Title: CRR41 – Capital Portfolio Delivery May Fail</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>15 Likelihood = 3 Impact = 5</p>		<p>6 Likelihood = 2 Impact = 3</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 to deliver outcomes to secure strategic objectives</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		Capital transformation project to develop best practice governance, structure and assurance across whole capital programme.			June 2024	18%
	Internal/External comms factored in into all resource requests to reduce reputational risks						
	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.						
<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 construction sector while still challenging continues to become less volatile. Actions taken to ensure sufficient capital contingency has resulted in a more resilient capital portfolio. Performance is uneven with variation across the portfolio. The capital transformation programme continues to implement improvements, substantially assured standard operating procedures and best practice across the capital portfolio to mitigate the risks identified in this item and target better speed, quality and value in delivery. A key outcome from the transformation programme will be enhanced reporting and corporate insight into the capital portfolio at a senior officer level.</p>						
<p>Strategic Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing</p>							


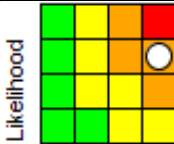
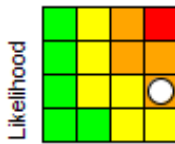
Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p>Risk Title: CRR43 - Lack of progress for Mass Transit may have on Impact on the city</p>	<p>Constant</p> 	<p>20 Likelihood = 4 Impact = 5</p>		<p>10 Likelihood = 2 Impact = 5</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>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> <ul style="list-style-type: none"> -Reputational impact. -Long term congestion and air pollution increase. -Regional productivity reduced. -Threat to investment across the city. 					
<p>Risk Owner(s): Executive Director Growth and Regeneration, Director Economy of Place.</p>					
<p>Portfolio Flag: Transport (Cllr Alexander)</p>	<p>Summary of Progress: Committee failed to agree a way forward for the strategic outline business case so currently no evident way forward for project. Awaiting update from WECA.</p>				
<p>Strategic Theme: Our Organisation, Wellbeing.</p>					


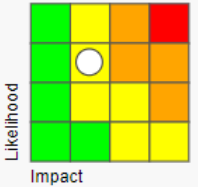

Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level		
<p>Risk Title: CRR45 - Potential failure to deliver statutory duty in respect 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>20</p> <p>Likelihood = 4 Impact = 5</p>		<p>6</p> <p>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>	Existing Controls		Mitigating Actions			
	Control		Action Title	Due Date	Progress	
<p>Risk Consequences: Harm or death of a child Inspection failure and regulatory action Litigation and reputational damage Other unpredicted costs to the LA</p>	1.	Benchmarking salaries with regional levels	Implement transformation programme of Children's service	October 2024	41%	
	2.	Investing in training and development				
	3.	Over-recruiting where required				
	4.	Reviewing system pressures and taking action on a weekly basis				
	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				
<p>Risk Owner(s): Executive Director Children and Education.</p>						
<p>Portfolio Flag: Children's Services, Education & Equalities</p>	<p>Summary of Progress: The Our Families Transformation Programme has identified strands to 1) Improve recruitment and retention of social workers. 2) Address demand management by focussed work to prevent children coming into care and improve placement sufficiency. 3) Respond to the findings within our Ofsted improvement plan. 4) Work is being planned across Adults and Children to improve Transitions for our children and timeliness of Care Act assessments. 5) DfE Grant to improve outcomes for children and linked to Our Families Transformation Programme has been approved and plan is in place to deliver against this over next 2yrs. Consultants appointed to work on models for adolescents, housing pathway and recruitment and retention of social workers. 6) The progress against the DfE grant and 7) Our Families Transformation programme is monitored through Our Families Board and CLB. The Directorate Improvement Plan encompasses actions against the risks.</p>					
<p>Strategic Theme: Our Organisation, Empowering and Caring, Wellbeing.</p>						


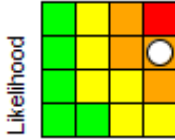
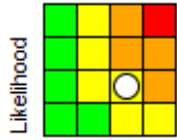
Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p>Risk Title: CRR48 - We may not be able to meet the affordable housing needs of the city by failing to meet the Project 1000 Delivery targets.</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>Constant</p> 	<p>21</p> <p>Likelihood = 3 Impact = 7</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:</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
<p>Risk Consequences:</p> <p>1. Reputational damage; 2. Increased levels of homelessness 3. Increased demand from the private rented sector, (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>	<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. Secure Homes England Affordable Housing Programme Funding 2. 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>March 2026</p> <p>March 2025</p>	<p>70%</p> <p>80%</p>	
	<p>Risk Owner(s): Executive Director Growth and Regeneration,</p>				
<p>Portfolio Flag: Housing Delivery and Homes</p> <p>Strategic Theme: Fair and Inclusive</p>	<p>Summary of Progress</p> <p>Very little change from previous quarter in what is currently a difficult time for the construction and development sector. The HRA delivery programme has progressed well since last quarter with new planning consents and start on site milestones being reached on 5 sites delivering 76 new homes. 97 new affordable homes completed in q2, a total of 227 this year. There are 1900 affordable homes in active delivery in the city and a new sites pipeline of 80 development opportunities being brought forward which will deliver a further 3000+ homes in future years. Its is this longer term, future pipeline of affordable homes that is potentially at risk for the City as costs rise and capacity within the construction sector diminishes.</p>				


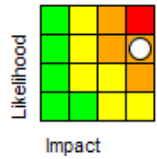
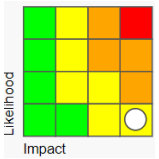
Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level		
<p>Risk Title: CRR49 - Potential Impact of Weak Workforce Resilience</p> <p>Description: A lack of workforce resilience or capacity to provide statutory services and achieve strategic aims and objectives</p>	<p>Constant</p> 	<p>9</p> <p>Impact 3 = Likelihood= 3</p>		<p>6</p> <p>Impact=3 Likelihood = 2</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 HSE/Legal action Reputational damage Poor customer satisfaction leading to complaints and requests for compensation</p>	Existing Controls		Mitigating Actions			
	Control	<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 •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 	Action Title	Due Date	Progress	
			Workforce Strategy is currently being refreshed and will have workforce resilience and wellbeing as a primary theme	March 2024	75%	
<p>Risk Owner(s): Chief Executive, Director of Workforce and Change</p>	<p>Summary of Progress: Sickness absence and staff turnover have started to subside. It is recognised that the chance of large swathes of the Council's 6,500+ workers simultaneously suffering a breakdown in resilience is unlikely. Therefore consideration will be given to asking areas where the risk is more likely to register this at a directorate/divisional/service level.</p>					
<p>Portfolio Flag: City Economy, Finance & Performance</p>						
<p>Strategic Theme: Our Organisation</p>						

Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level		
<p>Risk Title: CRR51 - ASC may be financial unsustainable 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>	<p>Constant</p> 	<p>21</p> <p>Likelihood = 3 Impact = 7</p>	 <p>Likelihood</p> <p>Impact</p>	<p>10</p> <p>Likelihood = 2 Impact = 5</p>	 <p>Likelihood</p> <p>Impact</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. 	Existing Controls		Mitigating Actions			
	Control		Action Title	Due Date	Progress	
<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. 	<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 		Strategic Partner (People Too) transformation work	March 2024	15%	
			Develop Single Framework	February 2024	50%	
		Increase the take up and opportunity around the use of technology enabled care	Sept 2023	100%		
		Review of in-house service provision to deliver efficiencies and savings	Sept 2023	100%		
<p>Portfolio Flag: Children's Services, Education & Equalities</p> <p>Portfolio Flag: Adult Social Care & Integrated Care System</p>	<p>Summary of Progress:</p> <p>Peopletoo and other transformation programmes in flight, but as we enter Q3 the risk of not balancing the budget becomes more acute. Risk combined of legacy saving projects, transformation and continued increase in demand. Some projects are progressing well and are delivering cash savings but not at the scale and pace required. Non-cashable saving also being delivered.</p>					
<p>Strategic Theme: Our Organisation, Empowering and Caring, Wellbeing.</p>						


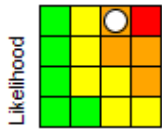
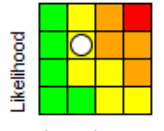
Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p>Risk Title: CRR52 Failure to manage and evidence compliance with building safety obligations in HRA stock may lead to regulatory enforcement.</p> <p>Description: Risk of failing to ensure high rise properties meet safety requirements</p>	<p>Constant</p> 	<p>21</p> <p>Likelihood = 3 Impact = 7</p>	 <p>Likelihood</p> <p>Impact</p>	<p>7</p> <p>Likelihood = 1 Impact = 7</p>	 <p>Likelihood</p> <p>Impact</p>
<p>Risk Causes: Findings from new PAS9980 inspection regime, learning from fires and new regulatory requirements. Difficulty recruiting to new posts and use of interim arrangements due to sector wide capacity issues with recruitment.</p>	Existing Controls		Mitigating Actions		
<p>Risk Consequences: Risks to personal safety, reputational and legal (financial and criminal), increased insurance costs.</p>	Control		Action Title	Due Date	Progress
<p>Risk Owner(s): Executive Director Growth and Regeneration, Director Homes and Landlord Service</p>	<ul style="list-style-type: none"> Building safety board meetings monitor fire and building safety compliance. Governance via HSLT, EDM, Corporate Safety, Health & Wellbeing and Cabinet Member. Plan to create Building Safety Cases to evidence the safety management systems and action plans to remediate risks. Progression of a plan of action to meet requirements is underway through the Head of Business Development and Programme Lead (Residential Building Safety). 	<p>A competent resource in place to manage and deliver building safety obligations</p>	Dec 23	30%	
<p>Evidence that all Building Safety Bill obligations are being met by ensuring all in scope buildings are registered and key building information supplied. - Phase 3 (building safety cases) (New)</p>		April 23	3%		
<p>Implement an evidenced risk-based approach to building safety management which ensures buildings which have a higher risk have more robust/intensive management.</p>		April 23	20%		
<p>Building/Fire Safety- develop plan for data, mandatory occurrence reporting, golden thread of information-strategy, data ownership, data storage and reporting software/systems under BSA</p>		March 24	25%		
<p>Building Safety – Develop strategy and programme following building safety case review from regulator. (New)</p>		Oct 23	90%		
<p>Building safety – Finalise and implement overarching resident engagement strategy</p>		March 24	30%		
<p>Building safety – Finalise and implement per block resident engagement strategy</p>		March 24	30%		
<p>Building Safety – Review performance reporting framework</p>		Dec 23	100%		
<p>Building safety –Review current governance structure through H&LS DMT, EDM and CLB</p>		Dec 23	100%		
<p>Building safety, Fire Safety – Comprehensive strategy for both building safety and fire safety for >11-18m stock due to very limited knowledge of 200+ mid-rise buildings</p>		May 24	30%		
<p>Building Safety- start building safety cases for HRBs</p>	March 24	100%			


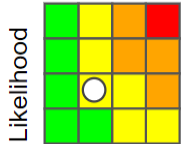
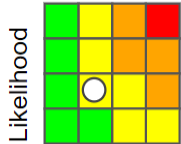
Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

<p>Portfolio Flag: Housing Delivery and Homes</p>	<p>Summary of Progress: The panel determined that the likelihood should increase to 4 (highly likely) to reflect the above concerns, and takes into consideration the current major incident declared at Barton House relating to structural issues. Following discussion with members of HSLT, the risk title has been amended to reflect the possible outcome of regulatory enforcement, and the likelihood of this reclassified as 3 (likely). Significant progress has been in resourcing the Building Safety Team - albeit still predominantly with Interim appointments, and a programme for prioritisation of delivery and management of our Building Safety Obligations.</p>
<p>Strategic Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing</p>	


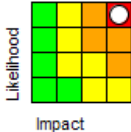
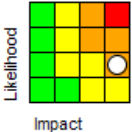
Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level		
<p>Risk Title: CRR53 - Increased social worker and occupational therapists' vacancies and sickness rates may result in vulnerable adults' care being comprised.</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>	<p>Constant</p> 	<p>20</p> <p>Impact = 5 Major Likelihood= 4 Almost Certain</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 	Existing Controls		Mitigating Actions			
<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. 	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	
<p>Risk Owner(s): Executive Director People, Director Adult Social Care.</p>			Commission Workforce Strategy	November 2023	100%	
<p>Portfolio Flag: Adult Social Care & Integrated Care System</p>						
<p>Strategic Theme: Our Organisation, Empowering others and Caring, Fair and Inclusive, Well connected, Wellbeing.</p>	<p>Summary of Progress: Work underway on TOM and Vision for ASC. Pay and non-pay options to shore up recruitment and retention progressing.</p>					


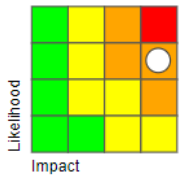

Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p>Risk Title: CRR54 - Potential Threat of Financial Sustainability of Nursery Schools</p> <p>Description: The impact of Covid and union action on maintained nursery schools and classes will significantly reduce the funding provided to the LA and schools and could impact on sustainability and sufficiency (sufficiency being a statutory responsibility of the service) Ongoing underfunding of nursery schools continue to raise questions about their future.</p>	<p>Constant</p> 	<p>6</p> <p>Likelihood = 3 Impact = 2</p>		<p>6</p> <p>Likelihood = 3 Impact = 2</p>	
<p>Risk Causes:</p> <ul style="list-style-type: none"> Availability of staff to service early years learning Census data weakened to inform on EY sector funding. Government process change. 	Existing Controls		Mitigating Actions		
	Control		Action Title	Due Date	Progress
<p>Risk Consequences:</p> <ol style="list-style-type: none"> Increased financial deficits in maintained nursery schools leading to impact on the DSG and long-term sustainability. Reduction in places across the maintained sector on a permanent basis as schools close unsustainable nursery provision that impacts on the city's sufficiency plan. 	<ul style="list-style-type: none"> Identification of potential financial impact Review of progress with agreed actions with targeted nursery schools. Published a council position on the strategic need for nursery schools and key areas where action is required to support sustainability. Individual finance visits to four targeted nursery schools with the largest in-year deficits to create action plans to tackle identified issues. Communication with nursery schools to establish Covid impact and impact on pupil numbers Development of a nursery transformation programme in collaboration with LA maintained nursery school headteachers and governors. Context conversations to capture the strengths and strategic importance of nursery schools as well as the financial and operational challenges. 	Continuing with the nursery transformation programme and working with nursery schools to implement action plans that will reduce in-year deficits and move towards sustainable models for the future.	April 24	55%	
		Bringing groups of nursery schools together the develop collaborative and federation models that share resources, leadership, skills and expertise.	April 24	50%	
		Modelling management of change and collaborate and federation models to inform discussions.	April 24	50%	
		Engaging with elected members to review strategic position of nursery schools and how the council can support remodelling and securing future sustainability.	April 24	45%	
<p>Risk Owner(s): Executive Director People, Service Director Education and Skills</p>					
<p>Portfolio Flag: Children's Services, Education & Equalities</p>	<p>Summary of Progress:</p> <p>Increased government funding rates, including increased supplement for maintained nursery schools and increased hourly rates for 2 Year Olds and 3/4 Year Olds, are impacting positively on the school's in-year budget positions. Further funding to support government plans for the expansion of childcare and out of school wrap around care has been announced and officers are currently modelling the financial impact of these increases on current balances. The key challenge remaining is the repayment of the historical deficit of £7million. Discussions underway to agree a repayment plan that is manageable by schools and which meets outcomes of an Equalities Impact Assessment. Schools unable to repay historical deficit in 3-5 years, as stipulated by the financial regulations. Officers reporting to Our Families Board and Schools Forum updates provided.</p>				
<p>Strategic Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing</p>					


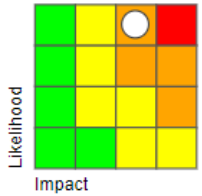

Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p>Risk Title: CRR55 - Children placed in unregistered provision may be at risk</p> <p>Description: There is a possible high threat risk for the council regarding children placed in unregistered provision which is unlawful.</p>	<p>Constant</p> 	<p>28 Likelihood = 4 Impact = 7</p>		<p>14 Likelihood = 2 Impact = 7</p>	
<p>Risk Causes:</p> <ul style="list-style-type: none"> The causes are placement sufficiency and increased numbers of children coming into care. 	Existing Controls		Mitigating Actions		
	Control		Action Title	Due Date	Progress
<p>Risk Consequences:</p> <ul style="list-style-type: none"> Unlawful placements Negative Legal Impact Negative Ofsted Impact 	<ul style="list-style-type: none"> Oversight of Director of Children and Families 		Improve placement sufficiency	March 2025	60%
			Implementation of BCC Families Transformation Programme.	January 24	67%
<p>Risk Owner(s): Executive Director Children and Education</p>					
<p>Portfolio Flag: Children’s Services, Education & Equalities</p>	<p>Summary of Progress: The risk remains as we continue to have children placed in unregistered provision.</p>				
<p>Strategic Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing</p>					


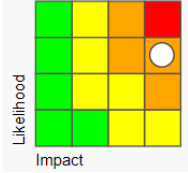

Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p>Risk Title: CRR56 - Potential threat to the ASC Care Quality Commission (CQC) Assurance Preparedness and Rating</p> <p>Description:</p>	<p>Constant</p> 	<p>21</p> <p>Likelihood = 3 Impact = 7</p>		<p>2</p> <p>Likelihood = 2 Impact = 1</p>	
<p>Risk Causes</p> <p>New line of work - learning whilst doing with little evidence base or benchmarking to refer to. Programme of work in preparation for inspection hitherto managed within BAU resource which has proved insufficient. Current workforce and operating model pressures are leading to risks to compliance in carrying out statutory duties, e.g. safeguarding, timely Care Act Assessments. Data and performance reporting (e.g. locality dashboard) delayed/unfinished.</p>	Existing Controls		Mitigating Actions		
	Control		Action Title	Due Date	Progress
<p>Risk Consequences:</p> <p>People are families are waiting too long to be seen as teams are having to operate waiting lists, including in areas where there should be none, e.g. Safeguarding and First Response. Line of sight of risk is compromised. Individuals may come to harm.</p>	<p>This is a new area of work, and so current control requirements are emerging as we learn from pilots.</p>		LGA Peer Review (New)	January 2024	0%
			Reframed Approach to Self-Assessment (New)	December 2023	67%
			Resourcing Self-Assessment	October 2023	100%
<p>Risk Owner(s): Director - Adult Social Care</p>					
<p>Portfolio Flag:</p> <p>Adult and Communities – Adult Social Care</p>	<p>Summary of Progress:</p> <p>Self Assessment complete with the support of additional resource. LGA Peer Review Prep is underway alongside engagement with partners and colleagues on the self assessment.</p>				
<p>Strategic Theme: Empowering and Caring, Wellbeing Our Organisation</p>					


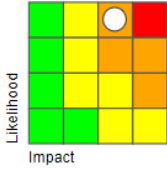
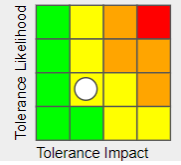
Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p>Risk Title: CRR57 Possible procurement breaches and compliance with procurement rules & legislation.</p> <p>Description: Lack of compliance with procurement rules with regards to purchasing and contract management may result in breaches or BCC Procurement Rules and at risk of breaching PCR2015.</p>	<p>Constant</p> 	<p>20 Likelihood =4 Impact = 5</p>		<p>9 Likelihood = 3 Impact = 3</p>	
<p>Risk Causes Poor contract management Lack strategic planning and pipeline awareness.; Supplier preference, unwillingness to tender; Lack capacity withing Procurement & Contract Management Service; Rise of inflation and savings targets</p> <p>Risk Consequences: Successful Legal challenge and financial penalty against BCC. Reputational damage due to internal audit scrutiny and external audit publishing.</p>	Existing Controls		Mitigating Actions		
	Control		Action Title	Due Date	Progress
	All procurement breaches to be approved by Executive Directors Breach Dashboard Data Reporting Training		Monthly reporting to Director of Finance on breach activity	March 2024	75%
			Quarterly Members Briefing on Procurement Breaches	March 2024	75%
			Monitoring reports on breach activity to all Directors and Executive Directors on breach numbers, compliance and mitigations.	March 2024	75%
<p>Risk Owner(s): Director: Finance (CFO S151)</p>	<p>Portfolio Flag: Finance, Governance and Performance</p> <p>Summary of Progress: Q2 Report - There have been 125 breaches YTD, which is high but represents a significant reduction from this time last year (194). For context, this means that 9% of all procurement decisions were breaches (125/1318), or 6% by value (£40m of breaches out of a total of £631m total decisions). Breach numbers by Directorate YTD are: 26 in Adults & Communities, 64 in Children and Education, 35 in G&R and 0 breaches in Resources. CLB agreed to bring Director led 'deep dive' reports back to CLB to set out how procurement breaches will be reduced. Breaches now monitored weekly by CLB.</p>				
<p>Strategic Theme: Our Organisation</p>					

Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023


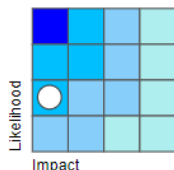
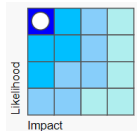
Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p>Risk Title: CRR58 Failure to maintain and replace the Highway and Traffic assets may lead to future budget shocks and potential injuries to the public</p>	<p>Constant</p> 	<p>21 Likelihood = 3 Impact = 7</p>		<p>10 Likelihood = 2 Impact = 5</p>	
<p>Description: Deterioration of highway condition. Additional roadworks resulting in congestion and air pollution. .</p>					
<p>Risk Causes Under investment in replacements and upgrades of highway and traffic assets Climate changes are accelerates the depreciation of the asset Lack of funding from Central Government and local funding</p>	<p>Existing Controls</p>		<p>Mitigating Actions</p>		
<p>Risk Consequences: 1. Multi-storey carpark closure 2. Multi-storey carpark structural failure 3. Harbour Bridge Structural Failure 4. Failure to safeguard against significant injury/death. 5. Litigation from third party aggravated or who have suffered loss, due to non treatment of a perceived collision site or other Highways defect. 6. Traffic congestion and air pollution. 7. Increase in complaints and request for repairs diverts resources from core business.</p>	<p>Control</p>	<p>Depreciation modelling identifies the severity of the risk to Highway and Traffic asses</p> <p>Lifecycle modelling and scheme selection using data sets</p> <p>Preventative maintenance approach to repairs extends the life of the asset and slows the depreciation.</p> <p>Risk based to seeking additional funding (Challenge funds)</p>	<p>Action Title</p> <p>Request for funding to be included in the medium financial plan.</p>	<p>Due Date</p> <p>January 24</p>	<p>Progress</p> <p>75%</p>
<p>Risk Owner(s): Executive Director Growth and Regeneration</p>	<p>Summary of Progress: Risk categories increased to major due to current circumstances. E.g. claims increase and defects on network increasing as depreciation accelerates. Risk of the asset depreciation has been presented to senior leadership and finance colleagues to support business case for additional funding</p>				
<p>Portfolio Flag: Transport</p>					
<p>Strategic Theme: Well Connected</p>					

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Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p>Risk Title: CRR59 Failure to deliver timely statutory planning decisions</p>	<p>Deteriorating</p> 	<p>20 Likelihood =4 Impact = 5</p>		<p>6 Likelihood = 2 Impact = 3</p>	
<p>Description: The DM service must determine applications in statutory time periods and failure to do this results in delays in delivering development and potentially refund of fees</p>					
<p>Risk Causes Inability to attract, recruit and/or retain existing suitably trained/qualified/experienced staff to support work programme and the development of the service. Small teams are less resilient than others, in some instances only one or two staff qualified to carry out services resulting in single point of failure. Jobs in the council not seen as aspirational and interest impacted by national news of council funding reductions. Salaries not as competitive as private sector. Limited opportunity for staff progression. Corporate financial pressures impacting recruitment and retention Overturns of officer recommendations by Members at DC Committee. Decisions made under delegated powers that are overturned by the Planning Inspectorate at appeal.</p> <p>Risk Consequences: Planning & building regulation applications take longer to determine. Delays in delivering developments. Potential fee refund if extended time not agreed. Inability to complete existing projects Reduced ability to take on work and to respond to variations in workload and programmes. Loss of market share if delays not acceptable to the customer. Inability to honour career grade progression commitments.</p> <p>Risk Owner(s): Chief Planner</p>	Existing Controls		Mitigating Actions		
	Control		Action Title	Due Date	Progress
			Backlog recovery plan of planning application decisions	June 2024	25%
<p>Portfolio Flag: Strategic Planning and City Design Strategic Theme Empowering and Caring Strategic Planning and City Design</p>	<p>Summary of Progress: In light of the massive backlog this has been a serious issue for the last 6 months that are addressing as No. 1 priority in development management. The scale of the issue means, however, that recovering the situation will take at least another 6 months likely longer.</p>				



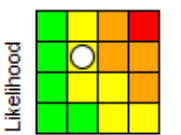
Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

Opportunity Risks


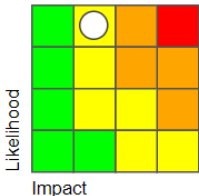
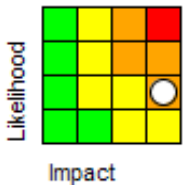
Opportunity Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p>Risk Title: OPP01 - Possible Impact of One City Approach</p> <p>Description: The One City Approach will offer a new way to plan strategically with partners as part of a wider city system.</p>	<p>Constant</p> 	<p>14</p> <p>Likelihood = 2 Impact = 7</p>		<p>28</p> <p>Likelihood = 4 Impact = 7</p>	
<p>Risk Causes:</p> <ol style="list-style-type: none"> Mayoral aspiration and widespread partner sign-up to principles Work to date has produced outline plan and engaged partners in the long-term vision and necessary work to complete the plan 	Existing Controls		Mitigating Actions		
	Control		Action Title	Due Date	Progress
	<ol style="list-style-type: none"> 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. 		Set up Partnership Board	September 2023	100%
			Establish TOR and Performance Criteria	Feb 24	50%
<p>Risk Consequences:</p> <ol style="list-style-type: none"> 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 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: Relationships already built can accelerate communication, collaboration and effective delivery of a coherent plan for the city's recovery from Covid-19 					
<p>Risk Owner(s): Director Policy, Strategy and Partnerships.</p>					
<p>Portfolio Flag: Finance, Governance and Performance</p>	<p>Summary of Progress: Good engagement with Committee Member Working Group about One City but awaiting future session to confirm the group's view about the model, which will be influential.</p>				
<p>Strategic Theme: Our Organisation</p>					

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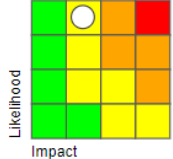
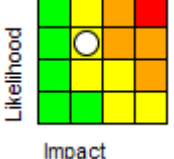
External and Civil Contingency Risks

External and Civil Contingency Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p>Risk Title: BCCC1 - Flooding May Impact Public Safety</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</p> <p>Likelihood = 3 Impact = 5</p>	 <p>Likelihood</p> <p>Impact</p>	<p>9</p> <p>Likelihood = 3 Impact = 3</p>	 <p>Likelihood</p> <p>Impact</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 	Existing Controls		Mitigating Actions		
	Control		Action Title	Due Date	Progress
<p>Risk Consequences:</p> <ul style="list-style-type: none"> -Economic Impacts including loss of property -Loss of life/injury -Reputational damage -Damage to infrastructure including strategic highway -Blight of city centre development land 	<ol style="list-style-type: none"> 1. 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. 2. 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. 	<ol style="list-style-type: none"> 1. Avonmouth Severnside Enterprise Area flood defence scheme - construction 	June 2027	80%	
		<ol style="list-style-type: none"> 2. Local Flood Risk Management Strategy - Bristol has in place a local Flood Risk Management Strategy which comprises of 5 key themes and 43 separate actions in line with Environment Agency's national strategy. The Strategy has used outputs from a number of key studies (which identify the risk of flooding to the city) to structure our response to flood risk management, from emergency management to flood mitigation schemes 	<ol style="list-style-type: none"> 1. Bristol Avon Flood Strategy - Outline Business Case 2. Deliver Local Flood Risk Management Actions 3. Establish improved maintenance regimes for the assets in the floating harbour and update asset management system (New) 	January 24	70%
<p>Risk Owner(s): Executive Director Growth and Regeneration, Director Economy of Place.</p>	<ol style="list-style-type: none"> 3. Local Flood Risk Management Strategy - Bristol has in place a local Flood Risk Management Strategy which comprises of 5 key themes and 43 separate actions in line with Environment Agency's national strategy. The Strategy has used outputs from a number of key studies (which identify the risk of flooding to the city) to structure our response to flood risk management, from emergency management to flood mitigation schemes 4. Regular and Emergency Maintenance and Clearing of Gullies and Culverts – especially in advance of storm warnings 5. Ongoing engagement with Civil Protection unit 	Resilient Frome project	February 2030	25%	
		Underfall Yard sluice replacement works – construction (New)	Dec 24	50%	
<p>Portfolio Flag: Climate, Ecology, Energy & Waste and Strategic Planning, Resilience and Flood Strategy</p>	<p>Summary of Progress: Resource appointed to lead Frome resilience project, manager recruitment ongoing. Projects progressing but significant flood risk remain.</p>				
<p>Strategic Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing.</p>					

Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

External and Civil Contingency Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p>Risk Title: BCCC4 – Possible Increase in Winter diseases including COVID-19 and Flu</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</p>	<p>Deteriorating</p> 	<p>12</p> <p>Likelihood = 4 Impact = 3</p>		<p>9</p> <p>Likelihood = 3 Impact = 3</p>	
<p>Risk Causes: Covid 19 poses multiple risks to population health. Directly from infection; indirectly through social and economic impacts; and through pressures on the health and care system. Removal of Covid controls reduces ability to contain infection.</p> <p>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>Risk Owner(s): Executive Directors & Director of Public Health</p> <p>Portfolio Flag: Mayor</p> <p>Strategic Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing</p>	Existing Controls		Mitigating Actions		
	Control	Action Title	Due Date	Progress	
	1. Daily Situation Reports – weekly from April 2022 and will be produced in current format until 31 March 2023				
	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				
	3. Local Outbreak Management and Response Plan - LOMP has been replaced by living with Covid Plan -developed with partners. 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				
	4. Ongoing Community Engagement and Mental Health Work - Additional investment in MH work through Thrive				
	5. Priority Programmes focussed on Mental Health, Well-Being and Food Poverty				
	6. Protecting Health Function - Enhanced protecting health function - completed / Green. Weekly reports published – will remain in place but frequency may change - Green				
7. Weekly Death Management and Vaccine Reports					
	<p>Summary of Progress: The winter disease season has not started yet (24/11/23) so there has not been a marked increase in Flu or COVID at the moment, but we do anticipate that the seasonal increase will be notable in the coming quarter.</p>				

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External and Civil Contingency Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p>Risk Title: BCCC5 - Cost of Living Crisis may have major 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>12 Likelihood = 4 Impact = 3</p>		<p>9 Likelihood = 3 Impact = 3</p>	
<p>Risk Causes:</p> <ul style="list-style-type: none"> -Supply chains disruption -Global COVID-19 Pandemic -Brexit -War in Ukraine -Leading to rapid inflation <p>Risk Consequences:</p> <ul style="list-style-type: none"> -Destitution - homelessness -Inability for citizens to pay general services and utilities -Increased debt for citizens and the council -Health and well-being deterioration -Inequity deepening -Increased demand on services across the council leading to failure to meet this demand -Community cohesion deteriorates 	Existing Controls		Mitigating Actions		
	Control		Action Title	Due Date	Progress
<p>Risk Owner(s): Executive Director People, Director Public Health</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 		Review and update comms plan for winter 23/24	October 2023	100%
			Update Impact Assessment	Sept 2023	100%
			Work with Quartet to award Social Action Grants	December 2023	0%
<p>Portfolio Flag: Public Health and Communities</p>	<p>Summary of Progress: We have a communications plan in place. The BCC website continues to provide information for people who need financial help or looking to increase their household income. 60 welcoming spaces are open and we expect more to open now that small grants have been made available via Quartet. The City Coordination Group continues to meet monthly as does the One Council Group we are agreed our focus is about long term sustainable action to address poverty and inequity which included ensuring there is immediate help available. This is a systemic problem rather than a short term crisis.</p>				
<p>Strategic Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing</p>					

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Risk Scoring Matrix

		Threat Impact (Negative risks)					Opportunity Impact (Positive Risk)						
Threat Likelihood	Almost certain	4	4 (Low)	12 (Medium)	20 (High)	28 (Critical)	28 (Significant)	20 (High)	12 (Medium)	4 (Low)	4	Almost certain	Opportunity Likelihood
	Likely	3	3 (Low)	9 (Medium)	15 (High)	21 (High)	21 (High)	15 (High)	9 (Medium)	3 (Low)	3	Likely	
	Unlikely	2	2 (Low)	6 (Medium)	10 (Medium)	14 (High)	14 (High)	10 (Medium)	6 (Medium)	2 (Low)	2	Unlikely	
	Rare	1	1 (Low)	3 (Low)	5 (Medium)	7 (Medium)	7 (Medium)	5 (Medium)	3 (Low)	1 (Low)	1	Rare	
			1	3	5	7	7	5	3	1			
			Minor	Moderate	Major	Critical	Exceptional	Significant	Modest	Slight			

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

LIKELIHOOD AND IMPACT RISK RATING SCORING
Likelihood Guidance

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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.