

BIRMINGHAM CITY COUNCIL

PUBLIC REPORT

Report to:	Audit Committee		
Report of:	Assistant Director, Audit & Risk Management		
Date of Meeting:	30th July 2019		
Subject:	Corporate Risk Register Update		
Wards Affected:	All		
1. Purpose of Report			
1.1	To update the Audit Committee on the management of risks and issues contained within the Corporate Risk Register (CRR); Appendix A. A risk heat map together with an index of risks, showing the direction of travel, are also included.		
2. Recommendation			
2.1	That the Audit Committee:		
	i) notes the CRR updates detailed in Section 3 below; and		
	ii) review the CRR and assess whether the risk ratings and actions are reasonable / effective or if further explanation / information is required in order to satisfy itself that the Risk Management Framework has been consistently applied.		
3. Changes to the CRR			
3.1 Reworded Risks			
<u>Risk</u>	<u>From</u>	<u>To</u>	<u>Page</u>
10	Not responding fully and effectively to the recommendations made in the Kerslake Report and implementing the Future Council Programme.	Transformation – failing to make sufficient progress in key areas of improvement activity	58
3.2 Increased Risk Rating			
<u>Risk</u>	<u>From</u>	<u>To</u>	<u>Page</u>
12 Equality Act	Medium / Significant	Significant / Significant	33
17 Corporate Risk Marker	Low / Medium	Medium / Medium	43

16	Web Service	Significant / Medium	Significant / Significant	61
10	Transformation	Medium / Significant	Significant / Significant	65
3.3 Decreased Risk Ratings				
<u>Risk</u>		<u>From</u>	<u>To</u>	<u>Page</u>
32	Incidents or acts of terrorism	Significant / High	Medium / Significant	14
31	Homeless Service	High / High	Significant / Medium	28
11	Loss of personal data	Medium / High	Medium / Significant	37
36	Grenfell	Low / Medium	Low / Low	39
15	Divest of costly property assets	Significant / Medium	Medium / Medium	49
38	Enterprise Zone Programme	Medium / High	Medium / Significant	52
41	Schools Deficits	High / High	High / Significant	55
46	Universal Credit	Medium / High	Medium / Medium	58
39	HS2	Significant / Significant	Medium / Medium	71
4. Background Information				
4.1	Members have a key role within the risk management and internal control processes.			
4.2	The Audit Committee terms of reference, sets out its responsibilities and in relation to risk management these are:			
	<ul style="list-style-type: none"> • providing independent assurance to the Council on the effectiveness of the risk management framework and the associated control environment; • whether there is an appropriate culture of risk management and related control throughout the Council; • to review and advise the Executive on the embedding and maintenance of an effective system of corporate governance including internal control and risk management; and • to give an assurance to the Council that there is a sufficient and systematic review of the corporate governance, internal control and risk management arrangements within the Council. 			

5. Corporate Risk Register Update

- 5.1 The CRR is aligned to the corporate objectives of the Council and identifies the key risks to be managed at a corporate level.
- 5.2 The Council Management Team (CMT) and the Deputy Leader review the CRR on a monthly basis to strengthen oversight arrangements and have agreed to the above changes.

6. Risk Management Framework

- 6.1 The Council's Risk Management Strategy, Policy and Toolkit have been reviewed and consolidated into a single Risk Management Framework. This revised Framework, which places greater emphasis on the actions that are required to the manage risks, was approved by the Audit Committee at their January 2019 meeting.
- 6.2 Tools to support the implementation of the framework, guidance for managers and an E-learning module, have been developed and made accessible via the Council's Internet.
- 6.3 All risks have been comprehensively reviewed, transferred into the new template and action plans established. Each action has been assigned a R.A.G status as follows:

Red	Target date will not be achieved; significant difficulties encountered delivering the action.
Amber	Slight slippage against the target date. Action will be substantially delivered.
Green	On track, action will be fully delivered by the target date.

We are working closely with directorate risk representatives to continue to develop and strengthen action plans. Completed actions will be removed after they have been reported to Audit Committee.

7. Embedding Risk Management

- 7.1 There are directorate risk registers in place supported by individual risk registers for service areas. Monthly updates are facilitated through the Directorate Risk Representatives.

- 7.2 The current main route to provide risk management awareness is the e-learning package for managers, accessed via the internet. All documents and web pages have been refreshed.
- 7.3 Service managers are asked about their risk management arrangements as part of routine audit work.
- 7.4 Corporate Directors are required to provide an annual assurance that they have embedded risk management to support the Annual Governance Statement.
- 8. Legal and Resource Implications**
- 8.1 The work carried out is within approved budgets.
- 9. Equality Impact Assessment Issues**
- 9.1 Risk management forms an important part of the internal control framework within the Council.
- 9.2 The Council's risk management strategy has been Equality Impact Assessed and was found to have no adverse impacts.
- 10. Compliance Issues**
- 10.1 Decisions are consistent with relevant Council Policies, Plans and Strategies.

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Sarah Dunlavy
Assistant Director, Audit & Risk Management

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Risk Map – July 2019						
Likelihood	High		<div>Risk of fines re air quality (R34)</div>	<div>Highways PFI – Core Investment deliverables (R6)</div> <div>The Early Years Health and Well Being Contract (R43)</div> <div>Schools Deficits – National funding arrangements have resulted in real term funding reductions (R41)</div>	<div>Compliance re Counter Terrorism & Security Act (R26)</div> <div>Employee relations/ sickness absence levels (R7)</div>	
	Significant		<div>Equal Pay claims (R1)</div> <div>Statutory homeless service (R31)</div>	<div>Compliance to Equality Act 2010 & PSED (R12)</div> <div>Improvement Activity Progress (R10)</div> <div>Malicious attacks of web based services (R16)</div> <div>Failure of STP to deliver change/improve health & wellbeing (R33)</div>	<div>Improving children’s safeguarding (R2)</div> <div>Travel Assist – cost of provision and ability to deliver the agreed level of service (R42)</div>	
	Medium		<div>Not divesting of property assets (R15)</div> <div>Evaluation of service delivery options (R18)</div> <div>Ineffective Corporate Risk Marker IT solution (R17)</div> <div>Commonwealth Games – Athletes Village (R40)</div> <div>Universal Credit (R46)</div> <div>Allowance Payments (R44)</div> <div>Delivery of HS2 following Royal Assent of the HS2 Act (R39)</div>	<div>Loss of personal/ sensitive data (R11)</div> <div>Compliance to timescales for DoLS referrals (R25)</div> <div>Management of the Enterprise Zone Programme in line with its delivery Plan (R38)</div> <div>Responding to emergency incidents including acts of terrorism (R32)</div>	<div>Containing expenditure within approved budget (R29)</div> <div>Homeless Reduction Act (R37)</div>	
	Low	<div>Grenfell Tower Enquiry (R36)</div>				
Key	Low		Medium		Significant	High
	Impact					
	Severe					
	Material					
	Tolerable					
Severe		Immediate control improvement to be made to enable business goals to be met and service delivery maintained/improved.				
Material		Close monitoring to be carried out and cost effective control improvements sought to ensure service delivery is maintained				
Tolerable		Regular review, low cost control improvements sought if possible.				

Risk Index

INDEX OF RISKS – PREVIOUS UPDATES

Safeguarding / Welfare

Risk No.	Risk Title	Appendix A Page No.	Actual Rating Nov 2017 L / I	Actual Rating March 2018 L / I	Actual Rating July 2018 L / I	Actual Rating Nov 2018 L / I	Actual Rating March 2019 L / I	Actual Rating July 2019 L / I
2	Not responding fully and effectively to the improvement agenda for children - Failure to improve children's safeguarding and children's social care.	12	H/H ↑	H/H ↔	S/H ↓	S/H ↔	S/H ↔	S/H ↔
32	Risk of significant disruption to Council services and failure to effectively manage and respond to emergency incidents, including acts of terrorism.	14	S/H ↔	S/H ↔	S/H ↔	S/H ↔	S/H ↔	M/S ↓
33	Failure of the Council to make its contribution to deliver a step change to the Health and Social Care system resulting in an improvement to the health and well-being of Birmingham citizens.	16	S/S ↔	S/S ↔	S/S ↔	S/S ↔	S/S ↔	S/S ↔
42	Travel Assist There are risks within the service over the cost of the provision and ability to deliver the agreed level of service within the agreed budget.	17			S/H	S/H ↔	S/H ↔	S/H ↔
43	Early Years Health and Well Being contract There are risks that the assumed financial savings from the contract will not be fully realised due to unforeseen costs and possible grant claw-backs.	20			H/S	H/S ↔	H/S ↔	H/S ↔

Statutory Responsibilities / Compliance with Statutory Responsibilities

Risk No.	Risk Title	Appendix A Page No.	Actual Rating Nov 2017 L / I	Actual Rating March 2018 L / I	Actual Rating July 2018 L / I	Actual Rating Nov 2018 L / I	Actual Rating March 2019 L / I	Actual Rating July 2019 L / I
1	Management of equal pay claims.	22	H/H ↔	S/S ↓	S/S ↔	S/H ↑	S/H ↔	S/M ↓
26	Failure to comply with all of the requirements of the Counter Terrorism and Security Act (2015) and the Prevent Duty.	26	H/H ↔	H/H ↔	H/H ↔	H/H ↔	H/H ↔	H/H ↔
31	Increased pressure on the statutory homeless service.	28	H/H ↔	H/H ↔	H/H ↔	H/H ↔	H/H ↔	S/M ↓
34	Risk of fines being passed down to Local Authorities in relation to air quality / ongoing fines related to not meeting air quality compliance.	30	H/M ↔	H/M ↔	H/M ↔	H/M ↔	H/M ↔	H/M ↔
12	Failure to comply with all the requirements of the Equality Act 2012 and the Public Sector Equality Duty.	33	M/S ↔	M/S ↔	M/S ↔	M/S ↔	M/S ↔	S/S ↑
25	Failure to comply with statutory timescales in relation to DoLS (Deprivation of Liberty) referrals, which could lead to legal challenge and result in financial loss to the Council.	34	M/S ↓	M/S ↔	M/S ↔	M/S ↔	M/S ↔	M/S ↔
11	The loss of significant personal or other sensitive data	37	L/H ↓	L/H ↔	L/H ↔	M/H ↑	M/H ↔	M/S ↓
36	Failure to respond positively and effectively to the required outcomes of the Grenfell Tower enquiry once known.	39		L/M	L/M ↔	L/M ↔	L/M ↔	L/L ↓

Risk No.	Risk Title	Appendix A Page No.	Actual Rating Nov 2017 L / I	Actual Rating March 2018 L / I	Actual Rating July 2018 L / I	Actual Rating Nov 2018 L / I	Actual Rating March 2019 L / I	Actual Rating July 2019 L / I
37	Homelessness Reduction Act – Insufficient council resources to meet the requirements of the Act fully.	41		M/H	M/H ↔	M/H ↔	M/H ↔	M/H ↔
17	Ineffective Corporate Risk Marker IT solution.	43	L/M ↔	L/M ↔	L/M ↔	L/M ↔	L/M ↔	M/M ↑

Financial Resilience

Risk No.	Risk Title	Appendix A Page No.	Actual Rating Nov 2017 L / I	Actual Rating March 2018 L / I	Actual Rating July 2018 L / I	Actual Rating Nov 2018 L / I	Actual Rating March 2019 L / I	Actual Rating July 2019 L / I
29	Not developing sufficiently robust plans to support setting a balanced budget (including in the medium term), and not containing net spending within the approved budget.	45	S/S ↑	S/S ↔	H/H ↑	H/H ↔	M/H ↓	M/H ↔
15	Not recognising the need to divest of costly property assets in radical new solutions to reframe service delivery.	49	S/M ↔	S/M ↔	S/M ↔	S/M ↔	S/M ↔	M/M ↓
38	Management of the Enterprise Zone Programme in line with its delivery plan	52			H/H	M/H ↓	M/H ↔	M/S ↓
41	School Deficits National funding arrangements have resulted in real term funding reductions	55			H/H	H/H ↔	H/H ↔	H/S ↓
46	Universal Credit risks	58				M/H	M/H ↔	M/M ↓

Political

Risk No.	Risk Title	Appendix A Page No.	Actual Rating Nov 2017 L / I	Actual Rating March 2018 L / I	Actual Rating July 2018 L / I	Actual Rating Nov 2018 L / I	Actual Rating March 2019 L / I	Actual Rating July 2019 L / I
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None.

Technology

Risk No.	Risk Title	Appendix A Page No.	Actual Rating Nov 2017 L / I	Actual Rating March 2018 L / I	Actual Rating July 2018 L / I	Actual Rating Nov 2018 L / I	Actual Rating March 2019 L / I	Actual Rating July 2019 L / I
16	That web services to customers or work with partners may be disrupted by malicious attacks on the City Council's web based services.	61	S/M ↔	S/M ↔	S/M ↔	S/M ↔	S/M ↔	S/S ↑

Transformation

Risk No.	Risk Title	Appendix A Page No.	Actual Rating Nov 2017 L / I	Actual Rating March 2018 L / I	Actual Rating July 2018 L / I	Actual Rating Nov 2018 L / I	Actual Rating March 2019 L / I	Actual Rating July 2019 L / I
7	Lack of capacity and capability to respond to employee relations tensions, poor service, performance issues, sickness absence levels and poor morale due to organisational downsizing and pay freezes.	63	S/S ↔	S/S ↔	S/S ↔	S/S ↔	H/H ↑	H/H ↔

Risk No.	Risk Title	Appendix A Page No.	Actual Rating Nov 2017 L / I	Actual Rating March 2018 L / I	Actual Rating July 2018 L / I	Actual Rating Nov 2018 L / I	Actual Rating March 2019 L / I	Actual Rating July 2019 L / I
10	Transformation – failing to make sufficient progress in key areas of improvement activity	65	M/S ↔	M/S ↔	M/S ↔	M/S ↔	M/S ↔	S/S ↑
18	Failure to adequately evaluate the costs and benefits of alternative delivery models. Failure to fully implement the decisions made to change policy and service delivery.	66	M/M ↔	M/M ↔	H/H ↑	M/M ↓	M/M ↔	M/M ↔
44	Allowance payments	68			M/M	M/M ↔	M/M ↔	M/M ↔

Service Delivery

Risk No.	Risk Title	Appendix A Page No.	Actual Rating Nov 2017 L / I	Actual Rating March 2018 L / I	Actual Rating July 2018 L / I	Actual Rating Nov 2018 L / I	Actual Rating March 2019 L / I	Actual Rating July 2019 L / I
6	Failure to achieve all of the services required including delivery of significant investment into the Highway network within the first five years of the contract.	70	H/S ↔	H/S ↔	H/S ↔	H/S ↔	H/S ↔	H/S ↔
39	HS2 Delivery of HS2 following Royal Assent of HS2 Act. BCC role to help facilitate delivery of new railway (including Curzon Station and depot). Maximise benefits for City and minimise/mitigate impact during construction.	71			S/S	S/S ↔	S/S ↔	M/M ↓

Risk No.	Risk Title	Appendix A Page No.	Actual Rating Nov 2017 L / I	Actual Rating March 2018 L / I	Actual Rating July 2018 L / I	Actual Rating Nov 2018 L / I	Actual Rating March 2019 L / I	Actual Rating July 2019 L / I
40	Commonwealth Games – Athletes Village Delivery of the Athletes Village dependant on the funding & acquisition of land in addition to potential changes to sporting schedules affecting the village's capacity to accommodate athletes.	74			M/M	M/M ↔	M/M ↔	M/M ↔

Corporate Risk Register

Safeguarding / Welfare								
Risk No: 2		Risk Title: Safeguarding Children						
Risk Description: <ul style="list-style-type: none">•Not responding fully and effectively to the improvement agenda for Children•Failure to improve children’s safeguarding and children’s social care								
Risk Owner: Director, Education and Skills			Risk Lead: Lead: Assistant Director Commissioning , Education and Skills			Risk Type / Category: Customer / Citizen		
Inherent / Gross Risk			Residual / Current Risk			Target Risk		
Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation
Significant	High	Severe	Significant	High	Severe	Medium	Significant	Material
Current Controls Mitigating Inherent Risk: <ul style="list-style-type: none">•Service Delivery Contract is in place and Commissioning arrangements are being developed to manage the Contract with the Trust.•A monthly Operational Commissioning Group meets to consider performance and contract issues; this will also include risk updates and will be chaired by Tim O’Neill				Sources of Assurance on Effectiveness of Identified Controls: <ul style="list-style-type: none">•Noting the positive steps from the recent Ofsted Safeguarding Inspection carried out in December 2018 and that Birmingham now is rated as “Requires Improvement to be Good”•Birmingham Children’s Trust Adoption Agency received a positive outcome from their first adoption inspection, held in February this year. The service was judged to be ‘good’ overall and leadership and management was judged to be ‘outstanding’.•The Lead Member for Children’s Services will meet regularly with the Chief Executive of the Trust to be briefed on progress.				
No.	Actions to Reduce Risk to Target		Owner	Target Date	Progress			RAG
1	Birmingham Childrens Trust contract annual review – review and refresh of KPI’s		Sarah Sinclair	July 2019	This is now complete and can be closed. KPI’S agreed with Trust at OCG in April. Throughout the next year a review of the			Green

Corporate Risk Register

Safeguarding / Welfare					
Risk No: 2		Risk Title: Safeguarding Children			
				<p>contract will be carried out to take effect from 1 April 2020</p> <p>Internal Audit completed reviewing audit compliance of BCT</p>	
2	Ofsted action plan being developed following recent inspection to be presented to Cabinet	BCT	April 19	<p>This is now complete and can be closed.</p> <p>The Development Plan is based around 8 strategic priorities the first 6 of which respond to Ofsted's findings:</p> <ul style="list-style-type: none"> • The quality, effectiveness and pace of partnership working with external agencies, including partner-led early help services. • Trust and confidence between the courts and Birmingham Children's Trust. • Effectiveness of the fostering service. • Robust and timely focus on all permanence options for children. • Alignment of the approach to contextual safeguarding. • The impact of the virtual school in improving provision for children in care. • Practice improvement. • Workforce. <p>This was adopted at Cabinet in April and is a joint plan between BCT and Education and Skills Directorate</p> <p>Progress against the plan will be monitored through the monthly OCG group</p>	Green
3	Remodel the Virtual School's procedures, to ensure educational progress is reviewed and supportive interventions implemented, to enable	Paul Senior	September 2019	<ul style="list-style-type: none"> • Recruitment for a new Head of Service underway. • Joint planning scheduled with BCT and Education Services. Development work commenced with 'Outstanding' LA Virtual School models - Suffolk and Leeds. 	Amber

Corporate Risk Register

Safeguarding / Welfare						
Risk No: 2		Risk Title: Safeguarding Children				
	all looked after children to make good progress.				<ul style="list-style-type: none"> Governance review underway. 	
4	Review of Safeguarding arrangements in Commissioned Services Review of internal compliance and controls		Sarah Sinclair Julia Davey	September 2019	A review of commissioned services is being developed in conjunction with the Education Safeguarding team and Internal Audit. This will look at safeguarding governance and compliance. This will be developed with the support of the Safeguarding Board to capture best practice in this area. An internal review of the current Section 11 audit process to be carried out and areas for development to be identified and actioned	
Updated BY:		Baljit Jandu (Risk Rep)		Date:	28 June 19	

Safeguarding / Welfare								
Risk No: 32		Risk Title: Risk of significant disruption to Council services and failure to effectively manage and respond to emergency incidents, including acts of terrorism.						
Risk Description: Risk of significant disruption to Council services and failure to effectively manage and respond to emergency incidents, including acts of terrorism.								
Risk Owner: Chief Executive			Risk Lead: Head of Resilience (TBC)			Risk Type / Category: Customer / Citizen		
Inherent / Gross Risk			Residual / Current Risk			Target Risk		
Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation
High	Significant	Severe	Medium	Significant	Material	Medium	Significant	Material
Current Controls Mitigating Inherent Risk: - Corporate and Multi-Agency emergency plans in place. - Working with partners in all areas - 24/7 out of hours emergency duty officer service in place including emergency control room.					Sources of Assurance on Effectiveness of Identified Controls: - Training delivered - Test and exercise results - Annual exercise - Delivery of wider engagement and validate			

Safeguarding / Welfare					
Risk No: 32		Risk Title: Risk of significant disruption to Council services and failure to effectively manage and respond to emergency incidents, including acts of terrorism.			
<ul style="list-style-type: none"> - Experienced Emergency Planning Professionals in place - New Emergency Plan launched New BC Plan Launched and EP & BC Promotion. - BC Programme roll out - Roles and people identified. - Training & Exercising programme established - Command team meeting - New response and duty process implemented. - Further review of wider response arrangements underway. 					
No.	Actions to Reduce Risk to Target	Owner	Target Date	Progress	RAG
1	Full review of risk to be carried out and plan to be developed	Michael Enderby	End July 2019	Risk review workshop carried out late June to review current risk position.	Amber
2					Choose an item.
3					Choose an item.
Updated BY:		Michael Enderby	Date:	03 July 2019	

Safeguarding / Welfare								
Risk No: 33		Risk Title: STP (Sustainability Transformation Programme)						
Risk Description: Failure of the STP to deliver a step change to the Health and Social Care system resulting in an improvement to the health and well-being of Birmingham citizens.								
Risk Owner: Director for Adult Social Care – Graeme Betts			Risk Lead: Director for Adult Social Care – Graeme Betts			Risk Type / Category: Social		
Inherent / Gross Risk			Residual / Current Risk			Target Risk		
Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation
High	Significant	Severe	Significant	Significant	Severe	Low	Medium	Tolerable
Current Controls Mitigating Inherent Risk: The STP “purpose” is evolving under new leadership. A draft vision and values has been developed and under consideration by the STP Board. The revised STP purpose has been accepted by the STP Board					Sources of Assurance on Effectiveness of Identified Controls: STP board which is represented by the Leader / Cllr Hamilton, CEO and Graeme Betts.			
No.	Actions to Reduce Risk to Target		Owner	Target Date	Progress			RAG
1	STP is a standing item on the Health and Wellbeing Board; bi-monthly meetings to receive updates from the Birmingham and Solihull CCG. Graeme Betts is a member of the STP Programme Board and Justin Varney (started February 2019) is a member of the Development and Delivery Board. Public Health is currently auditing the involvement in the BSol STP process to ensure appropriate engagement.		Graeme Betts	Ongoing	Ongoing Action The Council supports the Health and Wellbeing Board with live web casting and publically available papers.			Amber

Safeguarding / Welfare					
Risk No: 33		Risk Title: STP (Sustainability Transformation Programme)			
2	The STP Board has agreed its strategy and is engaging with the public and stakeholders. Work streams have been agreed and priorities identified. There is a high degree of commitment amongst the partners. The main risk is that the work streams are not all as well-advanced as others which means that the risk that improvement for some citizens may take longer than would be desirable.	Graeme Betts	Ongoing	<p>Ongoing Action</p> <p>The [Adult Social Care] Directorate continues to be an active partner on the Sustainability and Transformation Plan (STP) and in leading the STP Birmingham Older People Programme. The Assistant Director Commissioning is the SRO [Senior Responsible Officer] for the Prevention work stream and other officers act as project leads across work streams. Specific activity in support of the Programme includes procurement and contract management of the Early Intervention External Support Partner. Future activity through the partnership will include the development of integrated commissioning arrangements.</p>	Amber
3					Choose an item.
Updated BY: Graeme Betts		No further update at this time. Sally Marlow		Date: 5/6/19	

Safeguarding / Welfare	
Risk No: 42	Risk Title: Travel Assist
Risk Description: <ul style="list-style-type: none"> •There are risks within the service over the cost of provision and ability to deliver the agreed level of service within the agreed budget. •There are also wider service risks about the capacity of the market to deliver this service and the reliance upon a single provider due to limited minibus capacity. •Birmingham has a higher than average number of children with SEN (17.8% in the city; 15.5% nationally). 	

Safeguarding / Welfare								
Risk No: 42		Risk Title: Travel Assist						
<ul style="list-style-type: none">•Travel Assist supports over 5,700 children and young people to an educational setting. Of these, over 4,200 are on some form of specialised transport (mini-bus/coach/one-to-one transport).•The TA budget for the last few years has been artificially low. It was significantly reduced to £13.6m in 2016/17 which resulted in 2016/17 in a £5.3m overspend (£18.9m), and an unprecedented number of complaints and negative attention placed on the service and BCC.•Over the course of the academic year 2016/17 90% of the change programme was delivered and while the TA budget was increased for 2018/19 the service still wasn't able to deliver the budget savings.•Recent risks have been realised with the contractor Accessible Transport Group Contract Services Limited (ATGCSL) going into administration but work has been undertaken to implement contingency planning and develop future options.								
Risk Owner: Director, Education and Skills			Risk Lead: Lead: Assistant Director Commissioning , Education and Skills			Risk Type / Category: Customer / Citizen		
Inherent / Gross Risk			Residual / Current Risk			Target Risk		
Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation
Significant	High	Severe	Significant	High	Severe	Medium	Significant	Material
Current Controls Mitigating Inherent Risk: <ul style="list-style-type: none">•Travel Assist Contingency Programme Board put in place to progress immediate required activity and to plan longer term development.					Sources of Assurance on Effectiveness of Identified Controls: <ul style="list-style-type: none">•Oversight from legal and finance as part of the Programme Board			
No.	Actions to Reduce Risk to Target		Owner	Target Date	Progress			RAG
1	Widespread consultation with stakeholders about possible changes to the school transport policy. Report to Cabinet scheduled		Paul Senior	April 2019	June Update - process concluded on time. Following Call-In the report was resubmitted for Cabinet in May 2019, and was approved. The Policy has been introduced and is being phased in over the next academic year, as outlined in the			Green

Safeguarding / Welfare					
Risk No: 42		Risk Title: Travel Assist			
				cabinet report. This action can now be closed as the policy has been approved and introduced.	
2	Interim planning and contingency work with WMCA, administrators and partners to maintain immediate provision	SS	March 2019	<p>June Update – this can now be closed.</p> <p>Services have been run by administrators and we have seen an improvement in performance.</p> <p>Currently working positively with TfWM and administrators to develop the next stages.</p> <p>An SCN is being drafted setting out the recommended approach to secure on going provision.</p> <p>The Transitional Support Service Agreement runs until the end of May with the need to either secure services by June or look to extend the agreement.</p>	Green
3	Discussions with alternative providers and routes re-allocated (where possible)	SS	Completed	<p>Received positive responses to discussions between future providers and TfWM with 3 formal bid received by administrators for purchase of ATG</p> <p>Previous update April:</p> <p>Work is actively being undertaken to find alternative provider(s) to take over the affected routes. 11 routes of routes have already been redirected from ATGCSL to alternative providers and a further 4 on 1st April 2019 . Under the TTSA the Council upon a weeks' notice can remove routes from the scope of the services</p>	Green
4	Review of providers contractual arrangements being carried out including quality assurance, safeguarding and governance compliance	SS	July 2019	Review and internal audit report completed. Improvement Plan in place.	Green
Updated by:		Baljit Jandu (Risk Rep)	Date:	28 June 2018	

Safeguarding / Welfare								
Risk No: 43			Risk Title: Early Years Health and Well Being contract					
Risk Description: <ul style="list-style-type: none">•There are risks that the assumed financial savings from the contract will not be fully realised due to unforeseen costs and possible grant claw backs. Previous unforeseen costs have been identified in relation to estates and staffing issues•There are also wider risks relating to the construction of the contract itself and the lack of robust contract management arrangements.•All risks have been increased due to a lack of permanent commissioning and contract management arrangements								
Risk Owner: Director, Education and Skills			Risk Lead: Lead: Assistant Director Commissioning , Education and Skills			Risk Type / Category: Financial		
Inherent / Gross Risk			Residual / Current Risk			Target Risk		
Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation
High	High	Severe	High	Significant	Severe	Significant	Medium	Material
Current Controls Mitigating Inherent Risk: <ul style="list-style-type: none">• A newly established Children’s and Young People’s Commissioning Board which has cross directorate senior representation;• A Monthly EYHWB Programme Board was established and due diligence undertaken. Officers report formally about progress against the key actions required;• Discrepancies in the Estates Schedule are being jointly revised to ensure the correct buildings are in use or where appropriate changes made to correct these, following the process set out in the Change Control Schedule;• There are formal Contract management arrangements in place through the recently					Sources of Assurance on Effectiveness of Identified Controls: <ul style="list-style-type: none">•Contract Governance mechanism in place that incorporates a Monthly Contract Management Review to hold BCHCT to account for contract performance against the metrics;•A review of contract is underway with specific focus on performance measurement, estates, finance, employment and service specifications to be complete by end of March 2019;			

Safeguarding / Welfare					
Risk No: 43		Risk Title: Early Years Health and Well Being contract			
established Intelligent Client Function (ICF) commissioning team in the Education and Skills directorate; • Monthly employee reports are being shared by HRBP to each of the sub-contractors to capture staffing data including resignations, changes to hours, moves, maternity, LTS, etc.;					
No.	Actions to Reduce Risk to Target	Owner	Target Date	Progress	RAG
1	- A review of contract is underway with a specific focus on performance measurement, estates, finance, employment and service specifications to be complete by end of March 2019.	SS	July 2019	On going discussion with BCHCT around contractual issues and performance	Amber
2	- Finalising options for the transfer of staff post the end of the secondment agreement.	SS	June 2019	Discussions are continuing with the involvement of Legal, HR and BCHCT	Amber
3	- Discussion with the DfE around the Capital Clawback position with the children's centres is required.	SS	June 2019	Complete and can be closed Position regarding designations agreed with DfE.	Green
Updated BY:		Baljit Jandu (Risk Rep)	Date:	28 June 2019	

Statutory Responsibilities / Compliance with Statutory Responsibilities								
Risk No: 1		Risk Title: Management of Equal Pay Claims						
Risk Description:								
<p>Since 2006, a significant number of equal pay claims have been brought against the Council. The predominance of these claims relates to liability for the period before the implementation of Single Status, which took place in 2008, and liability for the period following the implementation of Single Status. The time limit for issuing these types of claims has now expired – in 2014 for the former; in 2017 for the latter.</p> <p>The Council has also received claims for the period following the implementation of the Birmingham Contract (in November 2011); some with limited particularisation.</p> <p>The past industrial action in Waste Management (July to November 2017) has increased the profile of equal pay. There remain considerable unknowns as to how many further claims might be brought and what risk or level of liability these claims might attract. A law firm acting for approximately 1,000 employees and formers employees on a “no win no fee” basis is pursuing its claims in the Tribunal, having rejected the Council’s settlement proposals. This firm is currently in the process of further particularising its claims. Once done, the Council will have a better idea of the level of risk and liability which these claims pose.</p> <p>Employees are raising complaints/grievances regarding their perceived right to a payment equivalent to those made to employees in Waste Management following the industrial dispute in March 2019. Their grievances having been rejected, some employees have referred their complaints to Acas. The Council’s position is that the complaints which have been raised so far are not claims that would fall under equal pay law, since the payments in question do not constitute contractual pay and were made in settlement of legal proceedings.</p>								
Risk Owner: Director of Finance			Risk Lead: Kate Charlton			Risk Type / Category: Financial		
Inherent / Gross Risk			Residual / Current Risk			Target Risk		
Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation
High	High	Severe	Significant	Medium	Material	Medium	Low	Tolerable
Current Controls Mitigating Inherent Risk:					Sources of Assurance on Effectiveness of identified Controls:			

Statutory Responsibilities / Compliance with Statutory Responsibilities						
Risk No: 1	Risk Title: Management of Equal Pay Claims					
<p>Significant progress has been made in terms of defending equal pay claims, managing settlement negotiations and executing settlement schemes, where approved by the Council. The Council's overarching settlement strategy is based on the level of assessed risks in relation to the likely success of claims through the Tribunal/Court process and the availability of financial resources.</p> <p>The validity of all equal pay claims is constantly challenged by the Legal & Governance department. Each claim is subject to robust legal challenge before any offer to settle is made.</p> <p>A litigation strategy has been developed to address any risks arising from the grievances/complaints from employees seeking equivalent payments to those made to staff in Waste Management ("parity payments").</p> <p>With a view to preventing any discriminatory working practices, a robust review of processes and checks and balances are undertaken to mitigate against/prevent further liability where evidence of potential risks is known/identified.</p>				<p>Management assurance – reporting to Equal Pay Executive Cabinet Sub-Group, Corporate Governance Group, Audit Committee, the District Auditor and Employment Governance Group/Steering Board</p>		
No.	Actions to Reduce Risk to Target	Owner	Date	Progress	RAG	
1	Defend all low risk claims in the Tribunal and County Court	EP team	31/3/20	<p>91% of claims for the period before the implementation of Single status have now been resolved;</p> <p>88% of claims for the period after the implementation of Single Status have now been resolved; and</p> <p>77% of claims for the period after the implementation of the Birmingham</p>	Green	

Statutory Responsibilities / Compliance with Statutory Responsibilities					
Risk No: 1		Risk Title: Management of Equal Pay Claims			
				Contract have now been resolved.	
2	Undertake settlement negotiations with employees, or their representatives or unions, with potentially meritorious claims	EP team	31/3/20	<p>An offer has been made to unions to settle their members' prospective claims for the period after the implementation of the Birmingham Contract. A framework agreement is to be drafted once that offer has been accepted formally.</p> <p>Negotiations with individual claimants and representatives with a relatively low number of claims are ongoing.</p>	Amber
3	Execute outstanding settlement schemes	EP team	31/3/20	<p>91% of claims for the period before the implementation of Single status have now been resolved;</p> <p>88% of claims for the period after the implementation of Single Status have now been resolved; and</p> <p>77% of claims for the period after the implementation of the Birmingham Contract have now been resolved.</p>	Amber
4	Defend live litigation in the Tribunal	EP team	31/3/20	<p>Claimants have been ordered by the Tribunal to further particularise their claims, and a telephone hearing has been listed for 02/08/19.</p> <p>The Council has put its settlement proposals back on the table, this time without an "all or nothing" catch – i.e. the proposals are now open to individual claimants to accept, so as to expedite the resolution of as many claims in the litigation as possible.</p>	Red
5	Implement litigation strategy for "pay parity" complaints	EP team	31/3/20	Approximately 700 grievances/complaints have been received by the Council, all of which have been responded to and rejected.	Green

Statutory Responsibilities / Compliance with Statutory Responsibilities						
Risk No: 1		Risk Title: Management of Equal Pay Claims				
				Four employees have referred their complaints to Acas, who have issued early conciliation certificates in three cases so far. Tribunal claims are likely to follow.		
6	Monitor working practices in Waste Management so as to identify and address any further equal pay risks	EGG	31/3/20	The Employment team is working closely with Waste Management and will, as part of that ongoing relationship, monitor working practices.	Amber	
7	Develop and maintain risk register to identify any practices in the organisation which could pose an equal pay risk	EGG	31/3/20	This action will continue in perpetuity.	Amber	
8	Dismissal and re-engagement to end any ongoing equal pay liability	EGG	31/3/20	A team with the remit of identifying and addressing any non-standard arrangements and practices within the organisation is being set up, so as to ensure staff are not re-engaged on terms which perpetuate any current risks of further equal pay liability.	Red	
Updated By:		Rob Harris on behalf of Shugufta Jabeen	Date:	10/07/19		

Statutory Responsibilities / Compliance with Statutory Responsibilities								
Risk No: 26		Risk Title: Failure to comply with all of the requirements of the Counter Terrorism and Security Act (2015) and the Prevent Duty						
<p>Risk Description: The threat and vulnerability risk assessment of a terrorist attack in the UK places Birmingham as the most vulnerable city after London. In 2015 the Council and partners reviewed its infrastructure around this risk to take into account the Counter-Terrorism and Security Act 2015, that includes a duty on certain bodies (‘specified authorities’ listed in Schedule 6 to the Act), in the exercise of their functions to have ‘due regard to the need to prevent people from being drawn into terrorism’.</p> <p>The duty does not confer new functions on any specified authority. The term ‘due regard’ means that the authorities should place an appropriate amount of weight on the need to prevent people being drawn into terrorism when they consider all the other factors relevant to how they carry out their usual functions.</p>								
Risk Owner: Director, Neighbourhoods			Risk Lead: Director, Neighbourhoods			Risk Type / Category: Legislative / Regulatory		
Inherent / Gross Risk			Residual / Current Risk			Target Risk		
Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation
High	High	Severe	High	High	Severe	Choose an item.	Choose an item.	Choose an item.
<p>Current Controls Mitigating Inherent Risk:</p> <ul style="list-style-type: none">•The Council has applied a partnership and mainstreaming approach to mitigate the risks associated with the threat.•Governance for the Prevent programme has been strengthened with the Prevent coordinator now reporting directly to Assistant Chief Executive increasing visibility across the Council.•Security briefings to Council House staff & Members.•Training for front line staff moved to a ‘train the trainer’ model - 600 trainers having been trained to deliver future WRAP awareness training to schools alleviating capacity issues within the local authority.•Support continues to be provided to schools around Prevent and Prevent is embedded					<p>Sources of Assurance on Effectiveness of Identified Controls:</p> <p>The Home Office Peer review of Birmingham City Council’s Prevent responsibilities highly commended the work Birmingham is doing.</p>			

Statutory Responsibilities / Compliance with Statutory Responsibilities					
Risk No: 26		Risk Title: Failure to comply with all of the requirements of the Counter Terrorism and Security Act (2015) and the Prevent Duty			
within CASS/MASH arrangements <ul style="list-style-type: none"> •CHANNEL is in place as a multi-agency pre-criminal space platform to support vulnerable people; and chaired by the DWPs Think Family Lead. •BCC Resilience Team continues to lead on the Prepare and Protect strand of the counter-terrorism strategy. •Recruitment of Michael Enderby as Head of Resilience. Experienced professional in Emergency Planning, Prepare and Protect. 					
No.	Actions to Reduce Risk to Target	Owner	Target Date	Progress	RAG
1	Full review of risk to be carried out and plan to be developed	Michael Enderby	End July	Risk review workshop carried out late June to review current risk position.	Green
2					Choose an item.
3					Choose an item.
4					Choose an item.
Updated By: Simon J Field & Kwabena Osayande		Date: 3/7/19			

Statutory Responsibilities / Compliance with Statutory Responsibilities								
Risk No: 31		Risk Title: Increased pressure on the statutory homeless service						
Risk Description: Increased pressure on the statutory homeless service in regards to volume of customers, which leads to significant financial pressure on the general fund due to increased use of B&B.								
Risk Owner: Director			Risk Lead: Julie Griffin			Risk Type / Category: Financial		
Inherent / Gross Risk			Residual / Current Risk			Target Risk		
Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation
High	Significant	Severe	Significant	Medium	Material	Medium	Significant	Material
Current Controls Mitigating Inherent Risk:					Sources of Assurance on Effectiveness of Identified Controls:			
New Homeless Reduction Act Legislation implemented from April 2018.					This risk is being closely monitored by Directorate Management Team and Cabinet Member for Homes and Neighbourhoods. There is a programme of regular Cabinet Member briefings dedicated to homelessness tracking and a standard dashboard has been developed to aid close monitoring and scrutiny.			
The opening of two additional homeless centres in April 2019 as part of the Council’s statutory duty to provide temporary accommodation has been completed. Residents are now occupying the centres. (Barry Jackson Tower and Magnolia House. Bed and breakfast has more than halved since May 2018.					A comprehensive re-design programme is underway and a number of key work streams are in place to address this risk. These incorporate improvements to homeless prevention work and a plan to address temporary accommodations and bed and breakfast numbers. A re-design project board has been established and an ambitious programme plan. The intended outcomes include ensuring the service is designed and managed fit for purpose and the correct resources are in place.			
The homeless prevention strategy is now approved by Cabinet which aims to prevent people becoming homeless and assisting in sustaining tenancies.					Delivery of the programme to reduce this pressure is monitored by Directorate Management Team and Cabinet Member for Homes and Neighbourhoods. There is a programme of regular Cabinet Member briefings dedicated to homelessness tracking and			
A domestic abuse hub, operated in partnership with BSWAID was initially piloted from 4 February 2019 and became fully operational from Monday 11 March 2019. It provides a support to those experiencing and fleeing domestic violence.								
A dispersed void project was completed in December 2018 which created an additional 750 self-contained temporary accommodation units.								

Statutory Responsibilities / Compliance with Statutory Responsibilities

Risk No: 31		Risk Title: Increased pressure on the statutory homeless service			
				<p>a standard dashboard has been developed to aid close monitoring and scrutiny.</p> <p>Birmingham Audit has commenced a review of the Temporary Accommodation Service.</p> <p>Monthly finance monitoring meetings to ensure effective management of actual and forecast income and expenditure.</p>	
No.	Actions to Reduce Risk to Target	Owner	Date (Target)	Progress	RAG
1	There is close monitoring of the delivery of the budget and additional governance arrangements have been introduced.	Julie Griffin/ Vicki Pumphrey	March 2020	Monthly finance monitoring meetings to ensure effective management of actual and forecast income and expenditure.	Green
2	Open a Homeless Prevention Hub in June 2019.	Tracey Radford/ Vicki Pumphrey	June 2019	£400,000 of commissioned services has been identified and mobilisation in progress, the Ladywood hub opens on Monday 17th June 2019 for staff training. It will be operational from Monday 24th June 2019	Amber
3	Private Rented Sector Access Fund	Karl Robinson/Deborah Moseley	Sept. 2019	We will be emulating the private rented sector secure sustain model in the prevention hub and TA pilots. We will be identifying private landlords to work with moving forward and discharging duty into the private rented sector from September 2019.	Amber
4	New emergency homeless placement model	Tracey Radford/Vicki Pumphrey	Sept. 2019	New Homeless Centre and TA step down accommodation model is under development. This pilot is looking at improving support for homeless on the day cases needing TA, the pilot started on the 13 th June 2019 and will be evaluated over the forthcoming weeks	Amber

Statutory Responsibilities / Compliance with Statutory Responsibilities					
Risk No: 31		Risk Title: Increased pressure on the statutory homeless service			
5	Review of spending/commissioned provision	Karl Robinson	April 2020	Mapping of current commissioned provision and an analysis of homeless households support needs have commenced.	Amber
Updated BY:		Vicki Pumphrey	Date:	5 June 2019	

Statutory Responsibilities / Compliance with Statutory Responsibilities								
Risk No: 34		Risk Title: Air Quality						
Risk Description: Failure to deliver a Clean Air Zone as mandated by Government by the target date of January 2020. Failure to do so could result in ongoing fines for not complying with air quality standards. elated to Birmingham not meeting air quality compliance.								
Risk Owner: Assistant Chief Executive			Risk Lead: Assistant Chief Executive			Risk Type / Category: Legislative / Regulatory		
Inherent / Gross Risk			Residual / Current Risk			Target Risk		
Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation
High	High	Severe	High	Medium	Material	Medium	Low	Tolerable
Current Controls Mitigating Inherent Risk: The Council has been issued with ministerial directions under the Environment Act (1995) to complete key milestones to be compliant for roadside NO ₂ by 2020 Significant milestones remain; however, a Preferred Clean Air Zone Option Business Case has been prepared, approved and submitted to Government for					Sources of Assurance on Effectiveness of Identified Controls: Wider Air Quality Plan that includes: <ul style="list-style-type: none">Traffic management, signalling and signage controls - 12/2018.Controlled Parking Zones - 12/2018.			

Statutory Responsibilities / Compliance with Statutory Responsibilities

Risk No: 34

Risk Title: Air Quality

review.

This Business Case will need to be further refined into a Full Business Case to fully comply with the Ministerial Direction over the next 2-3 months.

These headline mitigations are supported by: -

- Weekly teleconference meetings with DEFRA's Joint Air Quality Unit to update mitigation plans.
- Regular Cabinet Member briefing to provide strategic direction for wider Air Quality Programme including deployment of Clean Air Zone.
- Ongoing feasibility studies to measure air quality impact and assess measures and controls to meet compliance, including level of Clean Air Zone to be deployed.
- Development of overarching clean air policy for Birmingham for 2018.
- Ongoing joint development work and positive engagement with WMCA.

Key progress comprises the completion of a Preferred Clean Air Zone Option Business Case and Cabinet report to authorise submission to Government by 15 September 2018, as required by the Ministerial Direction. The report follows the largest ever response of circa 11,000 to the CAZ consultation.

- BCC Internal & External Fleet transition to low / zero emission full Low / zero re-fuelling infrastructure - 04/2019.
- Clean Air Zone strategic business case signed off by Secretary of State by 12/2017 to enable CAZ infrastructure for access restrictions deployed by 04/2019.
- Revised Birmingham Taxi Licensing Policy based on air quality compliance emissions - 12/2018.
- All BCC procurement frameworks and tendering processes aligned with CAZ compliance -12/2018.

Statutory Responsibilities / Compliance with Statutory Responsibilities					
Risk No: 34		Risk Title: Air Quality			
<p>A special Cabinet in September 2018 considered the consultation response and endorsed a 'preferred option business case' for submission to Government. Submission of the Full Business Case followed in December 2018.</p>					
No.	Actions to Reduce Risk to Target	Owner	Target Date	Progress	RAG
1	To be determined				Choose an item.
2					Choose an item.
3					Choose an item.
4					Choose an item.
5					Choose an item.
Updated By:		Date:			

Statutory Responsibilities / Compliance with Statutory Responsibilities								
Risk No: 12		Risk Title: Failure to comply with all the requirements of the Equality Act 2012 and the Public Sector Equality Duty.						
Risk Description: Core/Gross Risks								
1. Failure to comply with the Equality Act (2010) – High likelihood, High risk								
2. Capacity to delivery community cohesion strategy and cabinet member expectations – H likelihood, H risk								
3. Capacity and resource to support response to incidents & community issues – H likelihood, H risk								
4. Lack of skills and knowledge across the business on cohesion and equalities – H likelihood, H risk								
5. Failure to consider equality and cohesion in context of consultation leading to judicial review – H likelihood, H risk								
6. Failure to consider impact of council budget savings on protected characteristics as defined in Equality Act 2010 leading to judicial review– H likelihood, H risk								
7. Reputational damage H likelihood.								
Risk Owner: Justin Varney			Risk Lead: Suwinder Bains			Risk Type / Category: Legislative / Regulatory		
Inherent / Gross Risk			Residual / Current Risk			Target Risk		
Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation
High	High	Severe	Significant	Significant	Severe	Low	Significant	Material
Current Controls Mitigating Inherent Risk:					Sources of Assurance on Effectiveness of Identified Controls:			
No.	Actions to Reduce Risk to Target		Owner	Target Date	Progress			RAG
1	a. Refresh of corporate equality objectives in 2019. b. CMT & ELT champions for diversity and inclusion appointed in May 2019. c. Working with Cabinet member to develop ‘star		Suwinder Bains	December 2019	Draft equality objectives are due to go to CMT in July and currently consulting with legal on whether public consultation needed. CMT & ELT champions appointed and quarterly updates on actions and progress through ELT.			Amber

Statutory Responsibilities / Compliance with Statutory Responsibilities					
Risk No: 12		Risk Title: Failure to comply with all the requirements of the Equality Act 2012 and the Public Sector Equality Duty.			
	chamber' type review of equalities work within directorates.			Draft TOR agreed with Cabinet member and now starting process through CMT and EMT.	
2	a. Service review proposal to expand Equalities and Cohesion team being developed.	Justin Varney	September 2019	Draft service review proposal developed and working with Jonathan Tew and HR on taking forward.	Amber
3	a. Service review proposal to establish a specific incident response capacity.	Justin Varney	September 2019	Draft service review proposal developed and working with Jonathan Tew and HR on taking forward.	Amber
4	a. Improve understanding of protected characteristics through Public Health and Equalities & Cohesion team working together on developing core briefings to improve quality of Equality Impact Assessments b. EIA training programme rolled out across BCC to senior and middle managers. c. Member equalities training programme.	Justin Varney	October 2019	Briefings have been commissioned from the core reports and are expected in Autumn 2019. The EIA training is being continually reviewed and developed based on feedback from users. There is further work needed to map the core staff who need the training to ensure full coverage. The member equality training is in train and two sessions have been held. EIA Toolkit to be updated to make it more user friendly. Equalities lead officer integral part of the budget planning process. Providing Advice and guidance on cumulative Equalities impact.	Amber
5	a.EIA training programme				Amber
Updated By: Justin Varney		Date: 02/07/2019			

Statutory Responsibilities / Compliance with Statutory Responsibilities	
Risk No: 25	Risk Title: DoLS (Deprivation of Liberty Safeguards)
Risk Description: Failure to comply with statutory timescales in relation to DoLS (Deprivation of Liberty) referrals, which could lead to legal challenge and result in financial loss to the	

Statutory Responsibilities / Compliance with Statutory Responsibilities								
Risk No: 25		Risk Title: DoLS (Deprivation of Liberty Safeguards)						
Council.								
Risk Owner: AD Community and Operations, Adult Social Care -Pauline Mugridge			Risk Lead: Head of Adult Safeguarding, Adult Social Care – David Gray			Risk Type / Category: Legislative / Regulatory		
Inherent / Gross Risk			Residual / Current Risk			Target Risk		
Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation
High	Significant	Severe	Medium	Significant	Material	Medium	Significant	Material
Current Controls Mitigating Inherent Risk: Refer Actions 1-3 below					Sources of Assurance on Effectiveness of Identified Controls: A monthly position report is presented to the Directorate DOLS Project Board. A bi-monthly report is presented to the Cabinet Member.			
No.	Actions to Reduce Risk to Target	Owner	Target Date	Progress				RAG
1	A monthly position report is presented to the Directorate DOLS Project Board. A bi-monthly report is presented to the Cabinet Member. When government proposals for how the transition to LPS are known, a brief will be prepared to the cabinet member based upon an agreed strategy	David Gray	Ongoing	Ongoing action				Green
2	1) DOLS in Care Homes and Hospitals - DOLS strategy was reviewed in July. ASCMT and the Cabinet Member subsequently adopted the recommendation to adopt an alternative view of the balance of litigation	David Gray	Review end September 2019	The situation described at 1) above altered due to the number of DOLS referrals continuing to rise (up by 35% rise in the year to August 2018). As a consequence a back log of high priority cases began to develop. The position is to be monitored to understand if the position can be managed within existing resources. A backlog of high priority cases could increase the likelihood of a challenge, but it is not clear that				Amber

Statutory Responsibilities / Compliance with Statutory Responsibilities					
Risk No: 25		Risk Title: DoLS (Deprivation of Liberty Safeguards)			
	risks v financial risks in this area. In line with the approach taken by the majority of West Midland Local Authorities, it will in future only undertake DOLS assessments for those adults who meet the ADASS "High" criteria. The significantly enlarged Best Interest Assessor (BIA) team, with increased management and administrative support will remain but expenditure on the external BIA service has ceased. The effect is anticipated to be a reduction in the number of DOLS authorisations, but an increase of those of "High" priority (and existing cases due for renewal) being completed within the legal time limit. The overall position of the number of cases which have not been assessed will steadily increase, but this will be viewed as a lower risk to the Council than previously.			this would alter the position to the extent that a challenge could be described as highly likely.	
3	2) Community DOLS - A business process, staff procedure, manager prioritisation guidance and staff training have been established, in conjunction with legal Services, and are now in use. This level of activity seems to be in line with that of	David Gray	Review end September 2019	Ongoing monitoring	Green

Statutory Responsibilities / Compliance with Statutory Responsibilities					
Risk No: 25		Risk Title: DoLS (Deprivation of Liberty Safeguards)			
	other local authority areas.				
Updated BY:	David Gray/Graeme Betts	Date:	12 June 2019		

Statutory Responsibilities / Compliance with Statutory Responsibilities								
Risk No: 11		Risk Title: Loss of significant personal or other sensitive data						
Risk Description: That the loss of significant personal or other sensitive data may put the City Council in breach of its statutory responsibilities and incur a fine of up to £20million from the Information Commissioner								
Risk Owner: Assistant Director ICT and Digital			Risk Lead: : Senior Information (SIRO) and Director Digital and Customer Services			Risk Type / Category: Legislative / Regulatory		
Inherent / Gross Risk			Residual / Current Risk			Target Risk		
Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation
High	High	Severe	Medium	Significant	Material	Low	Medium	Tolerable
Current Controls Mitigating Inherent Risk: The Information Assurance Board (IAB), chaired by the Senior Information Risk Owner (SIRO) have agreed that the Council should achieve level 2 maturity to support the ongoing implementation of the Council’s Information Assurance Framework. A plan of action is in development and agreed targets and resource commitments are being identified to support this work.					Sources of Assurance on Effectiveness of Identified Controls: Maintain clear lines of responsibility to the Senior Information Risk Owner (SIRO) and the Monitoring Officer. Security posture for the Council is monitored and has been recently reviewed as part of a SOCITM assessment as well as the LGA Stocktake. A secure email solution, Egress, has been deployed and is operational to prevent the accidental loss of data.			

Statutory Responsibilities / Compliance with Statutory Responsibilities					
Risk No: 11		Risk Title: Loss of significant personal or other sensitive data			
				Review Breach management processes to ensure any learning from breaches is adopted to prevent further data loss.	
No.	Actions to Reduce Risk to Target	Owner	Target Date	Progress	RAG
1	<p>Across BCC, as well as capturing the data itself, we need to look at maintaining an inventory of the location of key personal data storage and the associated flows (including cross-border), with defined classes of personal data.</p> <p>We need to ensure that BCC is maintaining contracts and agreements with third-parties and affiliates consistent with the data privacy policy, legal requirements, and operational risk tolerance.</p>	Peter Bishop	05/04/2019	<p>A baselined Information Asset Register (Inventory) is now in place with Customer Services and HR Processes captured; This identifies areas such as the location of key personal data storage and the associated flows (including cross-border) with defined classes of data. The Information Assurance Project is now addressing the 'Accountability Principle' and aiming to identify Information Asset Owners within each directorate. Once this has been established we will be looking to work with each Information Asset Owner to establish their Information Asset Register.</p> <p>In terms of maintain contracts and agreements with third parties, the Information Assurance Project has commenced work on identifying our third parties that are in scope (i.e. whom BCC share personal and special category data with) and working with legal to identify a programme of work which involves working with each party to ensure a Data Sharing/Processing Agreement has been sent and agreed with each third party in scope. These agreements will be kept in a Council wide repository.</p>	Amber
2	<p>BCC will need to maintain an information security program based on legal requirements and ongoing risk assessments. We will need to train our identified employees to be able to conduct a Data Protection Impact Assessment (DPIA) when managing change to personal data.</p>	Peter Bishop	05/04/2019	<p>The Information Security requirements required by GDPR being introduced are embedded into the Information Assurance Plan which is monitored by Project Board (monthly) and Information Assurance Board (Quarterly). All Change Management Processes within the Council are still required to fully incorporate the Data Protection Impact Assessments into their governance processes. The Information Assurance Project is currently working on the steps required to embed this into a business as usual practice. 12 Business Analysts have now been trained on how to conduct a Data Protection Impact Assessments (DPIA) when managing change to personal data. A revised DPIA template has been produced to ensure all GDPR requirements are being</p>	Amber

Statutory Responsibilities / Compliance with Statutory Responsibilities					
Risk No: 11		Risk Title: Loss of significant personal or other sensitive data			
				met and will going through a sign-off process through the Project Board and Information Assurance Board. Once signed off, this will be rolled out across all Change Management processes across the Council.	
3	To satisfy GDPR requirements BCC must provide ongoing training and awareness to promote compliance with our data privacy policy and to mitigate operational risk.	Peter Bishop	05/04/2019	Staff training was re-launched in December 2018 and staff will be required to undertake the training on an annual basis. This action has been completed and can be closed	Green
4	A project board is to be established, chaired by the CIO, to take the IAMM action plan forward and report on progress to IAB and CMT.	Peter Bishop	05/04/2019	A monthly Project Board was established in December 2018 which is chaired by the CIO. The Information Assurance Project Board reviews progress against the planned activities set out in the IAMM action plan and reports progress to IAB and CMT. This action has been completed and can be closed	Green
Updated BY:		Peter Bishop	Date:	June 2019 No further updates	

Statutory Responsibilities / Compliance with Statutory Responsibilities		
Risk No: 36	Risk Title: Response to Grenfell Tower enquiry	
Risk Description: Failure to respond positively and effectively to the required outcomes of the Grenfell Tower enquiry once known.		
Risk Owner: Director	Risk Lead: Julie Griffin	Risk Type / Category: Reputational

Statutory Responsibilities / Compliance with Statutory Responsibilities								
Risk No: 36		Risk Title: Response to Grenfell Tower enquiry						
Inherent / Gross Risk			Residual / Current Risk			Target Risk		
Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation
Low	Medium	Material	Low	Low	Tolerable	Low	Low	Tolerable
<p>Current Controls Mitigating Inherent Risk:</p> <p>Delivery in responding to the outcomes of the Grenfell Tower reports are closely monitored by the Service Heads involved. Regular updates are provided at Housing DMT and escalated as required.</p> <p>Project plan produced for all programmes of works required to investigate cladding systems and any associated remedial works to further enhance existing fire safety measures.</p> <p>Fire safety campaign – completion April 2018</p> <p>Fire awareness visits – completion autumn 2018</p> <p>Awaiting further imminent regulations announcements from MHCLG following Hackitt recommendations.</p> <p>This risk is also recorded on the Neighbourhoods Directorate Risk Register and monitored through this process.</p>					<p>Sources of Assurance on Effectiveness of Identified Controls:</p> <p>Where concerns are identified appropriate action is taken.</p> <p>Grenfell 2 years on report is going to Cabinet in July reporting on progress.</p>			
No.	Actions to Reduce Risk to Target	Owner	Date	Progress				RAG
1	Programme to fit Sprinkler systems to 213 high rise blocks over a 3 year period starting	Martin	2018 -	The installation programme has started - Work has begun on the first block (Adelaide				Green

Statutory Responsibilities / Compliance with Statutory Responsibilities						
Risk No: 36		Risk Title: Response to Grenfell Tower enquiry				
	1/4/18	Tolley/ John Jamieson	2021	Tower)	Have consulted with City Housing Liaison Board, Sheltered Housing Liaison Board and also have consulted with tenant management organisations and leaseholders board. All staff in housing management and repairs and maintenance have been briefed with regard to the sprinkler programme.	
2	Programme to carry out fire risk assessments to all communal areas annually	John Jamieson	From 2018 ongoing	These are in place to ensure all communal areas are inspected.		Green
Updated BY:		Martin Tolley	Date:	13 May 2019		

Statutory Responsibilities / Compliance with Statutory Responsibilities								
Risk No: 37		Risk Title: Homeless Reduction Act.						
Risk Description: Insufficient council resources to meet the requirements of the Act fully.								
Risk Owner: Director			Risk Lead: Julie Griffin			Risk Type / Category: Legislative / Regulatory		
Inherent / Gross Risk			Residual / Current Risk			Target Risk		
Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation
High	High	Severe	Medium	High	Severe	Medium	Medium	Material

Statutory Responsibilities / Compliance with Statutory Responsibilities					
Risk No: 37		Risk Title: Homeless Reduction Act.			
<p>Current Controls Mitigating Inherent Risk:</p> <p>New Homeless Reduction Act Legislation implemented from April 2018.</p> <p>New IT system developed with Councils IT providers and fully operational from July 2019.</p> <p>The homeless prevention strategy is now approved by Cabinet which aims to prevent people becoming homeless and assisting in sustaining tenancies.</p> <p>A domestic abuse hub, operated in partnership with BSWAID was initially piloted from 4 February 2019 and became fully operational from Monday 11 March 2019. It provides a support to those experiencing and fleeing domestic violence.</p> <p>Monthly reviews are being carried out by the Ministry of Housing Communities and Local Government (MHCLG)</p>			<p>Sources of Assurance on Effectiveness of Identified Controls:</p> <p>This risk is being closely monitored by Directorate Management Team and Cabinet Member for Homes and Neighbourhoods. There is a programme of regular Cabinet Member briefings dedicated to homelessness tracking and a standard dashboard has been developed to aid close monitoring and scrutiny.</p> <p>A comprehensive re-design programme is underway and a number of key work streams are in place to address this risk. These incorporate improvements to homeless prevention work and backlog of homeless casework. A re-design project board has been established and an ambitious programme plan. The intended outcomes include ensuring the service is designed and managed fit for purpose and the correct resources are in place.</p> <p>Delivery of the programme to reduce this pressure is monitored by Directorate Management Team and Cabinet Member for Homes and Neighbourhoods. There is a programme of regular Cabinet Member briefings dedicated to homelessness tracking and a standard dashboard has been developed to aid close monitoring and scrutiny.</p>		
No.	Actions to Reduce Risk to Target	Owner	Date	Progress	RAG
1	Redesign the Housing Option Service	Vicki Pumphrey	April 2019	Phase 1 completed.	Green
2	Phase 2 re-design of Housing Option Service	Vicki Pumphrey	January 2020	Informal consultation commenced April 2019	Amber
3.	Open a Homeless Prevention Hub in June 2019.	Vicki Pumphrey	June 2019	£400,000 of commissioned services has been identified and mobilisation in progress, the Ladywood hub opens on Monday 17th June 2019 for staff training. It will be operational from Monday 24th June 2019	Amber

Statutory Responsibilities / Compliance with Statutory Responsibilities					
Risk No: 37		Risk Title: Homeless Reduction Act.			
4.	Recruit to Housing Options Centre vacancies	Deborah Moseley	August 2019	Shortlisting in progress, June 2019	Amber
5.	Review of spending/commissioned provision	Karl Robinson	June 2020	Mapping of current commissioned provision and an analysis of homeless households support needs have commenced.	Amber
6.	Private Rented Sector Access Fund to be implemented to maximise “move on” opportunities to relieve homelessness	Karl Robinson/Deborah Moseley	September 2019	We will be emulating the private rented sector secure sustain model in the prevention hub and TA pilots. We will be identifying private landlords to work with moving forward and discharging duty into the private rented sector from September 2019.	Amber
Updated By:		Vicki Pumphrey	Date:	11 June 2019	

Statutory Responsibilities / Compliance with Statutory Responsibilities								
Risk No: 17		Risk Title: Technology - Ineffective Corporate Risk Marker IT solution						
Risk Description: Staff exposure to aggression/violence/harm due to lack of information regarding inherent dangers which are known to the Council.								
Risk Owner Assistant Director, ICT and Digital			Risk Lead: Director, Digital and Customer Services			Risk Type / Category: Information		
Inherent / Gross Risk			Residual / Current Risk			Target Risk		
Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation
Significant	High	Severe	Medium	Medium	Material	Low	Low	Tolerable

Statutory Responsibilities / Compliance with Statutory Responsibilities

Risk No: 17 **Risk Title: Technology - Ineffective Corporate Risk Marker IT solution**

Current Controls Mitigating Inherent Risk:

Joint report went to CLT (from customer services and HR) on 18th January 2018, explaining how this worked currently and what the issues were around funding the costs of accessing the register, including a suggestion we bring the budget together centrally so people don't feel they can't afford to do it. There were a number of discussions points and follow on actions from CLT, including that: 1) CLT approve the use of the Data Warehouse as a mandatory requirement to check risk markers prior to any visits being undertaken by BCC employees to both domestic properties and businesses 2) CLT will review the funding of the Data Warehouse as part of the Councils long term financial plan to ensure that the risks associated with failure to comply are minimised and that the data warehouse continues to be available for use across the council 3) CLT will identify the appropriate Director to be the named officer responsible for their risk marker solution (currently this is the director of HR but only as a temporary measure – may sit better in Revenues and Benefits) 4) CLT will require the safety manager to draft the appropriate guidelines for usage of the risk marker solution

Sources of Assurance on Effectiveness of Identified Controls:

Management assurance.

Currently the data warehouse pulls in the risk markers from CRM, Housing, MAPSS and CareFirst. Any user of the warehouse that searches a relevant name or address will have the respective risk markers presented to them. The risk markers not only relate to health and safety but child / vulnerable adult safeguarding too.

The Audit team are in the process of creating an Intelligence Network across the City for anyone who has an investigative, enforcement or regulatory element to their role; or are likely to have some contact with the public. However there remain challenges regarding balancing the need for timely access by a large number of staff and the requirement to ensure sufficient security of the sensitive data. Further work on this is required

Council Tax, Business Rates and Rents have a risk marker on their respective systems; this risk marker is extracted and added to the data warehouse.

No.	Actions to Reduce Risk to Target	Owner	Target Date	Progress	RAG
1	During 2019 further work on effective access is required	TBD			Choose an item.
2	Monitoring the use of the IT system by Corporate Safety Services.	TBD			Choose an item.
3	Guidance for employees will be completed once surety of access for all required has been	TBD			Choose an

Statutory Responsibilities / Compliance with Statutory Responsibilities						
Risk No: 17		Risk Title: Technology - Ineffective Corporate Risk Marker IT solution				
	secured					item.
4	Appropriate Line Managers to monitor employee safety, as applicable	TBC				Choose an item.
Updated BY:		Peter Bishop	Date:	June 2019 No further updates		

Financial Resilience - Risks associated with austerity and the financial challenges facing BCC								
Risk No: 29		Risk Title: Budget Management						
Risk Description: Not developing sufficiently robust plans to support setting a balanced budget (including in the medium term), and not containing net spending within the approved budget.								
Risk Owner: Director of Finance			Risk Lead: Clive Heaphy			Risk Type / Category: Financial		
Inherent / Gross Risk			Residual / Current Risk			Target Risk		
Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation
High	High	Severe	Medium	High	Severe	Medium	Low	Tolerable
Current Controls Mitigating Inherent Risk: Delivery of the 2019/20 budget including management of financial pressures and delivery of the approved savings programme is being closely monitored and managed, corporate				Sources of Assurance on Effectiveness of identified Controls: Resources O&S scrutinises budget matters on an ongoing basis and identifies areas of concern as appropriate. Where concerns are identified relevant service scrutiny				

Financial Resilience - Risks associated with austerity and the financial challenges facing BCC

Risk No: 29 Risk Title: Budget Management

<p>directors in collaboration with their Finance Business Partners. Further support is provided by the Programme Management Office with focus upon providing assurance in relation to the implementation of savings plans.</p> <p>There will be scrutiny and challenge of the financial position on a monthly basis via the Council's Management Team, Member led Star Chambers, EMT and Resources Overview & Scrutiny.</p> <p>On a quarterly basis and there will be further rigorous challenge of the overall financial performance via the officer Budget Programme Board chaired by the Chief Executive and supported by the Budget Planning Group. Quarterly reports will be considered by Cabinet. Additional Member led star chambers have been established for those directorates are forecasting significant overspends to explore the issues and develop solutions. This will continue throughout the year until the budgetary position is successfully recovered.</p> <p>Directors have clear accountability for the delivery of savings in their directorates and this includes attendance at monthly meetings with the Cabinet Member for Finance.</p> <p>The Council's LTFP is refreshed regularly to take account of latest information, including the successful mitigation of financial pressures and delivery of savings plans. A periodic assessment of the impact of in year delivery upon future financial years is undertaken to ensure proactive management.</p>	<p>committees will assess the impact on specific service areas including impact upon services of in-year mitigations.</p>
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No.	Actions to Reduce Risk to Target	Owner	Target Date	Progress	RAG
1	There is close monitoring of the delivery of the Budget and additional governance arrangements have been introduced	Debbie Middleton	April 19	The CMT is building on the stabilisation of the financial position achieved with a £5.6m underspend for 2018/19. The following arrangements are in place for 2019/20:	Green

Financial Resilience - Risks associated with austerity and the financial challenges facing BCC

Risk No: 29		Risk Title: Budget Management			
				<ul style="list-style-type: none">- Collaborative support, review and challenge of savings delivery and management of budgetary pressures by Finance Business Partners and PMO working closely with Directorates- Monthly review and challenge by CMT, Member Led Star Chambers prior to consideration by EMT, and Resources O&S- Quarterly review and challenge by CEO led Budget Programme Board supported by Budget Planning Group <p>Focused deep dive of areas with significant overspends by Member Led Star Chambers to oversee development and delivery of directorate financial recovery plans.</p>	
2	Moving to a more integrated planning and performance management approach.	Clive Heaphy / Jonathan Tew	Mar 19	<p>During 2019-20</p> <ul style="list-style-type: none">a. In February 2019 the Council approved a balanced MTFS over the period 2019/20 2022/23 subject to significant uncertainty over the future local government finance framework that will not become clear until the Government’s spending review in Autumn 2019. Therefore the Council will need to prepare for a range of financial scenarios that could see our resources vary between approx. £40m per annum reduction to £100m per annum increase dependent upon the Review by 2024. This may not become clear even in SR2019 as it is now expected that this will cover only 2020/21 and not a three year review as originally planned due to the delays in Brexit. We must plan for the worst to ensure we can responds to the national funding uncertainty. For 2020/21 we will plan for a reduction of £30m.b. Launch of 2020/21 budget process on 7 June at EMT and 20 June ELT set out the importance of moving to a business transformation and outcomes based budget cycle underpinned by a robust performance management framework to demonstrate improved Value for Money and financial resilience. We will	Amber

Financial Resilience - Risks associated with austerity and the financial challenges facing BCC

Risk No: 29		Risk Title: Budget Management			
				<p>twin track the development of savings to deliver in 2020/21 and 2021/22, whilst developing service transformation initiatives for the medium to longer term.</p> <p>c. Following the refresh of the Council Plan by Cabinet in June 19, the Assistant Chief Executive is currently putting arrangements in place to introduce corporate business planning and performance management framework, building upon the foundations laid in 2018/19. These will be launched in July/August to be developed by directorates alongside their budget proposals and review of their medium term financial plans for approval in February.</p> <p>d. Delivery and monitoring – ongoing – Budget PMO established and will QA the implementation plans for budget proposals during the 2020/21 process.</p> <p>e. The Birmingham Independent Improvement Panel (BIIP) stepped down in March 2019, with the Council having completed and publicised a 2019 stock take report on future improvement areas. Since that point, the Council has continued to work with MHCLG regarding the Council’s own improvement governance arrangements and proposals will be submitted for consideration to Cabinet in July. This new model will ensure that key areas of future improvement activity are progressed in concert with the delivery of the 2019-20 profiled savings and oversight of transformation activity for 2020-21 and 2021-22.</p>	
3	Proposals will be subject to corporate public consultation commencing following Cabinet approval on 13 November 2018 and more specific engagement and consultation also take	Clive Heaphy / Eleri Roberts/ All CMT	Feb 20	Corporate Consultation on the 2019/20 Budget completed; further localised and targeted consultation is being developed. Directorate consultations will be required within the year for specific budget proposals. This will be monitored as part of 2019/20 budget monitoring and through PMO support in developing and challenging Implementation Plans.	Amber

Financial Resilience - Risks associated with austerity and the financial challenges facing BCC					
Risk No: 29		Risk Title: Budget Management			
	place where appropriate			Corporate Communications are planning for a 12 week consultation – though this is dependent on all budget savings being signed off and ready for public scrutiny by the required date. All Directorates will need to have plans for any service specific consultations that will be required as supplementary activity.	
Updated By: Ayra Sohal		Date: 2/7/19			

Financial Resilience - Risks associated with austerity and the financial challenges facing BCC								
Risk No: 15		Risk Title: Not recognising the need to divest of costly property assets in radical new solutions to reframe service delivery.						
Risk Description: Risk of not recognising the need to divest of costly property assets in radical new solutions to reframe service delivery; driving out property for disposal, but beyond capital receipt generation, ultimately solutions should deliver innovative and appropriate reductions in future revenue operating costs.								
Risk Owner: Director Inclusive Growth			Risk Lead: Phillip Andrews			Risk Type / Category: Financial		
Inherent / Gross Risk			Residual / Current Risk			Target Risk		
Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation
Significant	Medium	Material	Medium	Medium	Material	Medium	Low	Tolerable
Current Controls Mitigating Inherent Risk:					Sources of Assurance on Effectiveness of Identified Controls:			

Financial Resilience - Risks associated with austerity and the financial challenges facing BCC

No.	Actions to Reduce Risk to Target	Owner	Target Date	Progress	RAG
1	The approval by Cabinet in November 2018 of a new corporate Property Strategy with a key emphasis on the Operational Portfolio as one of four themes. Recommendations include reducing the level of directly managed stock in order to retain a smaller, multi-faceted, well-maintained estate	Philip Andrews	March 2019 July 2019	Ongoing and subject to potentially, significant change driven by BCC corporate business plan (this is currently “continuously changing in the short term”).	Amber
2	The current rounds of budget proposals for FY19/20 onwards contain a number of property rationalisation propositions across the service areas as part of the contributions to future years cost reductions. This includes the Public Hubs Programme which will remodel and reduce the Council’s frontline estate.	Philip Andrews	July 2019	Ongoing and subject to potentially, significant change driven by BCC corporate business plan (this is currently “continuously changing in the short term”). Progress on the Public Hub Programme was discussed at both CMT and EMT in June 2019, with further direction given. External subject matter expert with proven track record of delivering such programmes to be procured to assist in mapping out the options, formulating delivery plan and communication	Amber
3	Through the recommendations of the Property Strategy services will need to articulate their medium term asset plans and associated utilisation / resourcing which in turn will be subject to critical appraisal by the Property & Assets Board. To assist with property rationalisation alongside future service planning and	Philip Andrews	May 2019	Ongoing and subject to potentially, significant change driven by BCC corporate business plan (this is currently “continuously changing in the short term”).	Amber

Financial Resilience - Risks associated with austerity and the financial challenges facing BCC

	development programmes, a Property Services Business Partner role has been established with the Neighbourhoods Directorate.				
4	The Corporate Landlord service has continued to deliver the facilitation of delivery of further organisation changes e.g. Service Birmingham and the Contact Centre the creation of the Children's Trust, absorption of Service Birmingham / ICTDS and Contact Centre functions within the estate, accommodating the CWG project Team etc.	Philip Andrews	June 2019	<p>Ongoing and subject to potentially, significant change driven by BCC corporate business plan (this is currently "continuously changing in the short term").</p> <p>A briefing paper will be brought to CMT in July 2019 to update the changes required / levels of agility needed to achieve the stated savings target of £2.4m</p> <p>External subject matter expert to be procured to assist in mapping out the options and delivery plan.</p>	Amber
5	<p>Continued development of the corporate property database (Techforge) - information and systems development continues to progress as planned and the additional functionality is being applied in the management of repairs and maintenance costs, provision of information and analysis to inform strategic decision making, etc.</p> <p>The "Modern Workplace" project is</p>	<p>Mark Bieganski</p> <p>Philip</p>	<p>March 2019</p> <p>June 2019</p>	<p>Continued development of the corporate property database (Techforge) - information and systems development continues to progress as planned and the additional functionality is being applied in the management of repairs and maintenance costs, provision of information and analysis to inform strategic decision making, etc.</p> <p>The "Modern Workplace" project is intended to increase agility and bring further organisation and management culture change across the Council through improved</p>	Amber

Financial Resilience - Risks associated with austerity and the financial challenges facing BCC					
	intended to increase agility and bring further organisation and management culture change across the Council. A key outcome will be further rationalisation of the Central Administration Buildings portfolio.	Andrews		ICT and revised HR policies. A key outcome will be the opportunity for increased agility and different ways of working, enabling further rationalisation of the Central Administration Buildings portfolio.	
Updated BY:	Philip Andrews	Date:	17 June 2019		

Financial Resilience - Risks associated with austerity and the financial challenges facing BCC								
Risk No: 38		Risk Title: To manage the Enterprise Zone Programme in line with its delivery plan.						
Risk Description: Risk of under achieving: potential business rates income, economic growth, and outputs/achievements.								
Risk Owner Director Inclusive Growth			Risk Lead: Inclusive Growth (Delivery) / Finance and Governance (Accountable Body)			Risk Type / Category: Reputational		
Inherent / Gross Risk			Residual / Current Risk			Target Risk		
Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation
Medium	High	Severe	Medium	Significant	Material	Medium	Significant	Material
Current Controls Mitigating Inherent Risk:				Sources of Assurance on Effectiveness of Identified Controls:				

Financial Resilience - Risks associated with austerity and the financial challenges facing BCC

- | | |
|---|---|
| <ul style="list-style-type: none"> Financial principles are integrated in to the Enterprise Zone (EZ) Model, to inform and provide assurance that funding of projects is affordable prior to it being committed. Collaboration with Finance to manage the EZ Business model and ensure it contains the latest data on spend and business rates income. Collaboration with BCC Planning officers and business rates team to enable effective monitoring of development on EZ sites and their hereditaments to ensure the forecasts for business rates income are accurate and up to date. Collaboration with GBSLEP Programme Management Office (PMO) on quarterly reporting by EZ projects. Reporting to the Programme Delivery and GBSLEP Boards providing reports and requesting approval. Substantial proportion of business rates income is ring fenced on an annual basis to create a financial contingency as a safeguard against business rates income not coming forward as per forecast. | <ul style="list-style-type: none"> All projects now follow the GBSLEP's assurance framework, thus the Treasury Green Book process for developing business cases for funding. The EZ and Curzon Delivery Board meets monthly (last meeting 25 June 2019) to implement the delivery of the EZ Investment Plan, and monitor and oversee the delivery of EZ and Curzon projects managed by the Economy Directorate. Major EZ projects are reported to BCC Capital Board. |
|---|---|

No.	Actions to Reduce Risk to Target	Owner	Target Date	Progress	RAG
1	Develop EZ and Curzon projects to meet requirements as outlined in the Investment Plan.	Jane Smith	To cover 10 year Investment Plan	Management of Enterprise Zone Model Regular Monitoring of projects Capital Board Business cases for funding meet HM Treasury's Green Book Standard.	Green

Financial Resilience - Risks associated with austerity and the financial challenges facing BCC					
2	To monitor Enterprise Zone BCC managed projects (EZ and Curzon).	Jane Smith	To cover 10 year Investment Plan	Management of Enterprise Zone Model Regular Monitoring of projects Capital Board EZ and Curzon Project Delivery Board meets regularly to discuss the management of the EZ Model. Regular monitoring of projects continues. Senior representation at the BCC Capital Board.	Green
3	To maintain state aid systems and monitor EZ business rates relief.	Jane Smith	To cover 10 year Investment Plan	Management of Enterprise Zone Model Regular Monitoring of projects Capital Board Management of a EZ business rates relief system received by businesses located on eligible EZ sites. Regular Monitoring of the sums received by the businesses. Paper trail with businesses in receipt of EZ business rates relief.	Green
4	Collate BCC EZ and Curzon delivery programme outputs and outcomes.	Jane Smith	To cover 10 year Investment Plan	Management of Enterprise Zone Model Regular Monitoring of projects Capital Board Management of Enterprise Zone Model activity. Regular monitoring of projects. Ongoing monitoring of those businesses received EZ business rates relief. Capture of activity on EZ sites.	Green
Updated BY:		Jane Smith	Date:	26 June 2019	

Financial Resilience - Risks associated with austerity and the financial challenges facing BCC

Risk No: 41

Risk Title: School Deficits

Risk Description:

- National funding arrangements have resulted in real term funding reductions which coupled with rising costs means that there is a risk that increasingly, schools are not able to run balanced budgets:-
- There is the potential that some schools may build up deficits which cannot be cleared and which ultimately may need to be met by BCC
- In addition there is a pressure on the high needs block which centrally supports places for children with SEND.

Risk Owner: Director Education and Skills

Risk Lead: Assistant Director – Education and Early Years / Assistant Director SEND

Risk Type / Category: Financial

Inherent / Gross Risk			Residual / Current Risk			Target Risk		
Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation
High	High	Severe	High	Significant	Severe	Medium	Significant	Material

Current Controls Mitigating Inherent Risk:

- Earlier use of financial warning notices where there are financial concerns. Intervention considered as appropriate inc. removal of cheque book facility to the removal of governing body and replacement with an Interim Executive Board
- Collaboration with Regional Schools Commissioner to ensure swift action taken to address school improvement requirements by identifying a Sponsor early to then maximise the impact of additional investment in school improvement.

Sources of Assurance on Effectiveness of Identified Controls:

- Schools Financial Governance Group set up to co-ordinate support and challenge to schools.
- Initial Audit review carried out with findings being adopted and second review to be set up to include more detailed stress testing of schools ability to cope with further cuts in funding.
- More targeted audits of schools

Financial Resilience - Risks associated with austerity and the financial challenges facing BCC					
Risk No: 41		Risk Title: School Deficits			
<ul style="list-style-type: none"> •Schools financial monitoring procedures to be reinforced with requirement that these are reported to all Governors. •Schools identified to be financially vulnerable, to have imposed level of spend agreed by BCC •Schools Financial Services to work directly with vulnerable schools to establish a financial recovery plan •School Causing Concern Pre-warning and then warning notices if there are no improvement in the financial management, to be sent to all schools with a forecasted deficit. (DfE regulations) 					
No.	Actions to Reduce Risk to Target	Owner	Target Date	Progress	RAG
1	Strengthen Schools Finance Governance Board, by: <ul style="list-style-type: none"> •Corporate Director to chair •Review methodology and develop risk register •Quarterly strategic forecasting to determine financially vulnerable schools 	ToN	April	Change of chair has been agreed and implemented. Terms of reference drafted and adopted. The June Finance Governance Board was chaired by the Director of Education and Skills. Follow up report with School Deficits Action Plan presented to CMT on 13 May	Green

Financial Resilience - Risks associated with austerity and the financial challenges facing BCC

Risk No: 41		Risk Title: School Deficits			
2	<p>Schools Forum to consider financial position of school budgets:</p> <ul style="list-style-type: none">•Identify a Schools Forum rep to join the Schools Finance Governance Board,•Agree criteria by which schools are identified as being financially vulnerable,•Receive reports and monitor the school budget position	Julie Young / Paul Stevenson	June 2019	<p>School Forum meeting took place in June and a request for representative to join the Board was made at the meeting and accepted in principle – name to be confirmed.</p> <p>A report was taken on the School Carried forward balances at the end of 2018/19, which included schools in deficit and a commitment agreed to bring quarterly reports on school deficit position to School Forum meetings.</p>	Amber
3	<p>Management of school deficits, by: -</p> <ul style="list-style-type: none">•Inadequate schools to be risk assessed to determine if Governing Body to either be replaced by an IEB or strengthened with an additional finance governor,•Meeting to be held with Head Teacher /Chair of Governors for any school facing potential removal of delegated powers and actions agreed•In exceptional circumstances the schools	Julie Young / Paul Stevenson Julie Young / Tim O'Neill	Sept 19	<p>The report on Schools Causing Financial Concern has been produced for June 2019 and the actions outlined in this section will be progressed in line with the information and concerns within the report.</p>	Green

Financial Resilience - Risks associated with austerity and the financial challenges facing BCC					
Risk No: 41		Risk Title: School Deficits			
	delegated powers to be removed.				
Updated BY:	Baljit Jandu (Risk Rep)		Date:	28 June 2019	

Financial Resilience - Risks associated with austerity and the financial challenges facing BCC		
Risk No: 46	Risk Title: Universal Credit	
<p>Risk Description: UC related arrears has already increased with 12% of the arrears accounting for 33% of the total arrears (Over £5 million out of a total of £15 million). The major risks for UC are</p> <ul style="list-style-type: none">• Reduction in HB income of £22.7 million to the rent account in 2018/19• Increase in rent arrears• Decrease in tenancy sustainability• Increase in evictions and homelessness• Increase in citizens debt• Increased council tax arrears• Lower rates of debt recovery of housing benefit overpayments• Lower take-up of council tax support• Reduction in DWP funding adds pressure to budgets and remaining HB recipients• Further short notice change announcements from DWP• Confusion for citizens		
Risk Owner: Assistant Director, Revenues and Benefits	Risk Lead: Director, Digital and Customer Services	Risk Type / Category: Financial

Financial Resilience - Risks associated with austerity and the financial challenges facing BCC

Inherent / Gross Risk			Residual / Current Risk			Target Risk		
Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation
Significant	Significant	Severe	Medium	Medium	Material	Low	Low	Tolerable
Current Controls Mitigating Inherent Risk: <ul style="list-style-type: none"> Pilot work is underway to examine interventions in order to mitigate the impact on tenants and the HRA. This will be built into a forthcoming service redesign for the Rent Service. Alternative Payment Arrangements (APAs) are being encouraged so the Council receives the rent direct from UC payments where possible. Close working with DWP work coaches and other partners is helping to reduce the impact. Alternative ways of working have been explored with other housing providers – as well as software solutions. Housing Benefit recovery is being closely monitored and a recent initiative will increase recovery rates for people who are in work. New 50% earnings disregard in place and allowing increased rates of recovery on HB cases before more are 'lost' to UC Awareness around Council Tax Support claim process is being increased at regular strategic meetings between the Council and the DWP. Benefit Service is working on new arrangements for service delivery from 2019/20 in 					Sources of Assurance on Effectiveness of Identified Controls: <ul style="list-style-type: none"> Headline arrears figure for 2018/19 is lower than expected Close monitoring of rent arrears – arrears target was £13.2 million (actual £12.3 million). This is due to fluctuations in payments received from DWP, and 'rent free weeks'. Ongoing dialogue with DWP Progressing rent and benefit service redesigns Maintaining a view of national picture through attendance at meetings with LGA/DWP Promoting council tax support (CTS) Consider options for council tax debt on CTS cases – work with Enforcement Agents on vulnerability issues Close subsidy monitoring on UC/HB related cases Use of specific reserve to ensure vulnerable people don't suffer and subsidy income is maximised Council tax support cases have started to increase back to previous levels Income generated through the earnings disregard is bringing the council in around £45,000 			

Financial Resilience - Risks associated with austerity and the financial challenges facing BCC					
order to mitigate against DWP cuts and protect vulnerable tenants.				per week	
No.	Actions to Reduce Risk to Target	Owner	Target Date	Progress	RAG
1	Auto intent to claim for CTS	D Kinnair	Dec 18	Implemented and CTS cases now back to former level – Completed.	Green
2	Benefit structure implemented	D Kinnair	Jan 19	Implemented to mitigate DWP funding cuts – Completed.	Green
3	Rent Service redesign (structure review) to be implemented following successful pilot	T Holsey	June 19	Implement to mitigate against the impact of UC on the HRA (Pre staff consultation)	Amber
4					Choose an item.
Updated BY:		Tim Savill	Date:	18/6/19	

Political - Risks driven by the political agenda

None

Technology								
Risk No: 16		Risk Title: Technology – Cyber Attacks						
Risk Description: There is a risk that web services to customers or work with partners may be disrupted by malicious attacks on the City Council's web based services.								
Risk Owner: Assistant Director, ICT and Digital			Risk Lead: Director, Digital and Customer Services			Risk Type / Category: Technology		
Inherent / Gross Risk			Residual / Current Risk			Target Risk		
Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation
High	High	Severe	Significant	Significant	Severe	Low	Low	Tolerable
Current Controls Mitigating Inherent Risk: The following control measures are routinely taken by the Council’s Information, Technology and Digital Services Team: <ul style="list-style-type: none">Continuously scan the information security landscape with partners to detect upcoming and new vulnerabilities which could be exploited by potential hackers. This ensures that SB are aware of all risk posed by different intrusion methods.Have updated the Councils firewalls and introduced Intrusion Prevention Services as part of the firewall implementation. This means the firewalls are receiving regular updates from the supplier to detect new and evolving types of security attack. The firewalls detect and defeat many thousands of attacks every day.Have implemented a cloud based Distributed Denial of Service system that defends four of the Council’s main websites from high volume attacks where hackers are trying to flood the Council’s websites with requests for service. This service regularly defends the Councils web sites from attackers and the contract is currently being renewed.Have implemented the PSN walled garden which has enhanced the security of all users accessing web based government systems. PSN services have been remodelled					Sources of Assurance on Effectiveness of Identified Controls: This risk can only ever be mitigated, and never fully closed due to the nature of hacking etc. <ul style="list-style-type: none">The Council are now transmitting sensitive data securely through the PSN secure infrastructure together with the improvements / enhancements made to the firewalls.BCC has successfully passed its PSN accreditation.Service Birmingham, on behalf of the Council, is constantly monitoring the information security landscape with solution providers to detect upcoming and new vulnerabilities which could be exploited by potential hackers.Given the nature of this risk these activities are now being kept under constant review.The next health check (a mandatory requirement of PSN) has recently been completed.			

Technology					
Risk No: 16		Risk Title: Technology – Cyber Attacks			
<p>and are currently being monitored to ensure secure transmission.</p> <p>The management of cyber risks within BCC will form part of the security strategy and responsibilities clearly defined. The ICF will ensure that the cyber risk investment strategy is aligned to, and supports strategic priorities.</p> <p>There is improved reporting of cyber risks and security incidents which will be presented to the Corporate Information Security Group bi-monthly. This will ensure BCC are fully aware of potential regulatory & legal exposures and can assess the implications for future investment decisions.</p> <p>This is an acknowledged ongoing risk that should remain on the CRR. For reference a PSN Compliance Certificate was issued to Birmingham City Council on 27/03/18.</p>					
No.	Actions to Reduce Risk to Target	Owner	Target Date	Progress	RAG
1	BCC have undertaken a Cyber Security Stocktake and are in the process of developing a combined Cyber Security and Resilience strategy to mitigate risks identified in the stocktake.	Peter Bishop	30/9/19	The approach to cyber security has been informed by 2 security reviews, from Socitm and RAND who were commissioned by the LGA. The outputs of these reviews have informed the approach to the cyber security strategy which has now been approved and an additional SME joins in early April to drive forward the agreed plan. The plan covers delivery of enhanced, coherent security management and is estimated to complete in early Autumn 2019. The cyber security strategy will be closely aligned to the Information Management strategy and the overall IT&D Strategy, both of which require increased organisation-wide awareness of the need for vigilance in both physical and technological environments.	Amber

Technology					
Risk No: 16		Risk Title: Technology – Cyber Attacks			
2					Choose an item.
Updated BY:		Peter Bishop	Date:	June 2019	

Transformation								
Risk No: 7		Risk Title: Failure to Deliver Culture Change and Transformation						
Risk Description: In delivering significant change, industrial action, increased sickness absence levels and poor performance will divert managerial capacity from delivering outcomes to include organisational effectiveness and savings.								
Risk Owner: Dawn Hewins			Risk Lead: Director of Human Resources			Risk Type / Category: Financial		
Inherent / Gross Risk			Residual / Current Risk			Target Risk		
Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation
High	High	Severe	High	High	Severe	Medium	Medium	Material
Current Controls Mitigating Inherent Risk: There are a number of high level localised disputes that could result in further escalation of service specific industrial action, some on-going at the moment. There have been localised disputes resulting in a series of action short of strike / strike actions. The Council is utilising non-binding mediation as a means of seeking to resolve these matters. Reports have been considered by Cabinet as a potential means of bringing conclusion to current					Sources of Assurance on Effectiveness of Identified Controls: Will be on-going. Despite this, overall there continues to be regular and positive engagement and dialogue with the trade unions at a corporate, regional and local level as appropriate (excluding where in dispute). Expert HR support is being provided to areas experiencing significant employee relations challenges relating to service redesign and headcount reductions.			

Transformation					
Risk No: 7		Risk Title: Failure to Deliver Culture Change and Transformation			
<p>action. There are business continuity plans in place in readiness for industrial action.</p> <p>Bespoke HR support is being provided to identify high risk areas. Management to ensure contingency plans periodically reviewed in proportion to the risk to ensure 'fit for purpose' and known milestones surrounding savings and organisational change. The establishment of an Industrial Relations Specialist Unit comprising HR and Legal services to be developed and implemented ensuring that</p> <ul style="list-style-type: none"> • we have Council wide oversight of key events timetable with the aim of managing any high risk activity and a consistency of approach. • a review of the trade union engagement arrangements with a view to empowering managers to deliver change at the lowest level of the organisation (Kerslake Report) • areas where there is a high risk of industrial action are to have increased employee engagement arrangements such as Joint Service Improvement Board – Waste Management. <p>HR/managers monitoring and taking action to minimise sickness absence as a result of organisational changes.</p>		<p>All budget proposals are subject to validation via full council, before consultation with trade unions will commence. There are some delays in delivery timescales where any applicable disputes are considered.</p> <p>Focus on attendance and wellbeing occurs to provide support to employees who are experiencing change.</p>			
No.	Actions to Reduce Risk to Target	Owner	Target Date	Progress	RAG
1	Set up Industrial Relations Unit	Dawn Hewins	04/04/19	Initial conversations have been held with the TU's, scoping document drafted and awaiting feedback	Red
2	All managers to monitor employee well-being	All Managers	04/04/19	In progress and on-going.	Amber
3	Additional HR Support provided as needed	Dawn	04/04/19	On-going as required to specific disputes/programmes/service redesigns and	Green

Transformation					
Risk No: 7		Risk Title: Failure to Deliver Culture Change and Transformation			
		Hewins		restructures	
4	Council wide and Directorate dashboards provided monthly to monitor organisational health	Dawn Hewins	04/04/19	Delivered monthly and on-going	Green
5					Choose an item.
Updated BY:		Dawn Hewins/Helen Ward		Date:	21 June 2019

Transformation								
Risk No: 10		Risk Title: Transformation – failing to make sufficient progress in key areas of improvement activity						
Risk Description: Failing to make sufficient progress in key areas of improvement activity identified as; waste management and industrial relations, outcomes for vulnerable adults and children, financial resilience, risk management, good governance, cultural change and organisational development.								
Risk Owner: Assistant Chief Executive			Risk Lead: Assistant Chief Executive			Risk Type / Category: Financial		
Inherent / Gross Risk			Residual / Current Risk			Target Risk		
Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation
Significant	High	Severe	Significant	Significant	Severe	Low	Low	Tolerable
Current Controls Mitigating Inherent Risk: Birmingham Independent Improvement Panel (BIIP) stepped down in March 2019 alongside the publication of a 2019 stock take report.				Sources of Assurance on Effectiveness of Identified Controls: Proposals will be included in the July Cabinet report.				

Transformation					
Risk No: 10		Risk Title: Transformation – failing to make sufficient progress in key areas of improvement activity			
<p>There has been ongoing work with MHCLG regarding the Council's own improvement governance arrangements and proposals will be submitted for consideration to Cabinet in July.</p> <p>Key areas of future improvement activity have been identified as stated above.</p>					
No.	Actions to Reduce Risk to Target	Owner	Date	Progress	RAG
1	The risk to be formally reviewed/amended to focus on strong assurance of financial, governance and specific service risks as highlighted by the external auditor in 2019.	Jonathan Tew		New draft prepared for discussion and approval at Directorate Risk Workshop 26 June 2019.	Choose an item.
Updated BY:	Jonathan Tew	Date:	20 June 2019		

Transformation								
Risk No: 18		Risk Title: Evaluation of Alternative Delivery Models						
a) Risk Description: Failure to adequately identify and agree the costs and benefits of alternative delivery models arising from Service Reviews before the decision to proceed is made. Failure to fully implement the decisions taken to change the service model to enable delivery of expected benefits / efficiency gains.								
Risk Owner: Director of Finance			Risk Lead: Richard Tibbetts			Risk Type / Category: Financial / Reputational		
Inherent / Gross Risk			Residual / Current Risk			Target Risk		
Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation

Transformation								
Risk No: 18		Risk Title: Evaluation of Alternative Delivery Models						
Significant	Significant	Severe	Medium	Medium	Material	Low	Medium	Tolerable
Current Controls Mitigating Inherent Risk: Any alternative delivery model must demonstrate some benefit and better value for the Council. There needs to be the early identification of all costs, benefits, losses/impacts as part of the formulation and evaluation of options in the development of the business case. The financial implications of any change against the existing model need to be evaluated on a case by case basis, seeking specialist advice where necessary to inform recommendations. The evaluation should be proportionate to the value and complexity of the service and the assumptions and level of confidence will need to be made clear in order to avoid over-engineering financial modelling.				Sources of Assurance on Effectiveness of identified Controls: The Finance Business Partners will provide the necessary skills for the project requirements, as follows: <ul style="list-style-type: none">• All costs and income of the proposed model as compared with existing, together with some sensitivity and risk analysis.• remaining costs to BCC (e.g. fixed overheads, income targets, resource requirements etc.)• any costs/benefits to customers/residents who are the recipients of the service These risks/costs need to be presented to and managed by the Commissioning and Contract Management Board (CCMB)/CMT and included in any cabinet reports.				
No.	Actions to Reduce Risk to Target		Owner	Date	Progress			RAG
1	Anticipated date of attainment of the target risk rating:		Richard Tibbatts	ASAP	April 2020 – sign off by Finance Business Partner			Amber
2	Source(s) of assurance regarding progress with mitigating the risk: Management assurance - reports to CMT, notes and actions from CCMB agenda. Dialogue with directorate lead commissioners. Finance to be embedded in commissioning		Relevant SRO for the service under consideration	Ongoing				Amber

Transformation						
Risk No: 18		Risk Title: Evaluation of Alternative Delivery Models				
	reviews.					
3	Commissioning expertise	GB		Team established in CPS and expertise in some parts of the Council. Council-wide move to Strategic Commissioning will ensure roll-out of knowledge		Amber
4	Risk to be managed on a case by case basis through proper use of the Commissioning Toolkit	Relevant SRO	Ongoing	through reviews supported by the Finance Business Partners.		Amber
5	Toolkit Working with Finance Business partners on forthcoming commissioning projects CPS will establish templates and guidance for the level of financial detail required to inform decisions. Projects identified are Birmingham City Laboratories, Civic Catering and Cleaning.	Relevant SRO	On going	These services are now within the commercial business hub and will be completing reviews towards the end of 2019 with Business Partner input		Amber
Updated By: Mike Smith		Date:	11 th July 2019			

Transformation			
Risk No: 44		Risk Title: Allowance Payments	
Risk Description: Unpaid allowance payments			
Risk Owner: Director Human Resources		Risk Lead: Director Human Resources	Risk Type / Category: Financial

Transformation								
Risk No: 44		Risk Title: Allowance Payments						
Inherent / Gross Risk			Residual / Current Risk			Target Risk		
Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation
Medium	Medium	Material	Medium	Medium	Material	Low	Low	Tolerable
Current Controls Mitigating Inherent Risk: There is a Governance Board monitoring any potential high risk claims					Sources of Assurance on Effectiveness of Identified Control: All new claims for allowances are being assessed on their merits and defended wherever practical. Use of overtime is being monitored on a monthly basis with strategic Directors taking responsibility for addressing any areas of concern			
No.	Actions to Reduce Risk to Target		Owner	Date	Progress			RAG
1.	As new case law is decided challenges to payments have arisen: Holiday pay sleeping in allowance where case law remains ambiguous so claims on hold Travel time – currently a subject of internal challenge, but may become a matter for Employment Tribunal.		Dawn Hewins	On going				Material
Updated by:			Date:					

Service Delivery								
Risk No: 6		Risk Title: Failure to achieve all of the services required including delivery of significant investment into the Highway network within the first five years of the contract.						
Risk Description: Failure to meet the council’s objectives going forward with the Highway Maintenance and Management PFI contract, these are to: i. Obtain the investment for which we are paying; ii. Retain the capacity and financial support from government; iii. Ensure we manage the contract and only pay for what we receive; and iv. Develop a way forward that will enable us to have confidence in future delivery.								
Risk Owner: Director Inclusive Growth			Risk Lead: Dominic De Bechi			Risk Type / Category: Partnership / Contractual		
Inherent / Gross Risk			Residual / Current Risk			Target Risk		
Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation
High	Significant	Severe	High	Significant	Severe	Low	Significant	Material
Current Controls Mitigating Inherent Risk: A settlement agreement was signed with Amey, the SPV and project lenders on 29 June 2019. This settlement was in accordance with the heads of terms and Cabinet’s approval of 25 June 2019. The settlement confirms that Amey LG will be replaced as soon as possible and no later than 31 March 2020. Delivery risks remain but a settlement is the first step in moving forward. Business continuity / contingency plans remain in place for key areas.					Sources of Assurance on Effectiveness of Identified Controls: The terms of the settlement agreement provide assurance as detailed in the Cabinet decision of 25 June 2019. Advice taken from Legal Services, together with external advice (including counsel where appropriate). External financial advice has also been secured.			
No.	Actions to Reduce Risk to Target		Owner	Target Date	Progress			RAG
1	Develop and commence delivery of a programme of investment to work towards		Thomas Clarkson-	June 2019				Amber

Service Delivery						
Risk No: 6		Risk Title: Failure to achieve all of the services required including delivery of significant investment into the Highway network within the first five years of the contract.				
	completion of the Core Investment Period in an acceptable timescale.	Williams		The settlement provides a minimum of £50m of investment subject to funding being available. This commitment now needs to be turned into an acceptable programme to be delivered by the SPV.		
2	Continue to progress a delivery solution that ensures the PFI grant is retained.	Kevin Hicks / Domenic de Bechi	June 2019	We are working with Government and the SPV to ensure a delivery solution that enables the PFI grant to continue in the long term, subject to a way forward being agreed.		Amber
3	Continue to manage performance under the contract until a way forward is agreed with Amey.	Dominic De Bechi	June 2019	Performance will continue to be managed in line with the proposed settlement terms.		Amber
4	Enter into a settlement agreement to commence replacement of Amey as subcontractor.	Kevin Hicks / Domenic de Bechi	June 2019	Completed.		Green
Updated BY:		Domenic de Bechi	Date:	12 July 2019		

Service Delivery				
Risk No: 39	Risk Title: HS2			
Risk Description: Delivery of HS2 following Royal Assent of HS2 Act. BCC role to help facilitate delivery of new railway (including Curzon Station and depot). Maximise benefits for City and minimise / mitigate impact during construction.				
Risk Owner: Director Inclusive Growth		Risk Lead: Doug Lee		Risk Type / Category: Reputational
Inherent / Gross Risk		Residual / Current Risk		Target Risk

Service Delivery								
Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation
Significant	Significant	Severe	Medium	Medium	Material	Medium	Medium	Material
Current Controls Mitigating Inherent Risk:					Sources of Assurance on Effectiveness of Identified Controls:			
No.	Actions to Reduce Risk to Target	Owner	Target Date	Progress				RAG
1	<p>HS2 governance established including regular meetings on individual projects (station, depot etc.)</p> <p>Regular meetings with HS2 Ltd including HS2's planning team regarding programme for Schedule 17 applications and other consents.</p> <p>New burdens on local authority recognised by HS2. Service Level Agreement (SLA) has been completed and signed.</p> <p>Internal meeting established at Directorate level to co-ordinate and support work and address any issues.</p> <p>Joint working with HS2 is ongoing to develop the design of the station,</p>	Doug Lee	Curzon Station S17 Autumn 2019 (further applications to follow)	<p>On-going meetings and joint working with HS2.</p> <p>Internal meeting established at Directorate level to co-ordinate and support work and address any issues.</p> <p>Schedule 17 application for the HS2 Curzon Station is programmed for submission in Autumn this year.</p>				Amber

Service Delivery					
	<p>including the public realm, which will create a world class arrival to the city, whilst also improving connectivity to the wider area that will maximise the economic impact of HS2.</p> <p>Early engagement has taken place with Planning Committee and senior BCC officers regarding the design of the Curzon Station.</p> <p>Funding has been secured through the Enterprise zone to improve the design over and above the base scheme developed through the HS2 Act.</p> <p>Curzon Station design has now been launched publicly and HS2 have held a series of consultation events on the design.</p>				
2	<p>The SLA is now signed to provide the appropriate resources needed to meet the requirements for Schedule 17, Schedule 4 applications etc.</p> <p>Pre applications on-going regarding the number of schedule 17 planning</p>	Doug Lee	On going submission of timesheets		Amber

Service Delivery					
	applications.				
3					Choose an item.
4					Choose an item.
Updated BY: Doug Lee		Date: June 2019			

Service Delivery								
Risk No: 40		Risk Title: Commonwealth Games – Athletes’ Village						
Risk Description: Delivery of the Athletes’ Village dependant on funding & acquisition of land in addition to potential changes to sporting schedules affecting villages capacity to accommodate athletes								
Risk Owner: Director, Inclusive Growth			Risk Lead Khalid Abbas			Risk Type / Category: Reputational		
Inherent / Gross Risk			Residual / Current Risk			Target Risk		
Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation
Medium	Medium	Material	Medium	Medium	Material	Medium	Medium	Material
Current Controls Mitigating Inherent Risk:				Sources of Assurance on Effectiveness of Identified Controls:				

Service Delivery					
No.	Actions to Reduce Risk to Target	Owner	Target Date	Progress	RAG
1	Funding	Khalid Abbas	March 2019	<p>Government funding levels have been agreed, along with the administrative arrangements and reporting processes required by the funding body .</p> <p>FBC has been approved through delegated powers providing authority to progress with the scheme.</p>	Green
2	Land Acquisition -	Khalid Abbas	March 2020	<p>Substantial acquisitions being undertaken voluntarily. CPO will be used to support acquisitions/delivery of village and the legal process will need to be followed and estimated to complete March 2020, however it needs to be noted that not all acquisitions through CPO are on the critical path of the construction of the village.</p> <p>Public Inquiry start date of 2nd July</p> <p>Evidence has been submitted for the Inquiry and final preparations are in place.</p> <p>Engagement ongoing with objectors and other affected parties.</p>	Amber
3	Changes to sporting schedules resulting in increased accommodation requirements -	Khalid Abbas	June 2020	<p>The existing plan will allow for the accommodation of 6,500 athletes and officials, and is in accordance with the Host City contract. The outcome of the sports review has moved from March 2019 to June with an announcement expected end of June and it is believed the host city is not contractually obliged to accommodate the additional athletes at the village. This will need to be ratified.</p> <p>Additionally, the addition of any additional supports will need to be agreed by the General Assembly because, if accepted, these additions would mean that Birmingham 2022 would exceed the CGF's agreed limit for the number of athletes taking part in optional sports.</p>	Amber

Service Delivery					
				Once the outcome of the General Assembly's vote is known a further announcement will be made.	
Updated BY:	Khalid Abbas		Date:	21 June 2019	

Removed Risks (previous 5 years):

Ref No.	Risk description	Reason for removal	Date removed
20	Demonstration of benefits arising from Customer First.	All of the actions for 2014/15 are being put in place, ie: Launch of the new Housing Repairs functionality which was delayed from last year, re-design of the website, promotion of self service, improvements to online forms, etc.	November 2014
25	Production of timely & accurate IFRS Final Accounts.	The accounts were submitted on 30 th June 2014.	November 2014
51	Service Birmingham support provided to the SAP HR and payroll system.	There has been significant progress against an agreed improvement plan and the service is now significantly more stable.	November 2014
2015/16.08	Insufficient resources (finance & people) to agree / deliver the change programme.	Cabinet approved a report on 20 th April 2015 that set out the Children's Social Care and Early Help Improvement Plan for 2016-2018, including the appropriate financial envelope for the plan.	July 2015
2015/16.25	Supply chain failure by reason of supplier withdrawal, liquidation or contract non-compliance.	Following identification of this risk, processes and procedures were developed and rolled out to key contract managers across the organisation with supply chain risk assessments being completed by suppliers. The supply chain risk assessment process is now captured as an annual activity within the supplier annual reviews and the Council's contract management toolkit.	July 2015
2015/16.26	PSN resubmission.	The Council has successfully retained PSN submission till April 2016.	July 2015
2015/16.27	Financial implications of failing to meet obligations regarding climate change and sustainability - carbon tax cost.	We have made four submissions out of four without issue (and passed an Environment Agency Audit in 2011), giving a 100% success record. The 2014/15 return is progressing normally.	July 2015
2015/16.28	Potential for disruption to council services due to the need to transition to a new Banking Services provider with effect from 1/4/2015.	The banking transfer has been successfully concluded.	July 2015

Ref No.	Risk description	Reason for removal	Date removed
2015/16.10 a	Resolution of contractual issues in the Highway Maintenance & Management PFI contract.	A commercial settlement signed on 18th December 2015, resolved a number of contractual issues.	March 2016
2015/16.29	Risk of Court deciding against the Council regarding the Homeless Service.	The High Court dismissed the four applications for Judicial Review.	March 2016
21 (old 35)	IT refresh / update.	The desktop refresh is progressing as business as usual, and PSN compliance means that we cannot have unsupported applications running on our network.	July 2016
23 (old 59)	Risk of enforcement action and fines of up to £500,000 by the Information Commissioners Office (ICO) for failure to comply with the 40 day timescale for responding to Subject Access Requests (SARs).	There has been considerable improvement in responding to Subject Access Requests. The Information Commissioner's Office is happy with the progress being made and are no longer monitoring the Council.	November 2016
8 (old N/A)	Risk of challenge regarding implementation of the Younger Peoples Re-Provision Programme.	The work stream is now closed, and efficiency and savings targets have been transferred to the Maximising Independence of Adults (MIA) Board.	March 2017
9 (old 57)	Failure to respond fully and effectively to the issues from recent reviews concerning school governance and related matters.	A much improved performance culture and set of arrangements are now in place for the Council's education services.	March 2017
13 (old 28)	Not planning appropriately for the on-going reduction in government grants.	This is an annual risk, but there are processes in place to manage it.	March 2017
24 (old N/A)	That the need to address the updated Pensions Deficit will result in an increase in employer contributions.	This risk crystallised in the setting of the 2017/18+ budget. The information received has been fully taken into account in the update of the Council's medium term financial plan, and in the development of savings proposals.	March 2017
28	Risk that in its early stages of delivery the Sustainability Transformation Plan (STP) will not alleviate the financial position of social care.	The Council budget from April 2017 does not make assumptions regarding this proposal contained in the previous year's budget; and is no longer a major financial risk to the organisation.	July 2017
22	Risk of fines from HMRC for Directorates employing long term consultants.	There are now processes in place for the engagement of off payroll individuals.	November 2017

Ref No.	Risk description	Reason for removal	Date removed
27	Risk of claims for payback of search fees charged by the Council.	The potential liability is less than £160k, and this risk will be monitored via the directorate risk register.	November 2017
4	Defend and or settle pre 2008 equal pay claims	Equal pay risks have been reworded and updated and included on one risk No1.	March 2018
5	Further equal pay claims	Equal pay risks have been reworded and updated and included on one risk No1.	March 2018
14	Insufficient in-house IT expertise within Directorates	Transition of Service Birmingham	March 2018
19	Delivery of Localisation Agenda	Majority of work has now progressed	March 2018
20	Allowance Payments	The bulk of unpaid allowance claims have been successfully managed by Legal Services. All other new claims are being assessed on their merits and defended wherever practical.	March 2018
3	Failure to identify alternative funding stream for school PFI contracts revenue pressures.	Immediate concern over PFI gap has been met. Longer term concerns are being evaluated.	July 2018
11	GDPR	Incorporated into one single risk on information assurance – Risk No.11	November 2018