BIRMINGHAM CITY COUNCIL

Report to:	**Audit Committee**
Report of:	**Assistant Director, Audit & Risk Management**
Date of Meeting:	**24th March 2020**
Subject:	**Strategic Risk Register**
Wards Affected:	**All**

1. Purpose of Report

1.1 To update members on the development of a Strategic Risk Register and implementation of the Risk Management Framework.

2. Recommendation

2.1 That the Audit Committee:

i) note the progress in implementing the Risk Management Framework; and

ii) review the Strategic Risk Register 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. Risk Management Framework

3.1 The Risk Management Framework sets out the processes for identifying, categorising, monitoring, reporting and mitigating risk at all organisational levels. The Framework, and supporting documentation, has been reviewed and updated to ensure that sufficient focus is given to the strategic direction of the Council.

4. Strategic Risk Register

4.1 Using a 'PESTLE' analysis, the Council Leadership Team (CLT) have undertaken a major review to identify the strategic risks faced by the Council together with potential development opportunities. The management of these risks will help to support the ongoing improvement of the Council and delivery of strategic priorities and outcomes.

4.2 The previous corporate risks, which had become increasing operational in their nature, have been removed from the corporate register for management at directorate level.

4.3 The profile of the Strategic Risks is summarised below:

	High	Medium	Low	Total
SR1 - Political	1	2		3
SR2 - Economical	3	3		6
SR3 - Social	5	3		8
SR4 - Technological	1	2		3
SR5 - Legal	4	1	1	6
SR6 - Environmental	2	0		2
SR7 - Cross Cutting	1	2		3
Total	17	13	1	31

3.4 The Strategic Risk Register is reviewed on a monthly basis by CLT to strengthen oversight arrangements. CLT have agreed the identified Strategic Risks.

3.5 We are working with Risk Owners to complete the supporting action plans.

4. Directorate Risks

4.1 A network of Directorate Risk Representative is in place. These representatives facilitate the review of the Strategic Risks and support each Directorate in developing and maintaining appropriate Directorate Risk Registers.

4.2 Directorate Risk Registers contain operational risks, managed at a local level.

4.3 The top 10 Directorate Risks will be used to form a Corporate Operational Risk Register which will be submitted to CLT and the Audit Committee for review.

5. Role of the Audit Committee

5.1 Members have a key role within the risk management and internal control processes.

5.2 The Audit Committee terms of reference, sets out its responsibilities and in relation to risk management these are:

- 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.

6. Legal and Resource Implications

6.1 The work carried out is within approved budgets.

7. Equality Impact Assessment Issues

7.1 Risk management forms an important part of the internal control framework within the Council.

7.2 The Council's risk management framework has been Equality Impact Assessed and was found to have no adverse impacts.

8. Compliance Issues

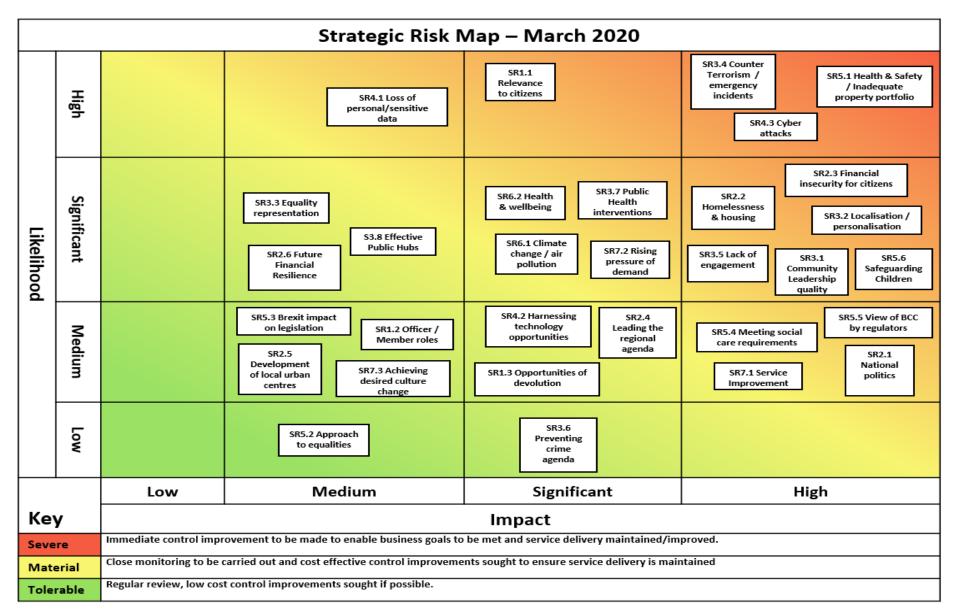8.1 Decisions are consistent with relevant Council Policies, Plans and Strategies.

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Risk Heat Map

Strategic Risk Map – March 2020

A risk heat map plotting strategic risks (SR) against Likelihood (vertical axis: High, Significant, Medium, Low) and Impact (horizontal axis: Low, Medium, Significant, High).

Likelihood: High
- Medium impact: SR4.1 Loss of personal/sensitive data
- Significant impact: SR1.1 Relevance to citizens
- High impact: SR3.4 Counter Terrorism / emergency incidents; SR5.1 Health & Safety / Inadequate property portfolio; SR4.3 Cyber attacks

Likelihood: Significant
- Medium impact: SR3.3 Equality representation; S3.8 Effective Public Hubs; SR2.6 Future Financial Resilience
- Significant impact: SR6.2 Health & wellbeing; SR3.7 Public Health interventions; SR6.1 Climate change / air pollution; SR7.2 Rising pressure of demand
- High impact: SR2.3 Financial insecurity for citizens; SR2.2 Homelessness & housing; SR3.2 Localisation / personalisation; SR3.5 Lack of engagement; SR3.1 Community Leadership quality; SR5.6 Safeguarding Children

Likelihood: Medium
- Medium impact: SR5.3 Brexit impact on legislation; SR1.2 Officer / Member roles; SR2.5 Development of local urban centres; SR7.3 Achieving desired culture change
- Significant impact: SR4.2 Harnessing technology opportunities; SR2.4 Leading the regional agenda; SR1.3 Opportunities of devolution
- High impact: SR5.4 Meeting social care requirements; SR5.5 View of BCC by regulators; SR7.1 Service Improvement; SR2.1 National politics

Likelihood: Low
- Medium impact: SR5.2 Approach to equalities
- Significant impact: SR3.6 Preventing crime agenda

Impact axis: Low | Medium | Significant | High

Key

Key	
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.

Strategic Risk Register

Category	Risk	Page	Category	Risk	Page
SR1 - Political	SR1.1 - The relevance of the council to citizens	8	SR5 - Legal	SR5.1 - Health & Safety /Working conditions	43
	SR1.2 - Officer Member protocol	8		SR5.2 - Equalities	46
	SR1.3 – Devolution opportunities	10		SR5.3 - Brexit agenda	47
				SR5.4 - Social Care requirements	49
				SR5.5 - View of regulators	51
				SR5.6 - Safeguarding children	54
SR2 - Economical	SR2.1 – National politics on jobs	11	SR6 - Environmental	SR6.1 - Climate change agenda	58
	SR2.2 - Less affordable housing/Homelessness	12		SR6.2 - Health & Wellbeing	61
	SR2.3 - Financial insecurity and inequality	14			
	SR2.4 - Regional agenda	15			
	SR2.5 - Development of local urban centres	17			
	SR2.6 – Future Financial Position	20			
SR3 - Social	SR3.1 - Quality of Community Leadership	21	SR7 - Cross Cutting	SR7.1 - Service performance	62
	SR3.2 - Localisation and personalisation	22		SR7.2 - Rising demand	63
	SR3.3 - Equality representation	23		SR7.3 - Culture change	66
	SR3.4 - Terrorism	24			
	SR3.5 - Engagement with young/older people	26			
	SR3.6 - Crime agenda	28			
	SR3.7 - Public Health	30			
	SR3.8 - Public hubs	32			
SR4 - Technological	SR4.1 – Loss of personal/sensitive data	34			
	SR4.2 - Technological opportunities	39			
	SR4.3 - Cyber-attack	41			

SR1 Political

Risk No: SR1.1	Risk Title: The Quality of Services impacting on the relevance of the Council to the Citizens of Birmingham								
Risk Description: There is a risk that if our services are not delivering the outcomes expected, have not been benchmarked against our peers, do not have clear service measures regularly reviewed and monitored, have not been tested against value for money criteria, do not embed learning from our mistakes and improvement plans are not robust and regularly monitored, that citizen dissatisfaction will significantly affect the reputation of the Council. That impact could seriously harm citizen confidence in our Council.									
Risk Owner: Director of Digital & Customer Services			Risk Lead:		Risk Type / Category: Customer / Citizen				
Inherent / Gross Risk			Residual / Current Risk			Target Risk			
Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	
High	High	Severe	High	Significant	Severe	Medium	Low	Tolerable	
Current Controls Mitigating Inherent Risk: Performance measures exist for services Regular multi-layered governance and controls through Directorates to Cabinet Performance Measures and actions to address are regularly monitored published Internal and external Audits are completed on high risk areas Current Business Planning Process (including golden thread linked to Council Plan) Complaints, SAR and FOI performance is regularly monitored and [published Services are subject to a range of Member-led scrutiny activity Audit and Risk management committee			Opportunities: Use data more effectively – Insight Programme Modern Council – looking at new opportunities for standardisation and service delivery with a set of key enablers: Public Hubs – to ensure our face to face services are of a high standard enabled by a quality property portfolio Citizen Access – to ensure that across all available channels our services are designed for the citizen Modern Workplace – tools and techniques to improve employee productivity Insight programme – putting data at the heart of what we do Financial Improvement Programme				Sources of Assurance on Effectiveness of identified Controls:			

Risk No: SR1.1	Risk Title: The Quality of Services impacting on the relevance of the Council to the Citizens of Birmingham				
Other Council governance as dictated by the Councils Constitution Customer Insight via the website and Contact centre contacts		Workforce Strategy & Culture Change Implementation Procurement and Category Management Link to specific service improvement initiatives across the Council			
No.	Actions to Reduce Risk to Target	Owner	Date	Progress	RAG
1	Implementing new processes and systems to support our HR & Finance data to ensure an industry standard approach	Chief Finance Officer			Choose an item.
2	New roles, responsibilities and processes for Financial management and controls are being implemented	Chief Finance Officer			Choose an item.
3	New business planning process	Assistant Chief Executive		A draft is in place and will be shared with Cllr Jones in early March 2020.	Amber.
4	New Members Enquiries and Customer Complaints process	Director Digital & Customer Services	31/03/2020		Green
5	Creation of more dynamic service data via performance dashboards (via our Insights Programme)	Assistant Chief Executive			Choose an item.
6	Public Hubs Programme	Director Inclusive Growth			

Risk No: SR1.1			Risk Title: The Quality of Services impacting on the relevance of the Council to the Citizens of Birmingham			
7	New Citizen Access Strategy		Director Digital & Customer Services	30/06/2020	Initial Customer Access Strategy paper to be taken to CMT in January 2020, this will be followed by workshops in April 2020. Anticipated approval of finalised strategy in June 2020.	Amber
8	Customer Service as a behaviour and way of working as part of the Culture Change Framework		HR Director	On going	Putting customer first is central to new behaviours and levers for change. Training available in customer services through Your Development (relaunched Jan 2020). Work being developed on Inclusive Leadership programme to include focus on customer outcomes. BRUM Methodology relaunch planned for late 2020.	Green
Updated By:	Judith Deeks and Kwabena Osayande, Risk Rep		Date:7/2/20			

Risk No: SR1.2		Risk Title: Officer / Member Roles						
Risk Description: Officer member protocol still stands as a risk								
BCC needs to arrive at a way of working in terms of its governance that not only has the rules, checks and balances to prevent a re-occurrence of what occurred in relation to the Waste Governance Matter/Review, but more fundamentally addresses the longer term and more deeply ingrained governance issues at BCC, particularly addressing the underlying behaviours and culture.								
Risk Owner: Director of Legal Services			Risk Lead:		Risk Type / Category: Legislative / Regulatory			
Inherent / Gross Risk			Residual / Current Risk			Target Risk		
Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation
Significant	Significant	Severe	Medium	Medium	Material	Medium	Low	Tolerable
Current Controls Mitigating Inherent Risk: EMT enables the Executive to jointly work and discuss key issues with working with senior officers.			Opportunities: Continue to strengthen the role of Scrutiny.			Sources of Assurance on Effectiveness of identified Controls: The Constitution is regularly reviewed		

Risk No: SR1.2	Risk Title: Officer / Member Roles				
Appointment of the Head of Cabinet Office that significantly assists with the interface between the Executive and senior officers. Role of Scrutiny has been strengthened Effective communication is crucial, whether between officers, between members or between officers and members. That includes the ability to challenge advice or proposed decisions. This now happens in the Corporate Clearance Process which includes members of the Executive and Senior Officers.		Member training and introducing some mandatory training. The Standard in Life Select Committee has proposed to the Government changes to Standard Regime to give it 'more teeth'.			
No.	Actions to Reduce Risk to Target	Owner	Date	Progress	RAG
1	Member Training				Choose an item.
2	EMT meetings				Choose an item.
3	Corporate Clearance				Choose an item.
4	Monitoring Officer and DMO's been robust on governance issues.				Choose an item.
Updated By:		Date:			

Risk No: SR1.3	Risk Title: Failure to realise the opportunities of devolution and the Combined Authority							
Risk Description: Failure to collaborate effectively across the city region and to sufficiently align priorities and ambitions between BCC and the CA/Mayor could lead to BCC and the city region as a whole missing out on investment and service improvement opportunities or to a failure to progress the devolution agenda further.								
Risk Owner: Assistant Chief Executive			Risk Lead:		Risk Type / Category: Reputational			
Inherent / Gross Risk			Residual / Current Risk			Target Risk		
Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation
Significant	High	Severe	Medium	Significant	Material	Medium	Low	Tolerable
Current Controls Mitigating Inherent Risk: Engagement of BCC staff in CA policy development Briefing of BCC members for engagement in various Boards Regular meetings of the Mayor and council leaders Regular meetings of the Met. Leaders Regular meetings of the Met. CEOs and engagement in CA Programme Board			Opportunities: BCC leadership on key collaborative agenda – influence and reputation.			Sources of Assurance on Effectiveness of identified Controls:		

No.	Actions to Reduce Risk to Target	Owner	Date	Progress	RAG
1	Positive engagement with revised Mayor/Leaders/CEOs meeting cycle and forward plan alignment	Jonathan Tew	December 2019 onwards		Choose an item.
2	Wider Cabinet engagement in regional policy development – regular EMT slots?	Jonathan Tew	2020		Choose an item.
3	Wider officer engagement in key regional policy developments – task groups	Jonathan Tew	December 2019 onwards – initial group on Devolution to meet December 2019		Choose an item.
Updated By:		Date:			

SR2 Economic

Risk No: SR2.1	Risk Title: Impact of National politics on jobs								
Risk Description: National politics will continue to have an impact on Birmingham in terms of the Local Industrial Strategy and specifically jobs (No Deal: 1 in 10 will be affected, and Deal: 1 in 3 will be affected) – significant management requirement resulting from Brexit									
Risk Owner: Acting Director – Inclusive Growth			Risk Lead:		Risk Type / Category: Legislative / Regulatory				
Inherent / Gross Risk			Residual / Current Risk			Target Risk			
Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	
Significant	High	Severe	Medium	High	Severe	Medium	Low	Tolerable	
Current Controls Mitigating Inherent Risk: - Working with the WMCA and their dedicated team to better understand and estimate the economic impact of Brexit in relation to employment - Exchanging information with the Chambers of Commerce and growth hubs to understand the actions taken for business readiness for Brexit - Working with the teams across the council to better understand and estimate the impact of a potential economic shock and loss of jobs on demand for BCC's services (e.g. benefits, housing, homelessness, etc) and take the necessary actions for the readiness of each service area			Opportunities: International trade – new economies like India and China Developing a business, trade and investment strategy to open new markets for post-Brexit trade deals			Sources of Assurance on Effectiveness of identified Controls:			

No.	Actions to Reduce Risk to Target	Owner	Date	Progress	RAG
1					Choose an item.
Updated By:		Date:			

Risk No: SR2.2	Risk Title: Homelessness and less affordable housing with rising housing requirements								
Risk Description: The sale of affordable housing through the Right to Buy combined with demolition of poor quality homes results in a constant loss of housing. This is not being replaced by newbuild affordable homes at the same rate, giving an overall reduction year on year. The Council's statutory obligation to maintain a housing register, which currently has c.13,000 households listed. Rising private sector housing costs make affordability is an increasing issue escalating demand on the reducing numbers of affordable homes. The gap between affordable housing availability and demand is creating a greater requirement for Temporary Accommodation, to house people until permanent homes can be found for them, at a significant cost to the Council.									
Risk Owner: Acting Director – Inclusive Growth & Acting Director - Neighbourhoods			Risk Lead: AD Housing Development			Risk Type / Category: Environmental			
Inherent / Gross Risk			Residual / Current Risk			Target Risk			
Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	
High	High	Severe	Significant	High	Severe	Medium	Low	Material	
Current Controls Mitigating Inherent Risk: Council's BMHT newbuild programme developing new homes Consultant reviewing viability challenges on planning S106 to maximise affordable delivery The homeless prevention strategy is now approved by Cabinet which aims to prevent people becoming homeless and assisting in sustaining tenancies.			Opportunities: Increasing investment into affordable housing from partner organisations Work with BPS regional partners and OPE to release land for development with affordable housing delivery required An improved prevention model with holistic support for customers and a fit for purpose TA offer to ensure quick move on for those who do need some short term accommodation. Working with the Private Sector to deliver temporary accommodation solutions.				Sources of Assurance on Effectiveness of identified Controls: Increased affordable housing development starts Increased affordable housing development completions Social and Affordable Rent unit number stabilised Reduction in Temporary Accommodation figures Programme of regular Cabinet Member briefings dedicated to homelessness tracking and a standard dashboard has been developed to aid close monitoring and scrutiny.			
No.	Actions to Reduce Risk to Target		Owner	Date	Progress				RAG

Risk No: SR2.2		Risk Title: Homelessness and less affordable housing with rising housing requirements				
1	Generate stronger partnerships with Registered Providers (RPs) to increase affordable development	AD Housing Development	Ongoing	Liaison with RPs progressing to promote development. Proposals being developed with RP partners. Policy for JVs and site and unit disposals to RPs developing in consultation with Legal, Finance and Procurement, and with RPs.		Amber
2	Increase density of BMHT newbuild to increase unit numbers delivered	AD Housing Development	Ongoing	Urban Centres Framework creating focus for high density development. Design review for high density housing in progress. Citizen Insight survey in development to assess demand for high density options		Amber
3	Review effectiveness of S106 reviews to ensure affordable is maximised	AD Planning	Ongoing	WMCA offer to review viability challenges and support best outcomes. Review of S106 affordable housing delivery in hand to ensure that the best mix, quantum and location of affordable homes are secured.		Amber
4	Increase partnership working with WMCA and HE to access larger sites and maximise affordable housing delivery	AD Housing Development	Ongoing	Discussions initiated to demonstrate the potential for BMHT and RPs to take on sites for mixed tenure delivery		Amber
5	Develop HRA property purchase programme to buy stock for affordable housing	AD Housing Development	Ongoing	Cabinet report in draft to support HRA property purchases		Green
6	Increase supply of suitable temporary accommodation and eradicate the use of bed and breakfast.	Acting AD Housing	March 2020	Additional temporary accommodation, for dispersed and homeless centre units, have been identified including: Clearance Properties Void BCC general need properties Procurement of a private sector TA provider A Capital Funding Bid has been submitted for £15 million.		Amber
7	Review of spending/commissioned provision	Acting AD Housing	April 2020	Mapping of current commissioned provision and an analysis of homeless households' support needs have commenced. Work is ongoing to understand the totality of resources available for		Amber

Risk No: SR2.2		Risk Title: Homelessness and less affordable housing with rising housing requirements				
				prevention and we are developing these as part of the prevention hub and TA move on model.		
Updated By:	Assistant Director Housing and Development		Date: 3/3/20			

Risk No: SR2.3		Risk Title: Increased financial insecurity and inequality for citizens							
Risk Description: There is significant risk of increased financial insecurity due to the current political and economic climate, due to Brexit and political instability there is significant potential for economic shock, and further potential for the economic growth of the city to further exacerbate inequalities for citizens driving greater demand for services and greater costs to the Council and the public sector alongside potential loss of revenue through reduction in business rates and tax.									
Risk Owner: Assistant Chief Executive			Risk Lead: Director, Inclusive Growth			Risk Type / Category: Social			
Inherent / Gross Risk			Residual / Current Risk			Target Risk			
Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	
High	High	Severe	Significant	High	Severe	Medium	Low	Tolerable	
Current Controls Mitigating Inherent Risk:			Opportunities:			Sources of Assurance on Effectiveness of identified Controls:			

No.	Actions to Reduce Risk to Target	Owner	Date	Progress	RAG
1	Action to encourage living wage employment as a Living Wage City	DIG			Choose an item.
2	Develop Anchor Network and Social Value Charter	ACEO			Choose an item.
3	Develop economic shock public health response framework	DPH			Choose an item.
4	Strengthen BCC understanding of statutory duty to reduce inequalities	DPH		Integrating socio-economic inequality into Equality Impact Assessment Tool from Jan 2020	Amber
5	Develop work to address child poverty in the city	ACEO			Choose an item.

Risk No: SR2.3	Risk Title: Increased financial insecurity and inequality for citizens			
6	Develop strategic approach to inclusion in inclusive growth to mitigate inequality gap	DIG		
Updated By:	Justin Varney	Date: 13/11/2019		

Risk No: SR2.4	Risk Title: Leading on the Regional Agenda								
Risk Description: Birmingham as the second city of UK should be leading on the regional agenda, but Combined Authority and LEPs are more dominant in this arena									
Risk Owner: Acting Director – Inclusive Growth			Risk Lead:		Risk Type / Category: Reputational				
Inherent / Gross Risk			Residual / Current Risk			Target Risk			
Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	
Significant	High	Severe	Medium	Significant	Material	Medium	Low	Tolerable	
Current Controls Mitigating Inherent Risk:			Opportunities:			Sources of Assurance on Effectiveness of identified Controls:			
No.	Actions to Reduce Risk to Target		Owner	Date		Progress			RAG
1	Ensure member representation of BCC at WMCA and LEP Boards and briefing of members in advance of meetings		Ian Macleod	Ongoing		Birmingham has led on the West Midlands Local Industrial Strategy, input into discussions relating to the Housing Package and the emerging Affordable Housing Deal and has contributed to the Housing Infrastructure Fund bid.			Amber
2	Ensure officer attendance of WMCA and LEP Steering and Officer Working Groups and input into regional strategies e.g. SEP, Movement for Growth Update, Affordable Housing Deal, Land Action Plans		Ian Macleod	Ongoing		Opportunities have been taken to shape the WMCA Affordable Housing Deal with Government, WMCA Commissioning Framework, Public Sector Investment Programme, Town Centre Programme, sites pipeline work, Spatial Investment and Delivery Plan, Growth Corridors and			Amber

Risk No: SR2.4	Risk Title: Leading on the Regional Agenda					
					strategic opportunities, the Regional Design Charter and the draft WMCA Climate Action Plan.	
3	Continue to work with other authorities through the Duty to Co-operate to address strategic cross boundary issues particularly in relation to housing and employment land	Ian Macleod	Ongoing		BCC leads the Greater Birmingham Housing Market Area Officer Group which meets every 2/3 months to monitor housing requirements, supply and delivery and possible achievable solutions to deliver the levels of housing required. Continue to work with other LAs and WMCA to ensure sufficient housing land and employment supply and delivery.	Amber
4	Collaborative working with TfWM/ LEP/ local authorities to ensure co-ordinated delivery of infrastructure projects and programmes	Phil Edwards	Ongoing		BCC works collaboratively with regional partners including TfWM, GBS LEP and other LA's, on all infrastructure projects and programmes being progressed within Birmingham. Co-ordination is managed at the West Midlands Senior Transport Officers Group (STOG) attended by the AD Transport and Connectivity, which feed up to the WMCA Board and down to the manager level Connected to Growth Steering Group. This joint working is evidenced in the ongoing preparations for the Commonwealth Games which involves significant and time critical infrastructure delivery. This includes delivery of a number of projects in Perry Barr: athletes' village, stadium, highways works, sprint, rail station, bus interchange and BCR cycle route extension. A dedicated cross organisation co-ordination group has been set up to ensure that construction of all of the projects can proceed by 2022 whilst allowing business as usual.	Amber
Updated By:	Risk Representative		Date: 7/2/20			

Risk No: SR2.5	Risk Title: Development of Local Urban Centres								
Risk Description: Failure to deliver the strategy set out in the Urban Centres Framework (UCF) by the target date of 2031. Failure to do so could impact on the delivery of the growth strategy as set out the Birmingham Development Plan (BDP).									
Risk Owner: Acting Director – Inclusive Growth			Risk Lead: Principal Development Planning Officer		Risk Type / Category: Environmental				
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: The delivery of the strategy will be monitored as part of the annual monitoring of local centres. This will allow the framework to be revisited should the strategy set out in the framework be proven as undeliverable. A review will be undertaken on a 5 year basis to ensure the strategy remains robust.			Opportunities: As the Framework reflects the spatial delivery for growth set out in the adopted Birmingham Development Plan a number of the centres are covered by other work streams within the department and the success of the UCF will be monitored as part of the existing monitoring arrangements.			Sources of Assurance on Effectiveness of identified Controls: The Annual Monitoring Report is a public document that reports on the delivery of the Birmingham Development Plan.			
No.	Actions to Reduce Risk to Target		Owner	Date		Progress			RAG
1	The approval by Cabinet in January 2020 of the Urban Centres Framework will give the strategy more weight in decision making helping to shape investment and unite stakeholders.		Principal Development Planning Officer	21st January 2020		Cabinet Report in the system			Green
2	A online Toolkit has been produced to empower stakeholders to deliver the		Principal Development	21st January 2020		In production			Amber

Risk No: SR2.5		Risk Title: Development of Local Urban Centres				
	transformation of Urban Centres, supporting the delivery of the UCF.	Planning Officer				
3	A number of the centres included in the UCF are reflected in other work streams. For example, Sutton Coldfield Regeneration Partnership as which BCC is a member, has commissioned a masterplan for the Town Centre and this will be a key tool in delivering the strategy set out in the UCF.

In Perry Barr the CPO to deliver the Commonwealth Games Athletes' Village, significant transport and connectivity improvements, improvements to the environment and new commercial and residential development has been confirmed.

In Bordesley Green a AAP has been produced covering the wider area and includes the local centre. This will be key in delivering the strategy set out in the UCF. | Interim Director Inclusive Growth | Ongoing | Continue to work on individual centres as part of the commitment work programme. | Amber |
| 4 | A number of proposals within the UCF are based around improvements to public transport and BCC will continue to work with providers to ensure the | Interim Director | Ongoing | Continue to work with TfWM and other providers to ensure a joined up approach to delivery. | Amber |

Risk No: SR2.5		Risk Title: Development of Local Urban Centres				
	delivery of these schemes supports the wider vision for the Urban Centres as set out in the UCF.	Inclusive Growth				
5	Town Centre surveys are undertaken each year to support the Shopping and Local Centres SPD. This will allow the health of the centres within the UCF to be monitored and assessments made on the success of the UCF strategy.	Principal Development Planning Officer	Annual Review	Included in annual work programmes for relevant officers	Amber
6	The Annual Monitoring Report (AMR) produced to report on the delivery of the Birmingham Development Plan (BDP) will reflect the delivery of the spatial strategy for growth. The UCF has been produced to support the delivery of the strategy set out in the BDP and as such the AMR will include indicators that allow assessments to be made of the success of the UCF strategy.	Principal Development Planning Officer	Annual Review	Included in annual work programmes for relevant officers	Amber
7	It is proposed that a 5 year review of the UCF is undertaken to allow the delivery of the strategy to be tested and a review undertaken if necessary.	Principal Development Planning Officer	5 Year Review	This will need to be included in long term work programmes.	Amber
Updated By:	Principal Development Planning Officer No further update	Date: 5/2/20				

Risk No: SR2.6			Risk Title: Future Financial Resilience					
Risk Description: Economic factors affect the ability of the Council to deliver its objectives, including Brexit scenarios, property market, treasury management risks, contractor collapse etc. The nature of Government funding results in uncertainty of future income streams e.g. fair funding review and business rates retention; school funding including special education needs								
Risk Owner: Interim Director of Finance			Risk Lead:		Risk Type / Category: Financial			
Inherent / Gross Risk			Residual / Current Risk			Target Risk		
Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation
Significant	Significant	Severe	Significant	Medium	Material	Medium	Low	Tolerable
Current Controls Mitigating Inherent Risk: See below – Active Horizon Scanning & Financial Planning including review of assumptions & reserves			Opportunities: Proactive financial planning leading to more effective deployment of resources			Sources of Assurance on Effectiveness of identified Controls: Non-exec advisor and Strategic Partnership Board		

No.	Actions to Reduce Risk to Target	Owner	Date	Progress	RAG
1	Proactive financial planning	AD Finance	January & July annually	Testing of assumptions in progress	Green
2	Horizon scanning of markets	Head of Finance	Monthly	On course	Choose an item.
3	Treasury Policy and Strategy approved and in delivery	Head of Finance	Monthly	On course	Green
4	Contract Management Escalation of risk areas	Category Managers	As required	Supply chain risk questionnaire's circulated and available for directorate managed contracts, SCR assessments are undertaken for corporate contracts where the risk of failure is deemed medium\high.	Green
5	Finance Settlement	AD Finance	February 2020	Final settlement in line with budget 2010/21	Green
Updated By:			Date:		

SR3 Social

Risk No: SR3.1	Risk Title: Quality of Community Leadership, at Member and Officer level								
Risk Description:									
The City Council has committed to a localised approach to working and a positive approach to partnerships. This is set out in both the Working together in Birmingham's Neighbourhoods Policy and in the Council Business Plan Update. In order to work productively in partnership officers and members need to facilitate and lead at the community level. Members and Officers need the authority to operate in this way as well as the skills to do so.									
Risk Owner: Director of Neighbourhoods			Risk Lead: Chris Jordan			Risk Type / Category: Social			
Inherent / Gross Risk			Residual / Current Risk			Target Risk			
Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	
High	High	Severe	Significant	High	Severe	Medium	Low	Tolerable	
Current Controls Mitigating Inherent Risk: Templates developed to support ward planning			Opportunities:			Sources of Assurance on Effectiveness of identified Controls:			

No.	Actions to Reduce Risk to Target	Owner	Date	Progress	RAG
1	Enhanced support at Ward Forums and for Ward Planning and Priorities 2018-22 process	Chris Jordan	May 2020		Amber
2	Defined local offer bringing clarity to both expectations of local members and		March 2020		Amber
3	Implement the workforce strategy and culture change framework includes a focus on Leadership, use of data and focusing on our customers.	Helen Ward		In progress	Green

Risk No: SR3.1		Risk Title: Quality of Community Leadership, at Member and Officer level				
						■
4	Design of four-year Member Development offer underway, to include sessions on 21st century councillor (currently under discussion)	Emma Williamson				Amber
Updated By:	Chris Jordan No further update at this time	Date:10/2/20				

Risk No: SR3.2		Risk Title: Localisation and personalisation being delivered effectively						
Risk Description:								
The City Council has committed to a localised approach to working. This is set out in both the Working together in Birmingham's Neighbourhoods Policy and in the Council Business Plan Update. There is a risk that officers and members across the council do not embed this localised approach in their activity and the agreed outcomes are not delivered.								
Risk Owner: Director of Neighbourhoods			Risk Lead: Assistant Director Neighbourhoods		Risk Type / Category: Social			
Inherent / Gross Risk			Residual / Current Risk			Target Risk		
Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation
High	High	Severe	Significant	High	Severe	Medium	Low	Tolerable
Current Controls Mitigating Inherent Risk: Cross Party Working Group overviewing progress			Opportunities: Member Priority in 2020/21 budget process will invest in some of areas where gaps are evident			Sources of Assurance on Effectiveness of identified Controls:		
No.	Actions to Reduce Risk to Target		Owner	Date		Progress		RAG

Risk No: SR3.2		Risk Title: Localisation and personalisation being delivered effectively				
1	Budget 2020/21 increased by £425k to address key gaps in current localisation commitments	Chris Jordan	February 2020	Accepted as a member priority within budget consultation process		AMBER.
2	Cross Directorate Group (or virtual group) to be established of AD's and Heads of Service contributing to the localisation agenda	Chris Jordan	March 2020			Choose an item.
3	Functional roles to drive forward key aspects of the policy to be established	Chris Jordan	May 2020			Choose an item.
Updated By:	Chris Jordan No further update at this time		Date:10/2/20			

Risk No: SR3.3		Risk Title: Equality representation within the Council does not represent the city								
Risk Description: The staffing within the council does not reflect the demographic make up of the city										
Risk Owner: Director of Human Resources			Risk Lead:		Risk Type / Category: Social					
Inherent / Gross Risk			Residual / Current Risk			Target Risk				
Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation		
Significant	Significant	Severe	Significant	Medium	Material	Medium	Low	Tolerable		

Current Controls Mitigating Inherent Risk: Equality Assessment completed, recommended actions identified. Considerable work being undertaken with regards to Equality Diversity and Inclusion. Business Case developed for staffing and resources currently being considered.	Opportunities Engagement within the council and communities Equality Strategy being created along with action plan. Opportunity to review current working practices and processes	Sources of Assurance on Effectiveness of identified Controls: Equality Assessment Equality Strategy and action plan Staff Survey Equality Impact Assessments Staff and member training and awareness

Council Leadership Team champions for characteristics of the Equality Act	Implementation of new ERP system and associated modules including recruitment	Corporate Dashboards – data and insight Continual monitoring and addressing areas of concern

No.	Actions to Reduce Risk to Target	Owner	Date	Progress	RAG
1	Undertake Self Assessment and consider recommendations	Joint ACE and OD		Completed	Green
2	Develop Action Plan	Helen Ward		Completed	Green
3	Develop Equalities Strategy and associated action plan	Helen Ward & Suwinder Bains		In Progress	Amber
4	Recruit sufficient resources	Various		Being Considered	Red
5	Increase staff training and awareness	Helen Ward		In Progress	Amber
Updated By:	Dawn Hewins	Date: 21/11/19			

Risk No: SR3.4	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: 40% plus risk of counter terrorism risk within the country	

Risk Owner: Assistant Chief Executive	Risk Lead: Head of Resilience	Risk Type / Category: Social

Inherent / Gross Risk			Residual / Current Risk			Target Risk		
Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation
High	High	Severe	High	High	Severe	Medium	Low	Tolerable
Current Controls Mitigating Inherent Risk: Corporate and Multi-Agency emergency plans in place. Working with partners in all areas			Opportunities: Integrated planning and resource arrangements regarding the Commonwealth Games is an			Sources of Assurance on Effectiveness of identified Controls: Training delivered Test and exercise results		

Risk No: SR3.4	Risk Title: Risk of significant disruption to Council services and failure to effectively manage and respond to emergency incidents, including acts of terrorism	
24/7 out of hours emergency duty officer service in place including emergency control room. 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. Regular risk reviews eg workshops, risk meetings to assess risk position. Full review of risk to be carried out and plan to be developed	opportunity for even stronger integration across planning, testing and training. The national PREVENT review provides a positive opportunity for Birmingham to position its good practice in this sphere.	Annual exercise Delivery of wider engagement and validate

No.	Actions to Reduce Risk to Target	Owner	Date	Progress	RAG
1	Maintain and review controls	HOR		Ongoing	Amber

Updated By:	Kwabena Osayande	Date:7/2/20

Risk No: SR3.5	Risk Title: Lack of Engagement

Risk Description: Lack of effective engagement with young people and older people

Risk Owner: Directors of Adult Social Care and Education and Skills	Risk Lead:	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	Low	Tolerable

Current Controls Mitigating Inherent Risk:	Opportunities:	Sources of Assurance on Effectiveness of identified Controls:
- Monthly People for Public Services forum - Inclusion of Adults (including Older Adults) as user representatives on key boards - Social care workers day to day work, and drop-in surgeries/clinics. - Public consultation on service changes (with support from legal services) - Through the new Neighbourhood Networks (NNS) approach there is regular engagement with older people through co-production and engagement groups. - Sustainability and Transformation Program Board (STP) / Birmingham Older Adults Program (BOPP) - Prevention Board (Multiagency)	Reduce of Isolation and loneliness Promote health and wellbeing Enhance Community Cohesion Better informed service changes leading to improved user satisfaction Integrated Commissioning approach with partner agencies.	Annual Service User Survey Feedback from Citizen Forums Consultation Reports Program Reports Project Reports

No.	Actions to Reduce Risk to Target	Owner	Date	Progress	RAG

Risk No: SR3.5		Risk Title: Lack of Engagement				
1	Full roll out of NNS approach to remaining areas (Edgbaston, Northfield, Hall Green and Hodge Hill constituencies).	Louise Collett	December 2019	All areas are now mobilised. Local intelligence from the social work teams, older people is starting to inform grant allocations into local assets. A loneliness and isolation plan has also been developed and is being promoted by an elected member lead. (Updated Kalvinder Kohli 19/12/19) Unchanged Kalvinder Kohli 3/2/20		Green
2	Roll out of Social Worker Locality based drop in surgeries	Balwinder Kaur	February 2020	As part of the roll out of Locality based working, Social Workers in Hall Green are testing the uptake of 'Social Work Drop in surgeries' where members of the local community can speak face to face with a Social Worker for advice, information and guidance on social care. If successful this approach will be rolled out across the City 20/21		Green
3	Development of Internal and External Communications plan around Adult Social Care	Maria Gavin	March 2020	The Adult Social Care Management Team (ASCMT) are reviewing the approach to communications – including how we communicate messages, information and advice to partners and the wider community. A draft Communications plan is due at ASCMT in April 2020, with a view to running a 'gold' corporate public communications campaign in Autumn 2020.		Green
4	Implement a more effective engagement strategy for children and young people	Tim O'Neill				Amber
5	Review and ensure services to support children and young people are sufficiently child focussed and effective	Tim O'Neill				Amber

Risk No: SR3.5	Risk Title: Lack of Engagement	
Updated By:	Maria Gavin, AD Quality and Improvement	Date: 02/03/2020

Risk No: SR3.6	Risk Title: Inability to effectively influence the preventing crime agenda

Risk Description: The Crime and Disorder Act 1998 gave local authorises and Police services duties to work together to develop crime and disorder audits and implement reduction strategies and work in partnership with other agencies, to set up a Community Safety Partnership (CSP) – to tackle the identified problems.

Risk - Failure to comply with statutory obligations in relation to as set out in section 5 -7 of the Crime and Disorder Act 1998. These being:

Work together to form and implement strategies to prevent and reduce crime and anti-social behaviour, and the harm caused by drug and alcohol misuse. This will include producing an annual plan.

Produce plans to reduce reoffending by adults and young people

Manage the Community Trigger process

Commission Domestic Homicide Reviews

Engage and consult with the community and identify their priorities.

Serious Violence – this is a new duty and we are waiting for further information from Government on how this will be delivered.

Risk Owner: Assistant Chief Executive			Risk Lead:		Risk Type / Category: Social			
Inherent / Gross Risk			Residual / Current Risk			Target Risk		
Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation
Significant	High	Severe	Low	Significant	Material	Medium	Low	Tolerable
Current Controls Mitigating Inherent Risk: Review the structures and processes within the BCSP ensure that the partnership is meeting all the statutory obligations, monitor and evaluate.			Opportunities: Effect partnership working will ensure the city council can influence the preventing crime agenda.			Sources of Assurance on Effectiveness of identified Controls: Terms of Reference developed and signed by all partnerships within the BCSP.		

Risk No: SR3.6	Risk Title: Inability to effectively influence the preventing crime agenda				
Partnership delivery plan in place (August 2019) which is monitored by an executive partnership board. Terms of Reference agreed and signed off for the BCSP executive board including: BCC, WM Police, WM Fire Service, Probation Services, Children's Trust, CCG, NHS and PCC. Monthly meetings of the BCSP executive board - Monthly meetings have taken place throughout 2019 and dates have been set for 2020 Three thematic strategic groups in place to delivery against the BCSP priorities Victims & Vulnerabilities Violence & Reoffending ASB, Crime & Community A strategic officer within the city council leads each theme. Each group also has an external partner to own and delivery against the agreed priorities. Progress is being monitored and reported back to BCSP executive board.					
No.	Actions to Reduce Risk to Target	Owner	Date	Progress	RAG
1	Annual strategy assessment produced and signed off with all partners.	Pam Powis / Amelia Murray	March 2020	1st draft has been produced and agreed at BCSP on 28/11/2019	Amber

Risk No: SR3.6	Risk Title: Inability to effectively influence the preventing crime agenda				
Updated By:	Kwabena Osayande	Date:7/2/20			

Risk No: SR3.7	Risk Title: Public Health approach to early interventions ineffective								
Risk Description: There is strong evidence that public health interventions do have sustained and long term impacts in reducing the burden of ill health and demands on both health and social care services, however the recurrent national cuts to the ring-fenced public health grant, tensions around the use of the grant resources, reduction in specialist public health capacity within the Council and the instability in the public health leadership within the Council presents a risk that these impacts will not be achieved and ultimately the inequalities in the city will continue to expand and compound leading to higher costs and unsustainable public services.									
Risk Owner: Director of Public Health			Risk Lead: Director, Public Health			Risk Type / Category: Social			
Inherent / Gross Risk			Residual / Current Risk			Target Risk			
Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	
High	High	Severe	Significant	Significant	Severe	Medium	Low	Tolerable	
Current Controls Mitigating Inherent Risk: Substantive strategic leadership of Public Health strengthened. Appointment of substantive DPH and repositioning of PH division as a strategic function within PIP directorate. DPH full member of CLT and standing officer member of Cabinet and EMT.			Opportunities:			Sources of Assurance on Effectiveness of identified Controls:			

Risk No: SR3.7	Risk Title: Public Health approach to early interventions ineffective				

Significant work undertaken to strengthen Health and Wellbeing Board and introduce action focused sub-groups to develop clear evidence based action plans and partnership frameworks.

Public Health Grant budget rebased over 2019-20 and commissioned activity reviewed to realign to public health priorities, expand the specialist capacity and ensure contracts for mandatory and recommended services are fit for purpose.

No.	Actions to Reduce Risk to Target	Owner	Date	Progress	RAG
1	Strengthen cross-Council understanding of statutory responsibilities on public health	DPH	Dec 2020	Audit on statutory duty on health inequalities has been completed and this has made a series of recommendations which are being considered for implementation over 2020/21.	Amber
2	Develop Health in all Policies Impact Assessment tool aligned to Equality Impact tool	DPH	Dec 2021	Scoping started on HIAP/HIA tools and potential adaption to BCC context and aligned training and resource requirements.	Amber
3	Undertake local Peer-review with ADPH/LGA	DPH	Dec 2021	Agreed participation with WM ADPH and planning timetable for peer review visits within the region for 20/21	Amber
4	Share learning and good practice with Core City DPH	DPH	Dec 2020	DPH has established CC DPH group reporting into CC CEO group in Nov 2019 and held first conference call.	Amber
Updated By:	Kwabena Osayande	Date: 7/2/20			

Risk No: SR3.8		Risk Title: Creation of effective public hubs in line with local needs							
Risk Description:									
Risk of not recognising and delivering the need to develop radical new solutions to reframe service delivery, reflecting modern service demand and local need, which would otherwise leave the Council with a costly, effective and inappropriate frontline estate									
Risk Owner: Director of Inclusive Growth		Risk Lead: Assistant Director Birmingham Property Services		Risk Type / Category: Social					
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	Material	
Current Controls Mitigating Inherent Risk: Still to be obtained			Opportunities Development of a Public Hub Programme (to include potential with public and third sector partners)			Sources of Assurance on Effectiveness of identified Controls: Still to be obtained			
No.	Actions to Reduce Risk to Target		Owner	Date		Progress			RAG
1	Formulation of a Public Hub Programme proposal		Assistant Director Birmingham Property Services	Spring 2020		Appointment of external consultancy support. Establishment of project structure and methodology. Establishing best practice eg a "lessons learnt" seminar with other LAs who have undergone similar change. Align to the Modern Council programme. Consultants to report back late Feb 2020 with outcomes to be presented to CLT/EMT in March 2020 followed by an OBC in late Spring 2020			Amber
2	Widespread stakeholder engagement		Assistant Director Birmingham	Ongoing		Engagement sessions with service leads. Engagement with public sector partners (eg Health, Police) and One Public Estate (OPE). Engagement with Community Governance Group.			Amber

			Property Services			Amber
3	Delivery of an agreed Public Hub Programme		Assistant Director Birmingham Property Services	Late 2020 onwards	Yet to commence – subject to the above referenced OBC.	Amber
4	Effective management of the estate prior to the implementation of the Public Hub Programme		Head of Operational Property Management	Ongoing	Ensure "in-flight" property and service decisions (including capital investment) are reflective of the opportunities that will arise through the Public Hub Programme. Close liaison with operational services to identify opportunities. Commencement of Asset Management review with property –holding services in March 2020. Commence scoping of a Corporate Landlord model and implementation plan with forthcoming paper to CLT on 24/2/20;aim for new model to be established early 2021 – will also assist with managing SR5.1. To review Terms of Reference of existing forums such as Property & Assets Board	Amber
Updated By:		Head of Operational Property Management	Date: 25/2/20			

SR4 Technological

Risk No: SR4.1	Risk Title: Risk Title: Loss of personal and sensitive data								
Risk Description: There is a risk 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 up to £20million or 4% of our global turnover (£120 million) (whichever is higher) from the Information Commissioner Office (ICO).									
Risk Owner: CIO & Assistant Director (Interim) – Information , Technology & Digital Services (IT&D)			Risk Lead: Senior Information (SIRO) and 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	
High	High	Severe	High	Medium	Material	Medium	Low	Tolerable	
Current Controls Mitigating Inherent Risk: There are a range of technical and information controls currently in place: Mandatory training A set of processes and policies A set of controls related to cyber security Reporting and governance controls New roles and responsibilities implemented for management of our Information Asset Register and Information Asset Owners A secure email solution, Egress, has been deployed and is operational to prevent the accidental loss of data.			Opportunities: The Information Assurance Board (IAB), chaired by the Senior Information Risk Owner (SIRO), have agreed that the Council should achieve level 2 maturity against the Information Assurance Maturity Model (IAMM) framework to support the ongoing implementation of the Council's Information Assurance Framework. An Information Assurance plan is in place with agreed actions, targets and resource committed to complete 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. Privacy posture for the Council is monitored and forms part of the Information Assurance Board Governance. Security posture for the Council is monitored and has been recently reviewed as part of the Security Strategy as part of the ICT & Digital strategy for the Council.			

Risk No: SR4.1		Risk Title: Risk Title: Loss of personal and sensitive data				
Review Breach management processes to ensure any learning from breaches is adopted to prevent further data loss. The above constitute the Organisational and Technical Measures we are required to have in place in line with its Level 2 maturity target.						
No.	Actions to Reduce Risk to Target	Owner	Date	Progress		RAG
1	Data Inventory: BCC will need to meet its Article 30 Record of Processing regulatory requirement under GDPR by capturing the personal data it processes in an Information Asset Register (IAR) as well as needing to look at maintaining the IAR with the location of key personal data storage and the associated flows (including cross-border), with defined classes of personal and special category data.	Steve Halliday (AD & CIO)	31/12/19	An Information Asset Register (IAR) to meet our Article 30 Record of Processing under GDPR has now been baselined for each Directorate with defined classes of personal and special category data. The IAR progress and completion to date was presented to the Information Assurance Board on 28/01/2020. This was subsequently approved. (Rag reduced from red to green)		GREEN
2	Information Security: BCC will need to maintain an information security program based on legal requirements and ongoing risk assessments.	Steve Halliday (AD & CIO)	31/12/19	The Information Security requirements required by the GDPR being introduced are embedded into the Information Assurance Plan which is monitored by Project Board (monthly) and Information Assurance Board (Quarterly). The LGA Stocktake requirements together with the GDPR requirements are now being factored into the BEP Information Security programme.		Amber

Risk No: SR4.1	Risk Title: Risk Title: Loss of personal and sensitive data				
				These have been further developed to meet our requirements to submit our DSP Toolkit to the NHS by 31/03/2020. (Rag reduced from red to amber)	
3	Third Party Management: Data Sharing and Data Processing Agreements in place for all 'in-scope' suppliers whom the Council shares personal and special category data. All agreements to have the required standards and requirements in place for privacy and security to protect our data when working with our third parties. 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.	Alison Jarrett	31/12/19	In terms of maintaining 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 Procurement and 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. Revised timescales of delivery to be confirmed by the next IAB on 28th January 2020 however this was not delivered. An escalation paper to be produced by 14th February to highlight the issue against plan. (Rag increased to red)	Red
4	Data Protection Impact Assessments (DPIAs): DPIA's to be embedded across all (project related) change management functions and non-project areas for each Directorate across the Council. We will need to	Malkiat Thiarai	31/12/19	The requirement to carry out DPIA's has been fully incorporated into the IBR process for all IT Projects being carried out. All other change management processes together with DPIA's for 'non-IT Projects' within the Council are still required to fully incorporate the DPIA's into their governance processes. The Information	Amber

Risk No: SR4.1	Risk Title: Risk Title: Loss of personal and sensitive data				
	train our identified employees to be able to conduct a DPIA when managing change to personal data.			Assurance Project is currently working on the steps required to embed this into a business as usual practice with each Information Asset Owner for each Directorate. 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 met and has been signed off through the Project Board and Information Assurance Board. This needs to be further embedded into Projects and programmes, commissioning practices and cabinet papers. (RAG increased from green to amber)	
5	Training & Awareness: Training and awareness programme is in place and delivered. 100% to be delivered across the Council.	Craig Scriven	31/12/19	HR took a paper to CLT in December to agree mandatory requirements to the Council. The content has been launched in January 2020. HR will report on progress to CLT.	Amber
6	Incident Management & Response: Incident response plans and procedures are in place that manages reported data breaches and communicated on the Intranet.	Malkiat Thiarai	31/12/19	Revised and updated data privacy incident/breach response procedure in place and in the approval process by legal. Once Legal have signed this off the procedure will be communicated on the Intranet. Ability to monitor and report data privacy incident/breach metrics (e.g. nature of breach, risk, root cause) in place. Breach Metrics defined to measure incidents reported (across all directorates) within 72 Hours in place.	Green

Risk No: SR4.1	Risk Title: Risk Title: Loss of personal and sensitive data			
7	Policies, Standards & Guidelines: Policies, procedures and guidelines in place and those policies and procedures are communicated effectively on the Intranet and website	Malkiat Thiarai	31/12/19	A list of IG policies and procedures is currently being reviewed and updated by the Project Team. Ownership of each document and subsequent approval is yet to be confirmed – this will be discussed and agreed at the next IAB in January 2020. A list of IG policies and procedures has been reviewed and updated by the IA Project Team and will be made available on the Intranet. Security policies are currently being reviewed and gaps assessed. All on track. (Rag rediced from Amber to green)	Green
Updated By:	Malkiat Thiarai	Date:31/1/20		

Risk No: SR4.2	Risk Title: Failure to take advantage of new ways of working enabled by technology							
Risk Description: There is a risk that the Council does not take full advantage of how technology could be used to deliver more effective and efficient services leading to a failure to deliver the outcomes our citizens expect. This also covers the role data and technology can play in shaping the place, lives and economic outcomes for the Citizens and Businesses in our City.								
Risk Owner: Assistant Director for IT&D & CIO			Risk Lead: Director of Digital & Customer Services		Risk Type / Category: Technological			
Inherent / Gross Risk			Residual / Current Risk			Target Risk		
Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation
High	High	Severe	Medium	Significant	Material	Low	Low	Tolerable
Current Controls Mitigating Inherent Risk:			Opportunities			Sources of Assurance on Effectiveness of identified Controls:		

Risk No: SR4.2	Risk Title: Failure to take advantage of new ways of working enabled by technology	
The Council already uses a wide range of technology in the delivery of its services and has already committed £44m to invest in new technology as part of the ICT & Digital Strategy signed off by Cabinet in 2016. This strategy and investment lasts until 2021. There are 6 themes: Integrated ICT and Digital services - we'll deliver an innovative, reliable, flexible, integrated, secure and well managed service. Digital Facilitation - We'll help you to go digital! Insight - boost our capability, to turn data into information and information into insight Commissioning and Procurement - enable the council to deliver excellent ICT services. Governance - Govern and manage ICTD effectively. Innovation - we'll innovate and bring in new methods, ideas and solutions. A new directorate has been formed to lead on the exploitation of new ways of working enabled by technology. Progress is tracked through the ICT & Digital strategy Board chaired by the Deputy Leader	A new service has been created post the transition of Services from Capita, called Information, Technology and Digital Services, whose remit is to "We lead, shape and deliver great digital solutions enabling a positive difference to people's lives". This team will lead on this risk. Our workforce strategy and Culture Change framework includes digital skills & leadership to enable employee and managers to grasp the opportunities that new ways of working enabled by technology could offer. A new "invest to save" fund has been created to enable investment in this area A framework for encouraging innovation is also being developed New vision and goals for the role data and technology can play in shaping the place, lives and economic outcomes for the Citizens and Businesses in our "Digital" City.	

No.	Actions to Reduce Risk to Target	Owner	Date	Progress	RAG

Risk No: SR4.2	Risk Title: Failure to take advantage of new ways of working enabled by technology				
1	Implementation of the ICT & Digital Strategy across the following programmes of work: Modern Workplace Cyber Security Voice and Data Networks Application Portfolio Modernisation Brum Account ERP Programme Insight Programme New systems for Social Care	Assistant Director for IT&D	March 2021	Progress is tracked through the ICT & Digital strategy Board chaired by the Deputy Leader	Amber
2	New vision and goals for Digital City	Assistant Director for IT&D	March 2020	Work has started; a draft was presented to Cabinet in November 2019	Green
Updated By:	Risk Representative	Date: 03/01/2019			

Risk No: SR4.3	Risk Title: Risk of Cyber Attacks								
Risk Description: There is a risk that our services to customers are disrupted by malicious attacks on our computer systems and/or web services.									
Risk Owner: CIO & Assistant Director (Interim) – Information, Technology & Digital Services (IT&D)			Risk Lead: Director, Digital and Customer Services			Risk Type / Category: Legislative / Regulatory			
Inherent / Gross Risk			Residual / Current Risk			Target Risk (Increased)			
Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	

Risk No: SR4.3			Risk Title: Risk of Cyber Attacks					
High	High	Severe	High	High	Severe	Medium	High	Material

Current Controls Mitigating Inherent Risk:	Opportunities:	Sources of Assurance on Effectiveness of identified Controls:
The following control measures are routinely taken by the Council's Information, Technology and Digital Services Team: Continuously scan the information security landscape with partners to detect upcoming and new vulnerabilities which could be exploited by potential hackers. The Council has a suite of protection technologies including firewalls and Intrusion Prevention Services. The firewalls detect and defeat many thousands of attacks every day. The Council has in place a Distributed Denial of Services protection solution. Our system defends six individual websites and 8 sub-websites 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. Our Public Services Network (PSN) has enhanced security forusers accessing web based government systems. The majority of external facing applications are managed behind Apache reverse proxy servers which have been hardened in line with best practice	There is a full review of our approach to cyber security being managed as part of the ICT & Digital Strategy implementation covering the end to end of the security systems, people and process and technology. There is improved reporting of cyber risks and security incidents which are presented to the Information Assurance Board. This will ensure BCC are fully aware of potential regulatory & legal exposures and can assess the implications for future investment decisions.	This risk can only ever be mitigated, and never fully closed due to the nature of cyber threats. IT&D are continuously evaluating the information security landscape with solution providers to detect upcoming and new vulnerabilities which could be exploited by potential cyber criminals. Given the nature of this risk these activities are now being kept under constant review. New Corporate Firewalls have been implemented to further improve/enhance our network security.

Risk No: SR4.3		Risk Title: Risk of Cyber Attacks				
and recommendations from penetration test partners. Manage and run regular penetration tests.						
No.	Actions to Reduce Risk to Target	Owner	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.	AD & CIO	29/2/20	Cyber Security Strategy written and in the process of being approved by the Council Governance Process. There will then be a 3/4 year plan to bring the Council security posture to an acceptable security standard. Strategy to be approved by Feb-2020; will include task plan with agreed milestones, this will be tracked and monitored through internal governance board.		Green
2	Create and implement information security awareness programme	Jill Walker		New action to create a continuous information security awareness programme which includes regular phishing exercises and engagement with the business.		Green
3	Create and implement an effective vulnerability management programme	John Owen		New action to create and maintain an effective vulnerability management programme to stay on top of vulnerabilities in the IT estate.		Choose an item.
4	Create a new Information Security Management System (ISMS)	Ken Bearman		New action to review and update all existing policy sets, conduct gap analysis, create new policies and procedures where necessary, communicate new policies, create a central repository that can be easily accessed for the whole organisation.		Choose an item.
5	Assess and evaluate existing technology tooling for security opportunities and implement capabilities	Jaspal Sagoo		New action to ensure security team understand the existing tools capabilities and leverage for maximum effectiveness. This will result in additional security controls and enhanced metrics/visibility to inform of risks and the state of the security posture of the council.		Green

Risk No: SR4.3		Risk Title: Risk of Cyber Attacks			
6	Review, evaluate and improve BCDR and incident response procedures and controls	Head of Cyber Security		New action to ensure that existing procedures are joined up with the wider BCDR programme, are fit for purpose and work under various attack scenarios.	
Updated By:	S Tilley		Date: 3/2/20		

SR5 Legal

Risk No: SRR5.1			Risk Title: Inadequate Property Portfolio (including Health & Safety and Working conditions)						
Risk Description: A member of staff, member of the public or tenants could be subject to death, serious injury or illness arising from a lack of compliance with health and safety regulations across our property portfolio. The primary focus of the risk relates to gaps within our property and asset portfolio . This also needs to take into consideration changes in legislation and capacity and capability for managing property and working conditions locally within the city council.									
Risk Owner: Kathryn James			Risk Lead: Property Team & Simon Naish		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	Medium	Low	Tolerable	
Current Controls Mitigating Inherent Risk: Statutory Compliance Team has been established. In addition, a fortnightly compliance meeting commenced from January 2020 and will develop and communicate associated performance metrics. The property and asset portfolio has been largely assessed against a number of pieces of legislation			Opportunities Collaborative Working across the various Directorates presents an opportunity to work jointly as the responsibility is council wide.			Sources of Assurance on effectiveness of identified controls: CLT has considered reports outlining recommended approaches which have been contributed to by a number of different internal disciplines. In addition, the main areas of risk have had a corresponding risk register written which provides			

Risk No: SRR5.1	Risk Title: Inadequate Property Portfolio (including Health & Safety and Working conditions)		
over recent years and a body of documentation and assessments exist. Grenfell Enquiry - 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.	Specialist providers need to be appointed to develop a better understanding of the profile of risk against a number of the particular risk areas.	further detail and the associated actions required to mitigate that risk.	

No.	Actions to Reduce Risk to Target	Owner	Date	Progress	RAG
1	Complete conditions surveys of all buildings	Head of Property Services	2020	Being scoped and commencing. Extent of the property and asset portfolio to be determined in the first instance. Kathryn James looking to appoint a post	Red
2	Resurveys for Asbestos Management; Fire Safety; Electrical Safety; and consideration given to a number of other P&S related risks (RAAC, Legionella etc.)	Property Services / EDI / Housing / Safety Services / Specialist Provider	2020	Being scoped and commencing. As above with regards to the extent of the estate for which BCC is responsible. BCL brought back in house. Discussions taking place with Acivico regarding specialist providers.	Red
3	Responsible Person (RP) – Currently a significant lack of assigned RPs for the properties and assets across the estate. Also a lack of competency. In addition, a lack of assurance around how responsibilities have been assigned to tenants.	Property Services / EdI / Housing / Safety Services /	2020	Current list of RPs under review by Property. Training materials being refreshed. 'Assignment of Duties' document has been written and presented to CMT defining expectations. Annual (self-assessment) return recently launched to fulfil the organisations duty to monitor the effectiveness of it arrangements.	Red

Risk No: SRR5.1	Risk Title: Inadequate Property Portfolio (including Health & Safety and Working conditions)				
4	Information Governance and Monitoring Control of related compliance data related to areas above (and others) on CAFM / Alpha Tracker.	Property Services / EDI / Housing / Safety Services /Specialists	2020	Suite of organisational arrangements and policies formalising the mechanisms behind each process developed and audited. CAFM currently being reviewed and data upload project to be started.	Red
5	Monitoring of accidents/near misses/regular occurrences continuing	Health and Safety team	On-going	Continual monitoring – trends have been analysed along with the opportunity for central intervention.	Amber
6	Health & Well-Being strategy created	OD	2020	Initiatives being delivered as part of the Workforce Strategy working with colleagues in Public Health	Green
7	Programme to fit Sprinkler systems to 213 high rise blocks over a 3 year period starting 1/4/18	Acting AD Housing	2018 - 2021	Installation Programme is underway and being monitored closely to ensure performance targets are met.	Amber
8	Programme to carry out fire risk assessments to all high rise communal areas annually	Acting AD Housing	From 2018 ongoing	These are in place to ensure all communal areas are inspected. Work is ongoing to consider all recommendations from the Building Safer Futures in relation to fire risk assessments	Green
9	Creation of Statutory Working Group	Chief Executive	November 2019	Meeting and invites sent to attendees. 3 Meetings conducted to date.	Green
Updated By:	Health and Safety Manager	Date: Feb 2020			

Risk No: SR5.2	Risk Title: Ineffective approach to Equalities
Risk Description: Failure to comply with all the requirements of the Equality Act 2012 and the Public Sector Equality Duty. Consequences leading to Equal Pay claims.	

Risk No: SR5.2	Risk Title: Ineffective approach to Equalities	
Risk Owner: Assistant Chief Executive	Risk Lead: Director, Public Health	Risk Type / Category: Social

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

Current Controls Mitigating Inherent Risk:	Opportunities:	Sources of Assurance on Effectiveness of identified Controls:
Draft equality objectives approved by CMT in July 2019 and currently consulting with legal on whether public consultation needed. CMT & ELT diversity champions appointed and provide quarterly updates on the protected characteristics of equality. Service review proposal to expand Equalities and Cohesion team developed. Service review proposal to establish a specific incident response capacity. Proposal approved in principle and were presented to EMT as part of budget preparation. Member equalities training programme. The member equality training is in train and two sessions have been held. Briefings commissioned from the core reports - Autumn 2019.	The Council's new workforce strategy provides an excellent opportunity to promote equality objectives, co-ordinate actions and ensure alignment between HR policy review and the actions against equalities self-assessment.	'Star Chamber' process on equalities have been agreed by EMT and will provide evidence of thematic and directorate challenge; CMT minutes, Sharepoint

No.	Actions to Reduce Risk to Target	Owner	Date	Progress	RAG
1	. Working with Cabinet member to develop 'star chamber' type review of equalities work within directorates.	Partnership Manager	December 2019	Proposals have been approved in principle and were presented to EMT. Review to be fully developed once Equalities and Cohesion Team recruited in 2020.	Amber

Risk No: SR5.2		Risk Title: Ineffective approach to Equalities				
2	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.		Director of Public Heath	October 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. 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
Updated By:		Kwabena Osayande		Date:7/2/20		

Risk No: SR5.3		Risk Title: Future Brexit agenda and impact on legislation							
Risk Description: Significant uncertainties regarding Brexit and potential impact on legislation. EUROPEAN UNION (WITHDRAWAL) ACT 2018 (EUWA 2018) prepares the UK's legislative framework after its withdrawal from the UK upon exit day (11.00pm on 31 January 2020 per EUWA section 20(1)), following requisite notification under Article 50 of the Treaty on European Union (TEU) of the UK's intention to withdraw from the EU and the European Atomic Energy Community (Euratom). Much of the no deal legislation passed so far is designed to ensure UK law continues to function once the UK has left the EU. But the Government is reliant on other pieces of Brexit legislation to make policy changes, such as adopting an independent agriculture, fisheries or immigration policy outside the EU. Many of these bills have not yet been passed – potentially limiting or delaying the Government's ability to make policy changes after no deal. Risk areas being monitored by Legal Services include: Commercial (e.g. passing down contractual risk to the Council), Procurement (e.g. Changes to Public Contract Regs 2015), Environmental (e.g. EU derived environmental legislation), Education (e.g. impact on provision of school meals, school trips, supply teacher), Adults and Human Rights Law (e.g. pharmaceutical supply, workforce impact), Regulatory (Criminal, e.g. safety standards on imported goods), Privacy and Information law (e.g. GDPR/Data) and Employment (e.g. Working Time Regulations).									
Risk Owner: Director of Legal Services				Risk Lead:		Risk Type / Category: Legislative / Regulatory			
Inherent / Gross Risk			Residual / Current Risk			Target Risk			
Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	
Significant	Significant	Severe	Medium	Medium	Material	Medium	Low	Material	

Risk No: SR5.3	Risk Title: Future Brexit agenda and impact on legislation	
Current Controls Mitigating Inherent Risks Ongoing monitoring of legislative developments. Close working with directorates and wider West Midlands Commissioning Group. Advising the Brexit Contingency Commissioning Groups.	**Opportunities** Funding for Brexit legal work will enable Legal Services to expeditiously access specialist support and advice as necessary.	**Sources of Assurance on Effectiveness of identified Controls:** Legal subject matter leads have good understanding of the issues. Utilising external government or other resources to provide assurance.

No.	Actions to Reduce Risk to Target	Owner	Date	Progress	RAG
1	Continued attendance at Brexit Contingency and Commissioning Groups.	MO	Ongoing	Ongoing	Amber
2	Updating Brexit legal briefing note to support the above meetings.	MO	Ongoing	Ongoing	Amber
3	Obtaining Brexit Funding to support the provision of external legal advice for the Council where necessary.	MO	Imminent	Imminent	Amber
Updated By:		Date:			

Risk No: SR5.4	Risk Title: Inability to fully meet social care requirements							
Risk Description: To include Safeguarding Adults								
Risk Owner: Director of Adult Social Care			Risk Lead:		Risk Type / Category: Social			
Inherent / Gross Risk			Residual / Current Risk			Target Risk		
Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation
Significant	High	Severe	Medium	High	Severe	Medium	Low	Tolerable

Risk No: SR5.4	Risk Title: Inability to fully meet social care requirements	

Current Controls Mitigating Inherent Risk:	Opportunities:	Sources of Assurance on Effectiveness of identified Controls:
• Ongoing monitoring of safeguarding requests via AD and Head of Service. • Monthly review of Performance • Bi monthly review of risks and issues at Adult Social Care Management Team (ASCMT) • Quarterly Risk and Audit Board • Safeguarding Adults Board (multiagency board) and sub boards • Safeguarding Practitioners Forum and Safeguarding Adults Partnership	Improve multiagency working Learning to inform Service Development and improve practitioners' skills	Performance Measures Risk Register and Issues Logs Audits Safeguarding Adult Reviews (SARs) Safeguarding Assurance Reports

No.	Actions to Reduce Risk to Target	Owner	Date	Progress	RAG
1	Adult Social Care has a backlog of safeguarding concerns awaiting review. Plans are in place to monitor and close cases on the register and assign community teams for follow up and action.	Balvinder Kaur	April 2020	As of the 26th February 2020 there were 430 pieces of work held across Duty Teams and Constituency Teams.(Balvinder Kaur 28/02/2020) Where required, Heads of Service will be developing Action Plans to reduce the awaiting allocation work in their respective areas in preparation for our new Customer Journey. This will be closely monitored in the new structure post April 2020 by the Assistant Director and Head of Service for Safeguarding. Updated Balvinder Kaur 13/12/19) Permanent Head of Service is expected to transition into his new role from Mid-February and this is very much on his radar and I will be meeting with him on a weekly basis to support this work along with other Heads in Constituencies. (Updated Balvinder Kaur 31/01/20)	Amber

Risk No: SR5.4		Risk Title: Inability to fully meet social care requirements			
2	Adult Social care are reviewing the Performance Reports to management team; with a proposal that future reports will include reporting on Safeguarding.	Balvinder Kaur Rebecca Bowley	April 2020	The performance reporting for the Adult Social Care Management Team for this measure was reviewed and updated during 2019. The new Performance Framework is reported through a monthly Performance Board Meeting (Adult Social Care Management Team - ASCMT). A monthly scorecard includes key governance information relating to workforce, complaints, enquiries and Audit Reports. A monthly Performance Scorecard now includes information regarding core Adult Social Care service delivery. This includes percentage of concluded Safeguarding enquiries where the individual or representative was asked what their desired outcomes were, and the number of completed Safeguarding enquires, which involved concerns about domestic abuse. We will ensure regular updates around the Centralised Safeguarding Team is operationalised in April 2020 and any feedback around this service redesign will be communicated to BSAB [Birmingham Safeguarding Adults Board] and ASCMT colleagues and relevant stakeholders. (Updated Rebecca Bowley and Balwinder Kaur 21/02/20)	Green
3	Introduction of Customer Journey. The new model for social care includes a dedicated operational Safeguarding Team that will facilitate the directorate responding to concerns in a timely manner.	Balvinder Kaur	April 2020	The new model for Social Care (Customer Journey) is due to commence on 1st April 2020. (Updated Balwinder Kaur 13/12/19) On track – Balwinder Kaur 31/1/20 / Maria Gavin 17/2/20	Amber
Updated By:	Maria Gavin, AD Quality and Improvement	Date: 2/3/2020			

Risk No: SR5.5			Risk Title: View of BCC by Regulators						
Risk Description: The Care Quality Commission (CQC) regulated Adult Social Care services, run by BCC, are the three care centres and the home care enablement services. DfE and Ofsted assessment of children services.									
Risk Owner: Directors of Adult Social Care and Education and Skills			Risk Lead:		Risk Type / Category: Reputational				
Inherent / Gross Risk			Residual / Current Risk			Target Risk			
Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	
Significant	High	Severe	Medium	High	Severe	Medium	Low	Tolerable	
Current Controls Mitigating Inherent Risk: Improvement Board Ongoing monitoring of performance by AD and Head of Service Audit and risk reporting to Adult Social Care management team Ad Hoc (as required) reports and updates to Adult Social Care Management Team			Opportunities: Enhance the reputation of BCC through delivery of 'outstanding' care services To develop care centres into community hubs with facilities to improve the wellbeing of adults in the community Encourage intergenerational services to build local community partnerships			Sources of Assurance on Effectiveness of identified Controls: CQC Reports Audit Reports Improvement Plan			
No.	Actions to Reduce Risk to Target		Owner	Date		Progress			RAG
1	There are issues with quality in some of the BCC CQC registered services. A revised improvement plan has been developed to address areas of concern.		John Williams	Post April 2020		Action plans implemented in Kendrick Service CQC have reviewed the Service in November 2019 and the service is now rated as requires improvement, the Action Plan has been refreshed to reflect the change in service delivery. Shared Lives Service and Enablement (North) has been rated as good, following CQC inspections. Quality across registered services continues to be a priority and is reported to the Assistant Director (JW) monthly.			Amber

Risk No: SR5.5		Risk Title: View of BCC by Regulators				
					Due to the Adult Social Care Customer Journey implementation – next stage of Audit reviews will be post April 2020, as the new structure for Adult Social Care is implemented January to April 2020. (Updated John Williams 17/12/19) Unchanged John Williams 28/1/20	
2	Adult Social Care Management team will receive regular quarterly updates on progress with implementation of the improvement plan to monitor progress.	John Williams	April 2020		Performance metrics are currently under review with a new dashboard that focuses on service impact and citizen outcomes being developed and implemented from April 2020. (Updated John Williams 17/12/19) Unchanged John Williams 28/1/20	Green
3	Cross-council work on policy risks (eg SRE)	Tim O'Neill			A Strategic Life Board has been implemented in December 2019- chair is Professor Graeme Betts and deputy chair Dr Tim O'Neill, membership includes Andy Couldrick (Children's Trust). Terms of Reference have been provided to Audit Team to support the Transition Audit late 2020. The Strategic Life Course Board, will continue to provide governance and leadership as partners develop policies and procedures.	Amber

Risk No: SR5.5		Risk Title: View of BCC by Regulators				
					The Preparing for Adulthood service (transition) are currently (February 2020) recruiting to a number of posts that will provide operational capacity to complement existing services across the partnership. (Updated John Williams 27/02/20)	Amber
4	Regular liaison with DfE, Ofsted etc	Assistant Director – Education and Early Years			Continue to meet regularly with Ofsted, RSC and BEP through EIG meetings: met with RSC in mid-December. Updated by Risk Rep – 6/1/2020 No further update as at 30/1/20 – Lisa Fraser	Amber
5	Work with schools and education providers to ensure effective safeguarding and best inspection outcomes	Assistant Director – Education and Early Years & Interim Head of Service - Education Early Help and Safeguarding			LA participated in the review of BEP led by former HNCI Christine Gilbert. Review to be shared in Spring 2020 and will inform future work on school improvement with BEP. Service improvements 2019/20 include: - New database to collate strategic data per school to enable early identification and support for "at risk " schools. Webpage redesign and content improvements to enable schools to access relevant advice, guidance and training with ease. Development of comprehensive safeguarding audit tool – pilot in place for peer to peer audit. Conference delivered Nov 2019 " The new OFSTED framework and implications for safeguarding".	Amber
Updated By:		Maria Gavin, AD Quality and Improvement	Date: 2/3/20			

Risk No: SR5.6	Risk Title: Safeguarding Children							
Risk Description: Not responding fully and effectively to the improvement agenda for Children. Failure to improve children's safeguarding and children's social care								
Risk Owner: Directors of Education and Skills			Risk Lead:		Risk Type / Category: Social			
Inherent / Gross Risk			Residual / Current Risk			Target Risk		
Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation
Significant	High	Severe	Significant	High	Severe	Medium	Medium	Tolerable

Current Controls Mitigating Inherent Risk:	Opportunities:	Sources of Assurance on Effectiveness of identified Controls:
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. Annual contract review. Regular meetings set up between BCT Corporate parent Manager and Headteacher of BVS to agree new partnership working for academic year 2019-20.		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. KPI'S agreed with Trust at OCG in April. Throughout the next year a review of the contract will be carried out to take effect from 1 April 2020. Internal Audit completed reviewing audit compliance of BCT

No.	Actions to Reduce Risk to Target	Owner	Date	Progress	RAG

Risk No: SR5.6		Risk Title: Safeguarding Children				
1	Remodel the Virtual School's procedures, to ensure educational progress is reviewed and supportive interventions implemented, to enable all looked after children to make good progress.	Assistant Director Inclusion and SEND & Head of Virtual School	January 2020		Currently due to jury service, ill health, injury and not being able to recruit during service redesign the Virtual School staffing is currently working at 50% of its staffing. The Virtual School Headteacher has made contact with Hayes to recruit a third temp for 2 months and is contacting HOS SENAR and Inclusion to ask if any members of start currently not on full time contracts would like some additional hours for two months. In the meantime all urgent cases of young people where education placement is not stable have been redistributed across the VS staff. (Updated Lisa Smith 26/01/20). The Virtual school staff are paid for from DSG which is a static core budget amount. This has meant that the rising cost of the current staff with add on costs of pensions means that the current core budget does not cover the cost of the current staff structure by £ 160, 522 going forward. This year there is a reported underspend due to 3 posts remaining vacant under previous Headteacher; and a further member of staff retiring in October this year to which there has not been recruitment. The service will now go through redesign with HR & pay and gradings involvement. There will need to be a business risk analysis and business plan created in Jan 2020 to maintain the same staffing levels as current staff structure.	Amber
2	Failure to share data leads to sub-optimal decisions being made. Develop data sharing across agencies	Assistant Director Inclusion and SEND & Head	On-going		Whilst attendance reports are being tested by project lead for attendance data development to see what can be reported and the accuracy of the data output, the virtual school are trailing an in city attendance data collection as	Amber

Risk No: SR5.6	Risk Title: Safeguarding Children			
		of Virtual School		a free trail through their PEP provider from Feb18th 2020 to May 31st 2020, to enable in city attendance data collection to fit alongside the welfare call data set. (Updated Lisa Smith 26/01/20). Attendance data collation for in city Birmingham children is not currently obtainable for 25% of Birmingham schools, so the Virtual School cannot collect a full CIC cohort attendance data collection. Attendance reports are being tested currently by project lead for attendance data development to see what can be reported and the accuracy of the data output. This means there is currently no data reporting for any in city Birmingham children. Data reporting on attainment is collected through the PEP and can be reported on. The Virtual School head has met with data information officer to share the new reporting requirements. There are actions agreed to move towards the development of that but timelines now need to be agreed. Data routines slip on delivery timescales. This has been raised with the line manager of information manager. Volume of workload and capacity has been discussed. The VS are moving some tasks into BSS and two more larger task are being reviewed by BSS line manager to agree movement back to BSS. If further staffing is required to provide routine timely data this will require further staff resourcing. This will need to be considered as part of business redesign and future business planning as a risk factor.	

Risk No: SR5.6	Risk Title: Safeguarding Children			
				Data for BCT ofsted planning is being shared, BCT have reciprocated data sharing. The migration of data from care first to eclipse which enables the VS to identify CIC cohort has been problematic (1/4 of CIC cases did not migrate over) this has led to further delay in reporting and more human resource time spent matching and validating data accuracy. The VS will create a data performance dashboard that will be agreed and shared at corporate parent board in spring term 2020.	
Updated By:	Baljit Jandu		Date: Jan 2020		

SR6 Environmental

Risk No: SR6.1	Risk Title: Ability to address air pollution and full delivery of the climate change agenda	
Risk Description:		
Risk Owner: Acting Director, Inclusive Growth	Risk Lead:	Risk Type / Category: Environmental
Inherent / Gross Risk	Residual / Current Risk	Target Risk

Risk No: SR6.1			Risk Title: Ability to address air pollution and full delivery of the climate change agenda					
Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation
High	High	Severe	Significant	Significant	Severe	Medium	Medium	Material

Current Controls Mitigating Inherent Risk:	Opportunities:	Sources of Assurance on Effectiveness of identified
The Council has been issued with ministerial directions under the Environment Act (1995) to complete key milestones to be compliant for roadside NO2 by 2021. This Business Case fully complies with the Ministerial Direction, with the required Charging Order approved by Cabinet- but yet to be approved by Government. Government have indicated a number of delays in their CAZ IT framework, which subsequently will impact on the CAZ start date, now anticipated to be in the summer of 2020. The Joint Air Quality Unit has now (Dec 2020) indicated that all LAs will need to agree and sign an Operational Licensing Agreement (OLA) prior to start of end to end testing and launch of CAZ. These headline mitigations are supported by: - Weekly teleconference meetings with DEFRA's Joint Air Quality Unit to update mitigation plans. SRO meetings with DERA/JAQU. Development of overarching clean air policy for Birmingham for 2019. Ongoing joint development work and positive engagement with WMCA. Key progress comprises the completion of a Preferred Clean Air Zone Option Business Case and	The Council declared a Climate Emergency in June 2019 with an ambition to achieve net zero carbon emissions in Birmingham by 2030. Opportunities and options for delivering this ambition will be fully explored through Climate Emergency Taskforce which has been set up to develop an action plan setting out how Birmingham will tackle climate change and become carbon neutral by 2030. Strategies, projects and policies which support the city's climate objectives include: Adopted Birmingham Development Plan and emerging detailed guidance such as the Parking SPD and Birmingham Design Guide Emerging Birmingham Transport Plan Birmingham Walking and Cycling Strategy and Infrastructure Plan Birmingham CAZ Birmingham Clean Air Strategy Ultra-low and zero emission refuelling infrastructure development Car Club Schemes Birmingham District Energy Company	Controls: Wider Air Quality Plan that includes: Traffic management, signalling and signage controls - 12/2018. Controlled Parking Zones - 12/2018. BCC Internal & External Fleet transition to low / zero emission full Low / zero re-fuelling infrastructure - 04/2020. Clean Air Zone strategic business case signed off by Secretary of State by 12/ 2018 to enable CAZ infrastructure for access restrictions deployed by 04/2019. Revised Birmingham Taxi Licensing Policy based on air quality compliance emissions - 12/ 2019 All BCC procurement frameworks and tendering processes aligned with CAZ compliance -12/ 2019.

Risk No: SR6.1	Risk Title: Ability to address air pollution and full delivery of the climate change agenda					
Cabinet report approval and Government approval, as required by the Ministerial Direction. The report follows the largest ever response of circa 11,000 to the CAZ consultation.

The Charging Order that legally authorises the Council to implement a CAZ charging scheme (and the level of exemptions to be applied) was approved by Cabinet in June 2019. | Development of an Energy Strategy

Continue to work with regional partners on regional programmes and projects including major public transport projects including bus and Sprint priority routes, Metro extensions and new railway stations.

Continue to work with regional academic experts, businesses and industry through Energy Capital to understand how the transition to a decarbonised system through 'Energy Innovation Zones' can work for the West Midlands. | | | | | |
No.	Actions to Reduce Risk to Target	Owner	Date		Progress	RAG
1	CAZ implementation of cameras and programmed support measures will still commence as planned ahead of scheduled launch in the summer of 2020.	SRO- Assistant Director for Transport & Connectivity.	04/2020		First signs and cameras due for installation in January/February 2020. Will provide early notice of planned launch in the 'summer' of 2020. Installation of first camera will also allow suppliers/partners to test system integration ahead of planned end to end testing (April to June 2020).	Choose an item.
2	Development of mitigation support measures to support transition to compliant, low/zero emission vehicles for businesses, CAZ workers and residents.	Head of Clean Air Zone (CAZ)	02/2020		Cabinet report for three of the grants approved at December 2019 cabinet. HDV Fund approved by cabinet in Feb 20. Procurement of supplier for scrappage scheme (includes mobility credit) due to start March 2020. Procurement of supplier for electric taxi rental scheme	Choose an item.

Risk No: SR6.1	Risk Title: Ability to address air pollution and full delivery of the climate change agenda					
					due for launch in March 2020. Development of mitigation application postponed due to call-in of cabinet member report. Due to be reviewed by Cabinet in March 2020.	
3	Development of back office systems and processes to support application process for exemptions and mitigations	Head of Caz	02/2020		Agreement to proceed to launch (exemption) received from the Clean Air Zone exec board in December 2019. Full launch of applications for exemptions to start in March 2020 following successful completion of testing and the launch of the government's vehicle checker in Feb 2020.	Choose an item.
Updated By:	Stephen Arnold		Date: 4/3/20			

Risk No: SR6.2	Risk Title: Health & Wellbeing								
Risk Description: Health & Wellbeing of employees impacts on performance and morale of workforce									
Risk Owner: Director HR			Risk Lead:		Risk Type / Category: Social				
Inherent / Gross Risk			Residual / Current Risk			Target Risk			
Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation

| High | High | Severe | Significant | Significant | Severe | Medium | Low | Tolerable |

Current Controls Mitigating Inherent Risk:	Opportunities	Sources of Assurance on Effectiveness of identified
Workforce Strategy developed, implementation plan in place. Resources recruited to deliver action plan. Mental Health First Aiders trained Health & Safety and Occupational Health merging into one team to avoid any duplication	Collaborative working with partners internal at BCC e.g. Public Health, Occupational Health, specialists in other Directorates and external e.g. NHS, other LAs, private and voluntary sectors. Staff network groups, employee engagement, workshops, working with others.	Controls: Occupational Health referrals Usage of Employee Assistance Programme Increase in referrals for CBT and specialist support Sickness absences and other leave Staff survey feedback

No.	Actions to Reduce Risk to Target	Owner	Date	Progress	RAG
1	Health and wellbeing strategy created	Helen Ward		In Progress	Amber
2	Achieve Thrive at Work standard.	Helen Ward		Work in progress	Red
3	Work with diversity networks to ensure workforce are supported appropriately.	Helen Ward		Scoping	Red
4	Develop Family Friendly Policies as supportive employer	Tim Normanton		Completed	Green
5	Mental Health First Aiders trained	Occupational Health		Completed	Green

Updated By:	Dawn Hewins	Date:

SR7 Cross Cutting

Risk No: SR7.1			Risk Title: Service Improvement					
Risk Description: Failure to improve could result in a risk to the continued existence of a single democratic organisation: 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:		Risk Type / Category: Reputational			
Inherent / Gross Risk			Residual / Current Risk			Target Risk		
Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation	Likelihood	Impact	Prioritisation
Significant	High	Severe	Medium	High	Material	Medium	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. There has been ongoing work with MHCLG regarding the Council's own improvement governance arrangements and proposals were agreed by Cabinet in July to activate an improvement framework for 2019-20 alongside an innovative model of 'progressive assurance' through a Strategic Programme Board (SPB). This Cabinet decision was accompanied by a letter of support from the Secretary of State endorsing this model. Key areas of future improvement activity have been identified as stated in the risk description above.			Opportunities: Prioritisation changed from severe to material			Sources of Assurance on Effectiveness of identified Controls:		

Risk No: SR7.1	Risk Title: Service Improvement				
Non-Executive Advisors in place and support the Council with advice in relation to specific risks to provide additional reassurance.					
No.	Actions to Reduce Risk to Target	Owner	Date	Progress	RAG
					(green)
1	Three reports to Cabinet (and subsequently the Secretary of State) will be forthcoming in autumn 2019, spring and summer 2020 to provide updates on the Council's improvement framework.	Assistant Chief Executive (in concert with CMT leads)		To follow	Amber
Updated By:	Kwabena Osayande	Date:7/2/20			

Risk No: SR7.2	Risk Title: Rising pressure of demand								
Risk Description: Rising demand for services negatively impacts on the Council's priority outcomes									
Risk Owner: Directors of Adults Social Care / Education and Skills			Risk Lead:			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	Significant	Severe	Medium	Low	Tolerable	
Current Controls Mitigating Inherent Risk: Program Board Project Boards Sustainability and Transformation Program Board (STP) / Birmingham Older Adults Program (BOPP) Early Intervention Board (Multiagency) Prevention Board (Multiagency)			Opportunities: Reducing Isolation and loneliness Promoting health and wellbeing Community Cohesion Joint delivery with partners			Sources of Assurance on Effectiveness of identified Controls: Program Reports Project highlight reports Finance Reports Benefit Tracking Performance Reports			

Risk No: SR7.2		Risk Title: Rising pressure of demand				
Service Management Teams Adult Social Care Management Team Risk and Audit Board					Audits Risk Register and Issues Logs	
No.	Actions to Reduce Risk to Target	Owner	Date	Progress		RAG
1	Roll out of 3 conversations model of Social Care and new 'Customer Journey'	Balvinder Kaur	April 2020	3 Conversations continues to be rolled out; the model has seen a significant impact on the Citizens using services. A review of the impact of 3 Conversations across the Adult Social Care service will continue to be reviewed by the new Principle Social Worker from January 2020. (Updated John Williams 17/12/19)		Amber
2	Full roll out of NNS approach to remaining areas (Edgbaston, Northfield, Hall Green and Hodge Hill constituencies).	Louise Collett	December 2019	All areas are now mobilised. The coordination between the Social Work Teams and the NNS leads is focused upon connecting citizens to assets as part of the 3 conversations approach to social work (support to risk no 1 above). There is a need to identify ongoing budget provision to mitigate the current reliance on one off funding totalling from iBCF [Improved Better Care Fund] reserves to support this service. (Updated Kalvinder Kohli 19/12/19 and unchanged Kalvinder Kohli 03/02/20)		Green
3	Implementation of Early Intervention Model with system partners (part of Older Adults Program in Sustainability and Transformation Program (STP)	Graeme Betts	Autumn 2020	No further update as at 16/12/19 (Response from Graeme Betts 16/12/19) It was agreed that implementation would be paused over winter because of the pressure on hospital social work services. Work will pick up in February with the intention to have fully implemented by the end of July 2020. (Updated Graeme Betts 30/01/20)		Amber

Risk No: SR7.2		Risk Title: Rising pressure of demand				
4	Prediction Analytics work		Louise Collett/Mike Walsh/Mark Ashby	April 2020	We have commissioned an external Provider - Affinity – to supply a Predictive Demand Management tool. Colleagues in Finance and Commissioning are working with the provider to input and validate activity and cost data. A version of the tool is now available, but utility is limited until financial data is validated. (Updated Mike Walsh 28/02/20)	
5	Develop a coherent Early Help system		Assistant Director – Education and Early Years		There have been 2 new employees appointed to review this area, an Early Help consultant and a Transformation consultant. They are working on a review of the service area and a report will be available in the new year to support the development of the new Early help system. Updated by Baljit Jandi, Risk Rep 6/1/20	Amber
6	Continue to improve attainment in Birmingham's schools		Assistant Director – Education and Early Years		Links formed with Education Endowment Foundation: proposal to launch a targeted programme with schools in Spring 2020. Updated by Baljit Jandi, Risk Rep 6/1/20	Amber
7	Prioritise effective safeguarding		Assistant Director – Education and Early Years		Immediate action taken where concerns have been raised about safeguarding. Over 200 schools have participated in the LA Safeguarding conferences with updates from James Mcneillie, senior HMI Ofsted. Updated by Baljit Jandi, Risk Rep 6/1/20	Amber
Updated By:	Maria Gavin, AD Quality and Improvement		Date: 2/3/2020			

Risk No: SR7.3	Risk Title: The organisational culture change needed to become a modern council is not achieved							

Risk Description: The council does not meet its financial, statutory or performance outcomes because the council fails to develop a progessive and proactice, customer-focused organisational culture. There includes the risk of potential increased industrial dispute and reputational damage.

Risk Owner: Chief Executive re organisational culture			Risk Lead: Assistant Director, Organisational Development		Risk Type / Category: Managerial / Professional			

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

Current Controls Mitigating Inherent Risk:	Opportunities	Sources of Assurance on Effectiveness of identified Controls:
Detailed engagement and consultation arrangements are in place to ensure early dialogue with unions through any planned and active business change. At a corporate, directorate and divisional level, HR support is being provided to identify any high risk areas through business partnering and regular engagement around planned and active changes. Areas where there is a high risk of industrial action will have increased employee engagement arrangements such as the Joint Service Improvement Board – Waste Management.	Implementation of the workforce strategy and culture change framework to drive culture change within the council. Creation of an Employee Relations Strategy and Industrial Relations Unit will assist in ensuring that there is sufficient capacity to support the organisation as it goes through change and transformation activities.	Monitoring of feedback at the various union engagement meetings. Feedback at DMTs and CLT in relation to the implementation of business changes and any associated issues. Monitoring of HR dashboards and relevant HR data to identify any flags in data that may indicate a shift in behaviours. Monitoring of workforce strategy outcomes and culture change measures to track culture change implementation.

Risk No: SR7.3	Risk Title: The organisational culture change needed to become a modern council is not achieved				
HR/managers monitoring and taking action to minimise sickness absence as a result of organisational changes.					

No.	Actions to Reduce Risk to Target	Owner	Date	Progress	RAG
1	Set up Industrial Relations Unit	Director HR	31/12/19	Funding has recently been released and recruitment to the agreed scope has commenced.	Green
2	Managers to monitor employee well-being	All Managers	On-going	In progress and on-going, localised HR support for managers in place. ER training programme for managers being scoped. Staff well being survey to be conducted early 2020 to support development of the Health and Well Being strategy. Mental Health first aiders group being co-ordinated with action plan. Support for staff networks being increased.	Green
3	Additional HR Support provided as needed	Director HR	21/11/19	On-going as required to specific disputes/programmes/service redesigns and restructures. Additional posts being proactively recruited to provide additional support in advance of upcoming major restructures	Green
4	Council wide and Directorate dashboards provided monthly to monitor organisational health	Director HR	Monthly	Delivered monthly and on-going development to ensure the proactive action is taken using leading indicators rather than reacting to lagging indicators	Green
5	Continue consultation of key business changes through agreed TU protocols	Director of HR	On-going	Key union meetings continue as planned.	Green

Risk No: SR7.3		Risk Title: The organisational culture change needed to become a modern council is not achieved				
6	Implementation of workforce strategy and culture change framework	Director of HR and All Managers	As per plan	Culture change framework being agreed at CLT and EMT, with further engagement at the relevant TU meetings through December 2019 and January 2020. Launch of updated behaviour statements from staff engagement, as well as the staff survey results being co-ordinated with action plan to address key issues ahead of annual appraisal process.		Green
Updated By:		Helen Ward		Date:31/1/20		