BIRMINGHAM CITY COUNCIL

PUBLIC REPORT

Report to:	**Audit Committee**
Report of:	**Acting Assistant Director, Audit & Risk Management**
Date of Meeting: 26th July 2016	
Subject:	**Corporate Risk Register Update**

Wards Affected: **All**

1. Purpose of Report

1.1 To update the Audit Committee with information on the management of risks and issues within the Corporate Risk Register (CRR) (Appendix A). The information in Appendix A has been compiled using updates received from directorates.

2. Recommendations

2.1 That the Audit Committee reviews the information provided by directorates and decide if the risk ratings are reasonable, if action being taken is effective, or if further explanation / information is required. The level of risk has remained static for most risks, but two have reduced:

- Risk 3 - Failure to identify alternative funding streams for school PFI contracts revenue pressure, impacting on availability of maintenance funding for essential management of the LA schools estate.

- Risk 10 - Not responding fully and effectively to the recommendations made in the Kerslake Report and implementing the Future Council Programme (including setting a medium / long term balanced budget).

2.2 That the Audit Committee approves the deletion of two risks:

- Risk 21 - Risk of the current information technology equipment not being refreshed / up dated to maximise use and obtain full benefit from utilising technology.

- Risk 23 - Risk of enforcement action and fines of up to £500,000 by the Information Commissioner's Office (ICO) for failure to comply with the 40 day timescale for responding to Subject Access Requests (SARs).

This is because:

- Risk 21 - the desktop refresh is progressing as business as usual, and PSN compliance means that we cannot have unsupported applications running on our network.

- Risk 23 - there has been considerable improvement in responding to Subject Access Requests. The Information Commissioner's Office is happy with the progress being made and are no longer monitoring the Council.

2.3 That the Audit Committee approves the rewording of risk 13 to include reference to failure to implement the savings programme.

2.4 That the Audit Committee approves the three new risks:

- Risk 24 - Risk that the need to address the updated Pensions Deficit will result in an increase in employer contributions.

- Risk 25 - Failure to comply with statutory timescales in relation to DoLS (Deprivation of Liberty) referrals, which could lead to legal challenge and result in financial loss to the Council.

- Risk 26 - Failure to comply with all of the requirements of the Counter Terrorism and Security Act (2015) and the Prevent Duty.

2.5 That the Audit Committee considers if any new risks, further re-wordings or deletions should be included in the CRR.

2.6 That the Audit Committee considers if it requires further information on the management of any of the risks included in the CRR.

3. Background Information

3.1 Members have a key role within the risk management process.

3.2 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.

4. Corporate Risk Register Update

4.1 The CRR is aligned to the corporate objectives of the Council and identifies the key risks to be managed at a corporate level.

4.2 The CRR focuses on the cross-cutting corporate issues.

4.3 A Lead Director has been identified for each risk. Directorates have provided information detailing the management of the risks within their service areas as at May 2016.

4.4 The CRR is attached as Appendix A.

5. Embedding Risk Management

5.1 Presentations, training and facilitated workshops are provided by Birmingham Audit on request to help embed risk management across the Council and in working with our partners. The current main route to provide risk management awareness is the e-learning package for managers, accessed via the internet.

5.2 Information on the Council's approach to risk management is available via the BCC website - these are public documents for staff, external partners and anyone else to see. Additional information is attached to the risk management page on InLine, to support staff in using risk management in their day to day role. Advice, support and guidance are provided by Birmingham Audit as requested.

5.3 Service managers are also asked about their risk management arrangements as part of routine audit work. In addition the mandatory Public Sector Internal Audit Standards include a requirement with regard to risk management.

5.4 Risk management is also covered within the Annual Governance Statement.

6. Legal and Resource Implications

6.1 The work carried out is within approved budgets.

7. Risk Management & 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 strategy has been Equality Impact Assessed and was found to have no adverse impacts.

8. Compliance Issues

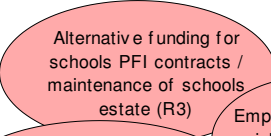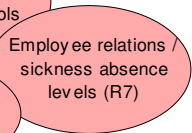8.1 Decisions are consistent with relevant Council Policies, Plans and Strategies.
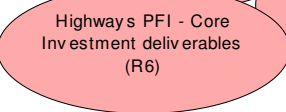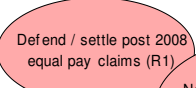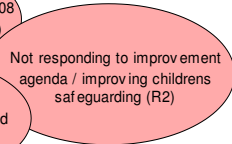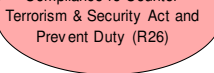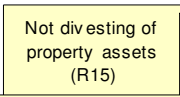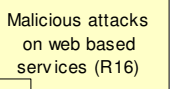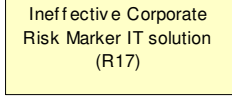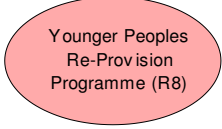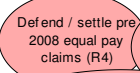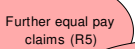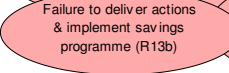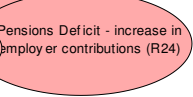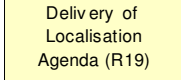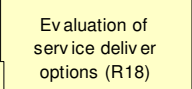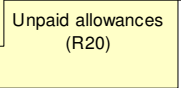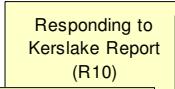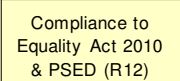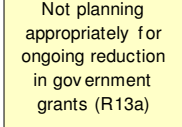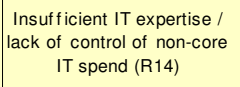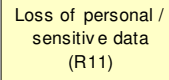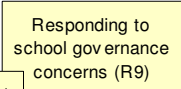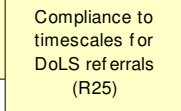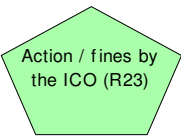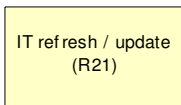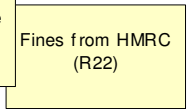

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Acting Assistant Director, Audit & Risk Management

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BCC Risk Map - July 2016

Likelihood:

	Low	**Medium**	**Significant**	**High**
High			Alternative funding for schools PFI contracts / maintenance of schools estate (R3) · Employee relations / sickness absence levels (R7) · Highways PFI - Core Investment deliverables (R6)	Defend / settle post 2008 equal pay claims (R1) · Not responding to improvement agenda / improving childrens safeguarding (R2) · Compliance re Counter Terrorism & Security Act and Prevent Duty (R26)
Significant		Not divesting of property assets (R15) · Malicious attacks on web based services (R16) · Ineffective Corporate Risk Marker IT solution (R17)	Younger Peoples Re-Provision Programme (R8)	Defend / settle pre 2008 equal pay claims (R4) · Further equal pay claims (R5) · Failure to deliver actions & implement savings programme (R13b) · Pensions Deficit - increase in employer contributions (R24)
Medium		Evaluation of service delivery options (R18) · Delivery of Localisation Agenda (R19) · Unpaid allowances (R20)	Responding to Kerslake Report (R10) · Compliance to Equality Act 2010 & PSED (R12) · Not planning appropriately for ongoing reduction in government grants (R13a) · Insufficient IT expertise / lack of control of non-core IT spend (R14)	Responding to school governance concerns (R9) · Loss of personal / sensitive data (R11) · Compliance to timescales for DoLS referrals (R25)
Low		Action / fines by the ICO (R23)	IT refresh / update (R21) · Fines from HMRC (R22)	

Impact

Key:

- **Severe** (red ellipse): Immediate control improvement to be made to enable business goals to be met and service delivery maintained / improved.
- **Material** (yellow rectangle): Close monitoring to be carried out and cost effective control improvements sought to ensure service delivery is maintained.
- **Tolerable** (green pentagon): Regular review, low cost control improvements sought if possible.
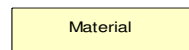
Index by Risk / Issue Number

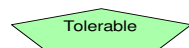| New No.	Orig No.	Short Description of Risk / Issue	Page
1	1c	Defend and / or settle post 2008 equal pay claims	11
2	23 / 61	Not responding fully and effectively to the improvement agenda for children - improving children's safeguarding and social care	11
3 Risk reduced	14b / 50	Failure to identify alternative funding stream for school PFI contracts - impacting on availability of maintenance funding for essential management of the LA schools estate	15
4	1a	Defend and / or settle pre 2008 equal pay claims	14
5	1b	Further equal pay claims	14
6	46	Failure to obtain the full extent of Core Investment Period deliverables in accordance with the business case	17
7	30	Employee relations, performance issues, sickness absence levels, etc	17
8	N/A	Risk of challenge regarding implementation of the Younger Peoples Re-Provision Programme	18
9	57	Not responding fully and effectively to the issues from recent reviews concerning school governance and related matters	18
10 Risk reduced	N/A	Not responding fully and effectively to the recommendations made in the Kerslake Report and implementing the Future Council Programme (including setting a medium / long term balanced budget)	22
11	45	Loss of personal or sensitive data	20
12	2	Failure to comply with the Equality Act 2010 and the Public Sector Equality Duty	23
13 Risk reworded	28	Not planning appropriately for the on-going reduction in government grants resulting in a shortfall in resources, including taking the necessary actions to avoid legal challenge. Failure to deliver the necessary actions to implement the savings programme	25
14	52	Insufficient in-house IT expertise within directorates & inadequate or ineffective corporate control of non-core IT spend	26
15	32	Not recognising the need to divest of costly property assets in radical new solutions to reframe service delivery	26
16	42	Web services may be disrupted by malicious attacks on Council's web based services	27
17	55	Ineffective Corporate Risk Marker IT solution	28
18	37	Evaluation of cost & benefits of different service delivery options & failure to fully implement the decisions made to change policy / service delivery	29
19	41	Delivery of the Localisation Agenda and commitments made in the Council's Improvement Plan and Leaders Policy Statement	30
20	44	Unpaid allowances	31
21 Nominated for deletion	35	IT refresh / update	31
22	54	Risk of fines from HMRC for directorates employing long term consultants	33
23 Nominated for deletion	59	Risk of enforcement action and fines by the ICO for failure to comply with the 40 day timescale for responding to SARs	33
24 New risk	N/A	Risk that the need to address the updated Pensions Deficit will result in an increase in employer contributions	15
25 New risk	N/A	Failure to comply with statutory timescales in relation to DoLS (Deprivation of Liberty) referrals, which could lead to legal challenge and result in financial loss to the Council	21
26 New risk	N/A	Failure to comply with all of the requirements of the Counter Terrorism and Security Act (2015) and the Prevent Duty	13

Corporate Risk Register Update for Audit Committee July 2016

Key: CO - Corporate Objective.   AFC - A fair city: where people are safe, healthy and not living in poverty.   APC - A prosperous city: where businesses flourish, where people have education and training, and where unemployment is low.   ADC - A democratic city: where people have more say in local decision-making.

				INDEX OF RISKS / ISSUES (in order of severity of risk)								
Ranking	**New Ref No.**	**Old Ref No.**	**C. O.**	**Short Description**	**Lead Director**	**Actual Risk rating and Target rating Likelihood / Impact July 2016**	**Change in residual risk**	**Actual risk level in previous 3 updates to Audit Committee**				**Page No.**
								March 2016	**Nov 2015**	**July 2015**		
1	1	1c	A P C	Defend and / or settle post 2008 equal pay claims.	Strategic Director, Finance &Legal	**Actual: H/H** **Target: S/H**	Same	H/H	H/H	H/H		11
2	2	23 & 61	A F C	Not responding fully and effectively to the improvement agenda for children - Failure to improve children's safeguarding and children's social care.	Strategic Director, People Directorate	**Actual: H/H** **Target: M/H**	Same	H/H	H/H	H/H		11
3	26	N/A	A F C	Failure to comply with all of the requirements of the Counter Terrorism and Security Act (2015) and the Prevent Duty	Strategic Director Place Directorate	**Actual: H/H** **Target: M/S**	N/A					13
4	4	1a	A P C	Defend and settle pre 2008 equal pay claims.	Strategic Director, Finance &Legal	**Actual: S/H** **Target: L/H**	Same	S/H	S/H	S/H		14
5	5	1b	A P C	Further equal pay claims.	Strategic Director, Finance &Legal	**Actual: S/H** **Target: M/H**	Same	S/H	S/H	S/H		14
6	24	N/A	A P C	Risk that the need to address the updated Pensions Deficit will result in an increase in employer contributions	Strategic Director, Finance & Legal	**Actual: S/H** **Target: M/M**	N/A					15
7	3	14b / 50	A P C	Failure to identify alternative funding stream for school PFI contracts revenue pressure, impacting on availability for essential management of the LA schools estate.	Strategic Director, Finance &Legal	**Actual: H/S** **Target: M/S**	Reduced	H/H	H/H	H/H		15
8	6	46	A P C	Failure to obtain the full extent of Core Investment Period deliverables in accordance with the business case.	Strategic Director, Economy	**Actual: H/S** **Target: L/S**	Same	H/S	H/S	H/S		17

Corporate Risk Register Update for Audit Committee July 2016

Ranking	New Ref No.	Old Ref No.	C. O.	Short Description	Lead Director	Actual Risk rating and Target rating Likelihood / Impact July 2016	Change in residual risk	Actual risk level in previous 3 updates to Audit Committee			Page No.
				INDEX OF RISKS / ISSUES (in order of severity of risk)				March 2016	Nov 2015	July 2015	
9	7	30	A P C	Lack of capacity and capability to respond to employee relations tensions, poor service, performance issues, sickness absence levels and poor morale due to organisational downsizing and pay freezes.	Strategic Director, Change & Support Services	**Actual: H/S** **Target: L/M**	Same	**H/S**	**M/S**	**L/S**	17
10	8	N/A	A F C	Risk of challenge regarding implementation of the Younger Peoples Re-Provision Programme.	Strategic Director, People Directorate	**Actual: S/S** **Target: M/S**	Same	**S/S**	**S/S**	**N/A**	18
11	9	57	A F C	Not responding fully and effectively to the issues from recent reviews concerning school governance and related matters.	Strategic Director, People Directorate	**Actual: M/H** **Target L/H**	Same	**M/H**	**S/H**	**S/H**	18
12	11	45	A P C	The loss of significant personal or other sensitive data.	Strategic Director, Major Projects	**Actual: M/H** **Target: L/H**	Same	**M/H**	**M/H**	**M/H**	20
13	25	N/A	A F C	Failure to comply with statutory timescales in relation to DoLS (Deprivation of Liberty) referrals, which could lead to legal challenge and result in financial loss to the Council	Strategic Director, People Directorate	**Actual: M/H** **Target: M/S**	N/A				21
14	10	N/A	A P C	Not responding fully and effectively to the recommendations made in the Kerslake Report and implementing the Future Council Programme (including setting a medium / long term balanced budget).	Chief Executive	**Actual: M/S** **Target: L/H**	Reduced	**M/H**	**M/H**	**M/H**	22
15	12	2	A D C	Failure to comply with all the requirements of the Equality Act 2012 and the Public Sector Equality Duty.	Strategic Director, Place Directorate	**Actual: M/S** **Target: M/S**	Same	**M/S**	**M/S**	**M/S**	23
16	13	28	A P C	a) Not planning appropriately for the on-going reduction in government grants resulting in a shortfall in resources and avoid legal challenge. b) Failure to deliver the necessary actions to implement the savings programme.	Strategic Director, Finance & Legal	**Actual: M/S** **Target: L/L (ratings relates to (a))**	Same	**M/S**	**M/S**	**M/S**	25

Corporate Risk Register Update for Audit Committee July 2016

Ranking	New Ref No.	Old Ref No.	C. O.	Short Description	Lead Director	Actual Risk rating and Target rating Likelihood / Impact July 2016	Change in residual risk	Actual risk level in previous 3 updates to Audit Committee			Page No.
				INDEX OF RISKS / ISSUES (in order of severity of risk)				March 2016	Nov 2015	July 2015	
17	14	52	A P C	Insufficient in-house IT expertise within Directorates and inadequate or ineffective corporate control of non-core IT spending.	Strategic Director, Change & Support Services	**Actual: M/S** **Target: L/S**	Same	**M/S**	**M/S**	**M/S**	26
18	15	32	A P C	Not recognising the need to divest of costly property assets in radical new solutions to reframe service delivery.	Strategic Director, Major Projects	**Actual: S/M** **Target: M/L**	Same	**S/M**	**S/M**	**S/M**	26
19	16	42	A P C	That web services to customers or work with partners may be disrupted by malicious attacks on the City Council's web based services.	Strategic Director, Change & Support Services	**Actual: S/M** **Target: L/M**	Same	**S/M**	**S/M**	**S/M**	27
20	17	55	A F C	Ineffective Corporate Risk Marker IT solution.	Strategic Director, Change & Support Services	**Actual: S/M** **Target: L/M**	Same	**S/M**	**S/M**	**S/M**	28
21	18	37	A P C	Failure to adequately evaluate the costs and benefits of different service delivery options. Failure to fully implement the decisions made to change policy and service delivery.	Strategic Director, Change & Support Services	**Actual: M/M** **Target: M/M**	Same	**M/M**	**M/M**	**S/M**	29
22	19	41	A D C	Failure to deliver the Council's localisation agenda and commitments made in the Council's improvement Plan and Leaders Policy Statement.	Strategic Director, Place Directorate	**Actual: M/M** **Target: L/M**	Same	**M/M**	**M/M**	**M/M**	30
23	20	44	A P C	Unpaid allowances / contractual overtime payments / equality of flex time agreements.	Strategic Director, Change & Support Services	**Actual: M/M** **Target: M/M**	Same	**M/M**	**M/M**	**M/M**	31
24	21	35	A P C	IT Refresh / update.	Strategic Director Change & Support Services	**Actual: L/S** **Target: M/M**	Same	**L/S**	**L/S**	**L/S**	31

Corporate Risk Register Update for Audit Committee July 2016

Ranking	New Ref No.	Old Ref No.	C. O.	Short Description	Lead Director	Actual Risk rating and Target rating Likelihood / Impact July 2016	Change in residual risk	March 2016	Nov 2015	July 2015	Page No.
						INDEX OF RISKS / ISSUES (in order of severity of risk)		Actual risk level in previous 3 updates to Audit Committee			
25	22	54	A P C	Risk of fines from HMRC for Directorates employing long–term consultants.	Strategic Director Change & Support Services	**Actual: L/S** / **Target: L/M**	Same	L/S	L/S	L/S	33
26	23	59	A P C	Risk of enforcement action and fines by the ICO for failure to comply with the 40 day timescale for responding to SARs.	Strategic Director, Major Projects	**Actual: L/M** / **Target: L/L**	Same	L/M	H/H	H/H	33

Corporate Risk Register Update for Audit Committee July 2016

New No.	Original No.	Description - risk / issue	Current level of risk L/I	Current actions / Comments	Long term aim for the risk - including actions, timescales and target risk rating	Overview & Scrutiny (O&S)Review / Work & Internal Audit (IA) Work
1	1c	Failure to successfully defend and / or settle post 2008 equal pay claims. Lead: Strategic Director, Finance & Legal Owner: Kate Charlton	High / High	**Lead Director comment** A significant number of claims have been issued. A proportion of these have already been settled or are in the process of settlement. A growing proportion are now progressing through the tribunal and civil court process. No win / no fee solicitors are still canvassing for claimants. The validity of claims is constantly challenged by Legal Services. Each claim is subject to robust legal challenge. Settlement of claims is subject to financial provision and establishing validity of claims.	**Target risk rating:** Significant / High **Anticipated date of attainment of the target risk rating:** March 2018. **Source(s) of assurance regarding progress with mitigating the risk:** Management assurance - regular separate reporting to Corporate Governance Group, EMCB and the Audit Committee. External & internal audit review.	O&S - The subject of equal pay claims has been discussed at meetings of the Corporate Resources O&S Committee and former Governance, Resources and Customer Services, but only in general terms during items relating to the Council's budget and Annual Audit Letter. IA - Payroll review work undertaken annually.
2	23 & 61	Not responding fully and effectively to the improvement agenda for Children - Failure to improve children's safeguarding and children's social care. Lead: Strategic Director, People Directorate Owner: Alastair Gibbons	High / High	**Lead Director comment** Lord Warner concluded his work at the end of May 2015. A 2-year refreshed improvement plan has been agreed by Cabinet and includes practice improvement, recruitment and retention, commissioning and partnership working. It reflects a new vision and purpose for Children's Services and focuses on how we will support workers to deliver more direct social work with families, to bring about positive change for children. The DfE have agreed that Essex will be our improvement partner and a plan of activities has been agreed. The first phase of the Essex work involved a diagnostic self-assessment of Assessment Teams & Safeguarding Teams leading to plans for improvement. This has been completed and lessons incorporated. The Chief Social Worker has been appointed, and with Principal Social Workers for each of the areas and MASH, is reviewing and driving practice improvement underpinned by a new practice evaluation system.	**Target risk rating:** Medium / High **Anticipated date of attainment of the target risk rating:** April 2017. **Source(s) of assurance regarding progress with mitigating the risk:** Management assurance, Peer review, Ofsted visits, Scrutiny Committee monitoring, and Children's Commissioner fortnightly. Quartet Board Meetings (Children's Improvement Programme Board); Essex improvement support. The refreshed improvement plan, with the necessary investment is being delivered. There is still much to do, (for example, about the capacity of HR corporate resources, a credible recruitment and retention strategy) to ensure the quality of practice and its timeliness. A proposed new model for the LSCB is being discussed with partners and a new chair has been appointed to the	O&S - Education & Vulnerable Children O&S Committee: • Completed the Scrutiny Inquiry: Children Missing from Home and Care (presented to Council in Jan 2016). Also discussed children missing from education and the safeguarding issues at the Jan 2016 meeting. • Discussed the Children's Social Care and Safeguarding Improvement Plan at the June 2015 meeting. Members had an informal meeting in October 2015 to discuss the

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				We set out a new model for Children's Services in August 2015 and this has been implemented. We are improving our systems and processes including making our early help / MASH front door more accessible and responsive, and we are developing our support for vulnerable young people at risk with the Police and independent sector. The Children's Service is now fully staffed. A new Commissioner for Children's Care has been appointed. He is working with the Council to oversee continued implementation of the improvement plan, already agreed with the DfE. There is now greater clarity on resources and priorities going forward, including a sustainable 4 year financial plan, as part of the Future Council. BCC will be inspected by Ofsted between now and early Autumn, and while the service overall has improved, this risk rating should remain in place until post inspection. Improvement priorities until April 2017; with necessary investment are in place and are being delivered. The Council has announced its intention to explore and develop a Trust Model for Children's Services.	LSCB. Cabinet approval has been given to the replacement of the CareFirst case system so that practitioners are freed up to undertake direct social work practice.	improvement plan in more detail. • Held meetings with the Exec Director for Children's Services, Chief Social Worker, adoption and fostering team and visits to 2 children's homes. IA Reviews 2014/15: Corporate Parenting, MASH, Section 11 Safeguarding Return, Excluded Pupils, Child Protection Plans, Quality of Children in Need Plans and CareFirst IT. IA Reviews 2015/16: Integrated Support Plans, S175 Safeguarding Return, Personal Education Plans, Strategy for Supporting Carers, Effective Home Education, Safeguarding Disclosure & Barring Checks and Multi Agency Safeguarding Hub. IA Reviews 2016/17: Child Protection Case Conference - Engagement, Dealing with Excluded Pupils and Children Missing From Education.

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26	N/A	Failure to comply with all of the requirements of the Counter Terrorism and Security Act (2015) and the Prevent Duty. Lead: Strategic Director, Place Directorate Owner: Mashuq Ally New risk.	High / High	**Lead Director comment** The threat and vulnerability risk assessment of a terrorist attack in the UK places Birmingham as the most vulnerable city after London. In 2015 the Council and partners reviewed its infrastructure around this risk to take into account the Counter-Terrorism and Security Act 2015, that includes a duty on certain bodies ('specified authorities' listed in Schedule 6 to the Act), in the exercise of their functions to have 'due regard to the need to prevent people from being drawn into terrorism'. The duty does not confer new functions on any specified authority. The term due regard' means that the authorities should place an appropriate amount of weight on the need to prevent people being drawn into terrorism when they consider all the other factors relevant to how they carry out their usual functions. The Prevent Strategy of 2011 is part of the overall counter-terrorism strategy, CONTEST. The aim of the Prevent Strategy is to reduce the threat to the UK from terrorism by stopping people become terrorists or supporting terrorism. The Strategy has three specific strategic objectives: • Respond to the ideological challenge of terrorism and the threat we face from those who promote it; • Prevent people from being drawn into terrorism and ensure that they are given appropriate advice and support; and • Work with sectors and institutions where there are risks of radicalisation that we need to address. The Council has applied a partnership and mainstreaming approach to mitigate the risks associated with the threat.	**Target risk rating**: Medium / Significant **Anticipated date of review/attainment of the target risk rating**: October 2016. **Source(s) of assurance regarding progress with mitigating the risk**: Delivery continues to be monitored by the CONTEST Board Chaired by the Deputy Leader. Prevent Delivery Plan in place driven by Counter Terrorism Local Profile (CTLP), monitored by the Prevent Executive Board, chaired by the Chief Executive. Consultations undertaken with elected members, District Chairs and communities. 14,000 front line staff have undertaken Workshop to Raise Awareness of Prevent (WRAP) training. WRAP training undertaken in schools and support provided to schools around Prevent. Prevent is embedded within MASH arrangements and within the Right Services, Right Time safeguarding procedures. CHANNEL is in place as a multi-agency pre-criminal space platform to support vulnerable people; chaired by Assistant Director for Equalities, Community Safety & Cohesion. Community initiatives in place commissioned by the Home Officer to provide community solutions. BCC Resilience Team led on the Prepare and Protect strand of the counter-terrorism strategy.	O&S - Mashuq Ally, AD for Equalities, Community Safety and Cohesion, attended the October Neighbourhood and Community Services OSC, to report to the committee and answer questions from Members on the Prevent programme. IA Review 2016/17: Work being undertaken during quarters 1&2.

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4	1a	Failure to successfully defend and / or settle pre 2008 equal pay claims. Lead: Strategic Director, Finance & Legal Owner: Kate Charlton	Significant / High	**Lead Director comment** In 2010, the Tribunal determined that the Council had no defence to pre 2008 equal pay claims (Barker v Birmingham City Council). C12,000 early claims without the involvement of solicitors have been settled including a further cohort as part of settlement agreements reached in 2011 and 2013. Claims issued since January 2015 are now out of time and are not valid claims. The Council is succeeding in striking out these out of time claims. The validity of claims is constantly challenged by Legal Services. Each claim before any offer to settle is made is subject to robust legal challenge. Any offer of settlement is subject to available financial resources.	**Target risk rating:** Low / High **Anticipated date of attainment of the target risk rating:** March 2018. **Source(s) of assurance regarding progress with mitigating the risk:** Management assurance - reporting to Corporate Governance Group, Audit Committee, external & internal audit review.	See risk 1 above.
5	1b	Risk of further equal pay claims. Lead: Strategic Director, Finance & Legal Owner: Kate Charlton	Significant / High	**Lead Director comment** Claimant solicitors are continually 'fishing' for further equal pay liability by issuing further equal pay claims in addition to those referred to in risks 01and 04. The validity of these type of claims is, and will be subject to robust legal challenge. At the moment, there is no determination as to liability or attainment as to target risk due to the nature of the challenge.	**Target risk rating:** Medium / High **Anticipated date of attainment of the target risk rating:** Not known at current date. **Source(s) of assurance regarding progress with mitigating the risk:** Management assurance - reporting to Corporate Governance Group, Audit Committee, external & internal audit review. With a view to preventing discriminatory working practices, robust review processes and checks and balances have been put in place to mitigate against / prevent further liability post 2011; where evidence of potential risk(s) is known / identified.	See risk 1 above.

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24	N/A	Risk that the need to address the updated Pensions Deficit will result in an increase in employer contributions. Lead: Lead: Strategic Director, Finance & Legal Owner: Steve Powell New risk.	Significant / High	**Lead Director comment** The assessment of any pension fund deficit is updated every 3 years. The position as at 31.3.16 will affect employer contribution rates from 2017/18 onwards. The Council has been proactive in working with other councils (particularly through a sub-group of Finance Directors) and in utilising advisors to provide independent advice and expertise. Regular meetings have been held with the Pension Fund (WMPF) and will continue to ensure that there is a shared understanding of the issues facing both parties. As a result, we expect to be in a position to influence the assessment of the deficit and to negotiate an appropriate recovery period. We expect to receive early information, which will be taken into account in the update of the Council's medium-term financial plan for the period from 2017/18 onwards.	**Target risk rating**: Medium / Medium **Anticipated date of review/attainment of the target risk rating**: December 2016. **Source(s) of assurance regarding progress with mitigating the risk:** • Regular updates to WM Finance Directors. • Sub-group continuing to liaise with advisors and WMPF. • Reporting to Leaders.	O&S - None. IA - None.
3	14b & 50	Failure to identify alternative funding stream for school PFI contracts revenue pressure, impacting on availability of maintenance funding for essential management of the LA schools estate. Lead: Strategic Director, Finance & Legal Owner: Mike Jones Risk reduced.	High / Significant	**Lead Director comment** Major review of PFI contract management arrangements underway following Local Partnerships pilot project. External consultants are engaged and a Lead Officer allocated to fully explore all opportunities to reduce PFI costs. Proposals are being brought forward and while the project more than pays for itself, there are limited opportunities to impact on the major £6m annual affordability gap. The savings proposal, being implemented to meet the current PFI affordability gap from within the funds available to invest in the maintenance of the estate, has not yet impacted on the funding available for emergency repairs. However, there are	**Target risk rating**: Medium / Significant **Anticipated date of review/attainment of the target risk rating**: September 2017. **Source(s) of assurance regarding progress with mitigating the risk:** Management reporting to Strategic Director Finance & Legal on PFI savings. Oversight and monitoring of temporary school closures due to asset failure. A report was submitted to the March Audit Committee meeting outlining some of the initiatives being pursued to reduce the gap and it was	O&S - None. IA Review 2015/16: Final Planning Permission Breach - Longmoor Special School.

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				significant risks of funding shortfall into 2017/18, due to the diminishing annual maintenance grant funds available, particularly as more schools convert to academy status. The current risk rating relates to the PFI affordability gap and subsequent impact on availability of funding to address backlog maintenance across the schools' estate. The opportunities to reduce the PFI costs are limited, and this therefore remains a high risk in terms of management of the education infrastructure and potential impact of asset failure. There is a very substantial Schools Capital Programme in delivery that includes basic need and planned maintenance programmes, with further emergency maintenance projects emerging regularly. Mitigations include: • Schools capital maintenance programme is successfully levering school spend on essential repairs and maintenance through a dual funding strategy. • Dedicated resource is focusing on maximum savings against current PFI contracts although opportunities are limited. • Lean review of Acivico has potential to reduce overheads associated with planned maintenance programme, releasing those funds for investment into the schools stock. • Options for alternative revenue funding stream for the PFI affordability gap are being explored.	anticipated that Cabinet would receive a report at its June meeting seeking agreement to accept the outcomes of recent benchmarking exercises and an arrangement to remove lifecycle obligations from a BSF Design and Build School i.e. Broadway Academy. However, due to delays in the receipt of information from the respective PFI and FM companies it has not been possible to complete the report in time for either the June or July Cabinet meeting. A final offer on benchmarking has been communicated verbally, but until written confirmation has been received the report cannot be concluded	

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6	46	Failure to obtain the full extent of Core Investment Period deliverables in accordance with the business case for the Highway Maintenance and Management PFI contract. Lead: Strategic Director, Economy Owner: Paul O'Day	High / Significant	**Lead Director comment** The Council has sought to resolve the issue informally but this was not possible. The Council referred this matter for adjudication under the contractual Dispute Resolution procedure, the outcome of which was advised favourably to the Council's case in July 2015. The outcome was referred to court by the Service Provide, and the trial took place in February 2016.	**Target risk rating:** Low / Significant **Anticipated date of attainment of the target risk rating:** The judgement following the trial is presently awaited. **Source(s) of assurance regarding progress with mitigating the risk:** External legal advice and representation has been engaged.	O&S - The chair of the Corporate Resources O&S Committee, together with the two opposition leads, received an informal briefing from Highways officers in September 2015 regarding the Amey Contract.
7	30	Lack of capacity and capability to respond to threat of industrial action, employee relations tensions, poor service, performance issues, sickness absence levels and poor morale due to organisational downsizing and pay freezes. Lead: Strategic Director, Change & Support Services Owner: Dawn Hewins	High / Significant	**Lead Director comment** The budget proposals for 16/17 and 17/18 include making savings of circa £30m from workforce costs. In addition there will be continuing headcount reductions of over 1,000. We are also reviewing our organisational operating model, organisational structure and the roles & responsibilities of employees. This is a significant and challenging change agenda that will have an impact on the Council's workforce, including support staff in the 170 schools within the City still under the employment of the Council. In this context the likelihood of some form of industrial action is probable. There are business continuity plans in place in readiness for industrial action and they have been effective in reducing the impact of action on service users. Particular areas of risk such as Fleet and Waste management have well progressed contingency plans. A workforce planning framework is in place for 2016/17 and its effectiveness will be reviewed during the year.	**Target risk rating:** Low / Medium **Anticipated date of attainment of the target risk rating:** Ongoing. **Source(s) of assurance regarding progress with mitigating the risk:** The Council's workforce strategy is currently in development. This includes; strategic workforce planning aligned to scale and impact of proposed change, robust management of organisational redesign to foresee and manage risks around workload volumes, development and retention of core skills, specialist knowledge, morale and staff engagement. There is a focussed plan to ensure employees have an opportunity to shape and influence proposals and increase understanding as to why these measures are necessary, with extensive engagement sessions taking place across the City Council in various locations. Any delay in decision making could have an effect on implementation. HR teams working with each Directorate on contingency plans.	O&S - The Corporate Resources O&S Committee received an update from the Deputy Leader and senior HR officers at its October 2015 committee meeting. IA Reviews 2015/16: Hardship Grants, Managing Absence, and review of managing absence arrangements in Place Directorate.

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8	N/A	Risk of challenge regarding implementation of the Younger Peoples Re-Provision Programme. Lead: Strategic Director, People Directorate Owner: Alan Lotinga	Significant / Significant	**Lead Director comment** The Younger Peoples Re-Provision programme is focused on maximising people's independence and moving them to less restrictive accommodation, which has encountered opposition from carers who do not want people to move. There has also been opposition from providers. Legal Services involved in high risk cases. Proposed new team to script and roll out the offer - job descriptions have been written and JQ'd adverts placed in January. Responses to the 'new team' adverts were poor. As a consequence, concentration has shifted to Senior Management capacity and the detail around 'Maximising Independence for Adults' - the transformational plan for adults taking us to 2020. Recruitment for senior capacity is taking place and the Transformational Plan looks at the Adult Services across the board. Detailed work has taken place re-profiling the target and working with a consultancy Group (Impower). The three year target has been revisited and the remaining 28 million profiled over a five year period in line with Future Council proposals and the Adult Transformation programme. If Future Council proposals proceed then PEPSG will be reviewed.	**Target risk rating:** Medium / Significant **Anticipated date of attainment of the target risk rating:** Ongoing - review end of September 2016. **Source(s) of assurance regarding progress with mitigating the risk:** The Care & Housing Allocation Panel is in operation, and receives all information regarding placement moves. Commissioning are contributing and discussion is taking place regarding the market. The appointment of a Lead Officer, Commissioning has helped. The Personalisation, Empowerment & Placement Strategic Group (PEPSG) has been formed, which has been informed by a 'peer review' led by the Director of Public Health. The work-streams are reporting into PEPSG and Councillor Hamilton now attends on a regular basis. PEPSG and CHAPS (referred to above) will be reviewed in line with the Maximising Independence for Adults Programme Board, as will the targets and will lead to new arrangements.	O&S - None. IA Review 2015/16: Young Adults Re-provisioning. IA Review 2016/17: Independent Living F/Up.
9	57	Failure to respond fully and effectively to the issues from recent reviews concerning school governance and related matters. Lead: Strategic Director, People Directorate Owner: Colin Diamond	Medium / High	**Lead Director comment** Sir Mike Tomlinson was appointed as Commissioner to oversee a programme of improvement and his time in Birmingham has been extended to July 2016. Improvement is being driven by the Leader, Cabinet Member, Chief Executive and Strategic Director. The City Council and DfE agreed to the appointment of Colin Diamond, Deputy Commissioner, to the interim post of Executive Director Education, from April 2015.	**Target risk rating:** Low / High **Anticipated date of attainment of the target risk rating:** September 2016. **Source(s) of assurance regarding progress with mitigating the risk:** Management assurance obtained through the usual systems, and checked by the Cabinet Member. There will also be verification through key channels - the Unions, meetings with Heads and Governors etc.	O&S - School governance with regard to safeguarding issues was discussed at the June 2015 meeting of the Education & Vulnerable Children O&S Committee and the informal meeting held in October 2015. Members have been involved in the LGA Peer Review. The Peer Review

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				The Education and Schools Strategy Improvement Plan agreed in December 2014 builds on a number of pieces of work including the Clarke and Kershaw reports triggered by Trojan Horse, along with transformation already underway in SEND and Education Services. Progress has been made on a number of issues (for example: a revised recruitment process for LA governors; guidance to schools on the Nolan principles of good governance; improved take up of safeguarding training; a new whistleblowing policy implemented from January 2015; improved communications). The Council commissioned Birmingham Education Partnership to deliver school improvement support and challenge functions from September 2015. An Education Improvement Group comprising BCC, DfE, Regional Schools Commissioner and Ofsted meets monthly to share information on schools causing concern. Systematic school surveys are in place to inform the work of the local authority. Work on civic leadership and community cohesion is being developed given the need to tackle the causal factors underlying Trojan Horse and has been included in the plan as Theme 12. This will complement the city leadership approach to be established in the light of the Kerslake review. A week long peer review, by the LGA in November 2015, confirmed evidence of progress, particularly on safeguarding & governance, and improved relationships with schools but with more to do. By the end of March 2016, the existing plan progress was 94% overall. A new Education Improvement Plan has been drafted for 2016. This covers the next phase of improvement. An operating model for the LA's education function is also being designed and consulted upon.	Oversight of the Action Plan and checks on implementation. Monitor Key Indicators - for example, the extent to which Head Teachers feel complaints / concerns are identified and responded to. Assurance via the Commissioner is an external check.	Findings were due to be discussed at the February 2016 committee meeting. Governance and related matters were also picked up in the previous Scrutiny Inquiry on Child Sexual Exploitation (presented to Council in December 2014) and the recommendations are currently being tracked. IA Reviews 2014/15: Saltley School Visit. School Improvement Strategy. IA Reviews 2015/16: School Governance 2015, numerous school visits and Schools Unannounced Cash Counts. IA Reviews 2016/17: Numerous school visits.

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				An Ofsted inspection of the LA's School Improvement function is imminent and this will provide evidence of improvement and outstanding work.		
11	45	That the loss of significant personal or other sensitive data may put the City Council in breach of its statutory responsibilities and incur a fine of up to £500,000 from the Information Commissioner. Lead: Strategic Directorate, Major Projects Owner: Malkiat Thiarai	Medium / High	**Lead Director comment** Current controls based on encryption of data on mobile devices or copied to removable media; and programme of staff education and training. Breach management processes have been established with clear lines of responsibility to the Senior Information Risk Owner, and the Monitoring Officer. Known data breaches are discussed at the Breach Management Panel and reports and recommendations are presented to the Monitoring Officer for consideration to notify the Information Commissioner's Office.	**Target risk rating:** Low / High **Anticipated date of attainment of the target risk rating:** August 2016. **Source(s) of assurance regarding progress with mitigating the risk:** Management assurance via reports to Breach Management Panel. The annual Breach Management report has been prepared and was presented to the IAB in May 2016. The report shows a reduction in the number of breaches reported from the previous year. Further controls on assuring that suppliers and partners impose similar controls on Council data in their possession. The deployment of the new secure email solution, Egress, is expected to be completed in July / August 2016. New IG training modules - the content of the modules is completed, but, a technical problem with the reporting system within People Solutions has meant a delay in rollout. It is anticipated that this will now begin in July 2016.	O&S - None. IA Reviews 2014/15: Third Party Service Provision, Review on SARs, MASH, Family Support - Data Quality, Children's Services - Data Security Breach and IT Standards. IA Reviews 2015/16: Caldicott Guardian, Information Governance - Data Classification, Third Party Information Security, Data Sharing Review, Sophos Local Self Help, and Information Governance - Fostering & Adoption. IA Review 2016/17: Sophos Post Implementation Review.

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25	N/A	Failure to comply with statutory timescales in relation to DoLS (Deprivation of Liberty) referrals, which could lead to legal challenge and result in financial loss to the Council. Lead: Lead: Strategic Director, People Directorate Owner: Alan Lotinga New risk.	Medium / High	**Lead Director comment** An expanded Best Interest Assessor (BIA) Team of 25, with a full time Manager and full time Authoriser are now in place, and 16 agency workers hired to address the backlog of referrals as an interim measure, whilst procurement of an external service is finalised. All referrals are triaged and urgent cases prioritised, using DoH Criteria. November and December 2015 performance reports demonstrated for the first time since March 2014 reductions in the number of outstanding assessments resulting in a huge increase in the number of cases authorised (197 in December 2015 compared to 40 in January 2015). The pool of BIAs in Adult Teams who can also undertake DoLS assessments continues to grow, as planned. A new cohort of 6 staff is commencing the next university course, and a short course for lapsed BIAs is also being arranged. The Intelligence, Strategy and Prioritisation (ISP) Team have been asked if they can report monthly on the % of DoH prioritised cases which are authorised within 21 days, so the effectiveness of the measures to address the risk can be better understood.	**Target risk rating**: Medium / Significant **Anticipated date of review/attainment of the target risk rating:** March 2017. **Source(s) of assurance regarding progress with mitigating the risk:** Management assurance from the Assessment & Support Planning Division. Established business processes and staff training to respond to Community DoLS. Exploring option of outsourcing part of back log of assessments.	O&S - None. IA Review 2015/16: Deprivation of Liberty.

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10	N/A	Not responding fully and effectively to the recommendations made in the Kerslake Report and implementing the Future Council Programme (including setting a medium / long term balanced budget). Lead: Chief Executive Owner: Angela Probert / Steve Powell Risk reduced.	Medium / Significant	**Lead Director comment** The following key activities have been undertaken: Implementation of the Future Council Programme (of which Kerslake is an important sub-set): • Each of the sub programmes has a project plan, risk register and functioning governance arrangements in the form of a sub programme board. Existing sub programmes relating to One Team, Outward Looking Partnerships, Local Leadership and Operating Model are being closed; with activity, risks and outstanding issues being formally returned to business as usual in May /June 2016. • Risks and issues are being debated / mitigated at each sub programme level, and escalated to the CLT Performance Board if mitigation is not possible at that level. • The Future Council Programme budget has been identified and is being supplemented with funding from the Department for Communities and Local Government. This means that funding is secure for at least the next two years, and additional capacity can be sought to strengthen our work and ensure that implementation is swifter. • The business plan / budget 2016+ has been approved. • The budget includes reserves to support the implementation of the budget. Financial support is being provided for a number of the large budget programmes, such as Health and Social Care Integration, Adults Transformation, Reduce, Reuse Recycle etc.	**Target risk rating:** Low / High **Anticipated date of attainment of the target risk rating:** Ongoing - review April 2017. **Source(s) of assurance regarding progress with mitigating the risk:** Planned activities to further mitigate this risk: • There will be a report to the Birmingham Independent Improvement Panel in autumn 2016. • There will be close monitoring of the delivery of the Business Plan and Budget (including reports through directorate management teams to the CLT Performance Board, as well as to Cabinet), with a particular focus on effective project management and the resolution of delivery difficulties and, if necessary, the adoption of appropriate mitigation strategies. • That the organisation delivers the business plan and budget 2016 +.	O&S - A Future Council Working Group was set up in July 2015 to facilitate cross-party overview of, and engagement with, the FC Programme. The group includes the five O&S chairs. The Corporate Resources O&S Committee and Neighbourhood & Community Services O&S Committee completed work on reviewing governance arrangements at district level, including the Neighbourhood Challenge. The Corporate Resources O&S Committee received an update on the FC Programme at its September 2015 meeting. The former Governance, Resources and Customer Services O&S Committee continue to oversee the development of the programme and this was discussed at its April 2015 meeting. There is a Member Development Prog in place and the Corporate Resources O&S Committee received an update on the

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				• The Kerslake actions are a sub set of the programme and delivery is being monitored on a monthly basis. Monitoring of the Kerslake actions demonstrates significant delivery. As well as being monitored internally, the report was shared with the Birmingham Independent Improvement Panel every month. For the small number of Kerslake actions that are not on track, effort is being made to mitigate that and progress change at pace. In May 2016 there were 105 Kerslake actions delivered out of 134. The ones that are still outstanding generally relate to partnership working, East Birmingham and the development of a council-wide operating model. • A Gap report was provided for the Birmingham Independent Improvement Panel and the Council is implementing activity to close the gaps highlighted. • The Birmingham Independent Improvement Panel will return in the autumn for their next assessment. • The Future Council Programme Board has been subsumed into the monthly CLT Performance Board		work completed to date at its July 2015 meeting. A further update will be brought to that committee. IA Review 2015/16: Customer Service Contract Centre Dashboard.
12	2	Failure to comply with all of the requirements of the Equality Act (2010) and the Public Sector Equality Duty. Lead: Strategic Director, Place Directorate Owner: Mashuq Ally	Medium / Significant	**Lead Director comment** Legal challenge can delay implementation of change and significantly delay or reduce the planned savings to be achieved this may also have a detrimental impact on other services. It is important therefore, that Equality Assessments (EAs) are carried out robustly across BCC regarding all initiatives and service delivery changes. The responsibility for ensuring that EAs for all major policy / budget changes lies with the Directorates. Legal Services are advising on high risk EAs. Following consultation with Legal Services and Directorate Equality Leads, the Equality Analysis Toolkit was developed to improve the guidance information to staff. If followed, this	**Target risk rating:** Medium / Significant **Anticipated date of attainment of the target risk rating:** Attained. **Source(s) of assurance regarding progress with mitigating the risk:** • Corporate Governance is in place to manage this risk effectively and close monitoring by ECS&CS and Legal Services will continue in order to address any issues which may arise. • Corporate Consultation undertaken on savings proposals. • Unique EA reference will be tracked and	O&S - None. IA Reviews 2014/15: Corporate Review, other work at request of Mashuq Ally re ethnicity monitoring. IA Review 2016/17: Audit planned to review divisional management arrangements, including review of management of the corporate risk.

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New No.	Original No.	Description - risk / issue	Current level of risk L/I	Current actions / Comments	Long term aim for the risk - including actions, timescales and target risk rating	Overview & Scrutiny (O&S)Review / Work & Internal Audit (IA) Work
				guidance should help improve the content and standard of EAs submitted for approval. The Equality Analysis Toolkit is available to Directorates to undertake EAs for all new Policies and Procedures. Advice and support on completion of the EA is provided from the Equalities, Community Safety and Cohesion Service (ECS&CS) and Legal Services. Guidance on undertaking consultation has been updated and is available on Inline and this is now aligned with the EA process. Over 700 staff ranging from GR5 through to JNC have been trained on the EA Toolkit and on undertaking an EA. Corporate consultation and EAs have been undertaken on all relevant corporate savings. Directorates will continue to undertake consultation and EAs for individual initiatives where appropriate. This process is overseen by the Directorate Equality Champions. Directorate DMTs will monitor progress on the EAs alongside other performance related issues which are then reported to the CLT Performance Board. A robust approach exists for savings proposals. Corporate Consultation, EAs and all associated consultation are aligned, with emphasis on feedback from the protected groups. All EAs and consultation are tracked corporately. A cross directorate steering group chaired by the Service Lead for Equalities, Community Safety and Cohesion has been tasked to oversee compliance to this agenda. The Service Lead for Equalities, Community Safety and Cohesion provides regular update on progress with the EAs to the Corporate Governance Team.	reported against individual Corporate Savings Proposals. • Corporate Steering Group to oversee compliance. • Initial RAG assessment of savings proposals to be undertaken. • Legal advice sought on high risk initiatives. • Process of Legal sign off on Cabinet Reports. Management assurance. In addition to current guidance and information, the development and use of the online Equality Analysis Toolkit will help mitigate against managers undertaking inadequate EAs. The toolkit provides a step by step process and on line guidance to completing an EA and developing an action plan. The online toolkit provides an overview of all EAs undertaken on the system. Project managers are encouraged to take legal advice on high risk initiatives.	

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13	28	a) Not planning appropriately for the on-going reduction in government grants resulting in a shortfall in resources, including taking the necessary actions to avoid legal challenge. b) Failure to deliver the necessary actions to implement the savings programme. Lead: Lead: Strategic Director, Finance & Legal Owner: Steve Powell Risk reworded	Medium / Significant Significant / High	**Lead Director comment** Projections of resources are updated on a regular basis in the light of announcements made by the Government. This is assisted by liaison with the DCLG, LGA, IFS and other authorities to ensure that up-to-date intelligence is used. Councils now have the opportunity to benefit from multi-year settlement figures published by DCLG, giving much greater certainty on the future financial position. The Council's Long-Term Financial Plan, approved at the City Council meeting on 1 March 2016, set out a financial strategy for delivering a balanced budget over a ten-year period, linked to the Council's strategic priorities. This included a significant level of contingency funding as a mitigation against delivery difficulties. The Council's business planning process includes appropriate assessments of the equalities impacts of new proposals, and arrangements for the necessary consultation processes. Regular advice is provided by Legal Services and Equalities officers in this regard. The monitoring of the revenue budget, including the savings programme, will be reported monthly via directorate management teams to the CLT Performance Board. This has a multi-year perspective. There will be a particular focus on problem resolution and the identification of appropriate mitigating actions where necessary. This is a new, enhanced process, being implemented in 2016/17 to complement the continuation of the reporting to Cabinet. Resources have been identified to provide additional capacity / expertise to facilitate the implementation of the savings programme and the associated organisational change. The Council's on-going financial position is updated on a regular basis, and is linked to the monitoring process.	**Target risk ratings:** a) Low / Low b) Medium / High **Anticipated date of attainment of the target risk rating:** On-going. **Source(s) of assurance regarding progress with mitigating the risk:** Management assurance as detailed in Lead Director comments also an Internal Audit review.	O&S - The subject of reduction in government grants has arisen in general terms at the Corporate Resources O&S Committee in discussions with the Leader and Deputy Leader regarding the budget. There will be a report to the Corporate Resources O&S Committee in the Autumn to provide an update on the in-year monitoring position. IA Reviews 2014/15: FCRs, Accounting for VAT and Fixed Assets - several areas. IA Review 2015/16: Management and monitoring arrangements for delivery of the Council Savings Plan. IA Review 2016/17: Savings Plan - Progress.

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New No.	Original No.	Description - risk / issue	Current level of risk L/I	Current actions / Comments	Long term aim for the risk - including actions, timescales and target risk rating	Overview & Scrutiny (O&S)Review / Work & Internal Audit (IA) Work
14	52	Inadequate or ineffective corporate control of non-core IT spend as a result of insufficient in-house IT expertise within Directorates to ensure software / systems changes are adequately specified, that their implementation is adequately managed and that changes are adequately coordinated across the organisation to maximise the benefit to the Council. Lead: Strategic Director, Change & Support Services Owner: Nigel Kletz	Medium / Significant	**Lead Director comment** The review of Service Birmingham (SB) has emphasised that SB has an expert role and a duty to BCC to fulfil this role. This includes ensuring BCC make the right choices of software / systems and avoiding duplication of spending. The Council has in place governance to approve project spend to ensure that it aligns with key design principles however the emergence of the new ICT & D Strategy will change and improve how this governance and control currently works. In addition: • A seven year plan for changes to the management and governance of ICT is in place (subject to review and consultation) supported by the appointed critical friend when required. • The ICT &D Strategy is led by the interim Enterprise Architect appointed to support the Councils FCP. • Three posts to support the ICF and the ICT &D Strategy have been advertised and will provide some additional resource whilst the final FOM is being developed.	**Target risk rating:** Low / Significant **Anticipated date of attainment of the target risk rating:** November 2016. **Source(s) of assurance regarding progress with mitigating the risk:** Governance structure in place and planned actions.	O&S - Completed the Scrutiny Inquiry 'Refreshing the Partnership: Service Birmingham' (presented to Council in June 2015). A progress report on implementation of the recommendations was considered at the April 2016 meeting of the Corporate Resources O&S Committee. IA Review 2015/16: IT Project Governance. IA Review 2016/17: IT Project Governance F/Up.
15	32	Risk of not recognising the need to divest of costly property assets in radical new solutions to reframe service delivery; driving out property for disposal, but beyond capital receipt generation, ultimately solutions should deliver radical reductions in future revenue operating costs. Lead: Strategic Director, Major Projects Owner: Peter Jones	Significant / Medium	**Lead Director comment** Risk mitigated by: • The Future Council Programme and proposals put out to public consultation, have the potential to drive commitment to property rationalisation, as part of the contributions to future years cost reductions. • To assist with property rationalisation alongside future service planning and development programmes, a Property Services Business Partner role has been established with the Place Directorate. • The Corporate Landlord Service has cleared, decommissioned and sold Tamebridge House. Accommodation changes across Directorates are being dealt with including freeing up space to accommodate	**Target risk rating:** Medium / Low **Anticipated date of attainment of the target risk rating:** April 2017. **Source(s) of assurance regarding progress with mitigating the risk:** Management assurance as detailed in Lead Director comment.	O&S -None. IA Review 2014/15: Corporate review of management of Asset Strategy.

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New No.	Original No.	Description - risk / issue	Current level of risk L/I	Current actions / Comments	Long term aim for the risk - including actions, timescales and target risk rating	Overview & Scrutiny (O&S)Review / Work & Internal Audit (IA) Work
				the Call Centre, and Service Birmingham staff have been relocated from B1. Further 're-stacking' is underway to assist occupants improve their working practices and utilisation of the office space available. • Continued development of the corporate property database (Techforge) - information and systems development continues to progress as planned and the additional functionality is being applied in the management of repairs and maintenance costs, etc. • The 'Smarter Working' project is intended to increase agility and bring further organisation and management culture change across the Council. A key outcome will potentially be further rationalisation of the Central Administration Buildings portfolio.		
16	42	That web services to customers or work with partners may be disrupted by malicious attacks on the City Council's web based services. Lead: Strategic Director, Change & Support Services Owner: Nigel Kletz	Significant / Medium	**Lead Director comment** Service Birmingham on behalf of the Council: • Have updated the Councils firewalls and introduced Intrusion Prevention Services (IPS) as part of the firewall implementation. This means that the firewalls are receiving regular updates from the supplier to detect new and evolving types of security attack. The firewalls detect and defeat many thousands of attacks every day. • Have implemented a cloud based Distributed Denial of Service (DDoS) system that defends four of the Council's main websites from high volume attacks where hackers are trying to flood the Council's websites with requests for service. This service regularly defends the Councils web sites from attackers. • Continuously scan the information security landscape with partners to detect upcoming and new vulnerabilities which could be exploited by potential hackers. • Have implemented the PSN walled garden which has enhanced the security of all users accessing web based government systems. PSN services have been remodelled and are currently being monitored to ensure	**Target risk rating:** Low / Medium **Anticipated date of attainment of the target risk rating:** Ongoing - this risk can only ever be mitigated, and never fully closed due to the nature of hacking etc. **Source(s) of assurance regarding progress with mitigating the risk:** • The Council are now transmitting sensitive data securely through the PSN secure infrastructure together with the improvements / enhancements made to the firewalls. • BCC is in the process of resubmitting its PSN application. The initial application has led to a changed interpretation by the PSNA of the Independent Health Checks findings. As a result some risks are now deemed higher and SB and BCC are taking actions to remove these risks (associated with certain severs). • Service Birmingham, on behalf of the Council, are constantly monitoring the information security landscape with solution providers to	O&S - Referenced in the Scrutiny Inquiry 'Refreshing the Partnership: Service Birmingham' (presented to Council in June 2015). IA Reviews 2014/15: Cyber Risk & Firewalls. IA Review 2015/16: Web Page Security.

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				secure transmission. The management of cyber risks within BCC will form part of the security strategy and responsibilities clearly defined. The ICF will ensure that the cyber risk investment strategy is aligned to, and supports strategic priorities. There is improved reporting of cyber risks and security incidents which will be presented to the Corporate Information Security Group bi-monthly. This will ensure BCC are fully aware of potential regulatory & legal exposures and can assess the implications for future investment decisions. The Annual Security statement has been delayed awaiting results of the 2016/17 PSN submission. The annual health check has been carried out and the result are being analysed by SB and BCC, overall the ICT security environment has improved. The health check identified some areas that need resolution. Where these are reliant on BCC decision, application owners were contacted w/c 18/01/ 2016, and appropriate application security controls have been put in place to mitigate against highlighted risks.	detect upcoming and new vulnerabilities which could be exploited by potential hackers. • Given the nature of this risk these activities are now being kept under constant review.	
17	55	Ineffective Corporate Risk Marker IT solution. Lead: Strategic Director, Change & Support Services Owner: Chris Gibbs	Significant / Medium	**Lead Director comment** The Corporate Risk Marker solution in SAP CRM system is defective and the data harmonisation to service areas is not working as specified, Whilst a more long term solution is investigated as part of the updating of the Councils e-forms package, an interim solution is being investigated to see if the data warehouse held within the Councils Audit Division can offer the required functionality to enable this risk to be at least partially mitigated.	**Target risk rating:** Low / Medium **Anticipated date of attainment of the target risk rating:** May 2017. **Source(s) of assurance regarding progress with mitigating the risk:** Management assurance. Interim manual process currently in place. Monitoring the use of the IT system by Corporate Safety Services.	O&S - None. IA - None.

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18	37	Failure to adequately identify the costs and benefits of different service delivery options arising from Service Reviews to enable them to be fully and accurately modelled and ensure they are feasible and the changes proposed can be delivered, before the decision to move forward is made. Failure to fully implement the decisions taken to change BCC policy and service delivery to enable delivery of expected benefits / efficiency gains. Lead: Strategic Director, Change & Support Services Owner: Nigel Kletz	Medium / Medium	**Lead Director comment** Any alternative delivery model must demonstrate some benefit and better value for the Council. There needs to be the early identification of all costs and benefits as part of the formulation and evaluation of options in the consideration of the business case. The ADs of Finance will provide support on key projects based on their area of expertise. Those developing new service delivery options need to evaluate the full circumstances on a case-by-case basis, seeking proper advice where necessary, in order to identify the implications of the change in service delivery model. This will include assessing what will be left behind in BCC (e.g. fixed overheads, income targets etc.) as well as ensuring that all of the costs and income of the new model are taken into account - including those which are not applicable to a local authority model of delivery (e.g. taxation), together with some sensitivity and risk analysis. This needs to be done before any commitments are given. The need to evaluate the full circumstances for each delivery option requires a proportionality to it, and due regard for the need for calculated assumptions in order to avoid over-engineering financial modelling based on projected costs. The risk to the transferred service is the possible future loss of the Council as a customer and the risk to the Council is the loss of services provided to the transferred service as a customer, if the transferred service obtains these same services from another provider. These risks need to be managed by the corporate commissioning hub with peer reviews undertaken by Thematic Centres of Excellence and approval via Cabinet.	**Target risk rating:** Medium / Medium **Anticipated date of attainment of the target risk rating:** Attained. **Source(s) of assurance regarding progress with mitigating the risk:** Management assurance - reports to EMCB, notes and actions from Corporate Commissioning Board agenda. Dialogue with directorate lead commissioners. Finance to be involved in commissioning reviews. Additional resources to support commissioning have been recruited (internally) to support the commissioning approach. Commissioning Toolkit in place. Risk will be managed on a case by case basis through proper use of the Toolkit, and through reviews supported by the Assistant Directors of Finance. A checklist developed by AD Finance (Strategy) will continue to be used to ensure proper evaluation and appraisal of decision making reports. Corporate Commissioning Board will provide the governance for new commissioning strategies. CPS believes that given the challenges encountered in supporting alternative delivery models, and the innovative approaches required, the risk remains at Medium / Medium (target met). Only when we have examples of alternative delivery models being successfully implemented should this risk be removed.	O&S - None. IA Reviews 2014/15: Acivico reviews, Museum Management Arrangements, Golf Management Arrangements, Efficiency Agenda and Change Management. IA Reviews 2015/16: Acivico Deferred Services, Governance Review, Acivico Contract Monitoring, Procurement Contracts - Engagement of Individuals and Acivico - Recruitment & Selection Concerns. IA Reviews 2016/17: Acivico Contract Monitoring - Overall delivery of Contract and Contracts & Procurement Summary Report 2015/16.

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					Mitigations detailed above are now in place with commissioning checklists to CCB ensuring that appropriate resources are in place to manage risk in implementing alternative service delivery models.	
19	41	Failure to deliver the Council's localisation agenda and commitments made in the Council's Improvement Plan and Leaders Policy Statement. Lead: Strategic Director, Place Directorate Owner: Chris Jordan	Medium / Medium	**Lead Director comment** The Improvement Panel have assessed progress in relation to the specific prescriptions made on localisation through the independent Lord Kerslake report and commitments made against this in the Council's Improvement Plan in September 2015 and January 2016. The feedback from this has been positive. In particular all direct recommendations have been actioned including the transfer of delegations away from district committees and the delineation of a new role for district committees. Services are now accountable to cabinet portfolios and management. The remit for district committees around neighbourhood challenge and community planning has been embedded effectively. Policy guidance for this was agreed by cabinet in July 2015 and development undertaken with members in five sessions over July to October, with delivery of outcomes currently live within 2016/17. Delivery against this has been performance managed through the Future Council Local Leadership sub programme board meeting fortnightly. This has now moved to business as usual. The next phase of local leadership / political governance will be shaped by the Leader, on the back of various papers and discussions. This is expected to emerge imminently and will be a priority for officers to secure appropriate resource focus to ensure successful delivery on the programme.	**Target risk rating**: Low / Medium **Anticipated date of attainment of the target risk rating**: Attained. **Source(s) of assurance regarding progress with mitigating the risk**: Management assurance as detailed in Lead Director comment - Scrutiny Report in January 2013, bi-monthly reports on progress of the secondary work streams. Ongoing review of risk through the Future Council political governance sub programme.	O&S - The Corporate Resources O&S Committee has completed a piece of work around district and ward arrangements. This includes a review of arrangements put in place in May 2015 and options for the future development of devolution. The Neighbourhood & Community Services O&S Committee completed a review of the Neighbourhood Challenge. Recommendations were made to the Leader. IA Reviews 2014/15: Housing Governance Arrangements and watching brief - quarterly progress updates from Place. IA 2015/16: Watching brief - quarterly progress updates from Place.

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20	44	Unpaid allowances / contractual overtime payments / equality of flex time agreements. Lead: Strategic Director, Change & Support Services Owner: Dawn Hewins	Medium / Medium	**Lead Director comment** Whilst significant work has been undertaken to achieve harmonisation of terms and conditions there remains a number of issues with potential risks that are currently being addressed. The bulk of unpaid allowances claims have been successfully managed by Legal Services on a case by case basis, with outstanding claims being considered and managed by Legal Services on the same basis.	**Target risk rating:** Medium / Medium **Anticipated date of attainment of the target risk rating:** Attained. **Source(s) of assurance regarding progress with mitigating the risk:** Management assurance. All new claims for allowances are being assessed on their merits and defended wherever practical. Use of overtime is being monitored on a monthly basis, with Strategic Directors taking responsibility for addressing any areas of concern. There is a Governance Board monitoring any potential high risk claims.	O&S - None. IA Review 2014/15: Review on overtime -in conjunction with HR. IA Review 2015/16: Overtime F/Up.
21	35	Current information technology equipment not being refreshed / up dated to maximise use and obtain full benefit from utilising technology. Lead: : Strategic Director, Change & Support Services Owner: Nigel Kletz Risk nominated for deletion.	Low / Significant	**Lead Director comment** Cabinet agreed in May 2013 that the ICT desktop refresh should be managed centrally as part of the Windows 7 migration project. The reasons for centralisation included; ensuring BCCs desktop estate remains fit for purpose and capable of running supported software operating systems, maintaining the integrity and security of Councils network and ensuring compliance with BCCs five year refresh strategy. The advantages of a centrally controlled programme of desktop refresh include; reducing the requirement for Service Birmingham (SB) refresh projects, providing business areas with an opportunity to update asset management records and ensure best usage of their assets, introducing the potential to reduce contractual charges from SB by better management of the ICT estate. Proactively reviewing future business needs and specifying hardware requirements.	**Target risk rating:** Medium / Medium **Anticipated date of attainment of the target risk rating:** Attained. **Source(s) of assurance regarding progress with mitigating the risk:** BCC achieved Public Services Network Certification to 29 April 2016. Any potential risk has been considerably reduced by decommissioning Windows XP devices on the BCC network. A few hundred public network Windows XP devices remain on the BCC estate. However, these are disabled from the BCC network and undergoing a phased replacement as part of the ongoing BAU desktop refresh process.	O&S - None. IA Review 2014/15: Windows 7. IA Reviews 2015/16: Asset Management & SAP GRC, Agile Working 2016, IT Asset Management and SAP Roadmap. IA Review 2016/17: Lost & Stolen IT Equipment.

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				A planned programme of desktop refresh also supports BCC's agility agenda, and enables future financial planning, as payment for desktop refresh is via prudential borrowing rechargeable to directorates over a period of 5 years. In February 2015 Cabinet approval for the 2015/16 programme of refresh was granted. In May 2015 the corporately managed desktop refresh programme, managed by the ICF team & carried out by SB commenced. Partnership working is required to ensure the desktop refresh programme is successful. SB need to consistently achieve the agreed minimum of 120 replacements per month and directorates need to provide their future ICT business requirements to the ICF on a quarterly basis. These risks are being managed by the ICF via monthly meetings with SB and directorate PICTOG groups. From May 2015 to December 2015 SB achieved refresh for 760 desktop devices, with a further 228 replacements for directorates scheduled between January and March 2016, bringing the total achieved for 2015/16 to 988 devices. This shortfall is due to a May start date for the programme and will be addressed by rolling over the shortfall to the 2016/17 programme. Desktop Refresh progressing as a business as usual process. Updates are provided as a regular agenda item at PICTOG's, and progress updates provided to ICT Corporate Strategy Group.	The IT Helpline database has been locked-down to prevent ad hoc purchases outside of the desktop refresh programme. To cover exceptional circumstances users can complete a business case form and send it to the ICF Service Review mailbox for review, approval, rejection. There is now a defined BAU exceptions process. The only exception to this is when the request is for non-standard ICT devices. Non-standard requests will continue to follow the non-standard process. This has been agreed with SB. As this is now business as usual propose that the risk is closed	

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New No.	Original No.	Description - risk / issue	Current level of risk L/I	Current actions / Comments	Long term aim for the risk - including actions, timescales and target risk rating	Overview & Scrutiny (O&S)Review / Work & Internal Audit (IA) Work
22	54	Risk of fines from HMRC for Directorates employing long term consultants. Lead: : Strategic Director, Change & Support Services Owner: Nigel Kletz	Low / Significant	**Lead Director comment** A revised process has been implemented for the engagement of off payroll 'Individuals' in April 2016 which has resulted in a significant increase in compliance. HR and CPS are working collaboratively to ensure compliance by cascading the process through DMT's and monitoring engagements centrally within the CPS compliance team. No orders are released until the manager has completed all the required approval documentation.	**Target risk rating**: Low / Medium **Anticipated date of attainment of the target risk rating:** September 2017. **Source(s) of assurance regarding progress with mitigating the risk:** The new process has been widely publicised to all Directorates and is available on People Solutions as well as Voyager. It has been embedded in to the procedures within Payroll and CPS. In addition CPS are in the process of arranging information events for officers to attend in order to gain further advice, guidance and support in order to minimise the Council's exposure to risk. The Director of HR has taken over ownership of interims & off payroll individuals.	O&S - None. IA Review 2014/15: Audit carried out in quarter 3.
23	59	Risk of enforcement action and fines of up to £500,000 by the Information Commissioner's Office (ICO) for failure to comply with the 40 day timescale for responding to Subject Access Requests (SARs). Lead: Strategic Director, Major Projects Owners: Alastair Gibbons, Adrian Phillips & Dawn Hewins Risk nominated for deletion.	Low / Medium	**Lead Director comment** The ICO wrote to BCC in December 2014 re an issue with timely responses to SARs. An action plan has subsequently been submitted / accepted by the ICO, and monthly reporting to the ICO will continue until April 2016. In respect of Children's reporting, there has been a great improvement with SAR and FOI delays. In March 2016 only one SAR was outstanding due to the particular circumstance of the case Adults continue to monitor SARs and FOIs with reports produced for the Caldicott Guardian. No concerns have been reported Corporately, the Head of Corporate Information Management is reporting that the ICO is happy with progress and are no longer monitoring the Council.	**Target risk rating**: Low / Low **Anticipated date of review/attainment of the target risk rating:** April 2016. **Source(s) of assurance regarding progress with mitigating the risk:** Management assurance from HR and Children's Services.	O&S - None. IA Review 2014/15: SARs. IA Reviews 2015/16: SARs F/Ups. IA Review 2016/17: HR SARs.

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Removed Risks:

Ref No.	Strategic Outcome / Corp Object	Risk description	Reason for removal	Date removed
13	Succeed economically	Failure to progress with delivering against the Birmingham Prospectus.	Risk flagged for deletion by Development & Culture Directorate, this risk should now be picked up at the Directorate level due both to the progress of individual projects and the engagement which is now in place with public and private sector partners.	November 2008
10	Achieving excellence	Property Utilisation of Central Admin Buildings – failure to take full advantage of the opportunities arising from the Working for the Future (WFTF) Business Transformation Programme.	Merged with risk 3 regarding WFTF cross portfolio buildings, at request of Business Transformation Steering Group.	July 2008
7	Achieving excellence	Reduction in non-core budgets e.g. Working Neighbourhoods Fund Comprehensive Spending Review, grant regimes etc.	Risk flagged for deletion by Corporate Director of Resources. Will remain on Directorate Risk Register.	July 2008
19	Achieving excellence	Failure to deliver on the Executive Management Team's (EMT's) key supporting outcomes.	Risk flagged for deletion by Effectively Managed Corporate Business group – EMT's key supporting outcomes were identified in June 07 and are fully embedded within the Directorate Business Plans and monitoring of the Performance Plan. It is a duplication to have this as an issue in the Corporate Risk Register.	January 2008
22	Achieving excellence	Failure to meet the code of connection for Government Connect.	Risk flagged for deletion by the Corporate Director of Resources. Will be managed via ICF Risk Register.	March 2010
8	Succeed economically	Failure to co-ordinate / control all of BCC's Accountable Body roles and responsibilities.	This has improved and will continue to be monitored via the Resources risk register.	July 2010
14a	Succeed economically	Failure to progress the Highways Public Finance Initiative (PFI).	The PFI contract was signed on 7 May 2010.	July 2010
15	Achieving excellence	Failure to achieve the efficiencies agreed in the budget round and plan for the efficiencies necessary for the next two years.	This has been incorporated into risk 28.	July 2010
16	Achieving excellence	Lack of compliance with and appropriateness of, corporate people management policies & procedures and national regulations.	The policies & procedures have been updated on People Solutions with the Excellence in People Management system, and compliance with them is covered in risk 18.	July 2010

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Ref No.	Strategic Outcome / Corp Object	Risk description	Reason for removal	Date removed
17	Achieving excellence	Failure to act on the sustainability agenda.	This has been included by Directorates as business as usual now. It will continue to be monitored via the Development risk register.	July 2010
21	Succeed economically	Adverse impact of the economic downturn.	This has been included by Directorates as business as usual now. It will continue to be monitored via Directorate and Department risk registers.	July 2010
3	Succeed economically	Failure to progress the Cross portfolio elements of the Working For The Future (WFTF) programme.	This has been flagged for deletion by the Corporate Director of Resources as progress is being made on this and where there are problems with buildings this is covered in new risk 32 added November 2010.	November 2010
1c	Achieving excellence	Failure to implement the pay and grading review for **all** non-schools staff.	The pay and grading structure for has now been fully implemented and this is no longer a risk.	March 2011
6a	Achieving excellence	Failure to adopt the new working practices implemented through the EPM programme which in turn will impact on benefit delivery.	The new working practices have become business as usual. Benefits delivery is being monitored as part of risk 4.	March 2011
6b	Achieving excellence	Failure to achieve the IT infrastructure which allows all employees to access information electronically.	A full business case is being developed to achieve this. This is no longer a corporate risk and will be monitored through the Corporate Resources Directorate risk register.	March 2011
24	Achieving excellence	Failure to manage pay progression effectively.	The pay progression framework has been applied to Council managed staff and is no longer a risk. The pay progression issue regarding schools staff is covered in risk 1a and will also be monitored through CYP&F Directorate risk register.	March 2011
12	Make a contribution	Failure to engage and inform communities around the Council's approach to improving community cohesion.	Strategic Director of Corporate Resources considers this is no longer a corporate issue and it has been delegated to the Strategic Directorate of Corporate Resources' risk register for continued management.	July 2011
18	Achieving excellence	Failure to implement recommendations made to improve internal control in the External Audit Annual Letter and by Internal Audit to help prevent fraud and error.	Strategic Director of Corporate Resources considers this is no longer a corporate issue and the risk has been delegated to each Directorate to continue to manage.	July 2011
29	Achieving excellence	Failure to achieve progress against local priorities as stated in the Sustainable Community Strategy.	Strategic Director of Corporate Resources considers this is no longer a corporate issue and the risk has been delegated to each Directorate to continue to manage.	July 2011

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Ref No.	Strategic Outcome / Corp Object	Risk description	Reason for removal	Date removed
27	Succeed economically	Failure to put in place action plans and strategies to fully mitigate the effects of reductions in area based grants.	Merged with risk 28 "Need to meet the massive spending reductions over the three years from 2011/12" at request of Strategic Director of Corporate Resources.	December 2011
11	Enjoy a High Quality of Life	Failure to deliver Achieving Excellence with Communities.	The target risk level has been met. Cabinet Committee Achieving Excellence with Communities receives progress reports. The risk has been delegated to Homes and Neighbourhoods directorate to manage.	March 2012
33	Succeed Economically	Failure to adapt to Climate Change.	The target risk level has been exceeded and long term planning has now been put in place. This risk will continue to be managed by directorates.	March 2012
9	Public Service Excellence	Need for capacity to react promptly to and manage the significant workforce changes occurring.	The level of risk has reduced to the target level.	July 2012
31	Public Service Excellence	HRA Finance Reforms.	This is no longer a risk - the funding has been agreed and is included in the 2012/13 budgets.	July 2012
34	Enjoy a High Quality of Life	Independent Care Sector Fees.	The target level of risk has been attained. The risk will continue to be monitored by the Adults & Communities Directorate.	July 2012
38	Public Service Excellence	Failure to maintain infrastructure assets including responsibilities regarding protected listed buildings.	Merged with risk 32 and changed to: Shortage of capital and failure to take appropriate long term decisions to manage the property asset portfolio (by disposals and reinvestment of capital in the residual estate); including responsibilities regarding protected listed buildings, leading to escalating costs.	November 2012
39	Public Service Excellence	Shortfall in resources compared to projections from 2013/14 onwards as a result of the new system of local retention of business rates.	Merged with risk 28 and changed to: Need to plan appropriately for the on-going reduction in government grants resulting in a shortfall in resources compared to projections from 2013/14, particularly the significant potential reduction in resources from 2014/15, and avoid legal challenge.	November 2012
53	Public Service Excellence	Inadequate or ineffective corporate control of non-core IT spend.	Merged with risk 52 to become: Insufficient in-house IT expertise within Directorates & Inadequate or ineffective corporate control of non-core IT spend.	July 2013
5	Stay Safe	Safer recruitment.	Had been at target level of risk for over 12 months, will be managed locally in future.	July 2013

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Ref No.	Strategic Outcome / Corp Object	Risk description	Reason for removal	Date removed
36	Public Service Excellence	Council Tax Rebate scheme.	The Council Tax Rebate scheme has been adopted by Full Council and was implemented with effect from 1/4/2013.	July 2013
49	Succeed Economically	Delivery of Business Charter for Social Responsibilities.	Cabinet reports and policies for Social Value: The Charter and Living Wage were approved by Cabinet in April 2013.	July 2013
43	Enjoy a High Quality of Life	Implications to BCC regarding decision making due to the provisions within the Localism Act and need to respond to community approaches under the Act.	This issue has been assessed as having met the target level of risk (Low likelihood and Medium impact) since May 2013. Corporate Resources and Development & Culture Directorates to continue to monitor locally.	November 2013
4	Public Service Excellence	Need to achieve the full benefits from the whole business transformation programme - including financial and non-financial benefits.	The risk has been fully mitigated and is assessed as being a low likelihood and low impact. The financial challenge going forward is covered within Risk 28 "On-going reduction in government grants resulting in a shortfall in resources compared to projections from 2013/14".	March 2014
1d	Public Service Excellence	Failure to successfully settle pay & grading and allowances equal pay claims.	The issues will be addressed within risks 1a - 1c & 44.	July 2014
26	Be Healthy	Failure to utilise resources well in jointly working with the NHS to reduce delayed discharges as measured by National Performance Indicator ASCOF2C.	No Birmingham hospitals are now fining the Council for delayed transfers of care activity, and Members are supportive of the progress made and sustained.	July 2014
48	Be Healthy	Delivery of new Public Health responsibilities.	All of the actions relating to the transition of Public Health have been actioned.	July 2014
20	A Prosperous City	Demonstration of benefits arising from Customer First.	All of the actions for 2014/15 are being put in place, ie: Launch of the new Housing Repairs functionality which was delayed from last year, re-design of the website, promotion of self service, improvements to online forms, etc.	November 2014
25	A Prosperous City	Production of timely & accurate IFRS Final Accounts.	The accounts were submitted on 30th June 2014.	November 2014

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Ref No.	Strategic Outcome / Corp Object	Risk description	Reason for removal	Date removed
51	A Prosperous City	Service Birmingham support provided to the SAP HR and payroll system.	There has been significant progress against an agreed improvement plan and the service is now significantly more stable.	November 2014
2015/16.08	A Fair City	Insufficient resources (finance & people) to agree / deliver the change programme.	Cabinet approved a report on 20th April 2015 that set out the Children's Social Care and Early Help Improvement Plan for 2016-2018, including the appropriate financial envelope for the plan.	July 2015
2015/16.25	A Prosperous City	Supply chain failure by reason of supplier withdrawal, liquidation or contract non-compliance.	Following identification of this risk, processes and procedures were developed and rolled out to key contract managers across the organisation with supply chain risk assessments being completed by suppliers. The supply chain risk assessment process is now captured as an annual activity within the supplier annual reviews and the Council's contract management toolkit.	July 2015
2015/16.26	A Prosperous City	PSN resubmission.	The Council has successfully retained PSN submission till April 2016.	July 2015
2015/16.27	A Prosperous City	Financial implications of failing to meet obligations regarding climate change and sustainability - carbon tax cost.	We have made four submissions out of four without issue (and passed an Environment Agency Audit in 2011), giving a 100% success record. The 2014/15 return is progressing normally.	July 2015
2015/16.28	A Prosperous City	Potential for disruption to council services due to the need to transition to a new Banking Services provider with effect from 1/4/2015.	The banking transfer has been successfully concluded.	July 2015
2015/16.10a	A Prosperous City	Resolution of contractual issues in the Highway Maintenance & Management PFI contract.	A commercial settlement signed on18th December 2015, resolved a number of contractual issues.	March 2016
2015/16.29	A Fair City	Risk of Court deciding against the Council regarding the Homeless Service.	The High Court dismissed the four applications for Judicial Review.	March 2016