

**15th JANUARY 2010 AUDIT COMMITTEE
REPORT FOR INFORMATION**

TITLE: CITY DEVELOPMENT RISK REGISTER - VERSION 12

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BACKGROUND:

The City Development Risk Register was last submitted to the Audit Committee for scrutiny on 16th January 2009.

The major focus for the City Development Directorate Management Team (CDDMT) during the past year has surrounded the impact of the recession on the continual delivery of “value for money” services.

The failure to deliver the business transformation and restructuring programme remains a high risk for City Development (Risk 12).

To mitigate this, a dedicated Programme Board, has been established under the auspices of the Council’s Portfolio, Programme and Project Management Centre of Excellence, lead by the Directorate Management Team to oversee the City Development's Smart City and Connecting Culture transformation programmes.

The associated threat during this period of transformation is the failure to undertake statutory and non-statutory regulatory activities (Risk 8) which is being addressed through greater focus on the active management of income to fund regulatory activities as well as staff restructuring, secondments and vacancy management to sustain the necessary capacity, performance levels and balanced budgets.

Further new operational risks have been identified relating to the potential infrastructure failure within the City docks (Risk 3c); Bristol’s ability to maintain its national reputation for Culture (Risk 23); and Unplanned emerging financial pressures relating to core revenue and capital budgets. (Risk 24)



Bristol City Council


City Development **Risk Register**


VERSION 12





FOR VERSION CONTROL TABLE SEE NEXT PAGE



Version	Reviewed By:	Review Date
1	Audit Committee	12 January 2007
2	PTSD DMT	14 February 2007
3	PTSD DMT	06 June 2007
4	PTSD DMT	05 December 2007
5	Audit Committee	18 January 2008
6	PTSD DMT	11 March 2008
7	City Development	24 September 2008
7	Executive Member	24 September 2008
8	City Development DMT Work in Progress (WIP) (i.e. Integration of Regeneration, Cultural Services and Corporate RR's)	19 November 2008
8	City Development DMT	14 January 2009
8	Audit Committee	16 January 2009
8	Executive Member	21 January 2009
9	City Development DMT	29 April 2009
10	City Development DMT	18 November 2009
11	Executive Member	14 December 2009
11	Executive Member	15 December 2009
12	Audit Committee	15 January 2010



City Development - KEY RISK SUMMARY



Rank No.	Risk No.	Risk/Hazard	Inherent Risk (Impact / Probability) (Red/Amber/Green)	Current Mitigation Evaluation	Residual Risk (Impact/Probability) (Red/Amber/Green)		
					Previously Reported Residual Risk	Current Residual Risk	Direction of Travel
	1	Change in priorities (e.g. 20 mph zones, cpz and rpz schemes) coupled with restricted resourcing only allows for 'bread and butter' Traffic Regulation Orders. In addition there are legal resourcing constraints.	M/H (RED)	<p>Legal and engineering elements of the TRO</p> <p>Prioritise progression, delaying non-essential Orders. Appoint/acquire additional resources</p> <p>Failure to resolve public objection</p> <p>1. Abandon proposals 2. Amend proposals and re-consult 3. Over-rule objections.</p> <p>Measures taken so far appear not to be completely successful. Further resources required.</p>	M/M (AMBER)	M/M (AMBER)	



Rank No.	Risk No.	Risk/Hazard	Inherent Risk (Impact / Probability) (Red/Amber/Green)	Current Mitigation Evaluation	Residual Risk (Impact/Probability) (Red/Amber/Green)		
					Previously Reported Residual Risk	Current Residual Risk	Direction of Travel
	2	Failure of UTC system - localised	L/H (GREEN)	<p>Await power resumption, access Wilder House SCOOT room and reset power trip.</p> <p>Rely on updated cableless linking plans to operate.</p> <p>Replacement covered under maintenance.</p> <p>Rely on updated cableless linking plans to operate.</p> <p>Comms repair covered by maintenance contract.</p> <p>Rely on updated cableless linking plans to operate.</p> <p>Provide duplicate UTMC control pc at alternative control room that operates 24/7, Brunel House control room identified.</p>	L/H (GREEN)	L/H (GREEN)	



Rank No.	Risk No.	Risk/Hazard	Inherent Risk (Impact / Probability) (Red/Amber/Green)	Current Mitigation Evaluation	Residual Risk (Impact/Probability) (Red/Amber/Green)		
					Previously Reported Residual Risk	Current Residual Risk	Direction of Travel
	3a	Localised flooding caused by inadequate maintenance of infrastructure / blocked gullies	M/M (AMBER)	<p>Tide flaps prevent high tides flowing in highway drains and flooding roads and property in low lying areas.</p> <p>River banks on Bristol City Council owned land maintained to a suitable standard and height to keep water from flooding roads and property.</p> <p>Re-targeting cleaning regime to deal with hotspots.</p>	L/L (GREEN)	L/L (GREEN)	
	3b	Flooding caused by combination of bad weather / high tides	H/M (RED)	<p>Work closely with Environment Agency and the Council's Emergency Planning Team on flood predictions.</p> <p>Review preparedness. Securing additional budget, surveys, applied for Government funding, Strategic Flood Risk assessment.</p>	H/L (AMBER)	H/L (AMBER)	
	3c	Docks infrastructure failure	H/M (RED)	£11m investment programme to upgrade operating infrastructure with multiple back ups and new operating kit.	L/L (GREEN)	L/L (GREEN)	
	4	Failure to adequately prepare for winter conditions	H/L (AMBER)	<p>Ongoing review of Winter Service Plan installation of weather station for more accurate forecasts.</p> <p>Ensure gritting can be done before any likelihood of traffic gridlock.</p>	L/L (GREEN)	L/L (GREEN)	



Rank No.	Risk No.	Risk/Hazard	Inherent Risk (Impact / Probability) (Red/Amber/Green)	Current Mitigation Evaluation	Residual Risk (Impact/Probability) (Red/Amber/Green)		
					Previously Reported Residual Risk	Current Residual Risk	Direction of Travel
	5	Damage to, or partial loss of Library stock, Museums collections and planning / building regulations records and deeds, legal agreements and associated correspondence relating to land and buildings, Magistrates Court, Coroners Court, Fire Service, Probation Service and other services.	M/L (GREEN)	Conservation of collections. Archiving (modern records) and digitisation of records. Transferring data on to new card index system / digitisation.	M/L (GREEN)	M/L (GREEN)	
	6	Failure to reduce road casualties.	H/H (RED)	Establish a road safety action plan with funding implications. Increase spending on local safety schemes and speed management. Set out longer term strategy for road safety engineering and education.	M/M (AMBER)	M/M (AMBER)	
	7	NOW MERGED WITH RISK NO. 8					



Rank No.	Risk No.	Risk/Hazard	Inherent Risk (Impact / Probability) (Red/Amber/Green)	Current Mitigation Evaluation	Residual Risk (Impact/Probability) (Red/Amber/Green)		
					Previously Reported Residual Risk	Current Residual Risk	Direction of Travel
	8	Failure to undertake sound statutory and non statutory regulatory activity leading to danger and potential claims and loss of reputation (e.g planning decision making).	H/L (AMBER)	<p>Management of income to fund regulatory activities.</p> <p>Restructures, secondments and vacancy management.</p> <p>Clear processes in place, clear identification on risks, clear priorities on service plans, clear accountability.</p> <p>Resources in place for BC & DC with Approaches to Enforcement adopted and closer cross working within division and across the Council.</p> <p>Traffic Manager in post. Network Management Duty currently being delivered in accordance with guidance under Section 18 of the Traffic Management Act 2004.</p> <p>Traffic Control Centre established - monitoring staff in post - CCTV coverage expanded.</p>	M/L (GREEN)	L/L (GREEN)	
	9	Transport infrastructure – failure to achieve improvements in performance (in particular, reducing congestion) and to provide infrastructure to support growth in housing numbers.	H/H (RED)	<p>New Major Projects Director and Project Teams established to deliver strategic transport schemes according to programme.</p> <p>Cycling City Project Manager and Team to be established.</p> <p>West of England transport project fund to be</p>	M/M (AMBER)	M/M (AMBER)	



Rank No.	Risk No.	Risk/Hazard	Inherent Risk (Impact / Probability) (Red/Amber/Green)	Current Mitigation Evaluation	Residual Risk (Impact/Probability) (Red/Amber/Green)		
					Previously Reported Residual Risk	Current Residual Risk	Direction of Travel
				<p>secured at RFA refresh stage.</p> <p>Joint Transport Committee to be established to strengthen local governance.</p> <p>New processes for community engagement to be adopted to ensure buy-in, enabling successful delivery.</p>			
	10	Value for Money - failure to demonstrate improvement in value for money as a result of the lack of a consistently strong focus on value for money across the Council.	H/H (RED)	<p>Priorities for improvement identified by the SLT. Improvement plans in place in priority areas.</p> <p>Departmental VFM indicators included in Service Delivery Plans and PMDS objectives.</p> <p>Departmental Finance Teams to focus more on VFM by releasing resources from budget monitoring</p>	M/M (AMBER)	M/M (AMBER)	
	11	Business Continuity Management - inability to mount an effective response or sustain critical services following external emergencies; avoidable disruptions to critical services following internal incidents.	H/H (RED)	<p>Plans in place for critical services</p> <p>Departmental plans in preparation</p> <p>Testing and review schedule</p> <p>BC related PMDS objectives for key staff</p> <p>Procedures for embedding appropriate BC arrangements in future contracts</p>	M/M (AMBER)	M/M (AMBER)	



Rank No.	Risk No.	Risk/Hazard	Inherent Risk (Impact / Probability) (Red/Amber/Green)	Current Mitigation Evaluation	Residual Risk (Impact/Probability) (Red/Amber/Green)		
					Previously Reported Residual Risk	Current Residual Risk	Direction of Travel
				2008 BC template includes incident management procedures and testing and review schedule			
	12	Failure to deliver Business Transformation / Restructuring Programme - also failure to deliver performance improvements/cost reductions due to insufficient senior management change capacity and failure to deliver Corporate Business Transformation initiatives.	H/H (RED)	<p>Dedicated Service Director appointed to lead the programme.</p> <p>Dedicated programme team, with named lead officers some of whom undertake these duties within their normal responsibilities which will be a real challenge.</p> <p>Programme managed by Strategic Leadership Team Transforming Bristol Portfolio Operational Board.</p> <p>Deliver 2nd and 3rd tier structures. Strategy discussions to take place with Service Directors within 4-6 weeks relating to structures and performance (PMDS).</p>	H/M (RED)	M/M (AMBER)	
	13	Partnership working - failure to achieve the benefits of partnership working, with an adverse effect on outcomes, CAA and resources.	H/M (RED)	<p>Partnerships established (including West of England Partnership).</p> <p>Partnership (Corporate) checklist agreed.</p>	M/L (GREEN)	M/L (GREEN)	

Rank No.	Risk No.	Risk/Hazard	Inherent Risk (Impact / Probability) (Red/Amber/Green)	Current Mitigation Evaluation	Residual Risk (Impact/Probability) (Red/Amber/Green)		
					Previously Reported Residual Risk	Current Residual Risk	Direction of Travel
	14	Management and Delivery of Major Infrastructure Projects - risk of increased costs, delay and loss of reputation as a result of weaknesses in project planning and management (including Museum of Bristol - incorporating Museums Service Review; Cycling City).	H/H (RED)	<p>Revised guidance on procurement and project management (following Redland Green external audit report).</p> <p>Project Boards and Executive sponsors in place for major projects.</p> <p>Infrastructure and Development Board monitors progress of major projects on a monthly basis including robustness of project management. Receives quarterly reports on Department's overall capital programmes position.</p> <p>Leader's Briefing Group receives progress reports.</p> <p>Appointed new Major Projects Service Director.</p> <p>Introduction of Internal Gateway review.</p>	H/M (RED)	M/M (AMBER)	
	15	Increase in energy prices; street lighting and change in transport costs.	M/H (RED)	<p>Continued monitoring of trends.</p> <p>Briefing reports for more funding if necessary.</p> <p>Ongoing drive for more efficient and targeted procedures, including procurement (fixed for 2 years).</p>	M/L (GREEN)	M/L (GREEN)	

Rank No.	Risk No.	Risk/Hazard	Inherent Risk (Impact / Probability) (Red/Amber/Green)	Current Mitigation Evaluation	Residual Risk (Impact/Probability) (Red/Amber/Green)		
					Previously Reported Residual Risk	Current Residual Risk	Direction of Travel
	16	Changes to parking income, (e.g. on and off street parking income, penalty charge notices etc.	H/M (RED)	Interim Parking Operations Manager appointed at the beginning of April responsible for the performance of Civil Enforcement Officers (previously Parking Attendants) looking at such issues as supervision, daily deployment, sickness and the general operation including consistency of enforcement. As part of the current Parking Services budget strategy the following initiatives (in addition to the above) are currently being pursued, CPZ expansion, Towaway Contract review, Pay by phone, provision of new pay and display machines, increasing evening charges and opportunities under the Traffic Management Act Part VI including enforcement based on CCTV surveillance (bus lane enforcement and use of smart car).	H/L (AMBER)	H/L (AMBER)	
	17	Failure to meet our S58 obligations. Reactive maintenance needed to ensure safety of highway. Preventing claims.	M/L (AMBER)	Ongoing development of Highways Asset Management planning. Ensure robust operational procedures to back up HAMP. Ongoing review to ensure that limited resources are carefully focussed on the higher risks - leading to re-structuring & budgetary virement if appropriate.	M/M (AMBER)	M/M (AMBER)	

Rank No.	Risk No.	Risk/Hazard	Inherent Risk (Impact / Probability) (Red/Amber/Green)	Current Mitigation Evaluation	Residual Risk (Impact/Probability) (Red/Amber/Green)		
					Previously Reported Residual Risk	Current Residual Risk	Direction of Travel
	18	Budget management – budgetary control by Management Team and cost centre managers, particularly during the economic recession.	H/L (AMBER)	Clear definition of responsibilities; sufficient training; accurate and timely information/reporting together with the identification of corrective action (examples of financial risk include parking income concessionary fares and lack of IT investment. Additionally due to the downturn in economic activity and resultant recession a number of income streams are under threat including parking, Development Management (formerly Development Control), Building Regulation and Standards (formerly Building Control), land charges and Colston Hall. Development Management and Building Regs and Standards supported through increased public investment.	M/M (AMBER)	M/M (AMBER)	
	19	Failure to deliver, leading to a financial penalty, loss of reward, e.g. Housing Planning Delivery Grant, Transport Settlement Grant, LAA / Performance Indicators Reward Grant, Housing Numbers.	H/M (RED)	<p>Recession action including work with development sector to enable housing permissions granted to be implemented by renegotiating S106s.</p> <p>Facilitating RSL delivery if open market housing permissions granted.</p> <p>Lobby revised assessment criteria for HPDG with CLG.</p> <p>Transport settlement.</p> <p>Successful moving of Incapacity Benefit</p>	L/L (GREEN)	L/L (GREEN)	

Rank No.	Risk No.	Risk/Hazard	Inherent Risk (Impact / Probability) (Red/Amber/Green)	Current Mitigation Evaluation	Residual Risk (Impact/Probability) (Red/Amber/Green)		
					Previously Reported Residual Risk	Current Residual Risk	Direction of Travel
				claimants into sustained employments. Increasing range of initiatives designed to move Incapacity Benefit claimants into work.			
	20	Recruitment and retention of key staff - the Directorate would be unable to carry out its statutory functions (e.g. consultation) and have capacity to deliver major projects and adequately perform the role of Strategic Transport Management.	H/M (RED)	Continually review pay and conditions; and market differential	L/L (GREEN)	L/L (GREEN)	
	21	Inadequate health and safety management.	H/M (RED)	H&S Action Plan prepared and monitored. Clear responsibilities for 1 st , 2 nd , and 3 rd tier. Half post funded by City Development.	L/L (GREEN)	L/L (GREEN)	

Rank No.	Risk No.	Risk/Hazard	Inherent Risk (Impact / Probability) (Red/Amber/Green)	Current Mitigation Evaluation	Residual Risk (Impact/Probability) (Red/Amber/Green)		
					Previously Reported Residual Risk	Current Residual Risk	Direction of Travel
	22	Industrial relations - disruption to services or unplanned increase in costs as a result of breakdown in industrial relations.	H/H (RED)	JCC, EJCC consultation arrangements, and informal C Ex/TU meeting. National terms and conditions applied. Clearly defined local policies and framework core policies/ procedures. HR Committee/HOPs approval and appeal mechanism. Staff consultation/engagement on specific issues e.g. meeting with Regional Officers re Transformation.	M/M (AMBER)	M/M (AMBER)	
	23	Risk to Bristol's national reputation for culture - Failure to complete the Museum of Bristol on time and budget. Reduction of Museum external funding, (e.g. Renaissance). Failure to implement staffing review. Cycling City/Stadium	H/H (RED)	Dedicated project managers reporting to high level project board. High level review of regional Renaissance funding led by senior Bristol staff. Consultation with Museum Select Committee and across City Development to refine final proposals.	H/M (RED)	M/M (AMBER)	

Rank No.	Risk No.	Risk/Hazard	Inherent Risk (Impact / Probability) (Red/Amber/Green)	Current Mitigation Evaluation	Residual Risk (Impact/Probability) (Red/Amber/Green)		
					Previously Reported Residual Risk	Current Residual Risk	Direction of Travel
		delivery.					
	24	<p>Unplanned emerging pressures relating to core revenue budgets and capital (RFA/LTP).</p> <p>Short term initiatives leading to long term costs (e.g. Cycling City).</p> <p>Inadequate transport infrastructure investment/structural maintenance of highway leads to decrease in asset value.</p> <p>Neighbourhood agendas/leading to fragmentation of Corporate Transport Policies and budgets. (Executive Member concern).</p> <p>Absence of appropriate processes and procedures governing /linking the Neighbourhood Partnership decisions</p>	M/M (AMBER)	<p>Working with colleagues within Corporate Resources at the Centre to secure finance.</p> <p>Prioritised capital investments identified through the Directorate asset management planning process.</p> <p>Sensitive devolvement of Neighbourhood's budgets.</p> <p>Neighbourhood Partnership Committees will be essentially asked to prioritise a list of schemes identified in pursuance of the Corporate Transport Policy.</p>	N/A	M/M (AMBER)	

Rank No.	Risk No.	Risk/Hazard	Inherent Risk (Impact / Probability) (Red/Amber/Green)	Current Mitigation Evaluation	Residual Risk (Impact/Probability) (Red/Amber/Green)		
					Previously Reported Residual Risk	Current Residual Risk	Direction of Travel
		through to implementation on the ground. (Executive Member concern).					

Risk Response Form

				Impact/Probability	
Risk Reg Ref	1 Operational	Risk Owner: Service Director Transport/ Gareth Vaughan-Williams		Inherent Score (Red/Yellow/Green)	H/H (Red)
Risk	Changes in priorities (e.g. 20 mph zones, cpz and npz schemes coupled with restricted resourcing only allows for 'bread and butter' Traffic Regulation Orders. In addition there are legal resourcing constraints.			Residual Score (Red/Yellow/Green)	M/M (Amber)
Consequences	<ol style="list-style-type: none"> 1. Delay or possible failure of development occupation or operation 2. Delay or possible failure of work programme(s) resulting in under spend and the possibility of having to return funding 3. Damage Council reputation for project delivery capability 			Comments	
Risk Trigger	Current Mitigation	Responsibility	Further Action	Responsibility	
Failure to progress the engineering elements of the Order	Prioritise progression, delaying non-essential Orders. Appoint/acquire additional resources.	Gareth Vaughan-Williams	Create TRO Team. Seek to establish a longer-term relationship with selected consultants through a framework agreement.	Service Director Transport / Gareth Vaughan-Williams	
Failure to progress the legal elements of the Order	Prioritise progression, delaying non-essential Orders. Appoint/acquire additional resources.	Legal Services	Seek closer working relationship with Legal Services. Identify Client/Owner of Orders.	Service Director Transport	
Failure to resolve public objection	<ol style="list-style-type: none"> 1. Abandon proposals. 2. Amend proposals and re-consult. 3. Over-rule objections. 	Gareth Vaughan-Williams Dir. Exec Member	No additional requirements.	N/A	
	Measures taken so far appear not to be completely successful. Further resources required.				

Risk Response Form

				Impact/Probability	
Risk Reg Ref	2 Operational	Risk Owner: Service Director Transport/ John Laite		Inherent Score (Red/Yellow/Green)	L/H (Green)
Risk	Failure of UTC system - localised			Residual Score (Red/Yellow/Green)	L/H (Green)
Consequences	Loss of dynamic traffic control resulting in excessive queuing and associated congestion. Loss of fault reporting system and UTMC data to provide system information such as journey times and congestion.			Comments: Total Failure Inherent Score M/M	
Risk Trigger	Current Mitigation	Responsibility	Further Action	Responsibility	
Loss of Urban Traffic Control system due to:- i) power failure	Await power resumption, access Wilder House SCOOT room and reset power trip. Rely on updated cableless linking plans to operate.	J. Laite	Established uninterruptible power supply (UPS) unit capable of running system over weekend. Consider using generator during system downtime in conjunction with ICT aspiration for Wilder House.	J. Laite	
ii) pc failure	Replacement covered under maintenance. Rely on updated cableless linking plans to operate.	J. Laite	Duplicate pc to operate concurrently as fallback.	J. Laite	
iii) comms failure	Comms repair covered by maintenance contract. Rely on updated cableless linking plans to operate.	J. Laite	Improve information on location of comms equipment to all Stat. Undertakers.	J. Laite	
Failure to access Traffic Control Centre at Wilder House. No UTMC or CCTV access.	Provide duplicate UTMC control pc at alternative control room that operates 24/7. Brunel House control room identified.	J. Laite	Comms links currently being provided, need duplicate pc to be installed and commissioned in 2007.	J. Laite	

Risk Response Form

				Impact/Probability	
Risk Reg Ref	3a Operational	Risk Owner: Service Director Transport, Engineering Services Manager		Inherent Score (Red/Yellow/Green)	M/M (Amber)
Risk	Localised flooding caused by inadequate maintenance of infrastructure / blocked gullies			Residual Score (Red/Yellow/Green)	L/L (Green)
Consequences	Danger from electrical installations, pollution [flooded sewers], traffic accidents Damage to property in Bristol			Comments: Refer to City Docks Risk Register for lock gates control	
Risk Trigger	Current Mitigation	Responsibility	Further Action	Responsibility	
Surface water	Tide flaps prevent high tides flowing in highway drains and flooding roads and property in low lying areas.	Group Manager (Engineering Services)	Regular checks of condition of tide flaps, CCTV survey, change of inspection regime.	Group Manager (Engineering Services)	
Heavy rain causing river levels to rise	Tide flaps prevent high tides flowing in highway drains and flooding roads and property in low lying areas.	Group Manager (Engineering Services)	Regular checks of condition of tide flaps, CCTV survey, change of inspection regime.	Group Manager (Engineering Services)	
	River banks on Bristol City Council owned land maintained to a suitable standard and height to keep water from flooding roads and property.	Riparian owner or Environment Agency for Critical Ordinary Watercourses	Check condition of defences and if defective reinforce the defence or have an operational plan to install emergency.	Riparian owner or Environment Agency for Critical Ordinary Watercourses	
	Re-targeting cleaning regime to deal with hotspots.				

Note: need to refer to Pitt Report (Peter Brook)

Risk Response Form

				Impact/Probability		
Risk Reg Ref	3b Operational		Risk Owner: Service Director Transport, Engineering Services Manager		Inherent Score (Red/Yellow/Green)	H/M (Red)
Risk	Flooding caused by combination of bad weather / high tides				Residual Score (Red/Yellow/Green)	H/L (Amber)
Consequences	Danger from electrical installations, pollution [flooded sewers], traffic accidents Damage to property in central Bristol				Comments: Consult with Richard Smith	
Risk Trigger	Current Mitigation	Responsibility	Further Action	Responsibility		
Very high tides + strong SW winds	Work closely with Environment Agency and the Council's Emergency Planning Team on Flood Predictions.	Engineering Manager	Budget provided. Recruitment in train.	Engineering Manager		
	Review preparedness. Securing additional budget, surveys, applied for Government funding, Strategic Flood Risk assessment.		Identify needs and lobby the Environment Agency accordingly.			

Risk Response Form

				Impact/Probability	
Risk Reg Ref	3c Operational		Risk Owner: City Docks, Richard Smith	Inherent Score (Red/Yellow/Green)	H/H (Red)
Risk	Docks infrastructure failure			Residual Score (Red/Yellow/Green)	L/L (Green)
Consequences	Water drains from the Harbour causing loss of life, wall collapse, service failures to gas and electricity and water damage into £millions. Consequential damages in excess of £100m. Flooding of hundreds of properties on spring tides in City centre areas.		Comments		
Risk Trigger	Current Mitigation	Responsibility	Further Action	Responsibility	
Failure of operating infrastructure	£11m investment programme to upgrade operating infrastructure with multiple back ups and new operating kit.	Richard Smith	Complete phases of work as per capital programme.	Richard Smith	

Risk Response Form

				Impact/Probability		
Risk Reg Ref	4 Operational		Risk Owner: Service Director Transport, Operations Manager - [Jim Creamer]		Inherent Score (Red/Yellow/Green)	H/L (Amber)
Risk	Failure to adequately prepare for winter conditions			Residual Score (Red/Yellow/Green)	L/L (Green)	
Consequences	Traffic jams, hindrance to emergency services Threat to life/community welfare from stranded motorists			Comments		
Risk Trigger	Current Mitigation	Responsibility	Further Action	Responsibility		
Exceptionally prolonged cold & icy conditions	Ongoing review of Winter Service Plan Installation of weather station for more accurate forecasts	Operations Manager, HAM/Engineering Services	Possible installation of additional weather station(s) Explore more joint working with neighbouring authorities.	Operations Manager, HAM/Engineering Services		
Panic exodus of commuting public clogging up network	Ensure gritting can be done before any likelihood of traffic gridlock	Operations Manager, HAM/Engineering Services	Better PR with tv & radio broadcasts on timely travel.	Operations Manager, HAM/Engineering Services		

Risk Response Form

				Impact/Probability		
Risk Reg Ref	5 Operational		Risk Owner: Jan Harvey		Inherent Score (Red/Yellow/Green)	M/L (Green)
Risk	Damage to, or partial loss of Library stock, Museums collections and planning/building regulations records.			Residual Score Red/Yellow/Green)	M/L (Green)	
Consequences	<p>Loss of statutory records. Reduced service to public resulting in low customer satisfaction. Possible effect on planning /building regulations decisions due to loss of historic data. Incorrect Land Charges search could effect a sale of a property.</p> <p>The consequences could be extremely severe, with financial and legal implications for both the customer and the City Council.</p>			Comments Total loss of records Inherent Score H/L		
Risk Trigger	Current Mitigation	Responsibility	Further Action	Responsibility		
Overloading and deterioration to the bulk filing systems	Conservation of collections. Archiving (modern records) and digitisation of records.	Operations Manager	This continues to be possible - accept risk.	Group Manager		
Deterioration of the card index systems, and other record sets, leading to loss of data	Transferring data on to new card index system / digitisation.	Operations Manager	This continues to be possible - accept risk.	Group Manager		

Risk Response Form

				Impact/Probability		
Risk Reg Ref	6	Reputational	Risk Owner: Service Director Transport, Terry Bullock		Inherent Score (Red/Yellow/Green)	H/H (Red)
Risk	Failure to reduce road casualties.			Residual Score Red/Yellow/Green)	M/M (Amber)	
Consequences	1. Low CAA rating 2. Reduced finance through LTP settlements 3. Damaged reputation 4. Statutory obligations failure			Comments Accidents are just that and cannot be totally eliminated		
Risk Trigger	Current Mitigation	Responsibility	Further Action	Responsibility		
Failure to reduce KSI targets.	Establish a road safety action plan with funding implications. Increase spending on local safety Schemes and speed management	Terry Bullock	Continue to increase spending but ensure that resources and programming are adequate to deliver projects.	Service Director Transport		
Failure to reduce child KSI targets	Establish a road safety action plan with funding implications. Set out longer term strategy for road safety education.	Terry Bullock	Increase resources in road safety education team to increase number of schoolchildren receiving training.	Service Director Transport		
Failure to reduce total number of road accidents	Establish a road safety action plan with funding implications. Set out longer term strategy for road safety engineering and education.	Terry Bullock	Increase Council awareness of problem and costs to Council and community of failing. Working with the West of England Partnership colleagues and other agencies.	Service Director Transport		

Risk Response Form

				Impact/Probability	
Risk Reg Ref	7 Reputational	Risk Owner: Service Director Transport, Terry Bullock		Inherent Score (Red/Yellow/Green)	H/M (Red)
Risk	NOW MERGED WITH RISK NO 8			Residual Score (Red/Yellow/Green)	L/L (Green)
Consequences				Comments	
Risk Trigger	Current Mitigation	Responsibility	Further Action	Responsibility	

Risk Response Form

				Impact/Probability		
Risk Reg Ref	8 Reputational		Risk Owner: Zoe Willcox, Service Director Transport		Inherent Score (Red/Yellow/Green)	H/L (Amber)
Risk	Failure to undertake sound statutory and non statutory regulatory activity leading to danger and potential claims and loss of reputation (e.g planning decision making).				Residual Score (Red/Yellow/Green)	L/L (Green)
Consequences	Reduced performance levels could lead to financial claims, judicial reviews, Ombudsman findings.				Comments	
Risk Trigger	Current Mitigation	Responsibility	Further Action	Responsibility		
Significant reduction in income to enable staff retention.	Management of income to fund regulatory activities. Restructures, secondments and vacancy management.	DMT Zoe Willcox	Re-assessing structures in DM & BC.	DMT, Zoe Willcox		
Inadequate Management in BC and DC	Clear processes in place, clear identification on risks, clear priorities on service plans, clear accountability	Zoe Willcox and BC and DC Team Managers	None necessary at this point - keep situation under review.	Zoe Willcox and BC and DC Team Managers		
Enforcement	Resources in place for BC & DC with Approaches to Enforcement adopted and closer cross working within the Division and across the Council.	Zoe Willcox and BC and DC Team Managers	Re-assessing structures in DM & BC.			
Awaiting DfT guidance on intervention criteria. This will be related to congestion data.	Traffic Manager in post. Network Management Duty currently being delivered in accordance with duty guidance under Section 18 of the Traffic Management Act 2004. Traffic Control Centre established - monitoring staff in post-CCTV coverage expanded	Service Director Transport / Terry Bullock	CCTV and ANPR equipment needed to create congestion / journey time baseline network map and for continued monitoring.	Service Director Transport / Terry Bullock		

Risk Response Form

				Impact/Probability		
Risk Reg Ref	9 Operational		Risk Owner: Service Director Transport		Inherent Score (Red/Yellow/Green)	H/M (Red)
Risk	Transport Infrastructure				Residual Score (Red/Yellow/Green)	M/M (Amber)
Consequences	Failure to achieve improvements in performance (in particular, reducing congestion) and to provide infrastructure to support growth in housing numbers				Comments	
Risk Trigger	Current Mitigation	Responsibility	Further Action	Responsibility		
Failure to achieve planned improvements in performance	<p>New Major Projects Director and Project Teams established to deliver strategic transport schemes according to programme.</p> <p>Cycling City Project Manager and Team to be established.</p> <p>West of England transport project fund to be secured at RFA refresh stage.</p> <p>Joint Transport Committee to be established to strengthen local governance.</p> <p>New processes for community engagement to be adopted to ensure buy-in, enabling successful delivery.</p>	Service Director Transport	<p>Greater Bristol Bus Network project on site, on programme.</p> <p>Bristol Rapid Transport Link 2 project on programme, Transport & Works Order imminent.</p> <p>BRT3 Hengrove to North Fringe on programme for bid submission Spring 2010, Knowle West / M32/ City Centre issues being addressed.</p> <p>South Bristol link on programme for bid submission Spring 2010.</p> <p>Cycling City projects underway, e.g. Hartcliffe Way, Project Team in place.</p> <p>Residents parking pilots consultation imminent.</p> <p>Effective on-line customer engagement mechanisms being implemented.</p> <p>RFA refresh scheme protection secured, but imminent budget cut/re-prioritisation is a major risk.</p> <p>JTEC working effectively albeit decision not to undertake ITA review disappointing.</p>			

Risk Response Form

				Impact/Probability	
Risk Reg Ref	10 Reputational	Risk Owner: David Bishop, Service Director Transport, Zoe Willcox, Kate Davenport, Alun Owen		Inherent Score (Red/Yellow/Green)	H/H (Red)
Risk	Value for Money			Residual Score Red/Yellow/Green)	M/M (Amber)
Consequences	Failure to demonstrate improvement in Value for Money			Comments	
Risk Trigger	Current Mitigation	Responsibility	Further Action	Responsibility	
Lack of a consistently strong focus on value for money	Priorities for improvement identified by the SLT. Improvement plans in place in priority areas.	City Development DMT			
	Departmental VFM indicators included in Service Delivery Plans and PMDS Objectives.				
	Departmental Finance Teams to focus more on VFM by releasing resources from budget monitoring.				

Risk Response Form

				Impact/Probability	
Risk Reg Ref	11 Reputational	Risk Owner: David Bishop, Service Director Transport, Zoe Willcox, Kate Davenport, Alun Owen		Inherent Score (Red/Yellow/Green)	H/H (Red)
Risk	Business Continuity Management			Residual Score (Red/Yellow/Green)	M/M (Amber)
Consequences	Inability to mount an effective response or sustain critical services, following external emergencies; avoidable disruptions to critical services following internal incidents			Comments	
Risk Trigger	Current Mitigation	Responsibility	Further Action	Responsibility	
Inadequate emergency planning	Plans in place for critical services.	City Development DMT Alun Owen	Critical services identified, business impact analysis completed.		
	Departmental plans in preparation.		Business Continuity Plans are being developed for all critical services.		
	Testing and review schedule.				
	BC related PMDS objectives for key staff.				
	Procedures for embedding appropriate BC arrangements in future contracts				
	2008 BC template includes incident management procedures and testing and review schedule.				

Risk Response Form

				Impact/Probability		
Risk Reg Ref	12 Reputational		Risk Owner: David Bishop, Service Director Transport, Zoe Willcox, Kate Davenport, Alun Owen		Inherent Score (Red/Yellow/Green)	H/M (Red)
Risk	Business Transformation / Restructuring Programme.			Residual Score (Red/Yellow/Green)	M/M (Amber)	
Consequences	Failure to deliver business transformation / restructuring programme - also failure to deliver performance improvements/costs due to insufficient senior management change capacity and failure to deliver Corporate Business Transformation initiatives.			Comments		
Risk Trigger	Current Mitigation	Responsibility	Further Action	Responsibility		
Insufficient senior management change capacity.	Dedicated Service Director appointed to lead the programme. Dedicated Programme Team with named lead officers some of whom undertake these duties within their normal responsibilities which will be a real challenge.	City Development DMT				
Failure to deliver Corporate Business Transformation initiatives	Programme managed by Strategic Leadership Team - Transforming Bristol Portfolio Operational Board. Deliver 2 nd and 3 rd tier structures, strategic discussion to take place with Service Directors within 4-6 weeks relating to structures and performance (PMDS).					

Risk Response Form

				Impact/Probability		
Risk Reg Ref	13	Reputational	Risk Owner: David Bishop, Service Director Transport, Zoe Willcox, Kate Davenport, Alun Owen		Inherent Score (Red/Yellow/Green)	H/M (Red)
Risk	Partnership Working			Residual Score (Red/Yellow/Green)	M/L (Green)	
Consequences	Failure to achieve benefits of partnership working with adverse effect on outcomes, CAA and resources			Comments		
Risk Trigger	Current Mitigation	Responsibility	Further Action	Responsibility		
Breakdown in the Partnership Governance Framework	Partnerships established (including West of England Partnership). Partnership (corporate) checklist agreed.	City Development DMT	Partnership Boards being reviewed / introduced using Partnership checklist.			

Risk Response Form

				Impact/Probability	
Risk Reg Ref	14 Reputational	Risk Owner: David Bishop, Service Director Transport, Zoe Willcox, Kate Davenport, Alun Owen		Inherent Score (Red/Yellow/Green)	H/H (Red)
Risk	Management and delivery of major infrastructure projects			Residual Score (Red/Yellow/Green)	M/M (Amber)
Consequences	Risk of increased costs, delay and loss of reputation as a result of weakness in project planning and management (including Museum of Bristol - incorporating Museums, service review and Cycling City).			Comments	
Risk Trigger	Current Mitigation	Responsibility	Further Action	Responsibility	
Poor project planning and management	Revised guidance on procurement and project management(following Redland Green external audit report).	City Development DMT	Appointment of Service Director - Major Projects as part of the Corporate restructure.		
Lack of Corporate Governance	Project Boards and Executive sponsors in place for major projects.				
	Infrastructure and Development Board monitors progress of major projects on a monthly basis including robustness of project management. Receives quarterly reports on Department's overall capital planning.				
	Leader's Briefing Group receives progress reports.				
	Appointed new Major Projects Service Director.				
	Introduction of Internal Gateway review.				

Risk Response Form

				Impact/Probability	
Risk Reg Ref	15 Finance	Risk Owner: Service Director Transport, Engineering Services Manager, Public Transport Manager - [Geoff Mills]		Inherent Score (Red/Yellow/Green)	M/H (Red)
Risk	Increase in energy prices; street lighting and change in transport costs.			Residual Score (Red/Yellow/Green)	M/L (Green)
Consequences	Reduced funding available to maintain the highways network and for other operational services leading to other cuts in services - e.g. crime & reduced safety measures, poor transport services			Comments: Engineering indices dependant on energy & commodity trends. Recently these have outstripped standard corporate allowances.	
Risk Trigger	Current Mitigation	Responsibility	Further Action	Responsibility	
Global demands	Continued monitoring of trends. Briefing reports for more funding if necessary. Ongoing drive for more efficient & targeted procedures, including procurement (fixed for 2 years).	Group Managers, HAM/Engineering Services & Public Transport	Continued monitoring of trends Ongoing drive for more efficient procedures including newer low energy lighting & engineering processes.	Group Manager, HAM/Engineering Services Group Manager, Public Transport	

Risk Response Form

				Impact/Probability		
Risk Reg Ref	16 Finance		Risk Owner: Service Director Transport / David Bunting		Inherent Score (Red/Yellow/Green)	H/M (Red)
Risk	Changes to parking income, (e.g. on and off street parking income, penalty charge notices etc)			Residual Score (Red/Yellow/Green)	H/L (Amber)	
Consequences	Loss of income which would have a knock on effect to service provision.				Comments	
Risk Trigger	Current Mitigation	Responsibility	Further Action	Responsibility		
Detrimental trends in income	Interim Parking Operations Manager appointed at the beginning of April responsible for the performance of Civil Enforcement Officers (previously Parking Attendants) looking at such issues as supervision, daily deployment, sickness and the general operation including consistency of enforcement. As part of the current Parking Services budget strategy the following initiatives (in addition to the above) are currently being pursued, CPZ expansion, Towaway Contract review, Pay by phone, provision of new pay and display machines, increasing evening charges and opportunities under the Traffic Management Act Part VI including enforcement based on CCTV surveillance (bus lane enforcement and use of smart car).	Service Director - Transport & Group Manager	Further development / implementation of initiatives.	Service Director - Transport & Group Manager		

Risk Response Form

				Impact/Probability		
Risk Reg Ref	17 Finance		Risk Owner: Service Director Transport, Engineering Services Manager		Inherent Score (Red/Yellow/Green)	M/M (Amber)
Risk	Failure to meet our S58 obligations. Reactive maintenance needed to ensure safety of highway. Preventing claims.			Residual Score (Red/Yellow/Green)		M/M (Amber)
Consequences	Claims for loss/injury. Breach of statutory duty to maintain. Increase in maintenance burden, leading to backlogs & hence more demands. Effect on economy from traffic delays & unsafe routes.			Comments Essential to keep on top of risk management portfolio		
Risk Trigger	Current Mitigation	Responsibility	Further Action	Responsibility		
Lapses in misfeasance, malfeasance, non-feasance.	Ongoing development of Highways Asset Management planning. Ensure robust operational procedures to back up HAM.	Group Manager, HAM/Engineering Services	Modernise procedures/processes - mainly via IT/GIS/integrated database developments - all towards TAMP.	Group Manager, HAM/Engineering Services		
Lack of staff/other resources to cover all bases.	Ongoing review to ensure that limited resources are carefully focussed on the higher risks - leading to re-structuring & budgetary virement if appropriate.	Group Manager, HAM/Engineering Services	Keep abreast of national developments (including legal), continue with own R&D issues.	Group Manager, HAM/Engineering Services		

Risk Response Form

				Impact/Probability		
Risk Reg Ref	18 Finance		Risk Owner: David Bishop, Service Director Transport, Zoe Willcox, Kate Davenport, Alun Owen		Inherent Score (Red/Yellow/Green)	H/L (Amber)
Risk	Budget management – budgetary control by Management Team and cost centre managers, particularly during the economic recession.			Residual Score (Red/Yellow/Green)	M/M (Amber)	
Consequences	Adverse publicity. Vacancy management impacts on service provision. Forces unplanned service reductions to compensate for budgetary pressures.			Comments		
Risk Trigger	Current Mitigation	Responsibility	Further Action	Responsibility		
Unforeseen service pressures	Clear definition of responsibilities; sufficient training; accurate and timely information/reporting together with the identification of corrective action (examples of financial risk include parking income concessionary fares and lack of IT investment. Additionally due to the downturn in economic activity and resultant recession a number of income streams are under threat including parking, Development Management (formerly Development Control), Building Regulation and Standards (formerly Building Control), land charges and Colston Hall. Development Management and Building Regs and Standards supported through increased public investment.	City Development DMT	Ensure budgeting for the year ahead is linked to service delivery and published business plans.	City Development DMT		

Risk Response Form

				Impact/Probability	
Risk Reg Ref	19 Finance	Risk Owner: David Bishop, Service Director Transport, Zoe Willcox, Kate Davenport, Alun Owen		Inherent Score (Red/Yellow/Green)	H/M (Red)
Risk	Failure to deliver, leading to a financial penalty, loss of reward, e.g. Planning Delivery Grant, Transport Settlement Grant, Housing numbers.			Residual Score (Red/Yellow/Green)	L/L (Green)
Consequences	Loss of Funding.			Comments	
Risk Trigger	Current Mitigation	Responsibility	Further Action	Responsibility	
Failure to deliver	Recession action including working with development sector to enable housing permissions granted to be implemented by renegotiating S106s. Facilitating RSL delivery if open market housing permissions granted. Lobby revised assessment criteria for HPDG with CLG. Transport settlement. Successful moving of Incapacity Benefit claimants into sustained employments. Increasing range of initiatives designed to move Incapacity Benefit claimants into work.	City Development DMT. Zoe Willcox.			

Risk Response Form

				Impact/Probability		
Risk Reg Ref	20 People		Risk Owner: David Bishop, Service Director Transport, Zoe Willcox, Kate Davenport, Alun Owen		Inherent Score (Red/Yellow/Green)	H/M (Red)
Risk	Recruitment and retention of key staff.				Residual Score (Red/Yellow/Green)	M/L (Green)
Consequences	The directorate would be unable to carry out its statutory functions (e.g.,. consultation) and have capacity to deliver major projects and adequately perform the role of Strategic Transport Management.				Comments	
Risk Trigger	Current Mitigation	Responsibility	Further Action	Responsibility		
Insufficiency of job applications meeting the employee specification	Continually review pay and conditions; and market differential	City Development DMT	Restructuring currently underway, will endeavour to ensure remuneration levels are commensurate with the workload / skill set needed.	City Development DMT		

Risk Response Form

				Impact/Probability	
Risk Reg Ref	21 People		Risk Owner: David Bishop, Service Director Transport, Zoe Willcox, Kate Davenport, Alun Owen	Inherent Score (Red/Yellow/Green)	H/M (Red)
Risk	Inadequate health and safety management.			Residual Score (Red/Yellow/Green)	L/L (Green)
Consequences	Injury, financial claims, health & safety directive.			Comments	
Risk Trigger	Current Mitigation	Responsibility	Further Action	Responsibility	
Inadequate management of H&S process	H&S Action Plan prepared and monitored. Clear responsibilities for 1 st , 2 nd , and 3 rd tier. Half post currently funded by City Development	Alun Owen leads -- also quarterly review by DMT	Continued focus on the most sensitive areas, (eg Parking Services).	David Bishop, Terry Bullock Peter Brook Zoe Willcox Kate Hoare Ian MacDougall Paul Barnett	

Risk Response Form

				Impact/Probability	
Risk Reg Ref	22 People		Risk Owner: David Bishop, Service Director Transport, Zoe Willcox, Kate Davenport, Alun Owen	Inherent Score (Red/Yellow/Green)	H/H (Red)
Risk	Industrial Relations.			Residual Score (Red/Yellow/Green)	M/M (Amber)
Consequences	Disruption to services or unplanned increase in costs as a result of breakdown in industrial relations.			Comments	
Risk Trigger	Current Mitigation	Responsibility	Further Action	Responsibility	
Industrial dispute	JCC, EJCC consultation arrangements, and informal C Ex/TU meeting.	City Development DMT	Major service reviews / transformation projects-consultation / engagement arrangements in place but need to be kept under review.		
	National terms and conditions applied.				
	Clearly defined local policies and framework core policies/ procedures.				
	HR Committee/HOPs approval and appeal mechanism.				
	Staff consultation/engagement on specific issues.eg meeting with Regional Officers re Transformation.				

Risk Response Form

				Impact/Probability	
Risk Reg Ref	23 Reputation	Risk Owner: David Bishop, Kate Davenport, Paul Barnett, Kate Brindley		Inherent Score (Red/Yellow/Green)	H/H (Red)
Risk	Bristol's national reputation for culture.			Residual Score (Red/Yellow/Green)	H/M (Red)
Consequences	Failure to complete the Museum of Bristol on time and budget. Reduction of Museum external funding, Renaissance. Failure to implement staffing review. Cycling City/Stadium delivery.			Comments	
Risk Trigger	Current Mitigation	Responsibility	Further Action	Responsibility	
Failure to deliver Museum of Bristol on time	Dedicated project managers reporting to high level project board.	City Development DMT	Clarification of roles and responsibilities.	David Bishop.	
Reduction in external funding, (e.g. Renaissance).	High level review of regional Renaissance funding led by senior Bristol staff.	Paul Barnett	Capacity to introduce innovation within timescales required by funders.	Paul Barnett/Kate Brindley	
Failure to implement staffing review.	Consultation with Museum Select Committee and across City Development to refine final proposals.	City Development DMT	Publish and consult on final proposals by 1 April 2009.	Paul Barnett/Kate Brindley	

Risk Response Form

				Impact/Probability	
Risk Reg Ref	24 Financial	Risk Owner: David Bishop, Service Director Transport, Zoe Willcox, Kate Davenport Alun Owen		Inherent Score (Red/Yellow/Green)	M/M (Amber)
Risk	Unplanned emerging pressures relating to core revenue budgets and capital (RFA/LTP).			Residual Score (Red/Yellow/Green)	M/M (Amber)
Consequences	Short term initiatives leading to long term costs (e.g. Cycling City). Inadequate transport infrastructure/structural maintenance of highway leads to decrease in asset value. Neighbourhoods agenda/leading to fragmentation of Corporate Transport Policies and budgets.			Comments	
Risk Trigger	Current Mitigation	Responsibility	Further Action	Responsibility	
Short term initiatives leading to long term costs (e.g. Cycling City).	Working with colleagues within Corporate Resources at the Centre to secure finance.	City Development DMT			
Inadequate transport infrastructure/structural maintenance of highway leads to decrease in asset value	Prioritised capital investment identified through the Directorate asset management planning process.				
Neighbourhoods agenda/leading to fragmentation of Corporate Transport Policies and budgets. (Executive Member concern). Absence of appropriate processes and procedures governing /linking the Neighbourhood Partnership decisions through to implementation on the ground. (Executive Member concern).	Sensitive devolvement of Neighbourhood's budgets. Neighbourhood Partnership Committees will be essentially asked to prioritise a list of schemes identified in pursuance of the Corporate Transport Policy.				