

BRISTOL CITY COUNCIL
Audit Committee
30th September 2011

Report of: Neighbourhoods and City Development Directorate Risk Champion

Report Title: Neighbourhoods and City Development (excluding HRA)
Directorate Risk Register

Ward: Citywide

Officer presenting report: Mike Harding, Finance Business Partner

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RECOMMENDATION

The Audit Committee review, and comment upon the Neighbourhoods and City Development (excluding HRA) Directorate Risk Register (DRR) to ensure that the register properly reflects members current opinion.

SUMMARY

The current Quarter 1, Version 1 of the DRR is attached at Appendix A.

The purpose of this report is to brief the Audit Committee on the compilation and review of the combined Neighbourhoods and City Development (excluding HRA) Risk Register.

The significant issues in the report are:

The main content changes to the register since the previous quarter (Quarter 4: 2010/11) are summarised in the DRR document header at Appendix A.

Policy

Periodic review of the Directorate Risk Registers at the Audit Committee is a stated aim of the Risk Management Policy. Ordinarily each Directorate submits a risk register on an annual basis to the Audit Committee for information, and at intermittent intervals, such as this occasion, a report is presented as an agenda item.

Consultation:

Internal: Officers within the Directorate, including risk/mitigation owners consulting with the the Directorate Risk Champion.

External: None necessary

1. Background

- 1.1 As a result of Directorate restructuring, the previously separate risk registers compiled for Neighbourhoods, and for City Development are now combined within a single Neighbourhoods and City Development (excluding HRA) DRR.

- 1.2 Conclusions drawn from an internal risk management survey of selected Members and officers conducted in 2010 included the recognition that automation of the previous manually prepared Directorate risk registers was required in order to inject fresh impetus into the risk management process for identifying, analysing, managing and, in particular, the reviewing and reporting of risk. The pre-existing computerised SPAR.net system had been fully operational in respect of the Corporate Risk Register since 2009/10, and the target date by which all the Directorate Risk Registers were to be input to the SPAR.net system was agreed as March 2011.
- 1.3 Management of the risks for both the former Neighbourhoods Directorate and the City Development Directorate have therefore been fully automated for the first Quarter in 2011/12, as per the combined register attached at Appendix A. The SPAR.net system facilitates use of various differently styled reporting formats, and in particular Directorate risks are now filtered into separate Portfolio reports for submission to the appropriate Executive Members.

2. 2011/12 N & CD (Excl HRA) Directorate Risk Register - Quarter 1 Update

- 2.1 There are currently 17 risks in the DRR - including 4 which are also included as corporate risks in the Corporate Risk Register.
- 2.2 There are 7 key risks for which the current risk (ie the residual risk after considering all mitigations) remains high.
- 2.3 All risks were reviewed by the risk owners at Quarter 1, and the mitigations and current status updated accordingly.
- 2.4 Since the previous quarterly review, there have been no new risks added, and one risk has been deleted (NH006).
- 2.5 The Quarter 1 register was reported to the 19th August 2011 Directorate Management Team, and to the appropriate Portfolio Executive Members on 19th, 21st and 28th September 2011.

3. Risk Assessment

- 3.1 There are no risks arising directly from this report, although clearly the risk management process minimises the risk of failures in the Council's service provision, and supports the internal control environment and governance arrangements. The risk management process provides for Member involvement in ensuring that risks facing each Directorate are properly addressed and managed.

4. Equalities Impact Assessment

- 4.1 None necessary for this report

5. Legal and Resource Implications

- 5.1 **Legal** - N/A

- 5.2 **Resource** - N/A

Appendices

Appendix A - Neighbourhoods & City Development (excluding HRA) Directorate Risk Register

LOCAL GOVERNMENT ACCESS TO INFORMATION

Background Papers Relevant background details held on SPAR.net

2011/12 - QUARTER 1 RISK REPORT

NEIGHBOURHOODS & CITY DEVELOPMENT
(EXCLUDING HRA)
DIRECTORATE RISK REGISTER

	No.	Day	Month	Year
VERSION	1	30	Sep	2011

VERSION CONTROL HISTORY

Version No.	Reviewed By:	Review Date	Version No.	Reviewed By:	Review Date
1	N & CD DMT	19 th Aug 11	1	Executive Member's for Targeted Improvements , and for Neighbourhoods.	28 th Sep 11
1	Deputy Leader & Executive Member for Capital Programme, Sport & Culture	19 th Sep11	1	Audit Committee	30 th Sep 11
1	Executive Member's for Housing & Regeneration, and for Transport.	21 st Sep 11			

SIGNIFICANT CHANGES

Risk No.	RISK Brief risk narrative	Current Risk Ranking	VARIATION TO RISK																							
			Previous Risk Ranking	Direction of travel Current Status Previous Status	Impact																					
						<table border="1"> <tr> <td>High</td> <td>HL 3</td> <td>HM 6</td> <td>HH 9</td> </tr> <tr> <td>Medium</td> <td>ML 2</td> <td>MM 4</td> <td>MH 6</td> </tr> <tr> <td>Low</td> <td>LL 1</td> <td>LM 2</td> <td>LH 3</td> </tr> <tr> <td></td> <td>Low</td> <td>Medium</td> <td>High</td> </tr> <tr> <td></td> <td colspan="3" style="text-align: center;">Probability</td> </tr> </table>	High	HL 3	HM 6	HH 9	Medium	ML 2	MM 4	MH 6	Low	LL 1	LM 2	LH 3		Low	Medium	High		Probability		
High	HL 3	HM 6	HH 9																							
Medium	ML 2	MM 4	MH 6																							
Low	LL 1	LM 2	LH 3																							
	Low	Medium	High																							
	Probability																									
CRR 042	Flood risk	1	N/A	6	6	<p>The following mitigations are complete:</p> <ul style="list-style-type: none"> Preliminary assessment. Close working liaison with Civil Contingency Unit. BCC flood plan. Multi agency flood planning exercise. <p>Further information:</p> <p>Five mitigations are behind schedule and are waiting for resource allocation from the Highways Asset Management (HAM) review which is almost complete.</p>																				
NH0 03	Risk of failure to deliver Parks and Green Space Strategy	2	N/A	6	6	All mitigations are currently on schedule.																				
CD0 06	Risk of not meeting parking income targets	3	N/A	6	2	<p>The following mitigation is complete:</p> <ul style="list-style-type: none"> Kingsdown Residential Parking Scheme. <p>Further information:</p> <p>The risk status has been increased to High/Medium as the tariffs requiring a full Traffic</p>																				

Risk No.	RISK		VARIATION TO RISK			
	Brief risk narrative	Current Risk Ranking	Previous Risk Ranking	Direction of travel		Impact
				Current Status	Previous Status	High
						Medium
Low						
				Probability		
						Regulation Order (TRO) are well behind schedule. Peter Mann is escalating the issues identified with legal services and traffic management team.
CD0 07	Risk of loss of paper records from 1948 to 2005	4	N/A	6	6	The cost of digitising these planning records mean that this risk is not likely to change unless the current storage space in Brunel House is required.
CD0 09	Pressures relating to core revenue budgets/capital	5	N/A	6	6	To be merged with NH01 shown below.
CD0 10	Partnership working	6	N/A	6	6	All mitigations are currently on schedule. This risk is under review by Graham Sims due to the merge of NH & CD.
NH0 01	Strategic financial risk	7	N/A	6	6	This is a similar risk to CD09 and both will be merged in the next period.
CRR 004	Management and delivery of major infrastructure projects	8	N/A	4	4	The following mitigation has been closed: On-line customer engagement. This mitigation was discussed on CD&NH DMT and agreed that it was not now required.
CRR 013	Civil emergency	9	N/A	4	4	The following mitigation is complete: 2 nd tier contingency champions identified for each directorate.
CD0 01	Risk to street lighting budget from increase in energy prices	10	N/A	4	4	Results of the delayed energy contract may change the status of this risk when evaluated by the time of the next risk update.
CD0 04	Failure to meet our S58 obligations	11	N/A	4	4	The following mitigation has been closed: Implement procedures to back up HAM. This is included in the Modernise procedures and processes mitigation. Further information: Ongoing development and modernisation of procedures are behind schedule awaiting a resource as part of the current HAM review.
CD0 03	Failure to plan for effective winter maintenance	12	N/A	4	6	The following mitigations are complete: Exploring joint working with other local authorities. Gritting prior to gridlock (as this is standard procedure). Improved PR with TV and radio 2010/11.
CD0 11	Industrial Relations	13	N/A	4	4	All mitigations are currently on schedule. This risk is under review by Graham Sims due to the merge of NH & CD.
CRR 040	Climate change - future proofing Bristol	14	N/A	4	4	All mitigations are currently on schedule.
NH0 02	Waste collection, streetscene & disposal contracts	15	N/A	3	6	The following mitigations are complete: Resource allocation. Funding control.

Risk No.	RISK		VARIATION TO RISK			
	Brief risk narrative	Current Risk Ranking	Previous Risk Ranking	Direction of travel		Impact
				Current Status	Previous Status	
						High HL 3 HM 6 HH 9
						Medium ML 2 MM 4 MH 6
						Low LL 1 LM 2 LH 3
						Low Medium High
						Probability
	not fulfilling objectives					Council sign off. Contract management capacity.
CD005	Bridge Valley Road stabilisation	16	N/A	3	6	The following mitigations are complete: Options for re-opening the footpath. Design plan. Commencement of work. Design and tendering for stabilisation. Further information: The remaining mitigation contract completion is due by the end of September 2011.
CD008	Management and delivery of transformation of Culture and related Stakeholder Management	17	N/A	3	6	The following mitigations are complete: M Shed delivered. Cultural service departments repositioned. Colston Hall Trust status delivered.
NH006	Business continuity management		N/A			DELETED This risk has been deleted as it is covered within CRR013 - Civil Emergency

N&CD - ALL RISKS (excl: HRA)

Report for 2011-2012

Filtered by Service: Major Projects, City Transport, Arts and Culture, Docks, Building Practice, Museums & Archives, Environmental and Leisure Services, Corporate Indicators (CD), Development Services, Safer Bristol Partnership, Regeneration, Corporate Indicators (N&HS), City Design, Sustainable City, Strategic Planning, Passenger Transport, Traffic and Highways
Not Including Child Projects records, Including Mitigation records

Key to Performance Status:

Mitigation: Well behind schedule Behind schedule On schedule Completed No Data available

Risks: Review Overdue (0+) High (6+) Medium (3+) Low (1+)

N&CD - ALL RISKS (excl: HRA)

Risk: Flood Risk The risk affecting over 16,000 properties, 30,000 expected in future in addition to major trunk roads (e.g. A4, M5, M49, M32) and 15,000 properties in business and industry					Risk Code: CRR042
Inherent Status: High (6)		Inherent Risk Severity: High		Inherent Risk Likelihood: Medium	
Date Identified: 20 Sep 2010				Service: Traffic and Highways	
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
On schedule	Adequate insurance	Ensure all Council premises and housing stock are adequately insured.	Simon Creed	28/04/2011	30/06/2011
On schedule	Barrier equipment	Ensure sufficient flood barrier equipment is in place, maintained and staff training is provided by 31st March 2012.	Simon Creed	28/04/2011	30/06/2011
Completed	BCC Flood Plan	Complete a BCC Flood Plan	Simon Creed	28/04/2011	30/06/2011
Behind schedule	Business case for Highways drainage and watercourses	To secure funding required to catch-up on works to improve the highway drainage and watercourses. HAM review to be finalised to progress this further.	Steven Sodek	01/10/2010	30/06/2011
On schedule	Conduct Central Area Flood Risk Assessment	A study to understand the level of protection of defences along the River Avon and its tributaries now and in the future (climate change and sea level rise). Progressing as planned. Issues arising from survey may delay study by two months. Outcomes of low defences will require immediate attention/funding.	Steven Sodek	01/10/2010	30/06/2011
On schedule	Conduct Surface Water Management Plan Study	To understand the impact of rainfall run-off over the whole city. High risk areas now identified and broad scale options are being developed. Phase 2 to start shortly. Additional funds have been applied for.	Steven Sodek	01/10/2010	30/06/2011
On schedule	Continued flood support Council wide	Continued support to flooding response from Highways and Waste teams	Jim Creamer	28/04/2011	30/06/2011
Behind schedule	Develop a strategy as required by the Flood Water Maintenance Act 2010	HAM review and funding confirmation now needs urgent attention to identify resources to deliver these requirements.	Steven Sodek	01/10/2010	30/06/2011
Behind schedule	Develop an understanding of how to improve defences and mitigate risks to protect Avonmouth	Unable to progress due to funding restrictions. Other sources of funding are currently being explored.	Steven Sodek	01/10/2010	30/06/2011
On schedule	Develop Water Management Policy	To develop a Water Management Policy within the Core Strategy to manage how water is used. HAM review to be finalised to progress this further.	Steven Sodek	15/12/2010	30/06/2011
Behind schedule	Dundry Hill Flood Risk Assessment	A study to improve the asset database and understand the risks that the unique topography of the area poses towards properties in South Bristol. Approvals from the Environment Agency have taken longer than expected. Outcomes of	Steven Sodek	01/10/2010	30/06/2011

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N&CD - ALL RISKS (excl: HRA)					
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
		low defences will require immediate attention/funding.			
On schedule	Establish a register	As required by the Flood Water Maintenance Act to log all flood incidents.	Steven Sodek	01/10/2010	30/06/2011
On schedule	Establish an automated system to improve delivery and compliance with maintenance contracts	Reports are expected by 31st July 2011	Steven Sodek	01/10/2010	30/06/2011
Completed	Establish close working liaison with Civil Contingency Unit	Close working liaison to be established with Civil Contingency Unit in order to be prepared for major floods.	Steven Sodek	01/10/2010	30/06/2011
Completed	Exercise Watermark	Complete the multi-agency flood planning and exercising (Exercise Watermark March 2011).	Simon Creed	28/04/2011	30/06/2011
On schedule	Flood awareness	Undertake awareness work around rapid catchment area - Brislington Brook.	Simon Creed	28/04/2011	30/06/2011
On schedule	Insurance for Council tenants	Undertake work to increase the take-up of building contents insurance by Council tenants.	Tim Bruce	28/04/2011	30/06/2011
Completed	Preliminary Flood Risk Assessment	To complete a preliminary Flood Risk Assessment as required by the EU Floods Directive.	Steven Sodek	01/10/2010	30/06/2011
On schedule	Property protection	Work to improve the individual property protection to the Council social housing stock.	Tim Bruce	28/04/2011	30/06/2011
On schedule	Sustainable drainage systems approval responsibility	Co-ordinate and obtain approval for sustainable drainage systems for new developments due in April 2012. Preparation and further guidance from DEFRA is expected in summer 2011.	Steven Sodek	01/10/2010	30/06/2011
Behind schedule	To identify additional land	Additional land to be identified for development control to be safeguard for flood prevention measures. HAM review to be finalised to progress this further.	Steven Sodek	01/10/2010	30/06/2011
On schedule	Update Recovery Plan	The plan was issued in 2006 and will be reviewed by 31st March 2012.	Simon Creed	28/04/2011	30/06/2011
On schedule	Warnings and forecasts	Ensure continuation of information reviewed relating to EA flood warnings and Met Office weather forecasts.	Simon Creed	28/04/2011	30/06/2011
Current Status: High (6)		Current Risk Severity: High	Current Risk Likelihood: Medium		
Risk Champion: Kevin Lock					

N&CD - ALL RISKS (excl: HRA)

Risk: Risk Of Failure To Deliver P&GSS (Parks & Green Space Strategy) Health & safety risks leading to closure of facilities.
 Reputational damage.
 Unstrategic approach to maintenance - dealing with crisis rather than planned.

Risk Code: DRR - NH003**Inherent Status: High (9)****Inherent Risk Severity: High****Inherent Risk Likelihood: High****Date Identified: 15 Nov 2010****Service: Environmental and Leisure Services****Mitigation records**

Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
On schedule	Citizen consultation	Members of the public are engaged with in both surveys and full public consultations to ensure maximum awareness of proposals to all affected parties and reduce the risk of legal challenge to the Parks & Green Space Strategy. A cross party working group is now in place to agree the way forward with the strategy.	Tracey Morgan	15/11/2010	30/06/2011
On schedule	Contractor performance monitoring	Random spot-check visits carried out by Monitoring Officers on importance graded basis to ensure compliance with contract specifications and the Parks & Green Space Strategy documentation	Paul Manton	15/11/2010	30/06/2011
On schedule	Financial & performance monitoring	Monthly monitoring updates issued to cost centre managers for consultation and action. Progress feedback given to Service Director at periodic meetings	Tracey Morgan	15/11/2010	30/06/2011

Current Status: High (6)**Current Risk Severity: High****Current Risk Likelihood: Medium****Risk Champion: Kevin Lock**

N&CD - ALL RISKS (excl: HRA)

Risk: Risk of not meeting parking income targets Loss of income from on and off street parking, penalty charge notices etc. Unable to meet saving target and an adverse effect on service provision					Risk Code: DRR - CD006	
Inherent Status: High (6)		Inherent Risk Severity: High		Inherent Risk Likelihood: Medium		
Date Identified: 20 Sep 2010				Service: City Transport		
Mitigation records						
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date	
Behind schedule	Enforcement controls	Liaise with HAM on the clearance of backlog TRO's and Lines and Signs. Good progress to date with sign replacement Initial progress with lines has now halted again. HAM to be chased by 31st August 2011 with regards to clearing the backlog.	Terry Bullock	01/10/2010	30/06/2011	
On schedule	Implement new financial monitoring systems	Robust monitoring systems are now in place. Potential financial risks have been highlighted but it is too early in the year to draw any firm conclusions.	David Bunting	01/10/2010	30/06/2011	
Behind schedule	Increase the number of bus lanes to be enforced (BLE)	Well behind schedule due to lack of resource in TRO team and pressure to progress the GBBN project. Extra resource brought in to help project where possible. Serious concerns over delays. Peter Mann to escalate risk issues identified for Parking Services, and in particular lack of TRO delivery with Stephen McNamara, Joanne Mansfield and TMT by end of July 2011.	Terry Bullock	01/10/2010	30/06/2011	
On schedule	Introduction and expansion of new technology	Mobile CCTV enforcement - Draft spec produced and meetings have been held with legal and finance. Update to be given by 30th September 2011.	David Bunting	01/10/2010	30/06/2011	
Completed	Kingsdown RPS	Implementation of new residential parking scheme. Now fully operational as forecast.	Terry Bullock	01/10/2010	30/06/2011	
Behind schedule	New Parking tariffs	Report approved by cabinet Sept 2010. Tariffs requiring a full Traffic Regulation Order (TRO) change are currently with Traffic Management and legal for progression but are well behind schedule. Changes not now forecast to come into effect until 2012/13 financial year. Peter Mann to escalate risk issues identified for Parking Services, and in particular lack of TRO delivery with Stephen McNamara, Joanne Mansfield and TMT by end of July 2011.	David Bunting	01/10/2010	30/06/2011	
On schedule	Performance monitoring	Regular performance monitoring of staff to ensure current productivity levels maintained.	David Bunting	01/10/2010	30/06/2011	
Current Status: High (6)		Current Risk Severity: High		Current Risk Likelihood: Medium		
Risk Champion: Kevin Lock						

N&CD - ALL RISKS (excl: HRA)

Risk: Risk of loss of paper records from 1948 to 2005 Loss, partial loss or damage to statutory planning and building regulations records, deeds, legal agreements and associated correspondence relating to land and buildings, Magistrates Court, Coroners Court, fire service, etc.					Risk Code: DRR - CD007
Inherent Status: High (6)		Inherent Risk Severity: High	Inherent Risk Likelihood: Medium		
Date Identified: 20 Sep 2010		Service: Development Services			
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
Behind schedule	Archiving	A large volume of non-planning applications have been archived in June and July 2011 however the risk of damage remains similar. The remaining planning applications need to be readily retrievable.	Nicky Winter	01/10/2010	30/06/2011
Behind schedule	Digitisation of records	All records from 2005 are scanned. Efficiency savings and budget pressures prevent historic records being scanned. The final decision on the protection of these records will be determined by the future requirements of Brunel House.	Nicky Winter	21/07/2011	
Completed	Transfer of data from historic A5 card index system	Following a VFM review it was decided that the resources required to complete this task outweighed the benefit of transferring the data which is rarely required. This task will now not happen.	Nicky Winter	01/10/2010	30/06/2011
Current Status: High (6)		Current Risk Severity: High	Current Risk Likelihood: Medium		
Risk Champion: Kevin Lock					

Risk: Pressures relating to core revenue budgets/capital (RFA/LTP) Pressures relating to core revenue budgets and capital (RFA/LTP) combined with internal Corporate restraints and Strategic Options. Failure to meet budgets and savings and an adverse effect on service provisions.					Risk Code: DRR - CD009
Inherent Status: High (6)		Inherent Risk Severity: High	Inherent Risk Likelihood: Medium		
Date Identified: 20 Sep 2010		Service: Corporate Indicators (CD)			
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
On schedule	Early corrective action	Early corrective action to ensure resources and income are in balance for projects and service delivery.	Graham Sims	01/10/2010	30/06/2011
On schedule	Monitoring and reporting	Monthly monitoring and reporting of progress on projects and programmes and saving initiatives	Graham Sims	01/10/2010	30/06/2011
On schedule	Prioritise capital investments	Prioritised capital investments identified through the Directorate Asset Management Planning process.	Graham Sims	01/10/2010	30/06/2011
On schedule	Review of service areas	Review of service areas for externalising service to provide 'best in class' service and realise efficiency savings.	Graham Sims	01/10/2010	30/06/2011
On schedule	Secure Finance	Working with colleagues within Corporate Resources at the Centre to secure finance.	Graham Sims	01/10/2010	30/06/2011
Current Status: High (6)		Current Risk Severity: High	Current Risk Likelihood: Medium		
Risk Champion: Kevin Lock					

N&CD - ALL RISKS (excl: HRA)

Risk: Partnership working Failure to achieve the benefits from partnership working, with an adverse effect on funding, outcomes and resources.					Risk Code: DRR - CD010
Inherent Status: High (6)		Inherent Risk Severity: High	Inherent Risk Likelihood: Medium		
Date Identified: 20 Sep 2010			Service: Corporate Indicators (CD)		
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
On schedule	Establish a new Local Enterprise Partnership (LEP)		Graham Sims	01/10/2010	30/06/2011
On schedule	Establish Partnerships	Work to establish partnerships with other organisations and government bodies.	Graham Sims	01/10/2010	30/06/2011
On schedule	Pursue LEP funding resources	Pursue all funding resources to enable LEP to be influential when established	Graham Sims	01/10/2010	30/06/2011
Current Status: High (6)		Current Risk Severity: High	Current Risk Likelihood: Medium		
Risk Champion: Kevin Lock					

Risk: Strategic Financial Risk Failure to plan early enough and secure necessary support for service changes will mean that Neighbourhoods becomes overspent against a reduced revenue budget, especially from 2011/12 onwards. Saving targets may increase for individual divisions to meet the shortfall from others in the directorate					Risk Code: DRR - NH001
Inherent Status: High (6)		Inherent Risk Severity: High	Inherent Risk Likelihood: Medium		
Date Identified: 15 Nov 2010			Service: Corporate Indicators (N&HS)		
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
On schedule	Strategic Options Review	Financial & operational review of strategic options continuing to be reviewed at regular intervals to ensure feasibility and that targets are met in strategic options deliverability	Graham Sims	15/11/2010	30/06/2011
On schedule	Use of communication plan	The communication plan is reviewed quarterly by NLT to reduce to potential adverse impact on the Councils reputation from frontline service reductions or decommissioning in Neighbourhoods	Graham Sims	15/11/2010	30/06/2011
On schedule	Use of contingency plans for strategic proposals	Extensive discussion and consultation with all stakeholders will be required to form individual service area contingency plans by end Nov 2010 and reviewed quarterly at NLT to reduce stakeholder resistance to strategic proposals	Graham Sims	15/11/2010	30/06/2011
On schedule	Use of service plans for MTFP achievement	Individual service plans to detail where potential savings can be realised to meet the maximum savings required in the MTFP to meet Government budget targets. Some service areas may be protected internally resulting in increased savings to be found from Neighbourhoods	Graham Sims	15/11/2010	30/06/2011
Current Status: High (6)		Current Risk Severity: High	Current Risk Likelihood: Medium		
Risk Champion: Kevin Lock					

N&CD - ALL RISKS (excl: HRA)

Risk: Management and Delivery of Major Infra-structure Projects Risk of increased costs and delay as a result of weaknesses in project planning and management.					Risk Code: CRR004	
Inherent Status: High (9)		Inherent Risk Severity: High		Inherent Risk Likelihood: High		
Date Identified: 01 Apr 2009				Service: Major Projects		
Mitigation records						
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date	
On schedule	Capital Programme Board	Capital Programme Board established to monitor key progress, spend, issues and risks monthly.	Alistair Cox	17/01/2011	17/08/2011	
On schedule	Continuous liaison	Continuous liaison between Capital Programme Officers and Project Managers to review progress, spend, issues and risks.	Alistair Cox	17/01/2011	17/08/2011	
On schedule	Government discussions for West of England Partnership	Continuous discussions with Government departments to ensure best decisions are made for West of England Partnership	Alistair Cox	17/01/2011	17/08/2011	
On schedule	Internal gateway review	Continue the internal gateway review process for major projects	Alun Owen	17/01/2011	17/08/2011	
On schedule	Member updates on project benefits	Frequent updates to Members on benefits of projects, in particular major regeneration projects, e.g. Lockleaze and Knowle West	Graham Sims	17/01/2011	17/08/2011	
On schedule	Monitoring of SW of E Project Fund	Regular monitoring of the South west of England Transport Project Fund FRA refresh scheme that has been secured - imminent budget cut/prioritisation is major risk.	Alun Owen	17/01/2011	17/08/2011	
Completed	On-line customer engagement	Implement a new effective on-line customer engagement mechanism to provide for community engagement to ensure buy-in, enabling successful delivery. Following discussion with DMT on 17th August 2011 it was established that this mitigation was not required under the CD/NH risk register.	Alun Owen	17/01/2011	17/08/2011	
On schedule	Review and Monitor Capital recharges	Regularly reviewed	Alistair Cox	17/01/2011	17/08/2011	
On schedule	Review major expenditure areas	Undertake a review of the major expenditure areas to ensure sufficient performance monitoring information is available to assess VFM of expenditure.	Alistair Cox	17/01/2011	17/08/2011	
On schedule	Sign-off of projects by Transformation Board	All projects to be signed-off by Transformation Board, comprising both strategic and service Directors.	Graham Sims	17/01/2011	17/08/2011	
Current Status: Medium (4)		Current Risk Severity: Medium		Current Risk Likelihood: Medium		
Risk Champion: Kevin Lock						

N&CD - ALL RISKS (excl: HRA)

Risk: Civil Emergency Inadequate response to a major incident or emergency resulting in avoidable injury or loss of life, disruption to critical service delivery, reputational damage, financial loss and protracted recovery.					Risk Code: CRR013
Inherent Status: High (9)		Inherent Risk Severity: High	Inherent Risk Likelihood: High		
Date Identified: 01 Apr 2009			Service: Safer Bristol Partnership		
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
On schedule	Active participation in the Local Resilience Forum	BCC leading or involved in Crowded Places, CBRN, Fuel Shortage, Warning and Informing, COMAH, Mass Fatalities and Communications LRF Planning Groups	Simon Creed	01/04/2009	17/08/2011
Behind schedule	Business Continuity related PMDS objectives for key staff	CCCG met 7 October 2010 with new Champions and agreed BC Strategy and Policy in which PMDS aspects will be included, which DCX will lead on. It also will include an annual review . CPU will raise the auditing procedures issue on CCCG 15th September 2011.	Graham Sims	01/04/2009	17/08/2011
On schedule	Community risks identified and communicated	Local Resilience Forum (LRF) Community Risk Register regularly reviewed; Draft Bristol focussed Risk Register to go to CCCG on 15th September 2011.	Simon Creed	23/01/2010	17/08/2011
On schedule	Critical Services and staff identified for each Directorate and continuity plans in place	Critical Service list reviewed June 2011. Critical Service Business Continuity Plans review is on schedule. Managers identified and trained - this an annual review.	Simon Creed	23/01/2010	17/08/2011
On schedule	Directorate Plans in preparation. Testing and review schedule.	Plans to be completed for new post-Transformation Directorates by 31st March 2012.	Simon Creed	23/01/2010	17/08/2011
On schedule	Emergency Plans exercised and reviewed on a regular basis	Exercise and Review schedule under production at both BCC and LRF levels, tying in where possible to national exercises.	Rick Palmer	23/01/2010	17/08/2011
On schedule	Resources for planning and testing	New directorates to identify the resources needed to deliver planning and testing outcomes by 31st March 2012.	Simon Creed	01/04/2009	17/08/2011
Completed	Second Tier Contingency Champions identified for each Directorate	Completed but likely to be affected by changes resulting from forthcoming restructuring. As at 17 Aug 11 complete and champions now in place.	Simon Creed	01/04/2009	17/08/2011
On schedule	Senior managers trained and on a 24/7 call-out rota	'Silver Command' training held for senior managers; Further opportunities to train with multi-agency partners will be offered to managers as they arise; Officers attending live incidents as required. Additional managers identified at silver and gold. New roster due to be published and training complete by 1st October 2011.	Simon Creed	01/04/2009	17/08/2011
On schedule	Sufficient trained staff and volunteers	Following a restructure, reprioritising of work and programming has brought this training back on schedule.	Simon Creed	01/04/2009	17/08/2011
Current Status: Medium (4)		Current Risk Severity: Medium	Current Risk Likelihood: Medium		
Risk Champion: Kevin Lock					

N&CD - ALL RISKS (excl: HRA)

Risk: Risk to street lighting budget from increase in energy prices Estimated increase of between 10% and 20% per year in energy costs for unmetered supply					Risk Code: DRR - CD001	
Inherent Status: High (6)			Inherent Risk Severity: Medium		Inherent Risk Likelihood: High	
Date Identified: 20 Sep 2010					Service: Traffic and Highways	
Mitigation records						
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date	
On schedule	Introduce dimming or part night lighting	Reduce energy consumption by involving Neighbourhood partnerships & residents. Trials in place and due completion by end of August 2011. Realistic targets will then be set.	Adam Crowther	03/11/2010	30/06/2011	
On schedule	Monitor New Technology	Continue to assess new technologies such as LED lighting to identify future opportunities to reduce energy usage. £250k Salix funding identified this year to complete 2,500 bollards by 31 March 2012.	Adam Crowther	03/11/2010	30/06/2011	
Behind schedule	Prepare and tender new energy contract	Aiming to award new contract in August 2011. As the contract was not prepared in good time we will have to accept the energy price we are offered.	Adam Crowther	03/11/2010	30/06/2011	
Current Status: Medium (4)			Current Risk Severity: Medium		Current Risk Likelihood: Medium	
Risk Champion: Kevin Lock						

Risk: Failure to meet our S58 obligations Failure to implement the maintenance programme leading to claims for loss/injury. Inadequate funding leading to deterioration. Increase in burden, leading to backlogs and hence more demands. Effect on the economy from traffic delays and unsafe routes.					Risk Code: DRR - CD004	
Inherent Status: High (6)			Inherent Risk Severity: High		Inherent Risk Likelihood: Medium	
Date Identified: 20 Sep 2010					Service: Traffic and Highways	
Mitigation records						
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date	
On schedule	Ensure knowledge of national developments	Ensure knowledge of national developments (including legal) and continue with own R&D issues.	Terry Bullock	01/10/2010	30/06/2011	
Completed	Implement procedures to back up HAM	Implement operational procedures to back up HAM - This is part of the above heading and is to be deleted	Terry Bullock	01/10/2010	30/06/2011	
Behind schedule	Modernise procedures and processes	Modernise procedures and processes - mainly via IT/GIS/integrated database development, all towards TAMP. Progress on database development is to be continued and a resource needs to be identified by 30th September 2011.	Terry Bullock	01/10/2010	30/06/2011	
Behind schedule	Ongoing development of Highways Asset Management planning	RSCAM project has been developed to aid this target. This has been delayed due to review and resource. Resource needs to be identified by 30th September 2011.	Terry Bullock	01/10/2010	30/06/2011	
On schedule	Resources focus on higher risks	Ongoing review to ensure that limited resources are carefully focussed on the higher risks - leading to restructuring and budgetary virement if appropriate.	Terry Bullock	01/10/2010	30/06/2011	
Current Status: Medium (4)			Current Risk Severity: Medium		Current Risk Likelihood: Medium	
Risk Champion: Kevin Lock						

N&CD - ALL RISKS (excl: HRA)

Risk: Failure to plan for effective winter maintenance Dangerous, impassable roads leading to congestion. Public transport unable to operate effectively. Schools, elderly person's homes etc closed. Emergency services affected. Major/minor RTA's. Personal injury from slips on icy surfaces. Threat to life/community welfare from stranded motorists. **Risk Code: DRR - CD003**

Inherent Status: High (6) **Inherent Risk Severity: High** **Inherent Risk Likelihood: Medium**
Date Identified: 20 Sep 2010 **Service: Traffic and Highways**

Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
Completed	Explore further joint working with neighbouring authorities	Informal liaison has taken place with the sub-region about salt stocks and back up of gritting vehicles. There is not an appetite for a formal agreement.	Jim Creamer	01/10/2010	30/06/2011
On schedule	Grit drop at 600 locations.	Arrangements are in place for grit to be dropped to up to 600 locations in extreme weather. This will be reviewed in August 2011.	Jim Creamer	01/10/2010	30/06/2011
Completed	Gritting to be carried out prior to likelihood of traffic gridlock	This is carried out as standard practice.	Jim Creamer	01/10/2010	30/06/2011
Completed	Improved PR with TV and radio broadcasts on timely travel	This referred to extra TV and radio interviews for 2010/11 and was actioned.	Jim Creamer	01/10/2010	30/06/2011
On schedule	Increase salt supplies	Procure salt supplies and arrange undercover storage to ensure greater supplies can be held. Storage may become available at Hartcliffe depot. Tenders are due back by 31st July 2011.	Jim Creamer	01/10/2010	30/06/2011
On schedule	Possible installation of additional weather station(s)	An opportunity has arisen for a 'free trial' with Findlay Irvine which is under consideration for a decision to be made in August 2011.	Jim Creamer	01/10/2010	30/06/2011
On schedule	Review grit drop provision for VFM	Previous grit drops were expensive and not very effective. Alternatives are to be discussed with the executive member by 30th September 2011.	Jim Creamer	21/07/2011	

Current Status: Medium (4) **Current Risk Severity: Medium** **Current Risk Likelihood: Medium**
Risk Champion: Kevin Lock

Risk: Industrial relations Disruption to services or unplanned increase in costs as a result of breakdown in industrial relations. **Risk Code: DRR - CD011**

Inherent Status: High (9) **Inherent Risk Severity: High** **Inherent Risk Likelihood: High**
Date Identified: 20 Sep 2010 **Service: Corporate Indicators (CD)**

Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
On schedule	HR Committee/HOP's approval	Approval and appeal mechanism.	Graham Sims	01/10/2010	30/06/2011
On schedule	JCC AND EJCC consultations	JCC, EJCC consultation arrangements, and informal C Ex/TU meeting	Graham Sims	01/10/2010	30/06/2011
On schedule	National terms and conditions applied.		Graham Sims	01/10/2010	30/06/2011
On schedule	Policies and Framework	Clearly defined local policies and framework core policies/procedures.	Graham Sims	01/10/2010	30/06/2011
On schedule	Staff consultation/engagement	Staff consultation/engagement on specific issues e.g. meeting with Regional Officers re: Transformation.	Graham Sims	01/10/2010	30/06/2011

Current Status: Medium (4) **Current Risk Severity: Medium** **Current Risk Likelihood: Medium**
Risk Champion: Kevin Lock

N&CD - ALL RISKS (excl: HRA)

Risk: Climate Change - future proofing Bristol Failure to lead the climate change future proofing of Bristol over the next ten years resulting in a city which is poorly adapted to the impacts of climate change (Bristol 20:20 Plan priority)					Risk Code: CRR040
Inherent Status: High (9)		Inherent Risk Severity: High	Inherent Risk Likelihood: High		
Date Identified: 14 Mar 2011		Service: Corporate Indicators (CD)			
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
On schedule	3 Year Climate adaptation delivery plan	Production of a 3-year Climate Adaptation delivery Plan: a) Draft Delivery Plan 2011-2014 by end of July 2011 b) Final Delivery Plan 2011-2014 by end of September 2011 c) 1st Annual Review September 2012	Alex Minshull	14/03/2011	30/06/2011
On schedule	Climate change risk register	Production of a BCC Climate Change Risk Register a) Draft Climate Change Risk Register 2011/12 by end of July 2011 b) Final Climate Change Risk Register 2011/12 by end of September 2011 c) 1st Annual Review September 2012	Alex Minshull	14/03/2011	30/06/2011
On schedule	Production of Corporate Guidance on addressing climate change risks	a) Update the Eco-Impact Assessment Guidance by end of October 2011 b) Update the risk management guidance on business continuity by end of November 2011 c) Update the risk management guidance on decision making, SDP's and partnerships by end of December 2011	Alex Minshull	14/03/2011	30/06/2011
Current Status: Medium (4)		Current Risk Severity: Medium	Current Risk Likelihood: Medium		
Risk Champion: Kevin Lock					

N&CD - ALL RISKS (excl: HRA)

Risk: Waste Collection, Street Scene & Disposal Contracts Not Fulfilling Objectives. Failure to achieve project timescales, to stimulate sufficient market interest for competitive dialogue and to deliver affordable contracts incorporating required service developments from planned funding levels when contracts let in 2011. **Risk Code: DRR - NH002**

Inherent Status: High (9) **Inherent Risk Severity: High** **Inherent Risk Likelihood: High**
Date Identified: 15 Nov 2010 **Service: Environmental and Leisure Services**

Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
Completed	Allocation of resources to deliver projects.	Early involvement from stakeholders. Project Managed scoping exercise to ensure market awareness such as SOTT market testing. Thorough research carried out to baseline the current situation both internally and externally in form of market research and to gain lessons learned. Guidance has been sought from WRAP, CIWM, 4PS and other local authorities.	Tracey Morgan	15/11/2010	30/06/2011
On schedule	Contract Management Control	Full time secondment of Procurement Support to project team to reduce risk of breakdown in relations with SITA during tender process, limited or no competition to SITA and the risk of challenge to the final award.	Pam Jones	15/11/2010	30/06/2011
Completed	Full Council Signoff	Headline waste strategy to receive full council sign off prior to cabinet approval to reduce the risk of political disagreement.	Tracey Morgan	15/11/2010	30/06/2011
Completed	Funding Control	Neighbourhoods head of finance sits on procurement board with project accountant attending project team meetings. The "Waste Financial Model" is regularly updated and signed off to ensure that cost and income projections for next 3 years are accurate. These projections are then incorporated into the MTFP to reduce the risk of our ability to deliver new contracts that are affordable within the limits of existing and planned funding.	Tracey Morgan	15/11/2010	30/06/2011
On schedule	Mobilisation Plan	Delivery of a mobilisation plan to ensure a smooth handover between contractors to start the new contract on 1 November 2011	Tracey Morgan	20/07/2011	
Current Status: Medium (3)		Current Risk Severity: High	Current Risk Likelihood: Low		
Risk Champion: Kevin Lock					

Risk: Bridge Valley Road stabilisation The slope behind and above the retaining wall is moving and exerting pressure on the retaining wall and tunnel that could result in a significant failure endangering highway users. **Risk Code: DRR - CD005**

Inherent Status: High (6) **Inherent Risk Severity: High** **Inherent Risk Likelihood: Medium**
Date Identified: 20 Sep 2010 **Service: Traffic and Highways**

Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
Completed	Commencement of work	Commence the work - expected mid/late February. Commenced 3rd May see contract completion mitigation	Jim Creamer	01/10/2010	30/06/2011
On schedule	Contract completion	Contract awarded to CAN UK. Work commencement originally expected February 2011 but commenced on revised schedule 3rd May and due completion by end of September 2011.	Jim Creamer	14/07/2011	
Completed	Design plan	Finalise the design plan	Jim Creamer	01/10/2010	30/06/2011
Completed	Options for re-opening footpath	Review of options for the re-opening of the footpath currently impassable as part of the design process. Decision was to include in proposed contract.	Jim Creamer	01/10/2010	30/06/2011
Completed	Post design completion, tenders for stabilisation	Following the completion of the design, tenders for the permanent stabilisation work to be invited from specialist contractors.	Jim Creamer	15/12/2010	30/06/2011
Current Status: Medium (3)		Current Risk Severity: High	Current Risk Likelihood: Low		
Risk Champion: Kevin Lock					

N&CD - ALL RISKS (excl: HRA)

Risk: Mgt and delivery of transformation of Culture and related stakeholder Mgt Failure to meet budgets and savings and an adverse effect on service provisions. **Risk Code: DRR - CD008**

Inherent Status: High (6)

Inherent Risk Severity: High

Inherent Risk Likelihood: Medium

Date Identified: 20 Sep 2010

Service: Arts and Culture

Mitigation records

Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
On schedule	Formation of a meaningful and actioned strategy for the LEP	To be confirmed following CEO discussions with cultural agencies.	Julie Finch	01/10/2010	30/06/2011
On schedule	Government funding for Arts and Museums	Continue discussions with Government departments to ensure best decisions on funding for the future of Arts and Museums are made for Bristol and the LEP. CEO met with cultural agencies to progress discussions and actions. Officers currently working with ACE.	Julie Finch	01/10/2010	30/06/2011
Completed	Monitoring of M Shed	Regular monitoring and reporting of progress for delivery of the transformation programme and M Shed opening on time and within budget.	Julie Finch	01/10/2010	30/06/2011
Completed	Renaissance business plan 11/12	Complete the transition business plan for Renaissance 11/12	Julie Finch	01/10/2010	30/06/2011
Completed	Repositioning of Cultural Service Depts	Implementation of process and close management for repositioning Cultural Service depts, libraries, festival, museums and archives.	Julie Finch	01/10/2010	30/06/2011
On schedule	Review functions within Culture to optimise income	Undertake a review of the alignment functions within Culture to reflect commissioning potential to optimise income generation. Work continues to amalgamate local history collection and archives.	Julie Finch	01/10/2010	30/06/2011
On schedule	Review of asset rationalisation across Culture	Funding applied for to appoint a collections manager to carry forward the asset rationalisation review.	Julie Finch	01/10/2010	30/06/2011
Completed	Trust status for Colston hall	Continue to closely manage the finalisation of the move to a Trust status for the Coslton Hall	Julie Finch	01/10/2010	30/06/2011

Current Status: Medium (3)

Current Risk Severity: High

Current Risk Likelihood: Low

Risk Champion: Kevin Lock

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