

**BRISTOL CITY COUNCIL
Audit Committee
9th November 2012**

Report of: Interim Strategic Director Neighbourhoods and City Development

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

Ward: Citywide

Officer presenting report: Mike Harding, Interim Head of Management Accounting

Contact Telephone Number: 0117 92 23281

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

This report covers the review of the 2012/13 DRR as at quarter 2, which is attached at Appendix 1.

The significant issues in the report are:

The detailed content changes and variations to the risks between quarters 1 and 2 are tabulated in the header to the DRR at Appendix 1, and summarised in para. 3 below.

1. Policy

The annual review of the DRR at the Audit Committee is a stated aim of the Risk Management Policy. Historically, it has been presented as an information item, however, it was recently agreed by the Audit Committee for reports to be presented as a main agenda item.

Consultation:

Internal: Officers from all Directorates, including risk owners, mitigation owners, risk champions, Service and Strategic Directors were consulted.

External: None necessary

2. Background

2.1 The risk cycle for DRR is reviewed and reported quarterly, narratives are updated by mitigation and risk owners, and reviewed by Service Directors and the Strategic Director. The final report is presented to N&CD Leadership Team and to the appropriate Portfolio Executive Members.

- 2.2 The Q2 risk report may be delayed in being presented to the Executive Members in December 2012 until the intentions and future reporting requirements of the elected mayor are known.
- 2.3 There are currently 11 risks in the DRR, including 3, which are also included as corporate risks in the Corporate Risk Register (CRR).

3. Principal amendments

- 3.1 Since previously reported at the 2012/13 DLT quarter 1 review, there are no new risks added or deleted, the principal amendments are as follows:

CRR042 (Corporate Risk) – Flood Risk

- The flood management study for open spaces is to be completed Spring 2013; additional assistance may be obtained from potential 4th year engineering students at Bristol University.
- Property protection for Council housing stock is to highlight properties in flood risk areas in the asset management database; consideration of flood measures will be part of the rolling maintenance programme.

CRR013 (Corporate Risk) – Civil emergency

- The testing of resource plans is still behind schedule; exercise rescheduled for December 2012.

CD003 – Inability to cope with severe winter weather

- Salt storage at Hartcliffe depot will no longer be available once the new Household Waste Recycling Centre (HWRC) is operational. Future options and funding requirements are currently being investigated and will be reported to DLT at quarter 3.

CD006 – Risk of not meeting parking income targets

- Mitigations are behind schedule but action plans are being progressed to bring the programmes back on track.

4. Risk Assessment

- 4.1 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 the Council are properly addressed and managed.

5. Equalities Impact Assessment

- 5.1 None necessary for this report

6. Legal and Resource Implications

6.1 **Legal** - N/A

6.2 **Resource** - N/A

Appendices

Appendix 1 - Neighbourhoods & City Development (excluding HRA) Directorate
Risk Register

LOCAL GOVERNMENT ACCESS TO INFORMATION

Background Papers Relevant background details held on SPAR.net

**2012/13 Q2 Risk Report
Neighbourhoods & City Development (excluding HRA)
Version 6**

2012/13 Reviews					
Version No.	Reviewed By:	Review Date	Version No.	Reviewed By:	Review Date
3	N&CD Leadership Team	22 nd Feb 12	4	Cllr Poultney (Report circulated, but no briefing attendance required)	22 nd June 12
3	Cllr Poultney (Report circulated, but no briefing attendance required)	14 th Mar 12	4	Cllr Negus (Report circulated, but no briefing attendance required)	22 nd June 12
3	Cllr Kent	21 st Mar 12	5	N&CD Leadership Team	22 nd Sept 12
3	Cllr Cook	19 th Mar 12	5	Cllr Kent	26 th Sept 12
3	Cllr Hopkins	14 th Mar 12	5	Cllr Rogers	17 th Sept 12
3	Cllr Negus	21 st Mar 12	5	Cllr Hopkins	26 th Sept 12
4	N&CD Leadership Team	23 rd May 12	5	Cllr Negus	25 th Sept 12
4	Cllr Kent	20 th June 12	5	Cllr Poultney (Report circulated, but no briefing attendance required)	20 th Sept 12
4	Cllr Hopkins	27 th June 12	6	N&CD Leadership Team	31 st Oct 12
4	Cllr Rogers	25 th June 12	6	Audit Committee	9 th Nov 12

SIGNIFICANT CHANGES

Risk No.	RISK Brief risk narrative	Current Risk Ranking	VARIATION TO RISK																											
			Previous Risk Ranking	Direction of travel		<table border="1"> <thead> <tr> <th colspan="4">Impact</th> </tr> <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 colspan="4" style="text-align: center;">Probability</td> </tr> </thead> </table>	Impact				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			
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Low	LL 1	LM 2	LH 3																											
	Low	Medium	High																											
Probability																														
Current Status	Previous Status																													
CRR042 - Corporate Risk	Flood risk	1	1	6	6	<p>1) Flood management study for open spaces is to be completed in the Spring 2013; liaising with Bristol University as assistance may be obtained from potential 4th year engineering students.</p> <p>2) Property protection mitigating action for housing stock is to highlight properties in flood risk areas using indicators on the “Keystone” asset management database; consideration of flood measures will be part of the rolling maintenance programme.</p>																								

SIGNIFICANT CHANGES

						3) Two mitigations continue to be behind schedule:- <ul style="list-style-type: none"> ➤ Flood barrier mobile equipment training is nearly complete; a training site has now been identified. ➤ Recovery Plan although fit for purpose needs updating with organisational and procedural changes; delayed until Local Resilience Forum strategic recovery plan review is completed.
CRR004 - Corporate Risk	Management and delivery of major infrastructure projects	2	2	4	4	All mitigations on schedule.
CRR013 - Corporate Risk	Civil emergency	3	3	4	4	The testing of resource plans is still behind schedule; Exercise "Laveer" planned for October 2012 was cancelled but is rescheduled for December 2012 to test Business continuity, incident management and flood plan.
CD004	Failure to meet our S58 obligations	4	4	4	4	All mitigations on schedule.
CD003	Inability to cope with severe winter weather	5	5	4	4	Salt storage at Hartcliffe will no longer be available once the new HWRC is operational; Future options and funding requirements are currently being investigated and will be reported in the Q3 period.
NH001	Strategic financial risk	6	6	4	4	All mitigations on schedule.
NH005	Risk of increased homelessness	7	7	4	4	All mitigations on schedule.
CD006	Risk of not meeting parking income targets	8	8	3	3	All mitigations are still behind schedule but action plans have been identified to bring the programmes back on track. A small shortfall on 2012/13 parking is being forecast, it is currently being off set by staff savings and a reduction of repairs and maintenance spend.
CD007	Risk of loss of paper records from 1948 to 2005	9	9	3	3	No further progression of the Council wide storage project (part of the Bristol Workplace programme).
CD001	Risk to street lighting budget from increase in energy prices	10	10	2	2	All mitigations on schedule.
NH004	Failure to Procure Correctly or Monitor Performance of Major Parks Contracts	11	11	2	2	Corrective actions are taking longer than expected although good progress has been made to date; a further follow-up Audit review is scheduled early next year.

2012/13 N&CD Risk Management Report (Excl HRA)

Report for 2012-2013

**Filtered by Service: Major Projects, City Transport, Arts and Culture, Docks, Building Practice, Museums & Archives, Strategic Housing, Environmental and Leisure Services, Corporate Indicators (CD), Development Services, Safer Bristol Partnership, Regeneration, Corporate Indicators (N&CD), City Design, Sustainable City, Strategic Planning, Passenger Transport, Highways and Traffic
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+)

2012/13 N&CD Risk Management Report (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: Corporate Indicators (CD)**

Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
On schedule	Conduct Central Area Flood Risk Assessment	This study will provide an understanding of the level of protection of defences along the River Avon and its tributaries now and in the future. It will address the risk from climate change and sea level rises and will inform investment	Alistair Cox	01/10/2010	12/10/2012

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2012/13 N&CD Risk Management Report (Excl HRA)

Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
		requirements over the next 10, 20 and 30 years. Outcomes of low defences will require immediate attention/funding. Draft report including hydraulic modelling completed, final report to be produced in November 2012 following consultation with key stakeholders.			
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. The first of the Phase 2 schemes is underway (Trowbridge Road) and additional grants have been applied for from DEFRA via the 2012/13 medium term plan, expected indicative allocation announcement due early 2013. Phase 1 Surface Water Management Plan Study is completed and has been published on-line.	Alistair Cox	01/10/2010	12/10/2012
On schedule	Develop a strategy as required by the Flood Water Management Act 2010	Planned consultation during 2012/13 based on the outcomes of the Central Area Flood Risk Assessment, Surface Water Management Plan, and the Harbour Asset Condition Assessment, with a view to achieving an agreed strategy by the end of 2013.	Alistair Cox	01/10/2010	12/10/2012
On schedule	Develop an understanding of how to improve defences and mitigate risks to protect Avonmouth	Joint work is underway between the Environment Agency, Bristol City Council and key stakeholders to agree an approach to flood risk and planning for the Avonmouth area. Following the City Deal announcement business rate retention is a potential means to contribute towards flood risk measures, this will need to be explored further with the Local Enterprise Partnership (LEP).	Alistair Cox	01/10/2010	12/10/2012
On	Flood awareness	Undertake awareness work around rapid catchments area -	Simon Creed	28/04/2011	12/10/2012

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Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
schedule		Brislington Brook. Two flood fairs have been held and a further one will be held in November 2012. The Police have agreed to a training package for Community Beat Officers.			
Behind schedule	Mobile Barrier equipment	GIS mapping to identify possible locations for mobile barrier equipment (80m) has been completed. Further work is required to establish the priority sites for deployment. Flood barrier training programme is close to completion and it is hoped that some of our other flood response partners can be included in this. A suitable training site has now been identified and a training date will be announced shortly.	Simon Creed	28/04/2011	12/10/2012
On schedule	Property protection	Flag up on Keystone database those properties in flood risk areas to enable consideration of flood mitigation measures as part of rolling maintenance programme.	Nicky Debbage	28/04/2011	12/10/2012
On schedule	To identify open spaces suitable for flood management	Additional land to be identified and safeguarded for flood prevention measures. The study is now being scoped in conjunction with the P&GSS and the expected completion is Spring 2013. BCC are liaising with Bristol University to identify potential 4th year engineering students who may be able to assist.	Alistair Cox	01/10/2010	12/10/2012
Behind schedule	Update Recovery Plan	The current plan was issued in 2006 and, although fit for purpose, needs updating with recent changes in organisations and some other procedures. These updates cannot be confirmed until the Local Resilience Forums (LRF) strategic recovery plan has been reviewed, the review due to be completed by March 2013.	Simon Creed	28/04/2011	12/10/2012

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2012/13 N&CD Risk Management Report (Excl HRA)

Mitigation records

Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
On schedule	Warnings and forecasts	A process is in place to ensure all information received relating to Environment Agency flood warnings and Met Office weather forecasts, the severity of these warnings act as triggers to part or all of the BCC Flood Plan. Any affected staff and teams have been added to the instant warning distribution list which was subject to an annual review held in May 2012, the process is published to departments through the Corporate Civil Contingencies Group (CCCG).	Simon Creed	28/04/2011	12/10/2012
Current Status: High (6)		Current Risk Severity: High	Current Risk Likelihood: Medium		
Risk Champion: Karen Rollinson					

2012/13 N&CD Risk Management Report (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	All major projects reported to the Strategic Investment Board (SIB)	Regular reports are presented to the Strategic Investment Board (SIB) which has replaced the Infrastructure Development Board (IDB). The reports include the current position of the project and identify information on key risks. Senior Officers will then regularly report the key issues and concerns arising to the Executive member and other key stakeholders.	Alun Owen	13/07/2012	12/10/2012
On schedule	Completion and regular monitoring of project risk registers	Project risk registers are regularly reviewed by the Project Manager and reported to the Project Board. Key risks are identified and re-assessments of Quantitative Risk Assessments (QRA) undertaken. The Senior Responsible Officer (SRO) will escalate issues to the Strategic Investment Board and Members as necessary.	Alun Owen	13/07/2012	12/10/2012
On schedule	Completion of regular Internal gateway reviews	Complete Internal Gateway reviews at appropriate intervals to establish progress against project objectives and to ensure that the project is still providing Value for Money. This also ensures an independent assessment of the project status is considered.	Alun Owen	17/01/2011	12/10/2012
On schedule	Early intervention on projects to minimise exposure	Completion of comprehensive feasibility studies and risk assessments at the first stages of a project to ensure minimum exposure at the earliest opportunity.	Alun Owen	13/07/2012	12/10/2012
On	Implement strong	All projects to have appropriate Project Boards to enable	Alun Owen	13/07/2012	

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2012/13 N&CD Risk Management Report (Excl HRA)

Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
schedule	governance on all major projects	effective and auditable decision making processes. The senior responsible officer (SRO) will make further escalation of issues to the Strategic Investment Board and Members.			12/10/2012
On schedule	Obtain independent financial advice on all projects	All projects are subject to independent financial advice, and monthly updates on outturn costs are reported direct to appropriate Project Board.	Alun Owen	13/07/2012	12/10/2012
Current Status: Medium (4)		Current Risk Severity: Medium	Current Risk Likelihood: Medium		
Risk Champion: Karen Rollinson					

2012/13 N&CD Risk Management Report (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 (LRF)	Continuing process, BCC leading or involved in Work Programme group, Crowded Places, CBRN, Fuel Shortage, Warning and Informing, COMAH, Risk Assessment Group Mass Fatalities, training and exercising LRF Planning Groups.	Simon Creed	01/04/2009	12/10/2012
On schedule	Business Continuity (BC) related PMDS objectives for key staff	Report presented to Senior Leadership Team in March 2012. It was agreed all critical service managers will have an element of Business Continuity in their PMDS and it will form part of the service planning process from 2012/13. All Service Directors have been informed to ensure new measures are raised with all critical services managers. A snap survey revealed it has not been fully taken up, the item was on the agenda for the Corporate Civil Contingencies Group (CCCG) meeting in Sept 2012.	Rick Palmer	01/04/2009	12/10/2012
On schedule	Community risks identified and communicated	Local Resilience Forum (LRF) Community Risk Register (CRR) regularly reviewed. Risk Register was published in April 2012 and a Capabilities work programme to minimise the highest risks has been completed in draft form, and will be being considered by CCCG. Estimated completion in February 2013, to be rolled out in the new financial year.	Simon Creed	23/01/2010	12/10/2012
On schedule	Critical Services and staff identified for	Critical Service list reviewed June 2012. Critical Service Business Continuity Plans reviewed. Managers identified and	Simon Creed	23/01/2010	12/10/2012

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2012/13 N&CD Risk Management Report (Excl HRA)

Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
	each Directorate and continuity plans in place	trained, to be reviewed annually. Critical services plans to be tested in October 2012.			
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. The exercise Argon Shield, Watermark completed. Exercise Furball to test rest centre and animal welfare plan successfully completed in July 2012.	Gillian Douglas	23/01/2010	12/10/2012
Behind schedule	Resources for planning and testing	Exercise Furball (rest centre and animal welfare plan) was completed in July 2012. The October event Laveer was cancelled due to CYPS re-organisation project and new desktop implementation. It has been rescheduled for 5th December 2012 to test areas such as Business Continuity, Incident Management and the Flood Plan.	Simon Creed	01/04/2009	12/10/2012
On schedule	Sufficient trained staff and volunteers	Following a restructure, re-prioritising of work and programming has brought this training back on schedule. Training is an ongoing operation, with sessions scheduled up until October 2012, after which new dates will be published.	Simon Creed	01/04/2009	12/10/2012
Current Status: Medium (4)		Current Risk Severity: Medium	Current Risk Likelihood: Medium		
Risk Champion: Karen Rollinson					

2012/13 N&CD Risk Management Report (Excl HRA)

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: City Transport

Mitigation records

Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
On schedule	Condition surveys of key assets	The city has a large number of retaining structures and highway structures. A significant number of the retaining walls are over 100 years old and it is critical that we understand the condition and ownership of these structures. Work is now underway to prepare a specific asset register for these.	Martin Lloyd	12/07/2012	12/10/2012
On schedule	Development of Transport Asset Management Plan (TAMP)	A TAMP is being developed in a structured manner through the collection of baseline data (based on Gap analysis), condition surveys, understanding of reporting and inspection regimes and initial recommendations on areas for enhanced investment. The TAMP will be completed by March 2013.	Martin Lloyd	01/10/2010	12/10/2012
On schedule	Modernise procedures and processes	Modernise procedures and processes, mainly via IT/GIS/integrated database development, all towards TAMP. Resources required for the database development have been identified as part of the Highways and Traffic review, TAMP manager now appointed. Review of current asset data underway.	Martin Lloyd	01/10/2010	12/10/2012

Current Status: Medium (4)

Current Risk Severity: Medium

Current Risk Likelihood: Medium

Risk Champion: Karen Rollinson

2012/13 N&CD Risk Management Report (Excl HRA)

Risk: Inability to cope with severe winter weather 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: Highways and Traffic

Mitigation records

Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
On schedule	Consider increased salt storage to improve resilience	The 600 tons of salt that used to be stored at Sea Mills depot has to be accommodated elsewhere, it is currently the subject of negotiations with May Gurney. We are currently only able to store 900 tons at Hartcliffe depot (usual stock is 1500 tons). Once the new HWRC is operational it can no longer store any salt at the site, options for storage after the 2012/13 winter season are being investigated. A briefing paper summarising issues will be presented to Executive Member, 31st Oct 2012.	Jim Creamer	07/02/2012	12/10/2012
On schedule	Possible installation of additional weather station (s)	An opportunity has arisen for a 'free trial' with Findlay Irvine which is under consideration. This will now be reviewed for 2012/13 in-line with current procurement policies.	Jim Creamer	01/10/2010	12/10/2012
On schedule	Snow plan	The purpose of Bristol City Council Snow plan is to co-ordinate the Council's response to snow and ice. It is available on The Source and is reviewed annually, the next version will be available during October 2012.	James Gillman	07/02/2012	12/10/2012
On	Snow wardens	25 locations have been identified, snow wardens are appointed and	Simon Creed	07/02/2012	12/10/2012

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2012/13 N&CD Risk Management Report (Excl HRA)

Mitigation records

Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
schedule	trial	arrangements are in place to deliver 1 tonne bags of salt in extreme weather conditions. Wardens to clear and grit footways primarily on hills throughout the city. Still to be tested as no significant snowfall has occurred since plans were made. Trial to be continued through winter 2012/13.			
Current Status: Medium (4)		Current Risk Severity: Medium	Current Risk Likelihood: Medium		
Risk Champion: Karen Rollinson					

2012/13 N&CD Risk Management Report (Excl HRA)

Risk: Strategic Financial Risk Disruption to service plans because of failure to plan and manage budgets, implement agreed efficiency savings, or identify savings to address significant government grant reductions from 2011/12 to 2014/15

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&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.	Rick Palmer	06/10/2011	12/10/2012
On schedule	Finance service review	Managers and practitioners to fully engage with the review process and implementation.	Rick Palmer	12/07/2012	12/10/2012
On schedule	Grant Monitoring	Managers to identify actual or proposed grant reduction and build these into the budget setting and service planning process using scenario planning where information is uncertain.	Rick Palmer	06/10/2011	12/10/2012
On schedule	Monitoring and reporting	Monthly monitoring and reporting of progress on projects, programmes, revenue and savings initiatives.	Rick Palmer	06/10/2011	12/10/2012
On schedule	Prioritise capital investments	Prioritised capital investments identified through the Directorate Asset Management Planning Process.	Rick Palmer	06/10/2011	12/10/2012
On schedule	Public Health transition of staff and budgets	Managed through the Public Health Transition Board.	Rick Palmer	12/07/2012	12/10/2012
On schedule	Strategic options review	Monthly financial and operational review of strategic options to ensure that targets are met and to review the effect on service delivery. Budget for 2012/13 carefully constructed and consulted with EQA work undertaken on time.	Rick Palmer	06/10/2011	12/10/2012

Current Status: Medium (4)

Current Risk Severity: Medium

Current Risk Likelihood: Medium

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2012/13 N&CD Risk Management Report (Excl HRA)

Risk Champion: Karen Rollinson

2012/13 N&CD Risk Management Report (Excl HRA)

Risk: Risk of increased homelessness Rise in both rough sleeping, households seeking advice and number of statutory homeless acceptances **Risk Code: DRR - NH005**

Inherent Status: High (6) **Inherent Risk Severity: Medium** **Inherent Risk Likelihood: High**
Date Identified: 04 Nov 2011 **Service: Strategic Housing**

Mitigation records

Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
On schedule	Minimise impact of Local Housing Allowance (LHA) shared accommodation rate change (January 2012)	A Housing Advisor has been appointed to specifically work with those affected by the changes to the Local Housing Allowance (LHA) shared accommodation rate. This Post is funded until December 2012 and outcomes are being measured which will help to inform future requirements.	Rob Risdale	04/11/2011	12/10/2012
On schedule	Minimise impact on Service Delivery from increased numbers	Prevention service procedures and letters have been reviewed to manage the increased numbers approaching the service for assistance. A Large Families Working Group is meeting regularly to assist families with their emergency accommodation requirements and move-on solutions.	Richard Nochar	04/11/2011	12/10/2012
On schedule	Partnership working with St Mungo's Outreach Team	DCLG Specialist Advisor endorsed joint working approach and action plan to reduce rough sleeping. St Mungo's bid to the Crisis Transitional fund was successful, it is assisting BCC to meet our requirements of the Government's rough sleeping initiative (No Second Night Out). This fund is not time limited and it's use is being managed by a Project Manager.	Richard Nochar	04/11/2011	12/10/2012
On schedule	Provide an adequate supply of emergency accommodation	Assigned 4 units at St George's House to become a cluster unit as a pilot assessment centre for young people. Increase the number of satellite temporary	Richard Nochar	04/11/2011	12/10/2012

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2012/13 N&CD Risk Management Report (Excl HRA)

Mitigation records

Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
		accommodation by 2 units and the use of Crash pads at 4 locations, plus introduction of late booking protocols and emergency sign up procedures e.g. Windermere and Trinity Lodge. During April 2012, 5 further crash pads were agreed with the Salvation Army.			
Current Status: Medium (4)		Current Risk Severity: Medium	Current Risk Likelihood: Medium		
Risk Champion: Karen Rollinson					

2012/13 N&CD Risk Management Report (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: Highways and Traffic

Mitigation records

Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
Behind schedule	Enforcement controls	Good progress has been made to date with sign replacement work and progress has also been made with line replacement, although there is still a significant backlog. Line replacement can be quite problematic due to the presence of parked vehicles and is reliant on dry weather. A works programme has been developed to ensure that all items will be cleared by end of the financial year.	Terry Bullock	01/10/2010	12/10/2012
Behind schedule	Increase the number of bus lanes to be enforced (BLE)	Good progress has been made with the GBBN corridors with both the Fishponds Road and Whiteladies Road now being enforceable. Progress continues to be made on the non-GBBN corridors, with some further ones becoming enforceable shortly. Whilst the overall programme remains behind schedule, mainly because of the lack of available resources, efforts continue to be made to bring the programme back on track.	Terry Bullock	01/10/2010	12/10/2012
Behind schedule	New Parking tariffs	All of the off-street tariff changes are now in place and the legal difficulties associated with the Central and Inner Controlled Parking Zones (CPZ) have been resolved so the new proposals will be introduced on 28th October 2012. The Traffic Regulation Order for the Outer CPZ has been advertised and, subject to consideration of the objections received, it is anticipated that the Order will be introduced in January 2013.	David Bunting	01/10/2010	12/10/2012

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Mitigation records

Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
Current Status: Medium (3)		Current Risk Severity: High	Current Risk Likelihood: Low		
Risk Champion: Karen Rollinson					

2012/13 N&CD Risk Management Report (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
On schedule	Archiving	Continuous archiving for Building Regulations applications and future scanning of these documents is now included in the scope for the corporate scanning solution. Pre 2005 planning applications and supporting documents are still stored at Brunel House. These statutory records need to remain on site for access purposes by the public and officers. A scoping exercise to review storage requirements and options across the Council is a component of the Bristol Workplace Programme.	Nicky Winter	01/10/2010	12/10/2012
On schedule	Digitisation of records	All planning application records from 2005 are scanned and stored electronically. Back scanning of pre 2005 planning applications and supporting documents is cost prohibitive, and remains a low priority due to budget and resource issues. The final decision on the storage and protection of these records will be determined by the future requirements of Brunel House.	Nicky Winter	21/07/2011	12/10/2012

Current Status: Medium (3) **Current Risk Severity: High** **Current Risk Likelihood: Low**

Risk Champion: Karen Rollinson

2012/13 N&CD Risk Management Report (Excl HRA)

Risk: Risk to strategic savings through failure to mitigate increase in energy prices for street lighting					Risk Code: DRR - CD001
Estimated increase of between 10% and 20% per year in energy costs for unmetered supply					
Inherent Status: High (6)		Inherent Risk Severity: Medium		Inherent Risk Likelihood: High	
Date Identified: 20 Sep 2010			Service: Highways and Traffic		
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
On schedule	Installation of dimming equipment	Equipment to be installed alongside the white light programme, Group A main and distributor roads have been completed ahead of schedule and Group B have also commenced ahead of schedule.	Adam Crowther	01/10/2010	12/10/2012
On schedule	Installation of energy efficient lamps	Install 'White light' lamps into existing lanterns to reduce energy consumption. All 10,000 Group A lanterns were completed by end of July 2012, slightly ahead of target. Group B were started in July 2012, also ahead of target. Current funding is for 12,000 lamps, remaining 8,000 will be funded by capital budgets and prudential borrowing if other funding not available.	Adam Crowther	03/11/2010	12/10/2012
On schedule	Introduce dimming or part night lighting	Dimming currently being incorporated with white light. All main and distributor road lamps being retrofitted with white light and having dimming fitted at the same time to dim to 85% or 75% light output. Group A main and distributor roads completed by end of July 2012, residential roads commenced 1st July 2012 ahead of schedule.	Adam Crowther	03/11/2010	12/10/2012
On schedule	Monitor New Technology	Continue to assess new technologies such as LED lighting to identify future opportunities to reduce energy usage. 2,500 bollards were retrofitted with LEDs by 31 March 2012. Illuminated sign trials completed, retrofitting has now commenced. LED lanterns and white light technologies continually evaluated.	Adam Crowther	03/11/2010	12/10/2012
Current Status: Low (2)		Current Risk Severity: Medium		Current Risk Likelihood: Low	
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2012/13 N&CD Risk Management Report (Excl HRA)

Risk Champion: Karen Rollinson

2012/13 N&CD Risk Management Report (Excl HRA)

Risk: Failure to Procure Correctly or Monitor Performance of Major Parks Contracts The Corporate impact of major parks contracts is considered 'high' due to the value of contracts concerned and as such requires risk mitigation for financial, political and reputational impact. **Risk Code: DRR - NH004**

Inherent Status: High (6) **Inherent Risk Severity: High** **Inherent Risk Likelihood: Medium**
Date Identified: 05 Oct 2011 **Service: Environmental and Leisure Services**

Mitigation records

Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
On schedule	All tender evaluation models and evaluation results to be recorded on Procurement System	Parks service areas to liaise and improve communications with corporate procurement to ensure the correct actions are taken and results recorded on to the new Provide To Bristol (PTB) Procurement system.	Richard Stransom	05/10/2011	12/10/2012
On schedule	Identify areas of previous maintenance contract to be brought up to standard	Rolling recovery programme over the next three years. We are now in year three. The Parks Contracts Manager is implementing a schedule of works, the Landscape Group (TLG) currently on track. A review meeting is to be held in September 2012 to programme in sites that require further work to ensure the contract standard is met. Contract Recovery is a standard agenda item at contract meetings.	Chris Hammond	11/10/2011	12/10/2012
On schedule	Put in place a Quality Management system for grounds maintenance	Quadron Services implemented a Contract Quality Monitoring system in Aug 2011. The Landscape Group (TLG) and the In-House teams are currently monitoring the contract areas with the Confirm system. Results of the monitoring system are reviewed and discussed at the end of each month.	Keith Chant	11/10/2011	12/10/2012
On schedule	Quality monitoring inspection and performance	The results of the monitoring completed by both the operations management and the quality management team are considered and all necessary action is taken. Monthly	Richard Stransom	11/10/2011	12/10/2012

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2012/13 N&CD Risk Management Report (Excl HRA)

Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
		BCC/contract meetings have performance as a standard agenda item. The introduction of smart phones on the Confirm system will provide a greater level of ownership on results achieved.			
On schedule	Record contractor performance data on Provide To Bristol (PTB)	Minutes of all Contract meetings, Health & Safety Reports and performance monitoring results are being regularly uploaded onto the new Provide To Bristol (PTB) Procurement system.	Chris Hammond	11/10/2011	12/10/2012
On schedule	Training for relevant staff	Staff's training needs are being identified and undertaken within budget constraints. Training opportunities offered by supplier's free of charge are also being implemented e.g. Herbicide Safety. Provide To Bristol (PTB) training will progress with the support of procurement staff when introducing new tenders.	Richard Stransom	11/10/2011	12/10/2012
Current Status: Low (2)		Current Risk Severity: Medium	Current Risk Likelihood: Low		
Risk Champion: Karen Rollinson					

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