

BRISTOL CITY COUNCIL

Audit Committee

8th November 2013

Report of: Strategic Director Neighbourhoods

Report Title: Quarter 2 2013/14 Neighbourhoods Risk Register

Ward: Citywide

Officer presenting report: Rob Gilmore

Contact Telephone Number: 92 22767

RECOMMENDATION

The Audit Committee

1. Review and approve the Neighbourhoods Directorate Risk Register at Appendix 1.

SUMMARY

This report covers the second quarterly risk management review for 2013/14.

The significant issues in the report are:

- None of the risks referred to in this report have a current High risk status.
- Progress has been made in reviewing the current risks, and a workshop is being planned for December 2013 to challenge and review the current risk mitigations and risk ratings, and to consider whether any new risks need to be identified to reflect the impending structural changes and other challenges that the Directorate faces.

Policy

It was recently agreed by the Audit Committee for Directorate risk register reports to be presented as a main agenda item.

Consultation:

Internal: Officers from within the Directorate, including risk owners, mitigation owners, the risk champion and the Directorate Leadership Team were consulted, and the relevant Assistant Mayors briefed.

External: None necessary.

1. Background

- 1.1 Previous risk reporting has been based on what was Neighbourhoods & City Development (excluding HRA), with Landlord Services (HRA) being reported separately. Following re-organisation this has been rationalised to reflect the new structure with separate reports developed for Neighbourhoods (including Landlord Services) and Regeneration. This situation will need to be further refined to reflect future changes as the Neighbourhoods and Place Directorates are established.
- 1.2 To reflect developments in the management of Corporate Risks, the Directorate has reviewed the Corporate and Directorate risks within its control, considering whether further improvements can be made to the risk rating and at what level they are best managed. This has led to three risks which have been mitigated down to, and maintained at, a low level of risk being moved to being managed at a Service Level; and another risk, which in its current form is no longer relevant, being removed from the register.
- 1.3 It is, however, recognised that it is important to ensure that all relevant risks have been identified, and measures put in place to manage them, and to this end it is planned to hold a workshop in December 2013 to challenge and review the current risk mitigations and risk ratings, and to consider whether any new risks need to be identified to reflect the impending structural changes and other challenges that the Directorate faces.

2. Quarter 2 Directorate Risk Register Review

- 2.1 Appendix 1 provides full details of the current Directorate risks, and how these risks are being managed.
- 2.2 Previously there were 8 risks associated with Neighbourhoods – 1 Corporate, and 3 Directorate level risks drawn from the Neighbourhoods & City Development Risk Register, and 4 from the Landlord Services Risks Register. However, three Directorate Risks are now being managed at a Service Level, and another has been removed from the register so that currently there are four risks (one Corporate and three Directorate) which are presented in order of the highest current risk, and none of which currently demonstrate a risk status of high.
- 2.3 The remaining four risks are currently considered as medium risk when considering the effectiveness of the mitigations in place to manage the risks.
- 2.4 At its January 2013 meeting, the Committee requested inclusion of 'target risk' and the direction of travel since the previous quarter to be included and this analysis has progressed and is shown in Appendix 2. The addition of this information identifies that :
 - Three risks have achieved their target status of Medium, although they require continued management to maintain that level.
 - One risk should be capable of being mitigated down to a Low level.
- 2.5 There is now an opportunity to develop the risk management methodology and make it more effective in reducing 'Current risk' levels. On-going work is now required by Risk

Owners to review and challenge the information in the register and the effectiveness of the risk management strategies in respect of each risk. In response to this the current risks will be subject to challenge at a workshop being organised in December 2013, where the opportunity will also be taken to consider any further risks that may be required in response to the impending structural changes that the Directorate faces.

3. Risk Assessment

- 3.1 A robust and effective risk management process serves to minimise the risk of failures in the Council's service provision. It supports the internal control environment and governance arrangements, whilst providing for Member involvement in ensuring that risks facing the Council 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 1 – Quarter 2 (Neighbourhoods) Directorate Risk Register 2013/14.

Appendix 2 - Risk Improvement: Target Projection.

LOCAL GOVERNMENT ACCESS TO INFORMATION

Background Papers Relevant background details held on SPAR.net

2013/14 - QUARTER 2 RISK REPORT

NEIGHBOURHOODS DIRECTORATE RISK REGISTER - SUMMARY HEADER

	<i>No.</i>	<i>Day</i>	<i>Month</i>	<i>Year</i>
VERSION	4	8th	Nov	2013

VERSION CONTROL HISTORY						
Version No.	Reviewed By:	Review Date		Version No.	Reviewed By:	Review Date
1	Neighbourhoods Leadership Team	17 th July 13		4	Audit Committee	8 th Nov 13
2	Neighbourhoods Leadership Team	16 th Oct. 13				
3	Councillor Mark Bradshaw	22 nd Oct. 13				
3	Councillor Gus Hoyt	22 nd Oct. 13				
3	Councillor Simon Cook	23 rd Oct. 13				

RISK ASSESSMENT	IMPACT	High	H/L 3x1=3	H/M 3x2=6	H/H 3x3=9
		Medium	M/L 2x1=2	M/M 2x2=4	M/H 2x3=6
Low		L/L 1x1=1	L/M 1x2=2	L/H 1x3=3	
		Low	Medium	High	
METHODOLOGY					
Each risk is assessed according to the potential impact and likelihood (low [=1], medium [=2] or high [=3]) of the risk occurring, and scored by cross multiplying.	RISK	LIKELIHOOD			



Neighbourhoods Risk Management Report

Report for 2013-2014 Quarter 2

Corporate & Directorate Risks

Key to Risk / Performance Status:

Level of Risk:	Corporate Risk	Directorate Risk			
	Service Risk (will be removed from this report)	Risk to be Closed			
Mitigation:	Well behind schedule	Behind schedule	On schedule	Completed	No Data available
Risks:	Review Overdue (0+)	High (6+)	Medium (3+)	Low (1+)	

Sorted by Current Risk Status

Risk: Failure to prepare for and/or respond to a 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	Information	Responsible Person	Date Identified	Last Review Date	
On schedule	Active participation in the Local Resilience Forum (LRF)	Continuing process, BCC (<i>Bristol City Council</i>) leading or involved in Work Programme Group, Crowded Places, Chemical, Biological, Radiation or Nuclear (CBRN), Fuel Shortage, Warning and Informing, Control of Major Accident Hazards (COMAH), Risk Assessment Group Mass Fatalities, training and exercising LRF Planning Groups.	Simon Creed	01/04/2009	02/10/2013	
Behind schedule	Address the lack of trained strategic and tactical officers for on-call roster and event management	Following loss of trained Strategic and Service Directors, and with the failure to attract sufficient volunteers to cover major events our ability to be resilient and provide 24hr 7 day week cover has diminished. Volunteers and the training of Service Managers has increased numbers to tactical level but these are inexperienced and untested. Issue discussed with interim Strategic Director, situation remains unchanged until recent restructuring of Strategic and Service directors is completed.	Netta Meadows	02/07/2013	02/10/2013	
On schedule	Community risks identified and communicated	Local Resilience Forum (LRF) Community Risk Register (CRR) reviewed May - Sept 2013. Revised Risk Register to be published Nov 2013, and a Capabilities Work Programme to minimise the highest risks has commenced, and being rolled out.	Simon Creed	23/01/2010	02/10/2013	
Behind schedule	Critical Services and staff identified for each Directorate and continuity plans in place	Critical Service list in process of being reviewed due for completion June 2013, which is now overdue and a new date Sept 2013 set. Critical Service Business Continuity Plans in process of being reviewed. Managers identified and trained, to be reviewed annually. Critical Services Plans tested (Exercise Laver 5th December 2012). Now overdue following cancellation of CCCG meeting, rearranged for 12 December 2013.	Simon Creed	23/01/2010	02/10/2013	

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. Exercise Argon Shield & Watermark completed. Exercise Furball to test Rest Centre and Animal Welfare Plan successfully completed July 2012. Exercise Laver completed Dec. 2012. Exercise programme for 2013/14 finalised May 2013. Exercise Golden Paws successfully completed on 18 July, Exercise Kestrel 2 , COMAH plan to be tested in tactical table top exercise 9 Feb. 2014.	Gillian Douglas	23/01/2010	02/10/2013
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Behind schedule	Ensure Business Continuity (BC) related PMDS objectives are set for key staff	All Critical Service Managers should have Business Continuity in their PMDS (<i>Performance Management & Development Scheme</i>), and in their Service/Business Plans. A survey revealed it had not been fully taken up, and the issue was raised at the Corporate Civil Contingencies Group (CCCG) meeting in Sept. 2012. All CCCG champions to raise issue in time for 2013/14 PMDS'. Due to cancellation of CCCG meeting on 30 Sept. champions to be individually challenged and results obtained for next CCCG meeting on 9 Dec 2013.	Netta Meadows	01/04/2009	02/10/2013	
On schedule	Resources for planning and testing	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. Exercise Laver completed in December 2012. Exercise programme for 2013/14 finalised May 2013. Exercise to test Rest Centre training completed successfully on 18 July 2013.	Simon Creed	01/04/2009	02/10/2013	
On schedule	Sufficient trained staff and volunteers	Training prospectus and programme for 2013/4 completed and circulated, Dates for Local Resilience Forum IEM (<i>Integrated Emergency Management</i>) training for Strategic and Tactical officers circulated, Emergency Volunteer training delivered June-July, which enabled participation in July Rest Centre and Animal Welfare plans.	Simon Creed	01/04/2009	02/10/2013	
Current Status:		Medium (4)	Current Risk Severity:	Medium	Current Risk Likelihood:	Medium
Risk Champion: Rob Gilmore						

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	Information	Responsible Person	Date Identified	Last Review Date	
On schedule	Minimise impact of Local Housing Allowance (LHA) and other Welfare Reform Changes	Staff in the Private Renting Team are working closely with the Welfare Reform Project Team to mitigate the effects of the benefit cap in April 2013 and have contacted the 30 most affected households to discuss options with them. There is a small working group contacting those households effected by the benefits cap offering employment and other advice.	Rob Risdale	04/11/2011	09/10/2013	
On schedule	Minimise impact on Service Delivery from increased numbers	There is an on-going end to end review of housing advice, prevention & homelessness services that is seeking to re-organise the service to be as robust as possible to mitigate increasing numbers of households seeking advice & assistance.	Richard Nochar	04/11/2011	09/10/2013	
On schedule	Partnership working with St Mungo's Outreach Team	DCLG (<i>Department for Communities and Local Government</i>) Specialist Advisor endorsed joint working approach and action plan to minimise 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 service will be mainstreamed moving forward.	Richard Nochar	04/11/2011	09/10/2013	
On schedule	Provide an adequate supply of emergency accommodation	Assigned cluster units at St George's House used to assess young people reduced to 3 after review of usage. Crash pads well established and used. The emergency accommodation for families reviewed as part of re-commissioning of low & floating support services and as a result extra support to families will be provided on-site. Landlord Services have provided an additional 3 units of temporary accommodation.	Richard Nochar	04/11/2011	09/10/2013	
Current Status:		Medium (4)	Current Risk Severity:	Medium	Current Risk Likelihood:	Medium
Risk Champion: Rob Gilmore						

Risk: Failure to protect income streams		Failure to protect income streams which have an adverse effect on the ability to deliver strategic commitments.			Risk Code: DRR - NH013	
Inherent Status:		Medium (4)	Inherent Risk Severity:	Medium	Inherent Risk Likelihood:	Medium
Date Identified: 21 Jun 2012				Service: Landlord Services		
Mitigation records						
Mitigation Status	Mitigation	Information	Responsible Person	Date Identified	Last Review Date	
On schedule	Base Business Plan on government rent policy	Proposals for Rent & Service Charges increases for 2013/14 agreed and implemented. Awaiting government consultation on rent policy for future years to inform rent setting proposals for 2014/15 onwards.	Nicky Debbage	25/06/2012	01/10/2013	
Completed	Engage with Welfare Reform programme	Service represented on welfare reform programme board, now the Joint Planning Board. Continuing to work with a wide variety of internal and external services to ensure consistent approach and minimal duplication of effort. Offering a variety of solutions / support to attempt to minimise impacts and maximise outcome for tenants. This mitigation can now be closed.	Andy Baynton	25/06/2012	01/10/2013	
On schedule	Maximise financial return on asset (land and buildings)	Develop option appraisal approach to HRA (<i>Housing Revenue Account</i>) stock types & land. Develop approach to long term voids. Recommend this mitigation be closed. Repeat of mitigation under Risk NH011.	Nicky Debbage	25/06/2012	01/10/2013	
On schedule	Refresh Business Plan regularly	Refresh Business Plan bi-annually to take into account actual and forecast financial variations. Define Finance input to Business Plan and ensure delivery	Nicky Debbage	25/06/2012	01/10/2013	
Completed	Treasury Management approach	Treasury management approach agreed and managed by Corporate Finance subject to bi-annual review. Additional £45m borrowing taken on from 1/4/12 in line with self-financing for HRA. This mitigation can now be closed.	Nicky Debbage	25/06/2012	01/10/2013	
On schedule	Use Asset Management Strategy to inform investment decisions	Strategy will be dependent upon Business Plan forecasts. Recommend this mitigation be closed - already covered under Risk NH011.	Nicky Debbage	25/06/2012	01/10/2013	
Current Status:		Medium (4)	Inherent Risk Severity:	Medium	Inherent Risk Likelihood:	Medium

Risk Champion: Steven Barrett, Mary Ryan

Risk: Death or serious injury		Death or serious injury resulting from action or inaction on the part of landlord services. It is estimated that 70% of all new Council tenancies present with some form of vulnerability or support need.			Risk Code: DRR - NH010	
Inherent Status:		High (9)	Inherent Risk Severity:	High	Inherent Risk Likelihood:	High
Date Identified: 31 Dec 2010			Service: Landlord Services			
Mitigation records						
Mitigation Status	Mitigation	Information	Responsible Person	Date Identified	Last Review Date	
On schedule	Develop and review relevant Risk Assessments and brief staff	Site specific caretaking risk assessment updated during 2011. The majority of the review of risk assessments for 2013 have been done as part of TU H&S inspections of the blocks.	Simon Westbrook	31/12/2010	01/10/2013	
On schedule	Develop new fire safety policies and procedures	Fire Safety Policy developed. Fire risk assessments on-going. Programme of works to address issues identified. Additional resources to accelerate compliance programme New approach to managing risks in communal areas developed.	Nicky Debbage	31/12/2010	01/10/2013	
On schedule	Ensure the asbestos register is effectively managed	Rolling programme of asbestos surveys to ensure asbestos register is suitably accurate and populated. Processes in place to manage asbestos risks. Regular asbestos inspections as required under the Asbestos Management Regulations.	Nicky Debbage	31/12/2010	01/10/2013	
On schedule	Obtain validation from Avon Fire and Rescue	Obtain validation from Avon Fire and Rescue by completing all Fire Risk Assessments for communal areas. Programme of works to address highlighted issues on target. Recommend this mitigation be closed (merged with 'Develop new fire safety policies and procedures').	Nicky Debbage	31/12/2010	01/10/2013	
On schedule	Property Protection	Identify on Keystone those properties in flood risk areas to enable consideration of flood mitigation measures as part of rolling programme.	Nicky Debbage	01/01/2013	01/10/2013	
On schedule	Regularly monitor electrical safety	10 year domestic testing programme for all properties. Programme on schedule to deliver 10% safety tests.	Gillian Durden	31/12/2010	01/10/2013	
On schedule	Regularly monitor gas safety compliance	Rolling programme to ensure appliances are checked on an annual basis. Current performance 96.3%.	Gillian Durden	31/12/2010	01/10/2013	

Behind schedule	Regularly monitor sample water systems (Legionella risk)	On schedule with current programme. Additional blocks found with communal supplies, to be surveyed and included in programme. Risk assessments for domestic supplies behind schedule.	Gillian Durden	31/12/2010	01/10/2013
On schedule	Regularly monitor the checking of all passenger lifts in blocks of flats	Every six months or monthly by planned programmes, dependent on the type of equipment. Safety checks all on target.	Gillian Durden	31/12/2010	01/10/2013
On schedule	To manage Construction, Design and Management	<i>Construction, Design and Management</i> (CDM) issues on all capital and revenue projects and programmes: - New role of CDM Co-ordinators built into Landlord Services structure. - Policy being co-ordinated centrally with provision of central policy manual.	Nicky Debbage	31/12/2010	01/10/2013
Current Status:		Medium (3)	Current Risk Severity:	High	Current Risk Likelihood: Low
Risk Champion: Steven Barrett, Mary Ryan					

The following risks will no longer be included in the Corporate / Directorate Risk Registers

Risk: Strategic Financial Risk - Formation of separate Neighbourhoods and Regeneration Directorates		The restructuring of what was Neighbourhoods & City Development, and the formation of the Neighbourhoods and Regeneration Directorates has been completed, so that this risk in its current form is no longer applicable. Confirmed at the Neighbourhoods Leadership Team meeting on 16th October 2013.			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	Information	Responsible Person	Date Identified	Last Review Date	
On schedule	Early corrective action	The emerging three-year budget will determine the future financial direction of the organisation. New financial systems and the increased vigilance required by the on-going financial situation will increase opportunities to identify and address financial difficulties at an early stage.	Netta Meadows	06/10/2011	04/10/2013	
On schedule	Finance service review	The Finance Service Review has been largely completed, and new systems and procedures in place to enhance budgetary controls.	Netta Meadows	12/07/2012	04/10/2013	
On schedule	Grant Monitoring	The Finance Service Review has been largely completed, and new systems and procedures in place to enhance budgetary controls.	Netta Meadows	06/10/2011	04/10/2013	
On schedule	Monitoring and reporting	The emerging three-year budget will determine the future financial direction of the organisation. New financial systems and the increased vigilance required by the on-going financial situation will increase opportunities to identify and address financial difficulties at an early stage.	Netta Meadows	06/10/2011	04/10/2013	
On schedule	Prioritise capital investments	The emerging three-year budget will determine the future financial direction of the organisation.	Netta Meadows	06/10/2011	04/10/2013	
Completed	Public Health transition of staff and budgets	Public Health Staff and Budgets have been transferred.	Netta Meadows	12/07/2012	04/10/2013	
On schedule	Strategic options review	The emerging three-year budget will determine the future financial direction of the organisation. New financial systems and the increased vigilance required by the on-going financial situation will increase opportunities to identify and address financial difficulties at an early stage.	Netta Meadows	06/10/2011	04/10/2013	
Current Status:		Low (2)	Current Risk Severity:	Medium	Current Risk Likelihood:	Low
Risk Champion: Rob Gilmore						

Risk: Failure to deliver a balanced and sustainable business		Given the low level of risk that has been achieved and maintained, the Neighbourhood Leadership Team at its meeting on 17th July 2013 has decided that this risk will no longer be managed at a Divisional Level, but will continue to be managed at the Service level.			Risk Code: SRR - NH011	
Inherent Status:		High (9)	Inherent Risk Severity:	High	Inherent Risk Likelihood:	High
Date Identified: 31 Dec 2010				Service: Landlord Services		
Mitigation records						
Mitigation Status	Mitigation	Information	Responsible Person	Date Identified	Last Review Date	
Completed	Acquire external validation of Business Plan	External audit of Business Plan & assumptions. Business Plan to be rerun following audit. This mitigation can now be closed.	Nicky Debbage	31/12/2010	01/10/2013	
On schedule	Collect good quality data regards stock and stock condition	Systematic & standardised approach to data capture across all customer interactions being introduced with supporting technology. Asset management team established. Keystone training planned.	Nicky Debbage	31/12/2010	01/10/2013	
On schedule	Comply with governance framework	Governance framework for key business decisions established and aligned to work plan. (Mary Ryan/Steven Barrett).	Steven Barrett	01/01/2013	01/10/2013	
On schedule	Develop a response to emerging welfare benefit changes	Initial service response to challenges updated monthly to reflect progress on initiatives and any new initiatives. Initial project approach to support being moved into business as usual. Impacts to date this financial year: - Final phase of non-dependant increases. - Under occupation charge. - Benefit Cap. - Weekly monitoring of financial impacts e.g. level of current rent arrears. - Continuing emphasis on prevention rather than eviction. - Temp increase in service resources.	Andy Baynton	20/09/2011	01/10/2013	
On schedule	Develop HRA Business Planning approach	Option appraisal and decision making methodology for future of stock, other asset and new build investment opportunities in development. Financial consultant has identified opportunities to expand supply of affordable homes.	Mary Ryan	31/12/2010	01/10/2013	
		Strategic objectives agreed.	Nicky			

Completed	Develop Landlord Strategy	Work underway to inform priorities, including priority survey, new build options, business plan scenarios.	Priority Debbage	31/12/2010	01/10/2013
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Completed	Develop self financing preparation plan and governance framework	Approach to debt management being developed with Corporate Finance (treasury management) (Claire Burston). Links to Resources scrutiny strengthened in light of Localism Act (Nicky Debbage). This mitigation can now be closed.	Nicky Debbage	31/12/2010	01/10/2013
Completed	Ensure an appropriate response to the HRA subsidy review	Interim Business Plan developed pending full implementation of Review. This mitigation can now be closed.	Nicky Debbage	31/12/2010	01/10/2013
Current Status:		Low (2)	Current Risk Severity:	Medium	Current Risk Likelihood: Low
Risk Champion: Steven Barrett, Mary Ryan					

Risk: Failure to deliver high quality effective services to tenants.		Given the low level of risk that has been achieved and maintained, the Neighbourhood Leadership Team at its meeting on 17th July 2013 has decided that this risk will no longer be managed at a Divisional Level, but will continue to be managed at the Service level.			Risk Code: SRR - NH012	
Inherent Status:		High (9)	Inherent Risk Severity:	High	Inherent Risk Likelihood:	High
Date Identified: 31 Dec 2010			Service: Landlord Services			
Mitigation records						
Mitigation Status	Mitigation	Information	Responsible Person	Date Identified	Last Review Date	
Completed	Align Phase 1 Business Delivery Plan 2011-12 to Vision and Target Operating Model	Service priorities consulted and agreed with stakeholders. Resources and governance arrangements in place to ensure accountability and delivery to plan. This mitigation can now be closed.	Steven Barrett	31/12/2010	01/10/2013	
Completed	Develop the Landlord Transformation Programme	Tranche 1 Programme to complete end November 2012. This mitigation can now be closed.	Steven Barrett	31/12/2010	01/10/2013	
On schedule	Development of TMOs (<i>Tenant Management Organisations Ltd.</i>)	EARTH (<i>Easton Area Residents and Tenants Housing</i>) passed final assessment. Ballot taking place.	Nicky Debbage	31/12/2010	01/10/2013	
Completed	Implement the Landlord Transformation programme Tranche 1	Transformation Programme to improve quality and effectiveness of Repairs and Maintenance Service completed April 2013. This mitigation can now be closed.	Steven Barrett	31/12/2010	01/10/2013	
On schedule	Implement Tranche 2 of the Landlord Transformation Programme	Outline Business Case to transform estate services and develop new services to vulnerable tenants agreed December 2012. Full Business Case under review in light of revised corporate priorities and MTFP (Medium Term Financial Plan).	Mary Ryan	31/12/2010	01/10/2013	
Completed	Improve knowledge of customer base	Consideration of options to increase support to most vulnerable tenants. This mitigation can now be closed.	Mary Ryan	01/12/2011	01/10/2013	
Completed	Improve relationship with ICS	To reduce potential risk of impacts of improvements to back office service delivery if performance of customer-facing services, notably CSC (<i>Customer Service Centre</i>), is not maintained. This mitigation can now be closed.	Steven Barrett	31/12/2010	01/10/2013	
Completed	Relationship with key partners/contractors	Reduced business reliance on external contractors and robust procurement practice. New Planned contractor on site January 2012. This mitigation can now be closed.	Gillian Durden	31/12/2010	01/10/2013	
Current Status:		Low (2)	Current Risk Severity:	Medium	Current Risk Likelihood:	Low

Risk Champion: Steven Barrett, Mary Ryan

Risk: Failure to Procure Correctly or Monitor Performance of Major Parks Contracts		Given the low level of risk that has been achieved and maintained, the Neighbourhood Leadership Team at its meeting on 17th July 2013 has decided that this risk will no longer be managed at a Divisional Level, but will continue to be managed at the Service level.			Risk Code: SRR - 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	Information	Responsible Person	Date Identified	Last Review Date	
On schedule	All tender evaluation models and evaluation results to be recorded on Provide To Bristol (PTB)	Parks service areas liaise regularly with Corporate Procurement and Communications, and recording on PTB have improved – particularly with regard to the Landscapes team.	Richard Fletcher	05/10/2011	02/10/2013	
On schedule	Identify areas of previous maintenance contract to be brought up to standard	The electronic monitoring system has been fully functional and continues to be used to deliver data on our contractor's performance each month. The data is presented to our QM (<i>Quality Management</i>) panel each month so that the council can act in accordance with Appendix D. A number of inspections are being carried out by both our contractors as "self-monitoring" and a further number of formal inspections are carried out by BCC officers.	Chris Hammond	11/10/2011	02/10/2013	
On schedule	Put in place a Quality Management system for Grounds Maintenance	Monitoring is continuing on Confirm, recent improvements are that the Contractor can now directly access inspection photographs, that all inspectors are now required to take photos of the Feature whether it passed or failed, this has helped Paul Manton to check the consistency of quality level score awarded by various staff and the contractors self-monitoring. We have also created a number of Confirm dashboards so it is far easier for managers to interpret and interrogate the monitoring data.	Keith Chant	11/10/2011	02/10/2013	
On schedule	Quality monitoring inspection and performance	Monitoring of each contract area takes place monthly. Performance is considered at a monthly Monitoring Panel meeting and instructions given to each Contractor accordingly. All areas currently make use of Smart Phones and/or Tablets to implement monitoring.	Richard Fletcher	11/10/2011	02/10/2013	
On schedule	Record contractor performance data on Provide To Bristol (PTB)	Contract performance data, H&S (<i>Health and Safety</i>) reports etc., and Contract Meeting minutes are uploaded on a regular basis to provide a suite of information.	Chris Hammond	11/10/2011	02/10/2013	

On schedule	Training for relevant staff	Two training opportunities have been provided by the Council's grounds maintenance contractors with BCC staff attending free-of-charge. No PTB training has been requested or received by BCC grounds maintenance or Landscapes. However Procurement provide support for any tendering or procurement processes. No significant procurement has taken place in Parks Grounds Maintenance. No suppliers have provided free training to date.	Richard Fletcher	11/10/2011	02/10/2013	
Current Status:		Low (2)	Current Risk Severity:	Medium	Current Risk Likelihood:	Low
Risk Champion: Rob Gilmore						

QUARTER 2 2013/14

NEIGHBOURHOODS RISK IMPROVEMENT - TARGET PROJECTIONS

RISK		Inherent Risk Status	SITUATION AS AT QUARTER 2: 2013/14				IMPROVEMENT TARGET PROJECTION		
Risk Reference	Title		Current Risk Status	Direction of Travel from Previous Status	Last Review Date	Risk Owner	Improvement Target Status	Improvement Target Date	Risk owner recommendation
CRR013	Failure to prepare for and/or respond to a Civil Emergency	High (9)	Medium (4)	↔	02/10/2013	Netta Meadows	Medium (4)	Achieved	This risk requires on-going active management, and has a potential impact across the organisation that requires cross-directorate working to resolve. Three mitigations currently behind schedule, with an underlying issue around the availability of trained staff, although measures are in place to address the situation. However, given the scale of the potential issues involved at this time the current risk status is considered to be the best that can be achieved.
DRR - NH005	Risk of increased homelessness	High (6)	Medium (4)	↔	09/10/2013	Nick Hooper	Medium (4)	Achieved	Risk continues to be well managed and on schedule. However, at this time there is felt to be little likelihood of improving the risk status given the current situation.
DRR - NH013	Failure to protect income streams	Medium (4)	Medium (4)	↔	01/10/2013	Mary Ryan / Steve Barrett	Low (1)	April 2015	The full impact of the Universal Credit roll-out are yet to be known, and at present this is felt to be the earliest date by which this target can be achieved, although the situation will be kept under review.
DRR - NH010	Death or serious injury	High (9)	Medium (3)	↔	01/10/2013	Mary Ryan / Steve Barrett	Medium (3)	Achieved	One mitigation has been brought back onto schedule, leaving only one of from the current 10 mitigations behind schedule. Robust systems and procedures are in place to manage this risk, which has achieved its target level. Given the potential severity it will not be possible to reduce this risk level any further.

Please note that all four risks will be subject to challenge by the Directorate Leadership Team at a workshop in December 2013. The workshop will also review the need for additional risks to reflect the challenges that the Directorate faces in light of the impending structural changes.