

BRISTOL CITY COUNCIL

Audit Committee

8th November 2013

Report of: Strategic Director Regeneration

Report Title: Quarter 2 2013/14 Regeneration Risk Register

Ward: Citywide

Officer presenting report: Rob Gilmore

Contact Telephone Number: 92 22767

RECOMMENDATION

The Audit Committee

1. Review and approve the Regeneration 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:

- CRR042 – Flood Risk, remains a high risk, reflecting its potential impact across a large part of the City. A number of mitigations are in place, and must be considered over the long term. Work is currently in hand developing proposals for physical works to reduce the future risk of a major flooding event.
- Progress has been made in reviewing the current risks, and a workshop is planned for December 2013 to challenge and review the current risk mitigations and risk ratings and set targets, 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 Regeneration and Neighbourhoods (including Landlord Services). 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 is reviewing 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 a risk which has been mitigated down to, and maintained at, a low level of risk being moved to being managed at a Service Level.
- 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 7 risks associated with Regeneration – 2 Corporate and 5 Directorate level risks drawn from the Neighbourhoods & City Development Risk Register. However, one Directorate Risk is now being managed at a Service Level, so that currently there are six risks (2 Corporate and 4 Directorate) which are presented in order of the highest risk, one of which currently demonstrates a current risk status of high.
- 2.3 The risk with a high risk status is CRR042 – Flood Risk, which has a potential impact across a large part of the City. There are currently ten mitigations, two of which are behind schedule. Management of this risk is complex, needing to be viewed over the long term, and work is currently in hand to develop proposals for physical works to reduce the future risk of a major flooding event.
- 2.4 The remaining five are currently considered as medium risk when considering the effectiveness of the mitigations in place to manage the risks.
- 2.5 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.

2.6 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 (Regeneration) 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

REGENERATION 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	Transport Management Team	18 th July 13		4	Audit Committee	8 th Nov 13
2	Councillor Mark Bradshaw	22 nd Oct. 13				
2	Councillor Gus Hoyt	22 nd Oct. 13				
2	Councillor Simon Cook	23 rd Oct. 13				
3	Regeneration Leadership Team	23 rd Oct. 13				

RISK ASSESSMENT	IMPACT	High	H/L $3 \times 1 = 3$	H/M $3 \times 2 = 6$	H/H $3 \times 3 = 9$
		Medium	M/L $2 \times 1 = 2$	M/M $2 \times 2 = 4$	M/H $2 \times 3 = 6$
		Low	L/L $1 \times 1 = 1$	L/M $1 \times 2 = 2$	L/H $1 \times 3 = 3$
			Low	Medium	High
METHODOLOGY					
<p>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.</p>	RISK	LIKELIHOOD			



Regeneration 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)		
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

Prepared by: Andrew Clements

Based on SPAR.net Report

Produced On 16th October 2013

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	Information	Responsible Person	Date Identified	Last Review Date	
Completed	Conduct Central Area Flood Risk Assessment (CAFRA)	CAFRA study nearing formal sign off. Consultants Arup have been appointed to undertake a high level strategic options evaluation of the potential solutions to address the main risk identified by CAFRA and impact on development opportunities in Local Enterprise Zone. Consultants due to report in autumn 2013.	John Roy	01/10/2010	08/10/2013	
On schedule	Develop a strategy as required by the Flood Water Management Act 2010	Officers have completed series of workshops with both internal departments and focussed stakeholders to identify objectives, measures and Action Plan for our Local Flood Risk Management Strategy (LFRMS). Draft strategy currently being reviewed and desk topped by Bristol Design with public, stakeholder and business community engagement in early 2014 leading to publication in summer 2014 following cabinet consideration.	John Roy	01/10/2010	08/10/2013	
On schedule	Develop an understanding of how to improve defences and mitigate risks to protect Avonmouth	W S Atkins have undertaken investigations, as part of the Avonmouth Severnside Development Strategy, into flood risk associated with Avonmouth and Severnside. A draft final report has been delivered for comments from the stakeholder group who are currently feeding comments back via the project manager. The potential for Business Rate retention to contribute towards flood risk measures will be explored with the Local Enterprise Partnership (LEP).	John Roy	01/10/2010	08/10/2013	
On schedule	Flood awareness	Flood risk management workshop being organised completed by August 2013, Review of Brislington Brook progress to be completed with Environment Agency and Flood Risk Management team. Development of the Local Flood Risk Management Strategy and consolation through Neighbourhood Partnerships and Citizens Panel will further raise the awareness of the challenge of flooding in the city.	Simon Creed	28/04/2011	08/10/2013	
Behind schedule	Mobile Barrier Equipment	Flood barrier training completed January 2013. Will be repeated annually. List of volunteers to provide out of hours response system rolled out. Business case for purchase of more flood barrier submitted Oct. 2013.	Simon Creed	28/04/2011	08/10/2013	

Behind schedule	Property protection	Flag up on Keystone database those properties in flood risk areas to enable consideration of flood mitigation measures - as part of a cross tenure approach to be agreed with other departments. Cross check between Local Flood Risk Management Strategy (LFRMS) and Flood Action Plan to be done following sign off of draft LFRMS in autumn 2013 in appropriate working group.	Currently Nicky Debbage - to be reviewed	28/04/2011	08/10/2013	
On schedule	Surface Water Management Plan	Grants have been allocated from DEFRA, via the 2013/14 medium term plan, for the implementation of phase 2 works on Dundry Hills, Trowbridge Road, Southmead and early design works for Fonthill Park is on going. PAR submission made for Phase 2 Dundry Slopes, revised scheme to replace Trowbridge Road has been identified.	Alistair Cox	01/10/2010	08/10/2013	
On schedule	To identify open spaces suitable for flood management	We are under a statutory duty to set up a Sustainable Drainage Approval Board (SAB) to consider all planning applications as from April 2014 and through this process we will be working with colleagues in Parks, Highways & Traffic and Development Management to identify suitable open spaces. Application has been made to the People Panel to recruit consultant for 2.5 days per week for 6 months to lead on implementation of SAB which will include this mitigation.	John Roy	01/10/2010	08/10/2013	
On schedule	Update Recovery Plan	The current plan was issued in 2006, and although fit for purpose needs updating with recent changes in the organisations involved and some procedures. Review entered into CPU's work programme for 2013/14. We have also reviewed the Plan in line the duties as Lead Local Flood Authority under Flood & Water Management Act and forthcoming Local Flood Risk Management Strategy. Review commenced , due for completion Feb 2014.	Simon Creed	28/04/2011	08/10/2013	
Behind schedule	Warnings and Forecasts	New system now in place.	Simon Creed	28/04/2011	08/10/2013	
Current Status:		High (6)	Current Risk Severity:	High	Current Risk Likelihood:	Medium
Risk Champion: Rob Gilmore						

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	Information	Responsible Person	Date Identified	Last Review Date	
On schedule	All Capital Projects reported to the Corporate Capital Programme Board (CCPB)	The new Corporate Capital Programme Board (CCPB) has been established to improve the management of Capital projects, and will support Project / Programme Delivery and monitor delivery of all Capital Projects across the City Council; Advise the Mayor, Cabinet and Council on Capital Funding Allocation and monitor overall capital spend and to manage slippages; and monitor Capital Grant Funding, the property disposal programme and capital receipts.	Alistair Reid	13/07/2012	09/10/2013	
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.	Alistair Reid	13/07/2012	09/10/2013	
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.	Alistair Reid	17/01/2011	09/10/2013	
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.	Alistair Reid	13/07/2012	09/10/2013	
On schedule	Implement strong governance on all major projects	All projects to have appropriate Project Boards to enable effective and auditable decision making processes. The senior responsible officer (SRO) will make further escalation of issues to the Strategic Investment Board and Members.	Alistair Reid	13/07/2012	09/10/2013	
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.	Alistair Reid	13/07/2012	09/10/2013	
Current Status:		Medium (4)	Current Risk Severity:	Medium	Current Risk Likelihood:	Medium

Risk Champion: Rob Gilmore

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	Information	Responsible Person	Date Identified	Last Review Date	
Behind schedule	Condition surveys of key assets	Good asset data is available for all transport assets with the exception of street furniture and structures. Consultants have been commissioned to assess how we are delivering the overall Bridges and Highways Structure service against the National Code of best practice. Coarse visual inspections have been undertaken on 71 key structures across the City. These have not identified any significant problems that were not already known.	John Roy	12/07/2012	08/10/2013	
Behind schedule	Development of Transport Asset Management Plan (TAMP)	New Transport Asset Manager in post Sept. 2013. An asset management policy and strategy will be published by April 2014. These will align with the corporate vision and demonstrate the contribution asset management makes towards achieving this vision. From April 2014 we will be able to carry out some Depreciation Modelling for carriageway and lighting assets where we already have good condition information in line with Government focus e.g. Highways Efficiency Maintenance Programme (HEMP).	John Roy	01/10/2010	08/10/2013	
Behind schedule	Modernise procedures and processes	Software to be purchased which will enable carriageway maintenance programme, for classified and potentially unclassified network, to be asset data led for 2014/15. This will build on the empirical knowledge base that already exists. Evaluation of potential software options for asset management modelling continuing.	John Roy	01/10/2010	08/10/2013	
Current Status:		Medium (4)	Current Risk Likelihood:	Medium	Current Risk Likelihood:	Medium
Risk Champion: Rob Gilmore						

Risk: Inability to cope with severe winter weather, and support needs of other Directorates		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	Information	Responsible Person	Date Identified	Last Review Date	
Behind schedule	Consider increased salt storage to improve resilience	1500 tonnes of salt stored and sheeted at Hartcliffe to comply with recommendations of Quarmby report. If the new HWRC (<i>Household Waste Recycling Centre</i>) proceeds it is unlikely that the winter operation can continue at this site, and salt will no longer be stored there. Options for storage after the 2013/14 winter season are being investigated but cannot be progressed until the decision is made on the HWRC.	Jim Creamer	07/02/2012	01/10/2013	
On schedule	Possible installation of additional weather station(s)	Quotations for the provision of a weather station are being invited and a weather station installed prior to winter 2013. This will improve the accuracy of Road Surface Temperature forecasts for Bristol and should lead to improved resilience.	Jim Creamer	01/10/2010	01/10/2013	
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 Snow Plan reviewed and republished in December 2012, and will be reviewed again in October 2013.	James Gillman	07/02/2012	01/10/2013	
On schedule	Snow wardens trial	100 snow wardens have been trained and appointed for all identified areas and now extended to all areas of Bristol, 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. System and plans successfully tested with recent snowfall, New recruitment to commence Nov. 2013 to increase number of wardens.	Simon Creed	07/02/2012	01/10/2013	
Current Status:		Medium (4)	Current Risk Severity:	Medium	Current Risk Likelihood:	Medium
Risk Champion: Rob Gilmore						

Risk: Risk of not meeting parking income estimates		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)		High (6)	Inherent Risk Severity:	High	Inherent Risk Likelihood:	Medium
Date Identified: 20 Sep 2010			Service: Highways and Traffic			
Mitigation records						
Mitigation Status	Mitigation	Information	Responsible Person	Date Identified	Last Review Date	
Behind schedule	Enforcement Controls	Sign replacement not a concern but there remains is a large backlog in the replacement of worn lines. Meetings within highways have taken place during the last quarter and a concerted effort is to be made to catch up. Line replacement can be quite problematic due to the presence of parked vehicles and is reliant on dry weather.	Terry Bullock	01/10/2010	04/10/2013	
Behind schedule	Increase the Number of Bus Lanes to be Enforced (BLE)	Progress has been made during the last quarter and some new bus lanes are now being enforced. Whilst the overall programme remains behind schedule, mainly because of the lack of available resources, efforts continue to be made to bring it back on track.	Terry Bullock	01/10/2010	04/10/2013	
Behind schedule	New Parking Tariffs & Expansion of Pay & Display	The overall programme is behind schedule, but the TRO objection report for the Outer CPZ TRO is due for consideration shortly. Assuming that the report is signed off and the remaining legalities are put in place, the tariff changes should operational in November with the physical works for the additional bays being completed by February 2014.	David Bunting	01/10/2010	04/10/2013	
Current Status:		Medium (4)	Current Risk Severity:	Medium	Current Risk Likelihood:	Medium
Risk Champion: Rob Gilmore						

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)		High (6)	Inherent Risk Severity:	High	Inherent Risk Likelihood:	Medium
Mitigation records						
Mitigation Status	Mitigation	Information	Responsible Person	Date Identified	Last Review Date	
On schedule	Archiving	Pre 2005 planning applications (statutory register) continue to be stored at Brunel House. A current document retention & destruction review should result in the destruction of a large number of non-statutory paper records. Alternative options for storage, and 'scan (then destroy) on retrieval' for existing pre '05 records (statutory only) will be considered. Archived Building Regulations records (more than 16 years old) will continue to be destroyed at appropriate intervals.	Nicky Winter	01/10/2010	01/10/2013	
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 documentation is cost prohibitive, although options to store records off-site and scan on retrieval are to be considered. BWP will inform this action. Document retention software for scanned documents is now available. All new Building Regulations applications will be scanned during Year 2014/15, and held electronically.	Nicky Winter	21/07/2011	01/10/2013	
Current Status:		Medium (3)	Current Risk Severity:	High	Current Risk Likelihood:	Low
Risk Champion: Rob Gilmore						

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

Risk: Risk to strategic savings through failure to mitigate increase in energy prices for street lighting		As this risk has been mitigated to, and maintained at a very low level, the Transport Management Team at its meeting on 18/07/2013 determined that in future this risk will be managed at a Service Level, and not included in this report.			Risk Code: SRR - CD001	
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	Information	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 are currently on schedule for completion this year	Adam Crowther	01/10/2010	01/10/2013	
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. 2-3000 residential lamps remain to be fitted energy savings are ahead of targets.	Adam Crowther	03/11/2010	01/10/2013	
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. As above all ahead of target, no plans currently for part night lighting	Adam Crowther	03/11/2010	01/10/2013	
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. Several thousand illuminated signs replaced with LEDS, work ongoing. LED lanterns and white light technologies continually evaluated - we are now only fitting LED lanterns on new sites.	Adam Crowther	03/11/2010	01/10/2013	
Current Status:		Low (2)	Current Risk Severity:	Medium	Current Risk Likelihood:	Low
Risk Champion: Rob Gilmore						

QUARTER 2 2013/14
REGENERATION 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	Flood Risk	High (6)	High (6)	↔	08/10/2013	Peter Mann	-	-	These risks will be subject to review and challenge, and a target risk status established, at a Risk Management Workshop being organised in December 2013.
CRR004	Management and Delivery of Major Infra-structure Projects	High (9)	Medium (4)	↔	09/10/2013	Alistair Reid	-	-	
DRR - CD004	Failure to meet our S58 obligations	High (6)	Medium (4)	↔	08/10/2013	Peter Mann	-	-	
DRR - CD003	Inability to cope with severe winter weather, and support needs of other Directorates	High (6)	Medium (4)	↔	01/10/2013	Peter Mann	-	-	
DRR - CD006	Risk of not meeting parking income estimates	High (6)	Medium (4)	↔	04/10/2013	Peter Mann	-	-	
DRR - CD007	Risk of loss of paper records from 1948 to 2005	High (6)	Medium (3)	↔	01/10/2013	Zoe Willcox	Medium (3)	Achieved	Without substantial investment this represents the best that can be achieved, although the situation needs to be managed to ensure that the planned mitigations are delivered effectively. The Target set will be challenged at the workshop referred to above.