

# NEIGHBOURHOODS DIRECTORATE RISK REGISTER

Situation as at March 2017



# Corporate Risk Matrix Ratings

Likelihood	6	Almost Certain	6	12	18	24
	5	Likely	5	10	15	20
	4	Probable	4	8	12	16
	3	Possible	3	6	9	12
	2	Unlikely	2	4	6	8
	1	Almost Impossible	1	2	3	4
Overall Risk Rating = Likelihood x Impact			Marginal	Significant	Critical	Catastrophic
			1	2	3	4
			Impact			

## Guidance on Assessing Likelihood

Likelihood		Likelihood Descriptors	Numerical Likelihood
6	Almost certain	Surely will happen and possibly frequently	99% or more
5	Likely	Probably will happen at regular intervals	75% or more
4	Probable	Probably will happen on rare occasions	50% or more
3	Possible	Might happen on rare occasions	Less than 50%
2	Unlikely	Do not expect it to happen, but it is possible it may do so	Less than 25%
1	Almost impossible	This will probably never happen	Less than 1%

## Guidance of Assessing Impact

Rating		Effect on service provision Potential	Potential Financial Loss / Gain	Potential Fraud & Corruption loss	Reputation	Legal	Environmental	Communities	Personal safety
1	Marginal	Very limited effect (positive or negative) on service provision. Impact can be managed within normal working arrangements.	Under £0.5m	Under £50k	Minimal and transient loss of public trust. Contained within the individual service	No significant legal implication or action is anticipated	No effect (positive / negative) on the environment / community	Minimal effect on community	Minor injury to citizens or staff may result or can be prevented.
2	Significant	Noticeable and significant effect (positive or negative) on service provision. Effect may require some additional resource, but manageable in a reasonable time frame.	Between £0.5m - £5m	Between £50k - £100k	Significant public interest although limited potential for enhancement of or damage to reputation. Dissatisfaction reported through Council Complaints procedure but contained within the Council. Local MP involvement. Some local media/social media interest.	Tribunal / BCC legal team involvement required (potential for claim)	Short term effect (positive or negative) on the natural and or built environment.	Short term effect (positive or negative) on a small number of vulnerable groups / individuals	Significant injury or ill health of citizens or staff may result or be prevented.
3	Critical	Severe effect on service provision or a corporate Plan priority area. Effect may require considerable additional resource but will not require a major strategy change.	Between £5m - £10m	Between £100k - £1m	Serious potential for enhancement of or damage to reputation. Higher levels of local media / social media interest. Dissatisfaction regularly reported through Council Complaints procedure. Higher levels of local or national interest.	Criminal prosecution anticipated and or civil litigation.	Serious local discharge of pollutant or source of community annoyance that requires remedial action.	Medium term effect (positive or negative) on a significant number of vulnerable groups / individuals.	Major injury or ill health of citizens or staff may result or be prevented. Long term disability / absence from work.
4	Catastrophic	Extremely severe service disruption. Significant customer opposition. Legal action. Effect could not be managed within a reasonable time frame, or by a short term allocation of resources and may require major strategy changes. The Council risks 'special measures' Officer / Member forced to resign.	More than £10m	More than £1m	Highly significant potential for enhancement of or damage to reputation. Intense local, national and potentially international media attention. 'Viral' on line social media. Public enquiry or poor external assessor report.	Criminal prosecution anticipated and or civil litigation (> 1 person)	Lasting effect on the natural and or built environment.	Lasting effect positive or negative) on a significant number of vulnerable groups / individuals	(Avoidable) Death of citizens or staff may result or be prevented. Long term disability / absence from work.

<b>Risk : Managing Health &amp; Safety matters across the Directorate</b>	<b>Risk Owner: All Neighbourhoods Service Directors</b>	<b>Updated: 01/03/2017</b>
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<b>Risk Overview</b>	<b>Risk description:</b> Death and injury of citizens and staff as a result of BCC being a sizeable landlord or through other services use of plant.					
	<b>Causes :</b> Fire, asbestos etc not having robust plans to deal with known hazards. Non compliance with safety regulations etc, failure of routine/planned maintenance. Failure to design safe buildings (Construction Design and Management regulations). Operatives' use of plant and appropriate communications and guidance. Poor training. Poor maintenance of plant and equipment.					
	<b>Consequence:</b> Death, cost of court cases, reputation, confidence.					
	<b>Horizon:</b> Ongoing	<b>Please consider whether the current risk rating correctly describes the current situation.</b>	<b>Risk Rating</b>	<b>Likelihood</b>	<b>Impact</b>	<b>Risk Level</b>
		<b>Current Risk</b>	<b>Probable</b>	<b>Significant</b>	<b>Amber</b>	
		<b>Target Risk</b>	<b>Probable</b>	<b>Significant</b>	<b>Amber</b>	

<b>Current Mitigations in place and working effectively</b>	<b>Responsible Officer</b>	<b>Further Actions Required</b>	<b>Time-frame for Action</b>	<b>Responsible Officer for Action</b>
CHaSM s are regularly completed and updated – all managers			Ongoing via qarterly returns from Managers	Steven Barrett
Designated officer to support managers in mitigating risks	Martin Dunphy			
Maintenance of vehicles through Transport services	Nick Gingell			
Induction training and team briefing training on safe use of plant. All managers Refresher training on a 2-3 year cycle				
Fire safety policy in place inc. Fire risk assessments+ accelerated programme of works to address risks/issues ongoing.	Nicky Debbage			
Asbestos strategy/inspection regime in place + agreed processes for safe removal/encapsulation in line with Regulations. Review underway of processes and the management of the info on Housings' Asbestos Register and what's viewable. Input from Health and Safety Advisors.	Nicky Debbage			
Rolling 1 year (gas) and 10 year (electrical) safety checks on all properties/appliances	Gillian Durden			
Rolling samples of communal water systems for Legionella in place	Gillian Durden			
Risk assessment in place for domestic systems	Gillian Durden			
Regular checks of lift operations (min 6 monthly)	Gillian Durden			
CDM Co-ordinators in place to prevent/manage all H&S issues on all capital and Revenue programmes	N. Debbage / G. Durden / Z. Naylor			
The management, testing and maintenance of all Health and safety-related issues within Neighbourhoods is a day-to-day, business as usual activity, built into works programmes and plans.				
Quarterly feedback of information from Neighbourhoods Corporate Safety Rep	Steve Barrett			

<b>Waste Management</b>	<b>Risk Owner: Netta Meadows</b>	<b>Updated:</b>
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<b>Risk Overview</b>	<b>Risk description: Ensuring effective delivery of the Waste Contract</b>					
	<b>Cause: Poor contract management (Quality and cost), ineffective service delivery</b>					
	<b>Consequence: Reputation loss, public health risk, higher costs</b>					
	<b>Horizon: Short / Medium term</b>	<b>Please consider whether the current risk rating correctly describes the current situation.</b>	<b>Risk Rating</b>	<b>Likelihood</b>	<b>Impact</b>	<b>Risk Level</b>
	<b>Current Risk</b>		<b>Possible</b>	<b>Critical</b>	<b>Amber</b>	
	<b>Target Risk</b>		<b>Unlikely</b>	<b>Critical</b>	<b>Green</b>	

<b>Current Mitigations in place and working effectively</b>	<b>Responsible Officer</b>	<b>Further Actions Required</b>	<b>Time-frame for Action</b>	<b>Responsible Officer for Action</b>
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Bristol Waste Company awarded a 10 year agreement – Cabinet decision made August 2016 . Functions including disposals, Household Waste Recycling Centres and communications have since transferred to the company to enable 'integrated', 'end to end' control over the waste management cycle in the City.		10 year Waste Service Agreement to be finalised, which formalises in detail the contract management processes.	Apr-17	Netta Meadows
Commissioning lead has been in place since October 2016 who is finalising Waste Services Agreement and developing a new suite of KPIs for each element of the integrated waste service.		Feedback from Neighbourhoods Scrutiny and other stakeholders to support finalisation of outcome based KPIs which will enable council and BWC to work together to increase recycling and make the city measurably cleaner.	Feb 17 - Apr - 17	Netta Meadows
The Council is supporting the Bristol Waste Company to replace their Waste Management System which will provide better performance data to better support robust performance management.		Joint processes around the customer journey to be reviewed and arrangements for better joint working between the council and BWC to be developed to support service improvements and improve customer experience.	Apr 17 - Jan - 18	Netta Meadows

<b>Public Health - Health Protection Systems</b>	<b>Risk Owner: Becky Pollard / Patsy Mellor</b>	<b>Updated:</b>
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<b>Risk Overview</b>	<b>Risk description: Failure of the health protection system, including failure to protect the public from infectious diseases and emergency incidents</b>					
	<b>Cause: Fragmentation of existing systems, partners undergoing re-organisation and capacity is a significant issue.</b>					
	<b>Consequence: Preventable death/ illness from infectious diseases.</b>					
	<b>Horizon: Ongoing</b>	<b>Please consider whether the current risk rating correctly describes the current situation.</b>	<b>Risk Rating</b>	<b>Likelihood</b>	<b>Impact</b>	<b>Risk Level</b>
	<b>Current Risk</b>		<b>Unlikely</b>	<b>Critical (3)</b>	<b>Green (6)</b>	
	<b>Target Risk</b>		<b>Unlikely</b>	<b>Critical (3)</b>	<b>Green (6)</b>	

<b>Current Mitigations in place and working effectively</b>	<b>Responsible Officer</b>	<b>Further Actions Required</b>	<b>Time-frame for Action</b>	<b>Responsible Officer for Action</b>
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The Health Protection Committee meets quarterly, chaired by the DPH to provide assurance that local plans are in place to prepare for and manage public health emergencies. Regular assurance has been sought from the health protection committee members. We postponed the last HPC because several people were unable to make the meeting. Forward schedule is being arranged		Clearly agree and outline funding arrangements for communicable disease incidents and outbreaks		
Public Health funding approved to support EH team to address the backlog in Food Safety inspections		To continue to validate existing plans and procedures, ensuring plans are effective and well-practised		
Bristol Immunisation and Vaccination group has been set up and will report to the Health Protection Committee		Utilise the agreed funding and work to clear the backlog of Food Safety Inspections prioritising the highest risk rated premises and new businesses.		
Environmental Health Out of Hours rota implemented	Adrian Jenkins	Public Health funding agreed and recruitment underway.		Nick Carter
Health Protection Committee Annual Report 2015/16 completed and being taken to the HWB October 2016. The report highlights achievement, gaps and priorities in the health protection system for the next year	Becky Pollard			
A Mass Response plan for the Bristol area is being drafted to outline the local response arrangements to health protection incidents. The second multiagency workshop to develop the Bristol Mass response plan was held on 15.3.17. This was well attended and we have been able to progress and clarify roles and responsibilities.				

<b>Public Health - Suicide - Health Protection Systems</b>	<b>Risk Owner: Becky Pollard</b>	<b>Updated:</b>
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<b>Risk Overview</b>	<b>Risk description: Bristol University has experienced a 'suicide cluster'. Should statutory agencies fail to effectively respond (with Public Health taking a leading role) then we may fail to effectively prevent further suicides.</b>					
	<b>Cause: Inquests are being undertaken on each suicide and a system-wide review on the suicide cluster and agencies' response is being planned. Both will help us to better understand any local issues and ongoing needs.</b>					
	<b>Consequence: Preventable death from suicide.</b>					
	<b>Horizon: Ongoing</b>	<b>Please consider whether the current risk rating correctly describes the current situation.</b>	<b>Risk Rating</b>	<b>Likelihood</b>	<b>Impact</b>	<b>Risk Level</b>
		<b>Current Risk</b>	<b>Possible</b>	<b>Critical (3)</b>	<b>Amber (9)</b>	
		<b>Target Risk</b>	<b>Unlikely</b>	<b>Critical (3)</b>	<b>Green (6)</b>	

<b>Current Mitigations in place and working effectively</b>	<b>Responsible Officer</b>	<b>Further Actions Required</b>	<b>Time-frame for Action</b>	<b>Responsible Officer for Action</b>
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A small working group involving leads from the university, BCC, Public Health England and CCG is in close communication to try and resolve immediate needs around training and additional staff resource for the university (to focus on vulnerable students). A wider reference group exists to offer additional support and expertise (this includes learning from similar experiences elsewhere, e.g. York).	Leonie Roberts / Victoria Bleazard	As a priority we are reinvigorating Bristol's Suicide Prevention Action Group (SPAG). Through this group, and with support from PHE we will refresh Bristol's Suicide Prevention Strategy (over Summer '17).	Ongoing / monthly review	Leonie Roberts / Victoria Bleazard
We are closely referencing PHE guidance around effectively responding to suicide clusters, and are planning a process to evaluate how agencies have responded to this cluster, and how we might improve systems based on this.				
A suicide cluster describes a situation in which more suicides than expected occur in terms of time, place or both. The cluster response team have found no direct links between the students.				

<b>Public Health - Clinical Safety</b>	<b>Risk Owner: Becky Pollard</b>	<b>Updated:</b>
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<b>Risk Overview</b>	<b>Risk description: Failure to assure the clinical safety of services we deliver or commission</b>						
	<b>Cause: Poor contract management and contract delivery</b>						
	<b>Consequence: Legal liability and loss of contracts. Loss of grant if fail to deliver</b>						
	<b>Horizon: Until clinical governance system is established</b>	<b>Please consider whether the current risk rating correctly describes the current situation.</b>	<b>Risk Rating</b>	<b>Likelihood</b>	<b>Impact</b>	<b>Risk Level</b>	
			<b>Current Risk</b>	<b>Unlikely</b>	<b>Significant</b>	<b>Green (4)</b>	
		<b>Target Risk</b>	<b>Unlikely</b>	<b>Significant</b>	<b>Green (4)</b>		

<b>Current Mitigations in place and working effectively</b>	<b>Responsible Officer</b>	<b>Further Actions Required</b>	<b>Time-frame for Action</b>	<b>Responsible Officer for Action</b>
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The Director of Public Health is overseeing the development of a clinical governance framework working with Bristol CCG.		New policy has been developed. This shows a clear process for reporting and investigating serious incidents as well as ensuring clinical governance is addressed routinely through contract management. To be actioned from April 2017	01 April 2017	Becky Pollard / Barbara Coleman
Robust contract management arrangements are in place		Revised arrangements will be included in new and existing contracts when finalised.		
Preliminary meeting taken place with CCG lead for clinical governance and partnership working arrangements discussed.				
System needs to be set up to formalise these arrangements				

<b>Public Health Grant</b>	<b>Risk Owner: Becky Pollard</b>	<b>Updated:</b>
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<b>Risk Overview</b>	<b>Risk description: In year cut to the public health ring fenced grant in 2015/16 and uncertainty of public health grant allocation for 2016/17.</b>					
	<b>Cause: Inability to meet existing public health commitments and budget alignments to support the MTFP.</b>					
	<b>Consequence: Potential risk of service reductions in both mandatory and non-mandatory public health services (including sexual health, health checks, health visiting and school nursing services, drug and alcohol services)</b>					
	<b>Horizon:</b>	<b>Please consider whether the current risk rating correctly describes the current situation.</b>	<b>Risk Rating</b>	<b>Likelihood</b>	<b>Impact</b>	<b>Risk Level</b>
		<b>Current Risk</b>	<b>Possible</b>	<b>Significant</b>	<b>Green (6)</b>	
		<b>Target Risk</b>	<b>Possible</b>	<b>Significant</b>	<b>Green (6)</b>	

<b>Current Mitigations in place and working effectively</b>	<b>Responsible Officer</b>	<b>Further Actions Required</b>	<b>Time-frame for Action</b>	<b>Responsible Officer for Action</b>
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	Finance paper presented to SLT Feb 2017, all recommendations approved. Public Health DMT to take forward recommendations in report. To date Public Health have identified over £2M savings, and the senior team are reviewing all spend to identify the additional £1M saving needed by 2019/20		Further reductions to the ring fenced grant are likely in addition to the public health contribution to current financial situation	On-going	Becky Pollard / Barbara Coleman
			The senior public health team are undertaking a thorough review of expenditure across all programme areas to identify where savings may be made or where re-distribution of resources is required		



<b>Knowledge, Skills and Expertise gap</b>	<b>Risk Owner: Alison Comley</b>	<b>Updated:</b>
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<b>Risk Overview</b>	<b>Risk description: Reduced expertise and experience resulting from a shrinking workforce</b>						
	<b>Cause: Reduced level of knowledge and expertise within re-designed services, post restructure</b>						
	<b>Consequence: Reduced capabilities to deliver services to citizens</b>						
	<b>Horizon: Short to medium term</b>	<b>Please consider whether the current risk rating correctly describes the current situation.</b>	<b>Risk Rating</b>	<b>Likelihood</b>	<b>Impact</b>	<b>Risk Level</b>	
			<b>Current Risk</b>	<b>Probable</b>	<b>Significant</b>	<b>Amber (8)</b>	
<b>Target Risk</b>			<b>Possible</b>	<b>Significant</b>	<b>Green (6)</b>		

<b>Current Mitigations in place and working effectively</b>	<b>Responsible Officer</b>	<b>Further Actions Required</b>	<b>Time-frame for Action</b>	<b>Responsible Officer for Action</b>
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Identification of current skill shortage across Directorate including : - - Housing Officers - Surveyors		Development of a Neighbourhoods workforce strategy	March - June 2017	Alex Holly with Service Directors
Bespoke recruitment in place		As workforce shrinks further there is a need to ensure there are mechanisms to keep Neighbourhoods expertise within the Directorate in different roles	Ongoing	Alex Holly

Housing Revenue Account - maintain a balanced HRA 30 year business plan	Risk Owner: Mary Ryan / Steve Barrett	Updated:
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<b>Risk Overview</b>	<b>Risk description: Unviability of the HRA</b>						
	<b>Cause: Changes to rent policy and welfare benefit reform reducing income</b>						
	<b>Consequence: Lack of ability to deliver planned services, requirement to cut spending plans / reduce services</b>						
	<b>Horizon: Ongoing</b>	<b>Please consider whether the current risk rating correctly describes the current situation.</b>	<b>Risk Rating</b>	<b>Likelihood</b>	<b>Impact</b>	<b>Risk Level</b>	
			<b>Current Risk</b>	<b>Possible</b>	<b>Significant</b>	<b>Green (6)</b>	
<b>Target Risk</b>			<b>Unlikely</b>	<b>Significant</b>	<b>Green (4)</b>		

<b>Current Mitigations in place and working effectively</b>	<b>Responsible Officer</b>	<b>Further Actions Required</b>	<b>Time-frame for Action</b>	<b>Responsible Officer for Action</b>
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Regular updating and external review of HRA 30-year business plan, consultation on revised strategy and resulting budget implications	Mary Ryan / Steve Barrett	HRA budget for 2016/17 has been agreed at Cabinet. Over the year 16/17 we are undertaking extensive consultation with stakeholders on different options in order to deliver a balanced 30-year business plan from 2017.	Bi Annual review	Nicky Debbage

Tree Management - maintain a rolling programme of tree management works across the City	Risk Owner: Di Robinson / Gemma Dando	Updated:
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<b>Risk Overview</b>	<b>Risk description:</b> risk of trees falling as a result of failure under certain weather conditions and/or due to disease					
	<b>Cause:</b> the council has 100,000 trees. Severe weather conditions and/or disease can lead to tree failure.					
	<b>Consequence:</b> if not managed effectively a tree may fall and present a risk to the public, staff and infrastructure					
	Horizon: Ongoing	Please consider whether the current risk rating correctly describes the current situation.	Risk Rating	Likelihood	Impact	Risk Level
	Current Risk		Possible	Critical	Amber (9)	
	Target Risk		Possible	Significant	Green (6)	

Current Mitigations in place and working effectively	Responsible Officer	Further Actions Required	Time-frame for Action	Responsible Officer for Action
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Clear tree management process that responds to HSE and HSW Act recommendations/guidelines. Risk based approach to managing trees with trees that are deemed to be high risk being felled.		Where trees are subject to diagnostic tests or close monitoring, risk assessments should be updated on Confirm from the time that regular monitoring starts and where necessary the cyclical inspection regime made more frequent for that particular tree. Review resourcing of tree management by services that require input from the tree Management Team e.g. Cemeteries and Crematoria	Quarterly review	Richard Ennion

<b>Failure to Prevent Homelessness</b>	<b>Risk Owner: Nick Hooper</b>	<b>Updated:</b>
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<b>Risk Overview</b>	<b>Risk description:</b> Failure to prevent homelessness					
	<b>Cause:</b> Welfare reform, changes to private renting, shortage of affordable housing, non-priority individuals with complex needs					
	<b>Consequence:</b> Cost to Bristol City Council for Temporary Accommodation Reputational damage from street homelessness Costs to wider-system (e.g. Health) Social costs to households					
	<b>Horizon:</b> Current and on-going	<b>Please consider whether the current risk rating correctly describes the current situation.</b>	<b>Risk Rating</b>	<b>Likelihood</b>	<b>Impact</b>	<b>Risk Level</b>
	<b>Current Risk</b>		<b>Probable</b>	<b>Significant</b>	<b>Amber (8)</b>	
	<b>Target Risk</b>		<b>Possible</b>	<b>Significant</b>	<b>Green (6)</b>	

<b>Current Mitigations in place and working effectively</b>	<b>Responsible Officer</b>	<b>Further Actions Required</b>	<b>Time-frame for Action</b>	<b>Responsible Officer for Action</b>
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Working with private sector and voluntary and community sector providers to ensure an adequate supply of emergency accommodation for families. St Mungo's Broadway is commissioned to deliver outreach services to rough sleepers and a severe weather emergency protocol (SWEPE) is in place to support rough sleepers if there is severe weather. Also working with providers to develop more PRS accommodation as move-on.		Reduce average number of families temporarily housed in emergency accommodation per night.	2016/17	Gillian Douglas
Emergency accommodation to be put on framework contracts.		Continue to roll out 'Real Lettings' (80 in total – over 2 years)	2016/17	Olly Alcock
On-going review of processes between housing / children families		Rough sleepers task group (led by St Mungos)		Carmel Brogan
Restructuring of Housing Options is underway with Housing Advice working differently through the CSP to assess homeless households within 48 hours of presentation. This ensures earlier intervention and maximisation of prevention opportunities.		City office task group focus on 100 beds in 100 days. Project manager appointed.		
Hardship Fund project within WRAMAS has been outreaching to families at risk of homelessness due to benefit cap and has increased work with h/hs subject to bedroom tax. This project runs tro March 2017.		Bring into use surplus BCC property for temp emergency accommodation.	Quarterly	Carmel Brogan
Real lettings properties – target is on schedule with 30 properties already being let to homeless households as long term accommodation.		Complete restructuring of Housing Options		Gillian Douglas

	New properties being accessed as interim accommodation (e.g. council properties) as a better value option than private spot purchased accommodation.		Implementation of new CLG grant funding (Trailblazer, Rough Sleeper, SIB) is being progressed.		Gillian Douglas
			There is now a framework contract in place for temporary nightly purchased accommodation which has reduced the unit cost. Framework / contract for block purchase is due to go live in April 2017.		

Loss of Business Rate Revenue (i & ii)		Risk Owner: Patsy Mellor / Finance Business Partner			Updated:			
Risk Overview	<p><b>Risk description:</b> (i) Potential large loss of Business Rate Revenue resulting from approximate 20% rateable value reduction, back-dated to 1/4/2010, in respect of Seabank Power Station  (ii) Potential large loss of Business Rate Revenue resulting from deletion of Virgin network assessment from Local rating List, back-dated to 1/4/2010, (National issue)</p>							
	<p><b>Cause:</b> (i) If successful appeal made to Valuation Office Agency (VOA) by Virgin to have all their network assessments rated as one in the Central List which is the case with other Utilities, such as rail network; power networks (gas / electric, pipelines, other cable networks; etc).  (ii) Successful appeal made to Valuation Office Agency</p>							
	<p><b>Consequence:</b> (i) Reduction in Business Rate by approximately £2.9 million, 49% of which will be direct loss to Authority if settled prior to 1/4/2017, but after this the loss will be 100% due to participation in the Business Rate Pilot, although under this arrangement we will not lose revenue under our initial baseline. However it could have the effect of reducing budgeted growth. The Government has yet to make a clear announcement to how appeals will be funded in the future.</p>							
	<p>The rateable value has also seen a large reduction in the 2017 Rating List which will lead to a loss of revenue for 2017/18, which at present will be in the region of £270,000, although this may increase once the 2010 rateable value changes. The Government have compensated authorities for this through the system of tariffs and top-ups.</p>							
	<p>(ii) Reduction in Business Rate in excess of £6million, 49% of which will be direct loss to Authority prior to 1/4/2017, after which Authority will lose 100% of the income.</p>							
Horizon:		Please consider whether the current risk rating correctly describes the current situation.		Risk Rating	Likelihood	Impact	Risk Level	
				Current Risk	Probable	Significant	Amber (8)	
				Target Risk	Possible	Significant	Green (6)	
Current Mitigations in place and working effectively		Responsible Officer	Further Actions Required			Time-frame for Action	Responsible Officer for Action	
Loss under Appeal provision was made for £820K, based on historic reduction of 3% for this type of appeal.			Further update once official notification received from VOA , which will enable exact figure of revenue loss to be supplied.			expected by 31.03.17	Martin Smith / Paul Kimbrey	
Potential loss over the amount made under the appeal provision for this property likely to be in the region of £700K			Our only notification will either be the VOA advising that the appeal has been dismissed or that the entry is to be deleted from the Local Rating List and entered in central List or other Local List. Even if the VOA decide that assessment should remain in the Local List, ratepayer is able to further appeal this decision through the Valuation Tribunal and thereafter take the matter to a higher court.			Unable to obtain any information from the VOA as to when appeal will be settled and unless they delete assessment ratepayer will not agree the decision, which will lead to lengthy legal challenge's	Paul Kimbrey	

Loss of Business Rate Revenue from NHS applications for charitable status	Risk Owner: Patsy Mellor / Finance B.P.	Updated:
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<b>Risk Overview</b>	Risk description: Potential large loss of Business Rate Revenue resulting from NHS applications for charitable status					
	Cause: Advised by LGA to refuse but still ongoing					
	Consequence: Reduction in Business Rate Revenue between approximately £4 million plus refunded previous years refunds totalling £19 million at a cost of £8.5 million to the Authority					
	Horizon:	Please consider whether the current risk rating correctly describes the current situation.	Risk Rating	Likelihood	Impact	Risk Level
		Current Risk	Probable (4)	Critical (3)	Red (12)	
		Target Risk	Probable	Significant	Amber (9)	

Current Mitigations in place and working effectively	Responsible Officer	Further Actions Required	Time-frame for Action	Responsible Officer for Action
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Mandatory Charitable Rates Relief. Current uncertainty around Health care trust and mandatory charitable relief.		Participation in the Local Government Authority consortium receiving guidance from Counsel	Expected by 31.3.17	Martin Smith / Jo Hunt / Anne Nugent / Tony Whitlock
Issue is being managed by Business Rates team but monitored by Finance Team. National position including Counsel's Opinion from LGA is that claims unfounded. Claims received so far rejected.		Majority instalments are up to date		
Counter application has been received				

<b>Summons Costs regarding local taxation</b>	<b>Risk Owner: Patsy Mellor / Finance BP</b>	<b>Updated:</b>
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<b>Risk Overview</b>	<b>Risk description:</b> The level of summons costs currently being charged where a summons is issued in respect of local taxation is £100.00. This figure is calculated using an outdated calculation and, in other local authorities, has been challenged in the Magistrates Court. There is the potential for the calculation to be challenged in Bristol although this risk has decreased over the last six months.					
	<b>Cause:</b> Outdated calculation used that does not accurately account for expenditure leading to the possibility of an incorrect figure being calculated.					
	<b>Consequence:</b> Potential for budget deficit of circa £800k based on projected income reduction.					
	<b>Horizon:</b>	<b>Please consider whether the current risk rating correctly describes the current situation.</b>	<b>Risk Rating</b>	<b>Likelihood</b>	<b>Impact</b>	<b>Risk Level</b>
		<b>Current Risk</b>	<b>Unlikely</b>	<b>Significant</b>	<b>Green (4)</b>	
		Target Risk	Unlikely	Significant	Green (4)	

<b>Current Mitigations in place and working effectively</b>	<b>Responsible Officer</b>	<b>Further Actions Required</b>	<b>Time-frame for Action</b>	<b>Responsible Officer for Action</b>
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Revised cost calculation issued to Magistrates Court and no challenge received as yet		Corporate finance to include review of cost calculation into work planning for 2016 / 17 in order that a revised cost calculation be delivered in time for 1st April 2017	Review at 31.3.17	Corporate Finance / Martin Smith



<b>Housing Benefit Subsidy</b>	<b>Risk Owner: Patsy Mellor / Nick Hooper</b>	<b>Updated:</b>
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<b>Risk Overview</b>	<p><b>Risk description:</b> Housing Benefit is recompensed for the monies paid out by the DWP usually on a £1 for £1 basis. Two issues have arisen from previous year's subsidy audits resulting in an increased risk/financial pressure.</p> <p>1. Increased use of temporary and 'exempt' supported accommodation, resulting in a loss of subsidy rebate in these areas. (Losses for 2016/17 are estimated at £1.5m and £1m respectively).</p> <p>2. In addition the 2014/15 claim which was submitted in April 2015 and audited in November 2015 identified a sizeable level of incorrectness and qualification of £1.1. million.</p>					
	<b>Cause:</b>					
	<b>Consequence:</b> The demand on temporary and 'exempt' supported accommodation remains high as does the level of incorrectness despite some measures that have already been put in place.					
	<b>Horizon:</b>	<b>Please consider whether the current risk rating correctly describes the current situation.</b>	<b>Risk Rating</b>	<b>Likelihood</b>	<b>Impact</b>	<b>Risk Level</b>
		Current Risk	Likely	Significant	Red (10)	
		Target Risk	Probable	Significant	Amber (8)	

<b>Current Mitigations in place and working effectively</b>	<b>Responsible Officer</b>	<b>Further Actions Required</b>	<b>Time-frame for Action</b>	<b>Responsible Officer for Action</b>
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2 Assessment officers transferred to the QC and Subsidy Team (June 2015)		Increased focus to be given to service's performance	On-going / Quarterly review	Martin Smith
A monthly 'copy' of the subsidy claim is scrutinised by the QC and Subsidy Team to compare to previous estimates throughout the year (On going)		Refocus QA and subsidy resource in to the areas identified in the 2014/2015 audit	On-going	
Daily QA checking results in c3,400 cases being checked in and focuses in 3 main problem areas (On going)		Increase availability of training / mentoring to known staff in known areas	On-going	
Training in targeted areas				
A full internal review has been undertaken of the existing QA and Subsidy				
Employed external subject matter experts to review existing process, outcomes confirmed as appropriate and signed off.				

<b>Reduction in Housing Benefit and CTR Administration Grant</b>	<b>Risk Owner: Patsy Mellor</b>	<b>Updated:</b>
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<b>Risk Overview</b>	<b>Risk description:</b> For 2016/17 as part of the reduction in central government grants the DWP have applied a 19% (£480k) reduction to BCCs Housing Benefit administration grant.					
	<b>Cause:</b> In respect of DCLG's administrative grant for CTR this has broadly remained the same for Bristol at £693k					
	<b>Consequence:</b> There is a real danger that that there will be further year on year reductions for both grants resulting in an increased pressure on the General Fund					
	<b>Horizon:</b>	<b>Please consider whether the current risk rating correctly describes the current situation.</b>	<b>Risk Rating</b>	<b>Likelihood</b>	<b>Impact</b>	<b>Risk Level</b>
		<b>Current Risk</b>	<b>Likely</b>	<b>Significant</b>	<b>Red (10)</b>	
		<b>Target Risk</b>	<b>Probable</b>	<b>Significant</b>	<b>Amber (8)</b>	

<b>Current Mitigations in place and working effectively</b>	<b>Responsible Officer</b>	<b>Further Actions Required</b>	<b>Time-frame for Action</b>	<b>Responsible Officer for Action</b>
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Possible reductions in cost of Service currently undertaken by Applied Programme, e.g. evidence upload technology		The following are being considered / investigated with a view to reducing unit cost : - - Purchase New and Integrate new claims and changes reporting forms - Further automation of ATLAS and any other new technologies as / when apply		Matthew Kendall
Increase in automated processing systems via initiatives such as Automated Transfer of LA Data (ATLAS)		Possible purchase of new performance software (April 2017)	April 2017	
Improved local performance processes and procedures				

<b>ROADS Re-commissioning</b>	<b>Risk Owner: Patsy Mellor / Becky Pollard</b>	<b>Updated:</b>
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<b>Risk Overview</b>	<b>Risk description:</b> Delays to the commissioning process when key decisions are required in relation to the overall governance of the project and risk of challenge on award of contract. Target set by CPG to 'go live' October 2017 carries significant risk to service continuation					
	<b>Cause:</b> Non-agreement of the new service delivery model Budget envelope not agreed Legal challenge received on award of contract					
	<b>Consequence:</b> Increase costs to continue current service model					
	<b>Horizon:</b> On-going	<b>Please consider whether the current risk rating correctly describes the current situation.</b>	<b>Risk Rating</b>	<b>Likelihood</b>	<b>Impact</b>	<b>Risk Level</b>
	<b>Current Risk</b>		<b>Probable</b>	<b>Significant</b>	<b>Amber (8)</b>	
	<b>Target Risk</b>		<b>Probable</b>	<b>Significant</b>	<b>Amber (8)</b>	

<b>Current Mitigations in place and working effectively</b>	<b>Responsible Officer</b>	<b>Further Actions Required</b>	<b>Time-frame for Action</b>	<b>Responsible Officer for Action</b>
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Clear and regular briefings to key stakeholder groups e.g. CCG, DLTs H&WB Board and Safer Bristol Partnership	Pete Anderson	Further to the reduction of the budget envelope for ROADS contained within the Mayor's Budget Reduction Proposals, ensure accurate responses to questions and inquiries submitted	Ongoing, via quarterly returns from Service Managers	Pete Anderson
Confirmation of funding to be sought as soon as possible to allow model design work for the Commissioning Strategy.	Pete Anderson	Ensure appropriate BCC Procurement support post VS process		
Ensure clarification from BCC Finance on the financial regulations and share with stakeholders. Consider these implications in the overall design of the treatment system model in the Commissioning Strategy to consult on. Engage with VOSCUR throughout the process.		Conclusion of 12 week consultation (April 2017)		
Robust management of commissioning cycle by the multi-agency Substance Misuse Joint Commissioning Group.	Pete Anderson			

<b>Operation Centre (i)</b>	<b>Risk Owner:</b> Patsy Mellor / Pete Anderson	<b>Updated:</b>
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<b>Risk Overview</b>	<b>Risk description:</b> Delay to 'Go Live' date of Centre - September 2017					
	<b>Cause:</b> Delay in Procurement of technology - Failure of technology on new platform - Building delays (new Centre to be built in 100 Temple Street) - Retention, recruitment and training of staff					
	<b>Consequence:</b> Failure to meet service standards - Critical service (24/7) failure which could result in loss of life					
	<b>Horizon:</b> On-going	Please consider whether the current risk rating correctly describes the current situation.	<b>Risk Rating</b>	<b>Likelihood</b>	<b>Impact</b>	<b>Risk Level</b>
	<b>Current Risk</b>		<b>Possible</b>	<b>Critical</b>	<b>Amber (9)</b>	
	<b>Target Risk</b>		<b>Unlikely</b>	<b>Critical</b>	<b>Green (6)</b>	

<b>Current Mitigations in place and working effectively</b>	<b>Responsible Officer</b>	<b>Further Actions Required</b>	<b>Time-frame for Action</b>	<b>Responsible Officer for Action</b>
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Well resourced Programme Team to manage project	Pete Anderson	Deliver against the programme plan - as agreed	Quarterly review	Pete Anderson
Building workstream on track to deliver build by Christmas 2016		Target Operating Model to be agreed		
Agreement of Service Delivery Model for Operation Centre		Conclusion of ICT negotiation (March 2017)		

<b>Operation Centre (ii)</b>	<b>Risk Owner:</b> Patsy Mellor / Pete Anderson	<b>Updated:</b>
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<b>Risk Overview</b>	<b>Risk description:</b> Failure to meet annual income target - £840k per annum						
	<b>Cause:</b> Failure to secure commitment from partner agencies to have a permanent presence or their services delivered within the Operations Centre Loss of existing contracts delivered through ECC						
	<b>Consequence:</b> Financial target not met. Increased pressure on Council to achieve savings target						
	<b>Horizon:</b> On-going	<b>Please consider whether the current risk rating correctly describes the current situation.</b>	<b>Risk Rating</b>	<b>Likelihood</b>	<b>Impact</b>	<b>Risk Level</b>	
			<b>Current Risk</b>	<b>Probable</b>	<b>Significant</b>	<b>Amber (8)</b>	
<b>Target Risk</b>			<b>Proable</b>	<b>Significant</b>	<b>Amber (8)</b>		

<b>Current Mitigations in place and working effectively</b>	<b>Responsible Officer</b>	<b>Further Actions Required</b>	<b>Time-frame for Action</b>	<b>Responsible Officer for Action</b>
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Internal and External organisation engagement - securing office space or delivery of services from Operation Centre	Pete Anderson	Consider Business Development role within the service design	Ongoing, via quarterly returns from Service Managers	Peter Anderson
Creation of a Benefits Realisation Forum to maximise the commercial opportunities		Review of BCC current service contracts and seek efficiencies (services to be delivered via the Operation Centre, rather than outsourcing)		
Review of existing service contracts in Emergency Control Centre		Commercial engagement plan to be created and delivered		
		Ongoing commercial discussions		