






Appendix A Risks and Action Plan Risk Identified	Risk Owner	Action Required to Address Risk	Target Date	Risk Category	Current position / progress	Status as at Sept 18	Status as at Dec 18	Current Rating as at March 19
 <p>Potential Claims growth - a trend towards greater public awareness and 'claims culture' and the impact of the economic climate means claims may increase</p>	Chief Executive	The Council has robust systems in place both to deal with claims when they happen and also to prevent, where possible, the circumstances where claims could arise. In doing so, the Council has in place policies and procedures designed to enhance safety at work and also to advise staff and others when driving or operating machinery. The Council checks, on a regular basis, that it is up to date on best practice in this area and that systems reflect changes in the local, national or international environments	for action completion	Strategic, Operational, Project	as at 04/04/2019	I = H L = H High 9	I = H L = H High 9	I = H L = H High 9




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Notable High and Medium Risks - Appendix A

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		in order to reduce the risk	for action completion	Strategic, Operational, Project	as at 04/04/2019	as at Sept 18	as at Dec 18	as at March 19
 2 Financial consequences of adverse planning decisions	Regeneration and Development	Production of Emerging Joint Local Plan – completion of Preferred Options stage	Jul-19	Strategic	The action required is still ongoing. The likelihood of an adverse challenge occurring due to progress made and any occurrence in the past 12 months, with any future challenges has allowed the final rating to be reduced. This risk will not be on the next quarter report unless a successful challenge is made.	I = H L = M Medium 6	I = H L = M Medium 6	I = H L = M Medium 6
 3 Fire risk occurrence	Corporate Health and Safety			Operational	Risk will remain high due to 2 occurrences in the past 12 months. Another incident occurred during this quarter so will remain on the report for the next 12 months	I = H L = H High 9	I = H L = H High 9	I = H L = H High 9

**Notable High and Medium Risks -
Appendix A**

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 4 Failure to comply with relevant health and safety legislation	Regeneration and Development and Chief Executive	Corporate mandate for scheduled diary dates to update Target100 (Health and Safety system)	Ongoing	Strategic	There have been RIDDOR (Reporting of Injuries, Diseases and Dangerous Occurrence Regulations 1995 as amended) reportable incidents over the past six months. A focussed effort upon reviewing risk assessments is expected to improve the Council resilience.	I = H L = H High 9	I = H L = H High 9	I = H L = H High 9
 5 Failure to achieve income targets	Recycling and Waste	Continue to monitor the current global downturn in recycled material values	Ongoing	Operational	The potential market changes mean that the income derived from this is reducing significantly and is primarily outside of the Council's control, however markets are constantly reviewed	I = H L = H High 9	I = H L = H High 9	I = H L = H High 9

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 6  Failure to deliver Local Air Quality Management action plans function in line with statutory requirements - annual reporting	Environmental Protection	Procure appropriate consultancy support for development of Local Plan model	April-19	Operational	Risk rating moved from 6 to 9 pending confirmation of procurement route and capacity of appointed contractor to deliver to timetable. Article in Air Quality News 25/01/19 https://airqualitynews.com/2019/01/22/defra-threaten-bristol-council-with-legal-action-unless-they-produce-air-quality-plan-by-February/ DEFRA considering legal action without further notice against Bristol CC for failure to deliver to ministerial directive timetable	I = H L = H High 9	I = H L = H Low 2	I = H L = H High 9
		Establish agreed governance and reporting arrangements	April-19					
		Outline and or full business case to be delivered to JAQU	Oct-19					
		Regular submissions of finding requests to be made to JAQU	Oct-19					
 7 Cost of service may exceed budget	Recycling and Waste	Continual monitoring of the market for companies to obtain the best off-take prices	Ongoing	Operational	The additional income over and above recycling credit shortfall from the garden waste scheme will help to offset budget overspend to some degree.	I = H L = H High 9	I = H L = H High 9	I = H L = M Medium 6



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		in order to reduce the risk	for action completion	Strategic, Operational, Project	as at 04/04/2019	as at Sept 18	as at Dec 18	as at March 19
Loss of Mobile phones and mobile phone network	ICT Business Impact Assessment			Operational	Work undertaken with EE to ensure that backup plans for continuity are in place to reduce the likelihood of similar occurrence	I = L L = H Medium 7	I = L L = M Low 4	I = L L = M Low 4
Work priorities take over completion of the audit plan	Audit	Collaboration with local council for reporting and support in the audit plans. Contract in place and will be reviewed annually.		Operational		I = M L = H Medium 8	I = M L = H Medium 8	I = M L = H Medium 8




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Risks and Action Plan Risk Identified	Risk Owner	Action Required to Address Risk in order to reduce the risk	Target Date for action completion	Risk Category Strategic, Operational, Project	Current position / progress as at 04/04/2019	Status as at Sept 18	Status as at Dec 18	Current Rating as at March 19
<p>Ministerial Direction served on NULBC ON 5th October 2018 requiring buses running on specified census ID's equating to (A53 between Sandy Lane and Etruria/A500 roundabout) to be either retrofitted to bring upto Euro 6 or Euro 6 buses to be used no later than 1st Jan 2021 or in the shortest possible time. Reliant on First Bus and First Group fully engaging and supporting project.</p>	<p>Environmental Protection Service</p>	<p>Bus operator engagement and support required.</p> <p>Explore powers of a TRO to promote EURO 6 buses on affected stretch.</p> <p>Retrofit project plan to be developed.</p> <p>Viability of bus service may be affected by forced retrofit.</p>	<p>Mar-19</p>	<p>Operational</p>	<p>Spreadsheet received from PMT with full fleet profile. Current buses not eligible. First Group has verbally indicated support. Fleet renewal for affected services dependant on 40% public subsidy and 60% funding from First. First will need to review allocation in 19/20 budget as budget already set and no funds identified. JAQU contacted re 40% public subsidy from different funding pots.</p> <p>Discussions on-going with County and City re TRO. Also being considered under further measures direction.</p> <p>Retrofit does not appear a viable option - operator will not commit at this stage based on fleet profile and being unsuitable for retrofit. In discussions with JAQU about reallocation of monies towards purchase of new compliant buses and public subsidy from HE fund and Bus bid in Summer 2019.</p> <p>Discussion on going with all partners concerning alternatives</p>		<p>I = H L = H High 9</p>	<p>I = H L = H High 9</p>

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11	Safeguarding	To drive across the Council business support by the Executive Management Team, the need for strengthening safeguarding through training and awareness of staff, Members and partners; recording any training on personal files; providing safeguarding champions and the support of; inclusion in Service planning; use of Communications and social media to raise awareness; further HR awareness support in the recruitment process; support for Whistleblowing situations; inclusion in appraisal process and Team Meetings.	Jun-19	Operational			I = H L = H High 9	I = H L = H High 9



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<p>12</p> <p></p> <p>Criminal Exploitation - Failure to coordinate and contribute to the prevention and early intervention of any incident or pattern of incidents of controlling, coercive or threatening behaviour, violence or abuse of vulnerable people, forcing them to engage in various forms of criminal activity such as begging, gang activity and drugs supply; modern slavery and human trafficking etc.</p>	Safeguarding			Operational	<p>Work with Partners and Partnerships.</p> <p>Policies and Procedures in place.</p> <p>Training and awareness undertaken.</p> <p>Various working groups attended by various officers at the Council.</p>		<p>I = H L = H High 9</p>	<p>I = H L = H High 9</p>



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Safeguarding Children - the safeguarding duties apply to any child who is experiencing, or at risk of, abuse or neglect.	Safeguarding			Operational	Work with Partners and Partnerships. Commissioned Support Services. Dedicated Personnel. Policies and Procedures in place. Training and awareness undertaken. Various working groups attended by various officers at the Council.			I = H L = H High 9



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Partners failing to share relevant information to assist the council in their Safeguarding obligations.	Safeguarding			Operational	Work with Partners and Partnerships. Dedicated Personnel. Policies and Procedures in place. Training and awareness undertaken. Various working groups attended by various officers at the Council.		I = H L = H High 9	I = H L = H High 9

**Notable High and Medium Risks -
Appendix A**



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The accidental loss of information containing personal details of a data subject that do not fall within a non specialist category	Revenue Services	Staff awareness training. Review of Procedures	Dec-18	Operational	Although the training and review of procedures has reduced the likelihood, the risk remains on the profile as there has been an occurrence during the past 12 months.			I = M L = H Medium 8
Increased energy useage at Jubilee2	Asset Management Strategy	Investigate the increased gas usage at site during 2018 compared to 2017	Jun-19	Operational				I = L L = H Medium 7



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		in order to reduce the risk	for action completion	Strategic, Operational, Project	as at 04/04/2019	as at Sept 18	as at Dec 18	as at March 19
UPS hardware failure	Castle House Communication Room	This risk implies that one of the five Castle House UPS units has failed either as a consequence of an environmental condition or mechanical failure. It implies that the power to the connected equipment has been disrupted and the unit requires replacement.		Operational	Risk added and rating increased due to incident occurring in January 2019 - this affected the Council network due to the air con units failing in the first floor comms room.		I = L L = L Low 1	I = L L = H Medium 7
Failure to train and develop employees to meet the needs of the council	Human Resources	Develop a full working training plan	May-19	Operational	This Plan will take into account the Corporate Priorities and all of the appraisals which will formulate a training plan to be delivered over the next 12 months (to be approved by EMT)		I = H L = M Medium 6	I = M L = H Medium 8



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<p>Lack of capacity due to failure to replace key staff or provide resources to cover the work of other staff</p>	<p>Human Resources</p>	<p>Review of vacant posts and recruitment needs to such</p>	<p>May-19</p>	<p>Operational</p>	<p>(1) Controls on recruitment to vacant posts where there is existing budget have been relaxed. (2) £304k growing borough fund established as part of the 2019-20 budget which is designed specifically to provide additional capacity to address corporate priorities. (3) Work has commenced on a senior management restructure and recruitment will shortly commence on filling vacant roles.</p>		<p>I = M L = L Low 2</p>	<p>I = H L = H High 9</p>
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