CORPORATE RISK REGISTER - Q2 2019/20

<u>H</u>	HIGH LEVEL DASHBOARD													
Nr	Theme	STRATEGIC & CORPORATE RISKS - SUMMARY	CMT LEAD	1 2	3	4 5	1	2 3	4 5	CURRENT OVERALL		PERIO		COMMENTARY ON CURRENT STATUS
				Resid	dual	Risk	Ac	tion	Status	STATUS		1 2	3	
1	Financial Management	Risk that we are unable to deliver the priorities of the Council by not planning to meet the Medium Term Financial Challenge	CMT - Richard Penska							MEDIUM	1	н	М	MTFP process underway with intitial paper going to Executive on 11th September, showing a funding gap of £19m with an immediate pressure of £7.8m in 19/20. Initial savings plans developed to mitigate a significant proportion of the gap, with further targets provided to Directors to close the gap. Good progress is being made in respect of formulating a robust balanced budget for 20/21, but due to signifianct uncertainty over future funding beyond this point the risk remains high in the longer term.
2	Financial Management	Risk that we do not manage budgets effectively in-year by not implement and delivering the transformational projects required to meet the Financial Challenge	CMT - Richard Penska							MEDIUM	ŀ	н	М	Month 6 reports a forecast £1.1m overspend, reported to CMT on 23rd October. It identifyied particular demand pressures in Children's services, Dedicated Schools Grant and Home to School Transport with one-off leisure asset costs, shortfalls in property income, slippage in CCTV & SSP savings plans. Directors and CMT have been tasked with identifying compensating in-year savings to deliver a balanced budget. General reserves provide a contingency
3	Partnerships	Risk that we do not maximise the opportunities to retain an influential role in the West of England area to deliver continued economic growth, skills and funding through the WEP/LEP & City Deal	CMT - Jo Walker							HIGH	ŀ	н	н	Impact of WECA and emerging Western Gateway could reduce the influence of NSC. Both Leader, CEO and senior officers are actively engaged in the WoE Joint Committee, LEP and liaise with colleague regularly in WECA to ensure NSC
4	Partnerships	Risk that we do not work effectively in partnership with the Health Sector in supporting joined up services to the most vulnerable in our community, e.g. use of the BCF and joint commissioning with Health								HIGH	ŀ	Н	Н	A range of different joint working and multi-agency approaches continue to be delivered, i.e. Use of Better Care Fund and joint commissioning with the local CCG. Council continues to look at ways to integrate services more fully but challenges remain around differing governance and statutory frameworks between the Health and Local Government Sectors. Current risks around s117 funded casese, CHC and BCF inflation.
5	Safeguarding	Risk that we do not fulfill our statutory duties to safeguard Children and Adults	CMT - Sheila Smith							MEDIUM	1	м м	М	Whilst the scale of the risk will always remain, current levels of assurance from the multi-agency work focussed through the Adults Safeguarding Board and Childrens Safeguarding Board are in place and no significant issues to raise.
6	Social Care	Risk that we do not plan to meet the increased costs of looking after children with complex needs in a sustainable way whilst safeguarding the most vulnerable	CMT - Sheila Smith							HIGH	ı	н	н	The financial position on Children's Services remains very challenging and is now the most signiificant financial pressure the Council faces with successive and sizeable overspends for several years running. Areas of concern remain in placements, support to care leavers, children's centres, nurseries and services for families with disabled children. Children's Transformation and Progamme Board is monitoring actions through a number of work streams. Recent increase in LAC adding to in-year pressures.
7	Social Care	Risk that we do not manage the market demands and demographic changes on the cost of childrens and adult social care within available resources	CMT - Sheila Smith							HIGH	ı	н	н	Relatively sustainable position has been reached following a nmber of years of significant budget growth. However Brexit, National Living Wage and uncertainty in long term funding remains until the white paper on social care is produced and so the level of risk remains high. Significant number of actions and transformational activity is underway to maintain the current budget position and is kept under constant review.
8	Local Economy	Risk that we do not ensure our Economic Plan delivers a cohesive economic strategy to support employment and economic growth across the area	CMT - Lucy Shomali							MEDIUM	1	м м	М	The 20 year NS Economic Plan was published in 2016. The Economy Team are preparing a shorter reinterpretation of the strategy to reflect the emergence of the new WoE Local Industrial Strategy and priorities of the new administration derived from a new corporate plan. The team is under new leadership and rebuilding the establishment with a focus on renewing the vision for J21 Enterprise Area (including NS commercial development oportunities), supporting skills and resourcing the visitor economy.

9	Housing	Risk that we do not deliver sustainable solutions to the housing needs for the wider community as detailed in the Core Strategy and Regional Spatial Plan and meeting our targets for affordable housing	CMT - Lucy Shomali				HIGH	Н	Н	Н	The withdrawal of the JSP will result in the need to develop a new spatial plan to support the distribution of growth across the WoE region. There is now an opportunity to pursue a more sustainable spatial strategy in NS which will increase the our ability to plan for a diversified housing product which is less reliant on the traditional private sector led housebuilder model. The emerging Corporate Asset Strategy and Development Pipeline will also create the opportunity for direct delivery by the Council and with partners such as Alliance Homes with a strong focus on affordable housing products
10		Risk that we do not plan for and manage investment in our infrastructure at a local and regional level to meet housing & transport needs in our community including delivery of key projects					HIGH	Н	Н	Н	The council maintains an Infrastructure Delivery Plan to understand the infrastructure requirements of growth. This will be reviewed in the light of the withdrawal of the JSP. The council will secure infrastructure through the planning process and the use of CIL and will agressively pursue funding opportunities (eg HIF) to deliver enabling projects.
11	Infrastructure	Risk that we are unable to secure sustainable funding for the MetroWest scheme and expose the Council to unecessary financial risk	CMT - Richard Penska				MEDIUM	Н	Н	М	Funding commitments from Central Govt and risk share with WECA agreed. Council's additional contribution identifed through a rephasing of Business Rate pool. GRIP 4 costs awaited (October) that will further inform sufficiency of funding, but mitigated by contingency within the project budget.
12		Risk that the Council does not adapt its own operations to reduce the impacts of Climate Change and provide a community leadership role to reduce carbon emissions	CMT - Lucy Shomali				HIGH	н	Н	Н	The council is preparing a Climate Emergency Action plan which will identify a suite of initiatives that the council could develop and pursue. These will inevitably have capital and revenue implications for the organisation and will require business case development.
13	Contract Management	Risk that we do not possess the appropriate procurement & commissioning skills & capacity or design appropriate processes and systems to manage external providers/contractors and deliver on key priorities for the Council	CMT - Richard Penska				MEDIUM	н	Н		Contract Management performance monitoring pilot in place in order to provide increased DMT & CMT visibility on contract management effectiveness. Joint procurement of contract management training with SGlos being re-run, initial evaluation of tenders carried out.
14	Workforce Planning	Risk that we are unable to recruit and retain appropriate levels of staff to ensure delivery of services to the public and prevent reduced performance, increased sickness and staff turnover	CMT - Paul Morris				MEDIUM	М	М	М	Action being taken to identify pilot service areas in each directorate to allow indepth work to better understand issues affecting recruitment and retention with a view to agreeing initiatives to be applied across whole organisation.
15	I HASITA X. SSTATV	Risk that we are unable to adequately safeguard the Health, Safety and Welfare of our staff	CMT - Paul Morris				LOW	L	L	L	CMT monitoring arrangements to improve governance and coordination of Health & Safety activity, including the establishment of a senior officer Health, Safety & Wellbeing Steering Group.
16	Emergency Management	Risk that we are unable to respond to major incidents and protect the community and ensure continued operation of critical services in the case of emergencies	CMT - Paul Morris				MEDIUM	Н	Н	М	Strategic Duty Officer rota established. Tactical and Operational roles being reviewed - increased number of Incident Liaision Officers identified. Emergemcy Management briefing arranged for Novemeber 2019.
17	Information	Risk that over reliance on IT & Digital provision does not constrain the flexibility and adaptability of services to implement transformational change to support customers and clients of the Council	CMT - Richard Penska				MEDIUM	М	M	Н	Creation of practical and pragmatic business continuity plans that are subjected to testing as part of a measured assessment of the council's ability to react and respond to a variety of challenging circumstances will force service teams to test their reliance on IT systems and digital channels. CMT are currently seeking assurance over the effectiveness of business continuity arrangements.
18	Information Management	Risk that despite protecting the Council's systems and essential data from Cyber attacks, malicious attempts to damage critical services within the Council could be disruptive.	CMT - Richard Penska				HIGH	Н	Н	Н	Reasonable levels of assurance against low level criminal activity and self-inflicted damage can be attained by following the principles laid out by Government Digital Services and the National Cyber Security Agency. Maintaining PSN compliance and Cyber Essentials Plus accreditation also forces the council to address the key areas of cyber risk which includes the ongoing education of the workforce, and the testing of readiness to detect and repel attacks. PSN compliance assessment submitted 13/9. Bristol Airport expansion planning application has resulted in a significant increase in defended attacks.

19	Information Management	Risk that we are unable to protect customer and citizen data and ensure compliance with GDPR (Data Protection Act 2018)	CMT - Nick Brain					LOW	M	N	М	IT resources have been deployed to address identified security upgrade work (including a number of weekend shut downs to enable enhanced down time for swifter completion of required fixes). Other identified issues will be addressed during the move to Windows 10 platform, PSN compliance ongoing to identify and address issues and weaknesses as they are developed. Enhanced training and monitoring materials to be deployed to address the need for ongoing staff training and awareness of risks and mitigations.
20	Corporate Goverance	Risk that the Council's reputation is severely damaged or subject to legal challenge arising from a failure in Corporate Governance, i.e. inabilty to make essential decisions or failure to engage key stakeholders in key decisions or changes to service delivery	CMT - Nick Brain	##				LOW	L	L	L	Decision making processes and procedures are documented in the Constitution which is regularly reviewed by the monitoring officer and other colleagues to ensure it remains robust and fit for purpose. A formal review of the Constitution and wider governance issues involving the governance review working group is underway with aim of reporting to Council ahead on 2020 Annual Meeting.
21	Central Government	Risk that negative consequences of a no deal Brexit cannot be mitigated adequately.	CMT - Paul Morris					MEDIUM	М	ŀ	-1	Dedicated resources to help plan and prepare for Brexit related risks. Officer Brexit Steering Group established and meeting regularly to review planning arrangements. Good links with ASLRF, BLOs and regional Brexit lead.