

North Somerset Council

Report to the Audit Committee

Date of Meeting: 19 September 2022

Subject of Report: Q1 Risk Management update 2022/23

Town or Parish: ALL

Officer/Member Presenting: Emma Diakou, Head of Business Insight, Policy and Partnerships

Key Decision: NO

Reason: Information item

Recommendations

That the Audit Committee note the Q1 updates to the 2022/23 strategic risk register and 2022/23 directorate risk registers.

1. Summary of Report

Our Business Planning and Performance Management Framework is designed to monitor progress against our Corporate Plan priorities and against our vision for an **open, fairer, greener** North Somerset. We do this on an annual basis by developing and implementing Annual Directorate Statements. These are the business plans for the five council directorates (Adults, Children's Services, Corporate Services, Place, and Public Health and Regulatory Services) and give the key strategic commitments for the year ahead. Progress against these commitments is monitored by key projects and their milestones, and by a number of Key Corporate Performance Indicators (KCPIs). Alongside these commitments, directorate risk registers are developed, these include any risks which might challenge achievement of our priorities. These risk registers are reviewed to develop an over-arching strategic risk register, where high level risks are escalated and held. Progress on commitments, and against risk registers are reviewed quarterly by Directorate Leadership Team, by Corporate Leadership Team, by Executive Members, by Scrutiny Panels, and the Audit Committee. This is our Integrated Performance Management Framework (IPMF).

This paper gives an update on the directorate risk registers and against the strategic risk register as of end Q1.

2. Policy

The Corporate Plan is the council's overarching strategic document. It is the only plan which covers the full range of the council's responsibilities and is an important tool to help focus our effort and resources on the right things. By prioritising a clear set of commitments, the Corporate Plan also helps residents to hold the council to account for its performance and challenge it to improve.

The risk registers detail the risks faced by North Somerset Council in relation to achieving our aims and priorities as defined in the Corporate Plan. The risk registers also note mitigating actions being taken where possible to control those risks.

3. Details

The following risk scoring matrix is used to analyse each risk:

Fig 1.1: risk scoring matrix

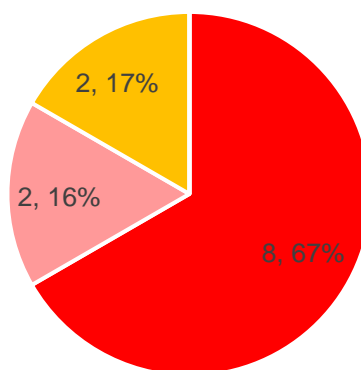
		← Likelihood →				
		Rare	Unlikely	Possible	Likely	Almost certain
Impact	Critical	LOW/MED	MEDIUM	HIGH	HIGH	HIGH
	High	LOW	MEDIUM	MED/HIGH	HIGH	HIGH
	Medium	LOW	LOW/MED	MEDIUM	MED/HIGH	HIGH
	Low	LOW	LOW/MED	LOW/MED	MEDIUM	MEDIUM
	Negligible	LOW	LOW	LOW	LOW/MED	LOW/MED

Strategic risk register:

There are 12 risks in the strategic risk register. After mitigating actions have been applied, 8 risks remain HIGH:

Fig 1.2 strategic risk register: residual risk score

■ High ■ MedHigh ■ Med ■ LowMed ■ Low



High scoring risks are:

- Risk that we are unable to deliver the priorities of the council by not planning to meet the Medium Term Financial challenge and delivering a balanced budget.
- Risk that we are unable to reduce or mitigate inflationary pressures (such as energy prices), resulting in impacts on our services.
- Risks of ineffective recruitment across the organisation leading to capacity issues in key areas.
- Risk that we do not deliver sustainable change in children's services at the right pace of the improvement journey.
- Risk that we do not manage the demand for children's social care and special educational needs and disabilities (SEND) placements within available resources.
- 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.
- Risks aligned to any delay to the Local Plan process exposing council to risk of speculative development and unplanned growth through appeal.
- Risks to achieving a net zero position by 2030 given current resources and sphere of influence.

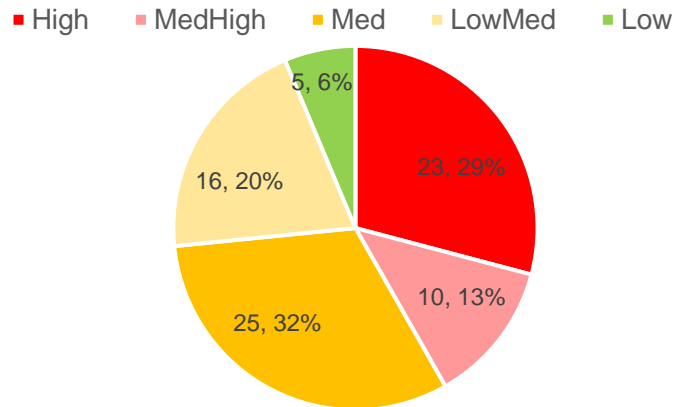
For the full list of strategic risks including their inherent and residual risk rating as per the matrix in fig 1.1, please see appendix 1.

Directorate risk registers:

There are 79 reportable risks across the five council directorates (Adults, Children's Services, Corporate Services, Place, and Public Health and Regulatory Services). Note, some of these risks are similar to the risks which have been escalated to the strategic risk register and are therefore held at both directorate and strategic level.

After mitigating actions have been applied, 23 risks remain HIGH:

Fig 1.3 directorate risk registers: residual risk score



High scoring risks are:

- Risk that we do not manage budgets effectively in-year and ensure a balanced budget (Adults directorate).
- Risk that we will be unable to recruit and/or retain and/or train sufficient social workers and occupational therapists to meet our statutory duties (Adults directorate).
- Risk that we will not be able to support enough families to reduce the likelihood of eviction/linked to private sector rent rises (Adults directorate).
- Risk that we do not manage budgets effectively in-year and ensure a balanced budget (Children's directorate).
- Risk that we do not deliver savings against the Medium Term Financial Plan (Children's directorate).
- Risk that we do not deliver sustainable change in children's services at the right pace of the improvement journey (Children's directorate).
- Risk of managing demand and delivering sufficient places for SEND (Children's directorate).
- Risk that we are unable to deliver the priorities of the council by not planning to meet the Medium Term Financial Challenge and delivering a balanced budget (Corporate Services directorate).
- Risk of the financial envelope of the pay award and the impact on the budget (Corporate Services directorate).
- Risk of cyber-attacks and malicious attempts to damage critical services within the council (Corporate Services directorate).
- Risks of ineffective recruitment across the organisation leading to capacity issues in key areas (Corporate Services directorate).
- Financial and political risk associated with the simplification and changes to the Council Tax Support policy for 2023/24 (Corporate Services directorate).
- Risks of significant financial pressures across the directorate due to increases in inflation and energy resulting in contract risks and service delivery risks costs (Place directorate).

- Failure to recruit and/or retain skilled roles (planners, building control, transport and highways, technical specialists) (Place directorate).
- Ash dieback risk - health and safety risk from falling trees, financial risk as cost of removal is high (Place directorate).
- Risk of having no waste depot to operate from beyond 2027 (Place directorate).
- Risks related to all council owned trees (tree risk management) (Place directorate).
- Risk to development of transport and highways scheme pipeline and delivery of projects (Place directorate).
- Delay to Local Plan process exposes council to risk of speculative development and unplanned growth through appeal (Place directorate).
- Risk that the lack of five-year supply could lead to the council being exposed to appeals for residential development in sub-optimal locations and additional costs of appeal (Place directorate).
- Risks to funding for MetroWest inc. capital elements (Place directorate).
- Flood risk - climate change and rising sea levels present a significant risk to people, property and the economy on low lying land across North Somerset (Place directorate).
- Risks to achieving a net zero position by 2030 given current resources and sphere of influence (Place directorate).

For the full list of strategic risks including their inherent and residual risk rating as per the matrix in fig 1.1, please see appendix 2.

Commitments

Annual Directorate Statement commitments are rated at the end of each quarter using the following framework:

Fig 1.1: commitment RAG rating framework

GREEN	Successful delivery of this commitment is highly likely. There are no major outstanding issues that at this stage appear to threaten delivery
GREEN/AMBER	Successful delivery of this commitment is likely but there are some minor outstanding issues that need to be resolved to ensure delivery.
AMBER	Successful delivery of this commitment appears feasible, but issues already exist requiring management attention. These appear resolvable at this stage and if addressed promptly should not present further problems.
AMBER/RED	Successful delivery of this commitment may be unachievable. Issues already exist requiring immediate management attention to ensure delivery.
RED	Successful delivery of this commitment appears to be unachievable. There are major issues which at this stage do not appear to be manageable or resolvable.

All Annual Directorate Statement commitments that were AMBER/RED or RED were reviewed as at end of Q1 to identify if a risk was aligned to them within the strategic and directorate risk registers and if not, to consider whether they should be. This ensures a clear link between the business planning framework and the risk management framework.

As of end Q1, 13 commitments were rated AMBER/RED. No commitments were RED. Of these AMBER/RED commitments:

- 9 commitments were reflected in the strategic and/or directorate risk registers.
- 4 commitments were not sufficiently reflected and have been recommended for inclusion in either directorate risk registers or the strategic risk register as of Q2:

Commitment	RAG rating (Q1)	Outcome
We will implement the Digital Strategy and deliver on any in-year actions we have identified in the action plan.	AMBER/RED	A risk to the digital / information management programme should be included as a specific risk in the CSD risk register.
We will implement the Information Management Strategy and deliver on any in-year actions we have identified in the action plan.	AMBER/RED	
Ensure timely resolution of directorate complaints in Children's directorate.	AMBER/RED	Commitment should form part of a strategic risk around customer services offer related to the Customer Services Strategy.
Provide a reliable and effective planning service including improvements to pre-application measures and speed of decisions.	AMBER/RED	A planning service risk should be included as a specific risk in the Place risk register.

4. Consultation

As part of the Business Planning Framework all tier three managers (assistant directors and heads of service) and above contribute to their Annual Directorate Statement and their risk register. These are then agreed by Directorate Leadership teams, Corporate Leadership team and with the relevant Executive members. Annual Directorate Statements are published for all staff to view on the intranet.

The views of residents, staff and other stakeholders all helped to shape the development of the Corporate Plan on which the Annual Directorate Statements are based.

5. Financial Implications

All Annual Directorate Statements for 2022/23 include the following council-wide commitment: *Ensure effective financial management across the directorates including a balanced budget at year end and delivery of Medium Term Financial Plan savings.* Risks are then aligned to that commitment as needed and reported quarterly.

Costs

N/A

Funding

N/A

6. Legal Powers and Implications

N/A

7. Climate Change and Environmental Implications

The business planning framework contributes to the council's vision to be open, fair and green. As part of this, all Annual Directorate Statements for 2022/23 include the following commitment for all directorates: *Deliver the directorate climate emergency action plan and deliver to timescales*. A commitment is also included to refresh the over-arching Climate Emergency Strategy and action plan. Progress against this is monitored quarterly as part of this Integrated Performance Management Framework.

8. Risk Management

This report considers risk management across the organisation aligned to the Corporate Plan, Annual Directorate Statements and Integrated Performance Management framework.

9. Equality Implications

The Integrated Performance Management Framework includes Key Projects and Key Corporate Performance Indicators. A number of these are equality objectives and reported to the Equalities Group.

Equality implications are also considered throughout the risk management process.

10. Corporate Implications

It is a requirement as part of the Business Planning Framework for all directorates to hold a risk register that is aligned to their business plan and considered at least quarterly by their Directorate Leadership Team.

A strategic risk register is held by Corporate Leadership Team and reviewed at least quarterly by Corporate Leadership Team, by Executive members, by Scrutiny Panels and by Audit Committee.

11. Options Considered

Risk registers are a requirement of the Business Planning Framework.

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Background Papers:

- North Somerset Corporate Plan: [Organisational priorities | North Somerset Council \(n-somerset.gov.uk\)](#)
- Adults directorate Annual Directorate Statement 2022/23
- Children's directorate Annual Directorate Statement 2022/23
- Corporate Services directorate Annual Directorate Statement 2022/23
- Place directorate Annual Directorate Statement 2022/23
- Public Health and Regulatory Services Annual Directorate Statement 2022/23

Appendix 1:

Strategic risk register (as of end Q1 2022/23):

Risk	Inherent score	Mitigating actions	Residual score
Risk that we are unable to deliver the priorities of the council by not planning to meet the Medium Term Financial Challenge and delivering a balanced budget.	HIGH	Monthly oversight of detailed workplans by Corporate Leadership Team and development of financial strategy required to close the budget gap for future years.	HIGH
Risk that we are unable to reduce or mitigate inflationary pressures (such as energy prices), resulting in impacts on our services.	HIGH	It should be noted that whilst mitigations are in place and progress is being made to close the budget gap, other issues and pressures continue to materialise which means that the council must update its plans.	HIGH
Risks of ineffective recruitment across the organisation leading to capacity issues in key areas.	HIGH	Recruitment is challenging across all sectors. Mitigations being put in place to strengthen our recruitment offer centrally.	HIGH
Risk that we do not deliver sustainable change in Children's Services at the right pace of the improvement journey.	HIGH	Our strategic plan sets out the improvement actions and action plan for the year ahead. Six clear improvement areas are identified, and work continues against these to take all actions forward with leadership from the Assistant Director supported by Heads of Service. Focused meetings are scheduled where progress is monitored, barriers to success identified and working groups with leads set to drive the goals and progress.	HIGH
Risk that we do not manage the demand for children's social care and SEND placements within available resources.	HIGH	Working with Department for Education on 'Safety Valve' project, and through this, have developed a proposal to reduce expenditure over coming years until we have a balanced book. New post created for Education Commissioning to create a dedicated resource to manage SEND Commissioning.	HIGH
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.	HIGH	Ongoing area of risk which has increased given the Ukraine situation.	HIGH
Risks aligned to any delay to the Local Plan process exposing council to risk of speculative development and unplanned growth through appeal.	HIGH	The council continues to progress the preparation of the local plan with the intention to submit to the Secretary of State for Examination during Q4. A new local plan will reset the council's five year housing land supply.	HIGH

Risk	Inherent score	Mitigating actions	Residual score
Risks to achieving a net zero position by 2030 given current resources and sphere of influence.	HIGH	There is a broad programme of activity across workstreams of our property, retrofitting, communications, transport decarbonisation and renewable energy. These activities will help to reduce the Scope 1 and 2 emissions of the organisation, but Scope 3 emissions will continue to be challenging. Emissions for North Somerset as an area are reducing, but significant transport decarbonisation is required. Making the step change of progress required will require massive levels of investment (including public funding) and mass behavioural change even to meet the government's stated aim of zero carbon by 2050.	HIGH
Risk that we are unable to deliver capital projects within the approved resource envelope either due to lack of governance or unmanageable cost increases.	HIGH	Monthly oversight of detailed financial analysis and forecasting by Corporate Leadership Team, along with strategic planning measures and decision making.	MEDHIGH
Risk that we do not manage the increased demands on social care or market demands within available financial or staffing resources for adult social care.	HIGH	Recruitment to the hospital discharge assessment team and Single Point of Access has taken place and due to recruitment difficulties, we have recruited increased numbers of unqualified staff. Financial support for domiciliary care providers agreed to mitigate the increase in fuel charges being experienced by care staff and funds set aside to provide some financial mitigation to the residential and nursing sector.	MEDHIGH
Risks to our overall organisational operational effectiveness due to the impacts of COVID-19.	HIGH	Following government guidance. No evidence of significant staff absence related to covid-19 despite high case rates.	MED
Risks aligned to the deteriorating condition of some of our assets	HIGH	New systems and process are being implemented and a revised structure for property resources developed. Funding has been identified to develop investment plans for key priority assets within leisure, libraries, and depots.	MED

Appendix 2:

Directorate risk registers (as of end Q1 2022/23). Please note these are sorted in order of directorate (Adults, Children's Services, Corporate Services, Place, and Public Health and Regulatory Services) and then by residual risk score.

Adults directorate:

Risk theme	Risk	Lead directorate	Inherent score	Q1 mitigating actions	Residual score
Finance and resources	Risk that we do not manage budgets effectively in-year and ensure a balanced budget.	Adults	HIGH	Resource panel in place where all requests for care and support must be agreed by the Assistant Director or Head of Service. Monthly Directorate Team meetings focused on financial management taking place and weekly meetings to ensure robust oversight of the budget.	HIGH
Finance and resources	Risk that we will be unable to recruit and/or retain and train sufficient social workers and occupational therapists to meet our statutory duties.	Adults	HIGH	Centralised recruitment process being developed. Apprenticeship programme expanded. Recruitment and retention action plan developed. Challenges in implementing elements of action plan due to wider pressures.	HIGH
Operations	Risk that we will not be able to support enough families to reduce the likelihood of eviction/lined to private sector rent rises.	Adults	HIGH	Assessing structure of the team to focus more resource on upstream prevention measures. However, there are additional factors outside our control including the cost of living crisis and increasing rents.	HIGH
Safeguarding	Risk that we do not fulfil our statutory duties to safeguard adults as part of transition planning.	Adults	MEDHIGH	A request has been made to the North Somerset Safeguarding Adult's Board to launch the MARAC with key partner sign-up. This would provide a framework and multi-agency process to respond to the needs of the 17-25 cohort.	MEDHIGH
Finance and resources	Risk that we do not manage the market demands and demographic changes on the cost of adult's social care within available resources.	Adults	HIGH	Transformation themes progressed, Market Sustainability Plan developed, and commissioning strategies refreshed.	MED

Risk theme	Risk	Lead directorate	Inherent score	Q1 mitigating actions	Residual score
Finance and resources	Risk that we are unable to meet the increased costs of adults with complex needs in a sustainable way whilst safeguarding the most vulnerable.	Adults	HIGH	Fair Cost of Care exercise and Market Sustainability Plan to be completed for Autumn.	MED
Finance and resources	Risk around resources to address the increasing demand in complex transitional cases (also in children's directorate).	Adults	HIGH	Transitions Panel has recently been created to initially meet on a monthly basis to discuss more complex transitional cases and to begin earlier future planning of individual needs.	MED
Finance and resources	Risk of care providers leaving the market due to cost of living and rising inflation.	Adults	HIGH	Inflationary provision review for care sector, Fair Cost of Care exercise.	MED
Partnership working	Risk from failure of local health partners.	Adults	HIGH	Work in partnership via system and place setting agendas, e.g., DTA business case, Better Care Fund. Joint work on workforce developments.	MED
Finance and resources	Risk that we will be unable to recruit, retain and train sufficient approved mental health professionals to meet the statutory requirements of the Mental Health Act.	Adults	MED	Plan for training future Approved Mental Health Professionals in place, business contingency planning, use of casual rota, transfer of greater resources to central hub, expansion of training offer outside of mental health services.	MED
Operational	Risk that we do not implement and deliver the transformational projects required to meet the directorate challenges.	Adults	MED	Transformation Manager being recruited to and successful recruitment to Care Reform posts.	MED
Partnership working	Risk that we don't have the financial resources and capacity to deliver care reforms.	Adults	MED	Risk has been added to the strategic risk register (Q2). Cost of Care exercise underway with residential, nursing, and domiciliary care providers. Recruitment to cost of care implementation manager successful.	MED
Safeguarding	Risk that we do not fulfil our statutory duties to safeguard adults.	Adults	MEDHIGH	Creation of Assistant Social Care Worker (ASCW) posts in the central safeguarding team. ASCW posts, once recruited, will provide a resource to undertake initial screening of concerns at an early stage and inform risk assessment for prioritisation of allocation.	LOWMED

Risk theme	Risk	Lead directorate	Inherent score	Q1 mitigating actions	Residual score
Partnership working	Risk that we are not able to deliver services effectively through a new Empowered Communities model.	Adults	MED	Active engagement, identifying shared aims and benefits for residents and communities and developing support to align to local need. Exploring options for external funding to overcome local funding constraints for new developments.	LOWMED

Children's directorate:

Risk theme	Risk	Lead directorate	Inherent score	Q1 mitigating actions	Residual score
Finance and resources	Risk that we do not manage budgets effectively in-year and ensure a balanced budget.	Children's	HIGH	The council is currently facing significant financial pressures linked to an increased number of placements and delivery of statutory functions. All other areas of the budget in the directorate are being reviewed.	HIGH
Finance and resources	Risk that we do not deliver savings against the Medium Term Financial Plan.	Children's	HIGH	The council is currently facing significant financial pressures linked to an increased number of placements and delivery of statutory functions. All other areas of the budget in the directorate are being reviewed.	HIGH
Transformation	Risk that we do not deliver sustainable change in Children's Services at the right pace of the improvement journey.	Children's	HIGH	Our strategic plan sets out the improvement actions and action plan for the year ahead. Six clear improvement areas are identified, and work continues against these to take all actions forward with leadership from the Assistant Director supported by Heads of Service.	HIGH
Operational	Risk of managing demand and delivering sufficient places for SEND.	Children's	HIGH	Work ongoing around the Safety Valve Programme. Appointment of Education Commissioner.	HIGH
Finance and resources	Risk of managing demand for children's social care placements.	Children's	HIGH	Continuous recruitment campaign for more foster carers. Fourth mockingbird phase due to go live in October. Regular review of residential placements to ensure move on plans are in place where required.	MED

Risk theme	Risk	Lead directorate	Inherent score	Q1 mitigating actions	Residual score
Operational	Risk around resources to address the increasing demand in complex transitional cases (also in adults directorate).	Children's	HIGH	Transitions Panel has recently been created to initially meet on a monthly basis to discuss more complex transitional cases and to begin earlier future planning of individual needs.	MED
Finance and resources	Risk that we do not recruit and retain sufficient staff across the directorate.	Children's	HIGH	Refreshed workforce development strategy in place. Microsite in development. Proactive recruitment activity in place.	MED

Corporate Services directorate:

Risk theme	Risk	Lead directorate	Inherent score	Q1 mitigating actions	Residual score
Finance and resources	Risk that we are unable to deliver the priorities of the council by not planning to meet the Medium Term Financial Challenge and delivering a balanced budget.	CSD	HIGH	The council is currently facing significant financial pressures in many areas of its budgets although is trying to develop strategies to fund them. This is a challenging process but is being considered as a strategic risk at the highest level.	HIGH
Finance and resources	Risk of the financial envelope of the pay award and the impact on the budget.	CSD	HIGH	The council is currently facing significant financial pressures in many areas of its budgets and the pay award is one example, the decisions are made by third parties and are outside of the council's control.	HIGH
Data and systems	Risk of cyber-attacks and malicious attempts to damage critical services.	CSD	HIGH	PSN assurance certificate, regular health checks and regular vulnerability checks.	HIGH
People Services	Risks of ineffective recruitment across the organisation leading to capacity issues in key areas.	CSD	HIGH	Recruitment is challenging across all sectors. Mitigations being put in place to strengthen our recruitment offer centrally.	HIGH
Support Services	Financial and political risk associated with the simplification and changes to Council Tax Support policy for 2023/24.	CSD	HIGH	Member engagement and financial forecasting in place to mitigate risk.	HIGH

Risk theme	Risk	Lead directorate	Inherent score	Q1 mitigating actions	Residual score
People Services	Risk that there is non-compliance with mandatory training programmes.	CSD	HIGH	Work is being completed to address non-compliance. Technical difficulties require additional work.	MEDHIGH
Governance	Risk of election not being delivered due to legislative changes resulting in timescales and/or requirements that are not deliverable.	CSD	MEDHIGH	Numerous governance, checks and balances in place to ensure the election will be delivered.	MEDHIGH
Transformation	Risk that we do not deliver the Corporate Services transformation portfolio which is wide-ranging and ambitious.	CSD	MEDHIGH	Directorate Leadership Teams and Corporate Leadership Team taking the lead. Cover for transformation project management activities by other Corporate Services directorate staff. External resource for ICT and Digital review being explored.	MEDHIGH
Procurement	Risk that there is a reluctance to engage in competitive tendering processes from some key clients.	CSD	MEDHIGH	We continue to flag up risks and highlight in Procurement Plans.	MEDHIGH
Finance and resources	Risk that we are unable to deliver capital projects within the approved resource envelope.	CSD	HIGH	Ongoing monitoring process is in place together with risk management assessments to mitigate where required.	MED
Transformation	Risk that the Programme Management Office is not able to support the breadth of transformation portfolios across the organisation.	CSD	HIGH	Phase one of the Programme Management Office has launched which includes the capital and IT functions. There is now a full suite of templates with guidance and worked examples available to support projects. More work to do around awareness raising.	MED
Data and systems	Risk that multi-agency data sharing programmes are not agreed cross-council and NSC cannot take part leading to reputational damage.	CSD	HIGH	Positive progress on the Data Accelerator Programme. Future data sharing programmes are being managed by Business Intelligence and Information Management. Strong relationships in place.	MED
Support Services	Risks related to business continuity and ICT resilience arrangements in critical services.	CSD	HIGH	Analysis of critical systems and engaging with ICT Architecture Board.	MED

Risk theme	Risk	Lead directorate	Inherent score	Q1 mitigating actions	Residual score
Governance	Risk that the council's reputation is severely damaged or subject to legal challenge arising from a failure in Corporate Governance.	CSD	MED	Numerous governance, checks and balances in place to mitigate against this risk.	MED
Marketing and Comms	Risk that the corporate identity refresh will be delayed due to dependencies on other parts of the organisation and partners.	CSD	MED	This is already delayed and was something we were intending to introduce in 2021/22. Delivery now anticipated 2022/23 Q2. Good progress made at the start of Q2 to move this project on.	MED
Finance and resources	Risks to our overall organisational operational effectiveness due to the impacts of COVID-19.	CSD	HIGH	The Council's Corporate Plan 2020-2024 reflects the (then) present and future challenges presented by Covid and details how challenges can be overcome. In turn, Directorate Statements were published in April 2022, and these describe how each directorate will help achieve the aims and priorities as set out in the Corporate Plan. Covid-related impacts, risk and budgetary forecasts continue to be monitored by directorates and included in financial monitoring.	LOWMED
Transformation	Risk that we do not deliver the Empowering Communities transformation portfolio which is wide-ranging and ambitious.	CSD	HIGH	The Empowering Communities Strategy and action plan has been reviewed, especially in light of the cost of living crisis which the team will be leading on.	LOWMED
Transformation	Accommodation and future ways of working. Risk that we are not able to complete this work to challenging timescales and in a way that is acceptable to the organisation and partners.	CSD	MEDHIGH	Programme and project governance in place and monitored by Corporate Leadership Team. Communication and engagement plan active and operating.	LOWMED
Data and systems	Risk that we are unable to protect customer and citizen data and ensure compliance with GDPR.	CSD	MEDHIGH	Training programme being reviewed and linked in with mandatory training requirements. Reporting to ICT Architecture Board.	LOWMED
Marketing and Comms	Risk of elements of the Communication Strategy not being delivered due to capacity issues and unforeseen events.	CSD	MEDHIGH	Deputy Head of Comms role being filled in October 2022 which will extend team's capacity to deliver comms strategy action plan.	LOWMED

Risk theme	Risk	Lead directorate	Inherent score	Q1 mitigating actions	Residual score
Procurement	Risk that we are unable to adapt to new ways of working and making them effective for procurement activities.	CSD	LOWMED	Utilise new ways of working and encourage face to face meetings where risk is considered to be high.	LOW
Support Services	Risk to support services operational effectiveness due to further cost of living support schemes.	CSD	LOWMED	Engaged in a detailed design with Executive members and validation with other local authorities.	LOW

Public Health and Regulatory Services directorate:

Risk theme	Risk	Lead directorate	Inherent score	Q1 mitigating actions	Residual score
Operations	Risk that not all our critical services have business continuity plans.	PHRS	HIGH	Additional resourcing to continue the roll out of business continuity plans.	MEDHIGH
Operations	Risks affecting the construction industry impacting on DFG delivery, government funded retrofit programmes and rented sector maintenance.	PHRS	HIGH	New contract in place for stairlifts etc, some sector pressure easing to improve year end outcome but inflationary pressures still impacting across sector.	MED
Operations	Risk related to an emerging challenge associated with external cladding and legislative requirements.	PHRS	HIGH	Staff trained on initial assessment. Liaising with Tower safety on implementing new regime due Jan 2023.	MED
Operations	Risk to securing future funding for home energy efficiency work via government competition competing with other local authorities.	PHRS	MEDHIGH	Strong partnership to work as consortium with West of England. New data tool will help targeting and strengthen future bids.	MED
Finance and resources	Risk that we do not manage budgets effectively in-year and ensure a balanced budget.	PHRS	HIGH	Current years monitoring and forecasts are on track.	LOWMED

Risk theme	Risk	Lead directorate	Inherent score	Q1 mitigating actions	Residual score
Operations	Risk of a major incident related to food safety that we cannot respond to due to reduced resource.	PHRS	HIGH	In the event of a major incident realignment of workstreams and ceasing of some of the lower risk interventions.	LOWMED
Finance and resources	Risk of recruitment and retention for key roles across the directorate.	PHRS	MED	Risk of recruitment and retention for key roles across the directorate. Promotion of new roles through a broad range of local and specialist networks e.g., Public Health Jobs twitter feed. Evidence of 'growing our own' into roles from work experience/volunteering.	LOWMED
Operations	Risk of failure to recover the food safety intervention programme in line with the Food Standards Agency expectations and framework.	PHRS	MED	There is minimal risk at present as we are on track to meet all Food Standards Agency key milestones.	LOWMED
Transformation	Risk that we do not implement and deliver the transformational projects required to meet the directorate challenges.	PHRS	LOWMED	Continued push to integrate our work with priorities of other agencies to attract resources/support for key changes identified. Continued focus on developing the team to maintain high performance and manage prioritisation effectively.	LOWMED
Operations	Risks of service downtime due to the migration to the new cloud based version of the CIVICA database.	PHRS	LOWMED	Long run-in and test phase should ease transition with "look-up" version of current database still available reducing incidence of inaccessible data.	LOWMED
Operations	Risks to regulatory services operational effectiveness due to COVID-19.	PHRS	LOWMED	Teams have additional short term capacity to catch up on work delayed by response to the pandemic.	LOWMED
Operations	Risks to public health operational effectiveness due to COVID-19.	PHRS	LOWMED	Staff cover across teams internally and in commissioned services enabling continued delivery.	LOW

Place directorate:

Risk theme	Risk	Lead directorate	Inherent score	Q1 mitigating actions	Residual score
Finance and resources	Risks of significant financial pressures across the directorate due to increases in energy costs and inflation.	Place	HIGH	Reviewing in year position to mitigate impacts. Working with procurement where needed to ensure award of contracts at best times.	HIGH
Major Infrastructure Projects	Risks to funding for MetroWest inc. capital elements.	Place	HIGH	Intensive work with project partners West of England Combined Authority and Department for Transport to close the funding gap in a timely way to allow Development Consent Order to be confirmed.	HIGH
Operations	Failure to recruit / retain skilled roles leading to failure to deliver decisions within agreed timescales and incur risk of fee refunds.	Place	HIGH	Ongoing dialogue with People Services to explore mitigations. Labour market remains very competitive and affordability of options to be appraised.	HIGH
Operations	Risk to development of transport and highways scheme pipeline and delivery of projects.	Place	HIGH	Linked to capacity issues. Ongoing dialogue with People Services to explore mitigations.	HIGH
Operations	Risk of having no waste depot to operate from beyond 2027.	Place	HIGH	Depot strategy is due to address this. It is in early stages.	HIGH
Operations	Risk related to all council owned trees (tree risk management).	Place	HIGH	Additional tree surgery gangs are required to meet the demand for high priority tree work as required in the Tree Risk Management Plan.	HIGH
Operations	Ash dieback risk - health and safety risk from falling trees, financial risk as cost of removal is high.	Place	HIGH	Resources have been set aside to address Ash dieback.	HIGH
Placemaking	Delay to Local Plan process exposes council to risk of speculative development and unplanned growth through appeal.	Place	HIGH	The council continues to progress the preparation of the Local Plan with the intention to submit to the Secretary of State for Examination during Q4. A new Local Plan will reset the council's five year housing land supply.	HIGH

Risk theme	Risk	Lead directorate	Inherent score	Q1 mitigating actions	Residual score
Placemaking	Risk that the lack of five-year supply could lead to the council being exposed to appeals for residential development in sub-optimal locations and additional costs of appeal.	Place	HIGH	Progressing and adopting a new Local Plan can reset the council's 5 year land supply.	HIGH
Climate Emergency	Flood risk - climate change and rising sea levels present a significant risk to people, property and the economy on low lying land across North Somerset.	Place	HIGH	We are preparing the Local Flood Risk Management Strategy which will be published in mid-2023.	HIGH
Climate Emergency	Risks to achieving a net zero position by 2030 given current resources and sphere of influence.	Place	HIGH	All directorates finalised their directorate specific action plans in Q1, and work will not continue on these.	HIGH
Major Infrastructure Projects	Risk related to the infrastructure required to support Local Plan led growth and the decarbonisation of transport.	Place	HIGH	Officers to prepare framework masterplans and brief members on the key controversial infrastructure requirements.	MEDHIGH
Operations	Deteriorating condition of highways and footway assets.	Place	HIGH	Whilst the condition of the highway is deteriorating, we undertake safety inspections and undertake reactive works (including 2 hour emergencies) to maintain safety.	MEDHIGH
Placemaking	Delivery of significant capital projects to time and budget including MetroWest and Highways Infrastructure Fund due to inflationary pressure.	Place	HIGH	Fundamental cost review, scrutiny of all cost inputs, and costing exercises underway.	MEDHIGH
Placemaking	Risk to the development programme and delivery due to inflationary pressure and local community consultation.	Place	HIGH	Briefings with Corporate Leadership Team and elected members, to include clear explanation of choices and impacts.	MEDHIGH

Risk theme	Risk	Lead directorate	Inherent score	Q1 mitigating actions	Residual score
Transformation	Risks related to the condition of corporate estate resulting in financial and operational risks.	Place	HIGH	New systems and process are being implemented and a revised structure for property resources developed. Funding has been identified to develop investment plans for key priority assets within leisure, libraries, and depots. Implementation of the Corporate Landlord and appointment of a new Senior Asset Manager.	MED
Transformation	Risk around the ongoing management development of the Capital Programme Management Office and that once developed the PMO is not able to support the breadth of projects.	Place	HIGH	This risk based approach cannot eradicate incidents or risk but does focus on highest consequence so that major failure and any risk of serious incident is kept as low as reasonably practical.	MED
Finance and resources	Risk that we do not manage revenue budgets effectively in-year and ensure a balanced budget.	Place	HIGH	The directorate is forecasting an overspend. Mitigating actions are being reviewed to help with the in-year position.	MED
Operations	Financial risk on milestone contract - underperformance in volumes of work results in financial pressure on overhead payment for contract.	Place	HIGH	Overhead is managed dynamically throughout the year.	MED
Operations	Risk of limited police and community safety resource in North Somerset.	Place	HIGH	Good liaison with police, review of community safety services and partnerships.	MED
Finance and resources	Risk that income levels in community buildings does not recover post covid.	Place	MED	Deep dive reviews commencing in Aug 2022 to understand the current position and look at options to mitigate any overspends.	LOWMED
Transformation	Risk of failure to agree and implement parking strategy.	Place	LOWMED	Officers to prepare draft policy framework for member input.	LOWMED

Risk theme	Risk	Lead directorate	Inherent score	Q1 mitigating actions	Residual score
Finance and resources	Risk that we do not deliver savings against the Medium Term Financial Plan.	Place	MED	Most of the Medium Term Financial Plan savings within the directorate are on track to be delivered in 2022/23.	LOW
Operations	Risk that the provisions of the Environment Act 2021 conflict with North Somerset's operational and financial models for waste and the natural environment.	Place	LOW	Provisions for the natural environment or waste will not be known in any detail until later in 2023. Consultation has taken place but detail from Central Government is delayed with no firm date set for implementation.	LOW