

Theme	Risk	CLT LEAD	DLT LEAD	Q2 2020/21		Inherent risk	Residual risk	Mitigating actions	Residual risk	Q2 to Q3 change
				Inherent risk	Residual risk					
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 WE/LEP & City Deal	Jo Walker	N/A	HIGH	MEDIUM	HIGH		Electing members and senior officers continue to actively engaged in the WE/LEP Joint Committee, LEP and liaise with colleagues regularly in WECA to ensure NSC is engaged and can influence and align as necessary to maximise outcomes for the area. NSC is also a member of the Western Gateway and continues to work closely with other LAs across the sub region and region, particularly around economic recovery and renewal, which includes infrastructure, transport, skills, supporting businesses and employment.	MEDIUM	NO CHANGE
Financial Management	Risk that we are unable to deliver the priorities of the Council by not planning to meet the Medium Term Financial Challenge	Richard Penska	Mel Watts	HIGH	HIGH	HIGH		MTFP for 2021 - 2024 drafted for Executive and Council approval in February 2021. The spending review and draft settlement, along with the council's transformation and savings plans will provide the council with a robust balanced budget for 2021/22. Uncertainty and therefore risk remains for future years as the economic impacts of the COVID and Brexit are unknown as well as Government future funding plans.	MEDIUM	DECREASE
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	Richard Penska	Mel Watts	HIGH	MEDIUM	HIGH		The month 9 Budget Monitor is due to be reported to Executive in February 2021 and will project a balanced position for 2020/21, whilst the COVID pandemic continues to impact on the council's in-year finances current projections confirmed that the additional grants received from Government and the council's own cost mitigations will cover these additional cost pressures and loss of income.	MEDIUM	NO CHANGE
Information Management	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	Richard Penska	Stuart Anstead	HIGH	MEDIUM	HIGH		ICT & Digital provision has proved to be an effective enabler in the council moving to remote working. Service delivery and customer contact has been redesigned as a result of COVID, some of these changes will be sustained in the future. The Council's Transformation Programme for 2021/22 will include further projects to support digital inclusion and remodel customer contact.	MEDIUM	NO CHANGE
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.	Richard Penska	Stuart Anstead	HIGH	MEDIUM	HIGH		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 report attacks. PSN compliance certificate in place. The council's Corporate Leadership recently undertook a Cyber Incident Business Continuity exercise and will continue to refine its incident management processes.	MEDIUM	NO CHANGE
Infrastructure	Risk that we are unable to secure sustainable funding for the MetroWest scheme and expose the Council to unnecessary financial risk	Richard Penska	Mel Watts	HIGH	HIGH	HIGH		Funding commitments from Central Govt and initial risk share with WECA agreed. Council's additional contribution identified through a refreshing of Business Rate pool. Procurement estimated costs (GRIP 4) identified a further deficiency in level of funding, this is in part mitigated by contingency within the project budget, but more recently exacerbated by COVID 19 delays in the DSO process and requisite statutory processes. Further cost certainty will develop as the scheme progresses through the DCO process and the procurement approach is finalised.	HIGH	NO CHANGE
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	Richard Penska	Mark Roddan	HIGH	MEDIUM	HIGH		Contract Management performance monitoring in place in order to provide increased DMT & CLT visibility on contract management effectiveness. Contract management training commenced with a defined group of council staff, paused during the initial months of the pandemic, but have recently restarted and due to be completed by March 2021.	MEDIUM	NO CHANGE
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	Hayley Verico	Gerald Hunt	HIGH	HIGH	HIGH		Whilst the pandemic created considerable pressures it also provided opportunities for integrated working with health colleagues in both commissioning and provider organisations. There is commitment from across the health and social care sector to take these opportunities which is being backed up by joint actions. Harnessing the opportunities afforded during in covid, a Care Provision Programme Board has been established and is being chaired by the Interim DASS and has begun to scope opportunities for joint commissioning across BNSSG and with CCG.	MEDIUM	DECREASE
Safeguarding	Risk that we do not fulfil our statutory duties to safeguard Children and Adults	Sheila Smith / Hayley Verico	Carolann James	MEDIUM	MEDIUM	MEDIUM		We have continued to meet our safeguarding responsibilities - the pandemic has meant that we had to risk assess very carefully and whilst numbers of referrals reduced we continued to respond to all safeguarding concerns.	MEDIUM	NO CHANGE
Social Care	Risk that we are unable to meet the increased costs of looking after children with complex needs in a sustainable way whilst safeguarding the most vulnerable	Sheila Smith	Carolann James	HIGH	HIGH	HIGH		Since February we have seen a gradual reduction in the number of children whom we care for: 220 down from 244. Unlike many other LAs we have not seen a rise in recent months since children returned to school but there continues to be pressure arising from the costs of care although mitigations are in place i.e. re-commissioning of specific accommodation types and a renewed energy in recruiting more foster carers.	HIGH	NO CHANGE
Social Care	Risk that we do not manage the market demands and demographic changes on the cost of children and adult social care within available resources	Sheila Smith / Hayley Verico	Gerald Hunt	HIGH	HIGH	HIGH		The pandemic has had a significant impact on many providers of care homes for older people who now have an occupancy rate, on average, of 85% - whilst this has been the consequence of a downturn in demand we are expecting a rise in the cost of such care going forward. Domiciliary care providers have experienced an increase both in people coming forward to work in the sector and in requests for care packages so there are not the same pressures. The pandemic has brought forward our thinking about reshaping the market as potential service users are indicating a wish to remain in the community. This links to the work of the Care Provision Programme Board. With regard to children and young people's placement costs, there has not been the same pressure as in adults to date. Work has begun on a regional basis to look at how we might stimulate the market to provide placement choice/sufficiency.	HIGH	NO CHANGE
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 and reduce inequalities	Lucy Shomali	Alex Hearn	HIGH	HIGH	HIGH		New Economic Recovery and Renewal Strategy has been developed and signed off. This addresses business recovery and skills and employment issues across North Somerset in the context of the pandemic with key focus on a digital, green, healthy and inclusive economy. Steering Board being set up with representatives from key sectors, business ambassadors and business networks. Strong read across to the wider WE/LEP Economic Recovery and Renewal Taskforce with officers and Members involved and ensuring NS is fully represented. Series of shorter term measures also being developed - particularly for high streets, and town centres and skills - to support businesses to re-open as lockdown eases and social distancing can be maintained. Close working between Economy Team and Finance to ensure Small Business and Discretionary Business Grants schemes administered. Regular reporting dashboards for the Economic Plan, Employment and Skills Strategy and Visitor Economy Action Plan has been developed, with updates every fortnight to the Chief Executive and content being used as the basis for discussions with the North Somerset Economic Recovery Group. In addition an Employment and Skills Taskforce has been established to focus on bringing together the partners that can tackle disadvantage and improve residents resilient in a challenging labour market. Despite the series of interventions, monitoring and collaborative working economic recovery remains a high risk due to the third rational lockdown and uncertainty over when restrictions will be eased.	HIGH	NO CHANGE
Housing	Risk that we do not deliver sustainable solutions to the housing needs for the wider community as detailed in the Council's development plan and meeting our targets for affordable housing	Lucy Shomali	Alex Hearn	HIGH	HIGH	HIGH		Following withdrawal of the JSP the North Somerset Local Plan process commenced in April 2020 with a programme anticipating formal adoption in 2023. This will be developed alongside a Spatial Development Strategy for the WECA UAs. The initial issues and options stage (known as Challenges and Choices) has been undertaken in two phases during summer and autumn 2020 through comprehensive consultation with residents, businesses and stakeholders. Team worked closely with SPEDOR to develop a strong consultation and engagement strategy which was delivered in context of social distancing measures. Consultation on the Choices staged closed in December 2020 and will be used to inform the proposed spatial strategy for agreement by Members in Spring 2021. Development Management Team has continued to process Planning applications during lockdown period and Planning & Regulatory Committee continues to meet virtually in a streamlined form. Ongoing engagement with Homes England on the delivery of their Weston Town Centre sites.	HIGH	NO CHANGE
Infrastructure	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	Lucy Shomali	Alex Hearn	HIGH	MEDIUM	HIGH		HIF funding for Banwell Bypass and Secondary school funding agreement concluded and project team in place for delivery. Detailed Business Case under preparation for A38 MRN improvements. Close working with WECA and associated transport bodies on public transport infrastructure including Strategic Rail and Bus Strategies and Mass Transit opportunities. Need to address gaps in digital infrastructure as a priority as part of economic recovery work. Successful funding has been secured in support of Active Travel. Government have also indicated they are moving to local authority allocations from 22 rather than bidding for the distribution of future funds with more details expected shortly. Parklands Educate Together primary school opened in permanent building Sept 2020. North South Link continues to progress well, although impacts of Covid have resulted in a slight delay to completion to Spring 2021. Agreement on delivery of health centre at Parklands reached. Weston Town Centre enhancements (Alexandra Parade): approach agreed including de-scoping/delay of Station Road elements. Start on site expected imminently. Critical short-term risk is the viability of bus services when we move into the post-COVID world and emergency Government support begins to be withdrawn. Mitigating this will involve close work with both bus operators and WECA given many services in NS operate cross-boundary.	MEDIUM	NO CHANGE
Sustainability	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	Lucy Shomali	Alex Hearn	HIGH	MEDIUM	HIGH		Climate Emergency Strategy and Action Plan developed. Climate Emergency Strategy and Action Plan developed. Method established for NS to measure progress and performance in overall emissions. Additional work required to identify progress indicators across areas - will allow us to monitor progress more quickly. New steering group established, includes Chief Exec, Leader, portfolio holder, director and project manager - to meet quarterly. Carbon Literacy training established and available for booking on CPD. Team leaders urged to nominate representatives to attend in order to support team plans. Energy efficiency audits of corporate estate underway, recommendations will need to feed into capital programme and asset strategy.	MEDIUM	NO CHANGE
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	Nick Brain	Su Turner	MEDIUM	MEDIUM	MEDIUM		No current recruitment issues and no increase in turnover. Staff sickness is low. No immediate concerns.	LOW	DECREASE
Health & Safety	Risk that we are unable to adequately safeguard the Health, Safety and Welfare of our staff	Nick Brain	Su Turner	LOW	LOW	LOW		Increased demands due to COVID. Work through the Transitions Steering Group to ensure robust H&S processes in place including new Home Working policy.	MEDIUM	INCREASE
Information Management	Risk that we are unable to protect customer and citizen data and ensure compliance with GDPR (Data Protection Act 2018)	Nick Brain	Stuart Anstead	MEDIUM	MEDIUM	MEDIUM		Technical protections in place and updated. PSN checks compliance. Staff compliance with security monitored and reported to Statutory Officers and CLT. Risk level of medium given rise in use of social media comms platforms for business use and the associated acceptance of risk by the organisation.	MEDIUM	NO CHANGE
Corporate Governance	Risk that the Council's reputation is severely damaged or subject to legal challenge arising from a failure in Corporate Governance, i.e. inability to make essential decisions or failure to engage key stakeholders in key decisions or changes to service delivery	Nick Brain	Stuart Anstead	LOW	LOW	LOW		Constitution review underway for report to future meetings of Council. Acceptance of use and risk around increased use of new platforms/Apps.	LOW	NO CHANGE
Central Government	Risk that negative consequences of a no deal Brexit cannot be mitigated adequately	Nick Brain	Emma Diakou	MEDIUM	MEDIUM	MEDIUM		See EU transitions risk register. A deal was agreed before the end of the transition period. The internal planning group remains in place as a response group, meeting fortnightly. No significant issues so far apart from the demand upon Trading Standards and Regulatory Services which continues to be high and poses a resource risk.	MEDIUM	NO CHANGE
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 an emergency	Matt Lenny	N/A	MEDIUM	MEDIUM	HIGH		Supplementary COVID plan in place to cover transport/evac/welfare/shelter, however training paused due to resource issues. Action plan to be reviewed during Q4 to consider timescales.	MEDIUM	NO CHANGE
Emergency Management	Risks to the council's operational effectiveness due to the demands of the pandemic	Matt Lenny	N/A	HIGH	MEDIUM	HIGH		See COVID-19 risk register. Staff absence has remained below projected levels but increased capacity has been needed across numerous areas.	HIGH	NO CHANGE