

Risk Number	Organisation	Risk Group Heading	Risk Description	Risk Owner	Corp Measure	Risk Response Action (what more do you plan to do)
2	BOTH	Transformation	<p>THE TRANSFORMATION PROGRAMME</p> <p>RISK - failure to deliver the Business Case on time and/or to target.</p> <p>KEY EFFECTS - programme benefits not realised-real or opportunity cost in terms of financial or non-financial efficiency. Reputational damage.</p>	Adam, Shirlene;#129	Yes	<p>Until end 2017/18</p> <ol style="list-style-type: none"> 1. Finalise detailed programme plan; 2. Approve blueprint; 3. Approve and commence first 'commercialism' venture; 4. Commence and complete WSH refit for CASA; 5. Commence refurbishment of Deane House; 6. UTP platform procured and implemented; 7. 'New Council' submission finalised and sent to the Secretary of State, decision made and regulations approved; 9. Detailed org design signed-off and implementation commenced;
3	BOTH	Transformation	<p>SHARED SERVICES ACROSS SOMERSET & WIDER PUBLIC SECTOR</p> <p>Government policy is pushing wider transformation of the public sector.</p> <p>RISK - the organisation is too inward looking and wider opportunities may be missed (opportunity risk) and /or the council is not shaping its destiny through not engaging in strategic conversations (eg devolution).</p> <p>KEY EFFECTS - failure to maximise efficiencies. Having strategic change imposed (eg being done to) on terms agreed by others.</p>	Hassett, James;#1168	Yes	<ol style="list-style-type: none"> 1. Provisional Full Council in place (Awaiting outcome of Devolution Bid) 2. Continue to explore opportunities of working with others where this supports the transformation vision. 3. Continue engaging with the sector - LGA, DCLG, Somerset Leaders & CEOs - in order to keep abreast of emerging issues and opportunities in the region.
4	BOTH	Political	<p>NATIONAL LAW & POLICY</p> <p>Changes advocated or made maybe missed or not evaluated in a timely manner.</p> <p>RISK – that the Councils are failing to meet an existing legislative requirement or fail to implement new requirements.</p> <p>KEY EFFECTS - The Councils are non-compliant leading to financial and /or reputational damage.</p>	Hassett, James;#1168	Yes	<ol style="list-style-type: none"> 1. LTOPS to review and discuss at monthly meetings 2. SLT to review and discuss at monthly meetings
5	BOTH	Financial	<p>ASSET MANAGEMENT</p> <p>RISK - failure to manage existing assets appropriately.</p> <p>KEY EFFECTS -</p> <ul style="list-style-type: none"> • Legal and reputational - increased risk & liabilities in relation to disrepair (condition) & compliance (Health and Safety) matters 	May, Terry;#190	Yes	Action plans in place and being transitioned into business as usual and managed within the service area.

6	BOTH	Financial	<p>MEDIUM TERM FINANCIAL PLANNING (MTFP)</p> <p>The key financial risk factors are: continuing budgetary pressures due to demographic change and the impact of the Gov's austerity measures (such as: Business Rates retention, Revenue Support Grant, Council Tax & Council Tax Support, Income from Fees & Charges, Capital investment), uncertainty as to the long-term sustainability / affordability of the existing contract with Somerset Waste Partnership, the shrinking of the General Fund (impact on the HRA).</p> <p>RISK - failure to agree and deliver a sustainable MTFP for the next 5 years</p> <p>KEY EFFECTS - may include:</p> <ul style="list-style-type: none"> • short-term or 'knee jerk' decisions with detrimental long-term implications • Government intervention • Adverse impact on the council's limited reserves & financial standing • Potential service closure / reduced service quality & therefore inability to deliver customer expectations • Insufficient capital resources to fund Corporate Strategy objectives • Unable to maximise investment returns • For TDBC inability to financially resource its growth ambitions • For West Somerset the risk is of being unable to continue to operate as a viable separate sovereign council, delivering an acceptable level of service to the community. 	Adam, Shirlene;#129	Yes	<ol style="list-style-type: none"> 1. Ongoing engagement with Gov/LGA/CIPFA (SA ongoing) 2. Continued engagement and modelling in relation to NHB, and 100% business rate retention in order to identify impacts on MTFP.
8	BOTH	Leadership & People	<p>POLITICAL LEADERSHIP & MEMBER ENGAGEMENT</p> <p>Both Councils are led by strong majority administrations. It is important to engage the whole council in the change programme to ensure it is member led & steered.</p> <p>RISK - lack of member engagement and therefore member ownership.</p> <p>KEY EFFECTS -</p> <ul style="list-style-type: none"> • lack of cross party buyin and ownership • loss of member input, ideas & challenge 	Hassett, James;#1168	Yes	<ol style="list-style-type: none"> 1. Further- "Making a Difference" workshops as part of Member development 2. Continuing Member communications
9	TDBC	Corporate Aim (TDBC)	<p>CORPORATE (STRATEGIC) RISK RE TDBC'S VISION AND AIMS FOR A "QUALITY PLACE" (Quality sustainable growth & development. A vibrant economic environment, A vibrant social, cultural and leisure environment)</p> <p>If the Growth Programme is not successful in the delivery of its projects (quality and timescale)</p> <p>RISK - Failure to deliver the ambitions or realise the outcomes & benefits as defined in the "Growing our Garden Town" document</p>	Cleere, Brendan;#222	Yes	<p>Detailed Action Plan held on the Programme Page. (Dan Webb)</p> <ol style="list-style-type: none"> 1. ensure adequate resources focussing on delivering Growth Priorities - develop a clear resource plan (eg NHB, CIL HIF etc) 2. ensure Taunton schemes are high profile with key funding providers (eg LEP) 3. prioritisation of CIL receipts 4. meet the timetable for preparation of Planning Policy documents 5. working with developers to bring forward Monkton Heathfield, other Urban Extensions, and other development sites across the district. (Formation of new Programme Delivery Team) 6. On-going identification, prioritisation and management of risks and issues within the programme

			<p>KEY EFFECTS - Taunton's key economic challenges may not be addressed, thus having a detrimental impact on the local economy and quality of life, ie:</p> <ul style="list-style-type: none"> • transport & infrastructure needs not met - traffic worsens, inability to attract inward business investment • long-term increased flood risk (climate change) is not mitigated - no additional protection offered to existing development, future planned growth is prevented • Taunton town centre regeneration does not happen and the town centre stagnates • Taunton's full economic potential is not realised and opportunities for economic growth are not exploited (eg Hinkley Point) • Housing growth (as per proposals in the Development Plan) is not delivered, and/or unplanned development occurs • Employment land (as per proposals in the Development Plan) is not delivered, or fails to provide the optimum mix of uses to attract the targeted growth clusters • opportunity cost in terms of New Homes Bonus and Business Rates • Poor reputation for Taunton and TDBC 			<p>7. Further implementation of effective and proactive stakeholder engagement, communications and marketing strategy and plans / campaigns.</p> <p>8. Planning approvals and commence delivery of key sites (Coal Orchard, Firepool, Nexus 25, M5 J25).</p> <p>9. Funding bids (eg HIF).</p> <p>10. Implement new Growth team structure (New Operating Model 2018).</p>
10	WSC	Corporate Aim (WSC)	<p>HINKLEY POINT C</p> <p>RISK - that the development could have an adverse impact on the local environment, tourism, accommodation and highways.</p> <p>RISK - failure to realise the Economic & Social opportunities which the development could bring</p> <p>KEY EFFECTS -</p> <ul style="list-style-type: none"> • increase in housing demand & lack of affordable housing leading to homelessness increases and the council is unable to discharge its homelessness obligations; • increased congestion (impacting on Growth & Regeneration goals / inward investment) • Local businesses are not able to win contracts to participate in the project • Local people aren't trained and are unable to gain employment on the project 	Goodchild, Andrew;#142	Yes	<p>1. Continuing to work with LEP and Partners with Government via the Hinkley Strategic Delivery Forum.</p> <p>2. Specific SMART targets to deliver initiatives in response to all key areas are being monitored and delivered in response to Risk and Corporate Priority</p>

11	BOTH	Communities	<p>WELFARE REFORMS</p> <p>There is an on-going requirement to reduce benefit payments (CTRS, Business Rates, Universal Credit) - the Welfare Reforms will mean that people in the welfare system will receive less Council Tax support. It will also mean that Universal Credit will be paid directly to tenants rather than the HRA housing landlord.</p> <p>a) RISK - of the Council failing to adequately support our community and services for the impact of the Government's Welfare Reform Agenda.</p> <p>b) RISK - of the Housing Service having substantially reduced collection rates on introduction of Universal Credit</p> <p>KEY EFFECTS-</p> <ul style="list-style-type: none"> • taxes and rents harder to collect • reduced rent collection could affect ambitions of HRA business plan • Impact on MTFP due to government changes which will affect HRA Income & 30 year B.P. • more vulnerable people - individuals & families may be unable to manage • increased pressure and demand on services • Timetable unknown • Result in more evictions which will increase pressure on the Housing Options & Homelessness Teams 	Lewis, Simon;#125;#Fitzgerald, Paul;#127	Yes	<ol style="list-style-type: none"> 1. UC Project Mgr engages with partners to ensure that appropriate support is provided to UC claimants (MA ongoing) 2. UC Project Mgr works with Housing Officers and others to help ensure their are adequate internet access points in TD and WS with appropriate support for residents to apply online (MA ongoing) 3. Online and written guidance has been provided for tenants to help manage Welfare Reform issues 4. Additional Estates Officers working in One Team areas to allow for increase in UC. 5. Inspired To Achieve recruited to support tenants back into work, to reduce UC claimants and help others demonstrate they are seeking work. 6. Bad debt provision increased to reflect risk 7. New Positive People programme rolled out in Somerset will help people back into work and provide more online support through Pluss
13	TDBC	Communities	<p>GYPSIES & TRAVELLERS</p> <p>Local Authorities have a (planning) duty to allocate suitable provision for Gypsies & Travellers. TDBC has had previous experience of illegal Gypsy & Traveller encampments.</p> <p>RISK - that TDBC cannot defend against future illegal encampments if we are unable to identify suitable provision.</p> <p>KEY EFFECTS -</p> <ul style="list-style-type: none"> • unable to respond to community or political pressure; • financial impact (eg high legal fees); • reputational damage • lack of land management and gypsy liaison expertise 	Burton, Timothy;#144	Yes	<ol style="list-style-type: none"> 1. actively progressing the purchase of Otterford Green site (for temporary provision, not a permanent solution) 2. Council needs to potentially purchase sites or work with other providers to develop sites - regular Countywide group meeting (Ongoing AR)

14	BOTH	Corporate Governance	<p>CORPORATE GOVERNANCE ARRANGEMENTS ON RUNNING THE BUSINESS</p> <p>There is a need for robust arrangements, and on-going monitoring and focus on embedding effective corporate governance arrangements (ie budget monitoring, risk management, debt management, performance management, Treasury management, compliance with audit recommendations, asset management, Equalities duties, Business Continuity Planning, Information Governance & Security, Health & Safety management).</p> <p>RISK - of failure to comply with key internal controls & corporate governance arrangements.</p> <p>KEY EFFECTS - include:</p> <ul style="list-style-type: none"> • inaccurate budget forecasting & financial loss • failure to adhere to HRA ringfence • project or service failure or under-performance • reputational damage • Government intervention • Failure to comply with statutory duties & regulations (eg Health & Safety, Equalities, Data Security / Data Protection, Safeguarding) causing harm or injury • lack of resilience to unexpected events / failure of IT systems / data loss •safeguarding 	Fraser, Christine;#1124	Yes	<ol style="list-style-type: none"> 1. Harmonisation of governance frameworks and arrangements across both councils for officers to operate within 2. Communicate and embed in ways of working (eg through learning & development plans) 3. On-going 'policing' 4. Quick wins on aligning governance to be identified 5. Simplifying Governance project within transformation programme (July 16)
15	BOTH	Communities	<p>BUSINESS CONTINUITY</p> <p>RISK - The Council may be unable to deliver critical services in the event of a critical loss of accomodation, data, power, staff or premises.</p> <p>KEY EFFECTS -</p> <ul style="list-style-type: none"> • major disruption to services; • Impact upon customers if critical services (payment of housing costs, homeless service, Deane helpline etc) are disrupted or unavailable. • Reputational damage; 	Hall, Chris;#121	Yes	<p>Business Continuity</p> <ol style="list-style-type: none"> 1. Further business continuity desktop exercise to be undertaken 2. Continued development of SharePoint site 3. Final Service BC plans to be uploaded 4. Completion status of service BC plans to be formally reviewed by JMT on 30th September as part of Performance review day.

16	BOTH	Leadership & People	<p>STAFF ENGAGEMENT & DEVELOPMENT</p> <p>RISK - that due to increased opportunities in the private sector, as the economy improves, and austerity continues within the public sector that the organisation finds it difficult to attract and retain the right skills - leads to use of expensive agency workers or disruption to service provision.</p> <p>The Organisation has also been through a period of significant restructure and needs to ensure its staff are fully engaged in the changes underway and being planned.</p>	Barrah, James;#116	Yes	<ul style="list-style-type: none"> • Work will progress to create a suite of HR policies to enable our ambition of having a modern flexible workforce, capable of delivering services when and where required. (RS Dec 16). • The forthcoming reviews of T&C;s will ensure we continue to support the Health & Wellbeing of employees. (MG Implemented Sept 16) • Develop an OD plan of the ONE Team that supports the immediate needs re capacity & resilience and sets out a wider programme to support transformation. (RS). • Staff engagement plan to be agreed. • ADs to ensure as a minimum that 'basic' staff engagement measures are in place across their services (1-2-1s, team meetings and PREDs) (ADs May 15) Staff Design Panel to be developed to support staff involvement in transformation programme. People Strategy developed (July 16) • Engagement work in JMASS Phase 2 to be developed (BC Sept/Oct 15)
17	BOTH	Communities	<p>COMMUNITY IMPACT OF AUSTERITY</p> <p>RISK - Austerity measures will impact on services to the community.</p> <p>KEY EFFECTS - This may manifest in a number of ways including (but not limited to):</p> <ul style="list-style-type: none"> • direct impact on household income e.g. through cap / reduction in benefits - leading to increased debt and subsequent issues • Lack of income where households are subject to DWP sanctions - leading to crisis and requirement for food banks • Reduced ability to pay council tax, housing rent (Council or private) and utility bills, leading to potential evictions, homelessness and health issues • reduction in level of support that can be delivered by the district councils directly, or through grant-funded providers e.g. reduced ability to support One Team measures through rent changes to HRA - leading to reduced support for deprived communities • Reduced ability to support Under 21s where they are unable to claim HB and need support with potential of increased homelessness and sofa surfing and associated risks (e.g. CSE) • impact of service reductions by other local authorities such as County Council (e.g. P4A and P2I cuts leading to increased homelessness) • Increasing aging population with unmet Health and Social Care needs struggling to live comfortably 	Lewis, Simon;#125	Yes	<ol style="list-style-type: none"> 1. Introduce changes to approach to support Homelessness which reflect the Homelessness Reduction Act. This will provide a far wider support net for a longer period of time. 2. Strengthening Safeguarding responses throughout Council and role of Social Exclusion Panel 3. Support the Taunton Symphony project to better support people with long-term conditions and ensuring Housing is a key partner 4. Working to bring Health Partners and ASC into One Team model 5. Strong participation in projects with partners to improve approach to P4A (now Positive Lives) and P21 to protect vulnerable clients. 6. New pilot with CCG, ASC and Mental Health Services on joined-up multiagency support for those with complex mental health needs living in community (North Taunton pilot) 7. Continued commitment to One Team working and funding now secured to ensure this continues until 31/3/18. Solution to be sought post 2018. 8. Development of Customer Landlord Strategy for HRA service to better define and enhance support to vulnerable tenants.

93	BOTH	Data Protection	<p>DATA PROTECTION</p> <p>Risk - Failure to have adequate Data Protection Policies and procedures in place which are compliant with the new General Data Protection Regulation coming into force in May 2018.</p> <p>Key Effects Higher financial penalties imposed. Reputational damage. A lack of trust from the public regarding how we handle their personal data.</p>	Fraser, Christine;#1124	Yes	<p>The majority of actions on our GDPR Action Plan have been completed. New Data Protection Policy and Procedures in place from May 2018. New Privacy notices created and published on our websites. GDPR training presentations given to members and a mandatory E-Learning module set up for staff to complete. GDPR Guidance site also set up for staff on the Intranet site.</p> <p>There is a currently a separate Information Management project set up which should pick up the outstanding actions around the Information Asset Register, a new Data Management system and revised Retention Schedule.</p>
95	BOTH		<p>Information Technology - Back Up Systems</p> <p>The system for IT backups has not been working properly over recent weeks. We therefore are running a risk that should the worst happen there are some systems where the off-site data backup is a couple of weeks out of date. These are key systems (eg housing!).</p>	Adam, Shirlene;#129	Yes	<p>Latest Update - 7th Feb 2019 Off-site back-ups now up to date following major reset. System still under pressure and new kit ordered to try and resolve. When installed, the back-up should be less "risky". In addition we are progressing new links to WS which will mean our off-site backup is MORE offsite than at present (it's at Flook House)</p>