

# Taunton Deane Borough Council

## Corporate Governance Committee – 22 September 2014

### Risk Management Update

#### Report of the Performance Lead

(This matter is the responsibility of Executive Councillor Vivienne Stock-Williams)

#### 1. Executive Summary

This report provides an update on the corporate risks which are being managed by the Joint Management Team (JMT) as well as an action plan for improving risk management within the Council.

#### 2. Background

##### 2.1 Introduction

2.2 The Council has a duty of care to its stakeholders - residents, employees, Members and partners. This encompasses having high standards of governance including the principles of inspiring leadership, demonstrating integrity, accountability and achieving value for money.

2.3 Taunton Deane Borough Council recognises the importance of effective identification, evaluation and management of all key strategic and operational risks. This is endorsed by the increased focus on the importance of Corporate Governance to public sector bodies. The Council also has a statutory responsibility to have in place arrangements for managing risks, as stated in the Accounts & Audit Regulations 2003:

*“The relevant body shall be responsible for ensuring that the financial management of the body is adequate and effective and that the body has a sound system of internal control which facilitates the effective exercise of that body’s functions and which includes the arrangements for the management of risk.”*

2.4 Risk management is a key element of the Council’s overarching Governance arrangements.

2.5 Risk management covers the whole spectrum of risks and not just those associated with finance, health & safety, business continuity and insurance. It also includes risks associated with: service provision, effectiveness and continuity; public image (reputation); compliance with legislation; and environment.

2.6 Risk management is not about being ‘risk averse’ – it is about being ‘risk aware’. Risk is ever present and some amount of risk taking is inevitable if the Council is to achieve its objectives. Risk Management is about making the most of opportunities and about achieving objectives once those decisions are made. By being ‘risk aware’ the Council is in a better position to avoid threats and take advantage of opportunities.

### 3 Corporate Risk Management Update

3.1 The current risk matrix in relation to the Corporate Risk Register is shown below:

		IMPACT				
		1. Insignificant	2. Minor	3. Significant	4. Major	5. Critical
PROBABILITY	5 Very Likely					
	4 Likely					5
	3 Feasible			17	9, 10, 11, 12,13,15	4,6,8, 14
	2 Slight			16		1,2,3, 7
	1 Unlikely					18

3.2 The Corporate Risk Register is a ‘live’ document which highlights the key corporate risks facing the Council and is formally reviewed by JMT on a quarterly basis as part of the corporate performance review day. The last review took place on 23rd July. The next is planned for October.

3.3 A copy of the refreshed Corporate Risk Register for 2014 is found in **Appendix A**.

#### 3.4 Risk Movement

3.5 There are currently **18** risks which have been identified for inclusion on the Corporate Risk Register. This is an increase of 1 from the last time an update as provided to the Corporate Governance Committee on 10th March 2014.

3.6 This additional risk is the result of the previous single risk, relating to failure to deliver housing and employment land growth, as set out in the Development Plan, being split into two separate risks (one for housing and one for employment land) – see risks 11 and 12 on the register.

- 3.7 Risk 2 (Wider Transformation programme) has moved from Red to Amber following additional control measures being in place.

#### 4 Risk Management Action Plan

- 4.1 The following actions, around improving the risk management process (rather than as mitigating actions in respect of particular risks) have been identified for attention during the remainder of 2014/15:

Ref	Action	Priority (H/M/L)
1	Draft Joint Risk Management Strategy for WSC/TDBC and take through democratic process.	H
2	Articulate Corporate Risk Appetite and include within Strategy.	H
3	Investigate ICT solution for managing risk and risk mitigation actions as part of wider solution for performance management and audit action tracking.	M
4	Reposition risk management into a 'business as usual' activity within service plans, rather than as a stand-alone activity.	M
5	Improve robustness of 'Risk' section of Member reports – ensure all risks are fed into relevant risk register and effectively managed	M
6	Build Risk Management training & awareness into future corporate learning and development planning	M
7	Improve accessibility of internal risk management guidance to officers through re-vamped Intranet presence – once new Intranet launched.	L
8	Support Assistant Directors and Programme Managers to develop their service risk registers – ensuring consistency.	M

#### 5. Finance Comments

- 5.1 None

#### 6. Legal Comments

- 6.1 The Council also has a statutory responsibility to have in place arrangements for managing risks, as stated in the Accounts & Audit Regulations 2003.

#### 7. Links to Corporate Aims

- 7.1 As this report covers the Council-wide approach to managing risk, all Corporate Priorities are affected.

## **8. Environmental and Community Safety Implications**

- 8.1 There are no direct implications although any significant risks identified in these areas would be considered within the Corporate Risk Register.

## **9. Equalities Impact**

- 9.1 Equalities impact has been considered in relation to this report. It has been concluded that since this is an update report only an Equalities Impact Assessment is not required.

## **10. Risk Management**

- 10.1 There is the general risk that if the Council fails to make use of the risk management process it is likely to lead to uncontrolled exposure to many high level strategic and operational risks.

## **11. Partnership Implications**

- 11.1 Partnership risk management is referred to in the Corporate Risk Register.

## **12. Recommendations**

The Committee is recommended to:

- 12.1 Receive the Report and note its contents;  
12.2 Make any recommendations or comments it sees fit.

**Contact:** Paul Harding  
Corporate Strategy and Performance Manager  
01823 356507  
Ext: 2616  
[p.harding@tauntondeane.gov.uk](mailto:p.harding@tauntondeane.gov.uk)



Risk No.	Date raised	Risk group heading	Risk / Issue description	Risk or Issue	TDBC, WSC, or BOTH	Category	Reference to Corporate Business Plan (or other plan)	Risk Owner	Existing Control Measures	Current Assessment		Score	Proximity	Movement ↓↑↔	Risk response option	Risk / Issue Response Action	Target score (post response)		Score
										Probability	Impact						Probability	Impact	
1	Dec-13	Transformation	<b>Joint-management &amp; shared services ('JMASS')</b> TDBC & WSC have entered into a new joint-management & shared services arrangement from 2014 - if the management resource & capacity to run the new structure effectively is insufficient: <b>RISK - failure to deliver the ambitions and financial savings as stated in the 'JMASS' business case.</b> Effects: Member's expectations not met / loss of political support, breakdown in relationships between Leaders & CEO, savings projections / timeline not delivered, existing projects & priorities negatively impacted	Risk	BOTH	Strategic	JMASS business case / TDBC aim 4 / WSC aim 1	Shirlene Adam	- Effective governance arrangements in place - Programme plan in place - Business plan financial updates shared at JPB and JPAG - Robust HR timetable in place and shared with all staff and UNISON. - Transformation Programme Manager in post as part of tier 4/5 restructure. - Dedicated Finance resource in place to monitor savings delivery and to reprofile service budgets to ensure savings are made and appropriately accounted for.	Slight(2)	Critical(5)	10	Feb-15	↔	Accept		Slight(2)	Critical(5)	10
2	Dec-13	Transformation	<b>The wider transformation programme</b> The Corporate Business Plan includes objectives to transform services and 'the way we work' - some projects have already been or are to be initiated (ie Customer Access & Council Accommodation). If a robust and effective approach to Programme and Change management is not implemented, or the existing contractual relationships in place for the supply of ICT services restricts the ability to deliver the new capability requirements - <b>Risk of failure to deliver an effective programme of change to achieve the desired outcomes and benefits for the council(s).</b> Key effects: programme benefits not realised, financial loss, loss of political appetite for change, services do not embrace & adopt new ways of working, decline in staff morale & performance, detrimental impact on the quality of service & project delivery, failure to maximise service efficiency	Risk	BOTH	Strategic	TDBC Aim 4	Richard Sealy	- Working with the ICT service to understand & minimise the costing for transformation ICT work & to identify possible alternative delivery options - Recruitment of full-time Corporate Transformation Programme Manager as part of Tier 4/5 restructure to coordinate transformation projects, has taken place. - Clarity provided by TDBC Members regarding preferred future accommodation option.	Slight(2)	Critical(5)	10	14/15	↓	Reduce	- Learning from other Councils who have already undertaken service transformation. - Work up detailed plan / business case regarding the County Hall accommodation option. - Understand some of the unknowns of service transformation programme - Member appetite for change, external funding, external agendas - develop understanding of the 'Big Picture' of where we are going as a Council.	Slight(2)	Critical(5)	10
3	Dec-13	Transformation	<b>Shared Services across Somerset and wider Public Sector</b> Government policy is pushing wider transformation of public sector. No clear ambition has emerged for Somerset. <b>RISK - wider transformation opportunities may be missed - or - if identified could slow down the pace of the TDBC / WSC transformation programme.</b> Effects: (as per Risk no. 1 above)	Risk	BOTH	Strategic	TDBC Aim 4	Penny James	- Somerset Public Sector CEO meetings - contact with DCLG re central govt expected outcomes - Somerset Task & Finish review - LGA Shared CEO Special Interest Group - Support from LGA to Somerset to facilitate wider discussions	Slight(2)	Critical(5)	10	NOW	↔	Share	Continued leadership engagement with wider public sector partners at political and officer level	Slight(2)	Critical(5)	10
4	Jan-14	Political	<b>National changes to Law/Policy drivers</b> Changes advocated or made maybe missed or not evaluated in a timely manner. <b>The risk is the Councils are non-compliant and/or changes undermine the delivery of key priorities.</b> Key effects: financial impact, failure to achieve the desired outcomes and benefits of the HRA Business Plan for the community and councils	Risk	BOTH	Strategic		Penny James	- JMT professional networks - Political Group networks - Director and AD responsibility to 'scan the policy horizon' and act as key policy advisors - TDBC Hub Reports - E-alerts from LGA/SOLACE/Government Departments	Feasible(3)	Critical(5)	15	NOW	↔	Reduce	JMT to review on quarterly basis the national picture	Slight(2)	Critical(5)	10
5	Jan-14	Financial	<b>Asset Management</b> A new TDBC Corporate Asset Management Strategy has been approved, however there is a need to refresh the strategy for West Somerset Council. There is a need to ensure adequate capacity, resource/funding, and expertise for effective asset management, as well as the appetite to take decisions to maximise opportunities. Poor data management may also lead to poor decisions. <b>RISK - failure to deliver Asset Management strategies and failure to manage existing assets appropriately.</b> Key effects: - financial (asset base that is unaffordable to maintain, inability to maximise income opportunities) - failure to comply with community requests relating to assets - increased risk & liabilities in relation to disrepair & compliance matters - Energy performance - Environmental sustainability - Adaptations and accessibility. - Lack of synergy in the integration of the asset management for the two councils. - Limiting the ability of the asset management function to be proactive and nimble in the provision of solutions.	Risk	BOTH	Strategic	TDBC Aim 4	James Barrah	- TDBC approved Asset Strategy & 2 year funding secured to deliver the new plan - Direct control of former SW1 Estates team to prioritise workload (following decision to bring the service back to TD from SW1) - Recruitment of new Property & Development Assistant Director post	Likely(4)	Critical(5)	20	NOW	↔	Reduce	- Asset strategy & plan to be refreshed for WSC - Implement the approach & key activities (phase 1 & 2) as outlined in the report to TDBC council Dec 2013 - creation of single asset mgt and property service via JMASS process	Slight(2)	Critical(5)	10
6	Dec-13	Financial	<b>Medium Term Financial Planning (MTFP)</b> The key financial risk factors are: continuing budgetary pressures & adverse economic conditions, an environment of major financial risk & uncertainty (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). <b>Risk of failure to agree and deliver a sustainable MTFP for the next 5 years</b> Key effects may include: - 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 - Inability to continue funding partnerships (eg Tone Leisure, SWP) - Unable to maximise investment returns	Risk	BOTH	Strategic	TDBC Aim 4	Shirlene Adam	- on-going raising of profile and awareness of financial challenges with Members - regular reviews, updates (latest forecasts) & reporting of MTFP position - budget-setting / approval process - JMASS programme	Likely(4)	Critical(5)	20	end 2015	↔	Reduce	- fundamental review of WSC finances (including revenues, capital, treasury management) - new Treasury Management contract in place for WSC - Executive/Cabinet discussions on budget position linkage of Asset Management plans, Health & Safety plans with Financial plans (TDBC & WSC)	Feasible(3)	Critical(5)	15
7	Dec-13	Partnerships	<b>Southwest One</b> The Southwest One contract is due to end in 2017 - there is uncertainty regarding future plans for the partnership beyond 2017. If there is no clear plan and timetable to reach a decision on the future of the SW1 partnership - <b>Risk of failure to properly implement a succession plan for Southwest One services</b> Key effects: deterioration of services (pre 2017), financial impact, reputational damage	Risk	TDBC	Strategic		Richard Sealy	- Succession planning process has commenced in conjunction with the other partners - Dedicated specialist officer in post to focus on the succession planning for TDBC	Slight(2)	Critical(5)	10	14/15	↔	Reduce	- Completion of a /Succession Options review & the implementation of any agreed actions.	Slight(2)	Significant(3)	6
8	Dec-13	Leadership & People	<b>Political leadership and decision-making</b> TDBC remains in a 'no overall control' position, therefore the political balance of the council can present difficulties with decision-making. If there is a lack of clear political leadership, then - <b>There is a risk of failure to reach decisions on key strategic issues.</b> Key effects may include: - difficulties with long-term strategic & operational planning; - lack of cross-party buy-in to the corporate strategy	Risk	TDBC	Strategic		Penny James	- Corporate Business Plan approved in 2013 - Leader / Director meetings - Shadow Executive engagement - Joint Portfolio / Shadow PFH briefings - Cross-party steering groups on key issues - Group Leaders meetings	Feasible(3)	Critical(5)	15	NOW	↑	Reduce	- Increase frequency of Group Leaders meetings - Improve engagement between JMT and Shadow Executive and Leader of Opposition	Feasible(3)	Major(4)	12

Risk No.	Date raised	Risk group heading	Risk / Issue description	Risk or Issue	TDBC, WSC, or BOTH	Category	Reference to Corporate Business Plan (or other plan)	Risk Owner	Existing Control Measures	Current Assessment		Score	Proximity	Movement ↓↑↔	Risk response option	Risk / Issue Response Action	Target score (post response)		Score
										Probability	Impact						Probability	Impact	
9	Dec-13	Corporate Aim (TDBC)	<p><b>Growth &amp; Development - Taunton town centre regeneration</b></p> <p>In January 2014, the Executive approved a re-think of the Taunton town centre including a range of proposals for sites throughout the town. This also included a mandate to establish a new programme management arrangement to progress the delivery. There is a high dependence of other partners / agencies to support and deliver the programme.</p> <p><b>Risk of failure to achieve the council's ambitions for the regeneration of Taunton town centre.</b></p> <p>Key effects may include:</p> <ul style="list-style-type: none"> <li>- the 'Firepool' site may fail to attract private sector investment &amp; stagnates</li> <li>- detrimental impact on the local economy</li> <li>- damaged reputation for Taunton, and TDBC</li> <li>- negative effect on inward investment decisions</li> </ul>	Risk	TDBC	Strategic		<b>Brendan Cleere</b>	<ul style="list-style-type: none"> <li>- mandate approved to establish a Programme Management approach in 2014</li> <li>- Taunton Economic Advisory Board</li> <li>- Programme SRO in place (Brendan Cleere)</li> <li>- Programme framework and action plan now in place as the basis for SRO, members and key partners reviewing progress and next steps</li> <li>- Early funding opportunities for growth projects identified</li> <li>- Additional staff support for delivery in place by July 2014, subject to full implementation of tier 4/5 structural proposals</li> </ul>	Feasible(3)	Major(4)	12	5 - 10 years	↔			Feasible(3)	Major(4)	12
10	Dec-13	Corporate Aim (TDBC)	<p><b>Growth &amp; Development - Infrastructure delivery</b></p> <p>A new Growth Prospectus for Taunton was approved in January 2014. There are however significant factors to address such as: inadequate management resource, a lack of funding, prioritisation of funding for any one particular project ('all the eggs in one basket'), and any failure to engage with funding providers. These are causes of the following risk:</p> <p><b>Risk of failure to deliver the key components of the Infrastructure Delivery Plan (IDP) and the approved Growth Prospectus for Taunton.</b></p> <p>Key effects may include:</p> <ul style="list-style-type: none"> <li>- lack of new / improved infrastructure needed to support &amp; deliver the vision outlined in the Growth Prospectus for Taunton</li> <li>- M5 &amp; A358 do not improve (traffic problems worsen);</li> <li>- Unable to attract inward business investment to Taunton Deane</li> <li>- Detrimental impact on the local economy</li> </ul>	Risk	TDBC	Strategic		<b>Tim Burton</b>	<ul style="list-style-type: none"> <li>- implementation of Community Infrastructure Levy (CIL) from April 2014</li> <li>- New Home Bonus funds ringfenced for growth initiatives</li> <li>- Growth prospectus has prioritised the schemes</li> </ul>	Feasible(3)	Major(4)	12	from 2016	↔	Reduce	<ul style="list-style-type: none"> <li>- ensure adequate resources focussing on delivering Growth Prospectus</li> <li>- ensure Taunton schemes are high profile with key funding providers (eg LEP)</li> <li>- prioritisation of CIL receipts</li> </ul>	Slight(2)	Major(4)	8
11	Dec-13	Corporate Aim (TDBC)	<p><b>Growth &amp; Development - Housing delivery</b></p> <p>Factors such as: the uncertain economic climate (national &amp; local) and a lack of market appetite for growth, the extent of our ability to influence other agencies to address key issues, the Planning process, and identification of deliverable sites - are all causes of the following risk:</p> <p><b>Risk of failure to deliver proposals in the Development Plan relating to housing.</b></p> <p>Effects: in addition to those described above in risk no. 10, the council would be open to unplanned development</p>	Risk	BOTH	Strategic		<b>Tim Burton</b>	<ul style="list-style-type: none"> <li>- TDBC Approved Core Strategy &amp; Site Allocations work</li> <li>- Monkton Heathfield - Capacity Funding award</li> <li>- emerging WSC Local Plan</li> </ul>	Feasible(3)	Major(4)	12	from 2015	↔	Reduce	<ul style="list-style-type: none"> <li>- meet the timetable for preparation of Planning Policy documents</li> <li>- working with developers to bring forward Monkton Heathfield, other Urban Extensions, and other development sites across the 2 districts</li> <li>- dependency / links with Infrastructure risk &amp; actions (risk 10)</li> </ul>	Slight(2)	Major(4)	8
12	Dec-13	Corporate Aim (TDBC)	<p><b>Growth &amp; Development - Employment land delivery</b></p> <p>Factors such as: the uncertain economic climate (national &amp; local) and a lack of market appetite for growth, the extent of our ability to influence other agencies to address key issues, the Planning process, and identification of deliverable sites - are all causes of the following risk:</p> <p><b>Risk of failure to deliver proposals in the Development Plan relating to employment land.</b></p> <p>Effects: in addition to those described above in risk no. 10, the council would be open to unplanned development</p>	Risk	BOTH	Strategic		<b>Tim Burton</b>	<ul style="list-style-type: none"> <li>- TDBC Approved Core Strategy &amp; Site Allocations work</li> <li>- Monkton Heathfield - Capacity Funding award</li> <li>- emerging WSC Local Plan</li> </ul>	Feasible(3)	Major(4)	12	from 2015	↔	Reduce	<ul style="list-style-type: none"> <li>- meet the timetable for preparation of Planning Policy documents</li> <li>- working with developers to bring forward Monkton Heathfield, other Urban Extensions, and other development sites across the 2 districts</li> <li>- dependency / links with Infrastructure risk &amp; actions (risk 10)</li> </ul>	Slight(2)	Major(4)	8
13	Dec-13	Corporate Aim (WSC)	<p><b>Hinkley Point</b></p> <p>The development of a the new Hinkley C power station (a 10 year construction period) may cause a variety of threats and opportunities to the achievement of our strategic objectives.</p> <p><b>There is a risk that the development will have an adverse impact on local accommodation, skills &amp; employment and highways, and/or Economic &amp; Social opportunities may not be realised (eg benefits to local businesses &amp; the local economy of permanent inward migration, receipt of significant Community Fund grant monies).</b></p> <p>Key effects may include:</p> <ul style="list-style-type: none"> <li>- homelessness increases and the council is unable to discharge its homelessness obligations;</li> <li>- increase in housing demand &amp; lack of affordable housing;</li> <li>- increased congestion (impacting on Growth &amp; Regeneration goals / inward investment)</li> <li>- Local businesses are not able to win contracts to participate in the project</li> <li>- Local people aren't trained and are unable to gain employment on the project</li> </ul>	Risk	BOTH	Strategic		<b>Brendan Cleere / Andrew Goodchild (new Nuclear Programme Manager)</b>	<ul style="list-style-type: none"> <li>- Section 106 agreements with staff resources and contributions in place to mitigate effects</li> <li>- Very good working relationship with EDF Energy</li> <li>- Good understanding of local issues</li> <li>- Good working relationship with local businesses and West Somerset College</li> <li>- Programme Manager is in post and objectives and key tasks set out in WSC corporate and Services plans for 2014/15</li> <li>- Robust programme management in place</li> <li>- Remobilisation Action Plan in place, currently no Red status item with April 2014's Actions complete</li> </ul>	Feasible(3)	Major(4)	12	from 2014	↔	Reduce	<ul style="list-style-type: none"> <li>- Developing relationship with LEP to attract additional funding via Hinkley Deal for 14/15 including potential for match funding</li> </ul>	Slight(2)	Major(4)	8
14	Dec-13	Communities	<p><b>Welfare Reforms</b></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><b>a) Risk of the Council failing to adequately support our community and services for the impact of the Government's Welfare Reform Agenda.</b></p> <p><b>b) Risk of the Housing Service having substantially reduced collection rates on introduction of Universal Credit</b></p> <p>Key effects include:</p> <ul style="list-style-type: none"> <li>- taxes and rents harder to collect</li> <li>- reduced rent collection could affect ambitions of HRA business plan</li> <li>- more vulnerable people - individuals &amp; families may be unable to manage</li> <li>- increased pressure and demand on services</li> </ul>	Risk	BOTH	Strategic		<b>Paul Fitzgerald / Simon Lewis</b>	<ul style="list-style-type: none"> <li>- Structure for Housing &amp; Community Development includes greater resource on money management and benefit advise.</li> <li>- Project team in place to identify best means of mitigating impact of UC on rent income</li> <li>- Preparatory discussions taken place between the two lead Assistant Directors</li> </ul>	Feasible(3)	Critical(5)	15	Universal Credit Jan 2015?	↔	Reduce	<ul style="list-style-type: none"> <li>- Re-launch project</li> <li>- develop a risk response action plan</li> </ul>	Feasible(3)	Major(4)	12

Risk No.	Date raised	Risk group heading	Risk / Issue description	Risk or Issue	TDBC, WSC, or BOTH	Category	Reference to Corporate Business Plan (or other plan)	Risk Owner	Existing Control Measures	Current Assessment		Score	Proximity	Movement ↓↑↔	Risk response option	Risk / Issue Response Action	Target score (post response)		Score
										Probability	Impact						Probability	Impact	
15	Dec-13	Communities	<p><b>Addressing deprivation</b></p> <p>Deprivation is worsening and deepening in North Taunton and Taunton East, with other key community issues being rural isolation and an ageing population, and in West Somerset, the key issues are rural deprivation, fuel poverty &amp; 'access to services'.</p> <p>Initiatives such as Taunton Deane Partnership's 'Priority Areas Strategy' (PAS) programme and the Health &amp; Wellbeing Strategy are being developed &amp; delivered to address the issue, however, if the work is not supported, or not adequately resourced: <b>There is a risk that the programmes &amp; activities may be unsuccessful and we fail to reduce levels of deprivation in our most deprived communities.</b></p> <p>Key effects may include:</p> <ul style="list-style-type: none"> <li>- areas of deprivation remain or worsen;</li> <li>- other areas slip into deprivation;</li> <li>- community expectations are not managed or delivered</li> <li>- further burden on TDBC resources (eg increase in 'Troubled Families' interventions, Housing demand etc)</li> <li>- lost opportunities for additional funding, reduced service costs, reduced work duplication, improved experience for the customer</li> <li>- negative impacts on individuals, families &amp; communities, plus the financial cost to public sector agencies increases</li> </ul>	Risk	BOTH	Strategic		Simon Lewis	<ul style="list-style-type: none"> <li>- Housing &amp; Community Development structure proposal to place greater emphasis on priority areas</li> <li>- PAS actively monitored and reviewed by TDP</li> <li>- Family Focus project supporting complex troubled families</li> <li>- TDBC engaging in 'early help' discussions and work with SCC to bring additional resources and focus into areas</li> <li>- Halcon One Team being supported in halcon and delivering tangible improvements and projects (eg Link Power)</li> <li>- Community Development projects</li> <li>- Voluntary &amp; Community Sector grants allocated to provide support (eg CAB debt advice)</li> <li>- Somerset West Private Sector Housing Partnership continues to work on fuel poverty issues</li> <li>- communities in West Somerset supported to access grants and support</li> </ul>	Feasible(3)	Major(4)	12	NOW	↔	Reduce	<ul style="list-style-type: none"> <li>- A greater focus on collaborative partnership working in other parts of TD</li> <li>- Implement Programme of activities resulting from the H &amp; W audit to address deprivation</li> </ul>	Slight(2)	Major(4)	8
16	Dec-13	Communities	<p><b>Gypsies &amp; Travellers</b></p> <p>Local Authorities have a (planning) duty to allocate suitable provision for Gypsies &amp; Travellers. TDBC has had previous experience of illegal Gypsy &amp; Traveller encampments. <b>There is a risk that TDBC is unable to identify suitable provision if required and cannot defend against future illegal encampments.</b></p> <p>Key effects may include:</p> <ul style="list-style-type: none"> <li>- unable to respond to community or political pressure;</li> <li>- financial impact (eg high legal fees);</li> <li>- reputational damage</li> </ul>	Risk	BOTH	Strategic		Tim Burton + Kene Ibezi	<ul style="list-style-type: none"> <li>- purchase of Otterford Green site (for temporary provision)</li> <li>- Gypsy &amp; Traveller Accommodation Assessment</li> <li>- contacted potential site owners</li> </ul>	Slight(2)	Significant(3)	6	on-going	↔	Reduce	<ul style="list-style-type: none"> <li>- allocate sites</li> <li>- council needs to potentially purchase sites or work with other providers to develop sites</li> </ul>	Very Unlikely(1)	Significant(3)	3
17	Dec-13	Corporate Governance	<p><b>Corporate Governance arrangements on running the business</b></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 &amp; Security, Health &amp; Safety management).</p> <p><b>Risk of failure to comply with key internal controls &amp; corporate governance arrangements.</b></p> <p>Key effects include:</p> <ul style="list-style-type: none"> <li>- inaccurate budget forecasting &amp; financial loss</li> <li>- failure to adhere to HRA ringfence</li> <li>- project or service failure or under-performance</li> <li>- reputational damage</li> <li>- Government intervention</li> <li>- Failure to comply with statutory duties &amp; regulations (eg Health &amp; Safety, Equalities, Data Security / Data Protection) causing harm or injury</li> <li>- lack of resilience to unexpected events / failure of IT systems / data loss</li> </ul>	Risk	BOTH	Strategic		Shirlene Adam	<ul style="list-style-type: none"> <li>- Audit programme</li> <li>- Corporate Governance Action Plan / monitoring of progress &amp; status of audit recommendations</li> <li>- Quarterly JMT review on Corporate Performance &amp; Finances, Risk Management and other key management issues</li> <li>- Corporate Equalities Action Plan</li> <li>- New H &amp; S strategy, KPIs &amp; operational plan for 2014</li> <li>- Member reports on all of the above to relevant committees</li> <li>- redefined roles and responsibilities re Joint Management structure from Jan 2014</li> </ul>	Feasible(3)	Significant(3)	9	on-going	↔	Reduce	<ul style="list-style-type: none"> <li>- harmonisation of governance frameworks and arrangements across both councils for officers to operate within</li> <li>- communicate and embed in ways of working (eg through learning &amp; development plans)</li> <li>- JMT to conduct regular reviews (eg Financial Regs, Health &amp; Safety performance etc)</li> <li>- on-going 'policing'</li> <li>- CEO providing clarity on 'non negotiables' and risk appetite &amp; tolerance levels</li> </ul>	Slight(2)	Significant(3)	6
18	Dec-13	Communities	<p><b>Civil Contingency arrangements</b></p> <p>There is a need for adequate planning and effective Civil Contingency arrangements to be in place and tested. The new joint management &amp; shared services arrangements between TDBC &amp; WSC have also extended the geography &amp; facilities and widened the scope of our responsibilities. <b>There is a risk that the council may be unprepared for and unable to provide an adequate response to a major emergency incident.</b></p> <p>Key effects may include:</p> <ul style="list-style-type: none"> <li>- loss of life;</li> <li>- major disruption to services;</li> <li>- unplanned costs;</li> <li>- Reputational damage;</li> </ul>	Risk	BOTH	Strategic		Chris Hall	<ul style="list-style-type: none"> <li>- County-wide Civil Contingencies Plan</li> <li>- JMT rota and out-of-hours arrangements in place (also in JMT job descriptions)</li> <li>- 24 hours DLO operation</li> <li>- both councils have service level out-of-hours arrangements</li> <li>- experience in Civil Contingencies incidents and operation of Rest Centres</li> </ul>	Very Unlikely(1)	Critical(5)	5	on-going	↔	Accept	<ul style="list-style-type: none"> <li>- amalgamation of service level arrangements as part of JMASS project during 2014/15</li> </ul>	Very Unlikely(1)	Critical(5)	5



PROBABILITY		IMPACT		
		1. Insignificant	2. Minor	3. Significant
5 Very Likely				
4 Likely				
3 Feasible				17
2 Slight				16
1 Unlikely				

4. Major	5. Critical
	5
9, 10, 11, 12,13,15	4,6,8, 14
	1,2,3, 7
	18