



Current Status Thursday, 8th November 2018









Inherent All Risk Heat Map











Impact	Catastrophic	1	1	2	3	1	Critical (Score 21 - 25)	25	1
	Major	10	20	48	25	2		24	3
	Moderate	4	16	50	16	4		23	2
	Minor	0	9	10	2	1		22	1
	Insignificant	1	1	0	0	0		21	2
		Remote	Unlikely	Possible	Probable	Highly Probable		20	25
						High (Score 16 - 20)	19	48	
						18	20		
						17	1		
						16	4		
						Medium (Score 11 - 15)	15	16	
						14	50		
						13	16		
						12	10		
						11	1		
						10	2		
						Low Score (6 - 10)	9	10	
						8	9		
						7	0		
						6	4		
						Very Low (Score 1 - 5)	5	0	
						4	0		
						3	1		
						2	0		
						1	1		

Residual All Risk Heat Map

Impact	Catastrophic	0	0	1	0	0	Critical (Score 21 - 25)	25	0
	Major	12	17	8	1	0		24	0
	Moderate	17	45	47	5	0		23	1
	Minor	9	30	20	1	0		22	0
	Insignificant	3	1	1	0	0		21	0
		Remote	Unlikely	Possible	Probable	Highly Probable		20	1
						High (Score 16 - 20)	19	8	
						18	17		
						17	0		
						16	0		
						Medium (Score 11 - 15)	15	5	
						14	47		
						13	45		
						12	12		
						11	0		
						10	1		
						Low Score (6 - 10)	9	20	
						8	30		
						7	0		
						6	17		
						Very Low (Score 1 - 5)	5	0	
						4	1		
						3	1		
						2	9		
						1	3		

Risk	Description	Service	Inherent Scoring		Controls Managing this Risk	Residual Scoring	
R 384 - Management of disused landfill site - Birchfield Park, Yeovil	<p>Birchfield park is a former landfill site where the following risks could occur without necessary precautions:</p> <p>a) Gas migration off site (Control C384.05). b) Gas Extraction plant failure (Control C384.02) c) Fenced and 'secure' site (Control C384.03) d) Pollution from leachate (Control C384.04)</p> <p>The following controls should prevent these major issues from occurring</p>	Engineering & Property Services	Critical		C 384.01 - Birchfield Park Contingency Plan reviewed & Management Strategy produced, C 384.02 - Gas Extraction System Maintenance, C 384.03 - Fenced and 'secure' site, C 384.04 - Leachate Control, C 384.05 - Gas & Leachate Monitoring, C 384.06 - Installation of new barrier behind properties in Romsey Road proposed, C 384.07 - Audit Review - Management of Birchfield Park Disused Landfill Site - December 2014	Critical	

Risk	Description	Service	Inherent Scoring		Controls Managing this Risk	Residual Scoring	
R 14 - Risk Management not adopted or slips from use	Risk Management must be seen as an aide to saving time and resources before managers will invest time and effort in applying and using risk management tools.	Corporate Services (Directorate)	High		C 014.1 - Risk Awareness training	High	
R 27 - Air Handling System - Brympton Way	Ventilation, heating and cooling at the Brympton Way Offices is supplied by mechanical air handling systems covering the main building, ground floor extension and Council Chamber. This relies on windows remaining closed to operate at full potential. The system was installed when the building was constructed in the late 1980's and is therefore now over 30 years old. Due to the orientation of the building and the layout changes carried out over the years the risk is that the system suffers a major breakdown or is unable to cope with demand for adequate ventilation, heating in winter and cooling in summer. The cost of providing a replacement/retrofit system is estimated to be up to £1.5million, representing a major expenditure with potential reputational damage at a time of budget constraints.	Engineering & Property Services	High		C R27.1 - Maintenance, C R27.2 - Experience, C R27.3 - Control System, C R27.4 - Knowledge, C R27.5 - Alternative Systems	High	
R 64 - Waste Contract Renewal	In order to deliver 'Recycle More' in the most efficient way, it may be prudent to bring forward contract renewal from 2021 to 2019. If the current contract is below market rates the new contract, when tendered, may be more expensive, and may incur additional pension costs.	Waste (SWP)	High		C 64.1 - Waste Contract Renewal, C 64.2 - Counsel Opinion, C 64.4 - Waste contract renewal, C C 64.3 - Assess Potential Service Providers	High	
R 220 - Inability to contact a Building Control Officer out of office hours for emergency call out	Internal Audit reviewed this risk as part of their inspection of Building Control Oct 2010 - see audit doc for recommendations.	Building Control	High		C 220.1 - Out of hours for emergency call	High	

R 298 - Financial security regulations for payments not met	PCIDSS (Payment card industry data security standard) controls for credit and debit card payments came into force in 2007. There is a risk that all other service areas that take credit and debit card payments could fall foul of the regulations. Finance, IT and audit team aware of issues. In particular recorded telephone calls will contain details of customers credit and debit card numbers and we need to be assured that Northgate do not store credit/debit card data in the 'back' of Front Office that could be accessed by hacker.	Finance	Critical		C 298.01 - Audit made aware of problem, C 298.02 - Northgate Account Manager asked to provide written assurance, C 298.03 - Annual signing off of compliance with PCIDSS Code by Manager, C 298.04 - Seek external verification of compliance with PCIDSS, C 298.05 - Card Payment Security Policy	High	
R 342 - Local Enterprise Partnership - Purpose and outcomes not achieved	Purpose: To promote economic development in the LEP area (Devon and Somerset)	Economic Development	High		C 342.01 - Partnership working through structure of LEP with rep from Somerset Councils, C 342.02 - Local Enterprise Partnership	High	
R 377 - Strategic - Homes England funding is not adequately managed	Failure to manage Homes England funding could lead to reduction in future and loss of opportunity	Strategic Housing	High		C 377.01 - Funding managed and monitored	High	
R 434 - Environmental factors affect the access to and from the depot and the ability for it to function	Environmental factors affect the access to and from the depot and the ability for it to function	Streetscene	High		C 434.01 - Agreement with Highways to grit access road in icy conditions, C 434.02 - Drainage system in place, C 434.03 - Good welfare facilities on site	High	
R 237 - Council not sufficiently prepared for major business continuity issues	The Council has a number of competing priorities for a limited resource in the Emergency Planning, Business Continuity and Health and Safety Service. BC issues include Pandemic Flu, Loss of Fuel, Loss of Offices, ICT failure as covered by a number of BC Plans and arrangements.	Civil Contingencies	Critical		C 237.01 - Completion of Business continuity plans and issue of specific guidance on Pandemic Flu	High	

TEN Risk Monitoring Dashboard

The totals below are based on open risks in the system.

Total Number of Risks:

Total
188

Total Number of Controls:

Total
423

Total number of Actions:

Total
216

Total Number of Corporate/Service Risks:

Strategic/ Corporate/ Service Risk	Total
Corporate	62
Service	258
Strategic	4

Spread of Risk Appetite:

Appetite	Total
Critical	1
High	26
Low	68
Medium	109
Very Low	14

Total Number of Risks due for Review:

Total
67

Total Number of Risks Due for Review per Service:

Service	Total
Transformation Programme	2
Corporate Services (Directorate)	1
Fraud & Data	1
Procurement & Risk	1
Revenues & Benefits	1
Finance	16
Communications	2
Operations & Customer Focus (Directorate)	3
Health and Wellbeing (AD)	1
Community Health & Leisure	1
Countryside	5
Engineering & Property Services	1
Building Control	4
Customer Focus	1
Development Control	8
Communities (AD)	2

Total Number of Risks by Service:

Service	Total
Transformation Programme	16
Corporate Services (Directorate)	2
Legal & Corporate Services (AD)	9
Democratic Services	1
Fraud & Data	1
Procurement & Risk	9
Revenues & Benefits	8
Finance	20
Communications	2
Operations & Customer Focus (Directorate)	4
Waste (SWP)	5
Health and Wellbeing (AD)	11
Housing & Welfare	2
Community Health & Leisure	2
Countryside	10
Streetscene	20
Licensing	2
Environmental Health	14
Engineering & Property Services	11
Civil Contingencies	7
Building Control	9
Customer Focus	1
Economy (AD)	1
Strategic Housing	2
Development Control	8
Economic Development	8
Spatial Policy	1
Communities (AD)	7
Area Development (North)	4
Area Development (South)	7
Area Development (West)	1
Third Sector & Partnerships	1