

Appendix A

Risk Report - Somerset County Council

| Risk Ref | Risk | Uncontrolled Risk | Action Required (In progress Only) | Control Owner Review Date Target Date | Current Risk Score | Controlled Risk Assessment for Financial Year | Comments |
|---|--|---|--|--|---|---|---|
| ORG0043 Risk Owner: Kevin Nacey Next Risk Review Date: 12/02/2018 | <p>Risk Description: Strategic Risk 2016: Maintain a sustainable budget: Reserves will not be sufficient to manage any in-year overspends for the forthcoming financial year 2017/18</p> <p>Cause: Unforeseen expenditure and overspends exceed the planned provision</p> <p>Consequence: The budget contingency is exhausted and general reserves are approaching minimum recommended levels (£15 m). Where planned expenditure is anticipated to exceed available resources then a S114 and actions report must be produced by The Section 151 officer.</p> | <p>Likelihood :5 Impact :5</p> <p style="text-align: center;">25</p> <p>Escalate to SRMG</p> | <ul style="list-style-type: none"> ◦ Serious challenge to MTFP savings proposals for the 2017/18 year to ensure they are achievable Reviewed 07/12/2017 by P Flaherty: Ongoing budgetary challenges both in year and for next. <i>In Progress</i> (75% complete) ◦ Heightened budget monitoring on those services showing budget overspend Part of the 10 point plan, in progress <i>In Progress</i> (90% complete) ◦ Cabinet receive monthly budget monitoring updates Part of the 10 point plan, in progress <i>In Progress</i> (40% complete) ◦ Review of the earmarked reserves to establish if any of those could be rescinded and returned to general reserves Part of the 10 point plan, in progress <i>In Progress</i> (50% complete) ◦ Development & approval of MTFP 2017/2018 - ensure necessary resources are in place to meet key priorities Part of the 10 point plan, in progress <i>In Progress</i> (95% complete) ◦ Better establishment control in SAP Part of the 10 point plan, in progress <i>In Progress</i> (80% complete) ◦ Control on Agency Spend Part of the 10 point plan, in progress <i>In Progress</i> (10% complete) | <p>Patrick Flaherty 15/01/2018 30/03/2018</p> <p>Kevin Nacey 12/02/2018 30/03/2018</p> <p>Kevin Nacey 12/02/2018 30/03/2018</p> <p>Kevin Nacey 12/02/2018 30/03/2018</p> <p>Kevin Nacey 12/02/2018 30/03/2018</p> <p>Kevin Nacey 12/02/2018 30/03/2018</p> <p>Kevin Nacey 12/02/2018 30/03/2018</p> | <p>Likelihood :5 Impact :5</p> <p style="text-align: center;">25</p> <p>Escalate to SRMG</p> | <p>Likelihood :4 Impact :5</p> <p style="text-align: center;">20</p> <p>Escalate to SRMG</p> | <p>10/01/2018 Reviewed 09/01/2018: Risk score increased following the month 6 budget monitoring report which went to Cabinet on 15th November 2017.</p> <p>SCC to continue to manage increasing demand and devise better ways of managing increases whilst still delivering statutory services. The availability and use of reserves is critical to managing spikes in demand.</p> <p>The increased projected spend within Children's Services and non-delivery of MTFP savings during 2017/18 remain areas of concern.</p> |

| | Risk Ref | Risk | Uncontrolled Risk | Action Required (In progress Only) | Control Owner Review Date Target Date | Current Risk Score | Controlled Risk Assessment for Financial Year | Comments |
|--|----------|------|-------------------|---|---|--------------------|---|----------|
| | | | | <ul style="list-style-type: none"> ◦ focussing on contract spend in all areas but specifically in Children's services Part of the 10 point plan, in progress In Progress (10% complete) | Kevin Nacey 12/02/2018 30/03/2018 | | | |
| | | | | | | | | |

| | Risk Ref | Risk | Uncontrolled Risk | Action Required (In progress Only) | Control Owner Review Date Target Date | Current Risk Score | Controlled Risk Assessment for Financial Year | Comments |
|--|--|--|---|--|--|---|---|---|
| | <p>ORG0009</p> <p>Risk Owner: Julian Wooster</p> <p>Next Risk Review Date: 08/01/2018</p> | <p>Risk Description: Strategic Risk 2016: Safeguarding Children: We fail to deliver our statutory service delivery duties and legal obligations in relation to vulnerable children.</p> <p>Cause: Systemic leadership and management challenges</p> <p>Consequence: Possible abuse, injury or loss of life to a vulnerable child caused by service failure. Reduced public confidence; emergency measures; increased inspection; personal litigation claims; negative publicity for both the Council and partners; possible financial penalty or service is removed from Council control.</p> | <p>Likelihood :5 Impact :5</p> <p style="text-align: center;">25</p> <p>Escalate to SRMG</p> | <p>o CYPP 7 Improvement Programmes Review: The Children's Trust Executive are pleased with the progress against the 7 Improvement Programmes, but recognise there is still much work to be done. Action plans for 2017/18 have been drawn up with a focus on a stepped improvement over this second year to ensure year 3 achieves the outcomes of the CYPP in 2019 <i>In Progress (35% complete)</i></p> | <p>Adrienne Parry 31/01/2018 31/03/2018</p> | <p>Likelihood :4 Impact :5</p> <p style="text-align: center;">20</p> <p>Escalate to SRMG</p> | <p>Likelihood :4 Impact :5</p> <p style="text-align: center;">20</p> <p>Escalate to SRMG</p> | <p>29/11/2017 Review statement taken from the Corporate Performance Report - End September 2017.</p> <p>Safer Children and Better Care - (red but improving) •The Children's Trust Executive are pleased with the progress against the 7 Improvement Programmes, but recognise there is still much to do. Action Plans for 2017/18 are in place and Q2 performance against the CYPP was considered by the Policies, Children and Families Scrutiny Committee on 17th November 2017. Ofsted quarterly monitoring visits have concluded adequate progress is being made and DfE intervention has confirmed a " significant improvement " in Somerset's Children's Services, including more manageable case-loads, a more stable workforce and better partnership working as reported by the Minister in 2016. Despite this, until the re-inspection concludes, services are judged inadequate and there is a corporate risk for Safeguarding Children that has a very high risk rating. Change is evident but universal improvement remains a challenge.</p> <p>Ofsted Inspection commenced</p> |

| | Risk Ref | Risk | Uncontrolled Risk | Action Required (In progress Only) | Control Owner Review Date Target Date | Current Risk Score | Controlled Risk Assessment for Financial Year | Comments |
|--|----------------|--|---|--|--|---|--|---|
| | | | | | | | | on 6th November 2017 for four weeks. |
| | ORG0036 | <p>Risk Description: Strategic Risk 2016: Partnership working: We fail to increase our partnership working with a variety of organisations and agencies to deliver cost effective services and increase the investment in our County</p> <p>Cause: the Council does not look for, or instigate new opportunities for future growth and increased efficiency in service delivery</p> <p>Consequence: Costs of service delivery increase, we become less successful in delivering services and fail to secure new investment.</p> | <p>Likelihood :4 Impact :5</p> <p style="text-align: center;">20</p> <p>Escalate to SRMG</p> | <ul style="list-style-type: none"> ◦ Develop preferred model for integrated working with the NHS Reviewed 07/12/2017: No change to score – strategic commissioning redesign project has now started between SCC and the CCG <i>In Progress (95% complete)</i> ◦ Devolution Proposal for Somerset & potential partners - Statement of Intent to Central Government 4 Sept 2015 Reviewed 07/12/2017: No change to achievement – commentary that “proposed joint committee currently being approved by all councils and target start date in early 2018. Discussions with civil servants due to start in early 2018”. <i>In Progress (90% complete)</i> ◦ Linked to /001: SCC is working closely with CCS, and three Somerset NHS Trusts to develop our STP. Reviewed 07/12/2017: no change <i>In Progress (50% complete)</i> | <p>Patrick Flaherty 15/01/2018 30/03/2018</p> <p>Patrick Flaherty 15/01/2018 30/03/2018</p> <p>Patrick Flaherty 15/01/2018 30/03/2018</p> | <p>Likelihood :4 Impact :5</p> <p style="text-align: center;">20</p> <p>Escalate to SRMG</p> | <p>Likelihood :3 Impact :5</p> <p style="text-align: center;">15</p> <p>Monthly</p> | <p>07/12/2017 Reviewed</p> <p>07/12/2017: Actions progressing no change to current score at this time</p> |

| | Risk Ref | Risk | Uncontrolled Risk | Action Required (In progress Only) | Control Owner Review Date Target Date | Current Risk Score | Controlled Risk Assessment for Financial Year | Comments |
|--|----------------|---|---|--|--|---|--|---|
| | ORG0032 | <p>Risk Description: Strategic Risk 2017: Information Governance: An event occurs that results in a statutory breach of data protection legislation. This could be an ICT security vulnerability that compromises the PSN network, a significant disclosure of sensitive personal data or another procedural breach of the EU GDPR.</p> <p>Cause: An intentional exploitation of a security vulnerability in the SCC network by hostile agents such as hackers or malware. Non-compliance with the articles and recitals in the EU GDPR in 2018. A significant unintentional data breach of sensitive personal or business data in email, post, fax by an employee, contractor, service provider or an SCC Councillor.</p> <p>Consequence: The Council is exposed to fraud, loss of reputation, legal action by clients or employees and / or the possibility of fines from the Information Commissioner's Office (currently estimated at £100k - £200k but potentially much higher in 2018). Members of the Public are exposed to harm or distress due to the significant unauthorised disclosure of personal data.</p> | <p>Likelihood :5 Impact :4</p> <p style="text-align: center;">20</p> <p>Escalate to SRMG</p> | <ul style="list-style-type: none"> ◦ Publication of EUGDPR Privacy Notice The EU-GDPR requires the publication of a comprehensive Privacy Notice detailing the services provided, the personal data processed, the sharing agreements, the retention periods and access arrangements for data subjects <i>In Progress</i> (35% complete) ◦ Induction and Refresher training for Information Security and Data Protection The EU-GDPR requires that all employees are fully aware of their responsibilities for processing personal data. SCC will endeavour to ensure all new employees are trained in Information Security and Data Protection within 3 months of commencing employment. <i>In Progress</i> (10% complete) ◦ Publication and distribution of EU-GDPR policies to all employees The EU-GDPR requires that all employees are made aware of SCC policy for processing personal data. SCC will endeavour to ensure all employees have received mandatory Information Security and Data Protection, by Metacompliance, prior to the adoption of the EUGDPR in may 2018. <i>In Progress</i> (30% complete) ◦ Information Sharing Agreements and Contracts Somerset County Council will review and implement all current Information Sharing Agreements and contracts in compliance with the EU-GDPR <i>In Progress</i> (30% complete) | <p>Peter Grogan 13/01/2018 01/05/2018</p> <p>Peter Grogan 13/01/2018 01/05/2018</p> <p>Peter Grogan 12/01/2018 01/05/2018</p> | <p>Likelihood :4 Impact :4</p> <p style="text-align: center;">16</p> <p>Escalate to SRMG</p> | <p>Likelihood :3 Impact :4</p> <p style="text-align: center;">12</p> <p>Quarterly</p> | <p>03/08/2017 Given compliance requirements and need to protect confidential and sensitive data it is imperative that this risk is actively managed and that all members of staff are aware of their obligations.</p> |

| | Risk Ref | Risk | Uncontrolled Risk | Action Required (In progress Only) | Control Owner Review Date Target Date | Current Risk Score | Controlled Risk Assessment for Financial Year | Comments |
|--|----------|--|---|---|---|---|---|---|
| | | | | <ul style="list-style-type: none"> Information Asset register Creation of a comprehensive Information Asset Register to enable SCC to identify where personal data is held, who is responsible for it and any risks associated with processing <i>In Progress</i> (60% complete) Effective management of Data Subjects rights SCC must ensure that all data subjects rights are respected with regard to lawful and fair processing and specifically access to records and DSAR processing <i>In Progress</i> (35% complete) | <p>Peter Grogan 13/01/2018 01/05/2018</p> <p>Peter Grogan 13/01/2018 01/05/2018</p> | | | |
| | ORG0011 | <p>Risk Description: Strategic Risk 2016: Health & Safety: Death or injury to a member(s) of the public or a member(s) of staff, volunteers, visiting contractors or service users</p> <p>Cause: Failure to manage our activities, assets, premises and contracts in compliance with our statutory duties and organisational policies in respect of Health & Safety, either directly, or indirectly through our strategic partners</p> <p>Consequence: 1. Death or serious harm ("dangerous occurrence" (defined by legislation)) to a service user, pupil, member of the public or a member of staff; 2. Criminal prosecution and enforcement action under H&S / Fire / Corporate Manslaughter legislation. 3. Civil Claims and/or personal litigation claims for negligence</p> | <p>Likelihood :5 Impact :5</p> <p style="background-color: red; color: white; text-align: center; padding: 2px;">25</p> <p>Escalate to SRMG</p> | <ul style="list-style-type: none"> Introduce arrangements on the Learning Centre for key policies/ arrangements and training to be completed Update 11/12/17 - All functionality tested and in place. Central Health and Safety Unit have requested that the next module (Fire Safety) not be certificated until January 2018. <i>In Progress</i> (70% complete) Deliver against action plan agreed following SWAP audit of Premises Management 10/04/2017: At present ATRIUM is unable to provide any evidence of Premise Managers Activity/Monitoring Function. However through expanding the use of RAMIS this is now in place and will be monitored through the rest of 2017 reports raised at HSPSG Meetings in April, July and October to confirm processes are functioning. By GLH <i>In Progress</i> (75% complete) | <p>Clive Mallon 11/01/2018 01/04/2018</p> <p>Claire Lovett 31/12/2017</p> | <p>Likelihood :3 Impact :5</p> <p style="background-color: orange; color: white; text-align: center; padding: 2px;">15</p> <p>Monthly</p> | <p>Likelihood :3 Impact :5</p> <p style="background-color: orange; color: white; text-align: center; padding: 2px;">15</p> <p>Monthly</p> | <p>03/08/2017 Renewed focus by the organisation is necessary in the light of recent events (Grenfell). Actions are in place to provide assurance on fire safety in both our corporate and schools estate.</p> |

| | Risk Ref | Risk | Uncontrolled Risk | Action Required (In progress Only) | Control Owner Review Date Target Date | Current Risk Score | Controlled Risk Assessment for Financial Year | Comments |
|--|----------|---|-------------------|--|--|--------------------|---|----------|
| | | <p>4. Adverse publicity and damage to reputation for the Council 5. Increased audit inspection 6. Increased costs and financial penalties</p> | | <ul style="list-style-type: none"> ◦ Ensure visibility of appropriate health and safety-related contract management activity in relation to key contracts 10/04/2017: This has now been published and the HSPSG will be informed at the April 2017 Meeting. By GLH <i>In Progress (20% complete)</i> ◦ Publish and implement Corporate H&S Training Policy 10/04/2017: This has now been published and the HSPSG will be informed at the April 2017 Meeting. By GLH 5 July 2017: Policy published all informed. Essential Training to be completed within 3 years. By GLH 18 September 2017: This policy has now been published and enrolment on e learning essential course has now started. Automatically sent out to each employee as necessary by TLC. Monitor success in January 2018 <i>In Progress (90% complete)</i> ◦ Create common processes so staff can be interchanged across County 25/10/2017 - nothing has changed to the status below as the FM review is ongoing 20/12/2017 - Review due to complete in May 2018, no change to status. <i>In Progress (25% complete)</i> | <p>Carly Wedderburn 28/12/2017 31/08/2017</p> <p>Graham Holmes 08/03/2018 31/01/2018</p> <p>Heidi Boyle 28/02/2018 30/03/2018</p> | | | |
| | | | | | | | | |

| | Risk Ref | Risk | Uncontrolled Risk | Action Required (In progress Only) | Control Owner Review Date Target Date | Current Risk Score | Controlled Risk Assessment for Financial Year | Comments |
|--|----------------|---|---|---|---|--|--|--|
| | ORG0040 | <p>Risk Description: Strategic Risk 2015: Benefit Realisation: Failure to deliver service transformation (financial and non-financial benefits), and necessary cost savings, performance improvements, and legislative changes requiring significant service re-design through our Core Council Programme.</p> <p>Cause: Transformation not considered a corporate priority with funding and resources not prioritised to this area. A lack of joint commissioning priorities to identify innovative ideas for future transformational change and a lack of collaboration between SCC services and partners.</p> <p>Consequence: Inability to balance the budget, reputational damage and fines through a failure to meet legislative change, stagnation or deterioration in performance impacting on the service we provide to our customers (including some of the most vulnerable people in the community).</p> | <p>Likelihood :5 Impact :5</p> <p style="text-align: center;">25</p> <p>Escalate to SRMG</p> | <ul style="list-style-type: none"> ◦ Review need for Business Case refresher training during service planing 14/08/17 - Business Cases being used to track 5 high-spend corporate priority areas. <i>In Progress (75% complete)</i> ◦ Collaboration between Services and provision of specialist knowledge to the Core Council Programme projects/programmes 14/08/17 - SME forum has developed into the Corporate Support Services Network (CSSN) and links to commissioning and corporate planning have been strengthened. Looking at Support Service needs across all planning and commissioning activity. <i>In Progress (75% complete)</i> | <p>Daniel Forgham-Healey 14/02/2018 14/08/2018</p> <p>Daniel Forgham-Healey 14/08/2018 14/08/2018</p> | <p>Likelihood :3 Impact :5</p> <p style="text-align: center;">15</p> <p>Monthly</p> | <p>Likelihood :3 Impact :5</p> <p style="text-align: center;">15</p> <p>Monthly</p> | <p>14/08/2017 14-08-17 - The increased scope and scale of transformation activity threatens to spread resources too thin across too many corporate priorities.</p> |

| Risk Ref | Risk | Uncontrolled Risk | Action Required (In progress Only) | Control Owner Review Date Target Date | Current Risk Score | Controlled Risk Assessment for Financial Year | Comments |
|--|--|---|---|--|---|---|---|
| <p>ORG0042</p> <p>Risk Owner: Chris Squire</p> <p>Next Risk Review Date: 25/01/2018</p> | <p>Risk Description: Strategic Risk 2015: HR: The risk of not having the employee capacity to deliver and support delivery of core front line services</p> <p>Cause: Combination of austerity measures and market forces in being able to attract suitably qualified people to work for the Council on a permanent basis</p> <p>Consequence: Reduced levels of service activity, more reliance on existing employees and possible issues with consistency on quality.</p> | <p>Likelihood :4 Impact :4</p> <p style="background-color: red; color: white; text-align: center;">16</p> <p>Escalate to SRMG</p> | <ul style="list-style-type: none"> ◦ Locum's covering permanent posts. On-going recruitment campaign Reviewed 26/10/2017: Reduced locum count across Children's Services <i>In Progress (50% complete)</i> ◦ 'Entry level' schemes used (e.g. 'Step Up to Social Care') & graduate social workers Reviewed 26/10/2017: Graduate Social Workers scheme in progress & on-track <i>In Progress (60% complete)</i> ◦ Closely monitored operationally & at Programme Improvement Boards Reviewed 26/10/2017: Dashboard in place at corporate & service level. Establishment control in place. Complete <i>In Progress</i> ◦ Implementation of Young People's Strategy – Increased employment of apprentices across the organisation Review 26/10/2017: Increase in apprentices in post <i>In Progress (10% complete)</i> | <p>Chris Squire 25/01/2018</p> <p>Chris Squire 25/01/2018</p> <p>Chris Squire</p> <p>Chris Squire 22/01/2018</p> | <p>Likelihood :3 Impact :4</p> <p style="background-color: yellow; text-align: center;">12</p> <p>Quarterly</p> | <p>Likelihood :3 Impact :4</p> <p style="background-color: yellow; text-align: center;">12</p> <p>Quarterly</p> | <p>25/10/2017 Reviewed 26/10/2017: Actions on track and making progress. Description to be reviewed early 2018.</p> |
| <p>ORG0007</p> <p>Risk Owner: Paula Hewitt</p> <p>Next Risk Review Date: 14/02/2018</p> | <p>Risk Description: Strategic Risk 2014: Business Continuity: Short or long-term service disruption may occur</p> <p>Cause: [because of] Lack of formal arrangements in place or being finalised that enable managers to review risks in the planning for business continuity</p> <p>Consequence: [resulting in] Major disruptive challenge to service provision and unplanned costs.</p> | <p>Likelihood :3 Impact :5</p> <p style="background-color: orange; text-align: center;">15</p> <p>Monthly</p> | <ul style="list-style-type: none"> ◦ Business Continuity Steering Group Hold regular meetings of the Business Continuity Steering Group. Membership includes SCC service representatives and colleagues from the District Councils. Purpose of the Steering Group is to embed and promote effective business continuity arrangements throughout the local authorities and contracted services. In 2017/18 meetings are scheduled for May, August, November and March. <i>In Progress (75% complete)</i> | <p>Nicola Dawson 21/02/2018 31/03/2018</p> | <p>Likelihood :3 Impact :4</p> <p style="background-color: yellow; text-align: center;">12</p> <p>Quarterly</p> | <p>Likelihood :3 Impact :4</p> <p style="background-color: yellow; text-align: center;">12</p> <p>Quarterly</p> | <p>14/11/2017 Risk score remains unchanged. BC steering group continues to meet. P Hewitt 14/11/17</p> |

| | Risk Ref | Risk | Uncontrolled Risk | Action Required (In progress Only) | Control Owner Review Date Target Date | Current Risk Score | Controlled Risk Assessment for Financial Year | Comments |
|--|----------|------|-------------------|--|--|--------------------|---|----------|
| | | | | <ul style="list-style-type: none"> <p>◦ Annual test of business continuity plans Hold a table-top exercise in spring 2018 to test the SCC Corporate Business Continuity Plan and the supporting service level plans. District councils are invited to participate. Build on the lessons identified in Ex Viral Crisis held in March 2017. <i>In Progress (10% complete)</i></p> <p>◦ Annual update of SCC Corporate Business Continuity Plan Revise the SCC Corporate Business Continuity Plan annually or following an activation of the corporate level arrangements. Plan was last updated and re-issued in January 2017 then again in October 2017 to reflect changes in corporate structure. Next routine update is scheduled for January 2018. <i>In Progress (75% complete)</i></p> | <p>Nicola Dawson 21/05/2018 31/03/2018</p> <p>Nicola Dawson 03/02/2018 31/01/2018</p> | | | |

| | Risk Ref | Risk | Uncontrolled Risk | Action Required (In progress Only) | Control Owner Review Date Target Date | Current Risk Score | Controlled Risk Assessment for Financial Year | Comments |
|--|----------|------|-------------------|--|--|--------------------|---|----------|
| | | | | <p>o Corporate Business Continuity Plan for SCC It has been agreed that rather than develop a Business Continuity Plan for SCC that we would look to develop a countywide Business Continuity Plan in conjunction with the District Councils with whom we share premises. The timeline for this project will be re-baselined. A Local Authorities partnership meeting which is scheduled to be held at Sedgemoor: Bridgwater House on 4 Nov 1000- 1300hrs. The project plan and timeline will be developed at that meeting. A meeting took place with the District Councils on the 4th Nov 2015. there was little enthusiasm for a joint approach. Agreed to meet with them individually to see if we can find a way forward. Meetings arranged with District Council to individually discuss shared contingency arrangements. Meetings have taken place with TDBC, SDC and MDC. Meeting scheduled with SSDC. A meeting has now taken place with SSDC. A set of agreed principles based on mutual support will now be created and agreed. A draft Business Continuity Plan has been developed. This will now be shared for final comments with the other Councils. Responsibility for FM has transferred to Property Services so the Action Owner has changed to Claire Lovett, Head of Property <i>In Progress (10% complete)</i></p> | <p>Claire Lovett 14/01/2018</p> | | | |
| | | | | | | | | |

| | Risk Ref | Risk | Uncontrolled Risk | Action Required (In progress Only) | Control Owner Review Date Target Date | Current Risk Score | Controlled Risk Assessment for Financial Year | Comments |
|--|----------------|---|---|---|--|--|--|---|
| | ORG0002 | <p>Risk Description: Strategic Risk 2015: Commissioning: Failure to adequately commission services and/or failure in the market and supply chain</p> <p>Cause: Demand led response and not outcome driven (trying to deliver the same service with less resources is no longer feasible), limits the ability to deploy resources previously identified for investment in preventative services</p> <p>Consequence: Resulting in transfer and a reduction in planned long term savings and the council being unable to meet statutory obligations and/or to deliver the County Plan objectives, Incur additional financial costs, fail to achieve value for money, reputation damage, vulnerable individuals at greater risk, financial penalty</p> | <p>Likelihood :5 Impact :5</p> <p style="text-align: center;">25</p> <p>Escalate to SRMG</p> | <ul style="list-style-type: none"> ◦ Workforce Development in place to ensure commissioning staff have the right skills & competencies for the role 03/02/2016: New SM in post and developing plan to embed commissioning in SCC including workforce development plan. Commissioning Board to review plan in February. <i>In Progress</i> (60% complete) ◦ A&H commissioning intentions for 2015 16 has been drafted and commissioning structure revised to align it to the TOM. A&H commissioning intentions for 2015 16 has been drafted and commissioning structure revised to align it to the TOM. We are currently working through workplans to ensure resources are aligned to the new Commissioning Intentions <i>In Progress</i> (10% complete) ◦ Discussions with commissioners to ensure information available is appropriate and readily accessible. Review 5 Mar 2015: Regular updates with SCMG on a monthly basis regarding latest insight and intelligence <i>In Progress</i> (60% complete) | <p>Vikki Hearn 06/02/2018 30/03/2018</p> <p>Stephen Chandler 21/12/2017 30/03/2018</p> <p>Malc Riches 30/04/2017 30/09/2017</p> | <p>Likelihood :3 Impact :4</p> <p style="text-align: center;">12</p> <p>Quarterly</p> | <p>Likelihood :3 Impact :4</p> <p style="text-align: center;">12</p> <p>Quarterly</p> | <p>09/10/2017 Risk score remains unchanged. Recent staff changes in commissioning development have impacted on delivery but recruitment underway. P Hewitt 09/10/17</p> |

| | Risk Ref | Risk | Uncontrolled Risk | Action Required (In progress Only) | Control Owner Review Date Target Date | Current Risk Score | Controlled Risk Assessment for Financial Year | Comments |
|--|---|--|---|--|--|--|--|---|
| | ORG0024 Risk Owner: Richard Williams Next Risk Review Date: 09/02/2018 | Risk Description: Strategic Risk 2011: Operations: Quality of contract management is inconsistent and fails to meet our customers expectations Cause: Consequence: Loss of customer confidence and trust in the Council, impacting on the reputation of the council | Likelihood :4 Impact :4 16 Escalate to SRMG | <ul style="list-style-type: none"> Putting in place effective contract management at a senior level throughout the Council Update 25/06: Greater commercial awareness cascaded through organisation. Establishing greater clarity between day - to -day Contract Management via operations and Commercial management delivered via procurement team. as part of SWAP Audit <i>In Progress (40% complete)</i> Ensure adequate management information and reporting is in place to monitor quality through the Business Intelligence Function <i>In Progress (80% complete)</i> | Richard Williams 02/08/2018 <i>02/08/2018</i> Malc Riches 07/09/2017 | Likelihood :4 Impact :3 12 Quarterly | Likelihood :4 Impact :3 12 Quarterly | 08/01/2018 Review: 3 Jan 2018 - D Fitzgerald: Current score remain as Amber Update – Contract Core Management Group meets regularly to help share learning, support and provide upskilling/training to Contract Managers. Embedding the Contract Managers Toolkit remains a priority as awareness and gaps in good contract management in services still remains a risk. |
| | ORG0010 Risk Owner: Stephen Chandler Next Risk Review Date: 23/01/2018 | Risk Description: Strategic Risk 2016: Safeguarding Adults: We fail to deliver our statutory safeguarding activity in relation to adults Cause: there is a risk that death or injury to a vulnerable member of the public or a member of staff, where the county council has not completely fulfilled its responsibilities may occur Consequence: leading to increased audit inspections, personal litigation claims, adverse publicity for the council and possible financial penalties | Likelihood :3 Impact :5 15 Monthly | | | Likelihood :3 Impact :4 12 Quarterly | Likelihood :3 Impact :4 12 Quarterly | 23/10/2017 Following the ASC restructure, the operational adult safeguarding service now sits under the strategic management responsibility of Carolyn Smith, who also has oversight of the Mental Health Social Work Team. The Safeguarding Adults Board is now managed by Stephen Miles (overseen by Niki Shaw) and recently reported its Annual Report to Scrutiny Committee for assurance. It will be presented to the HWBB later this month. |

| | Risk Ref | Risk | Uncontrolled Risk | Action Required (In progress Only) | Control Owner Review Date Target Date | Current Risk Score | Controlled Risk Assessment for Financial Year | Comments |
|--|---|---|---|--|--|--|--|--|
| | ORG0001 Risk Owner: Paula Hewitt Next Risk Review Date: 14/02/2018 | Risk Description: Strategic Risk 2014: Civil Emergencies: A major civil emergency results in loss of life and major disruption to services Cause: we do not adequately plan for civil emergencies including the testing of plans and prioritisation of our resources, Consequence: impact on Somerset County Council's reputation and standing locally and Nationally | Likelihood :4 Impact :5 20 Escalate to SRMG | <ul style="list-style-type: none"> ◦ Test the new Joint Emergency Response Arrangements: Exercise Electrum 2017 Hold an emergency exercise for all six Somerset local authorities to test the new sections of the Joint Corporate Emergency Response and Recovery Plan. The exercise is scheduled for October (deferred from June due to date clashes) and will be preceded by a programme of awareness briefing and training. During May, over 30 Business Support staff were trained in their emergency centre support roles. <i>In Progress (60% complete)</i> ◦ Deliver phase one of the SLACCP Training and Exercise Policy At the July 2017 SLACCP meeting, all six authorities signed off a SLACCP Training and Exercising Strategy. This will deliver a consistent and sustainable rolling programme of role and capability based training. It will make full use of IT eg e-learning, webinars etc as well as face to face training and exercises. First phase to be rolled out from autumn 2017. <i>In Progress (25% complete)</i> | Nicola Dawson 02/01/2018 30/03/2018 Nicola Dawson 01/02/2018 31/03/2018 | Likelihood :2 Impact :5 10 Monthly | Likelihood :2 Impact :5 10 Monthly | 14/11/2017 Risk score remains unchanged. Recently we have exercised through Exercise Electrum. P Hewitt 14/11/17 |

| | Risk Ref | Risk | Uncontrolled Risk | Action Required (In progress Only) | Control Owner Review Date Target Date | Current Risk Score | Controlled Risk Assessment for Financial Year | Comments |
|--|---|--|---|--|--|---|---|---|
| | ORG0031 Risk Owner: Trudi Grant (JB) Next Risk Review Date: 12/06/2018 | Risk Description: Strategic Risk 2014: Public Health: Non-delivery of statutory functions and legal obligations in relation to protecting and improving the health and well-being of the local population Cause: Increased demand and costs of health and social care services Consequence: Possible deaths, inability to respond to serious disease outbreaks/epidemic, rises in avoidable deaths and morbidity. Lack of business continuity, reduced public confidence, litigation claims, bad publicity, reduced social and economic prosperity. | Likelihood :5 Impact :5 25 Escalate to SRMG | <ul style="list-style-type: none"> All mitigating actions are in place the risk rating is in relation to health protection specifically All mitigating actions are in place and assurance for the health protection system is gained through the Health Protection Forum. The risk rating is in relation to health protection specifically as most Public Health outbreaks / risks could result in numerous deaths. <p>12/12/17 - The above statement remains valid - a review of statutory public health functions has been undertaken and actions addressed. No further mitigating action required at this stage. <i>In Progress (99% complete)</i></p> | Trudi Grant (JB) 12/06/2018 | Likelihood :2 Impact :5 10 Monthly | Likelihood :2 Impact :5 10 Monthly | 12/12/2017 12/12/17 - The above statement remains valid - a review of statutory public health functions has been undertaken and actions addressed. No further mitigating action required at this stage. |
| | ORG0025 Risk Owner: Simon Clifford 2 Next Risk Review Date: 16/01/2018 | Risk Description: Governance: Our decision-making cumulatively increases inequality Cause: As a result of decision-making which is ill-informed, unsubstantiated and the cumulative impact of these decisions being considered Consequence: Organisation - We may find that the consequences leave SCC open to legal challenge or action. Increased demand for and future costs of service. Community – The community could be potentially negatively impacted if there is not a collective consideration of changes to service. Whilst there is the potential for this | Likelihood :3 Impact :5 15 Monthly | <ul style="list-style-type: none"> Staff and Members have an opportunity to understand their requirements under the Equality Act 2010 Staff and Members have an opportunity to understand their requirements under the Equality Act 2010 - A mandatory set of training will be over the coming years. This will be supported by mandatory online training and additional bespoke elements. <i>In Progress (50% complete)</i> Establish continuing dialogue with communities to establish whether the impact is as expected Establish continuing dialogue with communities to establish whether the impact is as expected <i>In Progress (70% complete)</i> | Tom Rutland 05/02/2018 31/03/2018 Tom Rutland 05/02/2018 31/12/2018 | Likelihood :3 Impact :3 9 Quarterly | Likelihood :3 Impact :3 9 Quarterly | 16/10/2017 risk tolerated at time of writing with existing controls and mitigations in place. year on year risk is slightly reduced but still needs careful consideration. |

| | Risk Ref | Risk | Uncontrolled Risk | Action Required (In progress Only) | Control Owner Review Date Target Date | Current Risk Score | Controlled Risk Assessment for Financial Year | Comments |
|--|----------------|---|--|--|--|--|--|---|
| | | to affect all members of the community by their nature it could affect groups identified under the Equality Act 2010 more profoundly and disproportionately. Some of the wider impacts on the community could be: increase in poor mental health, substance misuse, NEETS, young people leaving the county, loss of community cohesion and an increase in community tension. should any of these occur it will accept the individual, their community and potential increase service need from local authorities. | | | | | | |
| | ORG0022 | <p>Risk Description: Strategic Risk 2014: ICT: Unintentional events, including changes to our IT system, or intentional attempts that damage our systems, property, reputation or one of our other resources.</p> <p>Cause: Lack of a Disaster Recovery Plan along with an out of date Corporate Business Continuity Plan</p> <p>Consequence: Effect on our customers wellbeing if data can not be accessed, financial cost - reduced funding to meet objectives, reputation damage, ties up management time, cost of extra control, possible aversion to risk taking. Increased FOI culture. Communication disruption, reduced satisfaction with services e.g. unplanned downtime for ICT, Increase in claims for compensation, increased external / internal fraud, increased tendency to 'work the system'.</p> | <p>Likelihood :3 Impact :5</p> <p style="text-align: center;">15</p> <p>Monthly</p> | <ul style="list-style-type: none"> ◦ Updated Information Governance Policies New Enterprise Architecture team security training & awareness sessions for IT & SMEs <i>In Progress (40% complete)</i> ◦ Testing of Disaster Recovery Plan 12/09/2014: A disaster recovery rehearsal is currently being planned to test existing procedures and highlight issues to be addressed by a more robust solution. Wider options are being explored beyond the existing provider including possible collaboration with other organisations. <p>16/03/15: There has been a considerable delay in South West One supplying the required technical information to enable a DR test to take place. This has now been supplied and a test is being planned for Q1 2015/16. SCC is also undertaking a review of the existing DR cover to ensure that adequate resilience is in place. <i>In Progress (10% complete)</i></p> | <p>Dave Littlewood 04/12/2017</p> <p>Mike Kenworthy 07/12/2017</p> | <p>Likelihood :3 Impact :2</p> <p style="text-align: center;">6</p> <p>Six Months</p> | <p>Likelihood :2 Impact :2</p> <p style="text-align: center;">4</p> <p>Six Months</p> | <p>03/08/2017 The resilience and security of our IT systems and data has been a focus in our implementation of cloud based and other changes to the IT infrastructure. We need to remain vigilant particularly to external threats including viruses. Given pace of change in IT this should be a 6 monthly review.</p> |

| | Risk Ref | Risk | Uncontrolled Risk | Action Required (In progress Only) | Control Owner Review Date <i>Target Date</i> | Current Risk Score | Controlled Risk Assessment for Financial Year | Comments |
|--|-----------------|-------------|--------------------------|---|--|---------------------------|--|-----------------|
| | | | | | | | | |

Report Selection Criteria

Status Flag=ACTIVE - ISNULL(Project Code) - Business Unit Code=ORG