Strategic Risk Report - Somerset County Council (SLT)   Appendix A

	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:** Peter J Lewis **Next Risk Review Date:** 20/02/2019	**Risk Description:** Strategic Risk 2018: Maintain a sustainable budget: Reserves will not be sufficient to manage any in-year overspends for the forthcoming financial year 2018/19. That we don't set a balanced budget for 2019/20. Risk that we don't have a short and medium term financial plan for SCC. **Cause:** Unforeseen expenditure and overspends exceed the planned provision. Potential misunderstanding of, or assumptions around, ownership of budgets and savings **Consequence:** A balanced budget has been set for 2018/19 but there is considerable risk that not all savings will be achieved and overspends may exceed contingency and reserves. There is a set of actions to keep this in check. Savings overestimated resulting in a financial gap. Financial savings are double counted	Likelihood :5 Impact :5 **25** Red - V. High Risk	○ **FIT-Heightened budget monitoring on those services showing budget overspend** Part of the 10 point plan, in progress; Childrens services budget reviewed and rebased for 2018/19 & 2019/20. All proposals for change agreed by Cabinet in Sept 2018 now implemented in month 6 monitoring, which means new control totals for which are of the budget. Projected outturn overspend now reduced to £3.2m Scrutiny Policies & Place have requested monthly monitoring updates and these will also be presented to Cabinet *In Progress* (90% complete) ○ **FIT-Cabinet receive monthly budget monitoring updates** Part of the 10 point plan, in progress; reports are delivered, but are showing increasing pressure on the budget 2018/19. On 11th sept it was agreed that Scrutiny committee for policies & Place would also receive monthly monitoring reports. Monthly monitoring is now in place for Cabinet & Scrutiny, with the latter showing a particular interest in Children Services spending *In Progress* (90% complete)	**Peter J Lewis** 02/02/2019 *20/02/2019* **Peter J Lewis** 02/02/2019 *20/02/2019*	Likelihood :5 Impact : 5 **25** Red - V. High Risk	Likelihood :4 Impact :5 **20** Red - V. High Risk	02/01/2019 02 01 2019 Robust actions and detailed monitoring will produce at least a balanced outturn for 2018/19 - there may even be an underspend with a contribution to reserves. A robust budget is being prepared for 2019/20, that will not rely on any withdrawal from the General Fund. Strategic Risk 2016: Maintain a sustainable budget: Reserves will not be sufficient to manage any in-year overspends for the forthcoming financial year 2018/19. That we don't set a balanced budget for 2019/20. Risk that we don't have a short and medium term financial plan for SCC.

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				○ **FIT-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; review has been undertaken by Dir. Finance and latest situation is reported in Sept Cabinet report. Monitoring of reserves will be ongoing. Monitoring of reserves continues on a monthly basis, with a particular emphasis for production of the budget reports for 2019/20 *In Progress* (90% complete)	**Peter J Lewis** 25/02/2019 *20/02/2019*			
				○ **FIT-Development & approval of MTFP 2019/2020 - ensure necessary resources are in place to meet key priorities** Initial review of the MTFP for 2019/20 - 2021/22 was presented to Cabinet on Oct 17th and subsequently to Scrutiny. Funding gap now estimated at £19m. Identification of solutions ongoing through FIT, strategic managers & SLT with a deadline for completed proposals of 23 November. Detailed work now undertaken and papers for the Cabinet, Scrutiny and Council meetings being prepared. *In Progress* (25% complete)	**Peter J Lewis** 20/02/2019 *20/02/2019*			

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				○ **focussing on contract spend in all areas but specifically in Children's services** Part of the 10 point plan continues. PeopleToo have just reported on their investigations in regard of childrens services and have identified several £m of opportunities which will influence spend in 2018/19 & 2019/20 and beyond. New Head of Procurement is undertaking an exercise to review the top 100 contracts and to drive out savings. *In Progress* (10% complete)	**Peter J Lewis** 02/05/2019 *29/03/2019*			
				○ **FIT-Short term financial intervention** Monitoring of the 2018/19 short-term interventions (MTFP2) is now rigorously undertaken by the FIT, with FIT buddies in regular liaison with service to ensure progress towards the delivery of the savings is being made according to the agreed timetable. *In Progress* (10% complete)	**Peter J Lewis** 02/02/2019			
				○ **FIT-KLOE leads prioritising activity for quick wins and longer term actions** KLOE Leads routinely working with services to monitor the actions needed to deliver the savings planned. Reported to SLT on a fortnightly basis with escalations for actions if needed. *In Progress* (70% complete)	**Daniel Forgham-Healey** 02/02/2019			
				○ **FIT-Fit governance in place and due dilligence on control totals ensuring only one budget adjusted** FIT governance framework in place. Waiting room process and due dilligence on control totals is ensuring that only one budget is adjusted. *In Progress* (10% complete)	**Lizzie Watkin** 02/02/2019			

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				○ **FIT-Process in place where by all all savings proposals require director and finance manager sign off** *In Progress*	**Lizzie Watkin** *28/12/2018*			
	ORG0011 **Risk Owner:** Paula Hewitt **Next Risk Review Date:** 07/02/2019	**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 **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 **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 4. Adverse publicity and damage to reputation for the Council 5. Increased audit inspection 6. Increased costs and financial penalties	Likelihood :5 Impact :5 **25** Red - V. High Risk	○ **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. 21/05/2018 - Review complete - associated changes due to be implemented with effect from 1st September 2018. 04/09/2018 - Taunton restructure implemented 30/08/18 Business Support functions due to move with effect from 1 November. Processes to be produced for remaining FM tasks. 18/12/18 - Staff Instructions created on One Note, Policies being reviewed at regular workshops, training plan in place. *In Progress* (75% complete)	**Heidi Boyle** 18/03/2019 *28/02/2019*	Likelihood :3 Impact : 5 **15** Amber - High Risk	Likelihood :3 Impact :5 **15** Amber - High Risk	07/01/2019 Current risk score (amber) is unchanged. P Hewitt 07/01/2019

Risk Register Business Unit   Somerset County Council (SLT)

	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
	ORG0009 **Risk Owner:** Julian Wooster **Next Risk Review Date:** 21/03/2019	**Risk Description:** Strategic Risk 2016: Safeguarding Children: We fail to deliver our statutory service delivery duties and legal obligations in relation to vulnerable children. **Cause:** Systemic leadership, financial constraints and management challenges **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.	Likelihood :4 Impact :5 **20** Red - V. High Risk	○ **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 *In Progress* (35% complete)	**Adrienne Parry** 30/04/2019 *31/03/2019*	Likelihood :3 Impact : 5 **15** Amber - High Risk	Likelihood :3 Impact :5 **15** Amber - High Risk	21/12/2018 At the September 2018 meeting of Cabinet it was agreed that we should move to the statutory minimum level of Children's Services. This means that there is less tolerance in identifying need.
	ORG0007 **Risk Owner:** Paula Hewitt **Next Risk Review Date:** 04/03/2019	**Risk Description:** Strategic Risk 2018 update: Business Continuity & Disaster Recovery may not be delivered as expected by services in the event of County Hall failure. **Cause:** County Hall remains a single point of failure for some elements of connectivity e.g. Mobile networks. There is also a lack of formal arrangements in place, or being finalised, that enable managers to review risks in the planning for business continuity **Consequence:** Major disruptive challenge to service provision and unplanned costs.	Likelihood :3 Impact :5 **15** Amber - High Risk	○ **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 2018/19 meetings are scheduled for July, autumn 2018 and spring 2019. *In Progress* (30% complete)	**Nicola Dawson** 09/02/2019 *31/03/2019*	Likelihood :3 Impact : 4 **12** Yellow - Medium Risk	Likelihood :3 Impact :4 **12** Yellow - Medium Risk	04/12/2018 Risk score remains unchanged P Hewitt 04/12/18 Strategic Risk 2014: Business Continuity: Short or long-term service disruption may occur

	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
				○ **Annual Corporate Business Continuity Exercise** Hold a table-top exercise in spring 2019 to test the SCC Corporate Business Continuity Plan and the supporting service level plans. Invite SCC services and district councils to participate. Build on the lessons identified in Ex Viral Crisis (March 2017) and Exercise Long Reach (April 2018) *In Progress* (10% complete)	Nicola Dawson 11/03/2019 *31/03/2019*			
				○ **Mobile phone network** Review 08/01/2019 - D Littlewood: I have spoken with procurement around multi-network SIM cards, that can roam between networks if one network carrier goes down. These are expensive at present under our current contract, but we are looking to reduce cost as part of the Mobile telecoms review which is still underway. There is also an option for parts of the business to move some of its SIM cards over to an existing Vodafone contract, so half of the service is with EE, and half with Vodafone, but again, reducing the number of phones on each contract, increases the cost of the calls and data, so we are working with procurement on the best approach between cost and continuity. In the short term, we have now released Outlook and access to Somerset County Council mailboxes, to personal devices, so if individuals are on other networks, they could still access email and have contact (as proven in the outage of the EE network a few weeks ago) *In Progress* (25% complete)	Dave Littlewood 08/02/2019			

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 **Risk Owner:** Paula Hewitt **Next Risk Review Date:** 15/02/2019	**Risk Description:** Strategic Risk 2015: Commissioning: Failure to adequately commission services and/or failure in the market and supply chain **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 **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	Likelihood :5 Impact :5 **25** Red - V. High Risk	○ **Refresh Market Position Statement to better reflect Adult Services priorities** *In Progress* (50% complete)	**Niki Shaw** 29/03/2019 29/03/2019	Likelihood :3 Impact : 4 **12** Yellow - Medium Risk	Likelihood :3 Impact :4 **12** Yellow - Medium Risk	15/11/2018 Reducing commissioning resources could impact negatively on this risk score but this has been mitigated by the work of KLOE4 and the Strategic Commissioning Group. Therefore risk score remains unchanged. P Hewitt 15/11/18
ORG0032 **Risk Owner:** Simon Clifford 2 **Next Risk Review Date:** 07/04/2019	**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. **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	Likelihood :5 Impact :4 **20** Red - V. High Risk	○ **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 *In Progress* (85% complete)	**Lucy Wilkins** 14/02/2019 28/02/2019	Likelihood :3 Impact : 4 **12** Yellow - Medium Risk	Likelihood :3 Impact :4 **12** Yellow - Medium Risk	07/01/2019 risk continues to be monitored and has eased slightly due to the suspension of the data migration to the Cloud. update to that suspension to be agreed in new financial year.

	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
		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. **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.		○ **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. *In Progress* (99% 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. *In Progress* (75% 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 *In Progress* (70% complete) ○ **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; Major deferral to allow Microsoft to implement the IAR *In Progress* (25% complete)	**Lucy Wilkins** 28/02/2019 *28/02/2019* **Lucy Wilkins** 28/02/2019 *28/02/2019* **Lucy Wilkins** 15/02/2019 *15/02/2019* **Lucy Wilkins** 07/04/2019 *04/04/2019*			

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
			○ **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 *In Progress (50% complete)*	**Lucy Wilkins** 07/04/2019 *05/04/2019*			
ORG0024 **Risk Owner:** Simon Clifford 2 **Next Risk Review Date:** 07/05/2019	**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 Red - V. High Risk	○ **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 *In Progress (90% complete)*	**Simon Clifford 2** 10/03/2019 *01/04/2019*	Likelihood :3 Impact : 4 12 Yellow - Medium Risk	Likelihood :3 Impact :3 9 Yellow - Medium Risk	07/01/2019 review underway to create comprehensive register of contracts and named contract managers plus commissioning information.
ORG0022 **Risk Owner:** Simon Clifford 2 **Next Risk Review Date:** 28/02/2019	**Risk Description:** Strategic Risk 2018 update: ICT: Unintentional events, including changes to our IT system, or intentional attempts that damage our systems, property, reputation or one of our other resources. **Cause:** Delayed implementation of ATP, lack of a Disaster Recovery Plan along with an out of date Corporate Business Continuity Plan. County Hall remains a single point of failure for some elements of connectivity **Consequence:** The effect of this is to leave us with a	Likelihood :5 Impact :5 25 Red - V. High Risk	○ **Increase awareness & understnding within SCC around suspicious or unsolicited email with attachments & website file downloads** 05092018 - investigate free & open source anti phishing software to increase awareness with staff 14/01/2019: ICT have looked at a number of open source products and are talking with Health partnership about the products they use to hold Phishing campaigns. I've asked the IG team to investigate manual process and training that other organisations use in order to inform and train users of the risks. *In Progress (50% complete)*	**Dave Littlewood** 28/02/2019	Likelihood :3 Impact : 4 12 Yellow - Medium Risk	Likelihood :3 Impact :3 9 Yellow - Medium Risk	28/08/2018 risks continue with MTFP challenges. Awareness and begingings of plan in place re continuity

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		lower level of security and increased vulnerability to malicious attacks by third parties on our IT systems.						
	ORG0001 **Risk Owner:** Paula Hewitt **Next Risk Review Date:** 04/03/2019	**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** Red - V. High Risk	○ **Deliver phase one of the SLACCP Training and Exercise Policy** Review Summary: Delivery is underway of the SLACCP Training and Exercising Strategy. This will deliver a consistent and sustainable rolling programme of role and capability based training. It aims to　make full use of IT eg e-learning, webinars etc as well as face-to-face training and exercises.　First phase started roll-out in October with the introduction to emergency planning and response e-learning package.　Other e-learning packages are now available for some of the emergency roles outlines in the Corporate Emergency Response and Recovery Plan. During November, strategic and operational training sessions were delivered for SSDC staff. Other sessions are being scheduled and further e-learning packages are under development. *In Progress* (75% complete) ○ **Deliver an annual programme of resilience activities.** Deliver an annual resilience work programme for all six Somerset local authorities including development of capabilities, plans and procedures for emergency planning, preparation, response and recovery.　Delivery of the programme to be steered and monitored by the Somerset Resilience Board which meets three times a year (June, September and February). Recent plans delivered: SLACCP Evacuation & Shelter Plan; Elected Members Emergency Handbook; Hinkley Point Off-Site Plan. *In Progress* (75% complete)	**Nicola Dawson** 11/03/2019 *29/03/2019* **Nicola Dawson** 03/03/2019 *31/03/2019*	Likelihood :2 Impact　: 5 **10** Amber - High Risk	Likelihood :2 Impact　:5 **10** Amber - High Risk	04/12/2018　Risk score remains unchanged P Hewitt 04/12/18

	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
	ORG0010 **Risk Owner:** Stephen Chandler **Next Risk Review Date:** 07/04/2019	**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 Amber - High Risk	○ **Improve adult safeguarding conversion rates to ensure team time is spent most effectively on those requiring support** *In Progress* (40% complete)	Niki Shaw 07/02/2019 *29/03/2019*	Likelihood :2 Impact : 5 10 Amber - High Risk	Likelihood :2 Impact :5 10 Amber - High Risk	07/01/2019 New strategic manager now in post responsible for safeguarding and mental health social care. recent improvement in safeguarding referral rates performance, with Nov 2018 performance locally at 63.2%. We have also now had the national SAC report for 2017/18 published (Nov 2018) which shows that Somerset is comparing very positively with the national average for safeguarding conversions (38%), but also that the range of conversion rate varied dramatically across the different local authorities from 3.9% to 100%. Work being undertaken locally to target training and education at providers making highest inappropriate referrals to ensure our resources are spent most appropriately and effectively

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	ORG0042 **Risk Owner:** Chris Squire **Next Risk Review Date:** 07/02/2019	**Risk Description:** Strategic Risk 2015: HR: The risk of not having the employee capacity to deliver and support delivery of core front line services **Cause:** Combination of austerity measures and market forces in being able to attract & retain suitably qualified people to work for the Council **Consequence:** Reduced levels of service activity, more reliance on existing employees and possible issues with consistency on quality.	Likelihood :4 Impact :4 **16** Red - V. High Risk			Likelihood :3 Impact : 3 **9** Yellow - Medium Risk	Likelihood :3 Impact :3 **9** Yellow - Medium Risk	07/11/2018 Reviewing in light of MTFP 2 & 3, with a view to organisational redesign

Report Selection Criteria

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