

Strategic Risk Report - 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
<p>ORG0043</p> <p>Risk Owner: Sheila Collins</p> <p>Next Risk Review Date: 15/01/2020</p>	<p>Risk Description: Strategic Risk Update 2019: Maintaining a balanced budget for 2019/20 and ensuring a sustainable MTFP.</p> <p>There is a risk to the council's long term sustainability if there are significant in-year service overspends, and or if the council suffers significant loss of funding in future years its ability to prepare a robust and sustainable MTFP for 2020/21 onwards may be impacted.</p> <p>Cause: Because reserves remain at low levels and the Council has a statutory duty to deliver services where demographic pressures remain high and volatile, and because significant savings remain to be delivered the Council:</p> <p>1) is dependent on the Government clarifying the future of Local Government funding to enable effective longer-term planning, 2) must have a robust MTFP (2020-23) process that engages stakeholders.</p> <p>Consequence: A balanced budget has been set for 2019/20 and the level of reserves improved during 2018/19. However, there remains a risk of service overspends due to demographic pressures and / or the non-delivery of savings in 2019/20. On-going Local Government funding uncertainty means the Council can only</p>	<p>Likelihood :5 Impact :5</p> <p style="background-color: red; color: white; text-align: center; font-weight: bold;">25</p> <p>Red - V. High Risk</p>	<ul style="list-style-type: none"> ◦ Head of Procurement is developing a business case to improve contract spend tracking across services Presentation to SLT April 2019 outlining key issues and options for resolution. Work to take this forward, for example contract management module of SAP to be utilised, will be incorporated in to MTFP working group led by Sheila Collins <i>In Progress (20% complete)</i> ◦ Robust MTFP process Budget timetable has been developed and weekly meeting to monitor process have been set up. 3 All member briefing have been arranged and other stakeholder engagement planned. Budget scenarios have been developed and Best, Worse and Predicted Case for the MTFP has been developed. Budget Challenge sessions have taken place during August to review cost pressures and unachievable savings. Expenditure confidence levels have been completed by budgets holders. A review of funding streams has been undertaken and are in line with the 2019 Spending Round <i>In Progress (80% complete)</i> 	<p>Claire Griffiths 31/12/2019 31/03/2020</p> <p>Jason Vaughan 29/11/2019</p>	<p>Likelihood :4 Impact :4</p> <p style="background-color: red; color: white; text-align: center; font-weight: bold;">16</p> <p>Red - V. High Risk</p>	<p>Likelihood :4 Impact :4</p> <p style="background-color: red; color: white; text-align: center; font-weight: bold;">16</p> <p>Red - V. High Risk</p>	<p>04/11/2019 Quarter 2 revenue report will go to Cabinet on 13 Nov 2019 and confirms that £6.1m of the corporate contingency remains unallocated half-way through the year. If this remains unallocated at the end of the year, these funds will help build the Council's financial resilience further. That decision will be taken later in the year. Where services are reporting adverse variations, the mitigating management actions that are in place are included in the budget monitoring report.</p>

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	<p>ORG0011</p> <p>Risk Owner: Chris Squire</p> <p>Next Risk Review Date: 02/11/2019</p>	<p>Risk Description: Strategic Risk 2017: 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 4. Adverse publicity and damage to reputation for the Council 5. Increased audit inspection 6. Increased costs and financial penalties</p>	<p>Likelihood :5 Impact :5</p> <p style="text-align: center;">25</p> <p>Red - V. High Risk</p>	<p>o Create common processes so staff can be interchanged across County</p> <p>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. 18/03/19 structure change in County Hall team and vacancies in areas. intend to have staff instructions complete by 31/08/19. Consultation ended on 20/09/19. Changes to be in place by 31 December 19. New buildings on line by 1st April 2020. <i>In Progress (75% complete)</i></p>	<p>Heidi Boyle 27/12/2019 31/12/2019</p>	<p>Likelihood :3 Impact :5</p> <p style="text-align: center;">15</p> <p>Amber - High Risk</p>	<p>Likelihood :3 Impact :5</p> <p style="text-align: center;">15</p> <p>Amber - High Risk</p>	<p>02/10/2019</p>

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	ORG0009 Risk Owner: Julian Wooster Next Risk Review Date: 29/02/2020	Risk Description: Strategic Risk 2017: 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 through lack of provision of service. 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			Likelihood :3 Impact :5 15 Amber - High Risk	Likelihood :3 Impact :5 15 Amber - High Risk	11/11/2019 The annual conversation with Ofsted took place in September 2019. In respect of Children's Social Care Ofsted said that Somerset felt more confident as an organisation. Whilst practice is improving there are still some inconsistencies. The SEND Inspection is still awaited.
	ORG0002 Risk Owner: Paula Hewitt Next Risk Review Date: 13/11/2019	Risk Description: Strategic Risk 2019: Commissioning across SCC: Failure to adopt and follow the principles contained with the Commissioning Vision and Operation Model, to understand links and opportunities across the system (internally and externally) and to commission effectively Across the organisation. Cause: Commissioning Teams and those with responsibility for commissioning have different approaches across the organisation. Some commissioners lack the skills to commission effectively. Consequence:	Likelihood :5 Impact :5 25 Red - V. High Risk			Likelihood :3 Impact :4 12 Yellow - Medium Risk	Likelihood :3 Impact :4 12 Yellow - Medium Risk	13/08/2019 There are no actions for this risk. These need to be added by the strategic manager for commissioning development. However she is currently on secondment. P Hewitt 13/08/19

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		Results in inconsistent, inefficient and ineffective commissioning across the organisation.						
	ORG0007	<p>Risk Description: Strategic Risk 2019 update: Business Continuity: Service interruptions are not planned for and are therefore unmitigated</p> <p>Cause: Managers do not plan effectively to mitigate business continuity disruptions to the delivery of SCC services.</p> <p>Consequence: Impacts on service users ranging from inconvenience to serious harm and death; potential for additional unplanned costs for SCC and reputational damage. loss of staff, premises, IT, utilities, contract failure, supply chain disruptions, unpredictable unfunded burdens or other external factors could lead to interruptions to service delivery.</p>	<p>Likelihood :3 Impact :5</p> <p style="text-align: center;">15</p> <p>Amber - High Risk</p>	<p>o 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). This has been overtaken by events. Intention now is to use the no-deal Brexit planning as this year's corporate test and to hold a workshop later in the year to evaluate the effectiveness of the planning and to capture lessons. <i>In Progress (30% complete)</i></p>	<p>Jacob Forgham 25/12/2019 30/03/2020</p>	<p>Likelihood :3 Impact :4</p> <p style="text-align: center;">12</p> <p>Yellow - Medium Risk</p>	<p>Likelihood :3 Impact :4</p> <p style="text-align: center;">12</p> <p>Yellow - Medium Risk</p>	09/09/2019

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				<p>◦ Mobile telecoms review 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. Review: 19/10/2019 - SIMs on other networks are now available to purchase by business units (at a cost to each area of the business.) Personal mobile phones can now run teams for communications in the even of the SCC network being unavailable, and SCC phones have the option to run WIFI calling in the even of a failure of the 3g or 4g Network. Future work around UC strategy will move SCC to cloud PBX technology and this will provide resilience by using a telecoms provider and the Microsoft cloud to make calls. This will be available on SCC and personal phones.</p> <p>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.</p> <p>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</p>	Dave Littlewood 31/03/2020 31/03/2020			

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				<p>could still access email and have contact (as proven in the outage of the EE network a few weeks ago) <i>In Progress</i> (90% complete)</p> <ul style="list-style-type: none"> Annual corporate guidance and templates update or after activation of the corporate business continuity plan. <i>In Progress</i> (10% complete) Ensure all service level business continuity plans are updated annually. <i>In Progress</i> (10% complete) Plan for no-deal Brexit impacts using the framework of the corporate BC plan <i>In Progress</i> (80% complete) 	<p>Jacob Forgham 25/12/2019</p> <p>Jacob Forgham 25/12/2019</p> <p>Nicola Dawson 14/01/2020 31/10/2019</p>			
	<p>ORG0032</p> <p>Risk Owner: Simon Clifford 2</p> <p>Next Risk Review Date: 01/01/2020</p>	<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>Likelihood :5 Impact :4</p> <p style="background-color: red; color: white; text-align: center; padding: 2px;">20</p> <p>Red - V. High Risk</p>	<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; Major deferral to allow Microsoft to implement the IAR <i>In Progress</i> (40% complete) 	<p>Rebecca Martin 21/02/2020 31/03/2020</p>	<p>Likelihood :3 Impact :4</p> <p style="background-color: yellow; text-align: center; padding: 2px;">12</p> <p>Yellow - Medium Risk</p>	<p>Likelihood :3 Impact :4</p> <p style="background-color: yellow; text-align: center; padding: 2px;">12</p> <p>Yellow - Medium Risk</p>	<p>01/07/2019 risk mitigation continues through improved firewalls and postponement of Cloud Migration.</p>

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		<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>ORG0052</p> <p>Risk Owner: Patrick Flaherty</p> <p>Next Risk Review Date: 17/10/2019</p>	<p>Risk Description: Strategic Risk 2019: Significant disruption to services post 31st October if the UK leaves the European Union because of a "No Deal Brexit"</p> <p>Cause: The current uncertainty into the detail of the UK withdrawal agreement and with insufficient time to plan mitigation especially where Government guidance is not provided or provided very late.</p> <p>Consequence: Based on the documentation received so far, consequences are likely to be; * The loss of EU funding which, if not replaced by Central Government, may pose a risk to the economic and social programmes of the Council and its partners. * Interest rates and exchange rates may be affected by the withdrawal process impacting on the affordability of the Council's capital programme. * Restrictions on the free movement of people could lead to skills gaps in the Council, our partner organisations and local businesses.</p>	<p>Likelihood :5 Impact :5</p> <p style="background-color: red; color: white; text-align: center;">25</p> <p>Red - V. High Risk</p>			<p>Likelihood :4 Impact :3</p> <p style="background-color: yellow; text-align: center;">12</p> <p>Yellow - Medium Risk</p>	<p>Likelihood :3 Impact :3</p> <p style="background-color: yellow; text-align: center;">9</p> <p>Yellow - Medium Risk</p>	10/09/2019

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		* Disruption to supplies, increased demands for service, price increases and potential loss of income						
	ORG0024	<p>Risk Description: Strategic Risk 2019: Market management and development: Failure to effectively monitor and manage our markets (and supply chains) to ensure we optimise value for money, income generation opportunities and protect ourselves against unsustainable suppliers / supply chains.</p> <p>Cause: Lack of coordination across the organisation in terms of our commercial and market development activity. There is limited understanding and shared learning of supplier strengths and weaknesses, or around concerns with our markets. There is also a lack of control over our principle supply chains.</p> <p>Consequence: Loss of customer confidence and trust in the Council, impacting on the reputation of the council. Lack of supplier confidence, restricting our ability to deliver front line services.</p>	<p>Likelihood :4 Impact :4</p> <p style="background-color: red; color: white; text-align: center; padding: 2px;">16</p> <p>Red - V. High Risk</p>	<p>o 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. Directorates now adapting to new approach. <i>In Progress (90% complete)</i></p>	<p>Simon Clifford 2 16/03/2020 31/03/2020</p>	<p>Likelihood :3 Impact :4</p> <p style="background-color: yellow; text-align: center; padding: 2px;">12</p> <p>Yellow - Medium Risk</p>	<p>Likelihood :3 Impact :3</p> <p style="background-color: yellow; text-align: center; padding: 2px;">9</p> <p>Yellow - Medium Risk</p>	<p>07/05/2019 Risk has been updated and reviewed.</p>

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	<p>ORG0022</p> <p>Risk Owner: Simon Clifford 2</p> <p>Next Risk Review Date: 19/02/2020</p>	<p>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.</p> <p>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</p> <p>Consequence: The effect of this is to leave us with a lower level of security and increased vulnerability to malicious attacks by third parties on our IT systems.</p>	<p>Likelihood :3 Impact :5</p> <p style="background-color: orange; text-align: center; color: white; font-weight: bold;">15</p> <p>Amber - High Risk</p>	<p>◦ Increase awareness & understanding 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</p> <p>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. <i>In Progress (50% complete)</i></p>	<p>Dave Littlewood 19/02/2020</p>	<p>Likelihood :3 Impact :4</p> <p style="background-color: yellow; text-align: center; font-weight: bold;">12</p> <p>Yellow - Medium Risk</p>	<p>Likelihood :3 Impact :3</p> <p style="background-color: yellow; text-align: center; font-weight: bold;">9</p> <p>Yellow - Medium Risk</p>	<p>19/08/2019 risk will need to be reviewed early in 2020 as we restart the Cloud migration. until then risk remains constant.</p>

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	ORG0010	<p>Risk Description: Strategic Risk 2017: Safeguarding Adults: We fail to deliver our statutory safeguarding activity in relation to adults</p> <p>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</p> <p>Consequence: leading to increased audit inspections, personal litigation claims, adverse publicity for the council and possible financial penalties</p>	<p>Likelihood :3 Impact :5</p> <p style="text-align: center;">15</p> <p>Amber - High Risk</p>	<p>◦ Improve adult safeguarding conversion rates to ensure team time is spent most effectively on those requiring support</p> <p><i>In Progress (80% complete)</i></p>	<p>Niki Shaw 30/11/2019 31/10/2019</p>	<p>Likelihood :2 Impact :5</p> <p style="text-align: center;">10</p> <p>Green - Low Risk</p>	<p>Likelihood :2 Impact :5</p> <p style="text-align: center;">10</p> <p>Green - Low Risk</p>	<p>15/08/2019 The Adults Safeguarding Service continues to perform well in relation to timeliness and outcomes. The proportion of pathway decisions taken within the target 2 working days has been consistently delivered and the service is also performing well in ensuring the completion of enquiries within the target 60 days.</p> <p>The 2018/19 Safeguarding Adults Collection (SAC National Return) revealed that in 97% of concluded enquiries the risk had been removed or reduced. Where this was not the case this was usually where the person was assessed as having capacity, for example, to chose to remain in contact with the alleged abuser. We await comparative national data later in the autumn.</p> <p>Work is taking place to support and educate local providers to better assess a safeguarding concern from a quality concern, to enhance the conversion rate figure and ensure only appropriate concerns are reaching the safeguarding service for action.</p>

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	ORG0001	<p>Risk Description: Strategic Risk 2017: Civil Emergencies: A major civil emergency results in loss of life and major disruption to services</p> <p>Cause: we do not adequately plan for civil emergencies including the testing of plans and prioritisation of our resources,</p> <p>Consequence: impact on Somerset County Council's reputation and standing locally and Nationally</p>	<p>Likelihood :4 Impact :5</p> <p style="text-align: center;">20</p> <p>Red - V. High Risk</p>	<ul style="list-style-type: none"> ◦ Deliver annual emergency training programme SLACCP training and exercise strategy sets three objectives: delivery of a consistent training & exercising programme for strategic, tactical and operational roles identified within the corporate response & recovery arrangements; delivery of a specific training & exercising programme for roles pre-defined within incident, risk or capability related plans; and provision of guidance material to support both the generic and specific training and exercising programmes. During 2019/20, the focus will be on rolling out more e-learning packages via the new CCU Hub and developing webinars. Workshops and seminars will also be delivered. <i>In Progress (10% complete)</i> ◦ Update the Joint Corporate Emergency Response & Recovery Plan Carry out an update of the generic emergency response and recovery plan for the five Somerset local authorities. <i>In Progress (10% complete)</i> ◦ SLACCP Resilience Board meetings Bring the five Somerset local authorities together three times during 2019/20 to identify resilience issues, assess levels of emergency preparedness and to monitor the delivery of the SLACCP work programme. Meetings are scheduled for June and September 2019 and February 2020. <i>In Progress (10% complete)</i> 	<p>Jacob Forgham 25/12/2019 31/03/2020</p> <p>Jacob Forgham 25/12/2019 31/03/2020</p> <p>Jacob Forgham 25/12/2019 02/03/2020</p>	<p>Likelihood :2 Impact :5</p> <p style="text-align: center;">10</p> <p>Green - Low Risk</p>	<p>Likelihood :2 Impact :5</p> <p style="text-align: center;">10</p> <p>Green - Low Risk</p>	18/09/2019 Update on actions chased. P Hewitt 18/09/19

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				<ul style="list-style-type: none"> ◦ Promote community resilience Promote community resilience: under the Somerset Prepared banner, inform and support residents and communities to be aware of risks and to be prepared. Activities include warning and informing projects, updates to the Somerset Prepared website and a Somerset Prepared Community Resilience Conference in October. <i>In Progress (10% complete)</i> 	Jacob Forgham 25/12/2019 31/03/2020			
	ORG0042	<p>Risk Description: Strategic Risk 2017: 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 & retain suitably qualified people to work for the Council</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="text-align: center;">16</p> <p>Red - V. High Risk</p>			<p>Likelihood :3 Impact :3</p> <p style="text-align: center;">9</p> <p>Yellow - Medium Risk</p>	<p>Likelihood :3 Impact :3</p> <p style="text-align: center;">9</p> <p>Yellow - Medium Risk</p>	<p>02/10/2019 Considerable work has been done to look at succession planning in key areas, This includes the continued development of our apprenticeship frameworks, with 12 social worker degree apprenticeships starting in October, and the start of the social worker degree programme at Yeovil College. We continue work in ECI on succession planning and workforce profiling, with good engagement from the management team.</p>

Report Selection Criteria

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