



SSDC Strategic & Corporate Risks

2022-23 Q3 Status

Data Extract on 12th January 2023)

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V1.00

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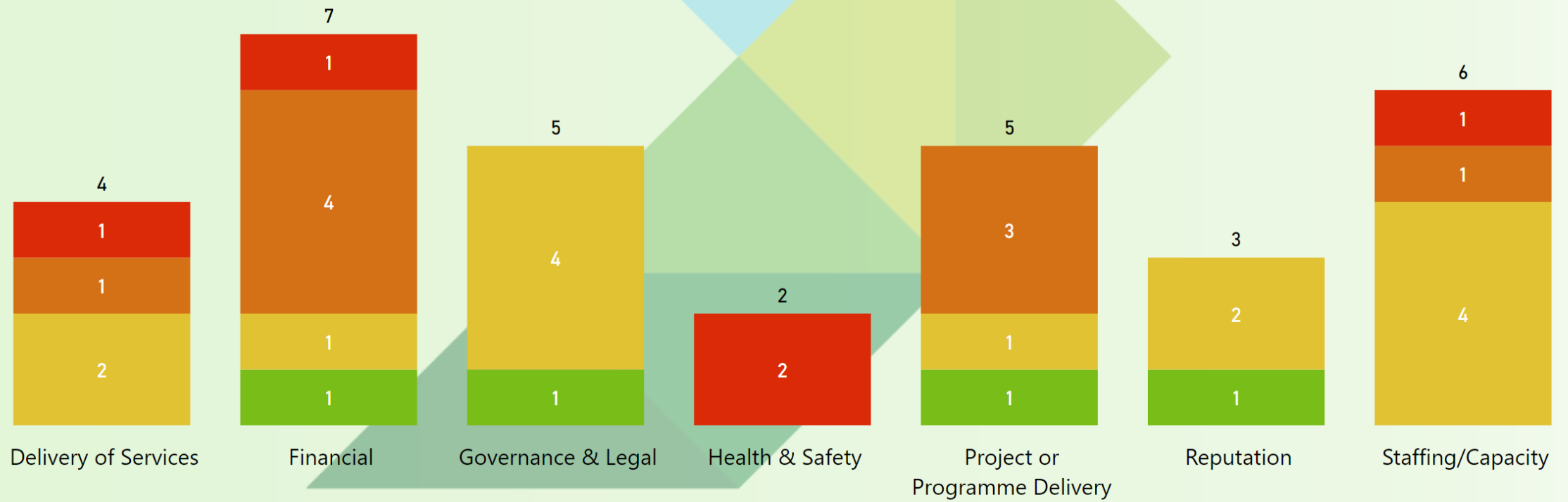
Strategic and Corporate Risk Report Summary - 22/23 Q3



32
Total of Active/Live Risks

11 Strategic **21** Corporate

| Score | Total Green Risks | Total Yellow Risks | Total Orange Risks | Total Red Risks |
|-----------------------|-------------------|--------------------|--------------------|-----------------|
| Inherent Score | 0 | 5 | 10 | 17 |
| Residual Score | 4 | 14 | 9 | 5 |



Strategic and Corporate Risk Movements - 22/23 Q3



| RiskLevel | Title | Category | RiskTitle | Owner | March | June | September | December |
|---------------|-----------|-------------------------------|--|----------------|-------|------|-----------|----------|
| (1) Strategic | HAS-01 | Health & Safety | Failures in Statutory compliance and practice - Health & Safety | Nicola Hix | 23 | 23 | 23 | 23 |
| | PAP-01 | Project or Programme Delivery | LGR programe creates tensions shifting priorities / tensions between BAU & LGR work | Jan Gamon | 20 | 21 | 21 | 20 |
| | PAP-02 | Project or Programme Delivery | Capital costs are spiralling | Jan Gamon | 20 | 21 | 21 | 20 |
| | PEOPLE-01 | Staffing/Capacity | Risk of a potential lack of organisational capacity to deliver key objectives. | Nicola Hix | 15 | 15 | 15 | 15 |
| | GAL-01 | Governance & Legal | Failure in Statutory compliance and practice - Information Governance | Jill Byron | 15 | 14 | 14 | 14 |
| | REP-01 | Reputation | Risk that SSDC members lose engagement and focus on strategic priorities post election during unitary transition | Jane Portman | 18 | 13 | 13 | 13 |
| | DOS-03 | Delivery of Services | Ineffective or inadequate delivery to customers through SSDC partnerships | Kirsty Larkins | 14 | 14 | 14 | 14 |
| | FIN-06 | Financial | Management of commercial Investments | Karen Watling | 1 | 18 | 18 | 18 |
| | DOS-01 | Delivery of Services | COVID - Risk of SSDC not being prepared for Business continuity issues / Civil contingency enactment | Nicola Hix | 14 | 13 | 13 | 13 |
| | GAL-02 | Governance & Legal | Failure in Statutory compliance and practice - Equalities | Jan Gamon | 14 | 13 | 13 | 13 |
| | FIN-07 | Financial | Governance and decision making around use of public money | Karen Watling | 8 | 8 | 8 | 8 |

| RiskLevel | Title | Category | RiskTitle | Owner | March | June | September | December |
|---------------|-----------|-------------------------------|---|----------------|-------|------|-----------|----------|
| (2) Corporate | DOS-02 | Delivery of Services | Increasing numbers of public needing our services | Kirsty Larkins | 25 | 25 | 25 | 25 |
| | HAS-02 | Health & Safety | Poor implementation or failure of new Health and Safety framework (systems and infrastructure) | Jess Power | 23 | 23 | 23 | 23 |
| | FIN-03 | Financial | Lower Business Rates Income than anticipated | Karen Watling | 21 | 21 | 21 | 21 |
| | PEOPLE-03 | Staffing/Capacity | Inability to recruit to meet resourcing needs | Amanda Kotvics | 21 | 21 | 21 | 21 |
| | PAP-04 | Project or Programme Delivery | Poor or partial planning and execution of strategic priority projects | Natalie Fortt | 23 | 23 | 18 | 18 |
| | FIN-01 | Financial | Rising costs of borrowing adding increased pressure on budgets | Karen Watling | 20 | 20 | 20 | 20 |
| | FIN-02 | Financial | Increase in inflation risking cost overspends | Karen Watling | 20 | 20 | 20 | 20 |
| | DOS-04 | Delivery of Services | Risk to the confidentiality, integrity or availability of information assets due to malicious activity or user error. | Toffer Beattie | 19 | 19 | 19 | 19 |
| | FIN-05 | Financial | Further local or national pandemic restrictions impacting daily council business | Karen Watling | 19 | 19 | 19 | 19 |
| | PEOPLE-04 | Staffing/Capacity | Staff morale & wellbeing affected by organisational pressures and unitary transition | Amanda Kotvics | 21 | 21 | 15 | 15 |
| | PEOPLE-02 | Staffing/Capacity | Risk of failing to retain staff | Amanda Kotvics | 14 | 14 | 20 | 20 |
| | PEOPLE-05 | Staffing/Capacity | SSDC staff have a lack of change readiness/resilience to the LGR transition period | Amanda Kotvics | 20 | 20 | 14 | 14 |
| | PEOPLE-06 | Staffing/Capacity | Risk of deterioration in quality of work being delivered by staff | Amanda Kotvics | 16 | 16 | 15 | 15 |
| | GAL-05 | Governance & Legal | Failure to deliver mandatory statutory functions (e.g. planning, licensing) | Kirsty Larkins | 15 | 15 | 15 | 15 |
| | PAP-05 | Project or Programme Delivery | Loss of stakeholder support to projects | Natalie Fortt | 14 | 14 | 14 | 14 |
| | GAL-03 | Governance & Legal | Risk of officer or member inducement, bribery or corruption | Jill Byron | 13 | 13 | 13 | 13 |
| | REP-03 | Reputation | Risk of reputational damage if regeneration projects are not delivered or proposed changes are not well presented. | Natalie Fortt | 13 | 13 | 13 | 13 |
| | FIN-04 | Financial | Financial system risks | Paul Matravers | 12 | 12 | 12 | 12 |
| | GAL-04 | Governance & Legal | Failure to comply with corporate procedures | Jane Portman | 9 | 9 | 9 | 9 |
| | PAP-03 | Project or Programme Delivery | Lack of organisational knowledge base on projects | Natalie Fortt | 8 | 8 | 8 | 8 |
| | REP-02 | Reputation | Risk of reputational harm to SSDC due to all ongoing issues | Richard Birch | 1 | 9 | 9 | 9 |



Inherent Score

| | | | | | | |
|----------------|-----------------------------------|--------------|--------------|---------------|------------------|-------------------|
| LIKELIHOOD (A) | 5 Certain >80% chance | 0 | 0 | 0 | 6 | 4 |
| | 4 Probable 51 to 80% chance | 0 | 0 | 2 | 5 | 3 |
| | 3 Possible 21 - 50% chance | 0 | 0 | 3 | 4 | 4 |
| | 2 Unlikely 6 - 20% chance | 0 | 0 | 0 | 1 | 0 |
| | 1 Remote 0-5% chance | 0 | 0 | 0 | 0 | 0 |
| | | Minimal 1 | Limited 2 | Moderate 3 | Significant 4 | Catastrophic 5 |
| IMPACT (B) | | | | | | |

Residual Score

| | | | | | | |
|----------------|-----------------------------------|--------------|--------------|---------------|------------------|-------------------|
| LIKELIHOOD (A) | 5 Certain >80% chance | 0 | 0 | 0 | 2 | 1 |
| | 4 Probable 51 to 80% chance | 0 | 0 | 4 | 5 | 0 |
| | 3 Possible 21 - 50% chance | 0 | 2 | 4 | 2 | 2 |
| | 2 Unlikely 6 - 20% chance | 0 | 2 | 5 | 2 | 0 |
| | 1 Remote 0-5% chance | 0 | 0 | 0 | 1 | 0 |
| | | Minimal 1 | Limited 2 | Moderate 3 | Significant 4 | Catastrophic 5 |
| IMPACT (B) | | | | | | |

32

Total Risks

| Title | Risk Title | Risk Owner | RiskLevel | Category | Score |
|-----------|---|----------------|---------------|-------------------------------|-------|
| DOS-02 | Increasing numbers of public needing our services | Kirsty Larkins | (2) Corporate | Delivery of Services | 25 |
| HAS-01 | Failures in Statutory compliance and practice - Health & Safety | Nicola Hix | (1) Strategic | Health & Safety | 23 |
| HAS-02 | Poor implementation or failure of new Health and Safety framework (systems and infrastructure) | Jess Power | (2) Corporate | Health & Safety | 23 |
| FIN-03 | Lower Business Rates Income than anticipated | Karen Watling | (2) Corporate | Financial | 21 |
| PEOPLE-03 | Inability to recruit to meet resourcing needs | Amanda Kotvics | (2) Corporate | Staffing/Capacity | 21 |
| FIN-01 | Rising costs of borrowing adding increased pressure on budgets | Karen Watling | (2) Corporate | Financial | 20 |
| FIN-02 | Increase in inflation risking cost overspends | Karen Watling | (2) Corporate | Financial | 20 |
| PAP-01 | LGR programe creates tensions shifting priorities / tensions between BAU & LGR work | Jan Gamon | (1) Strategic | Project or Programme Delivery | 20 |
| PAP-02 | Capital costs are spiralling | Jan Gamon | (1) Strategic | Project or Programme Delivery | 20 |
| PEOPLE-02 | Risk of failing to retain staff | Amanda Kotvics | (2) Corporate | Staffing/Capacity | 20 |
| DOS-04 | Risk to the confidentiality, integrity or availability of information assets due to malicious activity or user error. | Toffer Beattie | (2) Corporate | Delivery of Services | 19 |
| FIN-05 | Further local or national pandemic restrictions impacting daily council business | Karen Watling | (2) Corporate | Financial | 19 |
| FIN-06 | Management of commercial Investments | Karen Watling | (1) Strategic | Financial | 18 |
| PAP-04 | Poor or partial planning and execution of strategic priority projects | Natalie Fortt | (2) Corporate | Project or Programme Delivery | 18 |
| GAL-05 | Failure to deliver mandatory statutory functions (e.g. planning, licensing) | Kirsty Larkins | (2) Corporate | Governance & Legal | 15 |
| PEOPLE-01 | Risk of a potential lack of organisational capacity to deliver key objectives. | Nicola Hix | (1) Strategic | Staffing/Capacity | 15 |
| PEOPLE-04 | Staff morale & wellbeing affected by organisational pressures and unitary transition | Amanda Kotvics | (2) Corporate | Staffing/Capacity | 15 |
| PEOPLE-06 | Risk of deterioration in quality of work being delivered by staff | Amanda Kotvics | (2) Corporate | Staffing/Capacity | 15 |

| Title | Risk Title | Risk Owner | RiskLevel | Category | Score |
|-----------|--|----------------|---------------|-------------------------------|-------|
| DOS-03 | Ineffective or inadequate delivery to customers through SSDC partnerships | Kirsty Larkins | (1) Strategic | Delivery of Services | 14 |
| GAL-01 | Failure in Statutory compliance and practice - Information Governance | Jill Byron | (1) Strategic | Governance & Legal | 14 |
| PAP-05 | Loss of stakeholder support to projects | Natalie Fortt | (2) Corporate | Project or Programme Delivery | 14 |
| PEOPLE-05 | SSDC staff have a lack of change readiness/resilience to the LGR transition period | Amanda Kotvics | (2) Corporate | Staffing/Capacity | 14 |
| DOS-01 | COVID - Risk of SSDC not being prepared for Business continuity issues / Civil contingency enactment | Nicola Hix | (1) Strategic | Delivery of Services | 13 |
| GAL-02 | Failure in Statutory compliance and practice - Equalities | Jan Gamon | (1) Strategic | Governance & Legal | 13 |
| GAL-03 | Risk of officer or member inducement, bribery or corruption | Jill Byron | (2) Corporate | Governance & Legal | 13 |
| REP-01 | Risk that SSDC members lose engagement and focus on strategic priorities post election during unitary transition | Jane Portman | (1) Strategic | Reputation | 13 |
| REP-03 | Risk of reputational damage if regeneration projects are not delivered or proposed changes are not well presented. | Natalie Fortt | (2) Corporate | Reputation | 13 |
| FIN-04 | Financial system risks | Paul Matravers | (2) Corporate | Financial | 12 |
| GAL-04 | Failure to comply with corporate procedures | Jane Portman | (2) Corporate | Governance & Legal | 9 |
| REP-02 | Risk of reputational harm to SSDC due to all ongoing issues | Richard Birch | (2) Corporate | Reputation | 9 |
| FIN-07 | Governance and decision making around use of public money | Karen Watling | (1) Strategic | Financial | 8 |
| PAP-03 | Lack of organisational knowledge base on projects | Natalie Fortt | (2) Corporate | Project or Programme Delivery | 8 |



| RiskTitle | RiskLevel | Category | Risk Owner | Cause | Effect | I-Score | Controls(MitigatingActions) | R-Score |
|---|------------------|----------------------|----------------|--|--|---------|--|---------|
| Increasing numbers of public needing our services | (2) Corporate | Delivery of Services | Kirsty Larkins | Cause: - COVID has increased stresses for low-income / families in poverty - Significant community impacts from COVID on the most vulnerable | Effect: - Increased demands on services - Increased service costs - shortfall in revenues - Increase in staffing requirements across all service areas | 25 | Monitoring of demand through connect contacts and through partners Implementation of business grants in a timely manner as well as self isolation | 25 |

Risk Description: Including

- Risk title including cause and effects of the risk.
- Risk level which indicates at what level the risk is being managed (SLT, LMT or within a specific project),
- Category of risk, which allows groupings of risks by theme (Staffing, financial, etc)

Risk Scoring and Controls:

- Inherent Risk – the risk score before any controls are applied
- Controls (mitigating actions) – existing measures which should reduce the likelihood of the risk occurring or the impact should the risk occur
- Residual risk – the risk score after the controls are considered

| Key Risk | Item | Action | Response | Status | Due Date |
|----------|------|--|---|----------|------------|
| DOS-02 | 1 | Improve SLA's with partners | New 2022/23 Service Level Agreements issued to Spark Somerst, CASS and Yeovil4Family. Yeovil4Family providing quarterly data and CASS and Spark providing 6 monthly monitoring reports. | Complete | 30/06/2022 |
| DOS-02 | 2 | Review and improve | Work with the highest demand areas within service delivery. Connect, and have improvements plan in place and reviews are ongoing. We continue to use of more automation through technology for Revenues as well as plan in place to ensure resources are put on the areas of focus needed to meet deliverables this financial year. Alternative solutions are also being sought looking at the outsourcing options for both Revenues and Benefits | On-going | 31/10/2022 |
| DOS-02 | 3 | Commissioning of specialist services to compliment existing teams | Commissioning specialist services to reduce homelessness and rough sleeping. Funding identified and Service Level Agreements being signed for 1-3 years to ensure services are delivered to meet needs. | On-going | 31/05/2022 |
| DOS-02 | 4 | Outsource discreet packages of work to address the difficulties in recruiting additional staff | Work is underway, and some outsourcing has started | On-going | 30/12/2022 |
| DOS-02 | 5 | Review staff resources across the Court front line services | | On-going | 30/10/2022 |

Risk Action Plan:

- Further actions identified with the intention to further reduce the residual risk score. Will become controls when fully embedded and effective

Guide to reading the risk page



| RiskTitle | RiskLevel | Category | Risk Owner | Cause | Effect | I-Score | Controls(MitigatingActions) | R-Score |
|---|------------------|----------------------|----------------|---|--|---------|--|---------|
| Increasing numbers of public needing our services | (2) Corporate | Delivery of Services | Kirsty Larkins | Cause: - COVID has increased stresses for low-income / families in poverty - Significant community impacts from COVID on the most vulnerable -Cost of Living Crisis is now impacting a larger number of households, due to increases in energy costs and food - increasing numbers of residents experiencing homelessness, food poverty, domestic violence, redundancy... | Effect: - Increased demands on services - Increased service costs - shortfall in revenues - Increase in staffing requirements across all service areas | 25 | Monitoring of demand through connect contacts and through partners Implementation of business grants in a timely manner as well as self isolation grants Working closely with partner to utilise resources Additional staffing resources started a phase recovery of debt in revenues realignment of budget to support critical areas | 25 |

| Key Risk | Item | Action | Respose | Status | Due Date |
|----------|------|--|--|----------|------------|
| DOS-02 | 5 | Review staff resources across the Council and if appropriate redeploy to front line services | Approach to be discussed at SLT 7/9/2022 Update - 4 Jan 2023 External resources being used to support front line services as after discussion at SLT there was no staff resoruces | On-going | 30/10/2022 |
| DOS-02 | 3 | Commisssioning of specialist services to compliment existing teams | Commissioning specialist services to reduce homelessness and rough sleeping. Funding identified and Service Level Agreeemnts being signed for 1-3 years to ensure services are delivered to meet needs. | On-going | 31/05/2022 |
| DOS-02 | 1 | Improve SLA's with partners | New 2022/23 Service Level Agreements issued to Spark Somerst, CASS and Yeovil4Family. Yeovil4Family providing quarterly data and CASS and Spark providing 6 monthly monitoring reports. | Complete | 30/06/2022 |
| DOS-02 | 2 | Review and challenge of existing service and oppurtunities for improvement | Ongoing work with the highest demand areas within service delivery. Connect, and Planning have improvements plan in place and reviews are ongoing. We continue to explore the use of more automation through technology for Revenues as well as improvement plan in place to ensure resources are put on the areas of focus needed to ensure we meet deliverables this financial year. Alternative solutions are also being seeked through looking at the outsourcing options for both Revenues and Benefits 4 Jan 2023 update - Connect improvement plan has bee successful with improved staff retention and call waits times. For planning - System improvments have been delivered however Planning is still heavily reliant on agency staff and this is being picked up as part of the LGR. Revenues have also delivered improvements in debt recovery adn write off.. They have all temporary roles are now filled and extended past vesting day to ensure BAU and improvement continues. | On-going | 31/10/2022 |
| DOS-02 | 4 | Outsource discreet packages of work to address the difficulties in recruiting additional staff | Work is underway, and some outsourcing has started | On-going | 30/12/2022 |



| RiskTitle | RiskLevel | Category | Risk Owner | Cause | Effect | I-Score | Controls(MitigatingActions) | R-Score |
|---|---------------|-----------------|------------|--|---|---------|---|---------|
| Failures in Statutory compliance and practice - Health & Safety | (1) Strategic | Health & Safety | Nicola Hix | Lack of up to date Policy and compliance documents in high risk areas eg Lufton Single point of failure eg O license holder Newly adopted Health & Safety policy not yet embedded Individual service health & safety polices (chapter 4) to be completed or updated Newly adopted Fire Safety and First aid provision not yet embedded Statutory LMS training not yet completed Service training matrix in need of development | Higher level of accidents and incidents Financial exposure (insurance claims) inability to deliver services through non compliance eg fleet and O license Lack of staff awareness and an increased risk to staff due to lack of training Potential unsafe working practices due to lack of policy development | 24 | Health and safety training now mandatory for all employees, plus relevant training for LMT & Director level. Improved access for staff to regulatory and bespoke H&S training needs including First Aid Quarterly H&S report to SLT and 6 monthly to Audit committee. Health and Safety working group and Strategy groups well attended and operational Ongoing review of policy documents and risk assessments Newly appointed fleet manager, and improvements to fleet management controls. Appointed H&S named person for the council. | 23 |



HAS-01 - Actions



| Key Risk | Item | Action | Respose | Status | Due Date |
|----------|------|--|---|----------|------------|
| HAS-01 | 1 | Completion and continuous review of the Health & Safety action plan. | Work is ongoing, and regular reviews of the action plan take place within the H & S Steering Group. A further review will take placce as part of the annual external audit | On-going | 31/03/2023 |
| HAS-01 | 2 | New fire and first aid systems and controls to be embedded by property services. | | On-going | 31/03/2023 |
| HAS-01 | 5 | Alignment with County Council H&S and property work streams as part of the LGR programme | Work in progress to consolidate software platforms and approaches, to embed for vesting day but also to be implemented as part of Continuous improvement within the SSDC approach. B-Safe training took place on Tuesday 30th August. We now have a training video to use from SCC to train staff in the use of B-Safe and this is planned to commence in December 2022. | On-going | 31/03/2023 |
| HAS-02 | 7 | Schedule in annual audit by extrnal H&S audtors | Planned date of Audit: Q3/Q4 of 22/23 | On-going | 31/03/2023 |
| HAS-01 | 4 | Health & Safety policies – chapter 4 being developed across services | Work underway by service managers, coordinated by Jess Power. Expected completion by Q3 2022/23 26.08.22 - Work on Chapter 4's took longer than aniticpated, however we are now making good progress on this work. | On-going | 20/01/2023 |
| HAS-01 | 3 | H&S training Rollout: IOSH training for all Managers and Directors. H&S standards within the mandatory employee training programme. Corporate Manslaughter Training for SLT. | LMT and Line Managers were asked to identify training needs. H & S training has been identified in specific services. All of LMT and SLT have been provided with details to complete the appropriate IOSH course. Target completion is by 31st December 2022 for this although at present this is looking unlikely due to lack of completions to date. The corporate manslaughter training option was found as a Learning management course but it was not deemed suitable. Corporate Manslaughter training is booked in for SLT and LMT on 8th December with an external trainer. | On-going | 31/12/2022 |



| RiskTitle | RiskLevel | Category | Risk Owner | Cause | Effect | I-Score | Controls(MitigatingActions) | R-Score |
|--|------------------|-----------------|------------|--|---|---------|--|---------|
| Poor implementation or failure of new Health and Safety framework (systems and infrastructure) | (2) Corporate | Health & Safety | Jess Power | <p>This Health and Safety risk is about the (potential) limitations of the system/infrastructure of H&S management at the Council</p> <ul style="list-style-type: none"> • Failure to manage the health and safety risk of the Council's undertakings • Lack of Health and Safety training • Lack of awareness and understanding of duties and responsibilities • Lack of staff resources to carry out the required Health and Safety tasks • Failure of operational teams to adopt and implement the new Health and Safety framework | <ul style="list-style-type: none"> • Failure to protect the Public and Staff (Health and Safety) • Increase in the number of health and safety incidents/accidents and near misses • Inability to carry out roles safely and effectively • Potential Impact of Death or injury • Damage to reputation • Key Health and Safety work is delayed or missed • Litigation or prosecutions • Financial claims and increasing insurance premiums | 24 | <ul style="list-style-type: none"> • Mandatory Health and Safety Training for all staff (on Learning Management System) Introduction to H&S course with annual refresh • Mandatory specific training for staff based on role (H&S training for Managers course with annual refresh plus various courses in the H & S courses matrix - as recommended by H&S Groups with guidance from H&S Competent Person) Environmental Services have recently undergone specific training. • 12 weekly Working Group and 6 weekly Steering Group with specific meetings to discuss the H&S Work programme as well. • Corporate H&S policy reviewed (annually in November) and updated as required (by Lead Specialist Strategic Planning in agreement with the Director for Strategy and Support and Leader of Council) • Regular H&S management reports to SLT (at least quarterly through the Lead Specialist Strategic Planning) • Annual H&S report to Audit Committee in May (through the Lead Specialist Strategic Planning) • The H & S Steering Group commissions an annual audit and we receive an independent review of the H & S framework. • The Steering Group agrees the H & S Key Performance Indicators for use for the following year. | 23 |



HAS-02 - Actions



| Key Risk | Item | Action | Respose | Status | Due Date |
|----------|------|---|--|----------|------------|
| HAS-02 | 1 | Health and Safety is a standing item on management and staff team meetings (The Lead Specialist Strategic Planning will include this as a recommendation to SLT and roll out accordingly across LMT/PMF) | The Lead Specialist Strategic Planning raised this with the Lead Specialist People and Organisational Development as an agenda item. This was also raised during Working and Steering Group meetings. LSSP to ensure this is being followed through additional communications. | On-going | 31/03/2023 |
| HAS-02 | 3 | Risk assessments and safe systems of work are easily accessible by all (The Lead Specialist Strategic Planning will ensure this work is carried out by September 2022) | <p>26.08.22 This work was delayed due to the move away from SSDC systems and over to B-Safe for SCC. The revised due date allows for the risk assessments to be updated and transferred.</p> <p>07.12.22 Investigations took place with B-Safe to see if data could be transferred easily from one system to another and this took a lot longer than anticipated. Unfortunately the answer as no it couldn't be transferred in to a format we could use. Plans are now in place to train up staff to enter up to date risk assessments directly in to the system.</p> | On-going | 31/01/2023 |
| HAS-01 | 4 | Health & Safety policies – chapter 4 being developed across services | <p>Work underway by service managers, coordinated by Jess Power. Expected completion by Q3 2022/23</p> <p>26.08.22 - Work on Chapter 4's took longer than anticipated, however we are now making good progress on this work.</p> <p>07.12.22 - Key chapter 4's have been completed but there are still more to follow.</p> | On-going | 20/01/2023 |
| HAS-02 | 2 | Health and Safety is a key feature of personal development plans and reviews (The Lead Specialist Strategic Planning will work with the Lead Specialist People to include this in the templates going forward). | Lead Specialist People has updated the return to work form to include questions about driving following sickness etc. The SCC Appraisal form is being considered as an option at SSDC, which includes DSE assessments etc. | On-going | 31/12/2022 |
| HAS-02 | 4 | H&S is adequately resourced (The Lead Specialist Strategic Planning will carry out an audit of the Health and Safety workload within Strategy and ensure the Council has sufficient resources to do this work or make a recommendation for further resources or assistance) | <p>The Lead Specialist is working with the People Manager to recruit a case officer agency temp role to assist in this H and S space. The Competent Person is continuing to advise on the H & S aspects of the Council.</p> <p>07.12.22 - A Case Officer with a specific remit for H & S support was appointed and is helping the team on all h & s matters within SSDC. Without this resource we would not have been able to assist the Environmental Services team with their H & S issues. The Strategic Planning Specialist has also been helping to develop policies and assist with actions.</p> | Complete | 31/10/2022 |

HAS-02 - Actions



| Key Risk | Item | Action | Response | Status | Due Date |
|----------|------|---|---|----------|------------|
| HAS-01 | 5 | Alignment with County Council H&S and property work streams as part of the LGR programme | <p>Work in progress to consolidate software platforms and approaches, to embed for vesting day but also to be implemented as part of Continuous improvement within the SSDC approach. B-Safe training took place on Tuesday 30th August.</p> <p>We now have a training video to use from SCC to train staff in the use of B-Safe and this is planned to commence in December 2022.</p> | On-going | 31/03/2023 |
| HAS-02 | 5 | H& S Collaboration with District and County colleagues as part of the H&S LGR Workstream (The Lead Specialist Strategic Planning and Strategic Planning Specialist represent SSDC on the LGR H&S Group) | <p>Ongoing work. Contacts and network is established.</p> <p>07.12.22 - The Lead Specialist Strategic Planning is comfortable with the current working relationships across the LGR Group and therefore does not see this action as ongoing.</p> | Complete | 31/03/2023 |
| HAS-02 | 7 | Schedule in annual audit by external H&S auditors | <p>Planned date of Audit: Q3/Q4 of 22/23</p> <p>07.12.22 - A H & S Audit has been requested to SWAP.</p> | On-going | 31/03/2023 |
| HAS-02 | 6 | Schedule to review the H&S procedures reviewed regularly by the H&S Steering Group and H & S Working Group (at least annually) | <p>Work on H & S policies has commenced and the Specialist Strategic Planning is working on reviewing and refreshing policies and associated procedures. Aim is to provide up to date H & S policies in support of the SSDC overarching policy by end of December 2022 to ensure we have this work completed before Unitary.</p> <p>07.12.22 - The key outstanding policy - Lone Working (which has been outstanding for some time) was approved at SLT today. There are a couple of outstanding Operational policies largely for Lufton to be adopted. However there are no plans to draft any further policies outside of the existing policy suite. This is for the LGR team to produce ready for Vesting Day.</p> | Complete | 31/12/2022 |



| RiskTitle | RiskLevel | Category | Risk Owner | Cause | Effect | I-Score | Controls(MitigatingActions) | R-Score |
|--|------------------|-----------|---------------|--|---|---------|--|---------|
| Lower Business Rates Income than anticipated | (2) Corporate | Financial | Karen Watling | Cause: - Funding from business rates is based on the accurate calculation of the NNDR1 form. - There is volatility in the estimates due to various factors, such as anticipated discretionary and mandatory reliefs, growth in the rateable value, bad debts, and volume of appeals. - All of these factors can affect the surplus or deficit position on the collection fund | Effect: - Potentially more use of reserves than anticipated - Organisational effort in collecting debts | 25 | - Collection Fund estimates have been produced using recommended guidance from CIPFA (Chartered Institute of Public Finance & Accountancy) - Review of the figures has been undertaken by LG Futures, an external consultancy firm - Significant bad debt provision is held in the collection fund | 21 |

| Key Risk | Item | Action | Response | Status | Due Date |
|----------|------|---|--|----------|------------|
| FIN-03 | 1 | Revenue bid made for interim staff to start to write off old debts, allowing existing staff to chase newer debt | Bid successful for additional staff as part of budget setting for the financial year 2022/23 | Complete | 30/12/2022 |



| RiskTitle | RiskLevel | Category | Risk Owner | Cause | Effect | I-Score | Controls(MitigatingActions) | R-Score |
|---|------------------|-----------------------|-------------------|---|--|---------|--|---------|
| Inability to recruit to meet resourcing needs | (2) Corporate | Staffing/ Capacity | Amanda Kotvics | Market Challenges (Payrates) LGR - uncertainty Current fixed term strategy Reputation in some professional / technical area Shortages and demographiic shift in come professional fields (planning,) South Somerset is not geographically well placed to recruit. | Impact on BAU delivery Stresses on existing workload to backfill gaps Customer and stakeholder impacts Turnover, sickness and retention challenges Reliance on temporary staff | 25 | - Working across districts and sharing resources through LGR Recruitment Protocols on mutual aid, secondments, collaboration. - Strong LGR programme management and reporting to allow identification and resolution of potential staffing issues (i.e., statutory roles, difficulties to recruit and potential collaborative solutions/support) - New recruitment process to accelerate recruitment needs - Existing agency arrangements reviewed and monitored up to vesting day - Review of all Fixed term, contractor and agency staff to identify pinch points with SLT and agree extensions post vesting day (currently with LGR Finance Jan 2023) | 21 |

| Key Risk | Item | Action | Response | Status | Due Date |
|-----------|------|---|---|-----------|------------|
| PEOPLE-03 | 3 | Conduct a market rates analysis for hard to recruit areas | Analysis completed and job evaluations completed. | Complete | 30/05/2022 |
| PEOPLE-01 | 2 | Explore options for Joint staffing and resourcing of key roles across partner authorities. | Draft recruitment Protocol being launched w/c 4/5/22, which includes mutual aid (sharing resources) before any recruitment activity takes place. As an organisation we are starting to create SLAs with SCC to share resources. | Complete | 30/04/2022 |
| PEOPLE-01 | 10 | Develop an agency strategy to supplement SSDC capacity | Interim approach being led by the People Team (not procurement) untill new arrangement procured by SCC. New interim approach implemented. New agency agreements should be reviewed by legal before being entered into by individual people managers. | Complete | 01/08/2022 |
| PEOPLE-03 | 2 | Seek clarity on LGR recruitment policy and guidance to understand whether SSDC have discretion on fixed term versus FT appointments, and communicate these principles to PMF and LMT (Avoid Ad-hoc decisions) | New Recruitment Protocol being launched w/c 4/5/22, which all 5 councils have agreed to. Currently all posts, except SLT, can be recruited to permanently. This will change as vesting day approaches. The Protocol will be shared with SLT/LMT as soon as it is launched. PMF/SLT have seen a draft version. | Complete | 31/03/2022 |
| PEOPLE-01 | 7 | Establish a Grade 5 succession strategy (into and out of this level) , to support Specialists, Team Leaders and LMT with LGR backfill | Not to be progressed due to LGR pressures and limited organisational capacity, and potential mis-alignment with SUA structures. | Cancelled | 15/05/2022 |
| PEOPLE-02 | 1 | Targeted programme to Identify and embed training programmes to attract & retain staff with specialist skills (Hard to fill roles) | Roles identified. Being addressed tactically between now and vesting day due to limited resources and time frame to address this. | Cancelled | 31/05/2022 |
| PEOPLE-01 | 9 | Data gathering to understand agency arrangements for SSDC (Spend, Partners, Stakeholders) | Spend Analysis and data gathering concluded and shared internally and with SCC. Contracting arrangements are under review in conjunction with SCC who are leading on a procurement exercise for a new agency supplier for SSDC/SCC and the new authority. Should be concluded by end 2022. | Complete | 30/11/2022 |
| PEOPLE-03 | 1 | Improved external communication and marketing of SSDC and Somerset Council in recruitment advertising. | Use of LGR portal to communicate opportunities | Complete | 11/03/2022 |