

## Risk Register Business Unit Display - 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
ORG0054  Risk Owner: Michele Cusack  Next Risk Review Date: 09/03/2021	<b>Risk Description:</b> Strategic Risk 2020: Climate Change: SCC fails to take action to mitigate and adapt to climate change. This includes failing to commit adequate resources and/or failing to act early enough  <b>Cause:</b> Until the strategy has been adopted by all 5 authorities full councils and until implementation governance & funding package has been agreed (this includes approval of MTFP pressure bid)  <b>Consequence:</b> Adverse reputation, political fall-out and failure to act	Likelihood :5 Impact :5  <b>25</b>  Red - V. High Risk	<ul style="list-style-type: none"> <li>Strategy going through formal governance process November 2020 <i>In Progress (Reactive) (10% complete)</i></li> <li>Draft Governance proposal &amp; funding requirements to oversee implementation &amp; impact of Strategy going to CEO/Leaders for consideration Draft Governance proposal &amp; funding requirements to oversee implementation &amp; impact of Strategy going to CEO/Leaders for consideration <i>In Progress (Reactive) (10% complete)</i></li> </ul>	Michele Cusack 09/03/2021  Michele Cusack 09/03/2021	Likelihood :5 Impact :5  <b>25</b>  Red - V. High Risk	Likelihood : Impact :	09/02/2021 The lack of a formalised joined up approach with the Districts to fund and prioritise funding of the CE Strategy Action Plan remains a real concern and risk to the delivery and reputation of the project. Until this and the commitment from the Districts is secured there is limited mitigation that can be put in place to reduce the risk.
ORG0053  Risk Owner: Patrick Flaherty  Next Risk Review Date: 06/11/2020	<b>Risk Description:</b> Strategic Risk 2020: Organisational Resilience: Without the minimum level of capacity and resource, the resilience of the organisation is compromised.  <b>Cause:</b> 1. Emergency response to Covid-19 - redeployment of staff, staff absence  <b>Consequence:</b> Additional pressure on service delivery	Likelihood :5 Impact :5  <b>25</b>  Red - V. High Risk	<ul style="list-style-type: none"> <li>BCP Annual corporate guidance and templates update or after activation of the corporate business continuity plan. review 06/07/2020: <i>In Progress (Reactive) (10% complete)</i></li> <li>BCP Ensure all service level business continuity plans are updated annually.  <i>In Progress (Reactive) (50% complete)</i></li> <li>ICT Mobile telecoms review All mobiles not unlocked and available to use with alternative network SIMS. Teams mobile app can make calls on WIFI, so mitigation in place if 4g Network fails <i>In Progress (Reactive)</i></li> </ul>	Nicola Dawson 12/02/2021  Nicola Dawson 12/02/2021  Dave Littlewood 04/05/2021	Likelihood :4 Impact :5  <b>20</b>  Red - V. High Risk	Likelihood : Impact :	

	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"> <li>◦ <b>CCU Delivery of an annual training and exercising programme for staff with identified response roles</b> <i>In Progress (Reactive) (50% complete)</i></li> <li>◦ <b>CCU Maintenance of generic joint response frameworks for the Somerset Local Authorities</b> <i>In Progress (Reactive) (70% complete)</i></li> <li>◦ <b>CCU Maintenance of the Somerset Local Authorities Civil Contingencies Partnership</b> <i>In Progress (Reactive) (90% complete)</i></li> <li>◦ <b>CCU Maintenance of community resilience capabilities through the Somerset Prepared Partnership</b> <i>In Progress (Reactive) (90% complete)</i></li> <li>◦ <b>CCU Participation and coordination with local multi-agency structures</b> <i>In Progress (Reactive) (90% complete)</i></li> <li>◦ <b>H&amp;S Create common processes so staff can be interchanged across County</b> <i>In Progress (Reactive) (75% complete)</i></li> <li>◦ <b>ICT Increase awareness &amp; understanding SCC around suspicious or unsolicited email with attachments &amp; website file downloads</b> Phishing awareness, Campaign and Security training software purchased and tested within ICT. All staff roll out planned during Feb 2021 <i>In Progress (Reactive) (90% complete)</i></li> </ul>	<p>Nicola Dawson 12/02/2021</p> <p>Nicola Dawson 12/11/2021</p> <p>Nicola Dawson 12/05/2021</p> <p>Nicola Dawson 12/05/2021</p> <p>Nicola Dawson 12/05/2021</p> <p>Heidi Boyle 31/03/2021</p> <p>Dave Littlewood 03/08/2021</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"> <li>Information Governance Asset register <i>In Progress (Reactive) (40% complete)</i></li> </ul>	Rebecca Martin 25/05/2021			
	ORG0056	<p><b>Risk Description:</b> Strategic Risk 2020: Covid19 pandemic effect on suppliers: Potential for significant supplier disruption across all services but greatest risk to demand and sustainability of funding in the care provision sector, transport services and Waste as a result of Covid 19.</p> <p><b>Cause:</b></p> <p><b>Consequence:</b></p>	<p>Likelihood :4 Impact :5</p> <p>20</p> <p>Red - V. High Risk</p>	<ul style="list-style-type: none"> <li>Work with Commissioners to reflect the impacts of Covid-19 on the provider engagement document <i>In Progress (Reactive) (10% complete)</i></li> </ul>	Sunita Mills 18/03/2021	<p>Likelihood :4 Impact :4</p> <p>16</p> <p>Red - V. High Risk</p>	<p>Likelihood : Impact :</p>	03/02/2021 Risk score unchanged this month. May be able to revisit likelihood score next month to take account of declining Covid rates and vaccination rollout. P Hewitt 030221

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><b>ORG0009</b></p> <p><b>Risk Owner:</b> Julian Wooster</p> <p><b>Next Risk Review Date:</b> 12/05/2021</p>	<p><b>Risk Description:</b> Strategic Risk 2020: Safeguarding Children: We fail to deliver our statutory service delivery duties and legal obligations in relation to vulnerable children. Progress on the Somerset Safeguarding Children Partnership Priorities and the Somerset Plan for Children, Young People and Families 2019-22 is reported to the Somerset Safeguarding Children Partnership on a quarterly basis.</p> <p><b>Cause:</b> Systemic leadership, financial constraints and management challenges</p> <p><b>Consequence:</b> 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.</p>	<p>Likelihood :5 Impact :5</p> <p style="background-color: red; color: white; text-align: center; padding: 2px;">25</p> <p>Red - V. High Risk</p>	<p>o <b>Covid-19 Mitigations: Local data to date has not shown a significant increase but may increase in the Autumn as BAU returns</b></p> <p>Mitigation:</p> <ul style="list-style-type: none"> <li>o Social worker visits and contacts continuing throughout Covid period.</li> <li>o Multi-agency linked professional safeguarding approach implemented</li> <li>o Close liaison between schools and CSC re attendance of vulnerable children</li> <li>o Working in collaboration with partners and voluntary sector to support vulnerable families and encourage engagement</li> <li>o This term there has been a significant increase in the number of Elective Home Educated (EHE) children. Education Safeguarding will triage all cases for known vulnerabilities and where they exist, explore the appropriateness of EHE with parents.</li> <li>o If there is another lockdown then the likelihood score for this risk would increase.</li> </ul> <p><i>In Progress (Reactive) (10% complete)</i></p>	<p><b>Adrienne Parry</b> <a href="#">12/05/2021</a> 01/09/2021</p>	<p>Likelihood :3 Impact :5</p> <p style="background-color: orange; text-align: center; padding: 2px;">15</p> <p>Amber - High Risk</p>	<p>Likelihood :3 Impact :5</p> <p style="background-color: orange; text-align: center; padding: 2px;">15</p> <p>Amber - High Risk</p>	<p>12/02/2021 The Covid-19 mitigations were been reviewed by Children's SMT on 12/02/21 Available local data to-date has not shown a significant increase in risk to vulnerable children. The following mitigations have been put in place:</p> <ul style="list-style-type: none"> <li>• Social worker/practitioner's visits and contacts are continuing. Face-to face visits where risk assessments identify that these are required</li> <li>• Multi-agency linked professional safeguarding approach implemented</li> <li>• Close liaison between schools and CSC re attendance of vulnerable children</li> <li>• Working in collaboration with partners and voluntary sector to support vulnerable families and encourage engagement</li> <li>• This term there has been a significant increase in the number of Elective Home Educated (EHE) children. Education Safeguarding will triage all cases for known vulnerabilities and where they exist, explore the appropriateness of EHE with parents.</li> <li>• Retaining Foster Placements where possible</li> <li>• Maintained placement stability through creative ways of supporting such as the use of</li> </ul>



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><b>ORG0058</b></p> <p><b>Risk Owner:</b> Carlton Brand</p> <p><b>Next Risk Review Date:</b> 31/03/2021</p>	<p><b>Risk Description:</b> Strategic Risk 2020: Uncertainty around Local Government Reorganisation</p> <p><b>Cause:</b> Stronger Somerset is chosen or both bids fail</p> <p><b>Consequence:</b> If SS is chosen = Implementation timing, costs coincide with covid and other strategic priorities at the county and districts and disaggregation of the major county services (adults, children's, public health, highways &amp; Transport etc)</p> <p>If both bids fail = Have to re-establish relationships with District Council, Public media attention of money/resources wasted. Positive impacts from our Unitary submission are not pursued</p>	<p>Likelihood :5 Impact :5</p> <p style="background-color: red; color: white; text-align: center; padding: 2px;">25</p> <p>Red - V. High Risk</p>	<ul style="list-style-type: none"> <li>◦ <b>Continuation of communication &amp; engagement activities to promote One Somerset ahead of Public Consultation</b>  <i>In Progress (Reactive) (10% complete)</i></li> <li>◦ <b>Stronger Somerset Analysis and response to MHCLG</b> Somerset County Council will be the primary respondent to the consultation for Stronger Somerset (if selected to be taken through consultation process). We have commissioned four independent reports analysing the Stronger Somerset proposals for LGR in the round, children's services, adult social care and place based services (planning, economic development, transport, highways, waste, etc.). <i>In Progress (Reactive) (10% complete)</i></li> </ul>	<p><b>Carlton Brand</b> <a href="#">10/03/2021</a> <i>26/02/2021</i></p> <p><b>Carlton Brand</b> <a href="#">16/04/2021</a> <i>16/04/2021</i></p>	<p>Likelihood :3 Impact :5</p> <p style="background-color: orange; text-align: center; padding: 2px;">15</p> <p>Amber - High Risk</p>	<p>Likelihood :4 Impact :3</p> <p style="background-color: yellow; text-align: center; padding: 2px;">12</p> <p>Yellow - Medium Risk</p>	<p>01/02/2021 The Future of Somerset 2019 FOLGIS report indicates a strong case for change that the current model cannot continue, particularly now after the negative impacts from the COVID-19 pandemic. Therefore, we believe it is very unlikely that the Secretary of State would choose not to proceed with Local Government Reorganisation in Somerset.</p> <p>Proceeding with a communications plan which includes engagement with key stakeholders including MPs and Government, including a request for further information from MHCLG and others.</p>
<p><b>ORG0057</b></p> <p><b>Risk Owner:</b> Jason Vaughan</p> <p><b>Next Risk Review Date:</b> 01/09/2021</p>	<p><b>Risk Description:</b> Strategic Risk 2020: Sustainable MTFP: The forecast costs of services in the form of the budget must match the financial resources available. There is a risk that the costs exceed the available resources.</p> <p><b>Cause:</b> The government has delayed significant reforms to local government funding. The Fair Funding Review and Business Rates Retention Scheme were due to be implemented in 2021/22 financial year but have both been delayed. The financial impact of Covid on service costs and loss of income is not matched by the funding received from Government</p>	<p>Likelihood :5 Impact :5</p> <p style="background-color: red; color: white; text-align: center; padding: 2px;">25</p> <p>Red - V. High Risk</p>	<ul style="list-style-type: none"> <li>◦ <b>Update MTFP with latest estimates of funding following Comprehensive Spending Review &amp; the provisional financial settlement</b>  <i>In Progress (Reactive) (10% complete)</i></li> <li>◦ <b>Produce a MTFP for Cabinet setting out the latest MTFP forecast and options to balance the Budget</b>  <i>In Progress (Reactive) (10% complete)</i></li> <li>◦ <b>Review the level of reserves in the light of the risks and demand that the council faces over the next 3 years.</b>  <i>In Progress (Reactive) (10% complete)</i></li> </ul>	<p><b>Jason Vaughan</b> <a href="#">01/09/2021</a></p> <p><b>Jason Vaughan</b> <a href="#">01/10/2021</a></p> <p><b>Jason Vaughan</b> <a href="#">01/09/2021</a></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 : Impact :</p>	<p>05/02/2021 Based upon the 2021/22 Budget proposals and MTFP forecast this risk can be reduced. the likely hood is now 3. The MTFP has assumed the Business Rates are reset and that the Fair Funding Review is neutral. The base budget has a contingency of £6m and Reserves remain at a robust level</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
		<b>Consequence:</b> The Council does not set a balanced budget and reduces reserves to an unacceptable low level						
	<b>ORG0043</b>  <b>Risk Owner:</b> Jason Vaughan  <b>Next Risk Review Date:</b> 05/03/2021	<b>Risk Description:</b> Strategic Risk 2020: Maintaining a balanced budget in 2020/2021  <b>Cause:</b> Adverse impact of Covid  <b>Consequence:</b> Potential overspend and draw upon reserves	Likelihood :5 Impact :5  <b>25</b>  Red - V. High Risk			Likelihood :3 Impact :3  <b>9</b>  Yellow - Medium Risk	Likelihood :3 Impact :3  <b>9</b>  Yellow - Medium Risk	05/02/2021 Month 9 Budget Monitoring shows a forecast underspend of £2.175m
	<b>ORG0024</b>  <b>Risk Owner:</b> Simon Clifford 2  <b>Next Risk Review Date:</b> 22/01/2021	<b>Risk Description:</b> 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.  <b>Cause:</b> 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.	Likelihood :4 Impact :4  <b>16</b>  Red - V. High Risk	<ul style="list-style-type: none"> <li>Putting in place effective contract management at a senior level throughout the Council</li> </ul> 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 (Reactive) (90% complete)</i>	<b>Simon Clifford 2</b> 22/01/2021	Likelihood :3 Impact :3  <b>9</b>  Yellow - Medium Risk	Likelihood :3 Impact :3  <b>9</b>  Yellow - Medium Risk	22/07/2020 this risk is paused and will be picked up again at next review

	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><b>Consequence:</b>                      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><b>ORG0055</b>   <b>Risk Owner:</b>                      Patrick Flaherty   <b>Next Risk Review Date:</b>                      06/11/2020</p>	<p><b>Risk Description:</b>                      Strategic Risk 2020: Partnership Working: There are a number of strategic programmes which provide both opportunities and challenges for partnership working e.g. One Somerset, Integrated Care System. Partnership working could be both positively and negatively impacted as a consequence of these programmes</p> <p><b>Cause:</b></p> <p><b>Consequence:</b></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>Likelihood :3                      Impact :3</p> <p style="background-color: yellow; text-align: center; padding: 2px;">9</p> <p>Yellow - Medium Risk</p>	<p>Likelihood :                      Impact :</p>	

Report Selection Criteria

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