

Strategic Risk Report - Somerset County Council (SLT)

	Risk Ref	Risk	Uncontrolled Risk Score	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: 18/09/2021	Risk Description: 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 Cause: At present agreement with the Districts to co-fund key enabling activities is limited to 4 projects. Unless sufficient funding is agreed between the 5 Councils it will not be possible to deliver on all the agreed outcomes and Actions as set out in the Thematic Action Plans Consequence: Adverse reputation, political fall-out and failure to act	Likelihood :5 Impact :5 25 Red - V. High Risk	<ul style="list-style-type: none"> Funding required to enable implementation of key activities Draft Governance proposal & funding requirements to oversee implementation & impact of Strategy going to CEO/Leaders for consideration Second Draft Proposal for implementation Governance with districts for consideration will require formal sign off (16/03/2021) Through all 5 councils process <i>In Progress (Reactive) (10% complete)</i>	Michele Cusack 17/09/2021 30/09/2021	Likelihood :5 Impact :5 25 Red - V. High Risk	Likelihood : Impact :	18/05/2021 Officer level agreement now secured. Implementation Governance now going to CEOs on 4th June and CEO Leaders on 11th June for agreement. Assuming this is secured SCC will adopt this through a formal decision. Still awaiting confirmation of funding through Carry Forwards for extra resource around Communications and Energy Policy. Until this resource is secured and there is agreement with the Districts on how we work together and which projects we focus on, to meet these aims and objectives, progress on achieving the aims and strategic objectives of the Climate Emergency Strategy may not advance as quickly as required if we are to achieve our commitments to decarbonisation and the wider Climate Emergency agenda. A cross organisational Implementation Board of elected Members is to be established in early July. Focus will be on agreeing TORs and engagement on Communities. SLT and Cabinet are to undertake Carbon Literacy Training. This Training will then be cascaded to Service Champions.

	Risk Ref	Risk	Uncontrolled Risk Score	Action Required (In progress Only)	Control Owner Review Date Target Date	Current Risk Score	Controlled Risk Assessment for Financial Year	Comments
	<p>ORG0053</p> <p>Risk Owner: Chris Squire</p> <p>Next Risk Review Date: 04/10/2021</p>	<p>Risk Description: Strategic Risk 2020: Organisational Resilience: Without the minimum level of capacity and resource, the resilience of the organisation is compromised.</p> <p>Cause: 1. Emergency response to Covid-19 - redeployment of staff, staff absence 2. Regional & National Workforce Shortages in social care</p> <p>Consequence: Additional pressure on service delivery</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"> ◦ 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> ◦ BCP Ensure all service level business continuity plans are updated annually. <i>In Progress (Reactive) (50% complete)</i> ◦ CCU Delivery of an annual training and exercising programme for staff with identified response roles <i>In Progress (Reactive) (50% complete)</i> ◦ CCU Maintenance of generic joint response frameworks for the Somerset Local Authorities <i>In Progress (Reactive) (70% complete)</i> ◦ CCU Maintenance of the Somerset Local Authorities Civil Contingencies Partnership <i>In Progress (Reactive) (90% complete)</i> ◦ CCU Maintenance of community resilience capabilities through the Somerset Prepared Partnership <i>In Progress (Reactive) (90% complete)</i> ◦ CCU Participation and coordination with local multi-agency structures <i>In Progress (Reactive) (90% complete)</i> ◦ H&S Create common processes so staff can be interchanged across County <i>In Progress (Reactive) (80% complete)</i> 	<p>Nicola Dawson 09/09/2021</p> <p>Nicola Dawson 09/09/2021</p> <p>Nicola Dawson 09/09/2021</p> <p>Nicola Dawson 12/11/2021</p> <p>Nicola Dawson 12/11/2021</p> <p>Nicola Dawson 12/11/2021</p> <p>Nicola Dawson 12/11/2021</p> <p>Heidi Boyle 28/08/2021</p>	<p>Likelihood :4 Impact :5</p> <p style="background-color: red; color: white; text-align: center; font-weight: bold;">20</p> <p>Red - V. High Risk</p>	<p>Likelihood : Impact :</p>	<p>25/08/2021 25/08/2021, C Squire by email: - Review of short, medium and long-term social care recruitment taking place. Discussions with ASC teams, providers and NHS to ensure we have adequate staffing across services; - Close work with waste contractor (Suez) to ensure that they recruit and retain sufficient drivers & loaders - Close monitoring of sickness absence, work with staff and representatives to assess the interventions needed. Ongoing, comprehensive wellbeing programme</p>

Risk Ref	Risk	Uncontrolled Risk Score	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"> ICT Increase awareness & understanding SCC around suspicious or unsolicited email with attachments & website file downloads 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> Information Governance Asset register <i>In Progress (Reactive) (40% complete)</i> 	<p>Dave Littlewood 03/08/2021</p> <p>Rebecca Martin 17/12/2021 31/03/2022</p>			
ORG0057	<p>Risk Description: 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>Cause: 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>Consequence: The Council does not set a balanced budget and reduces reserves to an unacceptable low level</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"> Update MTFP with latest estimates of funding following Comprehensive Spending Review & the provisional financial settlement <i>In Progress (Reactive) (10% complete)</i> Produce a MTFP for Cabinet setting out the latest MTFP forecast and options to balance the Budget <i>In Progress (Reactive) (10% complete)</i> Review the level of reserves in the light of the risks and demand that the council faces over the next 3 years. <i>In Progress (Reactive) (10% complete)</i> 	<p>Jason Vaughan 01/09/2021</p> <p>Jason Vaughan 01/10/2021</p> <p>Jason Vaughan 01/09/2021</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 :2 Impact :3</p> <p style="background-color: green; color: white; text-align: center; padding: 2px;">6</p> <p>V. Low Risk</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 Score	Action Required (In progress Only)	Control Owner Review Date Target Date	Current Risk Score	Controlled Risk Assessment for Financial Year	Comments
	ORG0056 Risk Owner: Paula Hewitt Next Risk Review Date: 18/09/2021	Risk Description: Strategic Risk 2020: 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. Cause: Covid19 pandemic and it's effect on suppliers concurrently with the effects of leaving the EU. Consequence: increased costs, reduced staffing, effects on local / national suppliers.	Likelihood :4 Impact :5 20 Red - V. High Risk	<ul style="list-style-type: none"> Work with Commissioners to reflect the impacts of Covid-19 on the provider engagement document <i>In Progress (Reactive) (10% complete)</i>	Sunita Mills 20/09/2021	Likelihood :4 Impact :4 16 Red - V. High Risk	Likelihood : Impact :	18/08/2021 Risk score remains unchanged.
	ORG0009 Risk Owner: Julian Wooster Next Risk Review Date: 23/09/2021	Risk Description: Strategic Risk 2020: 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 :5 Impact :5 25 Red - V. High Risk			Likelihood :3 Impact :5 15 Amber - High Risk	Likelihood :3 Impact :5 15 Amber - High Risk	23/06/2021 Covid-19 Mitigations - Children's Social Care returned to face-to-face visiting in March 2020 Children's Social Care have robust quality assurance systems in place to ensure that statutory requirements in relation to vulnerable children are met.

Risk Ref	Risk	Uncontrolled Risk Score	Action Required (In progress Only)	Control Owner Review Date Target Date	Current Risk Score	Controlled Risk Assessment for Financial Year	Comments
<p>ORG0002</p> <p>Risk Owner: Paula Hewitt</p> <p>Next Risk Review Date: 07/10/2021</p>	<p>Risk Description: Strategic Risk 2021: External influences and uncertainties, e.g. Covid19, the formation of an Integrated Care System & Local Government Reorganisation, may impact on our commissioning activity and result in SCC not achieving the outcomes it seeks.</p> <p>Cause: Covid, EU transition, unitary uncertainty</p> <p>Consequence:</p>	<p>Likelihood :4 Impact :5</p> <p>20</p> <p>Red - V. High Risk</p>	<ul style="list-style-type: none"> ◦ SCG/Recovery Board overview of commissioning activity to identify any indications of impacts of C19, ICS & LGR, & agree action <ul style="list-style-type: none"> • SCG/Recovery Board overview of commissioning activity to identify any indications of impacts of Covid, Brexit etc and to agree any necessary actions. Owner: Sunita Mills. Suggested review dates monthly from now <i>In Progress (Reactive)</i> (10% complete) 	<p>Sunita Mills 20/09/2021</p>	<p>Likelihood :3 Impact :3</p> <p>9</p> <p>Yellow - Medium Risk</p>	<p>Likelihood :3 Impact :3</p> <p>9</p> <p>Yellow - Medium Risk</p>	<p>07/07/2021 Risk score remains unchanged as uncertainty around unitary remains</p>
<p>ORG0024</p> <p>Risk Owner: Jason Vaughan</p> <p>Next Risk Review Date: 08/09/2021</p>	<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>16</p> <p>Red - V. High Risk</p>	<ul style="list-style-type: none"> ◦ Putting in place effective contract management at a senior level throughout the Council Update 25/06: Greater commercial awareness cascaded through organisation. Establishing greater clarity between day - to -day Contract Management via operations and Commercial management delivered via procurement team. as part of SWAP Audit. Directorates now adapting to new approach. <i>In Progress (Reactive)</i> (90% complete) 	<p>Jason Vaughan 07/12/2021</p>	<p>Likelihood :3 Impact :3</p> <p>9</p> <p>Yellow - Medium Risk</p>	<p>Likelihood :3 Impact :3</p> <p>9</p> <p>Yellow - Medium Risk</p>	<p>08/03/2021 this risk is paused and will be picked up again at next review</p> <p>14 October 2020 update – mandatory Contract Management training has been rolled out across SCC from this month</p>

	Risk Ref	Risk	Uncontrolled Risk Score	Action Required (In progress Only)	Control Owner Review Date Target Date	Current Risk Score	Controlled Risk Assessment for Financial Year	Comments
	<p>ORG0055</p> <p>Risk Owner: Carlton Brand</p> <p>Next Risk Review Date: 18/10/2021</p>	<p>Risk Description: Strategic Risk 2021: Partnership Working: Local Government Reorganisation negatively impacts: partnership working between the five Somerset councils; partnership working between SCC and Police, Fire, CCG, Acute, ICS, and VCSE. Failure of working relationships; differing organisational priorities; different political priorities, time constraints; inadequate and mis-communication; financial constraints causing behaviours at odds with good cross system partnership; inability to influence and shape governance</p> <p>Cause: There are a number of strategic programmes which provide both opportunities and challenges for partnership working e.g. delivering Somerset LGR, Integrated Care System, pandemic management, MTFP delivery (intra SCC and across the system). Partnership working could be both positively and negatively impacted as a consequence of these programmes but will need to be managed and mitigated to ensure success.</p> <p>Consequence: Failure to meet residents and business need, financial impact (cost over spends, savings not delivered); PR and damage to reputation; failure of statutory duties; inability to meet political commitments made; inability to deliver the major change programmes (LGR business case incl £18.5m savings and cross system performance improvement, ICS, NHS and social care integration in the county)</p>	<p>Likelihood :4 Impact :4</p> <p>16</p> <p>Red - V. High Risk</p>	<ul style="list-style-type: none"> o Planning for implementation is based on co-production <ul style="list-style-type: none"> • Planning for implementation is based on co-production with district councils, town and parish councils and other public sector partners to facilitate strong working relationships and outcomes <i>In Progress (Reactive) (10% complete)</i> o Neutral LGR Office space being sought Work is underway to identify neutral LGR office space for implementation teams to come together using office space in all five councils <i>In Progress (Reactive) (10% complete)</i> o Statutory Change Orders will set the expectation for working relationships Statutory Change Orders will set the expectation for how working relationships between the councils should operate during the transition to Unitary which all partners will need to adhere to. <i>In Progress (Reactive) (10% complete)</i> 	<p>Carlton Brand 18/10/2021</p> <p>Carlton Brand 18/09/2021 18/09/2021</p> <p>Carlton Brand 18/10/2021</p>	<p>Likelihood :2 Impact :3</p> <p>6</p> <p>V. Low Risk</p>	<p>Likelihood : Impact :</p>	<p>24/08/2021 Risk score lowered due to good relationships being developed amongst all Local Authorities in Somerset. Regular discussions taking place amongst Leaders, Chief Executives and Programme Leads.</p>

Report Selection Criteria

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