

Strategic Risk Review & Control Measure Report – 19/01/2022 – Appendix A



Strategic Risks - SCC(SLT)

Risk	Cause	Consequence	Current Risk Assessment	Controlled Risk Assessment									
ORG0009 Strategic Risk 2020: Safeguarding Children: We fail to deliver our statutory service delivery duties and legal obligations in relation to vulnerable children.	Systemic leadership, financial constraints and management challenges	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.	Amber - High Risk	Amber - High Risk	<table border="1"> <thead> <tr> <th>Next Review Date</th> <th>Last Review Date</th> <th>Days Overdue</th> <th>Risk Owner</th> </tr> </thead> <tbody> <tr> <td>15/01/2022</td> <td>15/10/2021</td> <td>4</td> <td>Julian Wooster</td> </tr> </tbody> </table>	Next Review Date	Last Review Date	Days Overdue	Risk Owner	15/01/2022	15/10/2021	4	Julian Wooster
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15/01/2022	15/10/2021	4	Julian Wooster										
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15	15												
Impact 5	Impact 5												
Likelihood 3	Likelihood 3												

Risk Review Update

Review Summary: There is a national crisis in Children's Social Work resulting in significant challenges at this time with Social Care recruitment. A variety of different measures, both immediate and longer term have been put in place to address the recruitment challenges. In the meantime, Children's Social Care continue to have robust quality assurance systems in place to ensure that statutory requirements in relation to vulnerable children are met. Updated on 23/06/2021 17:30:59

Control Measure	Control Review Update	Status	Days Overdue	Review Date	Control Owner
ORG0009/057 CS and Education Service review of all risks and actions via workshops held with Assistant Directors		In Progress (Reactive)	0	28/02/2022	Adrienne Parry

Strategic Risks - SCC(SLT)

Risk	Cause	Consequence	Current Risk Assessment	Controlled Risk Assessment	Next Review Date	Last Review Date	Days Overdue	Risk Owner
ORG0024 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	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 principal supply chains.	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.	Yellow - Medium Risk 9 Impact 3 Likelihood 3	Yellow - Medium Risk 9 Impact 3 Likelihood 3	19/07/2022	19/01/2022	0	Jason Vaughan

Risk Review Update

Review Summary: 65% of those registered have now completed the foundation course and we are currently sending reminders to those that still are required to attend Updated on 08/03/2021 15:42:04

Control Measure	Control Review Update	Status	Days Overdue	Review Date	Control Owner
ORG0024/004 Putting in place effective contract management at a senior level throughout the Council	Review Summary: 65% of those registered have now completed the foundation course. Covid has	In Progress (Reactive)	0	19/07/2022	Claire Griffiths

Strategic Risks - SCC(SLT)

Risk	Cause	Consequence	Current Risk Assessment	Controlled Risk Assessment				
ORG0053 Strategic Risk 2020: Organisational Resilience: Without the minimum level of capacity and resource, the resilience of the organisation is compromised.	1. Emergency response to Covid-19 - redeployment of staff, staff absence 2. Competing priorities including LGR demands, high service pressures etc 4. Assets & Infrastructure e.g., SAP, B Block refurbishment & LGR challenges	Additional pressure on service delivery	Red - V. High Risk 20	V. Low Risk 10	Next Review Date	Last Review Date	Days Overdue	Risk Owner
			Impact 5	Impact 5	07/02/2022	05/01/2022	0	Chris Squire
			Likelihood 4	Likelihood 2				

Risk Review Update

Review Summary: 06/01/2022 - Review date put to February as a CCU exercise is arranged for 20th January which should test and inform this risks Updated on 16/11/2021 16:18:19

Control Measure	Control Review Update	Status	Days Overdue	Review Date	Control Owner
ORG0053/005 CCU Maintenance of generic joint response frameworks for the Somerset Local Authorities	Review Summary: Joint Corporate Response and Recovery Plan was reviewed and reissued to all	In Progress (Reactive)	0	10/11/2022	Nicola Dawson
ORG0053/011 Information Governance Asset register	Review Summary: Work ongoing but will need to be brought in to the IG LGR project as will need to	In Progress (Reactive)	0	22/06/2022	Rebecca Martin
ORG0053/006 CCU Maintenance of the Somerset Local Authorities Civil Contingencies Partnership	Review Summary: Resilience Board meetings were held in February, July and October 2021. Agreed	In Progress (Reactive)	0	10/05/2022	Nicola Dawson
ORG0053/007 CCU Maintenance of community resilience capabilities through the Somerset Prepared Partnership	Review Summary: CCU maintains the Somerset Prepared website and quarterly newsletters with	In Progress (Reactive)	0	10/05/2022	Nicola Dawson
ORG0053/008 CCU Participation and coordination with local multi-agency structures	Review Summary: CCU continues to engage with multi-agency planning with the Avon and Somerset	In Progress (Reactive)	0	10/05/2022	Nicola Dawson

Strategic Risks - SCC(SLT)

Control Measure	Control Review Update	Status	Days Overdue	Review Date	Control Owner
ORG0053/001 BCP Annual corporate guidance and templates update or after activation of the corporate business continuity plan.	Review Summary: Update of templates postponed due to need to focus on Covid response. Additional	In Progress (Reactive)	0	05/04/2022	Nicola Dawson
ORG0053/002 BCP Ensure all service level business continuity plans are updated annually.	Review Summary: CCU requested Strategic Managers to ensure all service business continuity	In Progress (Reactive)	0	05/04/2022	Nicola Dawson
ORG0053/004 CCU Delivery of an annual training and exercising programme for staff with identified response roles	Review Summary: CCU aims to run an annual programme of emergency training and exercises for	In Progress (Reactive)	0	05/04/2022	Nicola Dawson
ORG0053/009 H&S Create common processes so staff can be interchanged across County	Review Summary: Covid-19 response ongoing since Feb 2020. Tender awarded, process mapping	In Progress (Reactive)	0	20/03/2022	Heidi Boyle
ORG0053/010 ICT Increase awareness & understanding SCC around suspicious or unsolicited email with attachments & website file downloads	Software purchased and running. Tested with SLT and members with a Phish campaign. All user	In Progress (Reactive)	0	28/02/2022	Dave Littlewood

Strategic Risks - SCC(SLT)

Risk	Cause	Consequence	Current Risk Assessment	Controlled Risk Assessment	Next Review Date	Last Review Date	Days Overdue	Risk Owner
ORG0054 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	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	Adverse reputation, political fall-out and failure to act	Red - V. High Risk 25 Impact 5 Likelihood 5	Red - V. High Risk 25 Impact 5 Likelihood 5	04/01/2022	04/10/2021	15	Michele Cusack

Risk Review Update

Review Summary: Subject to MTFP deliberations Updated on 18/05/2021 15:36:56

Control Measure	Control Review Update	Status	Days Overdue	Review Date	Control Owner
ORG0054/002 Funding required to enable implementation of key activities	Review Summary: Joint Implementation Board established, Governance and Terms of Reference	In Progress (Reactive)	0	01/09/2022	Michele Cusack

Strategic Risks - SCC(SLT)

Risk	Cause	Consequence	Current Risk Assessment	Controlled Risk Assessment				
ORG0056 Strategic Risk 2021: 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.	External influences and uncertainties, e.g. Covid19 pandemic and it's effect on suppliers concurrently with the effects of leaving the EU and the formation of an Integrated Care System & Local Government Reorganisation,	increased costs, reduced staffing, effects on local / national suppliers may impact on our commissioning activity and result in SCC not achieving the outcomes it seeks.	Red - V. High Risk 16	Yellow - Medium Risk 12	Next Review Date 22/01/2022	Last Review Date 22/12/2021	Days Overdue 0	Risk Owner Paula Hewitt
			Impact 4 Likelihood 4	Impact 4 Likelihood 3				

Risk Review Update

Review Summary: Risk remains high with the Omicron variant now spreading. P Hewitt 22/12/21 Updated on 24/11/2021 10:45:36

Control Measure	Control Review Update	Status	Days Overdue	Review Date	Control Owner
ORG0056/001 Work with Commissioners to reflect the impacts of Covid-19 on the provider engagement document	Review Summary: Provider engagement document will be progressed once work to understand service	In Progress (Reactive)	0	25/03/2022	Sunita Mills
ORG0056/002 SCG/Recovery Board overview of commissioning activity to identify any indications of impacts of C19, ICS & LGR, & agree action	Review Summary: Recovery Board has been stood down. SCG will continue to seek and understand	In Progress (Reactive)	0	24/01/2022	Sunita Mills

Strategic Risks - SCC(SLT)

Risk	Cause	Consequence	Current Risk Assessment	Controlled Risk Assessment									
ORG0057 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.	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 and are now expected in 2023/24.	The Council does not set a balanced budget and reduces reserves to an unacceptable low level	Yellow - Medium Risk 12	V. Low Risk 6	<table border="1"> <thead> <tr> <th>Next Review Date</th> <th>Last Review Date</th> <th>Days Overdue</th> <th>Risk Owner</th> </tr> </thead> <tbody> <tr> <td>05/05/2022</td> <td>10/01/2022</td> <td>0</td> <td>Jason Vaughan</td> </tr> </tbody> </table>	Next Review Date	Last Review Date	Days Overdue	Risk Owner	05/05/2022	10/01/2022	0	Jason Vaughan
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Impact 4 Likelihood 3	Impact 3 Likelihood 2												

Risk Review Update

Review Summary: The 2022/23 Budget proposals are for a balanced budget with no use of reserves to support on-going expenditure. There has been a robust review of budgets in developing the 2022/23 budget proposals. The level of general reserves has increased from £19.7m to £23m and is therefore at a robust level and there are additional Earmarked Reserves set aside for specific purposes including £10m for the LGR implementation costs which will deliver £18.5m of savings over the next few years. Updated on 05/02/2021 09:11:54

Control Measure	Control Review Update	Status	Days Overdue	Review Date	Control Owner

Strategic Risks - SCC(SLT)

Risk	Cause	Consequence	Current Risk Assessment	Controlled Risk Assessment									
ORG0059 Strategic Risk 2021: Local Government Reorganisation in Somerset does not deliver the single unitary authority as defined, for Vesting Day on 1st April 2023	Insufficient staff capacity and capability, MTFP and in-year financial challenges, Ongoing impacts of Covid-19, Working relationships with partners and stakeholders break down	Significant governance and processes required for a functioning organisation are not in place leading to financial and reputational damage as well as adversely effecting service delivery	Red - V. High Risk 16	V. Low Risk 4	<table border="1"> <thead> <tr> <th>Next Review Date</th> <th>Last Review Date</th> <th>Days Overdue</th> <th>Risk Owner</th> </tr> </thead> <tbody> <tr> <td>05/02/2022</td> <td>05/01/2022</td> <td>0</td> <td>Carlton Brand</td> </tr> </tbody> </table>	Next Review Date	Last Review Date	Days Overdue	Risk Owner	05/02/2022	05/01/2022	0	Carlton Brand
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05/02/2022	05/01/2022	0	Carlton Brand										
Impact 4 Likelihood 4	Impact 4 Likelihood 1												

Risk Review Update

Review Summary: Risk likelihood has increased due to expected pressure on staff owing to the COVID Omicron variant, this is expected to temporary. A Programme Recruitment Protocol is due to be approved, 3x FTE Programme Managers are in place along with programme governance structure and SCC are actively considering where it can release resources by reducing activity in low priority areas.

Draft Structural change orders received which confirmed CA status for SCC and elections for 2022. LGR scorecard due to go live from the end of the January. Checkpoint review carried out and programme-level risk management arrangements largely in place. Updated on 02/11/2021 13:32:11

Control Measure	Control Review Update	Status	Days Overdue	Review Date	Control Owner
ORG0059/001 Robust programme management with strong partnership engagement	Review Summary: Checkpoint review took place in December 2021 with all workstreams. LGR	In Progress (Reactive)	0	05/02/2022	Stephen Marsh