

## Appendix D - Risk Review & Control Measure Update report



### Strategic Risks - SCC(SLT) 20/07/2022

Risk Details	Cause	Consequence	Current Risk Assessment	Controlled Risk Assessment									
<b>ORG0009</b> 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>22/09/2022</td> <td>22/03/2022</td> <td>0</td> <td>Julian Wooster</td> </tr> </tbody> </table>	Next Review Date	Last Review Date	Days Overdue	Risk Owner	22/09/2022	22/03/2022	0	Julian Wooster
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22/09/2022	22/03/2022	0	Julian Wooster										
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15	15												
Impact	Impact												
5	5												
Likelihood	Likelihood												
3	3												

#### Risk Review Update

Review Summary: Children's Services risks have been reviewed and updated. Quality, Performance and Review Meetings regularly take place across all service areas. An Ofsted Inspection is anticipated Updated on 19/01/2022 17:07:48

Control Measure	Control Review Update	Status	Days Overdue	Review Date	Control Owner
<b>ORG0009/057</b> Quality, Review and Performance (QPRM) Meetings, led by the DCS, Deputy DCS and Assistant Directors	Review Summary: Mitigation amended as previous description not detailed enough	In Progress (Reactive)	0	22/09/2022	Adrienne Parry

Strategic Risks - SCC(SLT) – 20/07/2022

Risk Details	Cause	Consequence	Current Risk Assessment	Controlled Risk Assessment	Next Review Date	Last Review Date	Days Overdue	Risk Owner
<b>ORG0024</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	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.	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 <b>9</b> Impact 3 Likelihood 3	Yellow - Medium Risk <b>9</b> Impact 3 Likelihood 3	19/07/2022	19/01/2022	1	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
<b>ORG0024/004</b> Putting in place effective contract management at a senior level throughout the Council	Review Summary: We continue to drive Government Commercial function contract management training to	In Progress (Reactive)	0	11/07/2023	Claire Griffiths

Strategic Risks - SCC(SLT) – 20/07/2022

Risk Details	Cause	Consequence	Current Risk Assessment	Controlled Risk Assessment									
<b>ORG0053</b> 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 3. Emerging financial pressure in 2023-24 4. Assets & Infrastructure e.g., SAP, B Block refurbishment & LGR challenges 5. Recruitment difficulties due to tight labour market	Additional pressure on service delivery	Red - V. High Risk <span style="background-color: red; color: white; padding: 2px;">20</span>	V. Low Risk <span style="background-color: green; color: white; padding: 2px;">10</span>	<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>30/09/2022</td> <td>18/07/2022</td> <td>0</td> <td>Chris Squire</td> </tr> </tbody> </table>	Next Review Date	Last Review Date	Days Overdue	Risk Owner	30/09/2022	18/07/2022	0	Chris Squire
			Next Review Date	Last Review Date	Days Overdue	Risk Owner							
30/09/2022	18/07/2022	0	Chris Squire										
Impact 5 Likelihood 4	Impact 5 Likelihood 2												

**Risk Review Update**

Review Summary: There are continued pressures on staffing. The causes of this risk have been updated to include the emerging financial pressure in 2023-24 and current recruitment difficulties due to a very tight labour market. The latter is exacerbated by local government pay not keeping pace with other sectors. Updated on 31/05/2022 13:28:43

Control Measure	Control Review Update	Status	Days Overdue	Review Date	Control Owner
<b>ORG0053/011</b> Information Governance Asset register	Review Summary: Progressing alongside the Rec Mgt workstream with a view to a combined retention	In Progress (Reactive)	0	31/03/2023	Rebecca Martin
<b>ORG0053/006</b> 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	11/11/2022	Nicola Dawson
<b>ORG0053/007</b> 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	11/11/2022	Nicola Dawson
<b>ORG0053/008</b> 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	11/11/2022	Nicola Dawson
<b>ORG0053/005</b> 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

Strategic Risks - SCC(SLT)

Control Measure	Control Review Update	Status	Days Overdue	Review Date	Control Owner
<b>ORG0053/009</b> H&S Create common processes so staff can be interchanged across County	Review Summary: Unchanged from previous update, teams still working through a backlog as a	In Progress (Reactive)	0	06/10/2022	Heidi Boyle
<b>ORG0053/001</b> BCP Annual corporate guidance and templates update or after activation of the corporate business continuity plan.	Review Summary: SWAP carried out an audit of B/C management during summer 2021 and	In Progress (Reactive)	0	01/10/2022	Nicola Dawson
<b>ORG0053/002</b> BCP Ensure all service level business continuity plans are updated annually.	Review Summary: SWAP carried out a B/C audit and reported in September 2021. CCU revised an	In Progress (Reactive)	0	01/10/2022	Nicola Dawson
<b>ORG0053/004</b> CCU Delivery of an annual training and exercising programme for staff with identified response roles	Review Summary: Partners agreed policy during 2022/23 will be to focus on core response roles:	In Progress (Reactive)	0	01/10/2022	Nicola Dawson
<b>ORG0053/010</b> 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)	142	28/02/2022	Dave Littlewood

Strategic Risks - SCC(SLT) – 20/07/2022

Risk Details	Cause	Consequence	Current Risk Assessment	Controlled Risk Assessment	Next Review Date	Last Review Date	Days Overdue	Risk Owner
<b>ORG0056</b> 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 its 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 <b>16</b> Impact 4 Likelihood 4	Yellow - Medium Risk <b>12</b> Impact 4 Likelihood 3	07/08/2022	07/07/2022	0	Paula Hewitt

**Risk Review Update**

Review Summary: I have asked for a review of the actions and that they are updated to take into account the Ukraine war and hyper-inflation. P Hewitt 07/07/22 Updated on 08/06/2022 10:38:52

Control Measure	Control Review Update	Status	Days Overdue	Review Date	Control Owner
<b>ORG0056/001</b> Work with Commissioners to reflect the impacts of Covid-19 on the provider engagement document	Review Summary: Provider engagement document (or similar) has been included within the products of	In Progress (Reactive)	0	31/08/2022	Sunita Mills
<b>ORG0056/002</b> SCG/Recovery Board overview of commissioning activity to identify any indications of impacts of C19, ICS & LGR, & agree action	Review Summary: SCG will continues to seek and understand any impacts of Covid, Brexit and LGR.	In Progress (Reactive)	0	25/08/2022	Sunita Mills

Strategic Risks - SCC(SLT) – 20/07/2022

Risk Details	Cause	Consequence	Current Risk Assessment	Controlled Risk Assessment	Next Review Date	Last Review Date	Days Overdue	Risk Owner
<p><b>ORG0057</b></p> <p>Strategic Risk : Sustainable MTFP: The forecast costs of services in the form of the 2023/24 Somerset Council budget must match the financial resources available. There is a risk that the current high inflationary pressures adverse</p>	<p>The very high inflationary environment adversely impacting upon service costs, HRA and the capital programme whilst income to the council does not increase causing a MTFP gap. The general level of inflation is expected to be in double digits whilst individual levels for items such as fuel, energy, care provider &amp; external placement costs are considerably higher. The main sources of income to council through council tax, business rates and government grants are fixed and will not change for the financial year and not expected to change significantly for 2023/24 given the figures announced in the Comprehensive Spending Review (CSR) totals for local government funding.</p>	<p>The July 2022 MTFP report to the Executive committee forecasts a budget gap of £44.5m for 2023/24 (up from £28.5m in February 2022). This will require significant financial savings to be made in order to balance the budget.</p>	<p>Red - V. High Risk</p> <p><b>25</b></p> <p>Impact 5</p> <p>Likelihood 5</p>	<p>Yellow - Medium Risk</p> <p><b>12</b></p> <p>Impact 3</p> <p>Likelihood 4</p>	05/09/2022	05/07/2022	0	Jason Vaughan

**Risk Review Update**  
 Review Summary: MTFS and MTFP report to July 2022 Executive Committee forecasts a budget gap of £44.5m for 2023/24. It also recommends setting up a member Budget Working Group to oversee the development for the 2023/24 budget proposals. Updated on 10/01/2022 07:50:49

Control Measure	Control Review Update	Status	Days Overdue	Review Date	Control Owner
<p><b>ORG0057/004</b></p> <p>Financial control mechanisms for 2022/23 financial year introduced as part of Month 2 budget Monitoring</p>		In Progress (Reactive)	0	05/08/2022	Jason Vaughan

Strategic Risks - SCC(SLT) – 20/07/2022

Risk Details	Cause	Consequence	Current Risk Assessment	Controlled Risk Assessment	Next Review Date	Last Review Date	Days Overdue	Risk Owner
<b>ORG0059</b> 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	V. Low Risk <b>8</b> Impact 4 Likelihood 2	V. Low Risk <b>4</b> Impact 4 Likelihood 1	04/07/2022	03/05/2022	16	Alyn Jones

**Risk Review Update**

Review Summary: Reduced current likelihood score to from 3 to 2.

- There is a clear, baseline and intent from which to deliver the programme: After the Structural Changes Order was implemented, on 25 March 2022 LGR Implementation Executive formally endorsed the programme mission, vision, values, principles, implementation plan, strategic objectives, and governance arrangements
- Significant additional resourcing now on the programme (programme management and subject matter expertise), joining the programme shortly or subject to recruitment / temporary labour agreement / PwC
- MTFP preparation for 2023-24 has begun with Programme Board awareness and oversight; approach to ensuring MTFP and financial benefits of LGR are aligned, is under development
- Strong programme communications strategy – staff and external – is now in place and being further developed.
- Scorecard reporting working well along with SharePoint architecture for risk and issues management.
- Change Control for Tranche 1 products live as of 9 March and due to go live for Tranche 2 products by May. Central products being rationalised as part of Change Control activity. Activity to identify financial and non-financial benefits for each tranche is on track
- PwC quality assurance (QA) support is in place including monthly QA reporting and monthly check and challenge sessions with each workstream
- Work progressing on Target Operating Model to inform design of products
- Temporary reduction in staffing levels owing to Covid-19 infections has had a negligible impact on progress owing to the numbers of people on the programme, business continuity arrangements, programme planning, and generally limited seriousness of illness Updated on 24/03/2022 08:44:05

Control Measure	Control Review Update	Status	Days Overdue	Review Date	Control Owner
<b>ORG0059/001</b> Robust programme management with strong partnership engagement	Review Summary: • Resources remain an area of concern within the programme	In Progress (Reactive)	0	22/09/2022	Stephen Marsh

Strategic Risks - SCC(SLT) – 20/07/2022

Risk Details	Cause	Consequence	Current Risk Assessment	Controlled Risk Assessment									
<b>ORG0060</b> Strategic Risk 2022: ASC fails to meet statutory obligations under the care act in relation to Care Provider market sufficiency and capacity	Insufficient / vulnerable independent adult social care market supply/capacity to meet rising demand for care and support on the back of the Covid pandemic	<ul style="list-style-type: none"> <li>Needs and outcomes for individuals are not met in a timely, effective way;</li> <li>Hospital flow significantly affected due to insufficient intermediate care capacity</li> <li>High levels of unmet care need and package of care handbacks; rising levels of care provider business failure or closure;</li> <li>Risk to, and needs of, individuals awaiting care in the community increase;</li> <li>Failure to adequately safeguard adults at risk</li> <li>Increase in out of area/ respite / permanent residential/nursing placements (increased costs; poorer</li> </ul>	Red - V. High Risk <b>20</b>	Yellow - Medium Risk <b>12</b>	<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>24/07/2022</td> <td>24/06/2022</td> <td>0</td> <td>Niki Shaw</td> </tr> </tbody> </table>	Next Review Date	Last Review Date	Days Overdue	Risk Owner	24/07/2022	24/06/2022	0	Niki Shaw
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24/07/2022	24/06/2022	0	Niki Shaw										
Impact 4 Likelihood 5	Impact 4 Likelihood 3												

**Risk Review Update**

Review Summary: Demand for home-based and residential care continues to outweigh supply, both locally and nationally, with real challenges faced in relation to independent care provider workforce capacity/availability, as well as provider sustainability challenges; this is in spite of the significant financial investment and support provided over the past year. The accompanying system pressures within Primary Care and local Acute hospitals has further demonstrated the fragility of the provider market. A Proud to Care Somerset lead took up post in mid-March and continues to work with the ICS People Board to promote the sector and encourage recruitment/retention within it, with a careers fair held on 13th April. Our service also actively contributes to the Intermediate Care Board and weekly touchpoint meetings to support flow out of our pathways and community hospitals and improve communication/oversight. Additional resource has been invested into our provider contract and quality functions, and we are starting to see an improvement in the proportion of our active social care settings judged Good or better by CQC. The South West region has supported the commissioning of a Provider Assessment and Market Management Solution (PAMMS) and landscape tool to help identify and prioritise risks, enable clear market insight by utilising spend and placement data and improve the intelligence base for decision making. Somerset is now in the early phases of local implementation following contract sign off at end of March. The fee settlement for care providers in 2022/23 represents a further significant investment in the sector by SCC. Direction of travel for domiciliary care re-commissioning has been agreed and project plan being progressed; '14 point plan' to address short/medium term challenges in the homecare market also devised and being implemented. The service is assessing itself against the emerging assurance framework, with commissioning a focus at July PIMS. Updated on 25/04/2022 15:59:58

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



Strategic Risks - SCC(SLT)

Control Measure	Control Review Update	Status	Days Overdue	Review Date	Control Owner
<b>ORG0060/003</b> Continue to invest in Proud to Care Somerset as a means of promoting job opportunities across the care sector	Review Summary: Proud to Care is an initiative designed to raise the profile, values and	In Progress (Reactive)	0	24/07/2022	Niki Shaw
<b>ORG0060/005</b> Establish and support an ICS Social Care Working Group	Review Summary: ICS Social Care Working Group established; regular meetings being held. Paul Coles	In Progress (Reactive)	0	24/07/2022	Niki Shaw
<b>ORG0060/006</b> Undertake assurance activity in relation to Commissioning duties under The Care Act 2014 ahead of inspection		In Progress (Reactive)	0	24/07/2022	Niki Shaw

Strategic Risks - SCC(SLT)- 20/07/2022

Risk Details	Cause	Consequence	Current Risk Assessment	Controlled Risk Assessment	Next Review Date	Last Review Date	Days Overdue	Risk Owner
<b>ORG0061</b> Strategic Risk 2022: SCC is unable to take sufficient urgent action to mitigate and adapt to the current and future impacts of climate change.			Red - V. High Risk <span style="background-color: red; color: white; padding: 2px;">16</span>	Yellow - Medium Risk <span style="background-color: yellow; padding: 2px;">9</span>	06/10/2022	06/07/2022	0	Michele Cusack
			Impact 4 Likelihood 4	Impact 3 Likelihood 3				

**Risk Review Update**

Review Summary: The LGR provides a significant opportunity and greater ability to focus resources on the key actions that will have the most impact on reducing carbon and tackling Climate Change. Various pieces of work around establishing baselines and pathways to net zero will provide evidence of how far from our target we are, if we are and to direct the remedial actions we will need to take. The commitment to reach the goals of the strategy are strong and the declaration of an Ecological Emergency and the development of the LNRS will provide a focus on the Natural Environment strand. A refresh of the Climate Emergency Strategy and Action Plan by early Spring will provide further evidence of whether we are on track to deliver the commitments in the Strategy. Having adequate funding remains one of the biggest risks. Updated on 31/03/2022 14:37:08

Control Measure	Control Review Update	Status	Days Overdue	Review Date	Control Owner
<b>ORG0061/007</b> Delivery of Climate Change Strategy outcomes for Farming and Food workstream	Review Summary: 20/07/2022 - As part of the Climate Emergency Strategy Food and Farming	In Progress (Reactive)	0	20/10/2022	Mark Fortune
<b>ORG0061/010</b> Delivery of Climate Emergency Strategy outcomes for the Communications workstream	Review Summary: 20/07/2022: the LGR climate change group is working with the comms	In Progress (Reactive)	0	20/10/2022	Peter Elliott
<b>ORG0061/006</b> Delivery of the Climate Emergency Strategy outcomes for the Natural Environment workstream	Review Summary: Work being undertaken to map the strategic actions being undertaken across the	In Progress (Reactive)	0	19/10/2022	Jonathan Doyle
<b>ORG0061/008</b> Delivery of the Climate Emergency Strategy outcomes for the Water workstream	Review Summary: Recruitment underway to ensure the FWM team are able to deliver against the aims	In Progress (Reactive)	0	19/10/2022	Jonathan Doyle

Strategic Risks - SCC(SLT)

Control Measure	Control Review Update	Status	Days Overdue	Review Date	Control Owner
<b>ORG0061/002</b> Delivery the Climate Emergency Strategy outcomes for Transport	Review Summary: Bus Service Improvement Plan in place and awarded £8.16m for bus priority and	In Progress (Reactive)	0	18/10/2022	Mike O'Dowd-Jones
<b>ORG0061/005</b> Delivery of Climate Emergency Strategy outcomes for the Business and Supply Chain Workstream	Review Summary: Green business support survey undertaken and business case outlined for additional	In Progress (Reactive)	0	08/10/2022	Paul Hickson
<b>ORG0061/009</b> Delivery of the Climate Emergency Strategy outcomes for the Waste and Resources workstream		In Progress (Reactive)	12	08/07/2022	Mickey Green
<b>ORG0061/003</b> Delivery of Climate Emergency Strategy Energy Workstream outcomes		In Progress (Reactive)	12	08/07/2022	Oliver Woodhams
<b>ORG0061/004</b> Delivery of Climate Emergency Strategy outcomes for the Build Environment Workstream		In Progress (Reactive)	12	08/07/2022	Oliver Woodhams