

Strategic Risk Review & Control Measure Update Appendix A



Strategic Risks - SCC(SLT)

Details	Details 2	Details 3	Current Risk Assessment	Controlled Risk Assessment									
ORG0009 Strategic Risk 2020 - CSC: 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>05/01/2023</td> <td>05/10/2022</td> <td>0</td> <td>Claire Winter</td> </tr> </tbody> </table>	Next Review Date	Last Review Date	Days Overdue	Risk Owner	05/01/2023	05/10/2022	0	Claire Winter
			Next Review Date	Last Review Date		Days Overdue	Risk Owner						
05/01/2023	05/10/2022	0	Claire Winter										
15	15	Impact 5 Likelihood 3	Impact 5 Likelihood 3										

Risk Review Update

Review Summary: Somerset's Children and Young People's Services have been rated as "Good" across the board in a review of the service. Ofsted inspectors visited Somerset County Council in July 2022 and looked in detail at the work of the Council with those in care, care leavers and children and families with a social worker.

Judgements were made on the impact of leaders on social work practice, the experiences and progress of children who need help and protection, and overall effectiveness.

Ofsted found: "The Council is committed to driving up standards for Somerset's children and is rightly proud of the significant progress it has made since the last inspection in 2017."

Ofsted were particularly impressed with the Council's commitment to listening to children and families to improve services, reporting: "Leaders ensure that children are extensively engaged to help shape the future of children's services. They also consult widely and receive regular feedback, not only from children, but also from families and partner agencies. They use this to understand effectively the impact of services and to inform future service development."

The report also recognised that parents and children in Somerset are supported to make positive changes, children's needs are quickly identified, well understood and the voice of the child is listened to. Many children experience improvements and positive changes in their lives because of the support they receive. Updated on 22/03/2022 15:28:58

Control Measure	Control Review Update	Status	Cost to Date Est. Cost	Days Overdue	Review Date	Control Owner
ORG0009/057 Quality, Review and Performance (QPRM) Meetings, led by the DCS, Deputy DCS and Assistant Directors	Review Summary: Somerset's Children and Young People's Services have been rated as "Good"	In Progress (Reactive)		0	05/04/2023	Adrienne Parry

Strategic Risks - SCC(SLT)

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ORG0053 Strategic Risk 2020 - Resilience: 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 6. ORG0011 - Health & Safety: Death or injury to a member(s) of the public or a member(s) of staff, volunteers, visiting contractors or service users	Additional pressure on service delivery	Red - V. High Risk 20	V. Low Risk 10	<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>47</td> <td>Chris Squire</td> </tr> </tbody> </table>	Next Review Date	Last Review Date	Days Overdue	Risk Owner	30/09/2022	18/07/2022	47	Chris Squire
			Next Review Date	Last Review Date	Days Overdue	Risk Owner							
30/09/2022	18/07/2022	47	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	Cost to Date Est. Cost	Days Overdue	Review Date	Control Owner
ORG0053/011 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
ORG0053/009 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	17/01/2023	Heidi Boyle
ORG0053/001 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	14/01/2023	Nicola Dawson

Strategic Risks - SCC(SLT)

Control Measure	Control Review Update	Status	Cost to Date Est. Cost	Days Overdue	Review Date	Control Owner
ORG0053/002 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	14/01/2023	Nicola Dawson
ORG0053/004 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	14/01/2023	Nicola Dawson
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)		5	11/11/2022	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)		5	11/11/2022	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)		5	11/11/2022	Nicola Dawson
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)		6	10/11/2022	Nicola Dawson
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)		261	28/02/2022	Dave Littlewood

Strategic Risks - SCC(SLT)

Details	Details 2	Details 3	Current Risk Assessment	Controlled Risk Assessment	Next Review Date	Last Review Date	Days Overdue	Risk Owner
<p>ORG0056</p> <p>Strategic Risk 2021 - Supply Chain: 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.</p>	<p>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,</p>	<p>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.</p>	<p>Red - V. High Risk</p> <p>16</p> <p>Impact 4</p> <p>Likelihood 4</p>	<p>Yellow - Medium Risk</p> <p>12</p> <p>Impact 4</p> <p>Likelihood 3</p>	26/11/2022	26/10/2022	0	Paula Hewitt

Risk Review Update

Review Summary: Situation unchanged but request made to Pam Pursley and Sam Mills to update mitigations Updated on 29/09/2022 10:45:20

Control Measure	Control Review Update	Status	Cost to Date Est. Cost	Days Overdue	Review Date	Control Owner

Strategic Risks - SCC(SLT)

Details	Details 2	Details 3	Current Risk Assessment	Controlled Risk Assessment	Next Review Date	Last Review Date	Days Overdue	Risk Owner
<p>ORG0057</p> <p>Strategic Risk 2020 - MTFP: 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</p>	<p>The very high inflationary environment adversely impacting upon service costs, HRA and the capital programme whilst income to the council doesn't increase causing a budget gap for 2023/24 and future years. The general level of inflation has increased to its high level for 40 years whilst the main sources is expected to be in double digits whilst individual levels for items such as fuel, energy, care provider & external placement costs are considerably higher. The council's income levels are not expected in line with based upon the governments Comprehensive Spending Review (CSR) figures. The CSR figure were "flat cash" with the only increase being from council tax which is subject to referendum limits.</p>	<p>The July 2022 MTFP report to the Executive forecast a budget gap of £44.5m for 2023/24 (up from £28.5m in February 2022) and this position will be further updated in the report to the Executive on 16 November. This position will require significant reductions in spending and increased income generation in order to balance the budget. There are Reserves available to help 'smooth' the position, but these can only be used once and do not address the underlying position.</p>	<p>Red - V. High Risk</p> <p>25</p> <p>Impact 5</p> <p>Likelihood 5</p>	<p>Yellow - Medium Risk</p> <p>12</p> <p>Impact 3</p> <p>Likelihood 4</p>	30/11/2022	16/10/2022	0	Jason Vaughan

Risk Review Update

Review Summary: The work on the 2023/24 Budget is progress and the forecast of the funding shortfall will be reported to the Executive on 16 November 2022. The picture has been complicated by the mini-budget and the uncertainties that this brought to public finances. There is no clarity at present if there will be revision to the previously announced Comprehensive Spending Review (CSR) Updated on 05/07/2022 08:03:16

Control Measure	Control Review Update	Status	Cost to Date Est. Cost	Days Overdue	Review Date	Control Owner
<p>ORG0057/004</p> <p>Financial Action Plan to address potential overspending in 2022/23</p>	<p>Review Summary: Financial Action Plan approved by the Executive as part of the Month 3 report in August</p>	<p>In Progress (Reactive)</p>		0	18/11/2022	Jason Vaughan

Strategic Risks - SCC(SLT)

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ORG0059 Strategic Risk 2021 - LGR: 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	V. Low Risk	Next Review Date	Last Review Date	Days Overdue	Risk Owner
			10	4	29/11/2022	29/09/2022	0	Alyn Jones
			Impact 5	Impact 4				
			Likelihood 2	Likelihood 1				

Risk Review Update

Review Summary: · Programme level review of governance has been concluded, this was informed by the Quality Assurance session with PwC. Minor changes will be instigated with the intention is to increase capacity, reaffirm Programme discipline and improve the focus on programme delivery.

- Slippage of milestones at the end of August. These have been shared with Programme Board along with the impacts, mitigating actions and anticipated timescales for delivery. The majority are being managed through the Workstreams – overall product delivery of the programme or critical Tranche 1 products is not anticipated to be impacted.
- 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. LGR Programme Team contingency planning underway with regards to increasing figures for COVID-19 and prioritisation of activity in response to capacity pressures.
- Monthly All Member Briefings now diarised and regular liaison with town, parish, and city councils. Strong programme communications strategy – staff and external – in place. Next conference with Town & Parish Councils scheduled to take place on the 4th of October.

Scorecard reporting continues to work well alongside Quality Assurance sessions with workstreams and with SharePoint architecture for risk and issues management. Exploring how the programme can incorporate Change Management through Check in / Quality Control process and having a change readiness indicator reported for workstreams. Updated on 20/07/2022 16:02:23

Control Measure	Control Review Update	Status	Cost to Date Est. Cost	Days Overdue	Review Date	Control Owner
ORG0059/001 Robust programme management with strong partnership engagement	Review Summary: · Resources remain an area of concern within the programme but discussions	In Progress (Reactive)		0	29/11/2022	Stephen Marsh

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<p>ORG0060</p> <p>Strategic Risk 2022 - ASC: ASC fails to meet statutory obligations under the care act in relation to Care Provider market sufficiency and capacity</p>	<p>Insufficient / vulnerable independent adult social care market supply/capacity to meet rising demand for care and support on the back of the Covid pandemic</p>	<ul style="list-style-type: none"> Needs and outcomes for individuals are not met in a timely, effective way; Hospital flow significantly affected due to insufficient intermediate care capacity High levels of unmet care need and package of care handbacks; rising levels of care provider business failure or closure; Risk to, and needs of, individuals awaiting care in the community increase; Failure to adequately safeguard adults at risk Increase in out of area/ respite / permanent residential/nursing placements (increased costs; poorer 	<p>Red - V. High Risk</p> <p>16</p> <p>Impact 4</p> <p>Likelihood 4</p>	<p>Yellow - Medium Risk</p> <p>12</p> <p>Impact 4</p> <p>Likelihood 3</p>	<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>28/11/2022</td> <td>28/10/2022</td> <td>0</td> <td>Niki Shaw</td> </tr> </tbody> </table>	Next Review Date	Last Review Date	Days Overdue	Risk Owner	28/11/2022	28/10/2022	0	Niki Shaw			
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28/11/2022	28/10/2022	0	Niki Shaw													

Risk Review Update

Review Summary: Demand for home-based and residential care continues to outweigh supply (both locally and nationally), further hindered by market stability/sustainability concerns and well known workforce recruitment and retention challenges in the independent care sector. Accompanying system pressures within primary care and hospitals have further demonstrated the fragility of the care provider market which is being compounded by cost of living/inflationary issues. The ASC service has responded to rising numbers of home closures, quality concerns and care package handbacks. On 11 August Paul Coles delivered a presentation to the ICB which agreed to fund £5.5m to support demand/capacity issues across the Somerset system, aligned to a plan on how services can be secured to stabilise market capacity. This funding is supporting a number of initiatives including additional bedded capacity, social care pod developments, the opening of Hendford Care Home larer in Nov 2022 and recruitment campaign activity. Updated on 14/09/2022 08:55:30

Control Measure	Control Review Update	Status	Cost to Date Est. Cost	Days Overdue	Review Date	Control Owner
<p>ORG0060/003</p> <p>Continue to invest in Proud to Care Somerset as a means of promoting job opportunities across the care sector</p>	<p>Review Summary: Proud to Care is an initiative designed to raise the profile, values and</p>	<p>In Progress (Reactive)</p>		0	28/11/2022	Niki Shaw

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Control Measure	Control Review Update	Status	Cost to Date Est. Cost	Days Overdue	Review Date	Control Owner
ORG0060/006 Undertake assurance activity in relation to Commissioning duties under The Care Act 2014 ahead of inspection	Review Summary: The focus of ASC PIMS Meeting (July 2022) centred on CQC Theme 2 Providing	In Progress (Reactive)		0	28/11/2022	Niki Shaw

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Details	Details 2	Details 3	Current Risk Assessment	Controlled Risk Assessment	Next Review Date	Last Review Date	Days Overdue	Risk Owner
ORG0061 Strategic Risk 2022 - Climate Change: 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 16 Impact 4 Likelihood 4	Yellow - Medium Risk 9 Impact 3 Likelihood 3	04/01/2023	04/10/2022	0	Michele Cusack

Risk Review Update

Review Summary: A review of all activity against outcomes is underway and will be discussed with the Climate Implementation Board at the October meeting. The biggest limiting factor to achieving the ambitious goals to 2030 set out in the strategy will be the availability and prioritisation of funding. Updated on 06/07/2022 09:10:40

Control Measure	Control Review Update	Status	Cost to Date Est. Cost	Days Overdue	Review Date	Control Owner
ORG0061/003 Delivery of Climate Emergency Strategy Energy Workstream outcomes	Review Summary: Regular discussions continuing to be held between district and County energy leads.	In Progress (Reactive)		0	31/03/2023	Oliver Woodhams
ORG0061/004 Delivery of Climate Emergency Strategy outcomes for the Build Environment Workstream	Review Summary: Good progress has been made through waves 1 and 2 in the PSDS program in the	In Progress (Reactive)		0	31/03/2023	Oliver Woodhams
ORG0061/007 Delivery of Climate Change Strategy outcomes for Farming and Food workstream	Review Summary: We have mapped some of the food and farming actions in the Climate Emergency	In Progress (Reactive)		0	26/01/2023	Mark Fortune
ORG0061/002 Delivery the Climate Emergency Strategy outcomes for Transport	Review Summary: Bus Service Improvement Plan in place and awarded £8.16m. Funding for bus priority	In Progress (Reactive)		0	26/01/2023	Mike O'Dowd-Jones
ORG0061/010 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)		27	20/10/2022	Peter Elliott

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Control Measure	Control Review Update	Status	Cost to Date Est. Cost	Days Overdue	Review Date	Control Owner
ORG0061/006 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)		28	19/10/2022	Jonathan Doyle
ORG0061/008 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)		28	19/10/2022	Jonathan Doyle
ORG0061/005 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)		39	08/10/2022	Paul Hickson
ORG0061/009 Delivery of the Climate Emergency Strategy outcomes for the Waste and Resources workstream		In Progress (Reactive)		131	08/07/2022	Mickey Green