

Risks with Controls and Actions v2 (24)

Ref	Risk Detail	Risk Owner	Impact	I n h e r e n t			R e s i d u a l			
				Likelihood	Risk	Score	Impact	Likelihood	Risk	Score
7.0	Pioneer Somerset									Number of Risks: 21
0386	One or more councils takes a 'do nothing' approach and/or does not sign up to the Pioneer Somerset Programme <i>One or more councils takes a 'do nothing' approach and/or does not sign up to the Pioneer Somerset Program</i>	Corporate Director - Communities	Moderate	Probable	Medium	15	Moderate	Unlikely	Medium	13
	Controls				Owner		Effectiveness			
	_C01 Program Initiation Document (PID) has been signed off by all Leaders and Chief Executives				Corporate Director - Communities		Not Yet Entered			
	_C02 Consideration and approval of the PID at Executive in May 2008				Corporate Director - Communities		Not Yet Entered			
	Actions				Action Owner		Due Date	Revised Date	Status	
	_A01 Regular review of controls				Corporate Director - Communities		01/04/2009	05/06/2009	Action in Progress	
0387	The program does not run to time <i>The program does not run to time</i>	Corporate Director - Communities	Moderate	Possible	Medium	14	Moderate	Remote	Low	6
	Controls				Owner		Effectiveness			
	_C01 The program delivery team has been designed to give sufficient capacity to support the program and ensure timely delivery				Corporate Director - Communities		Not Yet Entered			
	_C02 The need for external support on key areas has been recognized and built in to the PID				Corporate Director - Communities		Not Yet Entered			
	Actions				Action Owner		Due Date	Revised Date	Status	
	_A01 Regular review of controls				Corporate Director - Communities		01/04/2009		Action in Progress	
0388	The program does not have sufficient resources (staff, time, money) to deliver. <i>The program does not have sufficient resources (staff, time, money) to deliver.</i>	Corporate Director - Communities	Catastrophic	Probable	Critical	24	Major	Highly Probable	Critical	21
	Controls				Owner		Effectiveness			
	_C01 Authorities have agreed to release senior officer time, dedicated to the program, as specified in the PID.				Corporate Director - Communities		Not Yet Entered			

Ref	Risk Detail	Risk Owner	Impact	I n h e r e n t			R e s i d u a l			Score
				Likelihood	Risk	Score	Impact	Likelihood	Risk	
	Actions _A01 Regular review of controls					Action Owner Corporate Director - Communities	Due Date 01/04/2009	Revised Date	Status Action in Progress	
0389	The pace of the program is dictated by the slowest/most reluctant partner <i>The pace of the program is dictated by the slowest/most reluctant partner</i>	Corporate Director - Communities	Major	Possible	High	19	Moderate	Possible	Medium	14
	Controls _C01 Vision of enhanced 2 tier working and a set of very clear SMART outcomes				Owner Corporate Director - Communities		Effectiveness Not Yet Entered			
	Actions _A01 Regular review of controls				Action Owner Corporate Director - Communities	Due Date 01/04/2009	Revised Date	Status Action in Progress		
0390	Communications about Pioneer Somerset are patchy and inconsistent <i>Communications about Pioneer Somerset are patchy and inconsistent resulting in 'mixed messages' and lack of clarity among key stakeholders, particularly elected members.</i>	Corporate Director - Communities	Minor	Possible	Low	9	Minor	Unlikely	Low	8
	Controls _C01 Common report for scrutiny and executive purposes in all authorities, seeking approval of the jointly prepared PID				Owner Corporate Director - Communities		Effectiveness Not Yet Entered			
	Actions _A01 Regular review of controls				Action Owner Corporate Director - Communities	Due Date 01/04/2009	Revised Date	Status Action in Progress		
0391	Day to day service delivery will slip as a result of resources invested in Pioneer Somerset <i>Day to day service delivery will slip as a result of resources invested in Pioneer Somerset</i>	Corporate Director - Communities	Minor	Unlikely	Low	8	Insignificant	Unlikely	Very Low	3
	Controls _C01 Authorities recognize the need for adeptness and careful targeting of resources				Owner Corporate Director - Communities		Effectiveness Not Yet Entered			
	Actions _A01 Regular review of controls				Action Owner Corporate Director - Communities	Due Date 01/04/2009	Revised Date	Status Action in Progress		
0392	Local identity, and the capacity to respond in a tailored manner to Somerset's diverse communities, will be reduced <i>Local identity, and the capacity to respond in a tailored manner to Somerset's diverse communities, will be reduced</i>	Corporate Director - Communities	Major	Possible	High	19	Moderate	Possible	Medium	14

Ref	Risk Detail	Risk Owner	Impact	I n h e r e n t		Score	Impact	R e s i d u a l		Score
				Likelihood	Risk			Likelihood	Risk	
	Controls _C01 The jointly developed vision for enhanced two-tier working makes a specific reference to Somerset's diverse communities									
	Actions _A01 Regular review of controls									
0393	Organizational complexity, size and possibly cost will increase as a result of local authority integration <i>Organizational complexity, size and possibly cost will increase as a result of local authority integration</i>	Corporate Director - Communities	Major	Probable	High	20	Moderate	Possible	Medium	14
	Controls _C01 The vision is clear on the need for integration and reduced duplication in the pursuit of better efficiency and outcomes									
	Actions _A01 Regular review of controls									
0394	The different organizational cultures and mindsets in the 6 principal authorities will hinder/possibly jeopardize the program <i>The different organizational cultures and mindsets in the 6 principal authorities will hinder/possibly jeopardize the program</i>	Corporate Director - Communities	Major	Highly Probable	Critical	21	Moderate	Probable	Medium	15
	Controls _C01 The fact that each council has a different culture and way of working has been recognized									
	Actions _A01 Regular review of controls									
0395	Support service provision will be duplicated as a greater number of shared service arrangements are established <i>Support service provision will be duplicated as a greater number of shared service arrangements are established</i>	Corporate Director - Communities	Minor	Possible	Low	9	Minor	Unlikely	Low	8
	Actions _A01 Councils have agreed to develop a solution to this issue during 2008									
0396	Loss of 'political' support	Corporate Director - Communities	Major	Highly Probable	Critical	21	Major	Highly Probable	Critical	21

Ref	Risk Detail	Risk Owner	Impact	I n h e r e n t			R e s i d u a l			
				Likelihood	Risk	Score	Impact	Likelihood	Risk	Score
<i>Loss of 'political' support during the five-year delivery term of Pioneer Somerset, through national change in Government or through local elections/changes of administration.</i>										
Controls					Owner		Effectiveness			
C_01	Publicity and persuasion				Sue Eaton Communications	Not Yet Entered				
Actions					Action Owner		Due Date	Revised Date	Status	
_A01	Control measures to be developed at risk management meeting in July 2008				Corporate Director - Communities	31/07/2009			Action in Progress	
0397	Service priorities may be at odds with the Pioneer program, resulting in disagreement/delay. <i>Service priorities may be at odds with the Pioneer program, resulting in disagreement/delay.</i>	Corporate Director - Communities	Minor	Possible	Low	9	Minor	Possible	Low	9
Actions					Action Owner		Due Date	Revised Date	Status	
_A01	Control measures to be developed at risk management meeting in July 2008				Corporate Director - Communities	31/07/2009			Action in Progress	
0398	Failure to adequately record progress being made <i>Failure to adequately record progress being made on the implementation of the action plan, eg failing to identify savings being made as a contribution to the overall £20m target.</i>	Corporate Director - Communities	Major	Possible	High	19	Major	Possible	High	19
Actions					Action Owner		Due Date	Revised Date	Status	
_A01	Finance officers are preparing a common 'benefit tracking' method to enable savings to be recorded.					01/04/2009			Action in Progress	
0399	Failure to appoint Pioneer Program Manager and recruit delivery team <i>Failure to appoint Pioneer Program Manager and recruit delivery team</i>	Corporate Director - Communities	Major	Possible	High	19	Major	Possible	High	19
Actions					Action Owner		Due Date	Revised Date	Status	
_A01	Control measures to be developed at risk management meeting in July 2008				Corporate Director - Communities	31/07/2009			Action in Progress	
0400	Interest in the Pioneer Somerset Program begins to wane over the 5-year program <i>Interest in the Pioneer Somerset Programme begins to wane over the 5-year programme</i>	Corporate Director - Communities	Major	Possible	High	19	Moderate	Possible	Medium	14
Controls					Owner		Effectiveness			
_C01	Communications plan				Corporate Director - Communities	Not Yet Entered				
Actions					Action Owner		Due Date	Revised Date	Status	
_A01	Regular review of controls				Corporate Director - Communities	01/04/2009			Action in Progress	

Ref	Risk Detail	Risk Owner	Impact	I n h e r e n t			R e s i d u a l			
				Likelihood	Risk	Score	Impact	Likelihood	Risk	Score
0401	<p>Authorities will 'launch forth' into partnership activities in an ad hoc fashion, not linked to Pioneer Somerset</p> <p><i>Authorities will 'launch forth' into partnership activities in an ad hoc fashion, not linked to Pioneer Somerset</i></p> <p>Actions _A01 Control measures to be developed at risk management meeting in July 2008</p>	Corporate Director - Communities	Major	Probable	High	20	Moderate	Possible	Medium	14
					Action Owner Corporate Director - Communities	Due Date 31/07/2009	Revised Date	Status Action in Progress		
0402	<p>Failure to agree on way forward and therefore savings do not emerge</p> <p><i>Failure to agree on way forward and therefore savings do not emerge</i></p> <p>Controls _C01 All authorities require savings as part of MTFP's in future years and therefore the drive for balanced budgets will drive saving</p>	Corporate Director - Communities	Major	Possible	High	19	Moderate	Possible	Medium	14
					Owner Corporate Director - Communities	Effectiveness Not Yet Entered				
0403	<p>Failure of all authorities to agree therefore is setting a strain on relationships</p> <p><i>Failure of all authorities to agree therefore is setting a strain on relationships</i></p> <p>Controls _C01 All authorities have agreed shared vision and have a good working relationship</p> <p>Actions _A01 Regular review of controls</p>	Corporate Director - Communities	Minor	Unlikely	Low	8	Insignificant	Remote	Very Low	1
					Owner Corporate Director - Communities	Effectiveness Not Yet Entered				
					Action Owner Corporate Director - Communities	Due Date 01/04/2009	Revised Date	Status Action in Progress		
0404	<p>Reputation risk of one authority not agreeing but the others do</p> <p><i>Reputation risk of one authority not agreeing but the others do</i></p> <p>Controls _C01 PID agreed</p> <p>Actions _A01 Negotiations will need to ensure that all are in agreement</p>	Corporate Director - Communities	Major	Possible	High	19	Major	Remote	Medium	12
					Owner Corporate Director - Communities	Effectiveness Not Yet Entered				
					Action Owner Corporate Director - Communities	Due Date 01/04/2009	Revised Date	Status Action in Progress		
0405	<p>Possibility of efficiencies for some but not others could result in individual organizational saving objectives not met</p>	Corporate Director - Communities	Moderate	Possible	Medium	14	Moderate	Unlikely	Medium	13

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				Likelihood	Risk	Score	Impact	Likelihood	Risk	Score	
	<i>Possibility of efficiencies for some but not others could result in individual organizational saving objectives not met</i>										
	Controls				Owner		Effectiveness				
	_C01	All authorities will have individual as well as joint working targets			Corporate Director - Communities		Not Yet Entered				
	Actions				Action Owner		Due Date	Revised Date	Status		
	_A01	Regular review of controls			Corporate Director - Communities		01/04/2009		Action in Progress		
0406	Some streams already being worked on therefore lack of coordination and duplication	Corporate Director - Communities	Moderate	Possible	Medium	14	Moderate	Possible	Medium	14	
	<i>Some authorities may need to work outside of Somerset because of geographical proximity.</i>										
	Actions				Action Owner		Due Date	Revised Date	Status		
	_A01	All streams will be reviewed to ensure that methodology has been applied consistently.			Corporate Director - Communities		01/04/2009		Action in Progress		

Risks List with Risk Owner, Gross and Net Risk Scores (01) South Somerset District Council

Ref	Risk Detail	Risk Owner	Impact	Inherent		Score	Residual			Score
				Likelihood	Risk		Impact	Likelihood	Risk	
7.0	Pioneer Somerset									
0386	One or more councils takes a 'do nothing' approach and/or does not sign up to the Pioneer Somerset Programme	Corporate Director - Communities	Moderate	Probable	Medium	15	Moderate	Unlikely	Medium	13
0387	The programme does not run to time	Corporate Director - Communities	Moderate	Possible	Medium	14	Moderate	Remote	Low	6
0388	The programme does not have sufficient resources (staff, time, money) to deliver.	Corporate Director - Communities	Moderate	Unlikely	Medium	13	Moderate	Remote	Low	6
0389	The pace of the programme is dictated by the slowest/most reluctant partner	Corporate Director - Communities	Major	Possible	High	19	Moderate	Possible	Medium	14
0390	Communications about Pioneer Somerset are patchy and inconsistent	Corporate Director - Communities	Minor	Possible	Low	9	Minor	Unlikely	Low	8
0391	Day to day service delivery will slip as a result of resources invested in Pioneer Somerset	Corporate Director - Communities	Minor	Unlikely	Low	8	Insignificant	Unlikely	Very Low	3

0392	Local identity, and the capacity to respond in a tailored manner to Somerset's diverse communities, will be reduced	Corporate Director - Communities	Major	Possible	High	19	Moderate	Possible	Medium	14
0393	Organisational complexity, size and possibly cost will increase as a result of local authority integration	Corporate Director - Communities	Major	Probable	High	20	Moderate	Possible	Medium	14
0394	The different organisational cultures and mindsets in the 6 principal authorities will hinder/possibly jeopardise the programme	Corporate Director - Communities	Major	Highly Probable	Critical	21	Moderate	Probable	Medium	15
0395	Support service provision will be duplicated as a greater number of shared service arrangements are established	Corporate Director - Communities	Minor	Possible	Low	9	Minor	Unlikely	Low	8
0396	Loss of 'political' support	Corporate Director - Communities	Major	Highly Probable	Critical	21	Major	Highly Probable	Critical	21
0397	Service priorities may be at odds with the Pioneer programme, resulting in disagreement/delay.	Corporate Director - Communities	Minor	Possible	Low	9	Minor	Possible	Low	9
0398	Failure to adequately record progress being made	Corporate Director - Communities	Major	Possible	High	19	Major	Possible	High	19

Ref	Risk Detail	Risk Owner	Impact	Inherent Likelihood	Risk	Score	Residual Impact	Residual Likelihood	Risk	Score
0399	Failure to appoint Pioneer Programme Manager and recruit delivery team	Corporate Director - Communities	Major	Possible	High	19	Major	Possible	High	19
0400	Interest in the Pioneer Somerset Programme begins to wane over the 5 year programme	Corporate Director - Communities	Major	Possible	High	19	Moderate	Possible	Medium	14
0401	Authorities will 'launch forth' into partnership activities in an ad hoc fashion, not linked to Pioneer Somerset	Corporate Director - Communities	Major	Probable	High	20	Moderate	Possible	Medium	14
0402	Failure to agree on way forward and therefore savings do not emerge	Corporate Director - Communities	Major	Possible	High	19	Moderate	Possible	Medium	14
0403	Failure of all authorities to agree therefore setting a strain on relationships	Corporate Director - Communities	Minor	Unlikely	Low	8	Insignificant	Remote	Very Low	1
0404	Reputational risk of one authority not agreeing but the others do	Corporate Director - Communities	Major	Possible	High	19	Major	Remote	Medium	12
0405	Possibility of efficiencies for some but not others could result in individual organisational saving objectives not met	Corporate Director - Communities	Moderate	Possible	Medium	14	Moderate	Unlikely	Medium	13
0406	Some streams already being worked on therefore lack of coordination and duplication	Corporate Director - Communities	Moderate	Possible	Medium	14	Moderate	Possible	Medium	14

Appendix 1

Descriptor	Score (see Magique)	Health and Safety Impact	Impact on Service and Reputation	Financial Impact
Insignificant	1	<ul style="list-style-type: none"> § No injury § No apparent injury 	<ul style="list-style-type: none"> § No impact on service § No impact on reputation § Complaint unlikely § Litigation risk remote 	Loss/costs up to £5,000 Minor
Minor	2	<ul style="list-style-type: none"> § Minor injury (First aid on site) 	<ul style="list-style-type: none"> § Slight impact on service § Slight impact on reputation § Complaint possible § Litigation possible 	Loss/costs between £5,000 and £50,000
Moderate	3	<ul style="list-style-type: none"> § Reportable injury 	<ul style="list-style-type: none"> § Some service disruption § Potential for adverse publicity, avoidable with careful handling § Complaint expected § Litigation probable 	Loss/costs between £50,000 and £500,000
Major	4	<ul style="list-style-type: none"> § Major injury (Reportable) § Permanent incapacity 	<ul style="list-style-type: none"> § Permanent incapacity § Service disrupted § Adverse publicity not avoidable (Local media) § Complaint expected § Litigation expected 	Loss/costs between £500,000 and £5,000,000
Catastrophic	5	<ul style="list-style-type: none"> § Death 	<ul style="list-style-type: none"> § Service interrupted for significant time § Adverse publicity not avoidable (national media interest) § Major litigation expected § Resignation of senior management and /or director(s) 	Theft/loss over £5,000,000