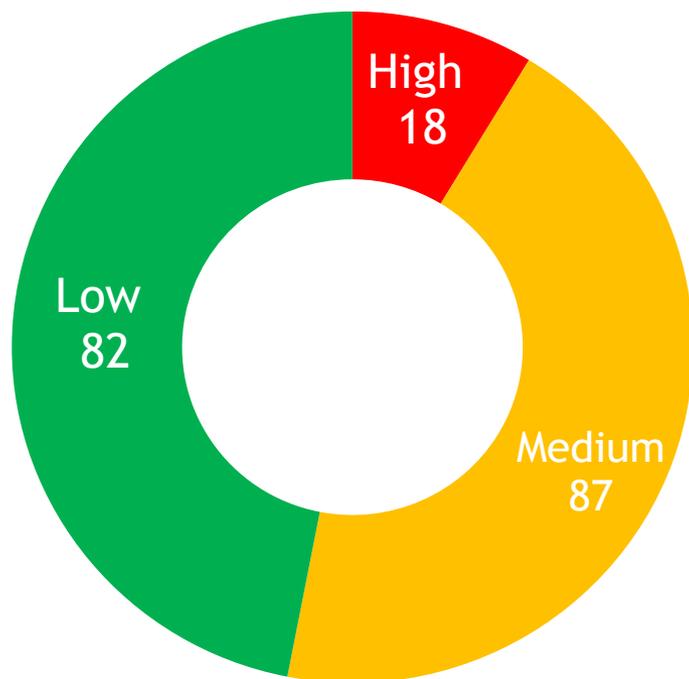# PROFILE OF CORPORATE RISK REGISTER

The Council's Risk Register provides an overview of all major risks across the organisation. The chart below gives a snapshot as at the end of Quarter Two - 2018/19. There are 187 risks, of which 18 are scored by directorates as high.

High Risks by Directorate	
Children, Families and Communities	8
Adult Services	4
Public Health	2
Economy and Infrastructure	3
Chief Executive	1

CORPORATE RISK AREAS

- Corporate risk areas are identified by
    - Aggregating similar themes of risk present across multiple directorates in the risk register
    - Identifying specific risks at directorate level that have potential to impact on the wider council
    - Identifying specific risks at directorate level that could be mitigated by actions in other directorates

- The following pages show the current corporate risk areas
    - Vulnerable children
    - Education
    - Services for vulnerable adults
    - Financial control
    - Staffing
    - Management of the county estate
    - Business continuity response to major event

CORPORATE RISK AREAS
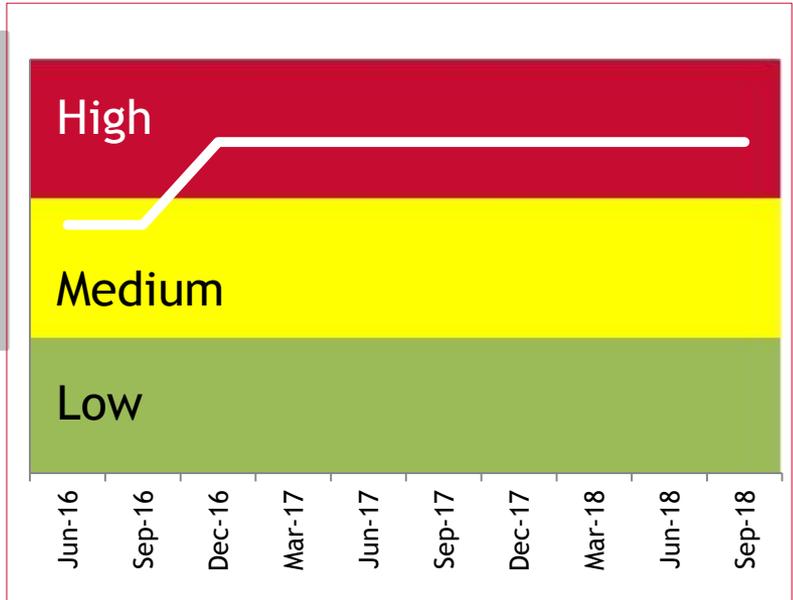
FAILURE TO SAFEGUARD VULNERABLE CHILDREN

Q2 2018/19

WHY IS THIS AREA OF RISK RED?

- This area of risk is rated Red primarily due to issues identified around safeguarding children which are being addressed by the Council's Service Improvement Plan

MITIGATING ACTIONS

- Ongoing development and implementation of Worcestershire Children's First
- Worcestershire Safeguarding Children Board (WSCB) improvement plan is also now in place. The monitoring of plans is being undertaken by Worcestershire Safeguarding Children Board and through critical friends.
- Established working arrangements with Essex CC as our CSC improvement partner.
- Robust review of performance information and case file audit to ensure that no child is at risk of significant harm. Auditing programme underway and this will now inform Ofsted monthly case-tracking requirement.
- Developed CSC service operating model to reduce size of teams and enhance management support and oversight.
- Further investment secured to accelerate the recruitment campaign and give Worcestershire a better visibility in the job market.

Chart showing risk rating (High / Medium / Low) from Jun-16 to Sep-18, rising from Medium to High around Dec-16 and remaining High.

WHAT NEXT?

Implementation of Worcestershire Children's First (including consideration of extended scope).

CORPORATE RISK AREAS

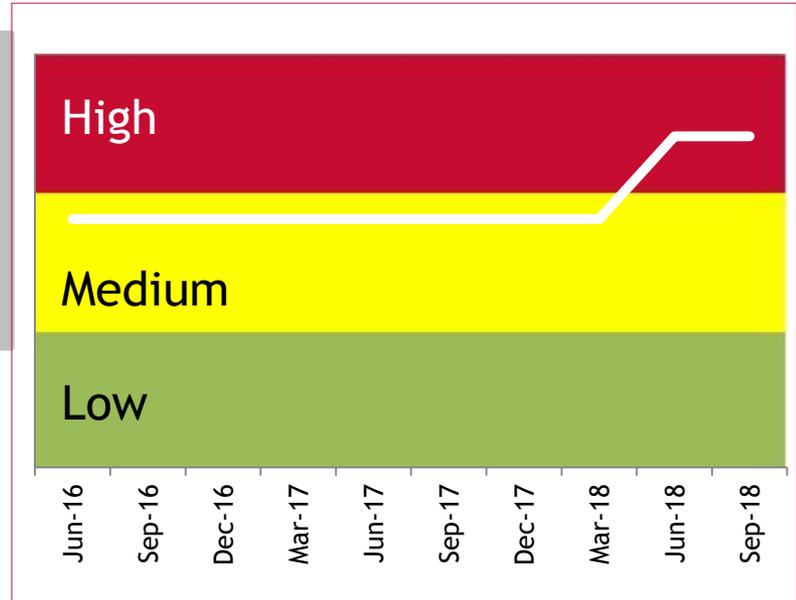## FAILURE TO PROVIDE A GOOD EDUCATION FOR ALL WORCESTERSHIRE CHILDREN

Q2 2018/19

WHY IS THIS AREA OF RISK RED?

- This area of risk is rated as red due to financial pressures on schools, changes to school organisation, and OFSTED / CQC letter outlining areas for improvement for children with SEND.

MITIGATING ACTIONS

- Effective communication of our policy on supporting middle schools to the proposer of any changes to school organisation.
- To work with the Regional School Commissioner to ensure they are aware of our policy.
- Schools with significant deficit budgets to undergo a whole school review led by Assistant Director Education and Skills.
- SEND Improvement Action Plan has been agreed and Improvement Board established. There are five workstreams including
  - The local offer
  - Embedding the graduated response
  - Assessment and planning
  - Joint commissioning and leadership
  - Workforce and engagement

Chart showing risk rating (High / Medium / Low) from Jun-16 to Sep-18. Line remains at Medium/High boundary then rises to High around Mar-18 to Sep-18.

WHAT NEXT?

Implementation of Worcestershire Children's First (including consideration of extended scope).

Delivery of the SEND Improvement Action Plan

CORPORATE RISK AREAS

FAILURE TO PROVIDE SUFFICIENT SERVICES FOR VULNERABLE ADULTS

Q2 2018/19

WHY IS THIS AREA OF RISK RED?

- This area of risk is rated Red due to the challenges of an ageing population and increasing numbers of people with severe levels of disability, delays in hospital discharges, lack of affordable capacity in residential and nursing homes in Worcestershire, and resulting pressures on services
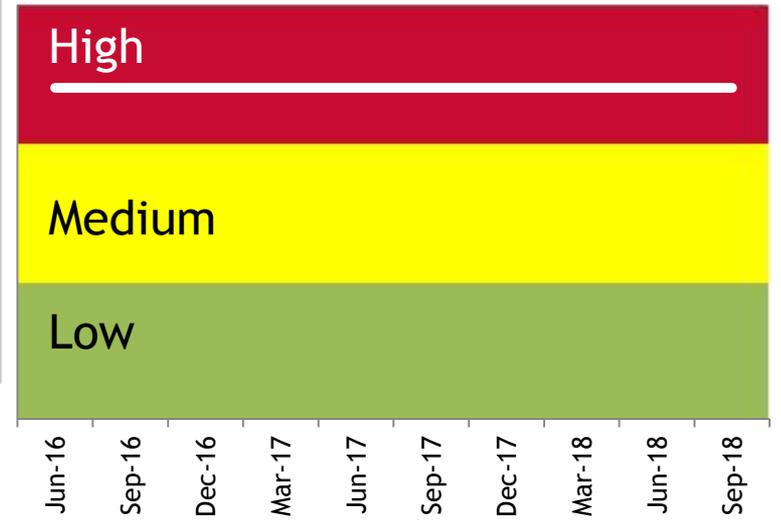
MITIGATING ACTIONS

- The Three Conversations Model introduced by Adult Social Care has been rolled out across all Area Social Work teams and the operational services structure amended to maximise the potential for prevention and delay of care packages.

- Use of block contracts for residential/nursing care is being monitored closely with outcomes used to inform future commissioning. Financial status of care home providers is being reviewed to identify high risk areas. Workforce availability is being monitored.

Chart with categories High, Medium, Low plotted against: Jun-16, Sep-16, Dec-16, Mar-17, Jun-17, Sep-17, Dec-17, Mar-18, Jun-18, Sep-18

WHAT NEXT?

- Further extension of the Three Conversation model to Learning Disability and Mental Health services.

- Developing demand modelling tools to support operational management and strategic planning.

- Continuing work with NHS partners to support acute and community hospitals.

- Working with Peopletoo to improve effectiveness of reablement and intermediate care to reduce demand.

CORPORATE RISK AREAS

INADEQUATE FINANCIAL CONTROL

Q2 2018/19

WHY IS THIS AREA OF RISK RED?

- There is substantial risk to the ability of the council to meet the challenge of budget pressure, due to inadequate controls around spend.

MITIGATING ACTIONS

- The first budget monitoring for 2018/19 Financial year will take place shortly, following closedown of 2017/18 SoAs which remain on track. Any gaps in budgets to forecast at that stage will need to identify compensating savings for discussion / approval.

- A review of reserves and financial standing has been undertaken by the Director of Finance and will continue to be reviewed.

- A paper is being drafted to look at the timetable and approach for 2019-22 budget setting - MTFP Savings tracker in place to plan.

- The Council's new financial and budget monitoring system was not fully operational during the year, with the result that Directorates put in place additional steps to ensure that they could monitor income and expenditure. A timetable is in place for the roll out of this in 2018/19.

- Regular monitoring reports will be brought to Cabinet during 2018/19, with recommendations for actions to address any forecasts as appropriate.

- Programme of significant and rapid cost saving measures (just do its) rolled out, including Christmas Leave, vacancy management, closing graduate and apprentice programme, VR programme.

- Commercial programme of contract reviews, tailspend review (inc p-card review) and payment terms
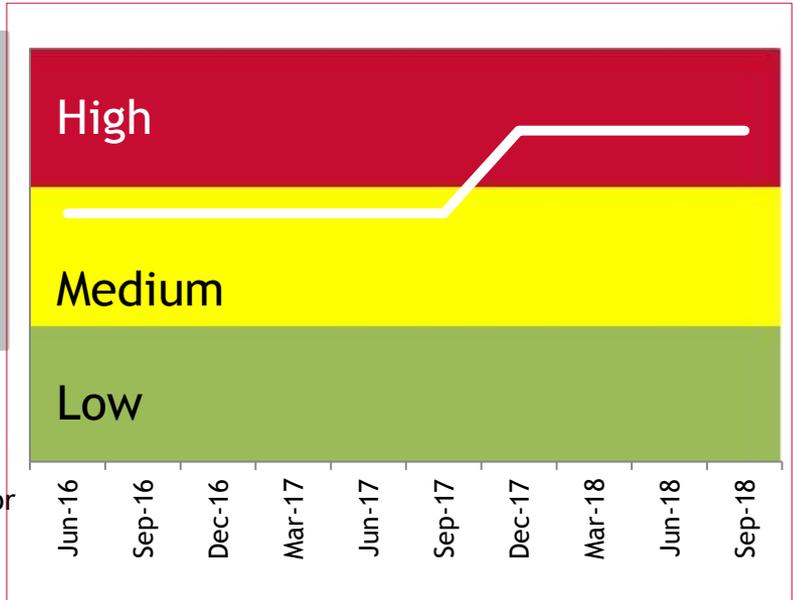
WHAT NEXT?

Roll out of Finance Improvement Programme is underway to strengthen controls and skills. Feedback survey for e5 / CP users.

A timetable is in place to deliver a budget for consideration at Full Council 14th February 2019.

CORPORATE RISK AREAS

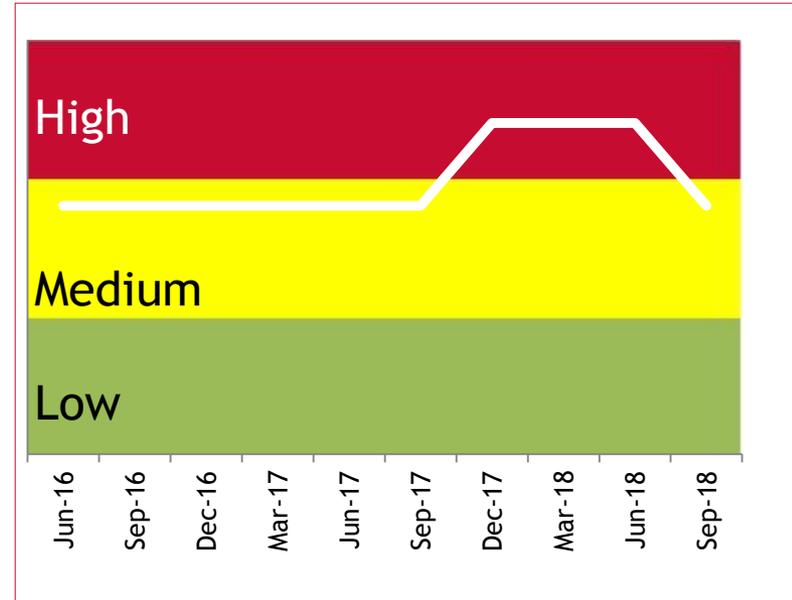## INSUFFICIENT STAFF CAPACITY, CAPABILITY AND PRODUCTIVITY

Q2 2018/19

WHY IS THIS AREA OF RISK AMBER?

Improvements in recruitment in key positions (social workers and SLT) have reduced this risk but threat to staff satisfaction, productivity, and ultimately retention of appropriate skills due to 35 hour / 37 hour week, change in scope to ADM, uncertainty around finances.

MITIGATING ACTIONS

- A dedicated social work recruitment team, based in the Council, is in place. It covers both adult and children's social work and other adult social care posts. Initiatives have included working with operational services to recruit at job fairs and target newly qualified workers.

  - 54% increase in social worker applications since last November
  - Permanent staffing now 77% from a low of 59% in February 2018
  - Turnover has reduced to 12% (the lowest percentage since we started recording this 18 months ago)

- A new "Leave the Bid City behind" campaign has been launched. This aims to promote the benefits of living and working in Worcestershire, and makes use of social media to raise the profile of the County.

- All SLT positions now filled.

- Business continuity plans identify the steps that will be taken to maintain critical services when there are staffing shortages.

Chart with categories High (red), Medium (yellow), Low (green) across months Jun-16, Sep-16, Dec-16, Mar-17, Jun-17, Sep-17, Dec-17, Mar-18, Jun-18, Sep-18

WHAT NEXT?

- Review the approach being taken to key "hotspots" where recruitment and retention are particularly difficult

- Corporate business continuity strategy to be updated over next 6 months to include consideration of skills and capacity in critical services.

- Organisational redesign planned for 2019/20

CORPORATE RISK AREAS

INSUFFICIENT COMPLIANCE MANAGEMENT OF COUNCIL ESTATE

Q2 2018/19

WHY IS THIS AREA OF RISK RED?

This area of risk is rated RED due to an ageing estate and ongoing maintenance programme requiring continuous focus to ensure the estate is and remains compliant. Gaps have been identified which are now in the progress of being addressed.

MITIGATING ACTIONS

- A programme of work has now been identified by PPL to address current gaps.

- A capital investment of circa £1m has been instructed to carryout risk assessment, survey and remedial works.

- A working group has been set up to over see the works which is currently meeting fortnightly to assess progress and expenditure

- All schools surveyed. High risk asbestos removed, management and removal of residual asbestos ongoing. Education skills and funding agency (ESFA) asbestos mapping assurance process (AMAP) survey has been conducted (majority of noncompliance is down to management issues being dealt with – e.g. training).

High
Medium
Low

Jun-16 | Sep-16 | Dec-16 | Mar-17 | Jun-17 | Sep-17 | Dec-17 | Mar-18 | Jun-18 | Sep-18
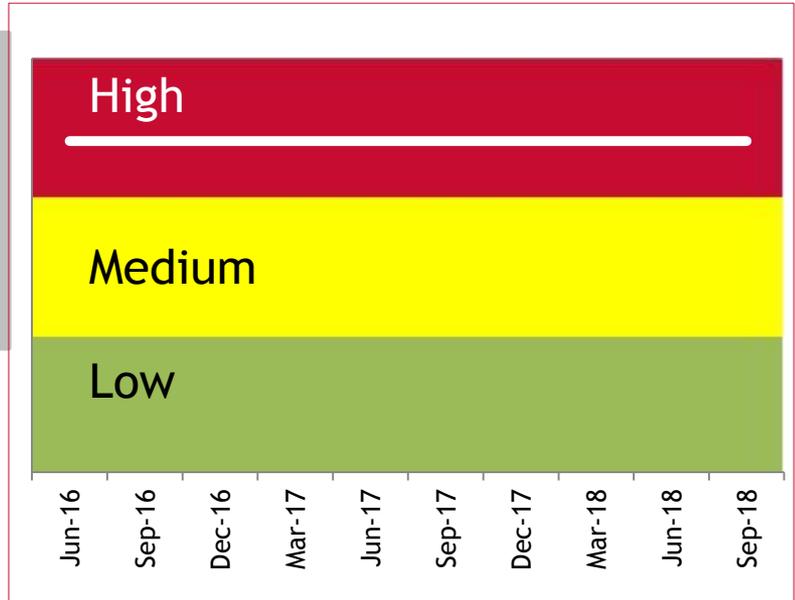
WHAT NEXT?

- Continuous focus will be maintained to ensure compliance is maintained

- Further works will be identified and added to the 19/20 capital works programme

- Improved reporting model will be implemented

CORPORATE RISK AREAS

BUSINESS CONTINUITY RESPONSE TO MAJOR EVENT

Q2 2018/19

WHY IS THIS AREA OF RISK RED?

- The ability of the council to appropriately deliver against business continuity plans as the organisation shrinks in size. In particular – the council's resilience to loss of staff or unanticipated increase in demand resulting from flooding, accident, pandemic, terrorist activity, Brexit or system loss.

MITIGATING ACTIONS

- Council wide business critical services are defined and BCPs reviewed annually by the CRMG on behalf of the Performance Board.

- The County Council's response to a flu pandemic will be governed through its business continuity arrangements and through making key contributions to a multi agency response.

- Comms plan developed for winter weather event (including lessons learnt from last year)
  - Advice on travel
  - Use of remote working

- Social care case management system – major project to deliver the transition from Fwi to Liquid Logic.

High

Medium

Low

Jun-16 Sep-16 Dec-16 Mar-17 Jun-17 Sep-17 Dec-17 Mar-18 Jun-18 Sep-18

WHAT NEXT?

- Critical business continuity plans to be reviewed in November 2018 to identify areas without sufficient resilience to significant staff losses, or increased demand

- Agreement with NHSEngland for the supply of PPE (face masks) for front line staff during pandemic episode

- Review of Worcs annex of the Excess Deaths Plan during 2018 to clarify and agree body storage/management responsibilities and arrangements between County and District Councils

- Review HR position in November 2018 to dynamically manage staffing issues

- Undertake a Brexit analysis of risks to the county