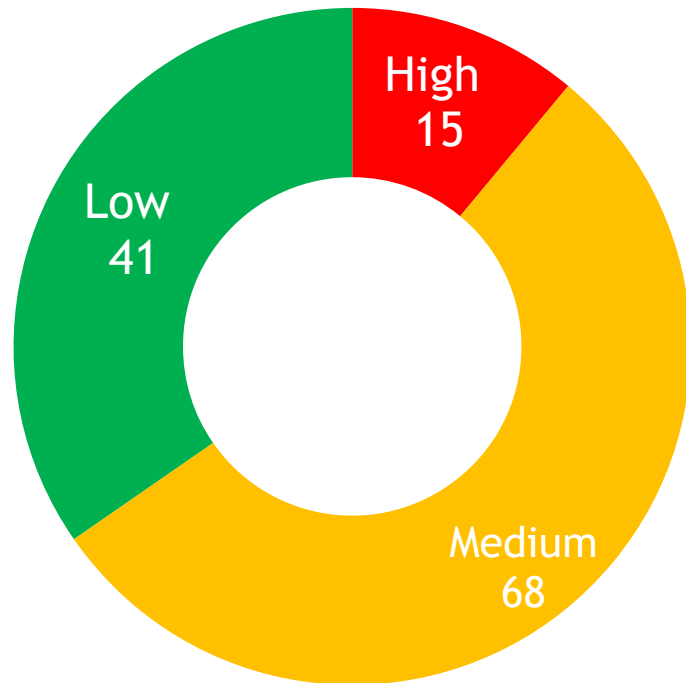# PROFILE OF CORPORATE RISK REGISTER

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 One - 2019/20. There are 124 risks, of which 15 are scored by directorates as high.

High Risks by Directorate	
Children, Families and Communities	5
Adult Services	4
Public Health	2
Economy and Infrastructure	3
Chief Executive	1

High
15

Low
41

Medium
68

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
  - Demand for adult social care
  - Management of the county estate
  - Business continuity response to major event
  - Financial control
  - Staffing

CORPORATE RISK AREAS
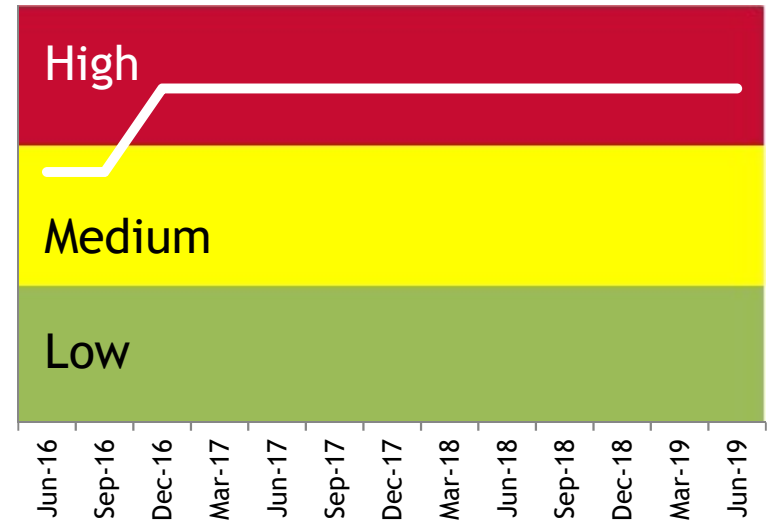
FAILURE TO SAFEGUARD VULNERABLE CHILDREN

Q1 2019/20

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

- Accommodation for Care leavers priority of Worcestershire Partnership Board (WPB), led by Lead Member and supported by District Councils.
- Supply of placements for Children in care priority of Service Improvement Plan.
- Transition plan in place to oversee the implementation of the new case management system.

High

Medium

Low

Jun-16 Sep-16 Dec-16 Mar-17 Jun-17 Sep-17 Dec-17 Mar-18 Jun-18 Sep-18 Dec-18 Mar-19 Jun-19

WHAT NEXT?

Implementation of Worcestershire Children's First.

CORPORATE RISK AREAS

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

Q1 2019/20

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
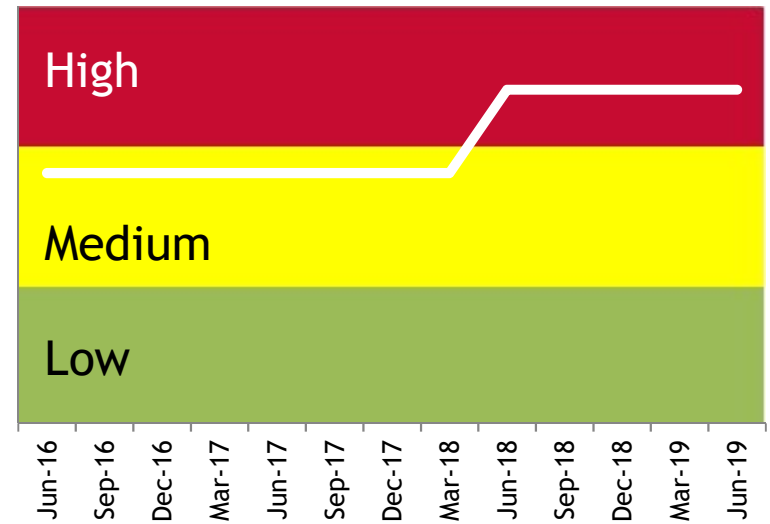
WHAT NEXT?

Implementation of Worcestershire Children's First.

Delivery of the SEND Improvement Action Plan

CORPORATE RISK AREAS

FAILURE TO MITIGATE DEMAND FOR ADULT SOCIAL CARE

Q1 2019/20

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

High

Medium

Low

Jun-16 | Sep-16 | Dec-16 | Mar-17 | Jun-17 | Sep-17 | Dec-17 | Mar-18 | Jun-18 | Sep-18 | Dec-18 | Mar-19 | Jun-19

MITIGATING ACTIONS

- The Three Conversations Model introduced by Adult Social Care has been rolled out across all Area Social Work teams Learning Disability and Mental Health services 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.

- Monthly monitoring of service and directorate budgets at DAS DLT, and reporting of integrated and pooled budget arrangements to ICEOG on monthly basis.

- Additional government funding received for winter pressures

- 2019/20 budget approved with significant growth element

WHAT NEXT?

- 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.

- Develop business plan for Assistive technology.

CORPORATE RISK AREAS
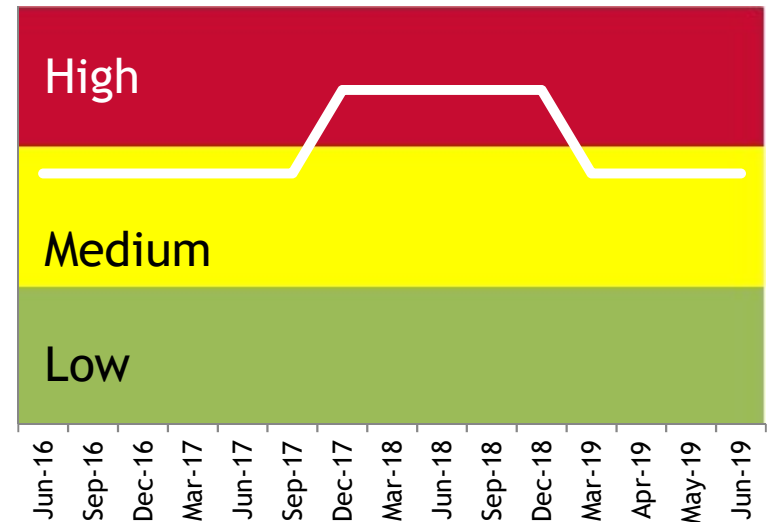
INADEQUATE FINANCIAL CONTROL

Q1 2019/20

WHY IS THIS AREA OF RISK AMBER?

- Rapid cost saving measures in 2019/20 have reduced overspend and the council's budget monitoring system is being rolled out. There remains significant risk to adequate control around spend and the ability of the council to meet the challenge of budget pressures.

MITIGATING ACTIONS

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

- The Council's new financial and budget monitoring system has been piloted across WCC and supported by finance officers, ready for roll out in 2019/20.

- Regular monitoring reports 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) delivered, including Christmas Leave, vacancy management, closing graduate and apprentice programme, VR programme. Significant reduction in overspend compared with projected mid year figure.

- Commercial programme of contract reviews, tailspend review (inc p-card review) and payment terms initiated.

- Review and rationalizing of cost codes to ensure accountability and simplify budget management for budget holders.

- Budget agreed at full council in February 2019.

High

Medium

Low

Jun-16 Sep-16 Dec-16 Mar-17 Jun-17 Sep-17 Dec-17 Mar-18 Jun-18 Sep-18 Dec-18 Mar-19 Apr-19 May-19 Jun-19

WHAT NEXT?

Roll out of Finance Improvement Programme is underway to strengthen controls and skills.

CORPORATE RISK AREAS
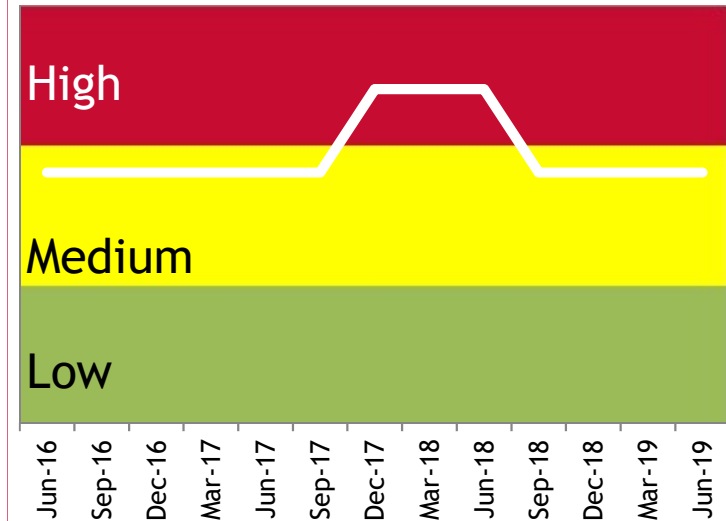
INSUFFICIENT STAFF CAPACITY, CAPABILITY AND PRODUCTIVITY

Q1 2019/20

WHY IS THIS AREA OF RISK AMBER?

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

  - Permanent staffing now 87% (social care) and 85% (social workers) as at July 2019
  - 70 new starters in frontline safeguarding teams in last 12 months
  - Social worker turnover is at 15% (slightly higher than the low of 11% in October 2018) but 24% lower than 12 months ago.

- A new campaign to replace the "Leave the Bid City behind" campaign will be launched in late Autumn 2019 to continue to prompt living and working in Worcestershire, and making use of social media to raise the profile of the County.

- Recruitment Services transferred back to the Council from the provider from 1 August 2019.

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

- Organisational redesign will include significant staff engagement around performance and productivity including Total Reward.

High

Medium

Low

Jun-16 Sep-16 Dec-16 Mar-17 Jun-17 Sep-17 Dec-17 Mar-18 Jun-18 Sep-18 Dec-18 Mar-19 Jun-19

WHAT NEXT?

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

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

CORPORATE RISK AREAS

INSUFFICIENT COMPLIANCE MANAGEMENT OF COUNCIL ESTATE

Q1 2019/20

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.

High

Medium

Low

Jun-16 Sep-16 Dec-16 Mar-17 Jun-17 Sep-17 Dec-17 Mar-18 Jun-18 Sep-18 Dec-18 Mar-19 Jun-19

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. Remedial works from surveys and assessments determined and programme of works for 2019-20 agreed by SLT.

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

- All fire remedial works have now been costed by PPL. SLT have approved the funding to carryout the required works identified from the fire risk assessments. Works are intended to be completed by the end of 2019.

- 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).

- All surveys and assessments (asbestos, fire and water) for corporate buildings up-to-date and a future program of works (2019-2024) being developed.

- Compliance activity being expanded to cover electricity, gas and confined spaces – additional compliance areas will be added progressively.

- Compliance in schools being investigated – data gathering is complicated due to the self-autonomy of schools.

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

- Increased focus on detailed compliance requirements

- Budget for future compliance works being developed

CORPORATE RISK AREAS

BUSINESS CONTINUITY RESPONSE TO MAJOR EVENT

Q1 2019/20

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.

High

Medium

Low

Jun-16 Sep-16 Dec-16 Mar-17 Jun-17 Sep-17 Dec-17 Mar-18 Jun-18 Sep-18 Dec-18 Mar-19 Jun-19

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.

- Communications for winter weather event delivered (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.

- Agreement with NHS England for the supply of PPE (face masks) for front line staff during pandemic.

- Business continuity plan (BCP) hub established on Resilience Direct for off-site storage of critical business continuity plans.

WHAT NEXT?

- Critical BCPs to be reviewed (stored on Resilience Direct) to identify areas without sufficient resilience to significant staff losses, or increased demand.

- WCC PH EP delivered a Pan Flu scenario BCP exercise to Worcester City Council in March 19. A WCC pan flu ex of its own BC arrangements is under development.

- Review of Worcs annex of the Excess Deaths Plan during 2019 to clarify and agree body storage/management responsibilities and arrangements between County and District Councils

- Review of WCC Pandemic Flu framework document during 2019/20.

- New council responsibilities for EU exit preparations