

Corporate Risk Report

Q1 2023/34

Audit and Governance Committee

21 July 2023

Q1 2023/24 Risk Report

- Overall summary of corporate risks
- Corporate risks rated as red (score > 20)
 - Detail of each corporate red risk
- Corporate risks rated as amber (score between 10 and 20) and deteriorating
 - Detail of each corporate amber / deteriorating risk

Overall summary of corporate risks

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WCC Risk Summary

Risk Matrix

CEU

COaCH

E&I

People

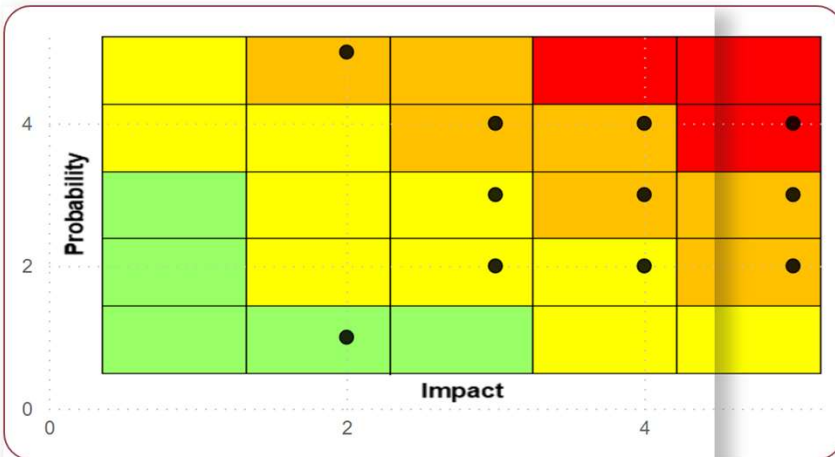
WCF

1

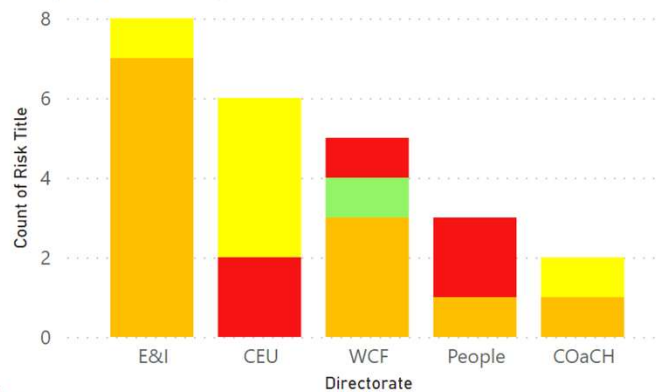
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5



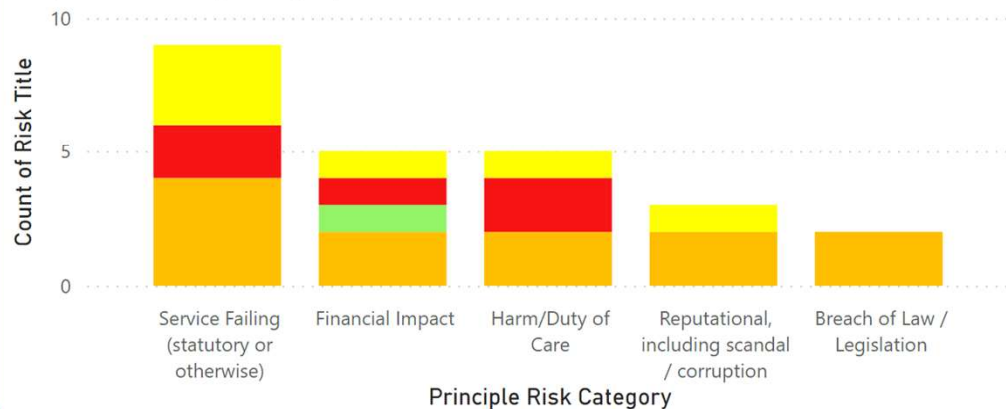
Corporate Risk by Directorate



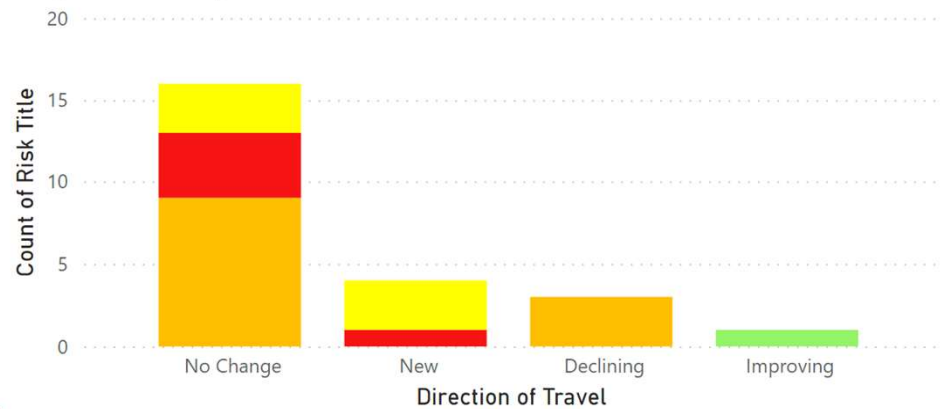
Corporate RR ?



Corporate Risk by Category



Corporate Risk by Direction of Travel



Corporate risks rated as red

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WCC All Risks

Principle Risk Category

- Select all
- Financial Impact
- Harm/Duty of Care
- Service Failing (statutory ...)

Corporate RR?

- No
- Yes
- (Blank)

Service Area

- Select all
- Adult Social Care
- Finance
- HR, OD and Engage...

Direction of Travel

- Select all
- New
- No Change

Green

(B...

Yellow

(Bl...

Amber

(Bl...

Red

5

Click to re-set selections and view all indicators

Risk Title

Principle Risk Category

Directorate

Service Area

Risk Owner

Market instability	Financial Impact	People	People Commissioning	Rebecca Wassell
Increase in demand in Safeguarding	Harm/Duty of Care	People	Adult Social Care	Kerry McCrossan
Serious harm or death of a child or young person	Harm/Duty of Care	WCF	SC&S	Adam Johnston / Emma Brittain
Ability to maintain positive Employee Relations	Service Failing (statutory or otherwise)	CEU	HR, OD and Engagement	Rich Taylor
Financial Instability	Service Failing (statutory or otherwise)	CEU	Finance	Phil Rook

Exceptions – corporate red risks

Risk Title

Market instability

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Rebecca Wassell

Service?

Yes

Directorate?

Yes

Corporate?

Yes

Risk Description

Significant upward pressure on costs (energy, food, staffing) allied to lower levels of occupancy than pre-Covid will lead some providers to give notice on some WCC funded residents and/or lead some homes to close

Service Area

People Commissioning

Directorate

People

Risk Category

Financial Impact

Overall Score

20

Direction of Travel

No Change

Date Risk Identified

Thursday, June 01, 2023

Review Date**Score After Mitigation****(Blank)**

Current Controls

We will be launching invites for providers of older peoples residential care to join a DPS framework that will enable care homes to become "first choice providers". This will assist them in increasing occupancy and recovery of overheads. There is significant overprovision in the older peoples care home market and some consolidation is inevitable. The council will open discussions with providers who decide to exit the market to enable them to do so in a supported manner. Additionally there is a process agreed for reviewing fees which are historically low, where there is no increase in care need.

Further Actions Identified

(Blank)

Risk Title

Increase in demand in Safeguarding

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Owner

Kerry McCrossan

Service?

Yes

Directorate?

Yes

Corporate?

Yes

Risk Description

There is a significant backlog of Safeguarding cases relating to safeguarding which could result in harm to those adults

Service Area

Adult Social Care

Directorate

People

Risk Category

Harm/Duty of Care

Overall Score

20

Direction of Travel

No Change

Date Risk Identified

Thursday, June 01, 2023

Review Date

Score After Mitigation

10

Current Controls

Investment into the Safeguarding Team to use an external agency to help triage and clear the backlog has begun

Further Actions Identified

Further investment has been approved by Mark Fitton for 4 more staff, however, these need to be resourced by the organisation, mitigation to move some of the project Team into Triage has also taken place so cases are risk assessed in a timely manner. New safeguarding model agreed requiring formal SLT sign off and investment.

Risk Title

Serious harm or death of a child or young person

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Owner

Adam Johnston / Emma Brit...

Service?

Yes

Directorate?

Yes

Corporate?

Yes

Risk Description

Safeguarding risk because of serious harm or death of a child or failure to safeguard children. Reputational risk as a result of poor inspection or service breakdown.

Service Area

SC&S

Directorate

WCF

Risk Category

Harm/Duty of Care

Overall Score

20

Direction of Travel

No Change

Date Risk Identified

Sunday, November 01, ...

Review Date

Score After Mitigation

20

Current Controls

Safeguarding issues have been monitored and managed through the WCF Performance Board and through partnership working with the Worcestershire Safeguarding Children Partnership (WSCP) and other local strategic partners. Quality Assurance measures are in place safeguarding and activity has been monitored by the WSCP Safeguarding Practice Review Board and Get Safe Partnership Board and an Ofsted inspection on FFD highlighted excellent practice and procedure on WCF quality assurance framework. Recent national coverage of two high profile child deaths increases the risk of increased demand from public and professional anxiety due to media coverage and could impact on Worcestershire. There will be a high-profile criminal case regarding a child death, which has now been set for April 2023. We have identified funding for an increase in support workers across the serv...

Further Actions Identified

Robust and Significant quality assurance process in place from and full end to end service perspective

Risk Title

Ability to maintain positive Employee Relations

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Owner

Rich Taylor

Service?

Yes

Directorate?

Yes

Corporate?

Yes

Risk Description

IF: the council is unable to negotiate or comply with employment legislation or our recognition agreement with our recognised trade unions THEN: this could result in legal and/or possible industrial action with a resultant financial and reputational impact and an inability to meet service demands

Service Area

HR, OD and Engagement

Directorate

CEU

Risk Category

Service Failing (statutory or otherwise)

Overall Score

20

Direction of Travel

New

Date Risk Identified

Monday, June 19, 2023

Review Date

Score After Mitigation

15

Current Controls

Relationships continue with recognised unions to maintain communication, but national pay bargaining is maintained across all authorities

Further Actions Identified

Other methods of local considered reward and maintenance of clear responsibilities

Risk Title

Financial Instability

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Owner

Phil Rook

Service?

Yes

Directorate?

Yes

Corporate?

Yes

Risk Description

Risk that expenditure is in excess of income and there is a predicted or actual overspend in excess of funding available

Service Area

Finance

Directorate

CEU

Risk Category

Service Failing (statutory or otherwise)

Overall Score

20

Direction of Travel

No Change

Date Risk Identified

Sunday, May 01, 2022

Review Date

Score After Mitigation

15

Current Controls

Regular budget monitoring, review of reserves, forecasting with budget managers on high risk areas each month

Further Actions Identified

Escalation of issues to CEX and SLT

Corporate risks rated as amber & deteriorating

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WCC All Risks



Click to re-set selections and view all indicators

Principle Risk Category

- Select all
- Financial Impact
- Reputational, including sc...
- Service Failing (statutory ...)

Corporate RR?

- No
- Yes
- (Blank)

Service Area

- Select all
- Resources
- Social Care, AAD, H...
- Transformation and ...

Direction of Travel

- Select all
- Declining
- No Change

Risk Title	Principle Risk Category	Directorate	Service Area
Demand exceed budgetary provision	Financial Impact	WCF	Social Care, AAD, Home to School Transport and High
Loss of Resident Viewpoint Panel	Reputational, including scandal / corruption	COaCH	Transformation and Commercial
Changes, reductions and cessation to availability and accessibility of services for children, young people and families.	Service Failing (statutory or otherwise)	WCF	Resources

Exceptions – corporate amber / deteriorating risk

Risk Title

Demand exceed budgetary provision

[Home](#)[Previous Screen](#)**Owner**

Chris Bird

Service?

Yes

Directorate?

Yes

Corporate?

Yes

Risk Description

Overspend on placements due to increased demand and cost pressures in the market place as a result of inflation and capacity

Service Area

Social Care, AAD, Home t...

Directorate

WCF

Risk Category

Financial Impact

Overall Score

16

Direction of Travel

Declining

Date Risk Identified

Friday, September 10, 2...

Review Date**Score After Mitigation**

16

Current Controls

A lack of sufficiency and resilience (placements /residential / foster care) impacts negatively on the demand led budget for children in care. Ensuring sufficient local placements for our children in care, closer to their families and communities, is a priority within our Sufficiency Strategy which was agreed by Cabinet in June 2021. This strategy explicitly states our commitment to reducing the number of children in our care however there remain a financial risk that is jointly managed by WCF and the council. Given the pressure on children's services nationally and locally there is a continued commitment to invest in 2023/24 a further £10.1m into the base budget to cover pay increases and to fund some increased placement pressures. There is a further £2m of one-off funding set aside for potential placement pressures that could arise following recovery from the pandemic to mitigate an...

Further Actions Identified

Regular detailed budget monitoring to the Board and Council. A internal audit review of our end to end process concluded that WCF management is efficient, effective and robust, the limiting factor is funding allocation from the Council which compete with other priorities.

Risk Title

Loss of Resident Viewpoint Panel

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Owner

Rob Morris

Service?

Yes

Directorate?

Yes

Corporate?

Yes

Risk Description

Loss of confidence / representation in significant resident engagement activities - in particular reduction in residents signing up to the Viewpoint Panel, or reduction in the number of responses to key engagement activities

Service Area

Transformation and Com...

Directorate

COaCH

Risk Category

Reputational, including scandal / corruption

Overall Score

10

Direction of Travel

Declining

Date Risk Identified

Tuesday, March 07, 2023

Review Date

Score After Mitigation

8

Current Controls

Occasional recruitment to the panel. No significant investment in panel management.

Further Actions Identified

Ongoing promotional activity / social media campaigns / promotion of the panel at other Council engagement events (e.g. resident roadshows).
Investment in broader panel management and recruitment approach.

Risk Title

Changes, reductions and cessation to availability and accessibility of serv...

[Home](#)[Previous Screen](#)**Owner**

Chris Bird

Service?

Yes

Directorate?

No

Corporate?

Yes

Risk Description

Changes, reductions and cessation to availability and accessibility of services for children, young people and families. This is as a result of either reductions in workforce (e.g. sickness, loss of staff) or lack of organisational viability (insolvency etc) due to financial circumstances post covid recovery.

Service Area

Resources

Directorate

WCF

Risk Category

Service Failing (statutory or otherwise)

Overall Score

12

Direction of Travel

Declining

Date Risk Identified

Friday, March 13, 2020

Review Date**Score After Mitigation**

12

Current Controls

Commissioned services allocated to single points of contact in commissioning team and across WCF (including Foster Care and Residential Care with Placements Team) to maintain regular contact with providers to assess, respond to and support changes. This is complemented by fortnightly reporting by providers to the commissioning team to update on staff availability, financial health and current capacity and activity.

Following government guidance contracts continue to be "business as usual" with services / providers making acceptable adjustments and adaptations to service delivery to continue to deliver contract outcomes. Oversight and monitoring now being done via normal contract management process. Financial position of providers has remained stable though there remain significant long-term risks. Monitorin...

Further Actions Identified

Should providers cease services there will be an assessment of how young people and families will be affected, as well as the options available. One example of organisation closing where this is being applied.

Better and more communication and coordination internally between social care, education and commissioning, as well as with other LAs. Continued coordination of single WCF and WCC approach via weekly meeting between commissioners and public health. WCF Commissioning Hub operational - with centralised and consistent functions which now includes SEND commissioning.