

Corporate Risk Report

Q3 2023/34

Audit and Governance Committee

01 December 2023

Q2 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

VIEW GREEN

3

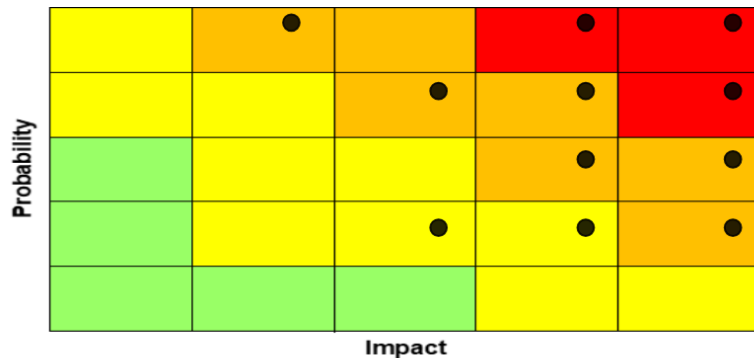
VIEW YELLOW

14

VIEW AMBER

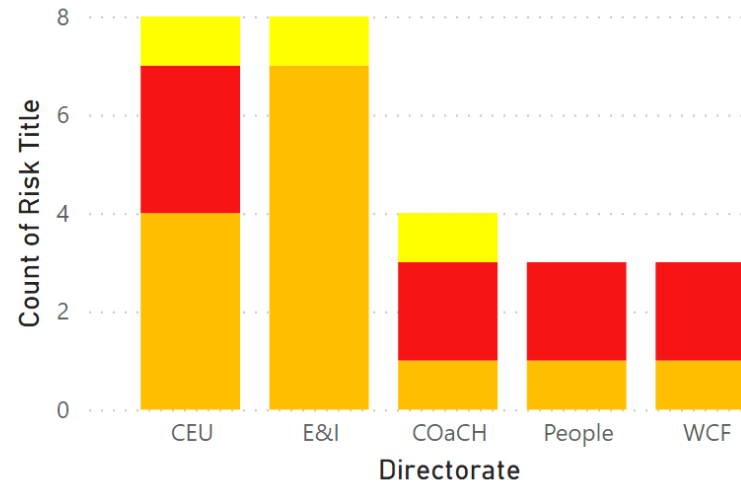
9

VIEW RED

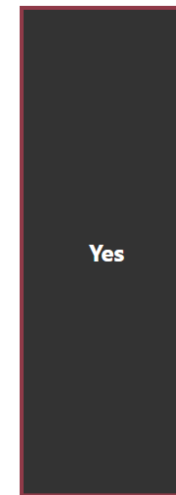


VIEW CORPORATE RISKS

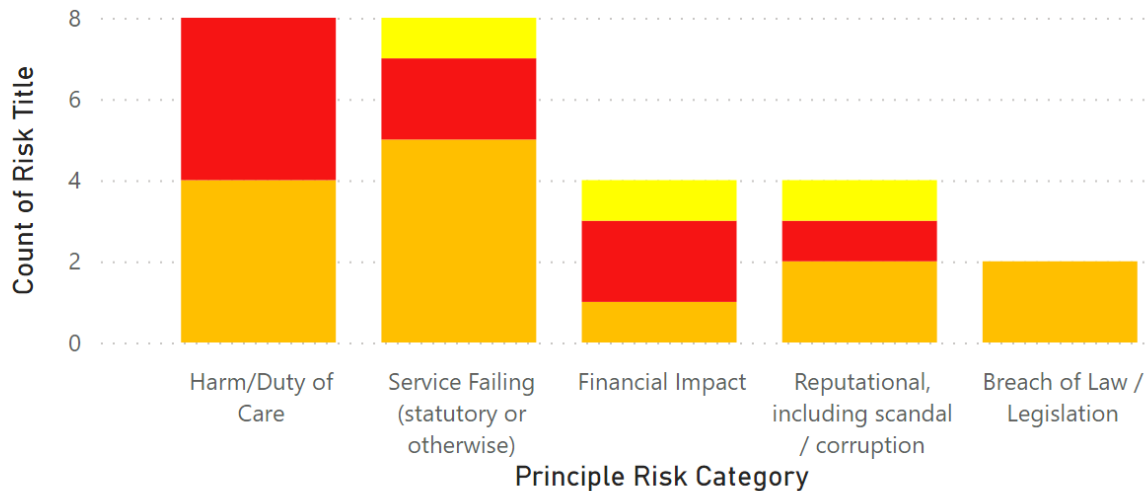
Corporate Risk by Directorate



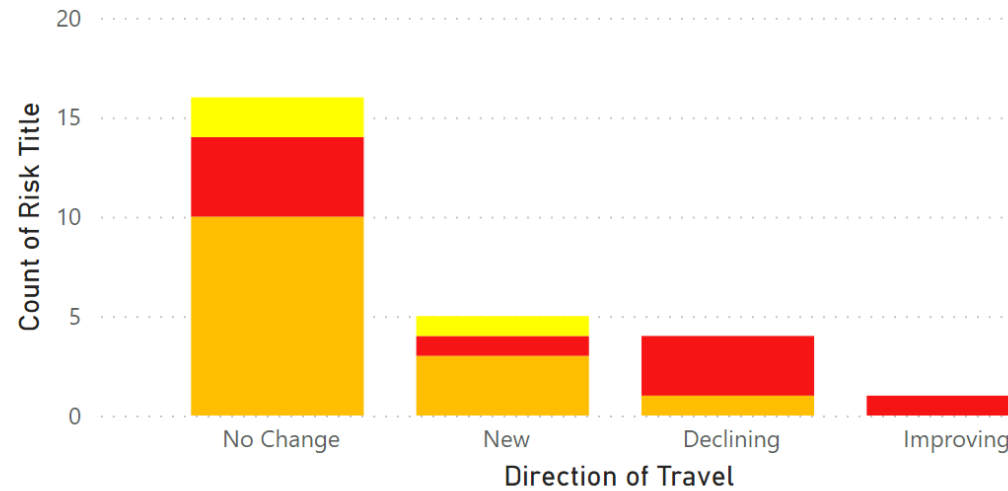
Corporate RR ?



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
- Reputational, including sc...

Corporate RR?

- Yes
- (Blank)
- No

Service Area

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

Direction of Travel

- Select all
- Declining
- Improving
- New

Green**Yellow****Amber****Red****9**[Click to re-set selections and view all indicators](#)

Risk Title

Principle Risk Category

Directorate

Service Area

Financial pressure on resources due to increased demand on Children's Placements and Home to School Transport	Financial Impact	WCF	Social Care, AAD, Home to School Transport and High
Market instability	Financial Impact	People	People Commissioning
Increase in demand in Safeguarding	Harm/Duty of Care	People	Adult Social Care
Outbreaks of human disease (epidemic or pandemic)	Harm/Duty of Care	CEU	Public Health
RAAC	Harm/Duty of Care	COaCH	Transformation and Commercial
Serious harm or death of a child or young person	Harm/Duty of Care	WCF	SC&S
Councillors not conducting themselves in an appropriate manner	Reputational, including scandal / corruption	COaCH	Legal and Governance
Ability to maintain positive Employee Relations	Service Failing (statutory or otherwise)	CEU	HR, OD and Engagement
Financial Instability	Service Failing (statutory or otherwise)	CEU	Finance

Exceptions – corporate red risks

Financial pressure on resources due to increased demand.

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Owner

Chris Bird

Service?

Yes

Directorate?

Yes

Corporate?

Yes

Risk Description

Financial pressure on resources due to increased demand on Children's Placements and Home to School Transport. 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

20

Direction of Travel

Declining

Date Risk Identified

Friday, September 10, 2021

Review Date

21/08/2023

Score After Mitigation

20

Current Controls

WCF budget performance is typically good, having achieved surplus' for years ending 20,21,22. In the financial year ending March 2023 the company has a deficit which highlighted the ongoing wider financial pressures on children's services. These are national pressures not unique to Worcestershire, and there are two drivers: demand for services and inflation. It is expected that these pressures will remain over the medium-term financial period requiring even tighter budgetary control and mitigating actions.

Further Actions Identified

Regular detailed budget monitoring to the Board and Council. An 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 competes with other priorities.

Market instability

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

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

21/08/2023

Score After Mitigation

20

Current Controls

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.

Discussion and negotiation with providers.

Further Actions Identified

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.

Increase in demand in Safeguarding

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

Improving

Date Risk Identified

Thursday, June 01, 2023

Review Date

25/10/2023

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. The backlog has now reduced from Oct 2022 to April 2023. We have approximately 200 cases remaining unallocated. 13 additional staff members are working additional hours to further reduce. the external project team are also working overtime.

Further Actions Identified

Project team continuing and now only a 48-hour delay. Financial risk is still high but managing the work is improving.

RAAC

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Owner

Andy Moran

Service?

Yes

Directorate?

Yes

Corporate?

Yes

Risk Description

County Hall roof is constructed using RAAC panels which are defective and have risk of failure.

Service Area

Transformation and Com...

Directorate

COaCH

Risk Category

Harm/Duty of Care

Overall Score

20

Direction of Travel

No Change

Date Risk Identified

Thursday, September 07, 2023

Review Date

21/11/2023

Score After Mitigation

20

Current Controls

Precautionary measures to vacate and prevent access to areas which would be affected by a RAAC panel failure

Further Actions Identified

Design proposal produced for propping of RAAC panels. Further consideration of implementation ongoing

Serious harm or death of a child or young person

[Home](#)[Previous Screen](#)**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, 2020

Review Date

21/08/2023

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, and safeguarding arrangements and activity have been monitored by the WSCP Safeguarding Practice Review Board and Get Safe Partnership Board. An Ofsted inspection on FFD highlighted excellent practice and procedure on WCF quality assurance framework. Recent national coverage of a death of a child covered in the media increases the risk of higher demand on Worcestershire's FFD due to public and professional anxiety.

Further Actions Identified

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

Councillors not conducting themselves in an appropriate manner

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

Hazel Best

Service?

Yes

Directorate?

Yes

Corporate?

Yes

Risk Description

Complaints from the public, officers and/or councillors about councillor conduct

Service Area

Legal and Governance

Directorate

COaCH

Risk Category

Reputational, including scandal / corruption

Overall Score

20

Direction of Travel

No Change

Date Risk Identified

Monday, June 12, 2023

Review Date

22/08/2023

Score After Mitigation

15

Current Controls

Member training on code of conduct

Further Actions Identified

Council adopted the LGA code of conduct for members at its annual meeting on 18.06.23. All members will be offered refresh of code of conduct training in June/ July 2023. (Two sessions) Track complaints to identify any themes developing and refer to the Standards and Ethics Committee for consideration

Ability to maintain positive Employee Relations

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

22/08/2023

Score After Mitigation

6

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

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

25

Direction of Travel

Declining

Date Risk Identified

Sunday, May 01, 2022

Review Date

10/01/2024

Score After Mitigation

20

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

Outbreaks of human disease (epidemic or pandemic)

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Owner

DPH

Service?

Yes

Directorate?

No

Corporate?

Yes

Risk Description

During the COVID 19 pandemic the local authority set up an outbreak response team alongside an IPC team from the ICB, funded through COMF. As of March 2023 both teams were stood down.

This risk is to the future management and response of emerging infectious diseases, v...

Service Area

Public Health

Directorate

CEU

Risk Category

Harm/Duty of Care

Overall Score

20

Direction of Travel

Declining

Date Risk Identified

Wednesday, March 09, 2022

Review Date

27/09/2023

Score After Mitigation

12

Current Controls

There are robust, well rehearsed plans, liaison with relevant organisations/bodies who may hold framework/contingency plans for different types of infectious disease outbreaks, and ongoing scenario testing.

ICB IPC team continues to provide support to care homes.

PH has produced a paper outlining the costs and benefits (health and financial) to commissioning a nurse-led IPC team for residential settings. Conversations are ongoing with the ICB to consider joint commissioning of this enhanced service.

Further Actions Identified

Review of risk post-LORT/IPC. A plan will be created to show how an outbreak service will be stepped back up by the local authority if required again in the future. Future scenario testing will continue to be carried out with key stakeholders to test how the local system would respond to health protection issues.

Corporate risks rated as amber & deteriorating

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WCC All Risks

Principle Risk Category

- Select all
- Reputational, including sc...

Corporate RR?

- Yes

Service Area

- Select all
- Transformation and C...

Direction of Travel

- Select all
- Declining
- New
- No Change

Green

Yellow

Amber

Red

1

Click to re-set selections and view all indicators

Risk Title

Principle Risk Category

Directorate

Service Area

Risk Owner

Appeal

Loss of Resident Viewpoint Panel

Reputational, including scandal / corruption

COaCH

Transformation and Commercial

Rob Morris

Yes

Exceptions – corporate amber / deteriorating risk

Loss of Resident Viewpoint Panel

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

26/10/2023

Score After Mitigation

8

Current Controls

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

Further Actions Identified

Panel recruitment approach to be reviewed. Young adults are a hard to reach group. Consider targetted promotion of the panel to young adults and families.