

AUDIT AND GOVERNANCE COMMITTEE



Report subject	Risk Management – Corporate Risk Register Update
Meeting date	13 January 2022
Status	Public Report
Executive summary	<p>This report updates councillors on the position of the council's Corporate Risk Register. The main updates are as follows:</p> <ul style="list-style-type: none">• Two new risks have been added to the council's Corporate Risk Register during the quarter: CR18 - Failure in customer interface CR19 – Failure to determine planning applications within statutory timescales, or within agreed extensions of time (EOT)• Corporate Risk CR17 - Risk to Reputation of Place & Council if summer arrangements are not managed – has been removed from the Corporate Risk Register• Details of those risks where a review was not possible during the quarter are included.
Recommendations	<p>It is RECOMMENDED that:</p> <p>Members of the Audit and Governance Committee note the update provided in this report relating to corporate risks.</p>
Reason for recommendations	<p>To provide assurance that corporate risks are being managed effectively and continue the development of the council's arrangements for Risk Management and enhance its governance framework.</p>

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Corporate Director	Graham Farrant – Chief Executive
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Wards	Council-wide
Classification	For Update and Information

Background

1. Risk can be broadly defined as the possibility that an action, issue or activity (including inaction) will lead to a loss or an undesirable outcome. It follows that Risk Management is about the identification, assessment and prioritisation of risks followed by co-ordinated control of the probability and impact of that risk.
2. In accordance with the Financial Regulations and the Risk Management Strategy, the Audit and Governance Committee are specifically responsible for ensuring appropriate and effective risk management processes. In practice, this means that the committee members must assure themselves that the council's Risk Management framework is appropriate and operating effectively. The council's Corporate Risk Register is an important element of this framework and is reviewed and updated on a quarterly basis.
3. In line with the decision-making framework in place for BCP Council it was agreed that, effective from day one, BCP Council would, as an interim measure, adopt the legacy Bournemouth Risk Management framework. The scoring matrix in this framework was adjusted to reflect the increased remit of the new authority. A revised Risk Management framework for BCP Council is being developed currently.
4. In addition to the quarterly reviews, in immediate practical terms, the Corporate Management Board continues to monitor risks and ensure appropriate and proportionate mitigating actions continue and evolve as risks change.

Corporate Risk Review

5. Members will recall from the previous updates that the Corporate Risk Register was established at the commencement of BCP Council. It has been routinely reviewed on a quarterly basis. Incorporated in each of the risks are the continuing impacts of the pandemic.
6. During the last quarter this register has been reviewed and the evidence of this review is included in the risk summary at Appendix 1.
7. Members will be aware that each risk is given a unique identifying number so where risks have been removed from the register the numbers will no longer run sequentially.

Changes in Risk During Quarter 3 – 2021/2022

8. During the quarter, some of the risks on the risk register have been reviewed and in addition to the routine updates to each risk, the material updates to the register are as follows:

CR14 - Continuity of Public Health arrangements and evolution of outbreak management plan – The update provided in relation to this risk is at a point in time. Members will be aware that this is a risk which is subject to continuous change.

CR17 - Risk to Reputation of Place & Council if summer arrangements are not managed – This risk has been de-escalated to be managed at a service level with re-consideration on the need for it to be re-considered at a Corporate level in the Spring of 2022.
9. Aspects of risks CR1 - Failure to respond to the needs arising from a changing demography, CR2 - Failure to deliver effective safeguarding arrangements for children & adults and CR12 - Failure to achieve appropriate outcomes and quality of service for young people relating to Children's Services, were due to be reviewed but this was not possible before the production of this report due to the Ofsted inspection of Children's Services that was taking place.
10. As part of the next scheduled review of the register risk CR1 - Failure to respond to the needs arising from a changing demography and CR2 - Failure to deliver effective safeguarding arrangements for children & adults will be reviewed in terms of their content to reduce the length of the description and to focus on the changes to the risk and the quarterly updates.
11. In addition to the above changes, following the discussions at the October meeting a further two additional risks have been added to the risk register. These risks are:

CR18 - Failure in customer interface – this is a new risk. The net risk score is showing as 'To be Determined'. This will remain as such until the analysis is complete and actions/interventions agreed.

CR19 – Failure to determine planning applications within statutory timescales, or within agreed extensions of time (EOT) - this is a new risk which is in the process of being fully analysed for the purposes of its inclusion on the Corporate Risk Register. A more complete update will be provided in the next report to the committee.
12. Whilst it may be noted that many of the risk scores have not changed, this is not reflective of management action or inaction. Risks will continue to be influenced by a number of factors including national impacts and operational environment changes.
13. Full details of the updates for this quarter can be found in Appendix 1.

Service Development

14. In addition to the reviews of Corporate Risks, the Risk Management Team continues to be engaged in the refresh of service risk registers. This includes engaging with services to understand their current risk arrangements, how these can be improved to deliver a proactive and dynamic risk management environment and how the Risk Management Team can support them in this to deliver a consistent and embedded approach to Risk Management throughout the council. This work is progressing well.
15. Work continues on finalising the draft of a new Risk Management framework for BCP Council. Consideration will be given to the council's risk appetite and the processes

for managing risk consistently across the council. This will also include the mechanisms for risk reporting and risk escalation.

16. As part of the role of the team, continuous “horizon scanning” is undertaken to identify issues that may give rise to risk to the council. When matters are identified, these are raised with the relevant Corporate / Service Director for review and consideration of any necessary action.

Summary of financial implications

17. Financial implications relevant to risks are detailed within the relevant risk registers.

Summary of legal implications

18. There are no direct legal implications from this report.

Summary of human resources implications

19. There are no direct human resources implications from this report.

Summary of sustainability impact

20. There are no direct sustainability implications from this report.

Summary of public health implications

21. There are no direct Public Health implications from this report.

Summary of equality implications

22. There are no direct equality implications from this report.

Summary of risk assessment

23. The risk management implications are set out within the content of this report.

Background papers

Risk Management – Corporate Risk Register Update Report to the Audit and Governance Committee on 28 October 2021

Appendices

Appendix 1 – Corporate Risk Register Update Q3 – 2021/2022

BCP Council
AUDIT AND GOVERNANCE COMMITTEE
January 2022

CORPORATE RISK REGISTER UPDATE Q3 - 2021/22

1. UPDATES / CHANGES TO THE CORPORATE RISK REGISTER

- 1.1 The Corporate Risk Register (CRR) is updated quarterly. Numbering does not run sequentially as some risks have been removed as reported previously.
- 1.2 Mitigation actions and significant changes this quarter are detailed below.
- 1.3 Further actions and a target risk score is now included for each risk.

RISK REF	RISK DESCRIPTION	GROSS RISK SCORE	RISK INFORMATION & KEY MITIGATIONS IN PLACE	NET RISK SCORE	FURTHER ACTIONS	TARGET RISK SCORE	DATE TO ACHIEVE TARGET SCORE
CR1	<p>Failure to respond to the needs arising from a changing demography</p>		<p>Risk Owner: Chief Executive</p> <p>Risk Information:</p> <p>Adults Social Care</p> <p>Over recent years, the need for Adult Social Care (ASC) has been increasing due to a rising older population and due to a growing population of children, young people and adults of working age who have highly complex disabilities and mental health needs. There is also a national and local policy direction of ensuring that people with complex needs do not receive long-term care in a hospital setting but are enabled to live in their local community with appropriate care, treatment and accommodation. ASC has been both funding a higher volume of care packages and placements and an increasing number of very expensive packages of care for people with highly complex needs. Costs for residential care for older people have been rising at a rate of approximately 5% per year due to both national issues such as the rise in the National Living Wage and local market conditions. Nationally, there is a reform planned for April 2022 which will introduce a cap on care costs for service users, but not yet a sustainable funding plan other than an expectation that councils will meet demand through local spending power, which contributes to the risks for BCP Council and all local authorities.</p> <p>During the pandemic, Adult Social Care has had to respond to the unique demands for providing care packages in the community and care home placements in very short timescales and in relation to care home placements at much higher volume to enable rapid discharge of local people to care homes from hospital. There have been two extended periods where the pandemic incident management has required Adult Social Care to make a high number of high-cost residential placements: in March to June 2020 and from November 2020 to March 2021. The level of demand coupled with the percentage of care homes where there are suspensions on new admissions due to COVID outbreaks has very much stretched the capacity of the local care market. There is a legacy of financial cost to the Council into 2021/22 and potentially beyond, from the need to make so many high-cost placements. Although the pressure from COVID has reduced since March 2021, the associated hospital discharge guidance will continue until April 2022 in response to winter pressures and continues to place additional cost pressures on BCP Council.</p> <p>Pressures on the whole NHS system continues in 2021/22 with heightened emergency demands on hospitals.</p> <p>As the level of COVID infection in the community diminishes and with the roll out of the vaccination programme, ASC is working with service users and carers to understand the short and long- term impact of the pandemic on people’s lives. It is anticipated that there will be a high level of demand for carer support services (such as residential respite care) which could not be provided when COVID infection rates have been high. Specific provision had been made within the Better Care Fund (which is a shared pooled budget between the Council and Dorset Commissioning Group) to fund additional carer support in 2021/22. It will take time to understand if there will be increased service requirements to meet the needs of people who may be experiencing ill-health due to having contracted COVID19. There remains some level of risk of a further rise in COVID19 cases in the winter of 2021/22 and beyond, and this combined with other Winter pressures, such as seasonal flu, could lead to significant pressures over the coming year on both the NHS and social care services.</p>		<ul style="list-style-type: none"> • Continue to work with Association of Directors of Adult Social Services and the Local Government Association on making the case to Government for a national funding approach to Adult Social care which is sustainable for the public, adult social care sector and Local Authorities. • Continue the transformation programme around demand management for Adult Social Care to minimise budget pressures. • Continue to work with the Local Government Association to use available national comparative analysis of expenditure on Adult Social Care across all Councils to support the identification and implementation of further costs savings within the Medium Term Financial Plan. • Develop and implement with the Strategic Implementation Partner plans for Centres of Excellence for Commissioning and Procurement which will ensure the commissioning and contracting of Adult Social Care services of good quality and produce short and medium - term savings. • Work with NHS partners and Dorset Council external expertise (iMpower) to support the development of a Home First programme which will deliver good quality community care treatment and enable timely and safe hospital discharge. 		<p>March 2024</p>

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CR1	Failure to respond to the needs arising from a changing demography - Continued		<p>The Adult Social Care Sector is continuing to implement infection control measures to prevent the spread of COVID19 and arrangements which support rapid testing and safe visiting and family contact for residents in care homes. The costs of these additional measures, which have been extended into 2022, have been funded by central government.</p> <p>Key Risk Mitigations</p> <ul style="list-style-type: none"> The Council will agree key strategies which set out how it intends to work with the social care market to further develop quality and cost-effective care models and services which meet current and future population needs and maximise independence and choice for people who use care services. These strategies are: <ul style="list-style-type: none"> - A Market Position Statement for Adult Social Care - Commissioning Strategies for Care Homes and Extra Care. A detailed assessment is being made in terms of the continuing costs of the pandemic both in terms the additional costs of care which have been carried forward into 2021/22 and in-year cost pressures which may arise, including should Central Government discontinue specific grants to the Social Care sector for infection control and rapid testing after Quarter 1. The 2021/22 Adult Social Care budget contains a sum of £1.3 million for additional care costs carried forward from 2020/21 while actual costs carried forward will be reported in the 1st Quarter Cabinet Budget monitoring report for 2021/22. The Government has allocated the Council a COVID19 grant for 2021/22 which is un-ringfenced. It has been acknowledged in the Medium Term Financial Plan that the Adult Social Care Directorate may need to make a call on this budget for COVID related expenditure. Adult Social Care is working in partnership with NHS and Dorset Council colleagues to develop a Home First Programme which will support the continuation of a Discharge to Assess model of hospital discharge and will be aimed at preventing avoidable admissions to hospital and care homes. A key element of this work is development of a financial strategy beyond April 2022 when Government funding ends. Adult Social Care will be implementing a “strength-based” approach to all aspects of adult social care which focusses on enabling people to lead full and independent lives ensuring that people are supported to work from the basis of their own choices and strengths and those of their family, friends and in their community. This programme includes fully implementing the agreed model for the Adult Social Care Contact Centre which will offer early and proactive responses to the public and reduce requirements for long-term care. There will be a focus on developing a wider range of housing and supported housing options to reduce the use of residential placements and enabling more adults of working age to train, volunteer and be employed. Strategies for Day Opportunities and for using technology to enable care and independence will be developed and implemented and contribute to the overall strength-based programme. Through this programme, the Council will be assured that its financial and staffing resources are best used and managed. 		This external expertise will support partners to develop a sustainable financial strategy across the Councils and NHS for the Home First programme.		

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CR1	<p>Failure to respond to the needs arising from a changing demography - Continued</p>		<p>Children’s Services</p> <p>Risk Information:</p> <p>The pandemic has increased the severity of many domestic abuse and mental health incidents and patterns. The loss of social life has eroded the confidence of many children and young people and has increased isolation and loneliness. Many vulnerable children have been hidden out of sight when they need daily monitoring by a team of professionals actively engaging with them. The extended length of the pandemic is also likely to be increasing child poverty and widening the educational attainment gap between advantaged and disadvantaged children. The true social cost of the pandemic will not be clear for some time. The levels of exhaustion being felt and shown by front-line staff like social workers, teachers and health visitors is also becoming a higher risk with unknown consequences for workforces. This is exacerbated by remote working which makes team support at a secure base much harder to achieve.</p> <p>The only variation to this risk is the increasing likelihood that demands on children’s services will increase more than predicted, especially in referrals for domestic abuse and mental health concerns, where a spike is expected over the coming months. An example of this is the number of younger children behaving in distressed and challenging ways in schools (Years 1-6 whereas the pattern before the pandemic was much more Years 5 and 6). The problems caused by the pandemic are, if anything, deeper than predicted, especially in the number of children who have become more disengaged with the mainstream having been out of it for so long.</p> <p>Key Mitigations</p> <ul style="list-style-type: none"> • Improved attendance at critical conferences and reviews through online meetings cutting out travel time • Lower foster care breakdown rates with their carers at home more (data from across 7 countries) • All children and families needing home visits have been visited after risk assessments have been carried out • Recovery plans are in place and local government has a good track record of multi-agency working during recovery • The Multi-Agency Safeguarding Hub continues to function well but the assessment service is under severe pressure as a result of the increase in referrals and special attention now needs to be given (again) to stabilise this service. <p>Communities</p> <p>Risk Information:</p> <p>The Communities Directorate covers a range of responsive services where demand is often changeable. This has particularly been demonstrated by Covid19 with teams responding rapidly to changes in situation and legislation as required. The social distancing restrictions around meeting face to face with our communities have prevented us from engaging in the same way we normally would which has both its positives and negatives. There is a risk that our lower levels of engagement mean that we are unaware of some areas of community need or tensions and therefore not responding appropriately.</p> <p>Key Mitigations:</p> <ul style="list-style-type: none"> • Developed new engagement routes and mechanisms (Information Officer roles for businesses, Community Champions Network, Trusted Voices, TWC Partnership Steering group) • Strengthened partnership working to identify and respond to need as required • Grant funding from the Government for enhanced communication and networking 		<p>The relevant actions for this risk are set out in the Children’s Services Action Plan. All of these 15 points are relevant to managing demand and adapting service delivery to post-pandemic referrals. Progress on delivery of the action is reported to a robustly functioning Improvement Board which has mandated senior leaders to take further actions as and when necessary to deliver improvements. The pace of change is fast already so cannot easily be quickened.</p> <p>As this is an intrinsic risk there is no target risk date. The target is to manage higher demand whilst improving service quality whilst staying within budget.</p> <p>The Directorate Communities Leadership Team review and respond to the risk as required. A Directorate level risk register is maintained and updated regularly.</p>		

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CR2A	<p>Failure to deliver effective safeguarding arrangements for children & adults ADULTS</p>		<p>Risk Owner: Chief Executive</p> <p>Risk Information:</p> <p>Corporate Context Safeguarding is the responsibility of all members and officers, and this is reflected in the Corporate Safeguarding Strategy which was agreed by Cabinet in September 2019. All relevant partners have worked across Children's and Adults Safeguarding and Community Safety Partnerships to establish effective governance arrangements post Local Government Review which meet all required statutory requirements. As a relatively new Council covering a population of almost 400,000, BCP Council must ensure that it is working with all partners in the most effective way to identify, assess and respond to safeguarding and community safety issues, particularly those which cut across children's, adults and community safety.</p> <p>Adult Social Care The pandemic has brought additional pressures to members of the public which has led to increased reporting of safeguarding concerns to adult social services but not a meaningful rise in formal safeguarding investigations. Services have been under increased pressure (particularly the NHS and social care providers) and it has been important to ensure that the public continue to receive high quality services and responses and appropriate safeguarding in the radically changed and rapidly changing context of the pandemic. Both the Safeguarding Adults Board and Adult Social Care Services must continue to ensure that there are effective multi-agency responses to all forms of abuse and neglect and that there is a skilled and sufficient workforce to undertake complex work to prevent harm, threat and risk. A particular area of focus for the Safeguarding Adults Board and Adult Social Care within the Council is to continue to strengthen quality assurance processes (including the frequency of case auditing) in order that there is comprehensive and timely evidence of good safeguarding practice and a continuous process of learning and development for all staff and managers. A key area for prevention of abuse and neglect is to work with the adult social care provider sector to monitor and continuously improve the quality of services with an objective that all social care provision is judged by the Care Quality Commission to be of a Good or Outstanding quality.</p> <p>Key Mitigations</p> <ul style="list-style-type: none"> • Robust arrangements for Safeguarding Adults on a partnership basis managed through the Safeguarding Adults Board with appointment of a new independent chairperson in April 2021 on retirement of previous post holder. • Evaluation of effectiveness of the new service model adult safeguarding for BCP Council which was implemented in November 2020. Evaluation to be undertaken by November 2021 and staffing capacity required to meet an increased volume of safeguarding concerns will be kept continuously under-review. • An Adult Social Care performance management and quality assurance framework is in place and will be strengthened during 2021/22 with additional case auditing. The Health and Care Bill (2021) introduces Care Quality Commission oversight (the term inspection is not being actively used) of local authority adult social care, expected to begin in the spring of 2023. • Learning from Safeguarding Adult and Domestic Homicide Reviews will continue to be implemented. This includes the appointment of two dedicated staff to manage highest risk cases where a service user presents risks to others in 2021/22. • Implementation of new Liberty Protection Safeguards and Mental Health legislation by Spring 2023. • Implementation of robust multi-agency approach to monitoring and improving the quality of the adult social care provider sector together with the Care Quality Commission, Dorset Council, Dorset Clinical Commissioning Group and adult social care sector providers. This will include, during 2021/22, the re-introduction of visits to provider services by the Adult Social Care Service Improvement Team in line with national and local Public Health safe practice guidance in relation to COVID19. 		<ul style="list-style-type: none"> • Further strengthen the Adult Safeguarding Board performance and quality assurance processes and Safeguarding Adults Board's line of sight to front line practice • As new structures are implemented through the Council's Smarter Structures programme, ensure that there is sufficient capacity to conduct regular independent audits and quality assurance of Adult Social Care safeguarding practice and of casework with people who present high risks in terms of their own safety or to the safety of others. • Work as part of the Community Safety Partnership to reduce the risks and impact of exploitation and County Lines on vulnerable adults 		<p>March 2024</p>

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CR2B	<p>Failure to deliver effective safeguarding arrangements for children & adults</p> <p>CHILDREN & COMMUNITIES</p>		<p>Children’s Services</p> <p>The pan-Dorset Safeguarding Partnership is not now decoupling, though a BCP delivery arm is being put in place to link the safeguarding partnership closer to the BCP operational safeguarding service.</p> <ul style="list-style-type: none"> BCP had a SEND inspection in June 2021 which identified significant gaps in services which are being addressed through Written Statement of Action, and we will receive a ‘focused visit’ from Ofsted in September 2021 and a full graded ILACS inspection (also by Ofsted) early in 2022. Audits (practice learning reviews) are showing month-on-month improvements in the quality of safeguarding assessments, though there is still some way to go before sufficient assurance can be given to remove this risk from the Corporate overview. <p>Key Mitigations</p> <ul style="list-style-type: none"> As in CR1, the focus on the Children’s Services improvement journey and action plan is to make core services safer for vulnerable children and young people. There is evidence this is improving each month. This gives an opportunity as a Phase 2 of closer links or merger with the BCP Safeguarding Adults Board and the local Community Safety Partnership The strongest mitigation is to have an effective front-door service which can respond in an agile and flexible way to unforeseen demands and changes in the pattern of safeguarding demands. The MASH continues to develop its systems for handling incoming referrals through the Assessment Service, into which it passes a significant percentage of referrals, is struggling to maintain an adequate level of service due to a rise in demand for assessments and considerable staffing difficulties. <p>Communities</p> <p>Key consideration for the Communities directorate in discharging the range of duties provided across a range of services, community safety and domestic abuse in particular.</p> <p>Key Mitigations</p> <ul style="list-style-type: none"> Safeguarding processes in place - working in partnership across the council and other key agencies, particularly in regard to risks presented in high-risk domestic abuse cases. All relevant staff are trained, and referral processes are clear. The refreshed BCP Community Safety Partnership Board have five strategic groups: <ul style="list-style-type: none"> Domestic Abuse Strategic Group Violence Reduction Strategic Group Vulnerable Adult & Child Exploitation Group Safer Communities Strategic Group Reducing Harm from Substance Misuse Strategic Group 		<p>The relevant actions for this risk are set out in the Children’s Services Action Plan. All of these 15 points are relevant to managing demand and adapting service delivery to post-pandemic referrals. Progress on delivery of the action is reported to a robustly functioning Improvement Board which has mandated senior leaders to take further actions as and when necessary to deliver improvements. The pace of change is fast already so cannot easily be quickened.</p> <p>Domestic Abuse Strategy approved and being implemented. Community Safety Partnership refreshed and working well with clearly defined structure leads and governance.</p>		

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CR4	Failure to provide adequate IT and cyber security		<p>Risk Owner: Corporate Director Transformation</p> <p>Risk Information</p> <p>This risk continues as a corporate risk and includes the additional considerations of the pandemic including the increase in remote working. It is also reflective of the increasing dependency on the IT infrastructure. The changes to the external environment that has evolved over the last 12 months with publicly reported increases in phishing and an increase in the sophistication of cyber-attacks are relevant to the scoring of this risk.</p> <p>Key Mitigations / Actions</p> <ul style="list-style-type: none"> • Each legacy Council has a strong infrastructure and work continues to migrate to a single BCP core infrastructure • Physical premises security • Physical data security • Encryption • Regular scanning • Multi layered security approach • Active security incident response team • Constant review of latest threats and their vectors • Regular patching and upgrades • Dedicated cyber security officer • Monthly review of key metrics • Continue to run 'internal' Phishing tests and use the data to target training and awareness for staff • Forced Multi Factor Authentication introduced in September 2021 • New Password criteria introduced to ensure complex password use • Restrictions on ability to transfer data out of Council applications/datasets to non-secure applications when being accessed through personal devices 		<p>As we fundamentally redesign and transition the enterprise architecture in partnership with our Strategic Implementation Partner we will ensure that the infrastructure is built to leading edge security standards.</p>		

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CR9	<p>Failure to maintain a safe and balanced budget for the delivery of services</p>		<p>Risk Owner: Director of Finance</p> <p>Risk Information</p> <p>Although the council has a forecast surplus for the current 2021/22 financial year (15 December - Quarter 2 Budget Monitoring Report) it is currently estimating a £7.8m funding gap for 2022/23 which extends out to an annual funding gap of £44.6m by 2026/27 which is the fifth year of the medium-term financial plan (MTFP). There are several key assumptions associated with this forecast including council tax levels, the recovery of sales, fees and charges income streams from the pandemic, and the level of additional government funding following the announcements made in the Chancellor's 2021 Autumn Budget.</p> <p>In addition, a particularly salient risk associated with this position is the growing deficit on the Dedicated Schools Grant (DSG) with specific reference to the High Needs Budget. This means the council will have insufficient reserves to act as a counterweight when the current statutory instrument, which allows this issue to be ignored, ends on the 31 March 2023.</p> <p>A second pertinent issue is that the council continues to assume that it will be able to fund its transformation programme from the flexible use of capital receipts. Earlier this year the government announced their intention to extend the deadline for this policy from 31 March 2022 to 31 March 2025. Currently the regulations to permit this extension have not been formally laid. There is also a significant risk that when these regulations are laid, they will alter the current framework which the council has used as part of its financial planning.</p> <p>Key Mitigation</p> <p>Councils' governance arrangements including the annual budget planning process which stipulates regular MTFP Update and Budget Monitoring reports to Cabinet. This includes monthly Budget Overview Meetings, a High Needs Recovery Board, and a monthly Children's Services Budget Overview meeting. Specialist technical accounting advice and external audit advice is also being undertaken to support in assessing new financial vehicles or instruments, especially in the context of the prudential code and recent guidance on capital strategies.</p>		<p>Formal consideration as part of the 2022/23 Budget report presented to Cabinet and Council in February 2022</p>		

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CR 11	<p>Ability of the council to function and operate efficiently in the delivery of single services across the area of BCP</p>		<p>Risk Owner: Chief Executive</p> <p>Risk Information</p> <p>This risk was clarified with the title being reviewed and changed to ensure it captured the relevant detail. This risk recognises the complex reorganisation that created the new council from 1 April 2019, the need to provide harmonised services across the entire area and the ambitious transformation programme taking place with the on-going challenges of a pandemic.</p> <p>Key Mitigations / Actions</p> <ul style="list-style-type: none"> • Training and development programme • Regular liaison between Cabinet and Corporate Management Board • Mentoring • Bedding down period for service re-structures • Member's toolkits • Six working groups of officers and members put in place to develop high-level delivery plans for the Corporate Strategy • A forward plan for harmonising the council's major service strategy and policy documents which will inform the Cabinet's forward plan has been agreed • Agreement of Corporate Strategy, People Strategy, Equalities Policy and Action plan leading to delivery plan will give some certainty • Corporate Strategy delivery plan actions reviewed by Cabinet and CMB to align with ambitions of the Big Plan and to reflect impact of Covid on priorities • The Overview and Scrutiny function has an associated skills and knowledge development programme in place to support members and ensure effective implementation of the function, which was developed in consultation with the Centre for Public Scrutiny (CfPS) as the body of excellence for scrutiny support to councils. This will include a review of the function planned for July 2020, supported by the CfPS, to provide opportunity for reflection on the first year of operation. • Extensive engagement with the Local Government Association to provide support for members as required, including making arrangements for mentoring and coaching and the LGA Peer Challenge in Nov 2021 • Regular internal communication 		<ul style="list-style-type: none"> • Continued monitoring of the harmonisation legacy policy and strategy documents • Complete a LGR stocktake of progress three years in, by April 2022 and consider if this needs to remain in the corporate risk register. 		

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CR 12	<p>Failure to achieve appropriate outcomes and quality of service for young people</p>		<p>Risk Owner: Interim Director of Children's Services</p> <p>Risk Information</p> <p>A 15-point 6-month action plan is in place and being driven forward by the interim Leadership Team in Children's Services. The Department for Education-led Improvement Board and Cabinet members are monitoring progress and keeping accountable officers on task.</p> <p>The only variation to this risk is the increasing likelihood that demands on children's services will increase more than predicted, especially in referrals for domestic abuse and mental health concerns, where a spike is expected over the coming months. An example of this is the number of younger children behaving in distressed and challenging ways in schools (Years 1-6 whereas the pattern before the pandemic was much more Years 5 and 6). This is one of many examples. The problems caused by the pandemic are if anything deeper than predicted, especially in the number of children who have become more disengaged with the mainstream having been out of it for so long.</p> <p>Whilst the risk is intrinsic, it is reducing, the evidence being continuous audits which show improvements in casework. It is important to remember that even good and outstanding children's services still carry these risks, but they would only normally appear on a risk register if the service is at risk of failing or has failed in some crucial respects. BCP was at risk of this last year, the risk is less now but the risks should remain on the corporate risk register until a full Ofsted inspection of BCP Council's Children's Services confirms the safety and quality of services is at a 'good enough' level.</p> <p>Key Mitigations / Actions</p> <ul style="list-style-type: none"> • Improved attendance at critical conferences and reviews through online meetings cutting out travel time • Lower foster care breakdown rates with their carers at home more (data from across 7 countries) • All children and families needing home visits have been visited after risk assessments have been carried out • Recovery plans are in place and local government has a good track record of multi-agency working during recovery • The Multi-Agency Safeguarding Hub continues to function well, but the assessment service is under severe pressure as a result of the increase in referrals and special attention now needs to be given (again) to stabilise this service. <p>Consideration has been given to whether this risk should be merged into CR2 above but keeping it as a separate and specific risk will ensure that appropriate resources are directed to solve the critical issues and improve services to support children and young people across the BCP area. Receiving a satisfactory assessment from Ofsted will remove the need to monitor this risk separately, but will not, alone, ensure that the Council delivers effective safeguarding arrangements for children and adults, which will continue to be covered by CR2.</p>		<ul style="list-style-type: none"> • The 15-point 6 month action plan will be consolidated into a 2021/24 Children and Young People's Plan from April 2021 (an LGR requirement) • Other linked action plans are being driven forward in the same way e.g., the SEND action plan which also has an Improvement Board • Intensive work to achieve stronger staff engagement and support • A business case for additional funding from Department for Education is being submitted against their programme to prevent local authority children's services falling over • Development of the strongest in-house managers by Hampshire County Council (rated outstanding for children's services), so that the in-house leaders of the future are ready to take up the reins when the interim leaders move on <p>There is no target date for this risk as it is considered a continuous intrinsic risk.</p>		

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CR 13	Failure to deliver the transformation programme		<p>Risk Owner: Corporate Director Transformation</p> <p>Risk Information</p> <p>The future efficiency and effectiveness of the Council, our reputation as a service provider and our ability to continue to deliver a balanced financial position within the Medium Term Financial Plan horizon are fundamentally linked to the delivery of our transformation objectives. Delivering a programme with the complexity, scale and pace as set out by the Council will be challenging on a number of levels including: Identifying the correct partner(s) to support the delivery of the programme; effectively engaging the organisation in the vision of the future; committing to the achievement of challenging benefits realisation targets; ensuring the appropriate level of funding to support the resources required to deliver the programme.</p> <p>Key Mitigations</p> <ul style="list-style-type: none"> • Strong design and engagement with key stakeholders to the business case • Identification of funding sources and the development of a Financial Strategy to support the programme • Strong identification and specification of our requirements while reflecting the extremely dynamic technology/data environment within which we will need to deliver the programme • Robust and effective procurement process to identify and engage the right partner(s) to support the Council in the delivery of the programme • Effective programme management and performance monitoring of the delivery. 		<p>The programme, it's governance architecture and all workstreams have now been fully designed and are being implemented. There is very strong coordination of all workstreams and effective integration between the Strategic Implementation Partner and BCP teams working across the programme. The benefits are being constantly reviewed and reinforced across all aspects of the programme.</p>		

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CR 14	<p>Continuity of Public Health arrangements and evolution of outbreak management plan</p>		<p>Risk Owner: Chief Executive</p> <p>Risk Information</p> <p>This risk was considered by the Chief Executive following its addition to the risk register. Due to the nature of the risk the mitigations and actions move at pace and are influenced by both the national and local position. They will continue to be reviewed and updated as part of the on-going response to the pandemic.</p> <p>Key mitigations</p> <ul style="list-style-type: none"> Local Outbreak Management Plan in place and effective since July 2020 (updated November 2021 to reflect Autumn and Winter plan), with multiagency health protection board to oversee response to outbreaks in high-risk settings, surveillance, testing, contact tracing, vaccine uptake and coverage and communications and engagement. Public health day response team in place plus out of hours and weekend on-call rota established. Local trace partnership for BCP Council continue to handle significant contact tracing caseload meaning more rapid follow up of local cases and contacts, with high completion rates. Expansion of testing has been significant, both symptomatic PCR testing, and community asymptomatic testing now available to all adults. Continued delivery of COVID vaccination programme with significant ongoing challenge to reach over-18 population with booster doses, in addition to offer of two doses to 12-17s. 		<p>The country moved to step 4 of the national roadmap which saw most restrictions lifted. In the past 2 weeks some measures like face masks have been re-introduced due to the presence of a new variant of concern, Omicron (B.1.1.1.529). The public health team continues to provide strong outbreak management via the local outbreak management plan and health protection board. These arrangements were confirmed as continuing under the Autumn and Winter plan, and updated local engagement and response strategy. Due to continued high infection rates from Delta, Health Protection Board has agreed to continue to fund local contact tracing, targeted testing and ongoing communications and engagement to reduce transmission. Current performance on the vaccination programme is a challenge due to expansion of national offers and workforce constraints. The EpiCell model predicts cases will continue to rise until mid-January, with further increased hospital admissions albeit at a lower level than previous waves because of protection due to vaccination.</p>		

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CR 15	Effective people strategy		<p>Risk Owner: Chief Executive</p> <p>Risk Information</p> <p>The Council's People Strategy was developed and launched during 2019/2020 - immediately prior to the impact of the Covid-19 pandemic. A significant amount of the anticipated work within the strategy has been impacted by the need to refocus on the support and wellbeing of the workforce during the response to the pandemic. As we hopefully emerge from the full response phase of the pandemic, focus is now shifting to rechecking the key elements of the Strategy against the changed workforce/workplace and the wider transformation programme objectives.</p>		<ul style="list-style-type: none"> • Strong analysis and reaction to the key themes emerging from the Employee Engagement Survey • Clear correlation between the key themes of the People Strategy and the design and implementation of the transformation programme • Develop stronger communications capabilities within our management structures 		

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CR 18	Failure in customer interface		<p>Risk Owner: Corporate Director, Transformation & Resources</p> <p>Risk Information</p> <p>While full scale transformation of the Council is underway, there is a risk that our current customer service capabilities, capacity, systems and processes fail to provide the level of responsiveness that our communities and residents expect. This risk is specifically focussed on the short-term capabilities of the Council.</p> <p>Full baselining and data monitoring of the corporate customer contact centre is now possible with the significant upgrade to the Council's legacy telephony arrangements haven been undertaken during the Covid pandemic. Data is currently being produced and analysed in order to provide the basis of identifying and supporting a range of intervention and improvement projects over the course of the next three months.</p>	TBD	<p>To be defined once analysis is complete. Interventions are likely to include significant increase in available resources across all channels in order to support improvements in outcomes pending the full transformation programme outcomes.</p>		

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CR19	<p>Failure to determine planning applications within statutory timescales, or within agreed extensions of time (EOT)</p>		<p>Risk Owner: Chief Operations Officer</p> <p>Risk Information</p> <p>The risk is identified as the failure to achieve the statutory targets for determining planning applications (8,13 or 26 weeks depending on application type), and continuing to be over-reliant on extensions of time (EOT).</p> <p>This risk is in the process of being fully analysed for its inclusion on the Corporate Risk Register. It will consider the position in terms of the current risk and the mitigations in place and actions proposed to further manage the risk. These will be included in further reports to the committee which will include a target score and the target date for this score to be achieved. For the purposes of this report the gross and net risk scores have been estimated and will be updated in the next report.</p> <p>Below are details of the mitigations already in place.</p> <p>Key Mitigations</p> <ul style="list-style-type: none"> • Monthly improvement board meetings • Change Plan in place 				