

Corporate Risk Register Summary - December 2021

CR58

Current Score
25

Target Score
9

Initial Score
25

Risk Change
Unchanged


Risk Description

The care market is experiencing an unprecedented period of fragility, particularly due to staff shortages and increasing demand. This has been further exacerbated by COVID19, including the mandatory requirement for care staff to have a vaccination; however this also extends to WSCC staff requiring access to these facilities (i.e. Social Workers, OT), and contractors. If the current and future commercial/economic viability of providers is not identified and supported, there is a risk of failure of social care provision which will result in funded and self-funded residents of West Sussex left without suitable care.

Date Risk Raised

05/09/2018

Risk Owner

Executive Director of Adults and Health

Risk Strategy

Treat

Risk Control/Action

Target Date

Administration of central government funding to provide financial support to the sector.	ongoing
Collection of market information on Firefly. Analysis of information and appropriate level of quality assurance response.	ongoing
Financial analysis of high risk provision - due diligence checks.	ongoing
In the event of an incident, ensure the consistent implementation of Emergency Response Plans, including a full de-brief and lessons learned.	ongoing
Provision of regular support and communication to care homes to monitor financial sustainability (increased engagement during COVID-19 pandemic to monitor Infection Control Grant).	ongoing
Regular review of care homes business continuity arrangements to address government vaccination directive.	ongoing
Review capacity of residential and non-residential services to ensure service availability and to support identification of contingencies if needed.	ongoing

CR39a

Current Score
25

Target Score
16

Initial Score
20

Risk Change
Unchanged


Risk Description

Cyber threat is an evolving, persistent and increasingly complex risk to the ongoing operation of County Council. There is a risk of a successful cyber attack directly from external threats; or indirectly as a consequence of members or staff falling prey to social engineering or phishing attacks. The potential outcome may lead to significant service disruption and possible data loss.

Date Risk Raised

01/03/2017

Risk Owner

Director of Finance & Support Services

Risk Strategy

Treat

Risk Control/Action

Target Date

Conduct tests including penetration, DR and social engineering. (conducted 6 monthly)	ongoing
Ensure that cyber-attack is identified early, that reporting & monitoring is effective, and recovery can be prompt.	ongoing
Improve staff awareness of personal & business information security practices & identification of cyber-security issues. Continued actions due to evolving threats.	ongoing
Maintain IG Toolkit (NHS) & Public Service Network security accreditations.	ongoing
Provide capacity & capability to align with National Cyber-Security centre recommendations.	ongoing
Regular review, measurement and evaluation of corporate (technological/process) / organisational (behavioural) response to current and emerging cyber threats, where applicable to undertake pertinent actions to mitigate risks identified.	ongoing
Transition to a controlled framework for process and practice.	ongoing

CR72

Current Score

16

Target Score

8

Initial Score

20

Risk Change
Unchanged



Risk Description

The government have stipulated that from 9 Sep 2021 children in care under 16 will not be allowed to be accommodated in unregulated placements. This has strengthened existing regulations that stipulate that all children and young people who require residential care must be placed within registered children's homes. Due to a local and nationwide shortage of registered provision there is a risk that these children and young people will not be cared for in settings that best meet their needs, which could lead to safeguarding concerns and enforcement action against the providers of unregistered homes and local authorities.

Date Risk Raised

01/08/2021

Risk Owner

Executive Director of Children,
Young People and Learning

Risk Strategy

Treat

Risk Control/Action

Target Date

Conduct an annual review and update of the placement sufficiency and commissioning strategy, in line with the market position statement.

ongoing

Develop and publish a market position statement to be sent out to care providers and other LA's to engage them in placements and requirements, in line with the needs of children.

01/03/2022

Escalate to Assistant Directors and Exec Director any situation where a child or young person is at risk of being without a registered provision when they require one.

ongoing

CR61

Current Score

15

Target Score

10

Initial Score

25

Risk Change
Unchanged



Risk Description

A 'serious incident' occurs resulting in the death or serious injury of a child where the Council is found to have failed in their duty to safeguard, prevent or protect the child from harm.

Date Risk Raised

01/06/2019

Risk Owner

Executive Director of Children,
Young People and Learning

Risk Strategy

Treat

Risk Control/Action

Target Date

Implement Practice Improvement Plan (PIP). Improvement Plans include management development and HCC intervention.

ongoing

Provide proactive improvement support to services to assure effective safeguarding practices.

ongoing

CR68

Current Score

15

Target Score

10

Initial Score

25

Risk Change
Unchanged



Risk Description

The government have relaxed COVID-19 restrictions, however there are still requirements for Local Authorities to support the management of the COVID-19 pandemic. If there is a resurgence in COVID-19 infections and local (county or district) responsibilities are prolonged or additional measures imposed, there is a risk services will fail to deliver existing work plans due to staff responding to the impact of the pandemic, or staff shortages due to sickness.

Date Risk Raised

01/03/2020

Risk Owner

Chief Executive

Risk Strategy

Treat

Risk Control/Action

Target Date

Develop communications when required to manage expectations of staff and residents on WSCC response position. ongoing

Regular engagement with MHCLG and ensure information and direction is discussed and implemented through the Strategic Coordinating Group (SCG-Gold) and Tactical Coordination Group (TCG-Silver). ongoing

Review and update business continuity and service critical plans. ongoing

Services to consider impacts should government impose restrictions (via tier system) at a district level as opposed to county. ongoing

To continue to lobby government groups to influence funding decisions. ongoing

CR69

Current Score

15

Target Score

10

Initial Score

25

Risk Change
Decreasing



Risk Description

If the council fail to make the necessary improvements to progress from the previous 'inadequate' rating, there is a risk that children's services will fail to deliver an acceptable provision to the community.

Date Risk Raised

01/03/2020

Risk Owner

Executive Director of Children,
Young People and Learning

Risk Strategy

Treat

Risk Control/Action

Target Date

Continue to work with Hants CC as a partner in practice to improve the breadth of children's service. ongoing

Deliver Children First Improvement Plan. ongoing

Implement the Children First Service transformation model ongoing

CR60

Current Score

15

Target Score

10

Initial Score

20

Risk Change
Unchanged



Risk Description

There is a risk of failing to deliver the HMIC FRS improvement plan, leading to an adverse affect on service delivery; which may result in failing any subsequent inspection.

Date Risk Raised

01/04/2019

Risk Owner

Chief Fire Officer

Risk Strategy

Treat

Risk Control/Action

Ensure robust project and programme governance in place and monitor delivery.

Target Date

ongoing

CR11

Current Score

12

Target Score

8

Initial Score

20

Risk Change
Unchanged



Risk Description

There is a risk that the Council will not be seen as an attractive place to work by current and potential employees. This will result in problems recruiting and retaining staff in key skills areas.

Date Risk Raised

01/03/2017

Risk Owner

Director of Human Resources & Org Dev

Risk Strategy

Treat

Risk Control/Action

Development of comprehensive employee value proposition.

Target Date

01/06/2022

Longer term strategies for addressing recruitment issues e.g. apprenticeships, growing our own.

ongoing

Produce Directorate Workforce Plans to identify skills, capacity and capability requirements.

01/04/2022

CR73 - DRAFT

Current
Score

12

Target
Score

8

Initial
Score

25

Risk Change
Unchanged



Risk Description

If there is a failure to adequately prioritise, finance and resource our efforts to deliver on WSCC Climate Change commitments (e.g. 2030 Carbon Neutrality), there is a risk that there will be insufficient capacity and capability to complete the necessary actions within the required timeframes. This will lead to prolonged variations in weather and adverse impacts on WSCC service provision.

Date Risk Raised

01/01/2022

Risk Owner

Chief Executive

Risk Strategy

Treat

Risk Control/Action

Target Date

Align pipeline of projects for existing and future funding opportunities

ongoing

Built into county-wide Business Planning and budgeting process

ongoing

Clear prioritisation of CC Strategy delivery within Our Council Plan

ongoing

Existing estate & infrastructure made climate change resilient & future developments designed to be as low carbon & climate change resilient

ongoing

Existing governance bodies (eg, but not limited to, ELT, CAB, Asset Hubs, Procurement Board) are held accountable for relevant areas of delivery by the Climate Change Board and WSCC democratic bodies

ongoing

Recruitment and training policy to ensure all staff & elected members are suitably informed on climate change issues & that specialist skills are embedded through recruitment & training to enable delivery

ongoing

SMART programme of actions based on clear definitions and metrics

ongoing

CR22

Current
Score

12

Target
Score

12

Initial
Score

16

Risk Change
Unchanged



Risk Description

The financial sustainability of council services is at risk due to uncertain funding from central government and/or failure to make the required decisions to ensure the budget is balanced. This has been compounded further with the COVID-19 crisis, and the recent Ofsted and HMIC FRS reports.

Date Risk Raised

01/03/2017

Risk Owner

Director of Finance &
Support Services

Risk Strategy

Tolerate

Risk Control/Action

Target Date

Financial impacts arising from the Covid-19 national emergency need to be reflected and addressed within the PRR and MTFS as appropriate.

ongoing

Monitor the use of additional funds made available to improve service delivery.

ongoing

Pursue additional savings options to help close the budget gap.

ongoing

CR70

Current Score

12

Target Score

12

Initial Score

12

Risk Change
Unchanged



Risk Description

There is an increasing demand placed on the senior officers due to the ongoing threat of COVID19 and additional burdens due to devolved responsibilities. This may lead to a continued lack of capacity to deal with strategic/organisational issues, leading to poor decision making.

Date Risk Raised

01/08/2020

Risk Owner

Chief Executive

Risk Strategy

Tolerate

Risk Control/Action

Target Date

Continue to monitor service resource impact.

ongoing

Provision of support to services when required.

ongoing

CR39b

Current Score

9

Target Score

9

Initial Score

20

Risk Change
Unchanged



Risk Description

Data protection responsibilities. The Council is a Data Controller and has obligations and responsibilities arising from that role. Council needs resources, skills, knowledge, systems and procedures to ensure obligations are met.

Date Risk Raised

01/03/2017

Risk Owner

Director of Law & Assurance

Risk Strategy

Tolerate

Risk Control/Action

Target Date

Adopt ISO27001 (Information Security Management) aligned process & practices.

ongoing

Enable safe data sharing, including using appropriate data standards & appropriate anonymization techniques.

ongoing

Ensure the skills and knowledge is available to support Caldicott Guardian in ASC.

ongoing

Maintain IG Toolkit (NHS) & Public Service Network security accreditations.

ongoing

Review IT systems implemented prior to 25 May 2018 to confirm compliance with updated regulations.

Timetabled

Test the effectiveness of DPIA

ongoing

Undertake Data Privacy Impact Assessments (DPIA) when systems or processes change and carry out resulting actions.

ongoing

CR50

Current Score

9

Target Score

6

Initial Score

20

Risk Change
Unchanged



Risk Description

WSCC are responsible for ensuring the HS&W of its staff and residents. There is a risk that if there is a lack of H&S awareness and accountability by directorates to capture and communicate in accordance with Council governance arrangements, it will lead to a serious health & safety incident occurring.

Date Risk Raised

01/03/2017

Risk Owner

Director of Human Resources & Org Dev

Risk Strategy

Treat

Risk Control/Action

Target Date

Conduct a training needs analysis, produce gap analysis to understand requirements and produce suitable courses as a consequence. ongoing

Develop and introduce a more comprehensive risk profile approach and front line service based audits. ongoing

Incorporate HS&W information into current performance dashboard. ongoing

Purchase, develop and introduce an interactive online H&S service led audit tool. ongoing

Regular engagement with other LA's on best practice and lessons learned. ongoing

CR7

Current Score

8

Target Score

4

Initial Score

16

Risk Change
Unchanged



Risk Description

There are governance systems which inhibit effective performance and a culture of non-compliance and also a lack of standardisation in some systems and processes. Skills and knowledge of systems inadequate and excessive effort required for sound decisions and outcomes.

Date Risk Raised

01/03/2017

Risk Owner

Director of Law & Assurance

Risk Strategy

Treat

Risk Control/Action

Target Date

Audit plan focussing reviews on key corporate support systems to identify areas in need of improvement. ongoing

Data on areas of non-compliance used to inform Directors to enforce compliance with standards. ongoing

Guidance to CLT on governance. Schedule and deliver associated training 01/01/2022

Regular compliance monitoring and active corporate support when non-compliance happens to establish better practice. ongoing

CR65

Current Score

6

Target Score

6

Initial Score

20

Risk Change
Unchanged



Risk Control/Action

Target Date

Risk Description

The review of corporate leadership, governance and culture recommended in the Children's Commissioner's report is not fully undertaken or effectively implemented leading to a lack of necessary improvement and further service failures or external intervention.

Date Risk Raised

01/12/2019

Risk Owner

Chief Executive

Risk Strategy

Tolerate