

## Corporate Risk Register Summary - December 2022

### CR11

Current Score  
**25**

Target Score  
**8**

Initial Score  
**20**

Risk Change  
**Unchanged**  
➡

#### Risk Description

As a result of skill shortages across various sectors, and less attractive employment offers in comparison to other organisations and locations (amplified by the current cost of living situation), there is a risk that we will not be able to recruit and retain sufficient numbers of qualified/experienced staff to manage and deliver quality services.

#### Date Risk Raised

01/03/2017

#### Risk Owner

Director of Human Resources & Org Dev

#### Risk Strategy

Treat

#### Risk Control/Action

#### Target Date

Benchmarking of salaries against peers across neighbouring LA's focussed on attracting and retaining talent for key areas.

ongoing

Conduct planning session with HR team to review current recruitment practices, and meet with key stakeholders to develop comprehensive plan to address areas needing improvement.

ongoing

Develop alternative arrangements to attract candidates for hard to recruit to roles including the use of specialist third party search agencies.

01/02/2023

Development and regular communication of comprehensive employee value proposition to support recruitment and retention.

01/03/2023

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

ongoing

Produce Directorate Workforce Plans, in collaboration with services, to identify skills, capacity and capability requirements (current and future). Including succession planning for key roles, and defining training and career pathways to support recruitment and retention.

ongoing

Restructure of HR Resourcing function to ensure it better fits how recruitment now needs to be undertaken

01/03/2023

### 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. 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

Director of Adults and Health

#### Risk Strategy

Treat

#### Risk Control/Action

#### Target Date

Review capacity of residential and non-residential services to ensure service availability and to support identification of contingencies if needed.

ongoing

Regular review of care homes business continuity arrangements to address government vaccination directive.

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

Produce and receive approval for final version of the Market Sustainability Plan.

01/02/2023

In the event of an incident, ensure the consistent implementation of Emergency Response Plans, including a full de-brief and lessons learned.

ongoing

Financial analysis of high risk provision - due diligence checks.

ongoing

Collection of market information on Firefly. Analysis of information and appropriate level of quality assurance response.

ongoing

# CR39a

Current Score	Target Score	Initial Score	Risk Change
<b>25</b>	<b>16</b>	<b>20</b>	<b>Unchanged</b> 

## 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

# CR22

Current Score	Target Score	Initial Score	Risk Change
<b>20</b>	<b>12</b>	<b>16</b>	<b>Unchanged</b> 

## Risk Description

The financial sustainability of council services is at risk due to uncertain funding from central government and economic conditions (mainly inflation and interest rates) impacting on service delivery, and/or failure to make the required decisions to ensure the budget is balanced. This has been compounded further with the COVID-19 pandemic and the now cost of living crisis which is making economic conditions uncertain, and impacting on the cost of council services and demand for services.

Date Risk Raised	01/03/2017
Risk Owner	Director of Finance & Support Services
Risk Strategy	Treat

Risk Control/Action	Target Date
Continue to lobby for fairer funding for Local Government through annual settlements, the Fair Funding Review, Levelling Up Agenda and Business Rates reset.	ongoing
Financial impacts arising from the Covid-19 national emergency need to be reflected and addressed within the PRR and MTFS as appropriate. Jan 23 - removed on change of risk ownership	ongoing
Financial Planning sessions with EMT and JLT taking place to ensure officers and Members understand and own the financial challenge.	ongoing
Monitor the use of additional funds made available to improve service delivery.	ongoing
Monthly monitoring of the financial position in 2022/23 and 2023/24 and reported to ELT and Cabinet Member for Finance to ensure pressures are visible and mitigating action put in place. This includes reporting on the delivery of savings in year.	ongoing
Publication of annual MTFS (Revenue and Capital) across a five year planning period aligned to the Council Plan. The budget gap for 2024/25 remains challenging - currently estimated at £40 to £50m over the medium term that will require a long term approach to financial planning and a different approach to identifying cost reductions and income generation (aligned to the Council Plan and priorities limited resources).	ongoing
Pursue additional savings options to help close the budget gap. Jan 23 - removed on change of risk ownership	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

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

# CR69

Current Score

15

Target Score

10

Initial Score

25

Risk Change  
Unchanged



## 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

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

Service to ensure focus on Ofsted's framework and guidance for Inspecting Local Authority Services for children (ILACS)

01/03/2023

# CR74

Current Score

15

Target Score

10

Initial Score

15

Risk Change  
Unchanged



## Risk Description

The overdue re-procurement of care and support at home services has been further postponed, meaning the contractual arrangements are non-compliant, inefficient to manage, difficult to enforce and present a risk of challenge and CQC criticism. The delay is to enable more time for the market to stabilise, to complete service reviews and to allow imminent legislative changes to take effect.

## Date Risk Raised

01/04/2022

## Risk Owner

Director of Adults and Health

## Risk Strategy

Treat

## Risk Control/Action

## Target Date

Focus resource onto managing provider relationships to improve contract management.	ongoing
Regular communication and engagement with providers on programme development/progress, and strategic direction/consequences of changes.	ongoing
Service commitment to undertake re-procurement if and when required	ongoing
Subject to appropriate approvals, opening up the Contingency Contract wider for providers to work with the Council in the interim	ongoing

# CR72

Current Score

12

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 unregistered 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

Director of Children, Young People and Learning

## Risk Strategy

Treat

## Risk Control/Action

## Target Date

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.	01/03/2023
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

# CR73

Current Score  
**12**

Target Score  
**8**

Initial Score  
**12**

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  
**Director for Place Services**

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
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

# CR68

Current Score  
**10**

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  
**Tolerate**

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

## 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 that access to sensitive data and information is controlled.	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.	ongoing
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
Regular engagement with services to ensure H&S responsibilities continue to be fully understood and embedded in BAU activities.	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

**01/12/2019**

## 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 CMT on governance. Schedule and deliver associated training	ongoing
Regular compliance monitoring and active corporate support when non-compliance happens to establish better practice.	ongoing