

Strategic Risk Register										
Ref	Strategic Risks	Risk Control / Response	RAG	Chief Officer Last Reviewed	Owner	Division	AD	D (DELETED) N (NEW) NC (NO CHANGE) U (UPDATED)	Comments	RAG
1	ROADS Severe winter weather, over recent years, caused significant damage to many of the county's roads including an unprecedented number of potholes. We know that this is likely to lead to a backlog in repairs, an increased number of potholes and an increased number of liability claims causing reputational damage and increasing financial risk to the Council.	Investment has improved the overall condition of Principal (A) and Non-principal (B/C) roads. Roads patched or resurfaced are less vulnerable to severe winter weather. The Highways Asset Plan and ten year investment programme direct longer term plans to improve the road network condition, particularly 'C' and Unclassified roads, while sustaining a 'steady state' level for A and B roads. This planned investment programme is supplemented by funding agreed by Cabinet that is already having a positive impact on the rate of improvement. Further funds have also been secured from the Department for Transport Pothole Fund (£1.44m July 2014) and Severe Weather Recovery Scheme (£2.65m March 2014), however, bad winter weather could cause deterioration on some roads. The number of potholes being reported are steadily increasing, but remain within our control. This will need to be monitored as we approach the colder/wetter winter period. Improvements have been made to the highways claims process to reduce response times; defending our position where necessary and compensating those who are entitled. Improvements to contract rates and processes are also anticipated through the future highways maintenance contract which is expected to commence in May 2016.	R	Rupert Clubb 31/12/14	Roger Williams	Transport & Operations	Karl Taylor	U	Risk control updated	R
2	ORDINARY RESIDENCE Risk from other areas placing clients in receipt of social care services in East Sussex, and transferring to ESCC the commissioning, care management and funding responsibility for the individual as a result of a successful Ordinary Residence claim.	Dedicated Ordinary Residence Panel set up. The Panel discusses and agrees strategic and legal responses to Ordinary Residence claims from and to other Local Authorities, and directs reporting content. Panel members contact other Local Authorities directly where appropriate, and instruct Legal Services representation (including Counsel, and applications for Secretary of State determination) on behalf of ESCC. Continued awareness raising for ASC operational staff (and particularly Social Care Direct) in line with published guidance on Ordinary Residence, resulting in earlier case referrals to Ordinary Residence team. Guidance for frontline staff was written and issued followed by panel members visiting all ASC Operational teams to deliver presentation and Q&A. OR Inbox established to provide advice to staff and monitor all known incoming/outgoing OR queries and claims. Regular information gathering and reporting to DMT on all Ordinary Residence case referrals and financial projections.	R	Keith Hinkley 31/12/14	Debbie Enderby	Strategy and Commissioning	Martin Hayles	NC		R
3	CARE ACT Implementation of the additional duties and demands arising from the Care Act, within reducing resources. The implications of the Act will fundamentally impact on how we deliver social care, including Safeguarding; social care funding; contributions to meet the cost of care (Dilnot report); increased duties in respect of carers and the provision of information and advice. The Act has direct implications for the whole social care system including independent providers and health partners, with the introduction of the Better Care Fund across health and social care forming a key part of the changes. The implementation timescales for some aspects of the Act, not least funding reform, have tight timescales for delivery. These changes have to be implemented whilst continuing to meet current statutory duties.	Care Act governance arrangements established with CMT oversight and workstreams identified for each aspect of the Act. Close working with ADASS to ensure, where possible, regional implementation solutions can be sought to minimise duplication and variation. Representation on ADASS workstreams and close working with the regional lead are being developed. Joint working with East Sussex Clinical Commissioning Groups to develop the Better Care Fund are in place and implementation is on schedule. Current programmes of work are cognisant of Care Act implications, where known, and are being planned and delivered accordingly. E.g. social care information system; review of internet content; care pathway business process redesign; Better Together - health and social care integration programme.	R	Keith Hinkley 31/12/14	Candice Miller	Planning Performance and Engagement	Samantha Williams	U	AD updated	R
4	HEALTH Programme established to transform health and social care in East Sussex and deliver the Better Care Fund plan to improve outcomes for East Sussex residents. Failure to deliver programme will impact on social care, public health and health outcomes and increase social care cost pressures.	Implementation of East Sussex Better Together Programme by ESCC and all East Sussex Clinical Commissioning Groups, with robust governance arrangements reporting to County Council and Health and Wellbeing Board. Programme will include review of needs and available resources, wide engagement with stakeholders and residents and evidence of best practice, to develop a plan for a clinically and financially sustainable health and social care system in East Sussex. There will also be targeted use of the Better Care Fund to better integrate health and social care and contribute to whole system transformation. Risks will need to be reassessed once the outcome of the General Election in May is known.	A	Keith Hinkley 04/02/15	Steve Davill	Strategy and Commissioning	Martin Hayles	U	Additional sentence added to end of Risk Control following feedback from Becky- 'Risks will need to be reassessed once the outcome of the General Election in May is known'	A
5	RESOURCE Failure to plan and implement a strategic corporate response to resource reductions, demographic change, and regional economic challenges in order to ensure continued delivery of services to the local community.	We employ a robust Reconciling Policy, Performance and Resources (RPPR) process for business planning. We have adopted a commissioning approach which means evaluating need and considering all methods of service delivery, which includes working with partner organisations to deliver services. The Council Plan sets out targets for a 'One Council' approach to deliver our priorities and is monitored quarterly. Over the coming year the outcome of the General Election may affect our plans.	A	Becky Shaw 04/02/15	Jane Mackney		Jane Mackney	U	Additional sentence added to end of Risk Control following feedback from Becky- 'Over the coming year the outcome of the General Election may effect our plans'	A
6	LOCAL ECONOMIC GROWTH Failure to deliver local economic growth, and failure to maximise opportunities afforded by Government proposal to allocate Local Growth Funding to South East Local Enterprise Partnership, creating adverse reputational and financial impacts.	Following the success of East Sussex in attracting funding against projects in Growth Deal Round 1 (£54.58m + £11.5m C2C to Newhaven) the business cases and pre development work is being undertaken to enable timely delivery. Growth Deal Round 2 has now been launched and East Sussex responded with a scaled list of projects. The Autumn Statement identified just £1bn available from 2016/17, with no additional funding for 2015/16. We now await the outcome of the East Sussex projects (requesting a total £20.6m from the Local Growth Fund). SELEP has launched the 2015/16 Skills capital fund of just £11m across the SELEP area. East Sussex FE colleges are currently preparing bids, however given the match funding requirements and lack of 'shovel ready' projects within East Sussex (coupled with the very small amount available) we are not expecting any large bids from within the county. There will be a 2nd round 15/16. Stakeholders are aware of the EU Structural and Investment Fund process and the intended call by government for project proposals in January 2015. Due however to protracted negotiations between government and the EU Commission we now understand that the funds may not be ready for a call for bids until possibly late spring 2015; our partners have been informed but also encouraged to continue to develop bids despite the change in timing.	A	Becky Shaw 31/12/14	James Harris	Economy	James Harris	U	Risk control updated	A

Appendix A

Ref	Strategic Risks	Risk Control / Response	RAG	Chief Officer Last Reviewed	Owner	Division	AD	D (DELETED) N (NEW) NC (NO CHANGE) U (UPDATED)	Comments	RAG
7	SCHOOLS An increasingly diverse set of education providers could lead to fragmentation and increase the risk of underperformance. This would impact negatively on standards and which in turn will impact on the local economy, the cost of health and social care. There is potential reputational risk to the Council from the underperformance or failure of educational providers, such as academies.	<ul style="list-style-type: none"> Relationships with academies continue to be built and we are working with sponsors, including the Diocese of Chichester, to find appropriate academy solutions for schools. Academies are included in the Education Improvement Partnerships and alliances. Academies are all party to data sharing agreements and are sharing targets and progress data with us. Performance data continues to be analysed for all schools so that the LA maintains an overview of the performance of all pupils in the County. The LA offers direct support to academies to address any performance concerns that become apparent through data analysis or other intelligence gathering; this includes support from consultant headteachers for secondary academies. Where academies do not appear to be accessing appropriate support, LA brings this to the attention of the DfE. 	A	Stuart Gallimore 31/12/14	Learning Standards and Effectiveness	Fiona Wright	A	U		A
8	CAPITAL PROGRAMME Failure to deliver capital programme outcomes on-time and on-budget, impacting on the Council's ability to support local economic growth.	The Council has a five year capital programme in place which reflects Council priorities. This is updated annually and monitored as part of the Reconciling Policy, Performance and Resources (RPPR) process. An initial review to strengthen and improve the overall governance arrangement for the effective management and delivery of the programme has taken place. A number of improvements have been implemented and further considerations will be taken to ensure best practice is being followed. The Bexhill Hastings Link Road is a complex and significant project within the capital programme and there is a risk of further increased costs in the event of poor weather or other unforeseen issues.	A	Kevin Foster 16/02/15	Marion Kelly cc Rachel Jarvis and Dara Quaid	Marion Kelly		U	From: Dara Quaid Sent: 12 December 2014 09:23 To: Julian Walter Cc: Rachel Jarvis; Marion Kelly Subject: FW: Update Request - Strategic Risk Register - Q3 2014-15 Julian, Please see slightly.	A
9	WORKFORCE Under-informed and under-motivated workforce results in adverse impact on service delivery / performance and ability to successfully deliver service transformation / corporate change programme.	We have worked effectively in partnership with Trade Unions throughout. Building on the feedback from the Employee Engagement sessions run last year, we have commenced a series of engagement sessions with the purpose of supporting and equipping managers to engage with their teams during the on-going period of change. These events will also be used to reinforce the Council's behaviours which are applicable to all employees. Corporate Management Team web-chat provides a quarterly opportunity to engage with a broader cross section of the workforce and respond to staff queries and issues.	A	Kevin Foster 31/12/14	Leatham Green	Leatham Green		NC	From: Leatham Green Sent: 12 January 2015 09:42 To: Julian Walter Subject: RE: Update Request for Strategic Risk Register - Q3 2014-15 Thanks Julian – all reads well and nothing to add this 1/4 Leatham Green	A
10	WELFARE REFORM Welfare reform leading to sub-optimal outcomes for East Sussex community. Impact on working age adults with the potential increased demand on services. Direct financial pressure on the County Council along with implications on spending within the wider local economy.	Work with the District and Borough Councils to understand the impact of changes to the Council Tax Benefit scheme for East Sussex. Any potential financial impact is reflected through the Reconciling Policy, Performance and Resources (RPPR) process. We are working in partnership through the Financial Inclusion Partnership and the Targeted Welfare Reform Project which provides information on the changes to partners and the public across East Sussex. Universal Credit would begin to be rolled out in the Rother and Hastings area on 20th April 2015. Funding from the Government for the Discretionary East Sussex Support Scheme, which helps people on benefits in crisis, has been secured for 2015/16 following the withdrawal of the Government's proposal to cease funding from April 2015. The money will be used to continue fund a reduced scheme for two years, which will help to protect those in most need, against a background of great uncertainty about future funding.	A	Becky Shaw 12/02/15	Jane Mackney	Jane Mackney		U	Risk control updated 12/02/15 - further risk control update following CMT - Sentence added to end of risk control (starting "The money will be used...")	A