

Strategic Risk Register – Q2 2015/16			
Ref	Strategic Risks	Risk Control / Response	RAG
2	<p>ORDINARY RESIDENCE</p> <p>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.</p>	<p>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.</p> <p>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.</p> <p>Regular information gathering and reporting to DMT on all Ordinary Residence case referrals and financial projections.</p>	R
7	<p>SCHOOLS</p> <p>An increasingly diverse set of education providers could, potentially increase the risk of underperformance due to the local authority having fewer powers of intervention. This could impact negatively on the Council's reputation as Ofsted holds the local authority to account for the performance of all schools.</p>	<p>The LA has a duty to champion educational excellence for all children:</p> <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. •In the first instance, the LA offers direct support to academies to address any performance concerns that become apparent through close analysis of the data or other intelligence gathering; this includes support from consultant headteachers for secondary academies. •Where academies do not appear to be accessing appropriate support, the LA brings this to the attention of the DfE, who may exercise their intervention powers. 	R
8	<p>CAPITAL PROGRAMME</p> <p>Failure to deliver capital programme outcomes on-time and on-budget, impacting on the Council's ability to support local economic growth.</p>	<p>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.</p> <p>In April 2015, a high level Capital Programme Management Review was commissioned with a recognition that we need to not only set firm targets for the next year of the programme, but set indicative targets for the following years and start to focus on shaping the 2018-2021 capital programme. The brief set out that there needs to be shift of focus from capital programme 'monitoring' to capital programme 'management' in order to improve forecasting and scheme scheduling and planning.</p>	R

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1	<p>ROADS</p> <p>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.</p>	<p>With the first two years of the current 4 year carriageway funding period now delivered, improvements in condition continue to be achieved in line with initial modelling. Condition of the unclassified road network has improved in line with the asset plan, reducing the length requiring structural maintenance and building resilience.</p> <p>A strategic approach to drainage is being developed, to implement the principles of asset management, deliver improved drainage performance and long term maintenance value. The strategy is to be presented to Lead Member for approval in October 2015.</p> <p>The strategy will develop a greater understanding of the asset alongside a risk based, preventative approach to drainage maintenance. This will enable the highway authority to more effectively plan for and mitigate the effects of extreme weather events including flooding.</p>	A
4	<p>HEALTH</p> <p>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.</p>	<p>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 are being reassessed following the outcome of the General Election in May.</p>	A
5	<p>RESOURCE</p> <p>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.</p>	<p>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 Government's savings plans and the impact of new legislation, coupled with increased demands arising from demographic changes, could hamper the Council's ability to deliver its statutory duties. A bid for greater devolution has been submitted to the DCLG on behalf of the 3SC area (East and West Sussex and Surrey), which it is hoped will bring greater local control over all public sector funding, but greater autonomy is not without risk and care will need to be taken to ensure that these are fully understood in any subsequent negotiations.</p>	A

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9	<p>WORKFORCE</p> <p>Under-informed and under-motivated workforce results in adverse impact on service delivery / performance and ability to successfully deliver service transformation / corporate change programme.</p>	<p>A People Strategy has been developed based on feedback from a series of employee engagement sessions run in 2013/14 and subsequent manager engagement events. This Strategy sets out a range of initiatives and interventions that will help achieve the people changes needed over the next 3-5 years, in the context of future savings requirements and business improvements. The emphasis is on supporting and developing our managers and staff to enable them to respond positively to the changing environment.</p> <p>We recognise that high levels of change can impact on staff wellbeing and that there is a risk of stress in this context. A Stress Risk Assessment process has been developed to facilitate employees and their managers in jointly investigating the causes of, and identify solutions to perceived stress. Approaching stress management in this way means that employees can play a major part in clearly identifying the issues involved and how these can be addressed.</p> <p>Alongside this, a range of Wellbeing Initiatives have been developed and a dedicated wellbeing internal communication plan is now in place. This has included a 'Wellbeing' Yammer group and intranet articles focusing on the importance of taking regular breaks and our commitment to the Mental Health 'Time for Change Pledge'. A dedicated intranet page on stress has been developed. This includes information around the support we can provide to staff to help them combat stress, the range of wellbeing services available, as well as some 'top tips' on managing and coping with stress.</p> <p>The appraisal and 1-2-1 protocols and the attendance management procedure are being reviewed and tailored to enable managers and employees to discuss any wellbeing concerns at an early stage and put in place a shared agreement to prevent future Stress and Mental Health related absences.</p> <p>A mindfulness programme is being developed as part of the resilience strategy and tasters were offered to staff on Stress Awareness Day (04 November 2015).</p> <p>The 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. Alongside this, we continue to engage with Trade Unions on both a formal and informal basis, including discussions about change programmes and the impact on staff motivation and wellbeing.</p>	A
10	<p>WELFARE REFORM</p> <p>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.</p>	<p>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. This has included universal benefit which has been introduced in Hastings and Rother and will be rolled out across the County. Funding from the Government for the Discretionary East Sussex Support Scheme, which helps people on benefits in crisis, has been secured for 2015/16. The Government has said that it will make £12bn savings from welfare during this Parliament, which could increase demands on County Council services. Risks and actions will be reviewed in the light of changes coming out of the CSR.</p>	A

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3	<p>CARE ACT</p> <p>Failure to implement the additional duties, demands and other direct implications arising from the Care Act, within reducing resources, whilst continuing to meet current statutory duties. Although the funding reforms due for implementation have been put on hold until 2020 There is still a need to implement and embed new duties relating to eligibility and assessment, financial assessment and deferred payments, commissioning and market management, advice and information and whole family working. There remain risks (at a lower level) in implementing the remaining duties in relation to financial pressures, staffing issues and legal challenge.</p>	<p>Care Act governance arrangements established with CMT oversight and workstreams identified for each aspect of the Act.</p> <p>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 in place.</p> <p>Joint working with East Sussex Clinical Commissioning Groups, to develop the Better Care Fund is established and implementation is on schedule.</p> <p>Current programmes of work are cognisant of Care Act implications, where known, and are being planned and delivered accordingly. For example with the social care information system; review of internet content; care pathway business process redesign; Better Together - health and social care integration programme.</p>	A
6	<p>LOCAL ECONOMIC GROWTH</p> <p>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.</p>	<p>The East Sussex economy continues to grow, and the number of people claiming job seekers allowance is now at pre-1983 levels. East Sussex has been successful in gaining funding against local projects in Growth Deals Round 1 and 2 totalling £60.28m, along with additional funding of £11.5m via C2C and a pan-LEP Coastal Communities project, gained part-funding of £2m.</p> <p>Work is progressing to deliver all projects where funding has been secured, and business cases are being developed to unlock funding for other pipeline projects.</p> <p>Through the SE LEP 2015/16 Skills capital fund, Sussex Downs College (SDC) was successful in bidding for £160k to help deliver refurbished science facilities. In addition, under the new 'Skills Capital Specialist Equipment' fund SDC have secured a further £50k.</p> <p>Calls for EU funding projects have been issued through various mechanisms (European Social Funds, Regional Development Funds etc.), and bid proposals for 'Access to Finance' and 'Growth Hub' funding are being developed with partners.</p> <p>ESCC has agreed to be the lead partner for the Technical Assistance bid for the SE LEP that will help develop applications with partners.</p> <p>Now that Government has confirmed that there will be no 'break-up' of SELEP, work continues to develop the project pipeline on all fronts in advance of Growth Deal Round 3 which is anticipated to be announced later in the year.</p>	G