

Strategic Risk Register – Q3 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>An asset managed preventative approach to the maintenance of the counties highway network is being rolled out across the asset portfolio. The new highways contract to commence in May 2016 places asset management at its core and will target improvement in the condition of the public highway.</p> <p>The county's first drainage strategy was presented to Lead Member and approved in October 2015. 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>Failure to secure maximum value from partnership working with the NHS. If not achieved, there will be impact on social care, public health and health outcomes and increased social care cost pressures. This would add pressures on the Council's budget and/or risks to other Council objectives.</p>	<p>Implementation of East Sussex Better Together Programme by ESCC and Hastings and Rother CCG and Eastbourne, Hailsham and Seaford CCGs to transform health and social care in the county and deliver the Better Care Fund plan to improve outcomes for East Sussex residents, 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.</p> <p>Discussions are ongoing between ESCC and the High Weald Lewes Havens CCG about how health and social care integration will be achieved in this area of the county.</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. In support of this, a dedicated intranet page on stress has been developed, which includes information around the support we can provide to help staff combat stress, as well as some 'top tips' on managing and coping with stress.</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'.</p> <p>The appraisal and 1-2-1 protocols and the attendance management procedure are all being reviewed. Included within this will be the facility 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. 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>A public communications campaign, accessible to staff was launched in September 2015 around the budget process and the difficult decisions that will have to be taken over the coming months. Social and news media, the website, Your County and other channels are also being used.</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.</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 are 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 with Gross Value Added (GVA) figures recently released covering 2014 showing £17,321 per head, which is a rise of £435.00 or 2.58% from the previous year. 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 issue contracts and 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.) While an outline bid for 'Growth Hub' funding has been developed with SE LEP partners, and recommended in November 2015 to proceed with a full bid submission by February 2016 with proposed start date from April 2016, if approved.</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>On the 25th November 2015, the Government announced in its Comprehensive Spending Review (CSR) its continued 'commitment to release further funding through the Local Growth Fund programme to 2020'. As a result, our efforts continue to develop the project pipeline on all fronts in advance of Growth Deal Round 3.</p>	G