



Dorset County Council

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Annual Governance Statement 2017/18



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Introduction

Dorset County Council is responsible for ensuring that its business is conducted in accordance with the law and appropriate standards, that public money is safeguarded and properly accounted for and that funding is used economically, efficiently and effectively. Dorset County Council also has a duty under the Local Government Act 1999 to make arrangements to secure continuous improvement in the way in which its functions are exercised.

In discharging this overall responsibility Dorset County Council is responsible for putting in place suitable arrangements for the governance of its affairs, which facilitate the effective exercise of its functions and include arrangements for the management of risk.

Dorset County Council has approved and adopted a local code of corporate governance, which is consistent with the principles of the CIPFA/SOLACE *Delivering Good Governance in Local Government* framework (2016). These include the additional requirements as recommended by CIPFA in March 2010. A report on the code and the latest assessment of compliance with it was published with the Audit and Governance Committee papers for 12th March 2018 or can be obtained from the County Council Offices, County Hall, Colliton Park, Dorchester, Dorset, DT1 1XJ.

This statement explains how Dorset County Council has complied with the code. It also meets the requirements of the Accounts and Audit Regulations (England) 2015 in relation to the consideration of the findings of a review of the system of internal control and approval and publication of an annual governance statement. This Local Code provides the evidence base for the Review of Effectiveness that supports this Governance Statement.

The governance framework comprises the systems and processes, and culture and values, by which the authority is directed and controlled, together with the activities through which it accounts to, engages with and leads the community. It enables the authority to monitor the achievement of its strategic objectives and to consider whether those objectives have led to the delivery of appropriate, cost-effective services.

The system of internal control is a significant part of that framework and is designed to manage risk to a reasonable level. It cannot eliminate all risk of failure to meet the targets in our policies, aims and objectives and can therefore only provide reasonable and not absolute assurance of effectiveness. The system of internal control is based on an ongoing process designed to identify and prioritise the risks to the achievement of Dorset County Council's desired outcomes, to evaluate the likelihood of those risks being realised and the impact should they be realised, and to manage them efficiently, effectively and economically. This Governance Statement is therefore also informed by those risks identified as High in the Corporate Risk Register.

The governance framework has been in place at Dorset County Council for the year ended 31 March 2018 and up to the date of approval of the annual statement of accounts.

Approval of the Annual Governance Statement 2017/18

We are satisfied that this statement provides a substantial level of assurance that good governance is in place in Dorset County Council and that appropriate arrangements are in place to address improvements identified in our review of compliance. Progress on these improvements and on addressing and mitigating the risks will be monitored through the year by senior officers and the Audit and Governance Committee.



Signed:

Date:

Debbie Ward, Chief Executive



Signed:

Date:

Rebecca Knox, Leader of the Council

The Council's Governance Framework "Review of Effectiveness"



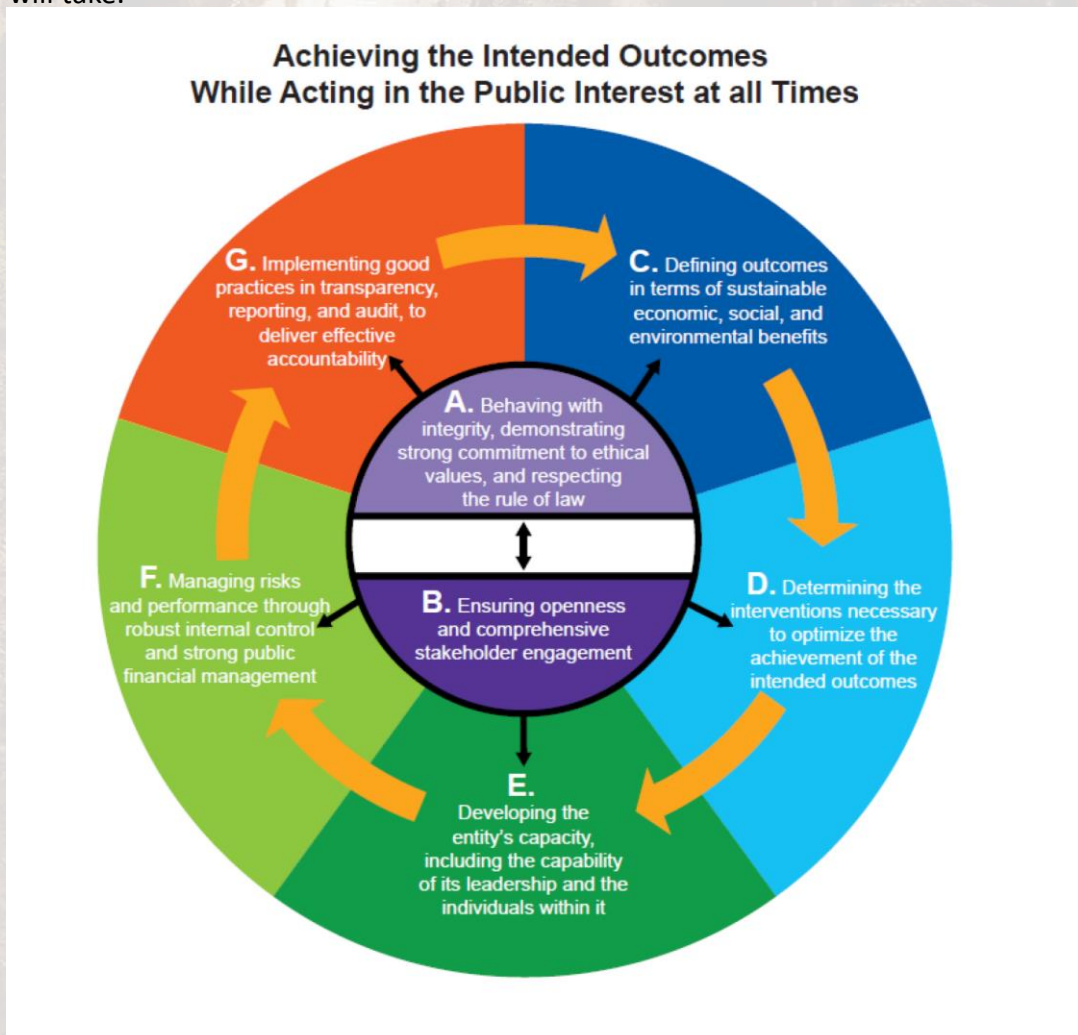
The Council has adopted a local code of corporate governance, as a means of demonstrating that a sound level of governance is operated. This local code acts as a means of assurance, but also a mechanism for achieving continuous improvement. This approach is consistent with the principles of the CIPFA/SOLACE *Delivering Good Governance in Local Government* framework. The Council's Local Code of Corporate Governance forms the main evidence base for this Review of Effectiveness section of the Annual Governance Statement.

Governance issues can be put into two groups:

- (i) elements of the governance framework for which the compliance assessment has identified that some improvement is necessary to provide full assurance;
- (ii) issues that the governance framework has identified and which require action to mitigate the exposure of the County Council.

During the review, there were no elements of the framework for which the judgement is that the County Council is non-compliant. There are however eight areas where it is recognised that further improvement can be made.

The following pages set out a summary of the key governance controls, mapped against the CIPFA/SOLACE agreed principles (see diagram). It is supported by case studies to help demonstrate where positive improvement action has already been taken, and a note of improvement actions that the Council will take.



Principle A – Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law

Our **Constitution** establishes the roles and responsibilities for members of the executive (the Cabinet), Overview and Scrutiny, Audit and Governance and Regulatory Committees, together with officer functions. It includes details of delegation arrangements, codes of conduct and protocols for member/officer relations. The Constitution is kept under review to ensure that it continues to be fit for purpose, with any proposed changes being considered by the Audit and Governance Committee.

The Constitution also contains procedure rules, standing orders and financial regulations that define clearly how decisions are taken and where authority lies for decisions.

The statutory roles of Head of Paid Service, Monitoring Officer and Chief Financial Officer are described together with their respective roles and contributions to provide for robust assurance on governance and to ensure that expenditure is lawful and in line with approved budgets and procedures. The influence and oversight exerted by these posts is backed by the post-holders' membership of and attendance at the Corporate Leadership Team.

The Members' **Code of Conduct** advises an elected member (or voting co-opted member) what conduct is expected of them and whether their conduct constitutes a criminal offence.

A Code of Conduct also exists for staff which sets out the standards of conduct expected of all council employees and prevents employees from being in a situation where they may be vulnerable to an accusation of favouritism or bias or other improper motives, whether this is real or perceived.

We have adopted a **Behaviours Framework** which sets out five behaviours reflecting Dorset County Council's values, and that every member of staff, regardless of their role and grade should be able to demonstrate: Future Focus; Leadership; Integrity; Collaboration; and Responsibility.

Example : Gender Pay Gap

We believe strongly in equal pay for roles regardless of gender. Our gender pay gap, which shows the difference between the average earnings of men and women, is well below the average for public and private sector organisations.

The total overall gender pay level gap is just 1.26 per cent across the Council. The national average is 18.2 per cent.

The Council operates under an Executive (**Cabinet**) model, which oversees the formulation of all major policies, strategies and plans. The Cabinet also lead on the preparation of the Council's budget.

The primary counterbalance to our Cabinet is through the Overview and Scrutiny Committees and the Audit and Governance Committee. These Committees are in place to provide support and a robust level of challenge to the Executive.

Our **Overview and Scrutiny committee** structure is based on the outcomes defined in the Corporate Plan with Committees for Economic Growth, People and Communities and Safeguarding. Each of them having responsibility for monitoring a number of specified objectives within it.

The workplans for the Overview and Scrutiny committees have included a number of focused scrutiny reviews to assess the Council's effectiveness.

The **Dorset Health Scrutiny Committee** also continues in its previous role, delivering scrutiny of external health partners and agencies.

The **Audit and Governance Committee** provides a constructive, proactive and objective consideration of the Council's financial, risk, governance, internal control framework, ethical principles and standards.

It has a "**Call to Account**" power to scrutinise and review decisions made or actions taken in connection with the discharge of any of the Executive functions of the Council. The Committee did not need to exercise its 'call to account' powers during 2017/18.

It also has a **Call-in process** to consider executive decisions and can also consider matters referred through the **Councillor Call for Action**. Again, these were not exercised during 2017/18.

Example : Ironman Event 2017

A positive example of the effectiveness of the Call to Account powers relates to the inaugural Ironman Event in Weymouth which took place in 2016. The findings of the scrutiny process focussed in particular on marshalling arrangements and road closures for the 2016 event and established the need for a memorandum of understanding to set out clear roles and responsibilities.

Throughout 2017/18 the Committee scrutinised the preparations for the follow-up event, in partnership with officers and organisers, and were reassured over improvements made. The 2017 was assessed to have been a positive success.

The **Chief Executive** has responsibility for:

- overseeing the implementation and monitoring the operation of the Code of Corporate Governance;
- maintaining and updating the Code in the light of latest guidance on best practice;
- reporting annually to the Corporate Leadership Team and to Members on compliance with the Code and any changes that may be necessary to maintain it and ensure its effectiveness in practice.

The statutory role of **Monitoring Officer** is held by the Head of Organisational Development. The Monitoring Officer is responsible for ensuring that the Council acts within and through the law. Parallel to the responsibilities of the Chief Financial Officer the Monitoring Officer has a duty to report to the Cabinet and / or the County Council where it appears to him that any action or intended action by the Council is unlawful or amounts to maladministration. The Monitoring Officer also has responsibilities in relation to the Council's constitution and in relation to councillor conduct.

The **Chief Financial Officer** has responsibility for the proper administration of the County Council's financial affairs. This includes responsibility for maintaining and reviewing Financial Regulations to ensure they remain fit for purpose, and submitting any additions or changes necessary to the full Council for approval. The Chief Financial Officer is also responsible for reporting, where appropriate, breaches of the Regulations to the Cabinet and/or the County Council. A Scheme of Financial Management is operated to discharge these responsibilities.

It is confirmed that the Council's financial arrangements comply with the CIPFA statement on the Role of the Chief Financial Officer in Local Government.

We are committed to promoting equality of opportunity, valuing **diversity** and eliminating discrimination.

This principle is supported by a **Diversity and Inclusion** policy and Joint Equality Scheme. Two corporate working groups oversee our approach. The Inequalities Group is outward focussed, whereas the People and Wellbeing Group oversees internal impacts.

How can we improve?

A Diversity and Inclusion improvement action plan has been agreed, focussing on improving the Dorset Equality Scheme; our Corporate Working Groups; training and systems/processes.

Principle B – Ensuring Openness and Comprehensive Stakeholder Engagement

A **complaints procedure** and a whistle-blowing policy and procedure are maintained and kept under review, providing the opportunity for members of the public and staff to raise issues when they believe that appropriate standards have not been met.

An annual report analysing complaints received and their resolution is presented to the Audit and Governance Committee. This Committee also has responsibility for overseeing the investigation of complaints against members.

Our **Communications** team provides a wide range of support for the whole council including using social media, internal communications, marketing and promotions advice, media relations

Committee meetings are open to the public, and **agenda papers and minutes** are transparently available on the internet.

Your Dorset is the council's newspaper and is one of our main channels for communicating with the people of Dorset about the services we provide. It's delivered to almost every household in the county (more than 207,000 homes), and feedback from residents consistently shows it is widely read and well regarded.

Public consultation plays a key part in the decision making process, across the full range of the Councils services.

We are committed to **partnership working**. The Dorset Compact sets out a framework for voluntary and public sector relationships in Dorset.

Guidance on best practice in partnership governance, together with the development of an alternative service delivery model governance and due diligence checklist, helps to ensure that partnership arrangements are as productive and secure as possible.

How can we improve?

We are looking to review and centralise our communication, consultations and engagement functions to make us more resilient, flexible and minimise duplication, helping to make our resources stretch further.

Principle C – Defining outcomes in terms of sustainable economic, social and environmental benefits

Our **corporate plan** sets out the contribution we will make to enabling communities in working together for a successful Dorset.

Delivery of this plan is supported by service plans, team plans and individual performance development reviews. These all include targets and, where appropriate, service standards against which service quality and improvement can be judged.

Two corporate working groups have an input and assurance role for delivery of our Outcomes Framework: The **Inequalities Group** and the **Policy, Planning and Performance Group**.

Our **Overview and Scrutiny committee** structure is based on the outcomes defined in the Corporate Plan with Committees for Economic Growth, People and Communities and Safeguarding. Each of them having responsibility for monitoring a number of specified objectives within it.

The workplans for the Overview and Scrutiny committees have included a number of focused scrutiny reviews to assess the Council's effectiveness.

A performance management framework is operated to underpin and monitor the corporate plan, using **Outcomes Based Accountability**.

Committees receive quarterly outcomes focused monitoring reports to assess the performance of the Council and its partners in meeting our outcomes.

Example : Superfast Broadband

The Economic Growth Overview and Scrutiny Committee undertook a focussed scrutiny review of our Superfast Broadband Delivery Programme. It considered and assessed the Council's contribution to transforming Dorset into a digital economy in order to fully realise strategic benefits of economic growth, digital inclusion, transformation of public services and opportunities for individuals and communities.

How can we improve?

We are undertaking a review of our operating model to improve how we use our collective resources and arrange our operations to deliver outcomes for our residents.

Principle D – Determining the interventions necessary to optimise the achievement of the intended outcomes

Each Cabinet member has been assigned as a specific **Portfolio Holder** with roles and responsibility for different themes, such as Health and Care; Safeguarding; Economy, Education, Learning and Skills; Community and Resources; Natural and Built Environment; and Workforce.

The Leader of the Council's portfolio includes Organisational Development, to ensure that the organisation is equipped strategically to provide the best value service. The Leader chairs the **Organisational Transformation Board**

How can we improve?

We wish to improve how we are sighted early on any short, medium and long-term financial pressures in services. We are seeking to achieve this through improved identification and notification of performance issues that have the potential to increase budgetary pressures. This approach forms part of the remit of the proposed new centralised Data, Intelligence and Performance team.

The Local Audit and Accountability Act 2014 requires External Auditors to be satisfied that proper arrangements have been made for securing economy, efficiency and effectiveness in the use of resources (**Value for Money**).

The 2016/17 report provided a judgement that proper arrangements were in place to ensure informed decisions were made and resources deployed to achieve planned and sustainable outcomes for taxpayers and local people.

How can we improve?

We will centralise our data, intelligence and performance resources to help us become a more data driven organisation.

There are four **Overview and Scrutiny Committees**, aligned to our Outcomes Framework: Safeguarding; Dorset Health; People and Communities; and Economic Growth.

Officer corporate working groups provide both a challenge and assurance role, with their remit mapped against the Healthy Organisation Model. These groups are: Inequalities; Policy, Planning and Performance; People and Wellbeing; Managing Our Assets; and Risk and Resilience. These Groups have a two-way reporting line to both the Corporate Leadership Team and One Council Group.

How can we improve?

We need to be better at aligning our finances with our outcomes framework. Value for money therefore continues to be an area of focus.

Principle E – Developing the County Council’s capacity, including the capability of its leadership and the individuals within it

Appraisal and review processes are the general means of identifying the training needs of members and officers. Appropriate training is made available to staff to ensure that individuals are able to undertake their present role effectively and that they have the opportunity to develop to meet their and the County Council’s needs.

An extensive **member induction** programme is put in place after the County Council elections to ensure that newly elected members can quickly make an effective contribution to the work of the authority. This is supported by regular member briefing sessions to ensure that members are kept up to date on key issues.

We have an adopted **Health, Safety and Wellbeing at Work** Strategy, supported by Intranet pages with sample risk assessments and good practice guidance.

The **Employee Wellbeing** team provide support to all employees and can offer links to a wide range of external sources of support for employees to look after both their physical and mental wellbeing.

The **Staff Consultative Panel** is responsible for reviewing matters relating to the health, safety and well-being for all county council employees, supported by Directorate level committees. This provides union engagement.

The **People and Wellbeing Group** brings together officers across all Directorates to provide direction, challenge and assurance over employee related issues.

Our **People Plan** for 2015-2020 sets out how we will be working differently to help achieve our vision of 'working together for a strong and successful Dorset'.

How can we improve?

We need to improve the frequency and effectiveness of our People and Wellbeing corporate working group, to ensure better sharing of good practice and ‘One Council’ focus on improvement. This could be achieved through greater integration with the Inequalities Group.

The **Staffing Committee** determines staff terms and conditions; appoints and manages performances issues relating to senior officers.

Principle F – Managing risks and performance through robust internal control and strong public financial management

We have a strong risk management function, which has received positive national recognition from ALARM (the national public risk management association). A risk management policy and strategy has been adopted, and this is reviewed on an annual basis. All reports to committees include a statement to identify any high risks that may relate to the decision to be made.

Risk management is within the remit of the Council's Risk and Resilience Group which draws together lead officers from across the authority to ensure that issues and concerns are shared and that a consistent approach is adopted throughout the organisation. The Risk and Resilience Group also has a focus on emergency planning, business continuity, information governance and governance more generally.

Risk Registers are maintained at a corporate, service and project level to ensure that the authority is able to make risk informed decisions. Corporate risks identified as high are set out in the "Risk Management" section of this Governance Statement, including a summary of improvement actions being taken.

As local government reorganisation approaches for Dorset, the County Council is working with the Programme Office, District, Borough and Unitary Councils to ensure that risk is managed to ensure a smooth transition to the new Authority and beyond. This includes maintaining and reviewing risk registers at both a partnership and County Council level. Similarly work is underway with Health colleagues to better align risk management practices.

A Records Management unit facilitates our approach to information governance. We have temporarily increased capacity within this area, to respond to recommendations made by the Information Commissioners Office and in response to the General Data Protection Regulations (GDPR) which come into effect in May 2018.

We complete an Information Governance Toolkit annually to demonstrate that the organisation can be trusted to maintain the confidentiality and security of personal information, increasing public confidence that the NHS and partner organisations can be trusted with personal data.

How can we improve?

The Information Commissioner's Office were invited in to carry out a review of our information governance arrangements during 2017 and identified a number of areas for improvement. A project team has been established to deliver any outstanding improvements and ensure that the Authority is in a good position to meet its obligations under the new General Data Protection Regulations.

Principle G – Implementing good practices in transparency, reporting, and audit to deliver effective accountability

Our **Internal Audit Service**, via a specific responsibility assigned to the Head of Internal Audit (the Group Manager, Governance and Assurance), is required to provide an annual independent and objective opinion to the Authority on its risk management, governance and control environment.

Since April 2010, our operational internal audit work has been carried out under contract by the South West Audit Partnership (SWAP).

The Council is committed to achieving high standards of integrity and accountability. Our **Anti-fraud, Bribery and Corruption** Strategy sets out our zero policy approach to such acts and records a clear commitment to deal with any cases robustly.

We aim to provide an open environment whereby employees and those working for the Council can raise issues that they believe to be in the public interest.

This policy sits alongside our **Whistleblowing** Policy and procedures which provides protection from any harassment, victimisation or other detriment to any whistleblowing on serious wrong doing.

External audit arrangements provide a financial audit statement, as per the Code of Practice on Local Authority Accounting.

A Value for Money statement is also provided annually. In 2016/17 provided a judgement that proper arrangements were in place to ensure informed decisions were made and resources deployed to achieve planned and sustainable outcomes for taxpayers and local people.

Example : Insurance Fraud

Our Insurance Team take potential fraud very seriously and will pursue action against individuals.

A Dorset man was ordered to pay £12,000 to the Council after a court found he falsely claimed he was injured by tripping in a pothole.

The case received positive exposure in both the local and national press, and led to the withdrawal of four further claims.



Risk Management

Risk Management

As the Annual Governance Statement requires the Council to include those 'significant' governance issues, it is also informed by significant risks which have been assessed as high risks within the Corporate Risk Register in accordance with the councils approved risk criteria.

A prime purpose of the governance framework is to minimise the occurrence of such risks and ensure that any which do arise are highlighted so that appropriate mitigating action can be taken. These issues are largely substantial challenges to be managed over the long term. A summary of these 'significant' issues are outlined below, together with the council's response and actions to deal with these issues:

What is the identified risk?

What are we doing to reduce the risk?

Financial Risks

Failure to ensure that learning disability services are sustainable and cost-effective

Mitigation

A complex care panel was established in October 2017 and work undertaken with the CCG to look at joint funded packages of care. A review of existing commissioned service is underway. Red Quadrant were commissioned to review high value packages of care, including learning disability.

A lack of sufficiency (placements/residential/foster care) impacts negatively on the demands led budget for children in care

Mitigation

The transformation programme has specific workstreams to address this risk. As a result of the work done to date, the numbers of looked after children are reducing, but budget pressures remain. Work continues to increase placements within the Dorset estate and increase capacity within the private residential sector. The programme of work includes enabling voluntary sector involvement in the delivery of a work package to support the emergency placement process.

General balances are depleted to a level below operating range

Mitigation

Any in-year overspend will reduce the general balances. If these fall below the lower end of the operating range (£10m) it would be raised as a matter for concern by our auditors, KPMG. In response, Group Finance Managers continue to liaise with Assistant Directors to develop mitigating actions. There is an increased focus on in-year financial positions via informal Cabinet and significant resource allocation work was carried out during the MTFP and budget strategy work for 2018/19, as reported to Council in February 2018.

Additional savings cannot be identified to bridge the unfunded gap

Mitigation

The largest risk to the programme currently is that even with the identified major transformation programmes there remains a need to deliver substantial savings, particularly in 19/20 but also for delivery of the 2017/18 and 2018/19 programmes. An external transformation adviser has been appointed to challenge future service delivery options.

Failure to keep school finances in balance

Mitigation

There is a continuing concern that Ofsted are putting more schools into a category which will require them to convert to sponsored academy leaving any deficit behind. A loan agreement has been established for schools with a deficit requiring a fixed repayment schedule. However, recent DfE national consultation suggests that this may not be permissible longer term. This would require an alternate response to this worsening risk.

Slippage in achieving savings targets

Mitigation

Ongoing monitoring and challenge continues, via the Organisational Transformation Board. Where appropriate, reserves and balances and central budgets are used to mitigate.

Failure to stabilise the budget for the High Needs Block

Mitigation

High Needs Block Recovery is a key project within the FT for Childrens Services "SEND Improvement" workstream. Schools Forum have not yet agreed the final figures, but will receive a further paper

Failure to achieve capital and revenue budget / savings targets for the Dorset Waste Partnership Medium Term Financial Plan

Pay awards and minimum wage increases provide emerging budget pressures above initial assumptions. DWP will continue to promote educational campaigns (such as 'Right Stuff, Right Bin') to maintain and increase material capture rates for recycling and composting. Further efficiencies to be driven from the existing Recycle for Dorset Service using the in-cab BARTEC system. Move ahead with the development of a central strategic waste transfer station to avoid an uncompetitive situation for disposal / treatment prices in Dorset.

What is the identified risk?

What are we doing to reduce the risk?

Children and Young People

Failure to deliver Education, Health and Care Plans (EHCP) within Statutory Timelines

Mitigation

Deadline of March 2018 to complete the transfer from statements to EHCPs. External support commissioned to assist this process which is having a positive effect. As at end of January 2018 this work is 76% complete. Capacity to deliver this work has been improved through securing a full compliment of staff into the SEND team and optimising the deployment of staff on transfers. Focus on transfers continues to negatively impact on the ability to meet the 16 week and 20 week timescales although both have significantly improved. A Delivery Plan Group has been established to address issues around the timescales with an aim to complete 100% by the end of the financial year.

Failure to meet statutory and performance outcomes for young people in transition

Mitigation

Dedicated capacity for commissioning and additional social work staffing has been identified in local teams. The transformation programme includes a Transitions project within the Demand Management workstream.

What is the identified risk?

What are we doing to reduce the risk?

Health and Safety

Health and safety risks associated with occupation of premises

Mitigation

The majority of sites now have a nominated Premises Responsible Person. However, restructuring of services and adoption of Corporate Landlord model has reduced local understanding of the Directorate Duty Holder Strategy. Following the Grenfell Tower fire tragedy, a review of fire safety was carried out, including a specific review of individual property risks.

Resilience

Loss of ICT service or data through a cyber attack

Mitigation

Officer awareness and vigilance is key and it has been mandated that all ICT users complete the cyber e-learning module. Currently in the region of 60% have completed the module.

A gap analysis of our cyber defences has been completed and a review of market solutions offering stronger technical defences is underway leading to a proposal for further investment.

Review and refresh of our security policy suite and any associated corrective actions is underway

Local Government Reform

Insufficient professional capability/capacity to deliver the full without impacting negatively on transformation savings programme

Mitigation

Joint Area Committee agreement for a Shadow Authority will have a significant impact on Council capacity. Limited amount of action can be taken until a clear decision is reached on local government reorganisation. Resourcing plans will be developed, and consideration given to additional capacity.

Separate risk registers are maintained to reflect both the County Council's own readiness for reorganisation, but also the wider programme level register maintained across the partnership.

What is the identified risk?

What are we doing to reduce the risk?

Infrastructure

Unable to provide sufficient school places (Basic Need)

Mitigation

A programme of delivery of Basic Need Schools in accordance with agreed timescales/costs is being monitored through relevant groups.

Whilst the framework has been agreed, a sufficiency strategy for school places is being developed to ensure that there is a long term view of school requirements.

The Audit & Governance Committee have requested that the Corporate Risk Register is extended to reflect wider infrastructure risks (i.e. interim solutions for key worker housing; GP surgeries etc).

Inability to maintain the highways infrastructure to an acceptable standard in the face of changing circumstances (eg budget reductions; climate change)

Mitigation

For the first time in five years the percentage of the highway network has risen. A 1% increase to 4% coincides with a reduction in the level corporate top up to the structural maintenance budget in 2017/18 of £500,000 with a further reduction of £250,000 planned for 2018/19.

With Band 3 status being maintained for 2018/19, the full allocation from the Department For Transport's Incentive Fund has been secured. Further submissions for central government funding will be made as and when the opportunities arise.

Information Governance

Inadequate information governance framework and culture

Mitigation

Risk increased to High based on the audit carried out by the Information Commissioner in March/April 2017. A SWAP GDPR readiness review in November 2017 has highlighted the issues required to enable compliance with the legislation in May 2018 and an implementation project has commenced and is making positive progress.

What is the identified risk?

What are we doing to reduce the risk?

Technological

ICT solutions are not fit for purpose, sustainable or delivering intended service benefits

Mitigation

Mosaic went live for adults, childrens services and finance on Nov 20th. Since Mosaic went live there has been continued disruption to the availability of Mosaic with periods of poor performance and system unavailability.

The current project team support arrangements will be extended reflecting the disruption and inability to transfer to business as usual.

Mismatch between Council's appetite for ICT enabled change and the overheads of maintaining the ICT estate against the sources of funding for that work

Mitigation

A technology strategy, setting out a change to the deliver of core infrastructure and productivity services as part of a transition to adopting a 'cloud-first' ICT approach has been prepared to underpin the Digital Strategy aspirations.

Work is underway to scope and provide an indicative cost for significant areas of work (Digital Strategy; ICT technical components to support local government re-organisation; Mosaic Project phases 1b, 2a & 2b and General Data Protection Regulations compliance.

What is the identified risk?

What are we doing to reduce the risk?

Workforce

Inability to attract and retain suitably qualified specialist safeguarding staff within Childrens Services

Mitigation

The Forward Together for Childrens Services programme includes a significant focus on reducing this risk, via the Reinvigorating Social Work and Reducing Agency Spend workstreams.

The implications of Brexit (impacts on Dorset businesses and employees)

Mitigation

Policy and funding challenges and opportunities will occur as a result of the withdrawal of the UK from the European Union. Key risks include: Risk to Dorset business; Concerns of employees who are non-UK EU citizens; Wage pressure and availability of Health & Social care; and financial pressure on health and care.

A Brexit Advisory Group has been proposed to explore implications and response further.

Partnership

Capacity, capability and financial pressures on partner organisations impact negatively on the delivery of the Better Care Fund objectives

Mitigation

There is a risk that any decrease or removal of the IBCF in 18/19 will threaten the ability to invest to support HIC Model delivery and DCC's protection of Adult Social Care.

Financial position of all pooled budgets to be monitored and managed in line with Section 75 agreements. Regular updates to be provided from all partners on any changes in financial position, to enable early consideration of any corrective action. System-wide workforce transition plans to be developed to support each programme. An external workforce plan is under development with the provider market, led by DCC.