

People and Health Scrutiny Committee



Risk Management Exception - Quarterly Update Report

Extreme and High-Level Risks

August 2022

Contents

Heading	Page No.	Heading	Page No.
Introduction	2	A SUMMARY of PERFORMANCE	7
Why is this risk report important?	2	People Directorate for Adults and Housing	9
Risk Management Road Map	3	People Directorate for Children’s Services	17
Effective Management	3	Public Health	23
Risk Ranking Matrix identifies the level of risk	4		

Introduction

This update report is a summary that describes the potential risks that Dorset Council face. The report addresses risks, which have the potential for severe consequences, and emerging risks that may become problematic in the future. The report highlights:

- How effective Dorset Council is at handling potential risks
- What changes are necessary to keep risk at an acceptable level
- What the updated status of corrective actions is
- What the signs of trends in the incidence of risks are

Why is this risk report important?

Risk reports are important because they help managers and officers to better understand various risks Dorset Council is taking, whilst the provision of accurate and informative report ensures that stakeholders know of existing risks and gain knowledge to help create a plan to avoid unwanted surprises and actions. Dorset Council risks are managed through SharePoint that includes actions to minimize the risk and designates an owner who is the individual responsible for the risk. Risks are updated on a quarterly basis and the reports focus on the most severe risks (Extreme and High Level) that require corrective actions. The reports should help to create focus, such as risk action plans.

Risk Management Road Map 2022

The Road Map helps to provide a visual way to quickly communicate our plan of work for the coming months. We feel that this is the most effective tool to give you a bird's-eye view of everything that's planned. By being more risk aware, Dorset Council will be better placed to avoid threats and take advantage of any opportunities.



Effective Management

The Scrutiny Committees' terms of reference also include the monitoring of performance against outcomes in the Corporate Plan. There are links between scrutiny, performance, and risk and how effectively the Council is managing risk. Effective management through risk management helps to embed a culture, process and structure that is directed towards the effective management of opportunities and threats. The Annual Governance Statement (AGS) highlighted opportunities to enhance risk management and efforts have been made to increase the level of ownership, enhance the engagement of members, and update the risk registers, and update the risk training and awareness. Risk management has consequences in terms of performance, environmental and safety outcomes, and professional reputation. Risk is anything and everything that could impact upon the successful achievement of aims and objectives. Risk management is a process to identify, assess, manage, and control potential events. It is crucial that the council can prioritise potential risks so that management attention and resources can be directed towards the high-risk items.

The two-key metrics in the measurement of risk:

- **impact (or severity)** - Impact is the measure of consequences – the severity of an event should it materialise
- **likelihood (or probability)** - Probability is the associated likelihood of an event occurring during a certain period.

Risk Ranking Matrix identifies the level of risk

The overall risk score is the product of the two metrics – **Impact x Likelihood**. **Risk Ranking Matrix** is used during risk assessment to define the level of risk and increase visibility of risks.

Once risks have been scored using the Risk Assessment Matrix, the next step is to understand what this score means and use it to inform a suitable response.

Each risk, based on its score, will be rated as either **LOW, MEDIUM, HIGH-LEVEL, OR EXTREME** and will be colour-coded according to the Risk Assessment Matrix.

The rating will determine the approach to be taken to the management of each risk and will reflect the Council’s risk appetite i.e., the level of risk the Council is willing to accept or tolerate which then dictates the level and intensity of response required.

Impact	Catastrophic	5	10	15	20	25
	Major	4	8	12	16	20
	Moderate	3	6	9	12	15
	Slight	2	4	6	8	10
	Limited	1	2	3	4	5
		Very Unlikely	Unlikely	Possible	Likely	Certain
		Likelihood				

Impact	Catastrophic Score five	Multiple deaths of employees or those in the Council's care; Inability to function effectively, Council-wide; Will lead to resignation of Chief Executive and/or Leader; Corporate Manslaughter charges; Service delivery must be taken over by Central Government; Front page news story in National Press; Monetary loss over £10m
	Major Score four	Suspicious death in Council's care; Major disruption to Council's critical services for more than 48hrs; Noticeable impact achieving strategic objectives; Will lead to resignation of Senior Officers and/or Cabinet Member; Adverse coverage in National press/Front page news locally; Monetary loss £5m-£10m
	Moderate Score three	Serious Injury to employees or those in the Council's care; Disruption to one critical Council Service for more than 48hrs; Will lead to resignation of Head of Service/Project Manager; Adverse coverage in local press; Monetary loss £1m-£5m
	Slight Score two	Minor Injury to employees or those in the Council's care; Manageable disruption to services; Disciplinary action against employee; Monetary loss £100k-£1m
	Limited Score one	Day-to-day operational problems; Monetary loss less than £100k

Likelihood	Certain Score five	Reasonable to expect that the event WILL happen, recur, possibly or frequently
	Likely Score four	Event is MORE THAN LIKELY to occur. Will Happen, recur, but is not a persisting issue.
	Possible Score three	LITTLE LIKELIHOOD of event occurring. It might happen or recur occasionally.
	Unlikely Score two	Event NOT EXPECTED . Do not expect it to happen or recur, but it is possible that it might do so.
	Very Unlikely Score one	EXCEPTIONAL event. This will never happen or recur.

Level of Risk	EXTREME (20-25)	Risks at this level sit above our tolerance and form the biggest risks. Risks at this level sit above the tolerance of the Council and are of such magnitude that they form the Council's biggest risks. The Council is not willing to take risks at this level and action should be taken immediately to manage the risk.
	HIGH-LEVEL (12-16)	The Council is not willing to take risks at this level and action should be taken immediately. These risks are within the upper limit of risk appetite. While these risks can be tolerated, controls should be identified to bring the risk down to a more manageable level where possible.
	MEDIUM (5-10)	While these risks can be tolerated, controls should be identified to bring the risk down to a more manageable level. These risks sit on the borders of the Council's risk appetite and so while they do not pose an immediate threat, they are still risks that should remain under review. If the impact or likelihood increases, then risk owners should seek to manage the increase.
	LOW (1-5)	These risks sit on the borders of the Council's risk appetite and so while they do not pose an immediate threat, they are still risks that should remain under review. These are low level risks that could impede or hinder a achievement of objectives. Due to the low level, it is unlikely that additional controls will be identified to respond to the risk. Minor level risks with little consequence but not to be overlooked completely.

The change in the overall risk profile demonstrates how action is taken to manage risks, to ensure the completeness of the risk register and to capture emerging risks.

The full Services Risk Register can be viewed from this link [HERE](#)

Once risks have been identified, they must be assessed in terms of how likely it is that they will materialise (likelihood) and, if they do, what might the effects be (impact).

Every risk will be considered as unique, with its own significance. Once risks have been scored using the Risk Assessment Matrix, the next step is to understand what this score means and use it to inform a suitable response.

Each risk, based on its score, will be rated as either LOW, MEDIUM, HIGH-LEVEL, OR EXTREME and will be colour-coded according to the Risk Assessment Matrix.

A SUMMARY of PERFORMANCE of the risks for this reporting period August 2022

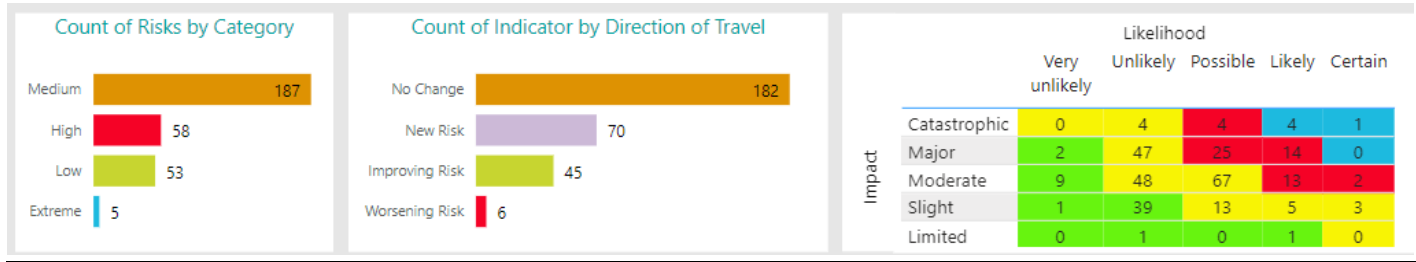
303
No of Open Risks

5
No of Extreme Risks

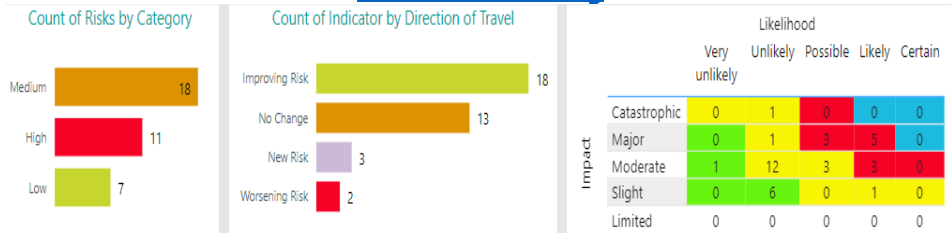
58
No of High Risks

187
No of Medium Risks

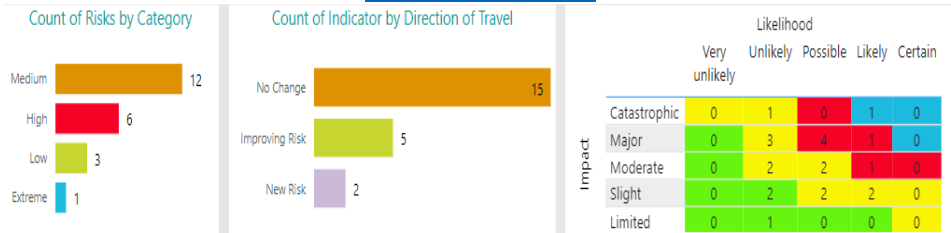
53
No of Low Risks



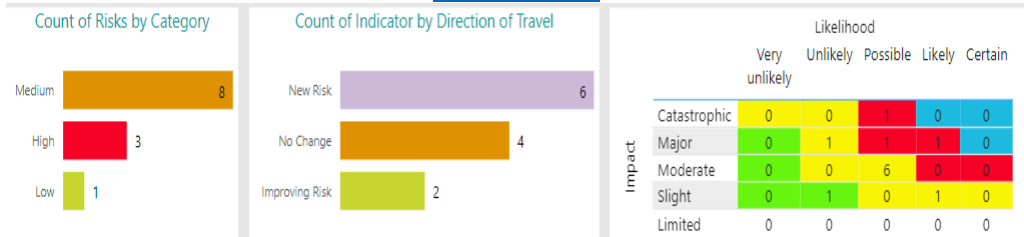
Adults and Housing



Children's Services



Public Health



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Risk Management Update Report

People Directorate for Adults and Housing

Extreme and High-level Risks

August 2022



Adults and Housing

Extreme - None

High-Level

Adults & Housing - Adult Care

- Risk 339 - The impact of hospital pressures
- Risk 325 - Failure to maintain safe levels of Approved Mental Health Professional capacity to fulfil our duties
- Risk 6 - Failure to support the wellbeing of Adult Social Care staff results in poor morale, increased staff absence and retention
- Risk 165 - Capacity, capability and focus within the Adult Social Care workforce is not appropriate to deliver statutory responsibilities and key priorities to an acceptable standard

Adults & Housing - Commissioning

- Risk 298 - Failure to achieve infection control
- Risk 343 - Market failure leads to unsafe and unacceptable levels of unmet need for domiciliary care
- Risk 464 - Failure of the Dorset Care Framework (DCF)

Housing

- Risk 180 – Increased Homeless Population
- Risk 558 - Developments become too expensive due to cost increases, and are no longer viable for development partners, which leads to a corporate decision to review the programme.
- Risk 559 - Staff cannot be recruited to provide the care service provision at new developments, which leaves the facilities running at below capacity and therefore underutilised.

Adults & Housing - Adult Care

Risk 339 - The impact of hospital pressures					Direction of Travel No Change		Last Reviewed 4 August 2022			
Risk Owner Corporate Director for Commissioning and Corporate Director for Adult Care Operations	Inherent risk (Current) The natural level of risk before applying controls to prevent and mitigate the risk	Risk Rating				Residual risk (Target) The level of risk that remains after implementing a set of controls to reduce the inherent risk	Risk Rating			
		High-Level					High-Level			
		Impact	4	Likelihood	4		Impact	4	Likelihood	3
<p>Update: The pressure felt by hospitals a cross Dorset reflects the wider national crisis and has increased to point that the system has declared OPEL 4 position with ongoing internal management incidents in both local acute hospitals. The local authority continues to hold risk in both delays due to the unavailability of home care and the secondary impact of prioritising the available homecare for hospital discharge, meaning increasing risks in the community teams. Support is being provided to the hospitals in whatever way is possible, however being mindful of the budgetary impact on Dorset Council, if the response is not currently system funded. The financial risk and operating model for hospital discharge will need to be reviewed following receipt and confirmation of national funding arrangements to support discharge to assess. Ending of Hospital Discharge Programme funding (HDP) on 31/3/2022.</p> <p>The ending of the funding means a change to current operating procedures and the associated performance and financial risks. Transition planning and decisions taken to Dorset ICS Home First Commissioning Board for agreement of interim funding arrangements to support hospital discharge processes to remain as is, pending further Government guidance about national discharge funding.</p>										

Risk 325 - Failure to maintain safe levels of Approved Mental Health Professional capacity to fulfil our duties					Direction of Travel No Change		Last Reviewed 4 August 2022			
Risk Owner Corporate Director for Adult Care Operations	Inherent risk (Current) The natural level of risk before applying controls to prevent and mitigate the risk	Risk Rating				Residual risk (Target) The level of risk that remains after implementing a set of controls to reduce the inherent risk	Risk Rating			
		High-Level					High-Level			
		Impact	3	Likelihood	4		Impact	3	Likelihood	4
<p>Update: While there is a wider context around a national shortage of Approved Mental Health Professionals (known as AMHPs); workforce planning is taking place locally with an updated approval pathway being in development (which includes pre-AMHP programmes), as well as good Continuous Professional Development (CPD) and quality assurance of practice. However there have been significant workforce impacts from rigidity of agency hours, sickness absence and annual leave.</p> <p>Our staff resilience and wellbeing continue to be a priority. Increase in activity demands into the service continues to be monitored with an escalation plan in place as well as an updated business contingency plan i.e., there is a system resilience escalation process to inform system partners if there is no AMHP availability. Some areas of service development have been put on hold due to increased activity demands and staffing shortages. Exploration of a sustainable out of hours model and future Approved Mental Health Professional model in Dorset.</p> <p>The increase in activity demands into the service continues to be monitored with an escalation plan in place. A review of key functions alongside risks mitigated with refocussing of AMHP resources from other teams, diversion to weekend working teams of adult social care enquiries when there is peak demand, overtime and use of agency staff has been necessary to ensure that a service is delivered. Finally, the workforce plan includes the continued recruitment to vacant posts, and this has been successful though candidates were internal to the council.</p>										

Risk 6 - Failure to support the wellbeing of Adult Social Care staff results in poor morale, increased staff absence and retention						Direction of Travel Worse		Last Reviewed 1 August 2022					
Risk Owner Corporate Director for Adult Care Operations and Corporate Director for Commissioning		Inherent risk (Current) The natural level of risk before applying controls to prevent and mitigate the risk		Risk Rating High-Level				Residual risk (Target) The level of risk that remains after implementing a set of controls to reduce the inherent risk		Risk Rating Medium			
				Impact	3	Likelihood	4			Impact	3	Likelihood	3
<p>Update: The amount of unused annual leave across the service and the impact on service delivery of spacing requests is being monitored and checked regularly. We will balance service delivery with wellbeing. Additional consideration also being given to the impact of issues like the increase of Domestic Violence and suicide, on colleagues who respond to these. There is increased fatigue in among colleagues due to length and intensity of the COVID response. Managers are discussing leave with staff in supervisions and senior operational managers are tracking monthly the leave being used. Communications on the impact of the difficult conversations and situations is being regularly sent out, with reminders of the mechanisms to support staff. Managers are working in new ways since COVID lockdown, which provides even greater focus on Wellbeing. Good practice in our teams includes: -</p> <ul style="list-style-type: none"> * Regular virtual catch-up with teams and individuals where we ask about wellbeing and adjust as needed. * Employees are asked to buddy with their co-worker, to provide a safe place to offload after a difficult case or situation * Employees use their virtual team space to discuss non work issues, such as birthdays, family events, funny stories * Employees have virtual socials including quizzes, drinks after work <p>Absence rates have declined during COVID, but we are aware that mental health issues can develop or worsen during this time. We are referring individuals to Wellbeing and Occupational Health, as needed, for tailored support. Workforce resilience as we come out of a difficult winter position continues to be a concern and monitoring situation. Having started to move out of the Covid and having the overlay of the cost-of-living impact, this is starting to be the higher level of risk for retention.</p> <p>Controls - Team meetings; HR Business Partner in workforce meetings; Staff communications plan, including regular webinars; Drop in cafes led by Heads of Service; Visits to teams by the extended leadership team; Wider work by the council for the support of the cost of living and Review of the work of first tier staff, including CSC and ASC staff.</p>													

Risk 165 - Capacity, capability and focus within the Adult Social Care workforce is not appropriate to deliver statutory responsibilities and key priorities to an acceptable standard						Direction of Travel No Change		Last Reviewed 1 August 2022					
Risk Owner Corporate Director for Adult Care Operations		Inherent risk (Current) The natural level of risk before applying controls to prevent and mitigate the risk		Risk Rating High-Level				Residual risk (Target) The level of risk that remains after implementing a set of controls to reduce the inherent risk		Risk Rating High-Level			
				Impact	4	Likelihood	3			Impact	4	Likelihood	3
<p>Update: Recruitment into all adult social care roles has and continues to be difficult, with a national shortage of key posts, specifically Approved Mental Health Professionals, Occupational Therapists, and experienced Social Work managers. The significant additional demands resulting from COVID-19, in particular delivering Hospital Discharges, increased safeguarding, Approved Mental Health Professional and Deprivation of Liberty Safeguards referrals have had significant impact on the capacity within adult social care to deliver business as usual alongside the transformation required to deliver improved outcomes for vulnerable people and savings. The hospital discharge COVID requirements have increased the number of people we are commissioning/contracting for across the system. This has impacted upon commissioning and brokerage functions, business intelligence and the finance teams who are required to recording and track cases to claim COVID funding support. For finance, the increase in workload alongside workforce changes and subsequent gaps may be a significant risk to the Council. Work is also progressing on the duties being conducted under Section 117 of the Mental Health Act on behalf of the Dorset Clinical Commissioning Group (CCG) and Continuing Health Care (CHC) arrangements.</p> <p>Controls- A series of clarification and reiteration points has been developed (exceptions work) that will support the workforce and partners in understanding the pressure that adult social care, alongside health, are under during the winter period of 2021-22. Local resilience forums continue, along with escalation and information sharing via system ODG, Bronze, Silver, and Gold. Communication work to support suppression of demand underway but undeveloped currently. A reforms programme team are scoping out the impact of the legislative changes and the need to ensure that these impacts are understood, recorded, and mitigated where possible. A new aspect of this risk, which might move to an individual risk soon, is the impact of the social care reforms and the white papers, particularly the duties under the Cap on care costs</p>													

and section 18.3 of the care act. Both of which could have a significant impact on internal resources, including social workers, brokers, and financial assessment officers. This is being worked through and understood by the reforms team.

Adults & Housing – Commissioning

Risk 298 - Failure to achieve infection control					Direction of Travel No Change		Last Reviewed 3 August 2022			
Risk Owner Corporate Director for Commissioning	Inherent risk (Current) The natural level of risk before applying controls to prevent and mitigate the risk	Risk Rating				Residual risk (Target) The level of risk that remains after implementing a set of controls to reduce the inherent risk	Risk Rating			
		High-Level					Medium			
		Impact	3	Likelihood	4		Impact	3	Likelihood	2
<p>Update: The risks associated with Covid-19 remain high. Two new variants have recently emerged, one of which is more highly transmissible than previous variants. The current position reflects high numbers of care home staff with Covid-19 and high rates of Covid-19-related sickness within the NHS. Although there are currently signs that the number of reported cases is falling back, the risk of a 'sixth wave' of Covid-19 in September is also being considered.</p> <p>Successful infection control across adult social care in Dorset is achieved through a combination of work by the Council, work by suppliers and care providers, and work in partnership, together with support from the Quality and Improvement team and continuous reminders about basic infection control procedures. One of the main drivers for reducing this risk is Government regulations and guidance, including the general guidance about working safely in care homes, and the guidance for the management of staff and exposed residents.</p> <p>The Government guidance 'Living with Covid-19' outlines a range of futures for the course of the pandemic. All scenarios assume that a more stable position will eventually be reached - but over a few years. Looking ahead 18 months, in the 'reasonable best case' there may be a comparatively small resurgence in infections during autumn/winter 2022-23, and in the 'reasonable worst case' a large wave of infections with increased levels of severe disease. The 'optimistic central' and 'pessimistic central' scenarios are considered the most likely. The emergence of new variants will be a significant factor in determining the future path of the virus. New variants of COVID-19 will continue to emerge. This could include variants that render vaccines less effective, are resistant to antivirals, or cause more severe disease.</p> <p>The pathway to greater stability will also be affected using vaccination and available treatments. The Government has also said it will offer the adult social care sector the following protections:</p> <ul style="list-style-type: none"> • Supporting and encouraging the take-up of vaccines amongst care recipients and staff, including any further doses that may be recommended by JCVI for COVID-19 and other infections. • Guidance on precautions for visitors and workers in adult social care; and • Providing access to free PPE to the end of March 2023 or until the UK IPC guidance on PPE usage for COVID-19 is amended or superseded (whichever is sooner). <p>As part of living sustainably with COVID-19, the Government published updated IPC guidance on 15 March 2022. It did not replace current COVID-19 IPC guidance for care homes, home care and other adult social care services. The impact of the loss of care may be significant and the mitigating actions that are in place are focused on:</p> <ul style="list-style-type: none"> - 'Myth-busting' - work to encourage vaccine take-up - examining the legitimate scope of exemptions - monitoring the possibility that care home workers who decline a vaccine may be redeployed to help meet the shortage in domiciliary care. <p>A risk assessment is being conducted for each care home, leading to a RAG rating for each home. The RAG rating will depend in part on the number of unvaccinated workers at the care home in relation to the home's overall number of care workers.</p>										

Risk 343 - Market failure leads to unsafe and unacceptable levels of unmet need for domiciliary care						Direction of Travel Improved		Last Reviewed 3 August 2022			
Risk Owner Corporate Director for Adult Care Operations	Inherent risk (Current) The natural level of risk before applying controls to prevent and mitigate the risk	Risk Rating				Residual risk (Target) The level of risk that remains after implementing a set of controls to reduce the inherent risk	Risk Rating				
		High-Level					Medium				
		Impact	4	Likelihood	4		Impact	4	Likelihood	2	
<p>Update: This risk was first highlighted during the second half of 2021. A combination of factors (detailed below) had led to a significant waiting list for domiciliary care packages that people had been assessed as needing in accordance with Care Act 2014 eligibility criteria and/or the mandated hospital discharge policy. The number of people waiting for care varied by the day but became a considerable number and a matter of great concern. The waiting list then fell from its highest peak levels during the first half of 2022, partly due to successful tenders through the Dorset Care Framework and other commissioning activity to increase market capacity. However, over the summer 2022 period, factors such as:</p> <ul style="list-style-type: none"> - rising Covid-19 infection levels, - staff holidays, - staff recruitment and retention issues - significant pressures in hospital discharges <p>have affected both the council and providers and caused levels of unmet need to start to rise again. Colleagues in Commissioning are working hard to manage the situation and to mitigate the effects for individual people who need care and support. Recruitment remains difficult for providers, notwithstanding the one-year visa scheme and the bonus and retention scheme payments facilitated by the Council. Providers are trying various initiatives in recruitment, but a reduced number of workers from EU countries are coming to work in Dorset, (Care workers, care assistants and home care workers are now eligible for the Health and Care Visa as a response to pandemic pressures, but it is only valid for 12 months). This risk was previously categorised as 'Extreme' because it had crystallised and there was unmet eligible need in Dorset. It is now categorised as 'High'.</p> <p>Looking ahead, the new Dorset Care Framework offers the opportunity to develop the capacity and competitiveness of the market over time. Its success will depend on the number of providers choosing to join the framework and on the reasonableness of the underpinning 'usual rates' paid by the council for several types of social care. This risk is principally managed through a range of statutory and commissioning frameworks and contracts and through targeted Government funding.</p>											

Risk 464 - Failure of the Dorset Care Framework (DCF)						Direction of Travel Worse		Last Reviewed 3 August 2022			
Risk Owner Adults Housing – Commissioning and Improvement	Inherent risk (Current) The natural level of risk before applying controls to prevent and mitigate the risk	Risk Rating				Residual risk (Target) The level of risk that remains after implementing a set of controls to reduce the inherent risk	Risk Rating				
		High-Level					Medium				
		Impact	4	Likelihood	3		Impact	4	Likelihood	2	
<p>Update: The Dorset Care Framework (DCF) was launched in March 2022 on an e-tendering portal. It is a 10-year framework, and it will be open for providers to always enter, with 27 'lots' covering Care, Support, Housing and Community Safety. We need a wide range of providers on the framework to meet the diverse needs of Dorset residents. And if too few providers bid for certain types of specialist care there may not be effective market competition and development. These two points highlight the links between this risk and the 'Market Failure' risks nos. 343 and 383. To work well, the DCF needs to be supported by 'fair rates' that the council will pay to providers for several types of care. There is a residual risk in this area as the council's budget may not be sufficient to fund fair rates, particularly in domiciliary care. The recent 'fair cost of care exercise' will be revisited in autumn 2022.</p> <p>The Council needs to access Government funding from the Market Sustainability Fund to help support the local market and will shortly submit a Market Sustainability Plan to the DH&SC. The first tendering round of the DCF generated a good response. This included new providers as well as providers we already work with. The second round of the DCF successfully generated enough providers on the Framework to run competitions, although there has been push-back in respect of prices from some domiciliary care providers. The risk that this presents is being managed through market engagement to make sure that providers understand that packages are only available through the Framework. The third round of the DCF is currently open.</p>											

Housing

Risk 180 - Increased homeless population						Direction of Travel No Change		Last Reviewed 1 August 2022					
Risk Owner		Inherent risk (Current)		Risk Rating				Residual risk (Target)		Risk Rating			
Corporate Director for Housing and Community Safety		The natural level of risk before applying controls to prevent and mitigate the risk		High-Level				The level of risk that remains after implementing a set of controls to reduce the inherent risk		High-Level			
				Impact	4	Likelihood	4			Impact	4	Likelihood	3
<p>Update: The number of homeless approaches is monitored. Levels returned to pre-pandemic levels in summer 2021; Further income pressures due to increases in utility costs will add to these pressures in 2022. Early indications suggest affordability issues for households identifying as at risk of homelessness is featuring in reasons for applying to be accepted onto our housing register as of July 2022. Further increases are anticipated and are being monitored. The service is engaged with the internal cost of living work to maximise resident's access to support. Recent data shows a similar number of households in temporary accommodation (including bed and breakfast) compared to the same time last year.</p> <p>Acquisitions under government initiatives (NSAP and RSAP) and council capital funding have increased the number of placements available for selected cohorts concentrated of rough sleepers. Further funding in 2023 will enable us to acquire additional accommodation units during this year. Work with the council property and assets service and social landlords continues to identify opportunities to increase the number properties available for placements through acquisitions or repurposing. A bed and breakfast elimination plan has been agreed with DLUHC (Department for Levelling Up, Housing and Communities). Sourcing suitable accommodation for families with children that is not bed and breakfast continue to be prioritised. Work continues to provide additional self-accessed support and guidance for homeless households and those at risk of homelessness. The internal housing service restructure completed 1 July 2022. Additional homeless prevention resources to reduce the number of homeless accommodation placements are in place as of July 2022. Advice and guidance are also available within the community e.g., Citizens Advice Bureau and Race Equality group. Where people become homeless who are not eligible for service, and this should be considered as part of wider community strategy in partnership with all community and voluntary agencies. Engagement work required with relevant agencies to support this cohort has commenced.</p> <p>Controls - Regular monitoring of trends. Advice and guidance available within the community and via website. Support to complete residency available at CAB and Race Equality group. Should additional people then become homeless they are not eligible for service, and this should be considered as part of wider community strategy in partnership with all community and voluntary agencies. Clear engagement work required with relevant agencies to support this cohort.</p>													
Risk 558 – Housing with Care and Support Developments become too expensive to build due to construction cost increases, and are no longer viable for development partners, which leads to a corporate decision to review the programme.						Direction of Travel New Risk		Last Reviewed 1 August 2022					
Risk Owner		Inherent risk (Current)		Risk Rating				Residual risk (Target)		Risk Rating			
Programme Manager – Building Better Live – Housing		The natural level of risk before applying controls to prevent and mitigate the risk		High-Level				The level of risk that remains after implementing a set of controls to reduce the inherent risk		Medium			
				Impact	4	Likelihood	4			Impact	3	Likelihood	3
<p>The construction industry has been particularly affected by rising costs over the last 12 months, with an average annual inflation of 27.2%. This is impacting on existing development projects, and risks making projects that had previously been appraised as viable unaffordable. Delays to progress on Bridport and Purbeck Gateway projects has increased the risk that the projects become less viable or unviable due to these rising costs.</p> <p>Controls: Bridport Gateway project: Work underway to finalise and complete novation of Development agreement and enable progress on planning applications. Our development partner, Aster, has received costs, which are currently within their cost envelope so progressing the project brings them closer to being able to contract at affordable rates. Bridport Gateway project is a key deliverable in Asters strategic partner bid, driving their appetite to complete the project. Ongoing dialogue and advice with colleagues in Property & Estates. Purbeck Gateway project: Appropriate commercial evaluation has been set in procurement documents and the development contract has viability gateways. Procurement due to launch during September, as making quick progress on this will limit impact of future increases. Recent market</p>													

engagement indicate that market interest remains high, and availability of homes England grant funding is helping to ensure housing with support development remains viable. Several Registered Providers in Dorset are Homes England Strategic Partners with development commitments. Future projects: early viability studies and engage commercial advisors ahead of procurement.

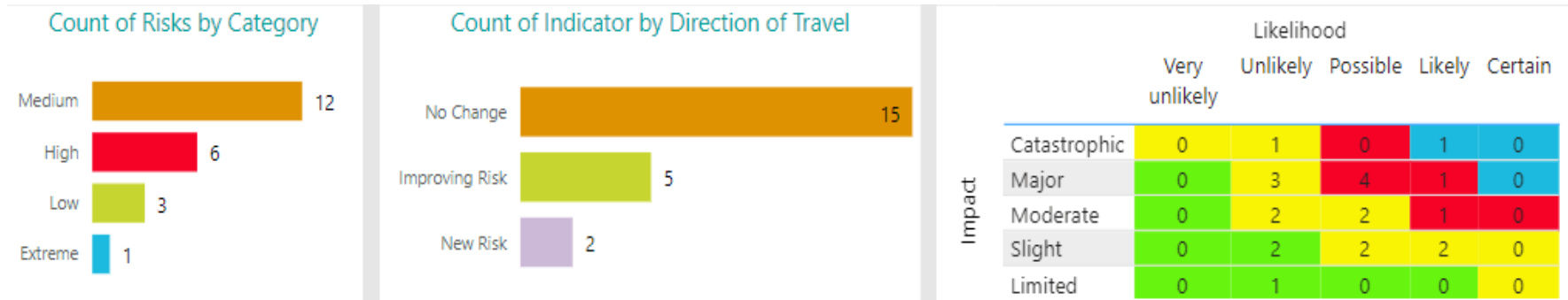
Risk 559 - Staff cannot be recruited to provide the care and support service provision at new developments, which leaves the facilities running at below capacity and therefore underutilised.					Direction of Travel New Risk		Last Reviewed 1 August 2022			
Risk Owner Programme Manager – Building Better Live – Housing	Inherent risk (Current) The natural level of risk before applying controls to prevent and mitigate the risk	Risk Rating				Residual risk (Target) The level of risk that remains after implementing a set of controls to reduce the inherent risk	Risk Rating			
		High-Level					Medium			
		Impact	4	Likelihood	4		Impact	3	Likelihood	3
<p>This is linked to the risks identified above at 343 and 464 relating to the risk of market failure in the Care and Support market. The ongoing development projects at Bridport Gateway and Purbeck Gateway will rely on provision of Care and Support services to succeed. It has been a long-standing intention to procure these services through the Dorset Care Framework, so availability of staff and issues around market sustainability impact on these developments directly. Programme team are working directly with Commissioning to project plan the procurement work needed for these projects.</p> <p>Controls: Both projects incorporate affordable General Needs housing alongside Housing with Support - some of the affordable housing can be allocated to Care and Support staff to support recruitment into these services or into the wider Care and Support market in the towns. Access to these properties can be managed via a Local Lettings Agreement, giving Dorset Council additional control over how to use the properties. Creation of Extra Care Housing schemes are opportunities to create a hub of care and support activity and registered office location around which Homecare providers can recruit and extend the offer into the surrounding area.</p>										

Risk Management Update Report

People Directorate for Children’s Services

Extreme and High-level Risks

August 2022



Children's Services

Extreme

Schools & Learning

- Risk 272 - Failure to stabilise the budget for the High Needs Block

High-Level Risks

Children's Care & Protection

- Risk 104 - A lack of sufficiency and resilience (placements/residential/foster care) impacts negatively on the demands led budget for children in care
- Risk 105 - Failure to keep children safe that are known to, or in the care of, Dorset Council
- Risk 106 - Failure to understand and respond to the changing nature of exploitation results in a safeguarding failure
- Risk 107 - Inadequate evidence base (including Partnership data) to determine service need for children's care and protection

Commissioning & Partnerships

- Risk 277 - Insufficient availability of local placements and supported accommodation to meet local needs
- Risk 278 - Major safeguarding failure by placement providers

Children's Care & Protection

Risk 104 - A lack of sufficiency and resilience (placements/residential/foster care) impacts negatively on the demands led budget for children in care						Direction of Travel No Change		Last Reviewed 28 July 2022		
Risk Owner Corporate Director for Care & Protection	Inherent risk (Current) The natural level of risk before applying controls to prevent and mitigate the risk	Risk Rating				Residual risk (Target) The level of risk that remains after implementing a set of controls to reduce the inherent risk	Risk Rating			
		High-Level					High-Level			
		Impact	4	Likelihood	4		Impact	3	Likelihood	4
<p>Update - Response: Ensuring sufficient local placements for our children in care, closer to their families and communities, is a priority within our Strengthening Services for Children and Families Plan. We are continuing focused initiatives to further enhance our campaigns to promote Foster Care in Dorset, this has included social media and radio campaigns. We have an active group of Foster Carers and a recently formed Foster Carers association who are continually helping us to shape our services and support. We are also continuing to deliver our Looked After Children Reduction Strategy. This strategy explicitly states our commitment to reducing the number of children in our care.</p> <p>Controls - Early help strategy; Commissioning strategy for placements; performance management; prevention is a priority within the Children Families & Young Peoples plan ensuring partner engagement; budgetary controls, monthly tracking and performance meetings and continued progress through the Strengthening Services plan.</p> <ul style="list-style-type: none"> • Sufficiency strategy to understand need and identify plans for increasing sufficiency • Strengthening Fostering service improvement board • Improvements in Care Planning 										

Risk 105 - Failure to keep children safe that are known to, or in the care of, Dorset Council						Direction of Travel No Change		Last Reviewed 28 July 2022		
Risk Owner Assistant Director for Care & Protection	Inherent risk (Current) The natural level of risk before applying controls to prevent and mitigate the risk	Risk Rating				Residual risk (Target) The level of risk that remains after implementing a set of controls to reduce the inherent risk	Risk Rating			
		High-Level					Low			
		Impact	4	Likelihood	3		Impact	2	Likelihood	2
<p>Update - We are continuing work to further strengthen practice and services through our Strengthening Services for Children and Families Programme.</p> <p>Current Controls: Participation in sector improvement programme, self-assessment processes, improvement plans; Supervision processes; case file audits; performance management with report to CSLT/Safeguarding Overview and Scrutiny Committee; policies and process continuous improvement; case audits by peer groups/senior managers.</p>										

Risk 106 - Failure to understand and respond to the changing nature of exploitation results in a safeguarding failure						Direction of Travel No Change		Last Reviewed 28 July 2022		
Risk Owner Corporate Director for Care & Protection	Inherent risk (Current) The natural level of risk before applying controls to prevent and mitigate the risk	Risk Rating				Residual risk (Target) The level of risk that remains after implementing a set of controls to reduce the inherent risk	Risk Rating			
		High-Level					Medium			
		Impact	4	Likelihood	3		Impact	3	Likelihood	3
<p>Update - Our new Pan-Dorset Safeguarding Partnership arrangements are now in place including the appointment of a highly regarded and experienced chair as Independent Scrutineer. We, along with partners across Dorset have published our new Child Exploitation Strategy 2020-2022 setting out how together we will ensure an effective and coordinated response to children and young people at risk of, or linked to exploitation, identifying potential risk early to reduce risk and harm.</p>										

Controls - Multi-agency tactical group meeting is held regularly to understand and share intelligence on exploitation locally.

Risk 107 - Inadequate evidence base (including Partnership data) to determine service need for children's care and protection						Direction of Travel No Change		Last Reviewed 28 July 2022			
Risk Owner Corporate Director for Care & Protection	Inherent risk (Current) The natural level of risk before applying controls to prevent and mitigate the risk	Risk Rating				Residual risk (Target) The level of risk that remains after implementing a set of controls to reduce the inherent risk	Risk Rating				
		High-Level					Medium				
		Impact	4	Likelihood	3		Impact	3	Likelihood	2	
Update - We are undertaking significant work to further strengthen practice and services through our Strengthening Services for Children and Families Programme. The developments in Business Intelligence are supporting us to understand and model service need and we will continue to develop this approach. We are undertaking significant work to further strengthen practice and services through our Strengthening Services for Children and Families Programme. The developments in Business Intelligence are supporting us to understand and model service need and we will continue to develop this approach.											

Commissioning & Partnerships

Risk 277 - Insufficient availability of local placements and supported accommodation to meet local needs.						Direction of Travel No Change		Last Reviewed 4 August 2022			
Risk Owner Corporate Director for Commissioning & Partnerships	Inherent risk (Current) The natural level of risk before applying controls to prevent and mitigate the risk	Risk Rating				Residual risk (Target) The level of risk that remains after implementing a set of controls to reduce the inherent risk	Risk Rating				
		High-Level					Medium				
		Impact	3	Likelihood	4		Impact	3	Likelihood	3	
Update - Ensuring sufficient local placements for our children in care closer to their families and communities and ensuring sufficient accommodation options for young people leaving care and other vulnerable young people is a priority within our Strengthening Services for Children and Families Plan. We have developed and published the Dorset Young People's Protocol between Housing and Children's Services, this is a joint protocol that describes how Housing and Children's Services will work together jointly to address the needs of 16- and 17-year-olds. The placement sufficiency strategy was approved by Cabinet in January 2021 and is a 3-year plan for delivery of additional placements. Although there is increased local investment and plans in place to address long-term sufficiency, there remains several national challenges having an impact on sufficiency. These include quality concerns identified by Ofsted resulting in the restriction of new admissions in multiple settings, lack of sufficient availability of crisis mental health support including Tier 4 mental health beds, lack of secure welfare accommodation. Work has commenced with the CCG to explore the possibility of joint commissioned placements for young people with complex needs. Progress is now being made on the development of the new build children's homes and these are expected to be ready in April 2022. In addition, plans are in place for registration of additional provision of DC owned premises, however the availability of local placements remains a challenge. A tender has just concluded which should increase our access to local independent sector children's homes. There remain delays in developing the care leaver accommodation in Weymouth; however, we expect this to be open in August 2022. We will be retendering for a supported accommodation framework later in the year.											
Controls - Development of local provision internally through the building of new children's residential provision. Development of local provision internally through the repurposing of existing council premises for the provision of residential care. Collaborating with external providers to encourage the opening of new provision locally through offering lease arrangements on DC buildings. Collaborating with external providers to encourage the opening of new provision locally through sharing local intelligence on needs and supporting registration and consideration of block contracts where appropriate. Developing our in-house fostering provision - increasing the timeliness of assessment and the quality of support. Working with health colleagues to implement new models of crisis care for children experiencing poor mental health.											
<ul style="list-style-type: none"> • Planning permission has been secured to build additional local residential provision. • The placement sufficiency strategy was approved by Cabinet in January 2021 and is a 3-year plan for delivery of additional placements. • Market engagement and tendering activity has taken place to attempt to secure additional children's homes places, better access to local independent fostering agencies, and to bring supported accommodation into line with the incoming regulatory framework. 											

Risk 278 - Major safeguarding failure by placement providers						Direction of Travel No Change		Last Reviewed 4 August 2022			
Risk Owner Corporate Director for Commissioning & Partnerships	Inherent risk (Current) The natural level of risk before applying controls to prevent and mitigate the risk	Risk Rating				Residual risk (Target) The level of risk that remains after implementing a set of controls to reduce the inherent risk	Risk Rating				
		High-Level					Medium				
		Impact	4	Likelihood	3		Impact	3	Likelihood	3	
<p>Update - Regular contract management is in place as part of regional and local frameworks. Due diligence on providers takes place prior to making a placement through checking of Ofsted reports and location risk assessments. We have appointed a QA officer to work with operational services to identify early warning signs that can be addressed with providers. Ofsted Assurance visits have increased and are identifying poor practice and we are working alongside regulatory Ofsted and providers to act when required.</p> <ul style="list-style-type: none"> • Due diligence checks prior to making placements • Regular contract review meetings • Visits by social workers, IROs and other professionals • QA of Reg 44 visits • Monitoring of Ofsted assurance visit reports and notifications of restrictions and closures • Finance assessment undertaken by Corporate Procurement and shared with contract managers 											

Schools & Learning

Risk 272 - Failure to stabilise the budget for the High Needs Block						Direction of Travel Improved		Last Reviewed 25 July 2022			
Risk Owner Corporate Director for Schools & Learning	Inherent risk (Current) The natural level of risk before applying controls to prevent and mitigate the risk	Risk Rating				Residual risk (Target) The level of risk that remains after implementing a set of controls to reduce the inherent risk	Risk Rating				
		Extreme					High-Level				
		Impact	5	Likelihood	4		Impact	4	Likelihood	4	
<p>Update - Failure to stabilise the pressures in the HNB budget will result in a further increase in the deficit in the DSG and could potentially affect the Council's financial position. Work is being undertaken to move to early intervention and support for families across Dorset; to identify pupil needs earlier so that remedial support can be put in place quickly and thus try to stop expensive support later; to create specialist support in all schools and highly specialist support in local schools to reduce the need for pupils to be placed in the independent sector. The Council has signed up to the Department for Education's Safety Valve programme which confirms an investment of £42m which will be profiled over the next 5 years as part of a HNB management strategy. Failure to stabilise the pressures in the HNB budget will result in a further increase in the deficit in the DSG and could potentially affect the Council's financial position. Work is being undertaken to move to early intervention and support for families across Dorset; to identify pupil needs earlier so that remedial support can be put in place quickly and thus try to stop expensive support later; to create specialist support in all schools and highly specialist support in local schools to reduce the need for pupils to be placed in the independent sector. Control and Mitigation - Work is being undertaken to move to early intervention and support for families across Dorset; to create specialist support in all schools and highly specialist support in local schools to reduce the need for pupils to be placed in the independent sector. The Council has agreed to invest £40m in SEND placement sufficiency and has signed off the High Needs Block Management Strategy to manage the pressure on the budget.</p> <p>Work is being undertaken to move to early intervention and support for families across Dorset; to create specialist support in all schools and highly specialist support in local schools to reduce the need for pupils to be placed in the independent sector. The Council has signed up to the Department for Education's Safety Valve programme which confirms an investment of £42m which will be profiled over the next 5 years as part of a HNB management strategy. Failure to stabilise the pressures in the HNB budget will result in a further increase in the deficit in the DSG and could potentially affect the Council's financial position. Work is being undertaken to move to early intervention and support for families across Dorset; to identify pupil needs earlier so that remedial support can be put in place quickly and thus try to stop expensive support later; to create specialist support in all schools and highly specialist support in local schools to reduce the need for pupils to be placed in the independent sector. Control and Mitigation - Work is being undertaken to move to early intervention and support for families across Dorset; to create specialist support in all schools and highly specialist support in local schools to reduce the need for pupils to be placed in the independent sector. The Council has agreed to invest £40m in SEND placement sufficiency and has signed off the High Needs Block Management Strategy to manage the pressure on the budget.</p>											

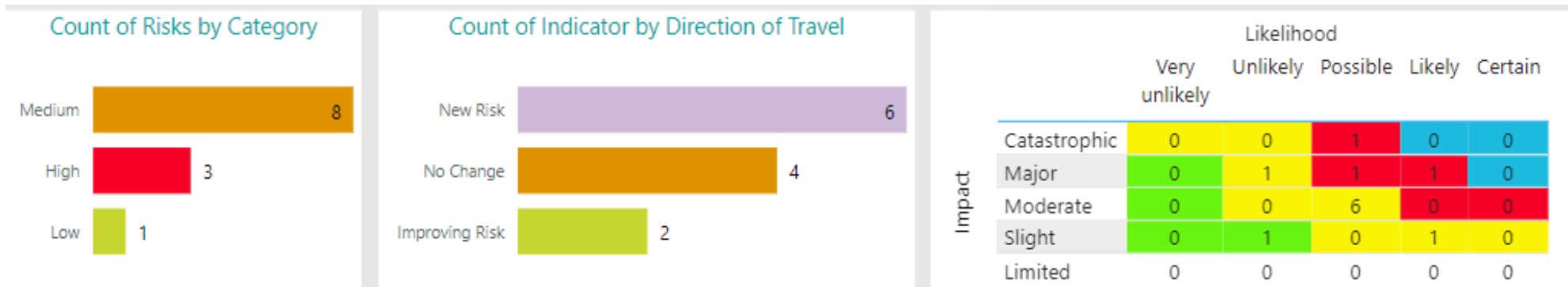
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Risk Management Update Report

Public Health

Extreme and High-level Risks

August 2022



Public Health

Extreme - None

High-Level Risks

- Risk 413 – Outbreak Management Plan
- Risk 429 – Health Protection Responsibility
- Risk 430 – CYPPHS Performance

[Risk and Resilience - Dorset Council - Service Risks - Public Health \(sharepoint.com\)](#)

Risk 413 - Outbreak Management Plan - ability to maintain effective COVID response with tiring team and renewed pressures						Direction of Travel No Change		Last Reviewed 4 July 2022			
Risk Owner Director for Public Health	Inherent risk (Current) The natural level of risk before applying controls to prevent and mitigate the risk	Risk Rating				Residual risk (Target) The level of risk that remains after implementing a set of controls to reduce the inherent risk	Risk Rating				
		High-Level					Medium				
		Impact	4	Likelihood	3		Impact	3	Likelihood	3	
Update - Change in government policy makes local government responsibilities unclear. Contingency funds still ringfenced, means we can stand up activities if required at short notice.											

Risk 429 - Health protection responsibility						Direction of Travel No Change		Last Reviewed 11 July 2022			
Risk Owner Director for Public Health	Inherent risk (Current) The natural level of risk before applying controls to prevent and mitigate the risk	Risk Rating				Residual risk (Target) The level of risk that remains after implementing a set of controls to reduce the inherent risk	Risk Rating				
		High-Level					High-Level				
		Impact	5	Likelihood	3		Impact	4	Likelihood	3	
Update - The withdrawal of national COVID measures there is a risk local public health teams will be asked to maintain outbreak management with no additional funding - this is outside current agreed statutory roles. Current national discussions underway - have escalated concerns via regional partnership board and regional DPH.											

Risk 430 - CYPHS Performance						Direction of Travel Improved		Last Reviewed 25 July 2022			
Risk Owner Director for Public Health	Inherent risk (Current) The natural level of risk before applying controls to prevent and mitigate the risk	Risk Rating				Residual risk (Target) The level of risk that remains after implementing a set of controls to reduce the inherent risk	Risk Rating				
		High-Level					High-Level				
		Impact	4	Likelihood	4		Impact	4	Likelihood	3	
Update – Quarterly data for Oct-Dec 21 indicated considerable reduction in performance for New Birth Visits and 6–8-week Checks.											
This remains a risk. A Contract Notice Query has been raised and an Excusing Notice received. Remedial Action plan has been agreed with DHC, includes reviewing data monthly for this quarter. Regional and national data on mandated checks shows significant variation. Mitigations agreed, however, note there are long term improvements in recruitment and skill mix needed.											
The next contract meeting to review performance with DHC is scheduled for the 4 August 2022. Fortnightly meetings are also taking place.											