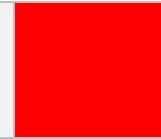


## Appendix C

### 1. Strategic Risk Update, Corporate Board 25 February 2021

For each strategic risk, an **indicative net risk rating** in Column C is applied. The net risk rating takes account of the positive impact of existing control and mitigation measures. The next quarterly update of Strategic Risks by Corporate Board will apply the new approach to scoring risk.

	<b>Strategic Risk description and impact</b>	<b>Mitigation Strategies</b>	<b>net risk rating</b>
1	Risk of a prolonged Covid pandemic persisting into 2021, with continued risk of transmission and infections, resulting in adverse impacts on the health & well-being including mental health, of Warwickshire communities and increasing demand for Council & public services of Warwickshire communities.	PH Covid Containment and Local Outbreak Management plan CSW Resilience Plan Health & Well Being Strategy	Yellow
2	Risk of post-pandemic widening of social, health and economic inequalities, and inability to catch up, resulting in worsening outcomes for our communities.	Covid-19 Recovery Plan, Health & WB Strategy, targeted Investment Funds	Red
3	Risk of failings in the protection of vulnerable children in our communities and the potential for legal and reputational damage to the Council.	Children & Families service plan and linked strategies	Yellow
4	Risk of failings in the protection of vulnerable adults in our communities and the potential for legal and reputational damage to the Council.	Covid-19 Recovery Plan and Adult Social Care service plans	Yellow
5	Delays to social care reform and continued disruption to care markets (supply and cost pressures) impacting on sustainability of council services, service standards, service accessibility/continuity and affordability, resulting in negative outcomes for service users.	Commissioning Strategy & Intentions Market Management initiatives	Yellow
6	Risk of a deep and prolonged downturn in the local economy, resulting in: (i) longer lasting negative impacts on businesses sustainability in effected sectors/localities, including town centres and the visitor economy (ii) reduced employment levels impacting on household incomes and well being (iii) Reduced/ changing tax base to fund Council services.	Covid-19 Recovery Plan Investment Funds CSW LEP Economic strategy & delivery plans	Red
7	Risk of education and skills gaps widening and inability to catch up resulting in worsening outcomes for current student cohorts, particularly for disadvantaged students.	Covid-19 Recovery Plan EDI Strategy Education Strategy	Red
8	Risk of being unable to deliver our ambitions on the Climate Emergency declaration resulting in negative outcomes for our communities, businesses and environment and reputational damage.	Covid-19 Recovery Plan Climate Change Delivery Plans	Yellow

<b>9</b>	Risk of continued uncertainty about external factors such as Government policies, the economic outlook, impacting on our ability to carry out longer-term planning, secure sufficient funding, meet demand and sustain key services.	Integrated Planning approach to refresh of MTFS, Council Plan and business plans.	
<b>10</b>	Risk of Staff health and wellbeing continuing to be affected negatively, impacting our resilience and capacity to deliver services and address new challenges.	Our People Strategy, Workplace Wellness and How We Work programme	
<b>11</b>	Risk of failing to sustain and progress change, to modernise, innovate and take advantage of technology-driven solutions, resulting in inefficient, unsustainable services, unrealised benefits and outcomes	MTFS, business plans, Digital & Technology Strategy, Commercial Strategy.	
<b>12</b>	Risk of legal, regulatory, Information security non-compliance, impacting on the Council's reputation and loss of trust in public service delivery and the potential for financial penalties.	Governance Code, Information Gov and Data Strategies and oversight arrangements.	
<b>13</b>	Risk of negative results from our commercial and investment activities, impacting on reputation and loss of trust in public service delivery.	Governance & Compliance arrangements for each entity and Commercial Board oversight.	
<b>14</b>	The risk of detriment to our reputation (including that of financial loss from commercial activities), locally, nationally and with partners and our community.	Customer Experience Strategy, MarComms plan, Governance Code and .	

## 2. Q4 Net Red Service Risks (extracted from Service Risk Registers @ April 2021)

Risk	Existing Actions	Further Risk Actions	Net Red Risk Commentary	Review Date
<b>Adult Social Care</b>				
<b>Demand for services and current market forces continue to put financial pressure on Adult Social Care services</b>	<p>Programme of activity established to deliver changes required to help manage demand, costs and achieve efficiencies.</p> <p>Review of demand and capacity undertaken identifying resources needed to achieve savings and efficiently manage demand. Active market management.</p> <p>A further review of the programme of activity is being undertaken including a detailed analysis to determine the pressure areas in Disabilities, to inform priority areas and actions for the service.</p>	<p>Scope and progress Project Activity</p> <p>Strategy &amp; Commissioning work plan</p> <p>Substantial Insights into demand, projections and cost of care</p>	<p><i>Covid Recovery and beyond: Stronger integration with our health partners and strengthening the role of the Community and Voluntary Sector. Re-design of commissioning arrangements for working age adults. The work of the Early Intervention Board will continue to address demand management solutions.</i></p>	Ongoing
<b>Children &amp; Families</b>				
<b>Inability to deliver services due to increase in demand as a result of Covid-19 related societal pressures and diverted resources.</b>	<p>Ongoing investigation of demand across the service and redistribution to proactively manage demand, particularly earlier effective interventions.</p> <p>Maintaining service provision throughout the lockdown and reinstating services with flexibility and rapidity, whilst maintaining safety measures for staff and families.</p> <p>Current programme of reinstatement to overcome key blockages within the system, eg Family and Juvenile Courts, as this has prevented some resolution of case work in the last quarter.</p> <p>Nurturing a relationship based team culture where workers feel safe and supported in continuing to deliver key activities to protect children during COVID. New leadership within front door services and new approach to focus on timescales and quality of decision making.</p> <p>New workforce strategy to attract experienced social workers and to retain experienced social workers.</p>	<p>We are implementing our change programme over 2020-22:</p> <ul style="list-style-type: none"> <li>- maximise competitive advantage in recruitment/ retention of staff.</li> <li>- ongoing investment in early help and universal services as a proactive preventative service, eg community development and universal support.</li> <li>- significant cultural change to a more empowering approach for sustainable change within families, eg FGC and parent mentoring approaches.</li> <li>- Improved provision to support effective interventions around parental conflict and domestic abuse.</li> <li>- Improved marketing for our internal foster care recruitment and retention</li> <li>- Improved offer to children in care, care leavers, and SGO carers to sustain placements and improve long term outcomes, partially funded by DfE and other grants.</li> </ul>	<p><i>The Change programme was reassessed during COVID lock down to ensure that high priority areas could be progressed, so there was minimal delay in the implementation of the programme, so responding with flexibility to manage the impact of COVID upon the realisation of the benefits.</i></p> <p><i>We are continuing to review this on a quarterly basis to ensure that the right activity is continuing. This is targeting areas of development that will support managing the demand in a different way, so is aligned to the core business of safeguarding children.</i></p>	31/03/2022

Risk	Existing Actions	Further Risk Actions	Net Red Risk Commentary	Review Date
<b>Education Services</b>				
<b>Increased demand for specialist provision/Increase in population of pupils being issued EHC plans</b>	<p>Monitoring in place to reduce placements with independent provision, and commissioners working with providers to reduce costs. This had led to reduced spend per placement and a reduced percentage of placements, but still above national average.</p> <p>Three new special schools opened since 2015 (Discovery Academy, Quest Academy, Arden Fields School) creating 210 places; expansion of existing special schools since 2015 creating a further 140 places; 88 places created in resourced provision and partnerships since 2016. The site acquisition and development of a new school (Warwickshire Academy) creating 80 places and specialist SEMH and ASD provision.</p> <p>Robust panel process and guidance in place to make decisions on each placement.</p> <p>SEND &amp; Inclusion Strategy set the expectations for mainstream schools to promote inclusion.</p>	<p>Key tasks include,</p> <ul style="list-style-type: none"> <li>- Continue the programme to expand special school places and establish resourced provisions/partnerships.</li> <li>- Challenge schools (particularly secondary) to be more inclusive, with more high needs packages being supported in mainstream settings.</li> <li>- Promote best practice in Inclusion in mainstream schools (eg. audits, SEND awards).</li> </ul>	<p>SEND change programme: progress on all sub projects is overseen by the Better Lives Delivery Group. SEND Self Assessment has been completed prior to an expected Ofsted inspection by Autumn 2021.</p>	Ongoing
<b>Increase in the numbers of young people aged 16 and 17 who are Not in Education, Employment or Training (NEET)</b>	<p>A county NEETs group, attended by a key stakeholders eg: JCP, Prospects, CWLEP, Princes' Trust, local colleges, ESF providers, meets half termly, identifies gaps in provision and enables co-ordination of activity to maximise impact.</p> <p>Partnership Agreements signed by all secondary schools, colleges and training providers specifically for the sharing and exchanging of student data between education settings, Prospects and the Council. Robust contract monitoring and management to ensure the council's statutory duties are being fulfilled.</p>	<p>We continue to monitor and drill down on performance data to identify trends/ interventions needed.</p> <p>Regular communication has been sent to schools and colleges regarding post 16 transition during COVID.</p> <p>FIS and WCC customer service team have been updated on the support available to young people who are NEET</p>	<p>We're mindful of data being impacted, because of Covid encouraging more students to stay in School and FE settings.</p>	

Risk	Existing Actions	Further Risk Actions	Net Red Risk Commentary	Review Date
<b>Environment Services</b>				
<b>Deterioration of Highway Network condition</b>	<p>The Council has agreed the investment of an additional £2m a year for the next two years to supplement government capital grant allocations for maintaining the condition of Warwickshire's roads.</p> <p>Road maintenance is prioritised using a number of criteria including traffic volumes, types of usage and conditions of the road. These priorities are based upon inspections, surveys, known defects and accident data.</p> <p>Road construction strategy has been reviewed and updated to take into account changes to the Specification for Highways Works and to reflect increased emphasis on safety, sustainability, environment and minimisation of resource use.</p> <p>Highways maintenance contract has been renewed with Balfour Beatty in partnership with Solihull and Coventry Councils.</p>	<p>Implementation of the new Yotta software to improve effectiveness and efficiency of back office processes and improve asset management.</p> <p>Increased, and ongoing, monitoring and review of Term Contractors operational performance in place, to ensure effective delivery of all revenue and capital investment programmes</p>	<p>The risk continues to be addressed through effective prioritisation of maintenance and repair work on the network, including more intelligence led processes, underpinned by a joined up approach to Asset Management.</p>	31/3/2021
<b>A major flood risk materialises</b>	<p>Maximise funding opportunities to deliver flood alleviation schemes. Publicise flood management activity and investment e.g. flood summits. Liaising with CSW Resilience to maintain procedures for flood events, work with communities to assist them better manage local flood risk and build resilience. Our statutory planning consultee role manages flood risk from development, and where possible reduces flood risk. Identifying third party assets with high risk of failure (e.g. old culverts)</p>	<p>Secure funding to undertake work to identify third party assets in Severn catchment with high risk of failure . Also, introduce a pro-active CCTV sewer inspection programme in high risk areas,</p> <p>Working with members and FLAG's to identify and secure WCC match funding to enable successful bids for external funding.</p> <p>Regulation of Ordinary Watercourses through Land Drainage Consents and where necessary undertake Enforcement action.</p> <p>Working with external partners, alongside CSW Resilience, to make Warwickshire flood response as joined up as possible.</p>	<p>The Risk is being managed by maximising the opportunities to deliver schemes to alleviate flooding, by working with communities and partners to help better manage local flood risk and be more resilient to it. The Flood Risk Management Team are also ensuring that there is no increase to the risk of flood as part of their statutory consultee role.</p>	31/3/2021

Risk	Existing Actions	Further Risk Actions	Net Red Risk Commentary	Review Date
<b>Communities</b>				
<b>Economic downturn as a result of the Covid -19 Pandemic and potential EU Exit outcomes.</b>	The Council Plan 2020-25 priority outcome to support Warwickshire's economy to be vibrant and supporting objectives is already driving initiatives to support the development of digital skills and tools for businesses, attract investment and grow skills. Alongside objectives to maintain and develop the county's infrastructure and provide access to high quality education settings for children and young people. We continue to work with regional, sub regional and local partners and networks including accessing funding streams. We have a cross council coordinated approach to contingency planning for EU Exit.	The Council's Covid-19 Recovery Plan sets out specific recovery priorities to address the increased risks to the local economy, including: Helping new and existing businesses through pro-active support and advice. Re-purposing town centres and creating conditions for innovation and investment. With LEP and FE/HE partners, supporting skills, training and re-learning. Investing in regeneration and supporting housing growth, digital infrastructure and sustainable transport. Bringing forward further proposals for economic recovery projects around business support, new business starts and employment & skills; and working on developing the Warwickshire Recovery & Investment Fund (WRIF).	Covid-19 Recovery plan objectives alongside our approach to place-shaping and Infrastructure planning are directing our resources and efforts to offset any lasting impacts of the economic downturn and economic uncertainty.	31/7/2021
<b>WRFS</b>				
<b>Hot Fire Training site delay : financial pressures that cannot be met from existing budget allocations.</b>	Continued dialogue with planning to ensure the Planning Committee takes this application into consideration, timing to be confirmed. Find a suitable storage site for the Minerva Unit.	Scoping potential alternative permanent locations for the BA Minerva Unit	Continue to control, as far as possible, the costs of external training provision and hot fire training unit storage unit.	01/07/2021
<b>The Integrated Communications Control System becomes unstable, increasing risk to the statutory duty of "receipt of emergency calls".</b>	Business continuity arrangements in place to manage short term issues. Flexible approach from supplier to maintaining the system sourcing second hand parts and work arounds.	CIF Bid has been approved to fund the replacement of critical Fire Control Room Systems.  Procurement process for replacement systems planned to commence May 2021.	Procurement process for replacement systems planned to commence May 2021.	01/07/2021