

## Appendix 2 – Corporate Risk Register (end of Quarter 3)

Risk Ref	Risk Description	Opened	Risk score before controls (LxC)	Existing Controls in Place	Risk score after controls (LxC)	Risk Appetite	Further actions required	Risk owner
CCR.64 (SC.001)	<p><b>Inability to recruitment and retain social care staff and other key roles within the service</b></p> <p><b>IF/AS:</b> Unable to retain and recruit experienced social care staff and other key roles</p> <p><b>THEN:</b> Retention and recruitment to critical key roles of experienced staff will not be achieved</p>	Jun-21	25 (5 x 5)	<ul style="list-style-type: none"> <li>•We have a small, dedicated recruitment team in Children's Services to ensure recruitment is consistently done in a timely manner</li> <li>•We have a dedicated senior HR lead supporting the service</li> <li>•We have introduced a Market Forces supplement and a recruitment and retention bonus</li> <li>•A new recruitment microsite has been established</li> <li>•We have an exception for MOU for social work agency post with a review after six months</li> <li>•We are having conversations about fixed term contracts for certain interim staff</li> </ul>	20 (4 x 5)	Further mitigation required	<ul style="list-style-type: none"> <li>•Further develop the marketing in respect of the recruitment microsite</li> <li>•Refresh our total reward package - look at other features and benefits e.g. 9 day fortnight, enhanced recruitment and retention bonus etc</li> <li>•Complete the job families and career progression work; ensure the learning offer supports this; advertise as part of our employment offer</li> <li>•Use up to date research to understand generational and cultural needs of our own and prospective staff</li> <li>•Engage recruitment agency to assist in the recruitment of permanent staff</li> <li>•Raising positive profile of Herefordshire Children's Services</li> </ul>	Corporate Director Children and Young People
CRR.74 (E.001)	<p><b>School Assets</b></p> <p><b>IF/AS:</b> The condition of school estate continues to deteriorate with insufficient budget to maintain school assets proactively</p> <p><b>THEN:</b> There may be an increase in costs due to unplanned significant spend, school closures and possible health and safety implications</p>	Jun-21	20 (4 x 5)	<ul style="list-style-type: none"> <li>•The capital programme board is now chaired by the DCS as part of the overview and monitoring in line with corporate infrastructure</li> </ul>	20 (4 x 5)	Further Mitigation Required	<ul style="list-style-type: none"> <li>•The capital programme is being managed by the project managers office as agreed by the corporate infrastructure.</li> <li>•This is a permanent risk as schools will continue to require maintenance and there is currently an underfunding of maintenance works (priority 1); there good oversight on this risk and mitigation continues to drive this work forward alongside the need for additional funding.</li> <li>• A capital request for £2.7m has been made which would look to remove the emergency and Priority 1 backlog</li> </ul>	Service Director Education, Skills and Learning
CRR.75 (E.004)	<p><b>SEND inspection - Risk of adverse inspection</b></p> <p><b>IF/AS:</b> We fail to prepare adequately for the SEND Inspection in a robust manner. Some aspects of SEND provision are at risk in inspection due to pressures in the system including capacity of staffing arrangements, including across</p>	Oct-22	16 (4 x 4)	<ul style="list-style-type: none"> <li>•Peer review undertaken and feedback informing action plan to enable the service to prepare for inspection</li> <li>•Multi-agency Assurance and Partnership Boards operational, inspection readiness task group in place</li> <li>•DfE support in place and LGA fortnightly support in place.</li> <li>•SEND multi-agency/factorial data dashboard live for partner and manager</li> </ul>	16 (4 x 4)	Further mitigation required	<p>Quality Assurance Framework introduced for EHCPs and Annexe A work driving review and updating of policies procedures and documentation need to be to ensure that the organisations are in a robust position prior to inspection taking place- work in progress to be completed</p> <p>•Engagement Strategy needs to be developed and implemented- good pace of work now at risk due to non-cover of cover for maternity leave</p>	Service Director Education, Skills and Learning

	<p>the partnership - health and commissioning, to deliver statutory services.</p> <p><b>Then:</b> This will have an impact on the service and the progress on improvement of the service to meet the needs of the SEND children in Herefordshire</p>			<p>use , improvements needed e.g. Power BI identified</p> <ul style="list-style-type: none"> <li>•SEND strategy, delivery plan and SEF signed off.</li> <li>•Local offer updated.</li> <li>•Staffing has stabilised and some increase in health</li> </ul>				
<b>CRR.77</b> (E.007)	<p><b>Increase in out of county educational placements</b></p> <p><b>IF/AS:</b> There is an increase in out of county educational placements for EHC Plan Pupils</p> <p><b>Then:</b> This places pressures on SEN Funding (High Needs Block and local authority transport budgets)</p>	Oct-22	16 (4 x 4)	Commissioning capacity secured to improve supporting processes for school aged and thereby quality of placement/outcomes as well as better position for regional working. GEM school opened in Herefordshire- along with National Star- 2 local INMSS provisions mitigating impact of distant educational placement	16 (4 x 4)	Further mitigation required	Joint working with health to address late health advice	Service Director Education, Skills and Learning
<b>CRR.80</b> (RI_TP05)	<p><b>Supply chain capacity</b></p> <p><b>IF:</b> There remains insufficient capacity in the supply chain to meet the increasing demand (public and school transport).</p> <p><b>THEN:</b> The service will be unable to deliver statutory/socially necessary services and contracting costs will increase</p>	03/11/2022	25 (5 x 5)	Procurement DPS open for suppliers to join at any time. Personal Transport Budget scheme to reduce reliance on provided transport.	16 (4 x 4)	Further mitigation required	Consider options to relax taxi licence policy/fees to attract more drivers to the market, or/and increase im house vehicle fleet.	Mark Averill (Interim Service Director Highways and Transport)

CRR.81	<p><b>Reviews - capacity, timeliness and statutory duty of care.</b> We are currently unable to complete reviews in a timely way <b>THIS</b> is our statutory duty. In addition, people's needs may have changed so they may require an increase or decrease in service. There may be an increase in unplanned pressure on the system if reviews are not completed in a timely way. This also impacts on staff workloads. This is due to recruitment and retention issues in staffing.</p>	Jan-23	16 (4 x 4)	Daily triage of changing needs by locality managers to ensure that those most in need are reviewed. Use of agency staff to undertake more complex reassessments and reviews has been completed. Retention payments for some key staff and welcome payments to attract staff alongside an ongoing recruitment campaign was undertaken last year we are now benchmarking to look at the year ahead. We still do not have a full staff structure in order to achieve our full review compliance although the position has improved and is currently at 61% which is the best position in 3 years.	16 (4 x 4)		We will continue to monitor our staff capacity and skill capacity. A workforce review of roles and what is required in 2024 and beyond is planned. Adults and wellbeing maintain a constant monitoring of where staffing pressures are that will affect delivery of care and assessment services. We can if necessary ask staff to work within other areas. There is a continued process with Hoople to address this that is revised. HR currently supporting with scoping the recruitment and retention issues within Adults and also in Childrens. We have a new approach with HR on our recruitment strategy including advertising and a microsite developed. We are exploring the addition of HC9 posts to reflect the experience and/or qualification of senior social workers in practice which we aim to have a decision on before April this year There is a report with weekly staffing position and waiting list position and we target reviews as best we can with available resources. Recruitment and retention is a key strand of the recently launched transformation strategy. Numbers of social workers is much the same as previously but our new assessment officer posts has started to improve in recruiting resource.	Service Director Social care delivery
CRR.82 (RI_CM. 20)	<p><b>Contract Fleet Lease Expiry.</b> IF: the risk that BBLP fleet leases expire in September 23 onwards are not renewed or replaced <b>THEN</b> the council could incur loss of service and additional costs for short term hire up to Aug 24 as no contract extension has been confirmed.</p>	16/02/20 23	20 (5 x 4)	CMT have instructed BBLP to prepare and submit a full fleet replacement programme that sets out which assets have expiry leading up to Aug 24. This will be evaluated to develop the optimised method to ensure that assets are available. BBLP have confirmed that all fleet assets will remain in place until the end of the 23/24 financial year.	20 (5 x 4)	Accept	BBLP have now submitted initial proposals and costs for consideration by the council. New medium term hire fleet to be introduced to ensure service continuity. This will enable the council to keep its options open for future fleet provision and meet the requirements of the FOM. New assets will be required from April 24. CMT now reviewing with commissioners prior to confirming requirements to BBLP. This will result in increased costs, circa £300k in 24/25, due to current market rates.	Mark Averill (Interim Service Director Environment, Highways and Waste)
CRR.83 (RI_CM. 22)	<p><b>BBLP Payment Mechanism - Value for Money</b> IF: the council makes payments to BBLP without VFM evidence <b>THEN</b> the existing contract payment mechanism could result in a reduced value for money outcome for the council</p>	01/12/20 23	20 (5 x 4)	The council has issued Early Warnings to BBLP notifying of the requirement under the contract to evidence value for money in 2023/24 and BBLP are yet to fully respond. The council will also address this matter as an integral part of reviewing the annual plan for the contract for 2024/25	20 (5 x 4)	Accept	CMT to ensure that the VFM evidence is provided to assess the payment mechanism options and test VFM on an ongoing basis.	Mark Averill (Service Director Environment, Highways and Waste)

<p><b>CRR.85</b> (RI_EW.02)</p>	<p><b>Waste management services contract</b>  <b>IF:</b> we do not appropriately resource the review <b>THEN:</b> there is a risk that we may not meet the tight timescales to be able to re-procure a new service in time</p>	<p>15-Jul-21</p>	<p>20 (4 x 5)</p>	<ul style="list-style-type: none"> <li>* Governance and budget allocated from Waste Reserve with waste transformation officers seconded from Waste team.</li> <li>* Budget allocated for required technical consultants to support review. (funded by reserve)</li> <li>* Two members of the Waste Services team have been seconded to the Waste Transformation Team in the PMO.</li> <li>* Vacant Waste Services team members backfilled</li> <li>* Woods appointed as technical support consultants for the Waste Collection Re-procurement and mobilisatoin</li> <li>* Transformation Project Lead - started April 22 (struggled to recruit to this position)</li> <li>* External legal support procured to support waste collection reprocurement (April 22)</li> <li>* ISFT live - final tenders due 05.12.23</li> <li>* Waste Transformation lead - contract extended until Nov 24</li> <li>* Acting up arrangements in place and Paul West appointed as Waste Team Leader for 12months.</li> <li>* Interim triage arrangement in place to provide support whilst re-recruiting to vacant waste and recycling officer post and long term absence for a member of staff.</li> </ul>	<p>20 (4 x 5)</p>	<p>Further mitigation required</p>	<ul style="list-style-type: none"> <li>* Ongoing project management - tight timescales</li> <li>* Resourcing plan for mobilisation, rollout and new BAU to be drawn up.</li> <li>* Staff working on evaluation clearing all other work to meetin ambitious timescales</li> <li>* Resource paper to extend transformation officer positions by 12months and also to extend backfill arrangements by 12months - endorsed by Waste Strategy Board (21st Nov), RoOD approved by service director and contract extensions due for consideration at E&amp;E Board on Weds 6th Dec. (Risk to reduce back to 15 once approved)</li> </ul>	<p>Mark Averill (Interim Service Director Environment, Highways and Waste)</p>
<p><b>CRR.86</b> (SC.002)</p>	<p><b>There is an insufficient range and quantity of placements (fostering homes) for children in our care and for care experienced young people.</b>          •Development of Sufficiency strategy to support best value model          IF/AS: the sufficiency strategy is not effective in a timely manner in order to meet outcomes for c&amp;YP          THEN: high costs demands in order to meet service need will continue within the budget</p>	<p>Jun-21</p>	<p>25 (5 x 5)</p>	<ul style="list-style-type: none"> <li>•Panels have been implemented to ensure robust monitoring and approval of all placements.</li> <li>•Data and information systems shared between the service, finance teams, and the placement team have been strengthened.</li> <li>•Revision of the sufficiency strategy.</li> <li>•Employment of Marketing Officer to promote recruitment of in-house Foster Carers</li> </ul>	<p>20 (4 x 5)</p>	<p>Further mitigation required</p>	<ul style="list-style-type: none"> <li>•Working with Commissioning to support the review of contracts and inform future sufficiency and needs</li> <li>•Reviewing of current contracts to ensure value for money.</li> <li>•Develop and implement a recruitment and retention model to increase fostering, short breaks / respite provision and emergency foster care.</li> <li>•Commissioning to continue market development and considerations to be given to block purchase</li> <li>•Develop options and business case for potential future residential provision</li> <li>•Consideration to be given to increase rate for in-house Foster Carers</li> </ul>	<p>Service Director Safeguarding and Family Support</p>

CRR.87 (SC.006)	<p><b>Lack of pace in development of Performance</b>  <b>IF/AS</b> : We there is no additional or ring-fenced resource we will not develop Performance reports at pace  <b>Then</b>: Our Managers are less able to manage their teams, we are less able to manage demand and there will be a delay in the performance arrangement to support and test service improvements (Ofsted "What needs to happen" - ILACS 2022) which will have a potential impact on future inspections and corporate reputation.</p>	Oct-23	16 (4 x 4)	<ul style="list-style-type: none"> <li>•Additional funding agreed for Lead Developer, Data Analyst to remain in post from October - December 2023</li> <li>•Head of Corporate Performance considering resources vs demand and will present to CLT</li> <li>•Priorities in reporting have been set by DLT (immediate priorities Care Leaver data and Scorecard)</li> </ul>	16 (4 x 4)	Further mitigation required	•Further mitigation to be considered following initial scoping by Head of Corporate Performance	Corporate Director Children and Young People / Director of Strategy and Performance, Corporate Services
CRR.88 (SC.007)	<p><b>Lack of pace in development of Mosaic</b>  <b>IF/AS</b> : We there is no additional or ring-fenced resource we will not develop Mosaic  <b>Then</b>: The Mosaic system will not enable or facilitate best practice which will hamper our improvement journey and potential Ofsted inspections; lastly it and will lead to data quality issues and as such impact on reporting (see SC006)</p>	Oct-23	16 (4 x 4)	<ul style="list-style-type: none"> <li>•Additional funding agreed for Systems Analyst to remain in post from October - December 2023</li> <li>•Head of Corporate Performance considering resources vs demand and will present to CLT</li> <li>•Work to replace CiN Signs of Safety forms has concluded; CLA forms are due to go live in November 2023</li> </ul>	16 (4 x 4)	Further mitigation required	•Further mitigation to be considered following initial scoping by Head of Corporate Performance	Corporate Director Children and Young People / Director of Strategy and Performance, Corporate Services
CRR.89 (SC.008)	<p><b>Business Support</b>  <b>IF/AS</b> : Business Support does not currently support staff and teams in the most efficient manner  <b>Then</b>: Staff are less supported, there are multiple hand-offs and delay in moving to face-to-face activities</p>	Oct-23	16 (4 x 4)	<ul style="list-style-type: none"> <li>•DLT decision made that review/restructure could progress</li> <li>•Initial consultation held with HR</li> <li>•Discussions held/scheduled to encourage face-to-face minuting</li> </ul>	16 (4 x 4)	Further mitigation required	•Revised structure chart to be completed and proposed to DLT	Service Director Early Help, QA and Prevention
CRR.90 (E.009)	<p><b>EYFS Sufficiency</b> - Spring Budget Announcement: has created a changing landscape. Meaning there is an increasing pressure on ensuring sufficiency for early education spaces in Herefordshire. It is likely that by September 2024 we will not</p>	Nov-23	16 (4 x 4)	*Working closely with the sufficiency team to see where existing settings could be expanded	16 (4 x 4)	Further Mitigation Required	*Application to the DFE scheme for support from an external consultant in this area	Service Director Education, Skills and Learning

	have enough spaces: Sufficiency work suggests a minimum shortfall of 1400 spaces which is equivalent to 30 rooms							
<b>CRR.91</b> (E010)	<b>Secondary School Places</b> Pupils not able to access secondary school places within 15 school days of submitting an application IF/AS Pupils who move into the county/ within the county cannot access school places Then: We are failing to meet our statutory duties	Jan-24	16 (4 x 4)	School admissions officers flag pupils unlikely to secure a local school place to the Admissions team manager. Discussions have been had with a secondary school who is keen to increase numbers and parents are directed to them. Staff explain to parents in detail what the likely outcome of applications will be and the likelihood of an appeal being successful using known data. Academy 21 on line tuition can be spot purchased for pupils unable to access a school place, this is a short term solution.	16 (4 x 4)	Further Mitigation Required	Officers are currently in discussion with the DfE regarding what actions can be taken regarding a city academy school built for 1100 pupils but has approximately 650 on roll, therefore has physical space to admit additional pupils. The current solution of using a rural school on the Welsh borders is having significant impact on transport costs and has resulted in increased communications from parents to MP's. The use of Academy 21 has a cost implication.	Service Director Education, Skills and Learning
<b>CRR.92</b> (E.002)	<b>Special School Demand</b> <b>If/AS:</b> Demand continues for special school places, we are not be able to place locally and we might run out of independent and non-maintained places within daily travel. <b>Then:</b> There is a risk to the High Needs budget which in turn carries a reputational risk, there is a risk of legal challenge as we will not be able to meet need and children might unnecessarily placed residentially disrupting family life. Not all SEND children who require specialist provision can now be placed smoothly e.g. early years cohorts.	Jun-21	20 (5 x 4)	<ul style="list-style-type: none"> <li>•SEND Sufficiency report commissioned and available. Commissioning Officer some capacity supporting SEND planning. Beacon College completed. 60 post 16 places. Child Readiness Project in early years led to increased number transferring mainstream school.</li> <li>•Westfield rebuild secured through DFE funding routes. Project will start 2027.</li> <li>•Brookfield remodelling funding from DFE and council secured awaiting academisation outcome.</li> <li>•Project board established re DFE high needs capital grant - 3 short term mitigating projects identified and feasibility studies completed.</li> </ul> <p>4 new autism resource bases to opened in Sept 2023 - 2 x primary and 2 x secondary creating an additional 32 places new Nursery assessment base opened October 23 initially 9 places to increase to 15 Sept 2024 Brookfield intervention SEMH provision extended from September 23</p>	20 (5 x 4)	Further Mitigation Required	<ul style="list-style-type: none"> <li>•Bid for free AP school in partnership with Contu+ trust, Kidderminster in progress. Will create 99 additional places if successful. Interview stage completed.</li> </ul> <p>SEND Sufficiency requirements part of Capital strategy to identify need for additional provision - context local, national and regional growth in demand. Governance routes September 23. Granular mapping of need using projection data and specialist provision intelligence to inform options analysis for new provision and targeted inclusion development work.</p>	Service Director Education, Skills and Learning