



Doncaster Council

Report

Date: 5th April 2018

To the Chair and Members of the
AUDIT COMMITTEE

Q3 2017/18 STRATEGIC RISK UPDATE

Relevant Cabinet Member(s)	Wards Affected	Key Decision
Mayor Ros Jones	N/a	N/a

EXECUTIVE SUMMARY

1. The purpose of this report is to provide an overview of the Strategic Risks profiles in Quarter 3 2017/18.

2. There are currently 22 Strategic Risks and all have been updated as part of the Quarter 3 reporting process. The heat map opposite shows a summary of the scores.

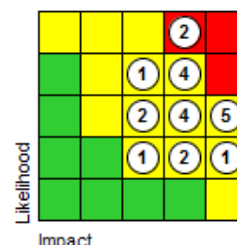
3. 17 risks have retained the same profile;

2 risk profiles have reduced, due to the implementation of mitigating actions -

- As a result of insufficient capacity and skills in AH&WB commissioning, contract management and monitoring is not effective, leading to non-compliance with legislation;
- An underdeveloped local market and ineffective market management affects the ability to change services, leading to market instability and difficulty in meeting the needs of vulnerable people.

3 risk profile have increased -

- Failure to implement the Partnership priorities within the Doncaster Growing Together Portfolio;
- Without effective influence and engagement with the Sheffield City Region, there is a threat that Doncaster does not achieve economic potential benefit from the devolution deal;



- As a result of the decision for the UK to leave the European Union there is increased uncertainty across a number of policy and funding areas that could lead to disruptions in funding and/or projects locally in Doncaster
4. During the quarterly challenge process, no new strategic risks have been proposed. Two Strategic Risks will be re-worded for Q4 to more reflect the impact on the Borough – these relate to ‘Leaving the EU’ and ‘Sheffield City Region’.
 5. The complete update for the Q3 Strategic Risk Profile is at Appendix A

RECOMMENDATIONS

6. The Audit Committee members are asked to:
 - a) Note and comment on the report
 - b) Note the updates in Appendix A

EXEMPT REPORT

7. Not Applicable

WHAT DOES THIS MEAN FOR THE CITIZENS OF DONCASTER?

8. The embedding of robust risk management arrangements within the Council incorporating the management of strategic risks creates an environment in which we can successfully meet our objectives to deliver Doncaster’s priorities and the Mayoral Priorities Outcome Framework.

OPTIONS CONSIDERED

9. Not Applicable

REASONS FOR RECOMMENDED OPTION

10. Not Applicable

IMPACT ON THE COUNCIL’S KEY PRIORITIES

Outcomes	Implications
Doncaster Working: Our vision is for more people to be able to pursue their ambitions through work that gives them and Doncaster a brighter and prosperous future; <ul style="list-style-type: none"> • Better access to good fulfilling work • Doncaster businesses are supported to flourish • Inward Investment 	
Doncaster Living: Our vision is for Doncaster’s people	

<p>to live in a borough that is vibrant and full of opportunity, where people enjoy spending time;</p> <ul style="list-style-type: none"> • The town centres are the beating heart of Doncaster • More people can live in a good quality, affordable home • Healthy and Vibrant Communities through Physical Activity and Sport • Everyone takes responsibility for keeping Doncaster Clean • Building on our cultural, artistic and sporting heritage 	<p>The embedding of robust risk management arrangements within the Council will contribute to the effective delivery of all the Council's key priorities</p>
<p>Doncaster Learning: Our vision is for learning that prepares all children, young people and adults for a life that is fulfilling;</p> <ul style="list-style-type: none"> • Every child has life-changing learning experiences within and beyond school • Many more great teachers work in Doncaster Schools that are good or better • Learning in Doncaster prepares young people for the world of work 	
<p>Doncaster Caring: Our vision is for a borough that cares together for its most vulnerable residents;</p> <ul style="list-style-type: none"> • Children have the best start in life • Vulnerable families and individuals have support from someone they trust • Older people can live well and independently in their own homes 	
<p>Connected Council:</p> <ul style="list-style-type: none"> • A modern, efficient and flexible workforce • Modern, accessible customer interactions • Operating within our resources and delivering value for money • A co-ordinated, whole person, whole life focus on the needs and aspirations of residents • Building community resilience and self-reliance by connecting community assets and strengths • Working with our partners and residents to provide effective leadership and governance 	

RISKS AND ASSUMPTIONS

11. The Risk Management Policy includes a requirement to review strategic risks on a quarterly basis and this is a matter of good management and good governance.

LEGAL IMPLICATIONS [Officer Initial: SF Date: 23/03/18]

12. Any specific implications will be reported separately and in the context of any initiative proposed to be taken in relation to the management of strategic risk.

FINANCIAL IMPLICATIONS [Officer Initial: AT Date: 14/03/2018]

13. Should any specific initiatives be required, in response to the management of strategic risks, any cost implications will be reported and addressed as and when they arise.

HUMAN RESOURCES IMPLICATIONS [Officer Initial: KG Date: 15/03/2018]

14. There are no direct human resources implications resulting from this report

TECHNOLOGY IMPLICATIONS [Officer Initial: PW Date: 15/03/2018]

15. There are no direct technology implications resulting from this report.

HEALTH IMPLICATIONS [Officer Initial: RS Date: 14/03/2018]

16. There are no direct health im Each strategic risk could impact on health and wellbeing or increase health inequalities. Decision makers will want to see that mitigation measures do not increase health inequalities.

EQUALITY IMPLICATIONS [Officer Initial: SW Date: 14/03/2018]

17. There are no specific equality implications arising from this report. However, any activities arising from the management of strategic risks will need to be the subject of separate 'due regard' assessments.

CONSULTATION

18. Consultation has taken place with strategic risk owners and Directorate Management Teams as part of the quarterly performance challenge process.

BACKGROUND PAPERS

19. Reports generated via Pentana for Directorate Q3 challenge meetings.

REPORT AUTHOR & CONTRIBUTORS

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Q3 Strategic Risk Register

APPENDIX A

Without effective influence and engagement with the Sheffield City Region, there is a threat that Doncaster does not achieve economic potential benefit from the devolution deal

Peter Dale

Current Risk	Current Position:	Target Risk
20 Likelihood Impact	<p>At the beginning of December 2017 both Doncaster and Barnsley residents were asked their views on the geography of a devolution proposition (Sheffield City Region or a wider Yorkshire devolution model). The outcome was unanimous 85% (38,551) Doncaster residents voted in favour of exploring a wider Yorkshire proposition a position that was almost identical within Barnsley. The outcome presents a significant backing against Government stance on an existing Sheffield City Region proposition; a series of lobbying discussions are therefore taking place with a debate in parliamentary debate taking place on 9th January 2018.</p> <p>Mitigating Actions: Officers, the Executive and Members from Doncaster Council are at the forefront of deliberations both at a national and regional level on issues relating to devolution, assurances are provided through our strategic and operational role with the SY Combined Authority, in addition to representations on the numerous executive boards supporting the City Region.</p>	16 Likelihood Impact

As a result of the decision for the UK to leave the European Union there is increased uncertainty across a number of policy and funding areas that could lead to disruptions in funding and/or projects locally in Doncaster.

Simon Wiles

Current Risk	Current Position:	Target Risk
20 Likelihood Impact	<p>In December 2017 the UK agreed in principle a phase 1 position with the EU. This agreement include the rights of EU citizens and their families to remain in the UK; no hard boarder between Northern Ireland and EIRE; agreement on the methodology of the settlement the UK will pay to the EU in order to leave. It is likely that talks on trade and the specific details to a transitional period will begin early in 2018. The next phase of talks may have a bigger impact on public services and updates in Q4 and Q1 18-19 will reveal greater detail that will need to be considered.</p> <p>Mitigating Actions: Review key pieces of legislation and work with regional and national government to ensure impacts of exiting the European Union are minimised as much as possible.</p>	16 Likelihood Impact

Failure to improve Data Quality will prevent us from ensuring that data relating to key Council and Borough priorities is robust and valid.

Simon Wiles

Current Risk	Current Situation:	Target Risk
16 Likelihood Impact	<p>Following the formal agreement of the Data Quality Strategy 2016/17 – 2020/21, a working group meets regularly to drive forward the required activity. Annual self-assessments across the council for statutory returns have been completed during Quarter 3 and policy management and sign off and e-learning training completion continues to be monitored quarterly. Other areas of focus for this quarter has been to continue the activity needed to ensure we can respond effectively to the GDPR by May 2018. Key projects and programmes such as the Doncaster Integrated People Solution and the Integrated Digital Care Record are focusing on specific problem areas in Adult Social Care to ensure deliverables are achieved.</p> <p>Mitigating Actions: In order to drive forward and embed the improvements in data quality, a proposal has been developed for consideration by the Chief Executive and Directors to create a temporary Data Quality Team to focus on the systems authoritative to the Council and using a systems approach to improve data quality. The proposal describes a 'task and finish' project approach which includes culture and organisation wide development and clearly defined expected outcomes. The proposal was approved at Directors meeting on 18th December and job descriptions have been drafted for evaluation before recruitment.</p>	8 Likelihood Impact

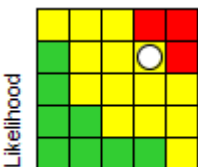
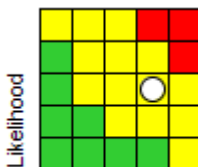
Failure to achieve the budget targets for 17/18.

Simon Wiles

Current Risk	Current Position:	Target Risk
16 Likelihood Impact	<p>At quarter 2 there was a £3.0m year-end overspend projected for 2017/18; this shows there is a significant risk achieving all the budget targets for 2017/18. Quarter 3 projections are currently being prepared.</p> <p>Mitigating Actions: Discussions will take place with managers to identify if any actions could be implemented to reduce the overspend by year-end and bring the budget back in line for 2018/19. The budgets will continue to be monitored and reported to managers, Directors and Cabinet.</p>	9 Likelihood Impact

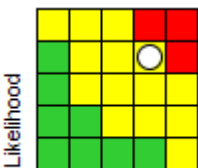
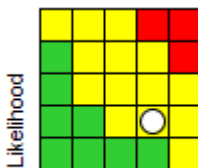
Children and Young People do not achieve in line with national expectation

Damian Allen

Current Risk		Target Risk
<p>16</p>  <p>Likelihood</p> <p>Impact</p>	<p>Current Position: The School Improvement strategy has been revised with more specific detail around the three tier model of support. Additionally, the Reading Strategy is now in its second year with a focus on : Raising awareness of age related expectations in Years 3 and 4 and curriculum requirements ensuring a greater proportion of Y4 pupils meet the expected standard in reading Improving the attainment and progress of Year 6 pupils to improve the conversion rates of children assessed at the end of KS1 at 2bDeveloping the teaching of inference skills in upper KS2Continuing to develop assessment materials to support planning and assessment of reading. Improving reading outcomes for disadvantaged pupils Developing parental and community engagement in reading</p> <p>During the first year of the Reading Strategy, schools that participated showed an average increase in KS2 test scores of 11% against 8% across the LA . improved performance by an average of 12% which is much high</p> <p>The Raising Aspiration and Achievement Strategy has been revised and delivery plans are being developed to support the three main school improvement priorities of :</p> <ul style="list-style-type: none"> . Continuing to improve Reading . Raising Achievement of disadvantaged pupils . Ensuring that all schools offer a broad and balanced curriculum. . Doncaster remains in the bottom quartile of all LA's nationally for KS2. Reading is the area where attainment is weakest. <p>Mitigating Actions:</p> <ul style="list-style-type: none"> • Challenge The Regional Schools Commissioner and Academy principals and CEOs on underperformance • A revised School Improvement Strategy is being delivered . The School of Concern process has been strengthened to include input from all agencies involved in a specific school or setting • Deliver aspects of the One Doncaster Education and Skills Commission report - including KS2 and KS4 initiatives and support the delivery plan of the Education and Skills programme. • Academy exploration and growth strategy for schools at risk of decline and those wishing to join Multi Academy Trusts Leadership succession and recruitment support initiatives in partnership with the Teaching School Alliance (Partners in Learning) . We have appointed a Lead Officer for Primary English to support identified schools to raise outcomes in reading in KS2 in 2018. . We have appointed a Lead Officer for Primary Maths to support identified schools to raise outcomes in maths in KS2 in 2018 . We are also running a series of training events for Headteachers and Yr6 Teachers to ensure that they maximise opportunities for success in 2018 KS2 assessments. 	<p>12</p>  <p>Likelihood</p> <p>Impact</p>

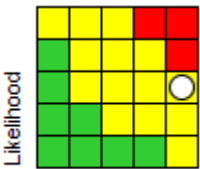
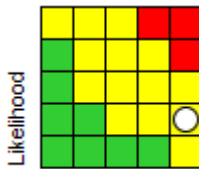
Workforce issues in AH&WB and support services, including vacancies, recruitment, staff development and sickness, reduce the ability to transform at the pace required in current plans

Damian Allen

Current Risk		Target Risk
<p>16</p>  <p>Likelihood</p> <p>Impact</p>	<p>Current Position: Significant recruitment campaign has meant that key posts have now been filled and some staff have already joined the teams</p> <p>Mitigating Actions:</p> <ul style="list-style-type: none"> . Most of key management posts have been recruited to and programme management office becoming established to support the transformation and improvement . Staff absence has improved with the Directorate position now at Amber for the first time (12.02 days per FTE against a corporate target of 10.50 days) . Continuing to focus on areas of high sickness within adult social care (currently 14.07 days) . Initially mapping of current workforce development activity is underway and an action plan will be put in place next quarter. . Early indications are that there have been many opportunities for career development and progression through the recent recruitment campaign with internal secondments, acting up arrangements and internal candidates successfully progressing into new roles 	<p>8</p>  <p>Likelihood</p> <p>Impact</p>

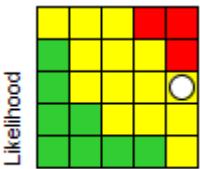
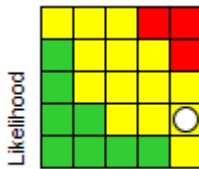
Failure by the Council and the Trust to agree and set a realistic annual budget target

Damian Allen

Current Risk		Target Risk
15 	<p>DCST have yet to provide their Q3 Finance report, the update below is based on Q2 at this stage:</p> <p>Current Position: At quarter 2 Doncaster Children's Services Trust (DCST) are projecting a year-end overspend of £1.63m; this is a reduction of £0.23m since quarter 1. This overspend takes into account the additional £1.1m provided at the beginning of the year to fund increased activity on the care ladder based on modelling submitted as part of the annual review. Detailed discussions are taking place at the Joint Finance & Performance meetings to understand these pressures and actions being taken to manage the expenditure. The main challenge is the high numbers of looked after children; at the end of August, 539 children were looked after (82.3 per 10,000 children); this is an increase from 512 (78.6 per 10,000 children) at 31 March 2017. The national rate is 60 per 10,000 and the average for statutory neighbours is 76 per 10,000 (although the variation in this cohort is marked, with some authorities having rates over 100 per 10,000). Although not all looked after children will require additional funded support, where the cost can vary significantly, it is a good indication of the overall volume increase and pressure in the system.</p> <p>The overspend is due to increased volume in the care ladder mainly on Out of Authority (OOA) placements, 18+ and Children in Care (CIC) transition accommodation. The OOA overspend is £1.5m, although the average cost is less than the unit contract value, the forecast average activity is 31 placements compared to 21 OOA placements in the contract (actual activity at Sept 17 is 31 placements). Actions being taken to reduce the pressures include joint work with St Leger and DMBC to identify/develop properties which can be utilised to provide supported accommodation for care leavers and setting up a satellite home which is less expensive than an out of authority placement. The Trust are also actively looking at ways to generate additional income to offset the pressures.</p> <p>The Council have agreed funding of £2.39m over the next three years to cover the Trust's supplementary resource requirements for "getting to good", continuation of the Growing Futures, Pause and Mockingbird approaches to work (Mockingbird has also successfully secured DfE funding). The Trust are due to provide a draft benefits realisation framework for the next Joint Finance and Performance, which will enable the group to monitor the impact of the additional funding on the outcomes.</p> <p>The Council overspend is £1.1m (70%/30% risk share); although the actual pressure is likely to be higher because the Trust do not have the reserves for the remaining 30%. The Council is currently agreeing additional one-off funding for the increased activity this financial year.</p> <p>The Trust have efficiency savings targets of £2m a year for 2018/19 and 2019/2020, and £0.5m in 2020/21. The Trust have shared with senior Council Officers their Medium Term Financial Strategy (MTFS) detailing cost pressures and efficiency proposals to achieve the £4.5m savings target over the next 3 years. This includes care ladder financial modelling for 2018/19 onwards which sets out when children will naturally transfer out of the system, forecast growth for future years and movement on the care ladder etc. The Trust and the Council are continuing to work together and discuss the MTFS and detailed care ladder model.</p> <p>Mitigating Actions: There are monthly finance meetings between the Council and DCST to keep the forecast under review and to challenge the assumptions in the care ladder, and there are regular meetings between Senior Management of both organisations.</p>	10 

Doncaster systems do not integrate effectively to enable the rapid discharge of hospital patients, resulting in increased delayed transfers of care and risks to better care funding.

Damian Allen

Current Risk	Current Position	Target Risk															
15 	<p>The latest official figures from NHS England confirm that Doncaster has achieved the BCF trajectory target for November month.</p> <p>This is a fantastic result, especially bearing in mind that figures had increased in quarter 2 to levels that prompted a ministerial letter and the creation of this strategic risk.</p> <p>Sustained and decisive actions to ensure that patients are discharged quickly and safely have been undertaken in close partnership with Health colleagues. Social care delays in particular have reduced significantly between August and November, improving from 7.2 days per day per 100k population in August to only 1.2 in November.</p> <p>November month DTOC</p> <table> <tr> <th></th><th>November Actual</th><th>BCF Trajectory Target</th></tr> <tr> <td>NHS</td><td>2.5</td><td>2.2</td></tr> <tr> <td>Adult Social Care</td><td>1.2</td><td>2.6</td></tr> <tr> <td>Both NHS & ASC</td><td>2.7</td><td>2.3</td></tr> <tr> <td>Total</td><td>6.4</td><td>7.1</td></tr> </table>		November Actual	BCF Trajectory Target	NHS	2.5	2.2	Adult Social Care	1.2	2.6	Both NHS & ASC	2.7	2.3	Total	6.4	7.1	10 
	November Actual	BCF Trajectory Target															
NHS	2.5	2.2															
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Total	6.4	7.1															

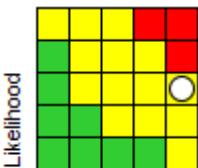
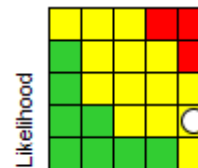
December figures will be available in mid-February and since December was a particularly challenging month they are expected to increase. However there is high confidence that DTOC is currently very well managed across the Doncaster Health and Care system.

Mitigating Actions

- **Daily management of individual hospital patients to make sure that they are discharged quickly and safely**
- **Flexible social care services to facilitate capacity in reablement/intermediate care facilities**
- **Close monitoring of DTOC figures for early warning of performance issues**
- **Effective challenge of delays raised by local Health Trusts**
- **Close working with the Doncaster CCG and local Health Trusts on discharges**
- **Implementation of the LGS High Impact Change model**


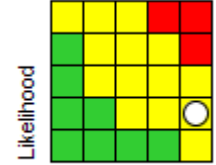
Savings from the Adults Health and Wellbeing Transformation Programme are not delivered as quickly as anticipated or are not achievable. Therefore alternative savings plans will be required in order to achieve the Medium Term Financial forecast.

Damian Allen

Current Risk	Current Position	Target Risk
<p>15</p> 	<p>The Adults Health and Wellbeing Transformation Programme has been running for approximately 1 year and will be refreshed for the start of 2018/19.</p> <p>There have been some notable successes during the past year, including; reductions in residential care placements, increases in direct payments, reduced delayed transfers of care and improvements to day opportunities.</p> <p>The programme was given renewed focus in September 2017 with the consolidation of projects down to a more manageable number of 12 priority improvement projects. They are:</p> <p>Residential Care Beds, Day Services, Working Age Residential Care Placements. Supported Living, Housing Related Support, Home Care. Intermediate Care, Delayed Transfers of Care, Continuing Healthcare, Equipment, Short Stay/Respite Care, Assistive Technology.</p> <p>Improvements have been allocated to each of the 12 projects and savings have been included in the Medium Term Financial Forecast and the Mayor's budget proposals.</p> <p>Services have experienced significant pressures during the year due to increasing demand and reduced resources. This has been partially mitigated through use of the Better Care Fund and Improved Better Care Fund, together with savings released through transformation.</p> <p>Resources remain a key issue, particularly staffing and planned savings have been more difficult to achieve than initially anticipated.</p> <p>Despite these challenges good progress is being made.</p> <p>Mitigating Actions</p> <ul style="list-style-type: none"> • Refresh of the Transformation Programme • Continued focus on recruitment to vacant posts • Health and Social Care integration, including joint commissioning • Assurance via the AHWb Improvement Board • Improved programme management • Focus on the AHWb directorate priorities; Place Plan; Your Life Doncaster; Improvement and Resources; Effective Performance Management; Commissioning, Contracting and Compliance; Workforce Planning, Development and Recruitment and; Communication, Engagement and Participation. 	<p>10</p> 

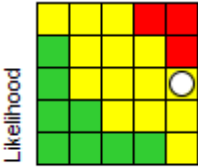
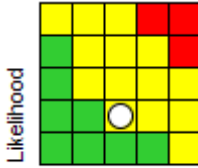
Failure to obtain assurance as to the safeguarding of children in the borough Failure to meet children's safeguarding performance requirements which could lead to an 'inadequate' inspection judgement by Ofsted

Damian Allen

Current Risk		Target Risk
<p>15</p>  <p>Likelihood</p> <p>Impact</p>	<p>Current Position: The formal arrangements to monitor and review the effectiveness and input of services to children provided by the Trust are believed to provide assurance to this risk and go beyond contractual requirements. Overall the safeguarding indicators specific to children are now performing better than last year. Ofsted in its 2015 report and 4 subsequent Monitoring visits did not -raise any concerns as to the safety of children in the borough, but did recommend improvements to social work practice which have been addressed through the Ofsted Improvement Plan and the Ofsted monitoring visits. This is regularly challenged with the Trust at the high level QPM and at individual Head of Service level.</p> <p>The first Ofsted Monitoring visit took place in August 2016 and concentrated on management of demand at the front door and quality of practice and found that significant progress is being made to improved services for children and that no children were deemed to be at risk of significant harm. The quality of provision was found to be better and that prompt and appropriate action is taken to address safeguarding concerns this is evident in the quality of assessments and ensuring children are seen alone and their views heard. However, there remain inconsistent quality of assessments and timeliness is deemed variable. In addition, more work is needed to ensure that thresholds for social care intervention are understood across the partnership. The second monitoring visit took place in October 2016 with a focus on quality of practice in particular the quality and effectiveness of plans for CIN of help and protection reviews and work to reduce risk to this cohort; the quality of pre – proceedings work. The conclusion of the visit was that the Trust had made 'significant progress' in improving the quality of work since the inspection in November 2015. Inspectors highlighted the continued pace of improvement and reaffirmed the conclusion of the previous visit that no children were found to be in situations of assessed, unmanaged or unacceptable risk. The third monitoring visit took place in March 2017 and identified significant progress in the quality of services provided for look after children since the full 2015 inspection.; that both the Council and the Trust have responded thoroughly to the actions required and that children and young people are placed at the heart of strategic planning and operational work, with welcome recognition of the ambition of both parties for this vulnerable cohort.</p> <p>Ofsted provided a 4th and final Ofsted visit in August 2017 which was not thematic but had a focus upon and visited the 'Front Door' including case sampling, as well as sampling a number of assessments and CIN plans. Feedback was essentially positive overall, with more consistent quality of practice evident – in particular cases at the front door, assessment, care planning and review with again praise for management oversight, performance management and QA.</p> <p>Pending the formal outcome of the re-inspection of social care and safe-guarding which took place in November 2017 and the indications based on Ofsted's reception to the Monitoring plan and the 4 monitoring visits promotes cause for optimism.</p> <p>Mitigating actions: Social work practice is challenged with the Trust at each meeting and at individual HoS level. The Joint strategic Inspection Group regularly reviews the Ofsted Improvement Plan as to actions required to improve quality of practice and attendant progress. The High level challenge meetings review specific audits and all challenge meetings review the basket of contractual PIs, which include bellwether PIs in respect of CIN plans; the care pathway – especially front door management; assessment completion and quality of audits. In addition, reference is made to volumetric measures and the wider context in order to provide reassurance as to caseload management; geographical / team pressures; deployment of staffing resources etc.</p> <p>The DSCB receives a regular report of the audited cases from the DCST and regularly reviews the quality of Multi-Agency thematic audits at its Quality and Performance Sub Group. DMBC is clear that the three most pressing impediments to this risk remain demand management, placement policy and quality of practice and is pleased that Ofsted in its second monitoring visit found that 'significant progress had been made in the quality of work since the 2015 inspection and that , overall the quality of provision was better and prompt and that appropriate actions was .taken to address safeguarding concerns with improvements evident in the quality of assessments and enquiry; that children are seen alone and their views are heard and Ofsted noted the pace of improvement.</p> <p>DMBC focus continues to be to ensure that quality of practice and assessment completion is more consistent and embedded and that a sustainable financial and operating model is in place.</p> <p>Regular Ofsted monitoring and peer challenge is considerably mitigating against this risk</p>	<p>10</p>  <p>Likelihood</p> <p>Impact</p>

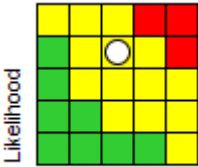
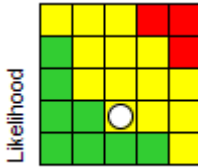
Failure to successfully prevent a major cyber attack

Simon Wiles

Current Risk	Current Situation	Target Risk
15  Likelihood Impact	<p>Current Situation - There has been no significant cyber events in quarter 3, however this does not reduce the risk rating. Spam and phishing emails continuously bombard the Council's network. The Council's annual independent ICT security health check has just been completed and there are a number of actions to even further improve security which we are choosing to complete before we go through the government PSN accreditation process in February. An action plan has been developed with owners and timescales which will be monitored by the ICT Management Team and the Council's SIRO (Senior Information Risk Owner) and CIO (Chief Information Officer) - Assistant Director of Customers, Digital & ICT.</p> <p>Mitigating Actions - All staff sign up to the Acceptable Use Policy. Spam and phishing e-learning continues to be encouraged and monitored. Security hardware and software and updates continue to be implemented and maintained in the required manner. Attendance at regional meetings with security counterparts and constantly reviewing our position including an independent annual assessment</p>	6  Likelihood Impact

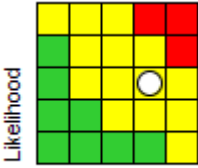
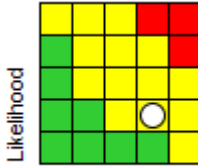
Failure to implement the Partnership priorities within the Doncaster Growing Together Portfolio

Simon Wiles

Current Risk	Current Position	Target Risk
12  Likelihood Impact	<p>Current Position: Over 100 representatives of the public, private & third sector attended the Team Doncaster Summit, to further understand, interact with and further take ownership of Doncaster Growing Together (DGT). However, DGT is still in its early stages, with the responses to complex public service transformation & integration still being shaped.</p> <p>Mitigating Action: The Team Doncaster Performance Management Framework & governance structures have been restructured around DGT. This includes the establishment of a DGT Portfolio Group which will ensure & drive delivery of the programmes, lead & encourage our organisations to work in different ways. The Portfolio Group reports to the Team Doncaster Executive. Team Doncaster communications & organisational development groups, with representatives from partner organisations have been established to support the delivery of DGT.</p>	6  Likelihood Impact

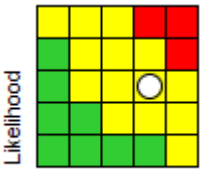
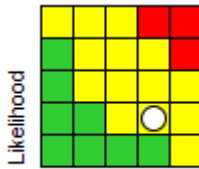
Failure to adequately implement effective joint working arrangements which could lead to ineffective delivery of children's services across the wider partnership system

Damian Allan

Current Risk	Current Position	Target Risk
12  Likelihood Impact	<p>Current Position: The Children and Families Partnership Executive Group is the forum for the arrangements to discharge the S10 statutory responsibility which is the core group of leading partner members.</p> <p>Mitigating actions: The new governance arrangements are have become established and comprise the Executive Board which meets monthly and which provides overarching governance and delivery oversight across the partnership of the CYPP along with a new fit for purpose sub structure and a new strategic forum which meets quarterly to comment plan and shape the CYPP championing the voice of CYP.</p> <p>The new JSNA is a more dynamic document as is the consequential and substantial Children's plan for 2017-2020. The Participation and Engagement strategy professional version has been published and child friendly versions for both this and the CYPP have been launched.</p> <p>The publication and application of the three key documents JSNA; CYPP and P&E strategy will considerably mitigate this risk as well as the establishment and implementation of what is now a fit for purpose governance structure both underpinning the board and laterally in relationship to other strategic boards ,which will enhance the functionality of the Children and Families Partnership Strategic Forum as the keystone in the oversight and management of the children's strategic partnership across the entire 'estate'</p> <p>The Governance sub structure is aligned with and reflects the CYPP. A new Participation & engagement sub group has been in place since Dec 2016 and has been active developing the Participation & Engagement strategy and the co-production of the CYPP and the PES with children and young people and a child-friendly version of the PES was launched in October 2017 to mirror the child-friendly version of the CYPP. The P & E sub group has a priority to produce the action plan which supports and implements the actions proposed within the PES and this is expected to be finalised in February 2018.</p>	8  Likelihood Impact

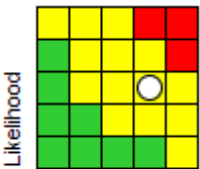
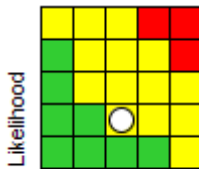
Failure to respond adequately to borough emergencies or mitigate effectively against the effects of extreme weather conditions e.g. flooding

Peter Dale

Current Risk		Target Risk
12  Likelihood Impact	<p>Current Position: During 2017 we have focused on our preparedness arrangements to respond to a threat based incident.</p> <p>12 Exercises and 16 training events have been delivered for over 500 staff and partners. The exercises have provided us with the opportunity to rehearse and enhance our preparedness arrangements and have included live play exercises, live evacuation and shelter exercises, corporate exercises and strategic response exercises. Multi-agency partners have supported and attended our training and exercise events.</p> <p>This approach has enabled us to twice smoothly support the response to the increase in UK threat levels.</p> <p>Mitigating Actions: We have provided support to a wide range of events and key venues in Doncaster to ensure that planned events continue despite the challenges of increased threat levels.</p> <p>We have worked with the Airport to support their Civil Aviation Authority inspection thorough assisting with the delivery of a live exercise held overnight at Doncaster Airport in Sept and Oct 2017.</p> <p>We aim to finish the year with an "Amber Alert" exercise to assess our resilience arrangements to respond to an impactful emergency.</p>	8  Likelihood Impact

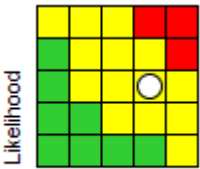
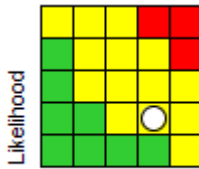
As a result of insufficient capacity and skills in AH&WB commissioning, contract management and monitoring is not effective, leading to non-compliance with legislation

Damian Allen

Current Risk		Target Risk
12  Likelihood Impact	<p>Current position: The adult social care commissioning and procurement plan was presented by Ernst Young to the Adult Directorate Leadership team on the 20th December 2017. The plan sets out the individual activities required to deliver commissioning and transformational priorities and the anticipated resources necessary to deliver those priorities. There is currently a lack capacity in the commissioning team to deliver commissioning priorities. However, in terms of contract monitoring, the Council has been able to successfully recruit to vacancies in contract monitoring staff who monitor regulated services. The Care Quality Commission ratings for regulated services in the Borough continue to be above benchmarked comparators.</p> <p>Mitigating Actions: A temporary Head of Service has been appointed and is due to commence with the Council on 29th January. Interviews for the permanent Head of Service are scheduled early February. The recruitment to the post of Commissioning Manager has so far been unsuccessful. A further round of interviews are due to be concluded by the end of this month.</p>	6  Likelihood Impact

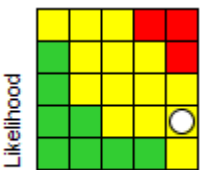
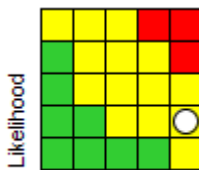
An underdeveloped local market and ineffective market management affects the ability to change services, leading to market instability and difficulty in meeting the needs of vulnerable people.

Damian Allen

Current Risk		Target Risk
12  Likelihood Impact	<p>Current position: Provider forums and market engagement events are being undertaken for key commissioning and procurement activity to ensure that effective and efficient services are commissioned which meet required outcomes. Commissioning staff have established positive relationships with providers. However, there remains insufficient capacity within the team to fully support market engagement activity</p> <p>Mitigating Actions: Provider forums and market engagement events are being undertaken for key commissioning and procurement activity. Recruitment to key posts within the commissioning team is underway.</p>	8  Likelihood Impact

The agreed standards and policies are not adequately understood and implemented by practitioners who work with vulnerable adults increasing the risk of vulnerable people experiencing harm or abuse

Damian Allen

Current Risk		Target Risk
10  Likelihood Impact	<p>Current Position: Following on from a Peer review (November 2015) the Safeguarding Adults Hub was formed to manage all Adult Safeguarding and MCA DoLS for Doncaster. This brought together what were previously separate teams, workers from Area Teams and also a Health Worker. All based within the same building as the District Nurses Single point of Contact for Health, the Police Public Protection Unit, Child Sexual Exploitation Service and the Domestic Violence Team, facilitating easy access to a variety of key teams and personnel to facilitate information sharing to inform robust decision making.</p> <p>The Safeguarding Adults Hub was formed in April 2016 and has been in operation for 21 months. During this time the system and process has changed to ensure that we are Care Act compliant and applying the principles of Making Safeguarding Personal. All Safeguarding is now Managed within the Team enabling better management and monitoring of cases and ensuring a greater level of consistency. The Teams staffing resource has increased in order to facilitate these changes and has resulted in cases being responded to in a more timely manner at the front door.</p> <p>Since this time a further two stocktake reviews have taken place providing positive feedback to DMBC and the Safeguarding Adults Board and highlighting areas for development. To date 69</p>	10  Likelihood Impact

out of 75 actions were complete with 6 actions still in progress, these are discussed and reviewed at the Performance and Quality sub group of the Safeguarding Adults Board (DSAB). Regular performance reports are completed and reported on to the DSAB for governance purposes.

Mitigating Actions: The Board continues to provide a multi-agency training programme to support staff across the multi-agency partnership to deliver safeguarding in line with South Yorkshire Procedures and the Care Act 2014.

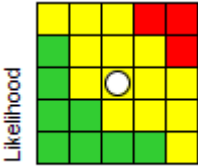
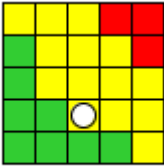
Mitigating Actions

The Board has revised its Performance and Assurance framework which is providing assurance to the Board that safeguarding practice is now outcome focused and in line with the 6 principles of safeguarding adults.

The Council has developed a draft Safeguarding Adults Policy and is currently working to develop internal safeguarding procedures all of which are aligned to South Yorkshire procedures and will be accompanied by mandatory training for key staff. The latest peer review took place 20th October 2017 by Dr Adi Cooper which was positively received by the DMBC and the Safeguarding Adults Board. An action plan is currently in development to respond to the recommendations identified and incorporate outstanding actions from previous reviews.

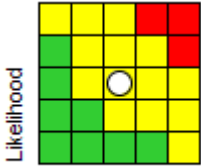
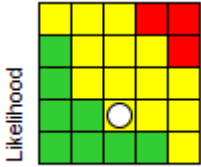
Failure of partnership to engage in effective early intervention leading to inappropriate referrals to statutory services and unnecessary escalation of need and risk

Damian Allen

Current Risk		Target Risk
<p>9</p>  <p>Likelihood</p> <p>Impact</p>	<p>Current Position: Contacts have increased from the summer seasonal reduction and remain high due to high demand in the community. Very few contacts are inappropriate and require Early Help services. The vast majority are for Information, Advice and Guidance. The risk is that high demand pressures clog up the machinery and professional officer resource. The LGA peer review recognised that this was a 'whole system' issue which extends across the partnership and is not wholly within the gift of the Trust. The Conversion rate of contact to referral remains low which indicates inappropriateness of referral, particularly from one agency. There is an issue of incorrect threshold application by partners and the interface with early help remains a wicked issue.</p> <p>Of relevance is the need to improve engagement across the EH partnership including engagement by identified LPs. Engagement in this cohort is highest in schools and PAFFSS but is poor among health visitors; school nursing and maternity services. School LPs exhibit high caseloads which also compromise the effectiveness of the EH offer. There is also evidence of a fundamental misunderstanding of the LP role amongst some partners and concerns as to the capacity to undertake what is perceived to be an 'add on' to the 'day job'. There is an identified problem of EH cases not being picked up by PLs which are then becoming additions to the waiting list.</p> <p>A high figure is not necessarily indicative of poor performance and if children need to be referred to social care then that is 'good' performance – 'appropriateness' is the key, high numbers of children on a CP plan in Doncaster, would tend to support this hypothesis, but the conversion rate to referral remains low at 21% in May 2017. The problem here is that there are a number of the referrals which are known to be 'inappropriate' and this refers in large part to the continued and thorny issue of referrals from one of the partners which continues to apply its protocol, this means that less than 10% of contacts are genuine cases for attention by social care.</p> <p>High demand pressures are unhealthy for the work of social work teams in 'clogging up' the machinery. Contacts below threshold which could have gone to the Early Help Hub are deemed 'inappropriate'. Inappropriate referrals which should have gone to Early help are subject to clarification.</p> <p>Mitigating Actions: Cross reference to the volume of early help contacts shows a welcome improvement in contacts to the Hub which supports the impact of improved awareness and application of thresholds among Agency partners. Early help volumes are increasing but this is not having an obvious, corresponding impact, however, despite this pattern overall contacts may not necessarily reduce, because causal links are more complex than a straightforward binary effect and the hypothesis is that increased use of the Early Help Hub is capturing a significant number of cases which may have gone nowhere, or which were not being reported within any one single system.</p> <p>The EH strategy group has commenced work to investigate and seek solutions to the EH threshold and LP engagement issues identified above and has enhanced it's monitoring via a new performance scorecard and peer challenge at the Early help performance and practice group.</p> <p>More fundamentally, the Children's strategic partnership will continue to work to achieve a better understanding of the tracking and progress mapping of young people within the system and embed a consistent and coherent shared understanding of the early help offer and more generally the children's offer across the whole spectrum of the children's system from 'universal to acute.'</p> <p>In addition, the deployment of the SYP front door Police resource at the Front Door to concentrate on Police referrals should improve understanding and address inherited backlogs.</p>	<p>6</p>  <p>Likelihood</p> <p>Impact</p>

**Failure to adequately address a sufficient number of Children's Trust
PIs (as defined in the service delivery contract)**

Damian Allen

Current Risk		Target Risk
<p>9</p>  <p>Likelihood</p> <p>Impact</p>	<p>Current Position: The DCST is challenged by a series of regular performance monitoring fora, on a monthly and quarterly basis at all levels of senior management across both organisations and at public facing meetings with elected members in the scrutiny fora and at Corporate Parenting Board and have been further emboldened by the split screen accountability which the Children's scrutiny panel now provides and which challenges both the Council in its holding to account of the Trust and the Trust itself. A commentary provided by the DCST and PIs and quality assurance is challenged and provides full public transparency. Areas of concern are escalated or reported on an exception basis to higher level Boards. Current areas of risk are:-</p> <ul style="list-style-type: none"> • Social Care demand management • Placement policy – care management and costs, in particular increased levels of SGO's, there is a need to review the SGO process. • Re – referrals (new and emerging) • High numbers of CIN & CPP & LAC – in themselves may not be a risk and may mitigate / address risk, but could burden the system and capacity, with consequential risks arising; <p>Mitigating Actions: The current arrangements and the number and scope of performance indicators are reviewed during each Annual Review process and in 2017 a new basket of PIs was completed and submitted on time to the Secretary of State which is more reflective of the child's journey and the development stage in the maturity of the Trust and was implemented from Q1 2017/2018. The Trust is challenged against each PI of concern at every meeting as to progress and actions planned or taken and the effectiveness thereof. A more rationalised challenge process is now in place with more emphasis on exception reporting. The split screen report to the Children's scrutiny panel provides robust and forensic analysis of performance against exception and good performing PIs and challenges the Director of People as to his oversight and accountability of the Trust performance as well as the specific performance behind the PI themselves.</p>	<p>6</p>  <p>Likelihood</p> <p>Impact</p>

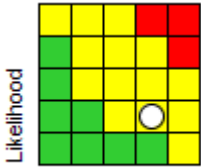
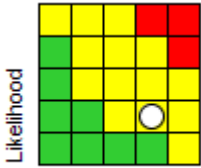
Failure to identify and manage Health and Safety risks

Peter Dale

Current Risk		Target Risk
<p>8</p>  <p>Likelihood</p> <p>Impact</p>	<p>Current Position: Corporate Health and Safety continue to monitor the effectiveness of all council health and safety arrangements through both active and reactive monitoring. In light of the Grenfell Disaster, Doncaster Council's Fire Safety Advisor continues to work closely with St Leger Homes (SLH), and will be assisting with the results of the Type 4 archetypal Fire Risk Assessments that are being undertaken in a number of flats by Savills, a Specialist Contractor. Corporate Health and Safety will continue to work closely with SLH & SYF to assist and advise throughout this process and to ensure the Council's interests are met. There have been two recent incidents with Scaffolding Contractors where Doncaster Council is the project Client. At the Corn Exchange there have been issues regarding the adequacy of hoarding around the scaffold, and concerns about 3 cantilever fixings failing in a 6 month period. The Councils Project Manager is working closely with the Corporate Health and Safety Team to address these issues with the scaffold company's (Interserve) Senior Management Team, and their own Health and Safety Professionals. At Colonnades there have been issues with the lower levels of the scaffold being readily accessible to members of the public. There have also been reports from occupiers of the building that children have been playing on the scaffold. The Councils Project Manager for this job has been working closely with the Corporate Health & Safety Team, and has immediately addressed these issues with the Principal Contractor (Kier), who have implemented a number of controls. Both shafts at the Hatfield Colliery site have now been topped up with spoil by the Coal Authority; removing the previous 17 to 19 metre drop in the shafts. This also prevents the possibility of any unauthorised access to a previously high risk area at the Colliery. A meeting took place on the 28th September 2017 between the Council and the agent (Hargreaves) acting on behalf of the bank (ING) that holds the debt on the Colliery land. The discussions that took place were very positive with a shift towards working together, looking at future development of the area and a potential review of site and risk management. Further meetings have been planned on a bi-monthly basis to ensure progress is taken at all opportunities. In the meantime, Doncaster Council continues to have plans in place to prevent unauthorised access and to manage the on-site hazards. This will reduce the risks to as low as reasonably practicable. Further site visits continue to be undertaken.</p>	<p>8</p>  <p>Likelihood</p> <p>Impact</p>

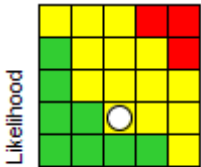
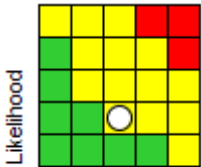
Failure to deliver the EDI Objectives within the Framework could result in the council being exposed to public 'due regard' challenge

Simon Wiles

Current Risk		Target Risk
<p>8</p>  <p>Likelihood</p> <p>Impact</p>	<p>Current Position: The EDI Framework is currently under review, this includes the development of EDI Objectives. It is anticipated that the revised Framework will be presented to Cabinet for approval in February.</p> <p>Mitigating Actions:</p> <ul style="list-style-type: none"> - An EDI Board has been developed, chaired by the Portfolio Holder for EDI and having an EDI member and senior officer Champion for each of the Doncaster Growing Together Themes; - Significant research has been done to inform the development of the revised objectives; - Ongoing review and consultation will ensure the focus is on the delivery of the objectives; 	<p>8</p>  <p>Likelihood</p> <p>Impact</p>

The potential personal financial position facing individual citizens across Doncaster Borough may result in an increase of poverty and deprivation

Damian Allen

Current Risk		Target Risk
<p>6</p>  <p>Likelihood</p> <p>Impact</p>	<p>Current Position: is that we lack an up to date assessment of child poverty, or a co-ordinated local response, underpinned by any strategy / plan. As a result, we are failing to reduce levels of child poverty in the borough, or mitigate its impact.</p> <p>Mitigating Action: The young commissioners have now identified their three areas to prioritise, based on the initial data provided: health, benefits and debt. These will form the basis of the evidence sessions that are hosted over the next few months to interrogate decision makers. Welfare Reform remains, and is likely to remain, the biggest issue in relation to poverty for the next 12 month period and it is proposed that the primary work of the Anti Poverty Steering Group (APSG) should focus on this area in 2018-19. this approach has been endorsed by Team Doncaster.</p> <p>It is intended that the APSG review the focus of its work every 12 months based on emerging priority issues, performance and anti-poverty indicators and Team Doncaster priorities.</p>	<p>6</p>  <p>Likelihood</p> <p>Impact</p>