

Wolverhampton City Council

OPEN INFORMATION ITEM

Audit Committee

Date: **16 APRIL 2012**

Originating Service Group(s)	COMMUNITY
Contact Officer(s)/	SARAH NORMAN
Telephone Number(s)	5300
Title/Subject Matter	<u>COMMUNITY DIRECTORATE – RISK MANAGEMENT AND GOVERNANCE</u>

Summary

Members are asked to note the content of the report which sets out the key high level risks for the Community Directorate.

1. **PURPOSE**

- 1.1 To set out for members the key high level risks facing the Community Directorate and how they are being addressed

2. **DETAILS**

- 2.1 The Assurance Framework is a key element in the Council's system of internal control and is designed to identify, evaluate the impact of and manage the high-level risks to the delivery of the Corporate Objectives
- 2.2 The high-level risks outlined in the Framework have been identified by the Strategic Director and lead Officers for each of the principal priorities/objectives.
- 2.3 It should be noted, in line with best practice guidance, that:
- high-level risks should cover the full range of principal objectives
 - these are risks that are likely to require ongoing control and are unlikely to be fully resolved
 - the Assurance Framework is not a detailed risk register – it is intended to reflect the most significant risks facing the organisation – the details of all risks identified are reported in Service Group and other operational risk registers.
- 2.4 All Directorates maintain operational risk registers that summarise the risks to the achievement of directorate objectives. This process ensures that risks are captured and monitored and that appropriate actions are taken to manage them within individual service areas.
- 2.5 Where operational risks become so entrenched or so severe as to pose a threat to the achievement of the Corporate Objectives there is a process by which they can be escalated for inclusion on the Assurance Framework.

3. **FINANCIAL IMPLICATIONS**

- 3.1 The financial implications in the management of the Corporate Risks are individually identified in the Risk Control plans.

[CS/03042012/Q]

4. **LEGAL IMPLICATIONS**

- 4.1 The legal implications in the management of the Corporate Risks are individually identified in the Risk Control plans.

(MW/03042012/P)

5. **EQUAL OPPORTUNITIES IMPLICATIONS**

- 5.1 The equal opportunity implications in the management of the Corporate Risks are individually identified in the Risk Control plans

6. **ENVIRONMENTAL IMPLICATIONS**

6.1 The environmental implications in the management of the Corporate Risks are individually identified in the Risk Control plans

Community Directorate - Review of Risk Management & Governance Arrangements

Key Issues	Summary of Responses
<p>What are the key functions that the service is required to deliver?</p>	<p>Our Mission is:</p> <p>“Enabling all communities, families and individuals to thrive”</p> <p>Our 5 goals are:</p> <ol style="list-style-type: none"> 1. Communities and individuals design and contribute to the services they use. 2. Our work significantly improves the quality of life for all 3. Our work helps to reduce the gap in outcomes for both children and adults 4. Investment in early intervention, reablement and prevention reduces the need for intensive support 5. Timely and effective action increases the safety of vulnerable adults and children and they get the support they need. <p><u>Our key functions are:</u></p> <p><u>Children and Family Support</u></p> <ul style="list-style-type: none"> • Looked After Children • Children in Need and Child Protection • SEN and Disabilities • Social Inclusion • Children’s Centres • Youth Offending Service <p><u>Adult Social Care and Housing Support</u></p> <ul style="list-style-type: none"> • Community Mental Health Services • Physical and Sensory Disability • Housing Support • Learning Disabilities • Welfare Rights and Financial Assessments • Older People Provision • Information Management

Key Issues	Summary of Responses
	<ul style="list-style-type: none"> • Older People Assessment and Care Management • Business Support • Performance and Communication <p><u>Health and Well Being</u></p> <ul style="list-style-type: none"> • Commissioning Disabilities • Commissioning Mental Health • Commissioning Older People • Commissioning Housing Support and Social Inclusion • Commissioning Children • Safeguarding - Adults • Safeguarding - Children and Young People • Children's Partnership Development • Quality Assurance and Compliance (contract monitoring) • Court of Protection, Protection of Property and Funerals • Regulation and Business Support <p><u>Leisure and Communities</u></p> <ul style="list-style-type: none"> • Youth Services • Sport and Recreation • Community Recreation • Libraries • Community Initiatives • Play • Parks and Open Spaces <p><u>Projects</u></p> <ul style="list-style-type: none"> • Savings programme • Leisure Trust • Community Hubs • Adult Social Care Systems Thinking • Children's Centre Review • Public Health Transition

Key Issues	Summary of Responses
	<ul style="list-style-type: none"> • Think Local Act Personal
<p>What arrangements are in place to ensure that key functions are properly delivered?</p>	<p>Key programmes, projects and initiatives are subject to detailed delivery plans which are regularly reviewed. The progress of Corporate Projects is reported to the Corporate Programme Office and highlight reports are reviewed regularly by the Strategic Executive Board to ensure projects are on track and risks are identified and are being managed. The Savings Programme reports regularly to a Director Savings Programme Board and other projects report regularly on progress to the Community Directorate Management Team. Risk Workshops are delivered at appropriate points through the life of the projects.</p> <p>The Community Directorate Service plan and individual Service Plans for core functions are used to plan the delivery of key services and ensure that there are links to key corporate priorities where applicable. Service Plans are monitored on a quarterly basis through divisional management team arrangements, and more frequently by Service Managers/Assistant Directors as appropriate. Service Plans drive the production of the Directorate risk analysis</p>
<p>What are the main risks that the service group has to manage and how are these risks being managed?</p>	<p>For an overview of the main risks affecting the Community Directorate this year please see below.</p> <p>Each service area completes, within their Service Plans, a more detailed register of all key risks affecting their service area and the mitigating actions to be taken. In addition to this, as part of the service plan monitoring process service managers identify specific risks to achieving targets on an on-going basis and report these and identify mitigating actions.</p>
<p>What external assurance is available e.g. external inspection reports?</p>	<p>An annual audit programme is agreed with Audit Services and a programme of Risk Workshops is agreed with the Head of Risk Management and Insurance.</p> <p>External inspection by Ofsted provides added assurance on a wide range of children's settings including children's homes and Children's Centres. In addition Ofsted inspect LA Social Care Services including safeguarding, looked after children and fostering and adoption services. External inspection by CQC provides assurance on residential care, nursing care and domiciliary care services.</p> <p>Wolverhampton City Council has adopted QUEST as its quality standard for the operation of its leisure facilities. QUEST is a tool for continuous improvement, designed primarily for the management of leisure facilities and sports development. It is endorsed by Sport England and is managed by Right Directions in partnership with Leisure-net Solutions.</p> <p>Regular review of performance indicators help the Directorate to benchmark itself against other</p>

Key Issues	Summary of Responses
	<p>local authority's services and provide valuable external assurance. The Directorate is also participating in new sector led improvement initiatives including peer challenges and peer reviews.</p> <p>Assistant Directors and their Divisional Management teams are responsible for developing actions plans to progress any recommendations or actions arising from the external assurance.</p>
<p>What significant problems have occurred in the past year and what arrangements have been made to avoid such problems reoccurring?</p>	<p>Demographic pressures and pressures caused by rising numbers of looked after children have been significant over the past year. These pressures will continue but are being addressed through a greater focus on delivering prevention, early intervention and reablement services.</p>

ASSURANCE FRAMEWORK REPORT COMMUNITY DIRECTORATE

Our Mission is enable all communities, families and individuals to thrive

Principal Objectives	Principal Risks	Key Controls	Assurances on Controls	Positive Assurances	Gaps in Control	Gaps in Assurance
<i>What the organisation aims to deliver</i>	<i>What could prevent this objective being achieved</i>	<i>What controls/systems do we have in place to minimise the risk</i>	<i>Where can we gain evidence that tells us whether the controls exist and are working</i>	<i>Where is the evidence that shows we are reasonably managing our risks and objectives are being met</i>	<i>Where are we failing to put controls in place and/or they are not effective</i>	<i>Where are there gaps in the evidence that control mechanisms are working</i>
Services that have been designed by communities and individuals and to which they contribute	That the attachment to current service arrangements prevents the service transformation promoted by community hubs vision	Detailed stakeholder and engagement plans linked to consultation plans to ensure wide engagement and feedback on the vision for community hubs and incrementally on the proposals as they develop. Community hub pilots, trialling new ways of working out in the community.	<ul style="list-style-type: none"> • Community Hubs project group • Highlight report to SEB • CDMT updates 	<ul style="list-style-type: none"> • Minutes of meeting with local community groups including LNP's • LSP meetings • Surveys of users of pilot community hubs • Consultation feedback 		

Principal Objectives	Principal Risks	Key Controls	Assurances on Controls	Positive Assurances	Gaps in Control	Gaps in Assurance
<i>What the organisation aims to deliver</i>	<i>What could prevent this objective being achieved</i>	<i>What controls/systems do we have in place to minimise the risk</i>	<i>Where can we gain evidence that tells us whether the controls exist and are working</i>	<i>Where is the evidence that shows we are reasonably managing our risks and objectives are being met</i>	<i>Where are we failing to put controls in place and/or they are not effective</i>	<i>Where are there gaps in the evidence that control mechanisms are working</i>
Significant improvement to the quality of life for all	Benefit changes result in increased homelessness and family pressures resulting in more demand on the Directorate. Demographic pressures- for example; increasing numbers of elderly service users with dementia, increasing numbers of service users with learning disabilities living longer, an increasing number of looked after children	The Welfare Rights team are analysing the likely impact of the change and will monitor the impact once introduced. Homeless Services has already responded proactively to increases in homelessness by a wider range of responses Strategies to implement new models of care to include prevention, early intervention and reablement where appropriate	<ul style="list-style-type: none"> • Reports to CDMT • Annual report • Surveys of service users • Strategy Action Plans monitored at CDMT • Action monitored by Early Intervention Board and Reablement Steering Group 	Performance indicators show the use of 'Bed and Breakfast' remains low <ul style="list-style-type: none"> • Increased levels of CAF • Development of the Troubled Families Programme • Dementia Peer Review • Increasing no. of adults reenabled • Reduced use of residential care 	Until the details of the benefit changes are known it is not possible to put all the necessary controls in place.	

Principal Objectives	Principal Risks	Key Controls	Assurances on Controls	Positive Assurances	Gaps in Control	Gaps in Assurance
<i>What the organisation aims to deliver</i>	<i>What could prevent this objective being achieved</i>	<i>What controls/systems do we have in place to minimise the risk</i>	<i>Where can we gain evidence that tells us whether the controls exist and are working</i>	<i>Where is the evidence that shows we are reasonably managing our risks and objectives are being met</i>	<i>Where are we failing to put controls in place and/or they are not effective</i>	<i>Where are there gaps in the evidence that control mechanisms are working</i>
A reduction in the gap in outcomes for both children and adults	<p>Health reforms disrupt joint working</p> <p>National safeguarding crisis or change in policy results in a significant increase in referrals for WCC services. Insufficient budget to supply services to meet demand. Increased pressure on staff impacting on morale.</p> <p>Poor outcomes for young people particularly in key areas of the city contribute to low levels of citizen satisfaction</p>	<p>Regular meetings with partners. Attendance at meetings with GPs consortia Early transfer of public health services</p> <p>Fully staffed service is in place with good management of key services</p> <p>Youth services and the wider inter-agency partnership for young people increase the co-ordination and targeting of resources</p>	<p>• Reports to CDMT</p> <p>• Minutes of meetings</p> <p>• Public Health Transition Group</p> <p>• CCG Board Minutes</p> <p>• Staffing levels monitored at CDMT and in line with service plans</p> <p>• Budget monitoring reports</p> <p>• Regular community consultation and LNP meetings</p>	<p>• Performance indicators</p> <p>• TEN management system</p> <p>• Workload management systems</p> <p>• Significant progress in the targeted youth support programme</p>		

Principal Objectives	Principal Risks	Key Controls	Assurances on Controls	Positive Assurances	Gaps in Control	Gaps in Assurance
<i>What the organisation aims to deliver</i>	<i>What could prevent this objective being achieved</i>	<i>What controls/systems do we have in place to minimise the risk</i>	<i>Where can we gain evidence that tells us whether the controls exist and are working</i>	<i>Where is the evidence that shows we are reasonably managing our risks and objectives are being met</i>	<i>Where are we failing to put controls in place and/or they are not effective</i>	<i>Where are there gaps in the evidence that control mechanisms are working</i>
A reduction in the need for intensive support through investment in prevention, early intervention and reablement	<p>Early intervention, prevention and reablement activities fail to reduce demand significantly to meet savings targets</p> <p>Early intervention, prevention and reablement activities are not supported by a growing market of providers or transformed in-house services are not able to meet demand.</p>	<p>Robust project plans to ensure delivery of these new models of care to agreed business case proposals.</p> <p>Resources are identified to support the transformation of in-house services and market development</p>	<ul style="list-style-type: none"> • Reports to CDMT • Reports to project steering groups • Service Planning • Budget monitoring 	<ul style="list-style-type: none"> • Performance indicators • TEN management system 		
An increase in the safety of vulnerable adults and children and the level of support they need though timely and effective action	A significant safeguarding failure in adults or children's services reduces confidence in safeguarding in Wolverhampton	<p>Quality assurance processes between adult and child protection and safeguarding services</p> <p>Service specification for commissioned services have quality and</p>	<ul style="list-style-type: none"> • Cross service meetings • Ofsted Inspections • Wolverhampton Safeguarding Childrens' Board • Adult Safeguarding Board 	<ul style="list-style-type: none"> • Performance indicators • TEN management system • Action Plans from inspections reports • Improved CareFirst adult safeguarding systems 		

Principal Objectives	Principal Risks	Key Controls	Assurances on Controls	Positive Assurances	Gaps in Control	Gaps in Assurance
<i>What the organisation aims to deliver</i>	<i>What could prevent this objective being achieved</i>	<i>What controls/systems do we have in place to minimise the risk</i>	<i>Where can we gain evidence that tells us whether the controls exist and are working</i>	<i>Where is the evidence that shows we are reasonably managing our risks and objectives are being met</i>	<i>Where are we failing to put controls in place and/or they are not effective</i>	<i>Where are there gaps in the evidence that control mechanisms are working</i>
		<p>safeguarding requirements.</p> <p>Services for adults and children have a risk assessment and contract monitoring is based on these priorities</p> <p>Regional approach is being developed into quality indicators</p>		<ul style="list-style-type: none"> • Risk Management system for commissioned services 		