

Wolverhampton City Council

OPEN INFORMATION ITEM

Audit Committee

Date 15 April 2013

Originating Service Group(s)	Community
Contact Officer(s)/	Sarah Norman
Telephone Number(s)	5300
Title/Subject Matter	Community Directorate – Risk Management and Governance

SUMMARY

Audit Committee is recommended to note the assurance measures being provided by the Community Directorate to mitigate current risks.

1. PURPOSE

- 1.1 To set out for Audit Committee 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 objectives in the Directorate's Business Plan for 2013/14.
- 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 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 Risks are individually identified in the Risk Control plans
[JB/27032013/Z]

4. LEGAL IMPLICATIONS

- 4.1 The legal implications in the management of the Risks are individually identified in the Risk Control plans.
[MW/27032013/D]

5. EQUALITY IMPLICATIONS

- 5.1 The equality implications in the management of the Risks are individually identified in the Risk Control plans.

6. ENVIRONMENTAL IMPLICATIONS

- 6.1 The environmental implications in the management of the 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>The Directorate's Mission is: "Enabling all communities, families and individuals to thrive"</p> <p>Services within the Directorate include:</p> <ul style="list-style-type: none"> • Adult Social Care - including safeguarding, older people, learning disability, physical disability and sensory impairment and mental health services • Children's Social Care – including safeguarding, looked after children, children in need and child protection, and family centres • Public Health • Joint Commissioning with health and support to the Health and Well Being Board • Homelessness Services and Housing Support • Children's Centres • The Youth Offending Team • Social Inclusion Services including education welfare officers, educational psychologists, Social inclusion workers, special educational needs coordinators • Special Educational Needs Assessment • Libraries • Youth & Play Services • Parks • Community Centres • Community Initiatives – providing support to the voluntary sector <p>Some of these are universal services that serve everyone in Wolverhampton while others are targeted services to meet particular needs.</p> <p>Projects</p> <ul style="list-style-type: none"> • Community Hubs • Telecare • Personalisation • Families in Focus • Looked After Children Reduction

Key Issues	Summary of Responses
	<ul style="list-style-type: none"> • Special Educational Needs Reforms • New Operating Model for Children's Social Care • Savings
What arrangements are in place to ensure that key functions are properly delivered?	<p>Key projects/initiatives are subject to detailed delivery plans which are regularly reviewed and progress reported to the Corporate Programme Office. Part of the delivery mechanisms followed includes Risk Workshops at appropriate points through the life of the projects.</p> <p>In respect to core functions Service Plans are used to effectively 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 the Community Directorate Management Team, and more frequently by Service Managers/Assistant Directors where appropriate.</p>
What are the main risks that the service group has to manage and how are these risks being managed?	<p>For an overview of the main risks affecting the service this year please see below.</p> <p>Each service area also 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>
What external assurance is available e.g. external inspection reports?	<p>An annual audit programme is agreed with Audit Services and a programme of Risk Workshops with the Head of Risk Management and Insurance.</p> <p>In all cases the respective Assistant Directors are responsible for progressing any recommendations/actions.</p>
What significant problems have occurred in the past year and what arrangements have been made to avoid such problems reoccurring?	<p>There have been significant problems progressing two key projects this year. The first was the Leisure Trust where differences of view between the Leisure Trust Board and the Council became impossible to resolve. This project has now been terminated. The second was our project to reduce the number of looked after children. This is a complicated project where we are relying on the success of early intervention to reduce the need to take children into care. A robust plan is now in place which is benefitting from an audit of cases which has been undertaken by Dartington. In addition, Lambeth Council are undertaking a Peer Review of this Plan as part of Sector led Improvement. Nevertheless there are no certain ways of making these reductions and the project will always be vulnerable to impact of external factors like welfare reform.</p>

ASSURANCE FRAMEWORK REPORT COMMUNITY DIRECTORATE

Principal Objective	Areas of Risk	Assurance
1. Social Care Market developed to respond to personalisation, reablement and VFM developments	<ul style="list-style-type: none"> Capacity and skills to develop/manage the market 	<ul style="list-style-type: none"> Links to Business Skills in Education & Enterprise Monitoring reports will be taken to Departmental Management Team and Joint SEB/CDB Major Projects and Programmes plus the appropriate Cabinet/Panel where required
2. Families in Focus reduces reliance on benefits, exclusions, truancy and antisocial behaviour amongst "Troubled Families"	<ul style="list-style-type: none"> Families remain unable to respond to the new ways of working – access employment etc Recession and Welfare Reform 	<ul style="list-style-type: none"> Use of evidence based intervention using dedicated staff to work with families Review alongside Welfare Reform Programme responses Monitoring reports will be taken to Departmental Management Team and Joint SEB/CDB Major Projects and Programmes plus the appropriate Cabinet/Panel where required
3. Adults with disabilities are supported into employment	<ul style="list-style-type: none"> Barriers to employment for people with disabilities Welfare Reform creates barriers 	<ul style="list-style-type: none"> Work more closely with Job Centre Plus, Join up initiatives across all disability areas Review alongside Welfare Reform Programme responses Monitoring reports will be taken to Departmental Management Team and Joint SEB/CDB Major Projects and Programmes plus the appropriate Cabinet/Panel where required
4. Increasing the use of Personal Budgets to give people more choice and control about how their support needs are met	<ul style="list-style-type: none"> Direct Payment service under resourced to meet new demands Lack of services in the market to respond to choices made Demand for existing services reduces 	<ul style="list-style-type: none"> Planned resource shift to match demand Market development work above Regular review of existing services decommissioning as required Monitoring reports will be taken to Departmental Management Team and Joint SEB/CDB Major Projects and Programmes plus the appropriate Cabinet/Panel where required

5. Maximising the use of reablement, enablement and Telecare to support people to live independently and reduce dependency on care packages	<ul style="list-style-type: none"> • Insufficient investment and culture change • Insufficient join up with health to maximise benefits 	<ul style="list-style-type: none"> • Input the right investment and transformation time • Close engagement with health • Monitoring reports will be taken to Departmental Management Team and Joint SEB/CDB Major Projects and Programmes plus the appropriate Cabinet/Panel where required
6. Improve the safeguarding of both children and adults at risk	<ul style="list-style-type: none"> • Capability and skills of workforce 	<ul style="list-style-type: none"> • Tightly managed Action Plans following Peer Review, working closely with HR • Monitoring reports will be taken to Departmental Management Team and Joint SEB/CDB Major Projects and Programmes plus the appropriate Cabinet/Panel where required
7. Reduce the number of looked after children through more effective targeted intervention and speeding up adoption	<ul style="list-style-type: none"> • Early Intervention not effective • Welfare Reform impact • Lack of resources for new services. 	<ul style="list-style-type: none"> • Being clear regarding the basket of evidence based interventions in action plan that can impact upon LAC • Review alongside Welfare Reform Programme • Ensure Invest to Save etc available. Improve and dedicate HR support. Agree additional resources to support transition. • Monitoring reports will be taken to Departmental Management Team and Joint SEB/CDB Major Projects and Programmes plus the appropriate Cabinet/Panel where required
8. Develop an effective all age disability service that improves outcomes at transition	<ul style="list-style-type: none"> • Service is not transformed • Services required not available 	<ul style="list-style-type: none"> • System thinking based programme on transition pathways • Market management and greater choices • Monitoring reports will be taken to Departmental Management Team and Joint SEB/CDB Major Projects and Programmes plus the appropriate Cabinet/Panel where required
9. Reduce the impact of child poverty on outcomes for children in the City	<ul style="list-style-type: none"> • Welfare Reform impacts • Lack of co-ordination across the Council 	<ul style="list-style-type: none"> • Review alongside Welfare Reform programme responses • Strategically highlight the joined up working that needs to be done (SEB/CDB level) • Monitoring reports will be taken to

		Departmental Management Team and Joint SEB/CDB Major Projects and Programmes plus the appropriate Cabinet/Panel where required
10. More adults and children physically active	<ul style="list-style-type: none"> Partnership between key agencies does not improve to support Sport & Leisure development 	<ul style="list-style-type: none"> Community sports and physical activity network leads. Participation in sport and leisure across the City. Monitoring reports will be taken to Departmental Management Team and Joint SEB/CDB Major Projects and Programmes plus the appropriate Cabinet/Panel where required
11. Successfully Deliver existing savings plans	<ul style="list-style-type: none"> Opposition to proposals Poor management of change Risk of legal challenge on equality grounds 	<ul style="list-style-type: none"> Increased engagement with all stakeholders Clear project management Contribute to refreshed corporate equality strategy Monitoring reports will be taken to Departmental Management Team and Joint SEB/CDB Major Projects and Programmes plus the appropriate Cabinet/Panel where required
12. Identify new savings across the Directorate	<ul style="list-style-type: none"> Acceptable and deliverable savings cannot be identified 	<ul style="list-style-type: none"> Use of Resources Tool and other benchmarking to identify new saving opportunities Monitoring reports will be taken to Departmental Management Team and Joint SEB/CDB Major Projects and Programmes plus the appropriate Cabinet/Panel where required
13. Complete and implement Layers & Spans Review	<ul style="list-style-type: none"> Review does not leave sufficient capacity to deliver all the transformation required in the Directorate as well as business as usual Existing staff do not have the skills and capability needed in the new structure 	<ul style="list-style-type: none"> Plans build in capacity to support transformation Close working with HR to manage the process and develop our workforce Monitoring reports will be taken to Departmental Management Team and Joint SEB/CDB Major Projects and Programmes plus the appropriate Cabinet/Panel where required
14. Demonstrate the added value of bringing Public Health into local government	<ul style="list-style-type: none"> Good childhood obesity data versus poor adult obesity data. Effective Measure in relation to the use of 	<ul style="list-style-type: none"> Rewrite measure regarding a refreshed HEPA strategy for both adults and children Establish a system for assessing the use of

	<p>evidence based practice and business intelligence.</p> <ul style="list-style-type: none"> • Lack of clear actions therefore measures of success 	<p>‘evidence’ in practice across the Council to establish a baseline.</p> <ul style="list-style-type: none"> • Rewrite the milestones to reflect what is achievable. • Monitoring reports will be taken to Departmental Management Team and Joint SEB/CDB Major Projects and Programmes plus the appropriate Cabinet/Panel where required
15. Reduce the harmful impact of alcohol and drug misuse	<ul style="list-style-type: none"> • Unachievable measures due to not being in control of Community Directorate 	<ul style="list-style-type: none"> • Highlight where partnership work required but ensure milestones/targets within control of Community Directorate • Monitoring reports will be taken to Departmental Management Team and Joint SEB/CDB Major Projects and Programmes plus the appropriate Cabinet/Panel where required
16. Successful delivery of the Youth Zone	<ul style="list-style-type: none"> • Partnership not maintained. Youth Zone seen as ‘add on’ rather than transformation provision. 	<ul style="list-style-type: none"> • Ensure early and regular partnership meetings – key Councillors and Partners. Agree direction of whole youth service provision in the light of the Youth Zone • Monitoring reports will be taken to Departmental Management Team and Joint SEB/CDB Major Projects and Programmes plus the appropriate Cabinet/Panel where required
17. Health and Well Being Board as an effective partnership driving improvements in Health & Well Being across Wolverhampton	<ul style="list-style-type: none"> • Lack of Capacity to support the HWBB • Lack of engagement of key partners 	<ul style="list-style-type: none"> • Review and prioritise support for partnership working • HWBB uses its powers to hold partners to account • Monitoring reports will be taken to Departmental Management Team and Joint SEB/CDB Major Projects and Programmes plus the appropriate Cabinet/Panel where required