

WILTSHIRE COUNCIL RISK ACTION PLAN

<b>Risk Ref:</b> 1001	<b>Risk: Managing the volatile nature of care placement requirements within the resources available - Children</b>		<b>Date of Action Plan Update:</b> February 2012	
<b>Current Risk Rating:</b> I = 4 L = 3 Current Score = 12		<b>Target Risk Rating:</b> I = 3 L = 3 Target Score = 9		<b>Progress on Risk Action Plan:</b> RAG = Amber
		<b>(High, Med, Low)</b> <b>High</b>		<b>(High, Med, Low)</b> <b>Medium</b>
<b>Comment on Current Status of Risk (for use in risk management update reports)</b>				
<p>A number of processes/strategies are in place to mitigate the risks. This includes the development of LAC External Placement Audit Group. The Placement Panel effectively scrutinises new and requested admissions to Care. A LAC External Placement Audit Group has now been established and will review placements already made with external providers to ensure that, wherever possible, children placed in independent provider placements are returned to live with in-house carers. Children in Care Service is developing a strategy that aims to promote opportunities for re-unification with parents or other significant adults wherever possible, thus reducing the likelihood of children remaining in care longer than is necessary. Children and Families Services is currently reviewing its policy and guidance in respect of Permanency Planning, this will ensure that children who may be placed for adoption are prioritised and procedures are implemented in a timely manner.</p>				
<b>Action Plan</b>				
<b>Risk Owner</b>	Godfrey, Carolyn		<b>Key Officers</b>	Davies, Sharon, Hitchman, Lin
<b>Scope / Background to Risk</b> (Insert information about the risk that explains it further including any history, cause of risk and potential impact and likelihood evaluation information)				
<p><b>Cause:</b> Change in legislation (16+ homeless, extension of support for unaccompanied asylum seeker children from 18 years to 21 years, change in financial support to young people leaving care from 18 years to 21-24 years) have placed additional responsibilities on C&amp;F services to provide accommodation and financial support for the 16 to 21-24 age group with no additional accompanying government funds. Market pressures and the rising number of complex cases significantly affect the Council's ability to influence or control the continuing increase in costs of services for children, disabled people and older people. Major changes in policy &amp; practice instituted by the NHS are also relevant, as are demographic and economic pressures. LAC population increase and an increase in child protection referrals being experienced by both this authority and countrywide as a direct consequence of change in legislation, outcomes of judicial reviews and enquiries into child abuse cases impacts on case holder and service capacity.</p> <p><b>Impact:</b> Financial impact is significant. Increasing placement costs are a barrier to investment in preventative work.</p>				
<b>Controls in place to manage risk</b>				

1. Out of Authority monitoring System in place, to provide accurate data re number of children placed and cost of placements, monthly supervision with Team Managers where all OOA placements are discussed to prevent placement drift.
2. Commissioning Strategy 2010/2011 in place, with monthly meetings chaired by Service Director for Commissioning to ensure compliance with agreed actions.
3. Attendance at Major Contract Task Group meetings bi-monthly to monitor Quarriers contract compliance.
4. Budget monitoring in place – close focus by Service Director, Heads of Service & SMT. Specific analysis and plan in place to reduce number of LAC and also meet their needs more effectively.
5. There have been significant improvements in accommodation provision for 16 + young people during 2010/2011 through the establishment of Towpath House, SLAs with Housing providers, increase in supportive lodgings carers and the inclusion of Host Family Scheme into Children in Care services.
6. Creation of a specialist Unaccompanied Asylum Seeker Social worker ensures that all due process is complied with in a timely manner and through partnership working with UKBA there is now an established system in place to prevent delay in establishing status.
7. C&F has implemented a placement panel which acts as a gate keeping process preventing inappropriate admissions into care and ensuring children who become looked after remain so no longer than is necessary.
8. Recruitment of Specialist Service Manager for Family Placement has improved recruitment and support for carers.
9. Well embedded workload management system is in place to monitor and plan workloads. This is monitored by Heads of Service in supervision with Team managers.

<b>Actions to take to improve the management of this risk OR Contingency Arrangements</b>	<b>Responsibility for action</b>	<b>Date for completion</b>	<b>Progress / Status Report for Improvement Actions</b>
1. C&F together with Commissioning Services are currently undertaking a review of family support services and working with partner agencies to further develop and implement CAF	Cramp, Julia	30 April 2012	Initial review completed. The review is now moving into the second stage for consultation with implementation of the new strategy expected in April 2012.
2. Increase in in-house foster placements and targeting of return of young people from expensive OOA placements	Hitchman, Lin	31 March 2012	Recruitment campaign to be undertaken 2011/2012
3. Increase in range of post 16 provision in accordance with Commissioning Strategy 2010 and sufficiency duty	Hitchman, Lin	31 March 2012	Continued development of Supportive Lodgings/in-house Family resources to increase the number of available places
4. A review of all admissions in care for 2010 - present will be undertaken with an analysis of reasons for coming into care	Chipping, Jacqueline	31 January 2012	Completed and presented to Corporate Parenting Panel on 25.1.12.

5. Work has commenced on developing and implementing a robust permanency planning policy. This approach will serve to ensure early intervention from adoption services where this is appropriate and assist in supporting family members and carers where a special guardianship order is more appropriate than children remaining in the looked after system.	Hitchman, Lin	30 April 2012	Implementation of permanency policy delayed due to the current review of all panels being undertaken by Commissioning. Permanency policy implementation to commence April 2012.
6. The development of a recruitment strategy within Family Placement will inform targeted recruitment of specialist carers and carers from BME communities	Hitchman, Lin	31 March 2012	Ongoing

## WILTSHIRE COUNCIL RISK ACTION PLAN

<b>Risk Ref:</b> 1097	<b>Risk: Delivery of 350 unit housing PFI project</b>		<b>Date of Action Plan Update:</b> January 2012
<b>Current Risk Rating:</b> I = 4 L = 3 Current Score = 12		<b>(High, Med, Low)</b> <b>High</b>	<b>Target Risk Rating:</b> I = 4 L = 2 Target Score = 8
		<b>(High, Med, Low)</b> <b>Medium</b>	<b>Progress on Risk Action Plan:</b> <b>RAG = Green</b>
<b>Comment on Current Status of Risk (for use in risk management update reports)</b>			
<p>The Council's final business case (FBC) for phase 1 was approved by DCLG/HMT on 15/12/11 and financial close (FC)/contract award took place on 21/12/11 i.e. less than one week later. We were able to capitalise on historically low interest rates, such that the signed project is well within the Council's affordability limit. The first phase is to provide 242 homes with a PFI credit allocation of £53.24m, and building work started on 9/1/12.</p> <p>It is important to note that FC occurred in the context of rapidly deteriorating funding conditions in the PFI market and Persimmon Homes' stated intention to withdraw its sites from the project after 21/12/11. There was insufficient time between FBC approval and the required FC date to complete Council due diligence on the contract documents and financial model. However, the judgement was made that the risks of deferring FC into January 2012 were too great. The Council's financial advisers have issued a letter of disclaimer (21/12/11) due to there being a number of outstanding issues/documents not reviewed at contract award, and the PFI contractor (SHL) has agreed to provide greater visibility with regard to the FC model.</p> <p>At the time of writing the resourcing arrangements for contract management of phase 1 and delivery of phase 2 (around 108 homes with a maximum credit allocation of £23.76m) were awaiting clarification. The risk rating remains as "high" until this has been resolved.</p>			
<b>Action Plan</b>			
<b>Risk Owner</b>	Cawley, James	<b>Key Officers</b>	Swabey, Mike, Trowell, Chris
<b>Scope / Background to Risk</b>			
(Insert information about the risk that explains it further including any history, cause of risk and potential impact and likelihood evaluation information)			
<p><b>Cause:</b> Phase 1: lack of visibility with regard to financial model; failure to manage the contract effectively. Phase 2: unable to secure sufficient sites with planning permission by DCLG longstop dates (21/6/13 and 21/12/13); unable to demonstrate VfM of phase 2 proposals; failure to provide project management in accordance with DCLG promissory note (21/12/11); lack of budgetary control.</p> <p><b>Impact:</b> Phase 1: failure to realise full benefit and VfM of project; contractual disputes/litigation; reputational damage. Phase 2: loss of £23.76m PFI credit; loss of 108 additional homes; overspend on/abortive set up costs; reputational damage.</p>			
<b>Controls in place to manage risk</b>			
<ol style="list-style-type: none"> <li>1. Signed contract for phase 1 (21/12/11).</li> <li>2. Approved final business case setting out phase 2 proposals (16/11/11).</li> </ol>			

Actions to take to improve the management of this risk OR Contingency Arrangements	Responsibility for action	Date for completion	Progress / Status Report for Improvement Actions
1. Review of phase 1 financial close model to be undertaken by Grant Thornton and agreement to be reached between Council/contractor (SHL) with regard to changes for phase 2.	Swabey, Mike	29 February 2012	To be arranged – see email exchange with PKF on 21/12/11.
2. Clarification of contract management for phase 1; arrangements up and running.	Swabey, Mike	29 February 2012	Awaiting clarification
3. Clarification of project management for phase 2; arrangements up and running.	Swabey, Mike	29 February 2012	Awaiting clarification
4. Agreement to be reached between Council/contractor (SHL) with regard to scope, strategy and timetable for phase 2.	Swabey, Mike	29 February 2012	Project board meeting to be arranged
5. Confirmation of 2012/13 budget i.e. phase 1 operational costs and phase 2 set up costs.	Swabey, Mike	29 February 2012	Awaiting confirmation

## WILTSHIRE COUNCIL RISK ACTION PLAN

<b>Risk Ref:</b> 1063	<b>Risk: Ability to corporately control the maintenance and monitoring of contracts</b>	<b>Date of Action Plan Update:</b> February 2012
<b>Current Risk Rating:</b> I = 4 L = 3 Current Score = 12	<b>(High, Med, Low)</b> <b>High</b>	<b>Target Risk Rating:</b> I = 3 L = 2 Target Score = 6
	<b>(High, Med, Low)</b> <b>Medium</b>	<b>Progress on Risk Action Plan:</b> <b>RAG = Amber</b>
<b>Comment on Current Status of Risk (for use in risk management update reports)</b>		
<p>The risk has been classified as high because there is at present little identified corporate oversight of Contract Management and monitoring. The actual risk may be less than that because Officers do take individual responsibility for oversight. However without a robust oversight process then we are totally dependent on individual officer oversight.</p> <p>The amended Contract Regulations will go to Council at the end of February for approval and should be in place immediately afterwards. The review of the model contract templates is progressing and should be completed by the end of March. Once these two processes are completed the training of contracts officers can be completed. I would suggest that we will be able to review downwards the risk at the end of April.</p>		
<b>Action Plan</b>		
<b>Risk Owner</b>	Cain, Frank	<b>Key Officers</b> Cain, Frank
<b>Scope / Background to Risk</b> (Insert information about the risk that explains it further including any history, cause of risk and potential impact and likelihood evaluation information)		
<p><b>Cause:</b> No clear identified ownership of the contract process. No central storage and archive of contracts.</p> <p><b>Impact:</b> Possible litigation or fines if contracts do not include mandatory requirements. Financial costs if tendered contracts do not fully satisfy the service provision required.</p>		
<b>Controls in place to manage risk</b>		
<ol style="list-style-type: none"> <li>1. Contract Regulations</li> <li>2. Individual systems within Services, Legal and Procurement – but these are not joined up or working together.</li> </ol>		

Actions to take to improve the management of this risk OR Contingency Arrangements	Responsibility for action	Date for completion	Progress / Status Report for Improvement Actions
1. Update the contract regulations	Cain, Frank	29 February 2012	Procurement and legal have developed first draft of new Contract Regulations and are working towards implementation by way of February 2012 Council meeting.
2. Revising standard contract templates that are used by Services	Cain, Frank	31 March 2012	Legal are in the process of identifying all current templates and identifying with Client teams any further template contracts and are on track for full review to be completed by end of march 2012
3. Training for contract officers	Cain, Frank	30 April 2012	We have lifted the visibility of the need to consult with Legal via both the procurement unit and the procurement board. Full training to be implemented once new contract regulations are in place and template contracts completed
4. Corporate contract register updated and in place	Brett, Tony	30 June 2012	Procurement unit has called for updating of register. Legal and procurement are refining the naming principles for roll out once contracts register up to date.