

ECHS Risk Register

												DATE LAST REVIEWED:	09/10.2017
REF	DIVISION	RISK TITLE & DESCRIPTION (a line break - press shift & return - must be entered after the risk title)	RISK CAUSE & EFFECT	RISK CATEGORY	GROSS RISK RATING (See next tab for guidance)			EXISTING CONTROLS IN PLACE TO MITIGATE THE RISK	CURRENT RISK RATING (See next tab for guidance)			FURTHER ACTION REQUIRED	RISK OWNER
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1	All	Failure to deliver ECHS Financial Strategy	Cause(s): - Continual reduction in Central Government funding - Demographic changes - Increased demand for services - Demand led statutory services (c. 80% of operations) which can be difficult to predict - Increasing cost volatility due to rise of complex, high cost families or placements requiring services. Effect(s): - Lower than anticipated levels of financial resource - Failure to achieve a balanced budget - Failure to secure economy, efficiency, and effectiveness of use of resources leading to a Qualified Independent Auditors' Report - Objectives of the service not met - Reputation is impacted - Wider goals of the Council are not achieved	Financial	5	5	25	 - Budget monitoring and forecasting - Regular review of medium term strategy - Regular reporting to DLT and Members via the Committee reporting process - Effective contract monitoring arrangements to ensure acceptable quality of service provision and value for money - Monitor demographics, economic indicators and develop insight into future demand - Match financial planning to Council priorities - Internal audit framework - Early intervention with service users - Constantly reviewing service operations for potential efficiencies	4	5	20		ECHS DLT Ade Adetosoye, Director of Education, Janet Bailey, Sara Bowrey, Naheed Chaudhry, Paul Feven, Stephen John, Nada Lemic.
2	Adult Social Care	Failure to deliver effective Adult Social Care services The Council is unable to deliver an effective adult social care service to fulfil its statutory obligations including the safeguarding of Adults	Cause(s): - Increasing demand - Above compounded by associated longer waiting lists leading to deteriorating condition and ultimately increased service user / carer costs - Failure to deliver effective safeguarding arrangements - Failure to comply with statutory requirements including the Care Act Effect(s): - Impact on life chances and outcomes for service users - Failure to keep vulnerable adults safe from harm or abuse	Legal, Reputational	4	4	16	Care Act - Redesigned processes, including amending forms, and operational procedures in place and Care Act compliance training Better Care Fund - Programme overseen by the Interim Director of Programmes and the CCG Safeguarding - 1. Multi Agency Bromley Adult Safeguarding Board (BSAB) in place. 2. BSAB Training programme (E Learning and Face to Face). 3. Awareness training for vulnerable groups. 4. Care Act compliance training Recruitment - Dedicated HR programme of support in place to recruit social workers to front line posts Performance Monitoring Framework - Review of Performance Management Indicators Procurement and Contract Monitoring - Effective procurement framework and contract monitoring arrangements to ensure acceptable quality of service provision and value for money	3	4	12		Director, Adult Social Care (Stephen John)
2a	Learning Disability Service	Failure to deliver effective Learning Disability services Failure to assess service users, establish eligibility criteria and carry out the review process.	Cause(s): - Failure to identify and meet service users' needs - Provision of service to ineligible clients - Provision of service prior to/without appropriate authorisation - Failure to manage the transition process of service users from Children's Services to Adult Services leading to increased risk of Judicial Review Effect(s): - Costs associated with Legal process - Ongoing care package costs as a result of Legal process outcome - Placement predictions leading to financial pressures (cross refer ECHS Budget risk)	Legal, Reputational	4	4	16	 - Close monitoring of placements and eligibility criteria - Budget monitoring and forecasting - Regular review of medium term strategy - Regular reporting to DLT and Care Services PDS - Effective contract monitoring arrangements to ensure acceptable quality of service provision and value for money - Hold provider to account for poor performance - Monitor demographics, economic indicators and develop insight into future demand	4	4	16	Review effectiveness of new controls implemented post audit in Q4 (?) 2017	Director, Adult Social Care (Stephen John)

ECBS Risk Register

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3	All Children's Social Care, Safeguarding and Education Sections	Failure to deliver effective Children's services The Council is unable to deliver an effective children's service to fulfil its statutory obligations in Safeguarding and Education and protect those at risk of significant harm or death, sexual exploitation or missing from care	Cause(s): - Increasing demand - The Secretary of State could determine that the Council is failing to deliver its Children's Social Care services to an adequate standard and approve alternative delivery arrangements as the most effective way of securing and sustaining improvement. This arrangement could include the removal of service control from the authority. Effect(s): - Impact on life chances and outcomes for children	Legal, Reputational	4	5	20	- Multi Agency Bromley Children's Safeguarding Board (BCSB) in place and BCSB Training programme - Dedicated HR programme of support in place to recruit social workers to front line posts - Review of Performance Management Indicators - Effective procurement framework and contract monitoring arrangements to ensure acceptable quality of service provision and value for money - Appointment of Deputy Chief Executive with Director of Children's Services responsibility (in post December 2016) - Appointment of Director, Children's Services (in post December 2016) - £950k available for immediate use to build capacity and £2.3m available on a recurring basis for Children's services - Performance Framework - Quality Assurance Audit Programme - Children's Service Improvement Action Plan refocussed to ensure that Heads of Service and Group Managers are delivering the actions relevant to their teams. - Key events and supporting material developed to ensure improving practice is at the heart of the organisation - Review of team structures - New process for authorising placements developed - Continued reduction of caseloads - Development of CSE and missing unit (ATLAS team in place) - Training plan for qualified social workers and other professionals (Jan - Mar 2017)	4	4	16		Director, Children's Services (Janet Bailey) Director, Education
4	All	Recruitment and Retention Failure to recruit and retain key skilled staff with suitable experience/qualifications	Cause(s): - Failure to compete with other organisations to recruit the highest quality candidates to build an agile workforce - Small pool of experienced Social Workers, particularly children's Effect(s): - Failure to identify and meet service user needs - Provision of service to ineligible clients - Provision of service prior to/without appropriate authorisation - Lack of skill set results in an inability to deliver effective adults, children's and public health services to fulfil statutory safeguarding obligations, impacting on life chances and outcomes	Personnel	5	4	20	- Dedicated HR role to support managers in recruiting social workers to front line posts - Joint meetings held between HR and employment agencies to improve the quality and speed of locum assignments - Repromotion and review of the current Recruitment and Retention package - Repromotion of the 'no quit' policy - Recruitment drive to convert locums to permanent staff - Commissioning of improvements to the Council's recruitment web site to include a video virtual tour of the Council - Support in effectively managing staff performance - Provision of training measures to include targeted leadership and management training programmes including partners and other stakeholders - Tailored individual career plan for staff - Training and quality assurance of practice - Provision of regular monitoring information to feed into the corporate governance dashboard	3	4	12		Director, Adult Social Care (Stephen John) Director, Children's Services (Janet Bailey) Director, Public Health (Nada Lemic) Director, Housing (Sara Bowrey)
5	Housing Needs	Failure to deliver effective Housing Needs services The Council is unable to deliver an effective Housing Needs service to fulfil its statutory obligations	Cause(s): - very demand led - lack of trained staff - homelessness is increasing number and complexity of cases Effect(s): - Impact on life chances and outcomes for individuals and families in need of Housing Services - Reputational damage - Legal challenge	Legal	4	4	16	- Focus on preventing homelessness and diversion to alternative housing options through:- - Landlord and Tenancy advice support and sustainment - Assistance (including financial aid) to access the private rented sector - Access to employment and training - Debt, money, budgeting and welfare benefits advice, including assistance to resolve rent and mortgage arrears - Sanctuary scheme for the protection of victims of domestic violence - Effective contract monitoring arrangements to ensure acceptable quality of service provision and value for money	3	4	12	- Seek new and alternative forms/supply of temporary accommodation - Ensure the successful implementation of the More Homes Bromley initiative to ensure the supply reduces the reliance on nightly paid accommodation - Continue to develop partnership working with private sector landlords to assist households to remain in private sector accommodation - Work innovatively with a range of providers to increase access to a supply of affordable accommodation - Produce and maintain the new London Borough of Bromley Homelessness strategy ensuring that the strategy promotes partnership working to reduce and prevent homelessness	Director, Housing (Sara Bowrey)

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5a	Housing Needs	Temporary Accommodation Inability to effectively manage the volume of people presenting themselves as homeless and the additional pressures placed on the homelessness budgets	Causes: - changes in government funding - rising number of placements (approx. 20 per month) Effect(s): - Failure to fulfil statutory obligations - Impact on life chances and outcomes for individuals and families in temporary accommodation - Increased risk of legal challenge due to provision of unsuitable accommodation (including shared accommodation) - Pressure on other services	Social	5	4	20	- Focus on preventing homelessness and diversion to alternative housing options through:- - Landlord and Tenancy advice support and sustainment - Assistance (including financial aid) to access the private rented sector - Access to employment and training - Debt, money, budgeting and welfare benefits advice, including assistance to resolve rent and mortgage arrears - Sanctuary scheme for the protection of victims of domestic violence - Effective contract monitoring arrangements to ensure acceptable quality of service provision and value for money	5	4	20	- Seek new and alternative forms/supply of temporary accommodation - Ensure the successful implementation of the More Homes Bromley initiative to ensure the supply reduces the reliance on nightly paid accommodation - Continue to develop partnership working with private sector landlords to assist households to remain in private sector accommodation - Work innovatively with a range of providers to increase access to a supply of affordable accommodation - Produce and maintain the new London Borough of Bromley Homelessness strategy ensuring that the strategy promotes partnership working to reduce and prevent homelessness	Director, Housing (Sara Bowrey)	
5b	Housing Needs (Housing Strategy)	Capital Grant Failure to deliver the Council's affordable housing strategy in support of statutory obligations Lack of infrastructure in place where growth is occurring (Section 106 monies)	Cause(s): - Lack of availability of external capital grant (Housing Associations) to deliver key housing schemes - Lack of available suitable sites within the borough on which to develop new affordable housing schemes over the short to medium term Effect(s): - An inadequate supply of housing will lead to an inability to meet housing needs of a range of client groups in support of statutory housing and homelessness duties.	Social	4	4	16	- Lead negotiations on the affordable housing provision on section 106 applications, ensuring that the affordable housing obligation reflects local adopted planning policy and local statutory and high priority housing need - Determination at planning stage to ensure collection of obligations due - Conditions attached to funding received to ensure it is spent on preventing homelessness	3	4	12	- Review of proposed legislation as it develops	Director, Housing (Sara Bowrey)	
6	Public Health	Inability to deliver an effective Public Health service The Council is unable to deliver an effective Public Health service to fulfil its statutory obligations	Cause(s): Reduced budget which has led to funding cuts, reduced service and redundancies. Withdrawal of non-statutory services. Effect(s): - Increased clinical risk to patients and Bromley residents - Reputational risk to council - Gaps and potential blocks in health service between NHS and Local Authority	Professional, Legal, Reputational	4	4	16	- Working with partners including the CCG and Hospital Trust to jointly deliver Public Health functions and mitigate impact of cuts - Effective contract monitoring arrangements to ensure acceptable quality of service provision and value for money	3	4	12	Plans for further integration with CCG	Director, Public Health (Nada Lemic)	
7	All ECHS Divisions	Business Interruption / Emergency Planning Failure to provide Council services or statutory requirements of mass illness/fatalities scenario following a business interruption or emergency planning event	Cause(s): - Business Interruption could be caused by Loss of Facility (fire, flood etc.), Staff (illness, strike) or IT (cyber attack). - Mass fatalities or illness has a range of causes and this risk to the council could be caused by council staff being impacted resulting in failure to manage statutory requirements of mass illness/fatalities scenario (e.g. registering of deaths within timescales) Effect(s): - Business interruption - failure to deliver services, loss of customer / resident satisfaction. - Emergency planning - failure to deliver statutory duties.	Personnel, Reputational	2	5	10	Business Interruption - Civil protection and emergency planning policies in place at corporate level overseen by the Corporate Risk Management Group - Business Continuity Plans in place at service level - Contracts contain business continuity provision - Communication to all staff prior to all impending industrial action, informing of any possible service disruption as well as explaining implications of strike action for individual staff members Emergency Planning - Robust plans in place, including Outbreak Plan, Flu Plan and Pandemic Flu Plan - Alert system via the South East London Health Protection Unit (SEL HPU) - Annual Flu vaccination programme in place	1	5	5		ECHS DLT	

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8	All ECHS Divisions	Contracts and Service Level Agreements Failure to effectively procure and/or manage key contractors or partners, leading to the department being unable to deliver key services, including attracting appropriate contractors or partners to deliver services	Cause(s): - Failure of provider - Provider withdrawing from the contract Effect(s): - Failure to deliver required quality/quantity/value for money services	Contractual, Partnership	4	1	4	- Timely and effective procurement process - Effective contract monitoring arrangements to ensure acceptable quality of service provision and value for money - Business Continuity plans - Contracts Sub-Committee established (a sub-committee of the Executive and Resources PDS Committee which considers a range of contracts issues including legal requirements, contract clauses and contract management to ensure value for money). - Traffic light system in use to assess the current status of each procurement project and any projects with a red status are tracked and reported to fortnightly divisional management team meetings - Commissioners and Procurement and Contract Compliance staff implement recovery plans for projects with red status alerts in order to mitigate all risks and to ensure that the department operates within financial regulations	3	1	3	- Ensuring appropriate adjustment of prices following introduction of the National Living Wage	ECHS DLT	
9	Education	School Place Planning Failure to meet the statutory requirement to ensure education is available to meet the needs of the population in the area	Cause(s): - Failure to secure sufficient Primary and Secondary school places in the area - Failure to provide/commission sufficient educational placements for children with disabilities and special educational needs - Failure to ensure sufficient alternative provision - Difficult to open new schools - can't do it directly, site restrictions, free schools only current route for new school - Planning consent - members / planning consent Effect(s): - Disruption to Education - Impact on life chances for young people	Political, Legal	4	4	16	- Implementation of the Basic Need programme - Implementation of the Primary and Secondary School development plans - Regular review of medium term strategy - Monitor demographics, economic indicators and develop insight into future demand (including birth rate, dwelling stock and migration) - Maintain relationships with ESFA	2	4	8		Director, Education	
10	Education	Not in Education, Employment or Training (NEET) Failure to meet requirements of Education, Care and Skills Act 2008 - duty on all young people to participate in Education, Employment or Training until their 18th birthday	Cause(s): - Lack of control over Academies Effect(s): - Disruption to Education - Impact on life chances for young people	Professional, Legal	3	2	6	- Provision offered by Bromley Youth Support Programme (BYSP) - Advice and Guidance Drop in sessions - One to one support - Looked After Children NEET support - YOT NEET support - Provision offered by Bromley Education Business Partnership (BEBP) - Bromley Youth Employment Scheme (YES) - Bromley Flexible Learning programme - Mentoring programme - Skills Xtra - Work experience for Children Looked After - N-Gage - Youth Contract - Tracking service in conjunction with South London CCIS Service - 'Door knocking'	3	2	6		Director, Education	

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11	Education	SEN Transport Failure to provide appropriate transport to educational establishments for children and young people with special educational needs	Cause(s): - Fluctuating demand year on year - Difficulty in retaining - £800k overspend - Produces worry in political environment - members - Rising numbers of children meeting criteria for transport provision and associated increase in costs (cross refer ECHS budget risk where budget position is highlighted) Effect(s): - Disruption to education due to poor transport provision - Impact on life chances and outcomes for children and young people	Contractual, Partnership Financial	3	3	9	- Budget monitoring and forecasting - Regular review of medium term strategy - Effective contract monitoring arrangements to ensure acceptable quality of service provision and value for money - Monitor demographics, economic indicators and develop insight into future demand - Travel Training Programme - Route review and rationalisation - Sharing routes with other boroughs - Supporting parents to take up reimbursement of parental mileage	3	3	9	Review of policy - post election to get to mutually agreeable outcome.	Director, Education
12	Education	SEN Reforms Failure to manage the transition process of service users from Statements to Education, Health and Care plans leading to an increased risk of Judicial Review	Cause(s): - How you assess and describe a children's need Effect(s): - Costs associated with the Legal process - Ongoing care package costs as a result of Legal Process outcomes	Financial Legal Customer/ Citizen Reputational	3	4	12	- Close monitoring of placements and eligibility criteria - Budget monitoring and forecasting - Regular review of medium term strategy - Regular reporting to DLT and Care Services PDS - Effective contract monitoring arrangements to ensure acceptable quality of service provision and value for money - Hold provider to account for poor performance - Monitor demographics, economic indicators and develop insight into future demand	2	4	8	Dedicated project - £115k	Director, Education
13	Education	School Standards Failure to provide appropriate support to remaining maintained schools in category of concern	Cause(s): - Failure to provide effective and timely moderation and monitoring of statutory testing at EYFS, KS1 and KS2 - Failure to ensure that LA appointed governors for maintained schools are appointed in a timely manner and have appropriate skills to perform their duties Effect(s): Impact on life chances and outcomes for children and young people	Professional	3	3	9	- One maintained primary school receiving direct intervention from School Improvement Team. Primary Support Advisor for English leaves post in summer 2017, remaining resource of 0.5 Primary Maths Advisor. Assuming no other remaining maintained schools go into support category and all convert in line with current plans by summer 2018 risk is medium to low. Appointment to new post of Head of School Standards will add capacity and new skills to the team and help improve support offer for schools. - Strategic challenge will remain to develop new relationships with schools to champion improved achievement and attainment, close the gaps for underperforming groups to ensure the best outcomes for children and young people in Bromley	2	3	6	New Head of school standards	Director, Education
14	Education	Youth Offending Failure to deliver effective youth offending services to protect children and young people and reduce their vulnerability	Cause(s): - Increase in youth offending Effect(s): - Impact on life chances and outcomes for children - Failure to protect the public and actual or potential victims (assessment of risk to others and planning to manage the risk and protect the public)	Professional Reputational	3	4	12	- Learning from the Youth Justice follow up Inspection of February 2017. Action plan to be developed - Annual Strategic Plan 2016/17 implementation - Youth Justice Board case file audit (March 2016) - Improved inspection result	2	4	8		Director, Children's Services (Janet Bailey)
15	Education Children's Social Care	Out of Borough Placements (Children and Young People) Inability to reduce reliance on out of borough placements Financial implications	Cause(s): - Failure to provide/commission sufficient local placements for children with disabilities, special educational needs, and children in care Effect(s): - Parental appeals to Tribunals resulting in more costly out of borough placements - Cost implications of out of borough placements (Cross refer ECHS Budget risk)	Professional Financial	3	3	9	- Close monitoring of placements and eligibility criteria - Budget monitoring and forecasting - Regular review of medium term strategy - Effective contract monitoring arrangements to ensure acceptable quality of service provision and value for money - Monitor demographics, economic indicators and develop insight into future demand	3	3	9	Carrying out a review of how to move this forward.	Director, Education Director, Children's Services (Janet Bailey)

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16	Children's Social Care	Foster Carers Failure to meet the statutory requirement to ensure sufficient local placements to satisfy need	Cause(s): - Failure to recruit sufficient carers, particularly for adolescents, siblings, disabled children, parent and child placements, and BME children Effect(s): - Lack of suitable carers from independent foster care sources leading to the arrangement of more expensive alternatives - Impact on life chances and outcomes for children	Professional	4	2	8	- Reviewed and refreshed recruitment strategy - Reviewed and refreshed Fostering web pages including rebranding and improved navigation - Carried out two borough wide leaflet distributions, via council tax information and environmental information - Monthly drop in sessions	3	2	6	- Market test the recruitment of the Foster Carer service through a negotiated procurement process for a contract term of three years with the option to extend for a further two years - Establish a sub group of the Corporate Parenting Strategy group to lead on the development of improved support packages for Foster carers to enable them to Care for children and young people with complex needs and/or challenging behaviour	Director, Children's Services (Janet Bailey)
17	Housing Needs	Care Leavers' accommodation Failure to provide a sufficient range of safe and suitable housing for care leavers	Cause(s): - Failure to appropriately risk assess housing provision offered to care leavers Effect(s): - Impact on life chances and outcomes for Care Leavers	Legal	3	3	9	- Review of all young people in B&B accommodation (post 18 years) undertaken and all were moved into more suitable accommodation. - Pathway plans updated to ensure appropriate support provided in relation to health and education needs. - Full strategic needs assessment of Bromley's young people's accommodation needs funded by DCLG commissioned from St Basils (a specialist service in young people's housing) to inform future decision making and help streamline the housing pathway. -BIS team to work closely with colleagues in the Housing Teams (S&R and Allocations) to review the housing pathway for care leavers and to identify suitable accommodation options for care leavers. - Undertake a review of the current homelessness strategy, ensuring it sets out the policy for housing all young people. - Develop a policy for vulnerable homeless and care leavers as part of the homelessness strategy, outlining the housing pathways, all placement options and alternatives to bed and breakfast accommodation. - Develop and implement a risk assessment framework for care leavers to be used before any placement in new accommodation. - Amend the wider housing policy to ensure it aligns to the new care leaver placement strategy - The BIS Team to adopt the risk assessment tool in practice to ensure that all accommodation to be provided to care leavers is assessed for its suitability, as a safe and secure base, prior to the placement being commissioned.	2	3	6	- Develop a communication plan to promote the 'Staying Put' policy with all foster carers and young people with a view to increasing take up of this ensuring:- - that staying put opportunities are discussed as early as possible - clarity is given to foster carers about the level of support, including financial support they will receive through the staying put policy - Potentially developing a framework for tendering this service	Director, Housing (Sara Bowrey)
18	Housing Needs	Welfare Reform Impact of Welfare Reform legislation (including Universal Credit).	Cause(s): - Universal Credit payments commenced on 18th January 2016 in Bromley for single people only. From this time, there is no separate Housing. - Benefit payment direct to the Landlord Further roll out planned for 2018 which will increase the impact of this reform Effect(s): - Increased Rent Arrears - Subsequent evictions and landlords reluctant to rent properties to claimants.	Social	4	3	12	- Notification, advice and support provided through:- - Housing Association transfers - Negotiations with landlords - Budgeting/debt advice - Moves to cheaper areas - Prevention grants/welfare fund/Credit union loans and savings - Access to child care and employment	3	3	9	- Work in partnership with Housing Benefit, the DWP, partner landlords and Social Care to minimise the impact of the Welfare Reform Act	Director, Housing (Sara Bowrey)
19	Adult Social Care	Deprivation of Liberty Safeguards Failure to prevent unlawful deprivation of liberty	Cause(s): - Risk increased due to change in legislation increasing scope. Effect(s): - Failure to comply with statutory requirements pursuant to Section 4 and paras 129, 180 and 182 of Schedule A of the Mental Capacity Act 2005 (as amended to incorporate the Deprivation of Liberty Safeguards 2009)	Legal	3	4	12	- Core administrative function maintained - Framework in place to deliver the functions of the Best Interest Assessor and the 'Section 12' Doctor	2	4	8		Director, Adult Social Care (Stephen John)

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20	Strategic & Business Support Services	Data Collections Failure to undertake statutory statistical data collections; including pupil census, attainment data and key adults' and children's social care information, thereby adversely affecting government grant allocations and performance assessments	Cause(s): - Business Interruption Effect(s): - Failure to commission effectively - Adverse impact on the timing and quality of decision making	Data and Information	3	3	9	- Schedule of statutory returns has been incorporated into the Performance and Information team's work programme - Specialist members of the team for each area - Other staff trained to provide 'back up' for specialist members of the team - Good project planning in place to co-ordinate all data collections including contributions from other services	1	3	3		Assistant Director, Strategic and Business Support Services (Naheed Chaudhry)
21	Education	Addition of '30 hours funded childcare for three and four year olds of working parents from 1st September 2017' The Council is unable to provide sufficient places within the local sector to fulfil its Statutory Duty	Cause(s): - Insufficient places within local sector resulting in Local Authority failure to meet its statutory duty - Inability to implement a suitable IT system which supports efficient and timely processing of funding claims Effect(s): - Parental complaints about insufficient places, negative publicity and reputational damage - Official notification from DfE regarding failure to fulfil statutory duty - Delays in payment to providers, destabilising local businesses. Complaints from Private, Voluntary and Independent providers and reputational damage	Political, Customer, Reputational	3	3	9	- Detailed sufficiency planning in process - Introduce process for capturing vacant nursery placements as part of the claim submissions - Monitor eligibility, confirmations and take up of places to predict growth of demand - Work with ECHS Change and IT provider to ensure best fit IT solution within deadlines	2	3	6		Director, Education

Remember to consider current Internal Audit priority one recommendations when identifying, assessing and scoring risks.