



Risk Ref	Risk Description	Gross Risk Rating	Net Risk Rating
1	Failure to deliver Children's Services Financial Strategy	25	20
2	Failure to deliver effective Children's services	15	12
3	Recruitment and Retention	20	12
4	Business Interruption / Emergency Planning	10	5
5	School Place Planning	12	8
6	Not in Education, Employment or Training (NEET)	6	6
7	Transport - School and Adult Social Care	15	12
8	SEND Reforms	16	12
9	Youth Offending	12	8
10	Out of Borough Placements (Children and Young People)	9	9
11	Data Collections	9	3
12	30 hours funded childcare for three and four year olds of working parents	3	3
13	Speech and Language Therapy	12	12
14	Social Care Information System	20	15



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REF	DIVISION	RISK TITLE & DESCRIPTION (a line break - press shift & return - must be entered after the risk title)	RISK CAUSE & EFFECT	RISK CATEGORY	(See next tab for guidance) EXISTING CONTROLS IN PLACE TO MITIGATE THE RISK		(Se	RRENT RATING ee next to guidanc	G ab for e)	FURTHER ACTION REQUIRED	RISK OWNER	
1	Children's Services	Failure to deliver Children's Services 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 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 - Developed a series of commissioning plans, with mitigating actions, for Children's Social Care and SEND including mitigating actions addressing financial pressures - Growth and mitigation discussions - Service strategies in place to mitigate growth		5		-Plans covering 10 projects in Children's Social Care went to the Corporate Commissioning Board in September 2018 outlining savings proposals to be implementedPlans are in place in Children's Social Care for improving sufficiency whilst reducing identified areas of budget.	Director, Children's Services (Janet Bailey) Director, Education (Jared Nehra)
2	Children's Services	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 protect those at risk of significant harm or death, sexual exploitation or missing from care	Cause(s): - Local authority response to Bromley Safeguarding Children's Partnership following Wood Review. Effect(s): - Impact on life chances and outcomes for children	Legal, Reputational	3	5 15	Multi Agency Bromley Children's Safeguarding Partnership (BCSP) Training programme 2019 set. Dedicated HR programme of support in place to recruit social workers to front line posts Scrutiny of Performance Management Framework and Indicators Effective procurement framework and contract monitoring arrangements to ensure acceptable quality of service provision and value for money - under review Quality Assurance Audit Programme Phase 3 Children's Service Practice Improvement Board commenced April 2019 to deliver Ofsted and local authority recommendations. Continued reduction of caseloads & within Caseload Promise on average Identified training plan for qualified social workers and other professionals reviewed and updated quarterly	3	4	12	- Ofsted validation - report published 7 January 2019 and action plan agreed - Phase 3 -'to excellence' plan developed	Director, Children's Services (Janet Bailey)
3	Children's Services	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 children's Social Workers 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 children's 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 Review of the current Recruitment and Retention package through Recruitment and Retention Board 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 Launch of Social Work Academy in April 2019. Bespoke training for first line managers on-going with cohort 2 Training and quality assurance of practice	3	4	12	As of November 2019 82% permanent staff	Director, Children's Services (Janet Bailey) Director, Human Resources (Charles Obazuaye)
4	Children's Services	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 - Introduction of Humanitarian and Lead Officer (HALO) role	1	5	5	- Business Continuity Plans reviewed annually	Director, Children' Services (Janet Bailey) Director, Educatio (Jared Nehra)



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5	Education	School Place Planning Failure to meet the statutory requirement to ensure sufficient school places 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 secure sufficient educational placements for children with disabilities and special educational needs - Failure to secure sufficient alternative provision Effect(s): - Disruption to the education of children and impact on their life chances	Political, Legal, Professional	3	4		- Strategic needs analysis (birth rate, dwelling stock and migration) to project demand - Review analysis of demand annually - SEN sufficiency strategy will inform long term planning of specialist provision - Implement Basic Need programmes - Maintain relationships with DfE ESFA to support delivery of Free School and PSBP programmes - Monitor contractor performance in uncertain market	2 2	4	8 RA	Continue to work with DfE on delivery of approved new secondary Free Schools	Director, Education (Jared Nehra)
6	Children's Services	duty on all young people to participate in	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 Mentoring programme Skills Xtra Work experience and apprenticeships for Children Looked After Tracking service in conjunction with South London CCIS Service Door knocking' Additional NEET worker started, based in Leaving Care service a 4 year pilot programme, in partnership with Lewisham and Greenwich, providing support for care leavers most at risk of NEET.	3	2	6		Director, Children's Services (Janet Bailey)
7	Education Adult Social Care Programmes	Transport - School and Adult Social Care Failure to provide appropriate home to school transport assistance for children and young people with special educational needs and disabilities and home to day activities for vulnerable adults	Cause(s): - Fluctuating demand year on year - Rising numbers of children meeting criteria for transport provision and associated increase in costs - Interim transport service arrangements for adults currently uncertain Effect(s): - Disruption to education - Impact on life chances and outcomes for children and young people - Impact on outcomes for vulnerable adults	Legal Financial	5	3	15	Budget monitoring and forecasting Effective contract monitoring arrangements to ensure acceptable quality of service provision and value for money Travel Training Programme Route review and rationalisation Gateway review to improve efficiency Options for adult transport being explored to cover period from Sept 2019 to August 2020	4	3	12	Review of policy Gateway review for adult and children's recommisioning of transport services from September 2020 to be considered by Executive in July 2019	Director, Education (Jared Nehra) Director, Adult Services (Kim Carey)
8	Education	SEND Reforms Failure to meet expectation of SEND reforms	Cause(s): - Ineffective and inaccurate identification of SEND - Failure of schools to make reasonable adjustments to meet needs of individual children and young people - Failure to provide appropriate and effective support for children with identified needs and their schools - Pattern of provision which does not meet the needs of the local population resulting in placements in independent schools Effect(s): - Costs associated with the Legal process - Escalating cost of provision - Impact on education and life chances of children and young people	Financial Legal Professional	4	4	16	- SEND4Change completed a root and branch review of Bromley's response to SEND reforms - An Improvement Plan agreed for 2018/19 - Transfer of statements to EHC Plans completed March 2018 - SEN service realigned to improve decision making and management oversight - SEN Inspection Readiness team established with ongoing review and scrutiny - SEN Advisory Teams realigned to maximise resource and fill gaps in support with a specific focus on CYP with EHCPs in mainstream provision - Joint Commissioning arrangements established across a number of key services - Service Level Agreements being established with mainstream settings with additionally resourced provisions to provide clarity across both parties - Local Offer Development Officer being recruited to strengthen and promote the Local Offer - CAMHS trailblazer project to be implemented - Legal advice to be drawn in to support complex tribunal cases - Local Area inspection took place 16-20 September - report awaited after General Election	3	4	12	Readiness for SEND inspection monitored QA programme for placements in independent schools to be implemented ASD Joint Strategy in development Engagement framework in final stages CYP Participation Officer post extended with workplan agreed Bromley Teaching Schools leading SEN training collaborative to support school improvement. Placement planning framework in development for September 2020 and beyond	Director, Education (Jared Nehra)

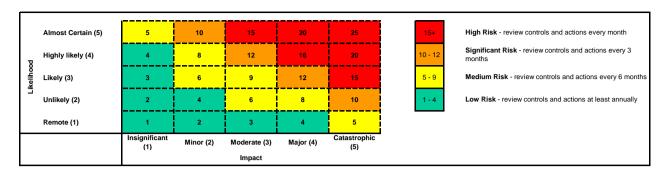


		RISK TITLE &				SS RISK RATING See next tab for				RRENT RATING	3		Q2 2019/20
RE	DIVISION	DESCRIPTION (a line break - press shift & return - must be entered after the risk title)	RISK CAUSE & EFFECT	RISK CATEGORY		guidance	e)	EXISTING CONTROLS IN PLACE TO MITIGATE THE RISK	L.	guidance	e)	FURTHER ACTION REQUIRED	RISK OWNER
9	Children's Social Care	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		- Learning from the Youth Justice follow up Inspection of February 2017. Action plan developed, fortnightly Improvement Board implemented to ensure action plan carried out Improved inspection result - Good in 2017 - Implementation of Strategic Plan 2017/19 - Youth Justice Board self-assessment audit of National Standards - 2 moderation exercises carried out and YJB assured that this reflected service standards - Bi-monthly audits with quality assurance check by SIT Team - Monthly YOS performance meeting to review national KPIs, act upon trends and drive improvement plan - Triage support to divert low level offenders from YJS - Packages of support to manage young people's risk appropriately in the community for those who are sent to custody YOS Partnership Improvement Board is overseeing the Improvement Plan - YOS Inspection preparation by all partners.	2	4	8		Director, Children's Services (Janet Bailey)
10	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 and children in care Effect(s): - Cost implications of out of borough placements (Cross refer Budget risk) - Impact for children's welfare and development	Professional Financial	3	3	9	- Close monitoring of placements and eligibility criteria - Budget monitoring and forecasting - 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 - Out of borough officer in Placements Team reviewing OOB placements and those placed in Bromley from other authorities	3	3	9	- Carrying out a review of how to move this forward Review of children's residential, IFA and semi- supported 16+ market in borough and discussions with Bromley providers to increase our ability to place with them.	Director, Children's Services (Janet Bailey)
11	Strategy, Performance and Corporate Transformation	Data Collections Failure to undertake statutory statistical data collections; including pupil census, attainment data and key 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 Strategy and Performance 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, Strategy, Performance and Corporate Transformation (Naheed Chaudhry)
12	Education	30 hours funded childcare for three and four year olds of working parents. 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 dissatisfaction - Official notification from DfE regarding failure to fulfil statutory duty - Delays in payment to providers, destabilising local businesses.	Political, Reputational	1	3	3	- Work to stimulate the market has increased capacity overall and work continues, minor local pockets at low risk of pressure remain - Monitor eligibility, confirmations and take up of places to predict growth of demand - IT funding system resolution securred and early implementation underway	1	3	3	IT solution implementation in progress. Phase 1 testing and training to be completed. Final autumn claims to be submitted via new system. Parent Portal to roll out in Feb 2020. Fully operational, incl monthly payments from April 2020. Updated Sufficiency report to be available June 2020	
13	Education	Speech and Language Therapy Failure to provide appropriate SALT services to children and young people	Cause(s): - Current service provision not meeting needs of children and young people in a timely way Effect(s): - Failure to meet the need of children and young people including those with SEN/D and other vulnerabilities	Legal Reputational Professional	4	3	12	- Review of service begun in November 2018 to consider impact and effectiveness of current provision and potential service improvements Identification of additional funding for 2018/19. £250,000 from BCF funding and £90,000 from Bromley Clinical Commissioning Group.	4	3	12	- Multi-agency review of SaLT provision underwayRecommendations regarding the SLT service were taken through LBB governance processes with reports presented to the Children, Education & Families Policy Development and Scrutiny Committee on 9th July 2019 and LBB Executive Committee on 10th July 2019, and received formal Member agreement, with additional capacity from September 2019. Further review of how SLT is delivered within Bromley is also underway, reporting December 2019.	Director of Education (Jared Nehra)



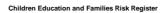
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14	Strategy, Performance and Corporate Transformation	Social Care Information System Failure to procure and implement new system	Cause(s): - Failure to establish tender specification of need - Failure to procure within budget - Failure to retain Programme Manager and appoint team to manage implementation - Failure to effectively implement and go live Effect(s): - Failure to safeguard vulnerable children and adults - Failure to manage children and adult records effectively	Financial Legal Data	4	5	20	- A multi-disciplinary Programme Board in place - Reviewing landscape of procurement options - Qualified and experienced Programme Manager appointed.	3	5	*	Developing tender specification	Assistant Director, Strategy, Performance and Corporate Transformation (Naheed Chaudhry)

Risk Assessment Guidance



		Risk Lik	elihood Key		
	Score - 1 Remote	Score - 2 Unlikely	Score - 3 Possible	Score - 4 Likely	Score - 5 Definite
Expected frequency	10 - yearly	3 - yearly	Annually	Quarterly	Monthly

		Risk II	npact Key		
Risk Impact	Score - 1	Score - 2	Score - 3	Score - 4	Score - 5
Kisk iiiipact	Insignificant	Minor	Moderate	Major	Catastrophic
Compliance & Regulation	Minor breach of internal regulations, not reportable	Minor breach of external regulations, not reportable	Breach of internal regulations leading to disciplinary action Breach of external regulations,	Significant breach of external regulations leading to intervention or sanctions	Major breach leading to suspension or discontinuation of business and services
			reportable	or saricions	business and services
Disruption to one service		Between £50,000 and £100,000	Between £100,000 and £1,000,000	Between £1,000,000 and £5,000,000	More than £5,000,000
		Disruption to one service for a period of 2 weeks	Loss of one service for between 2-4 weeks	Loss of one or more services for a period of 1 month or more	Permanent cessation of service(s)
Reputation	Complaints from individuals / small groups of residents	Complaints from local stakeholders	Broader based general dissatisfaction with the running of the council	national media	Persistent adverse national media coverage
	Low local coverage	Adverse local media coverage	Adverse national media coverage		Resignation / removal of CEX / elected Member
Health & Safety Minor incident resulting in		Minor Injury to Council employee or someone in the Council's care	Serious Injury to Council employee or someone in the Council's care	employee or someone	Multiple fatalities to Council employees or individuals in the Council's care





Q2 2018/19

													Q2 2018/19
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13	Education	School Standards Failure to meet duty to promote educational achievement of all children	Cause(s): - Abdication of responsibility for outcomes for all children - Failure to use available intelligence to recognise when schools are letting children down - Failure to intervene effectively when schools let children down Effect(s): Impact on life chances and outcomes for children and young people	Political Legal Professional Reputational	1	4	4	- Improve collation and analysis of information about performance of schools and outcomes for children - Establish pathways to challenge and support school improvement and outcomes for children - Maximise every contact with schools to balance lack of school improvement and resources - Relationship with teaching schools to support school improvement	1	3	3		Director, Education (Gillian Palmer)
16	Children's Socia 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 - dedicated fostering recruitment officer appointed 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 Publicity on busess and petrol station pumps Appointed 26 new foster carers between July 17 - February 2018 Awarded first Kite Mark in country for fostering Monthly drop in sessions being held closer to foster carer homes within Children and Family Centres Support to SGO carers provided in C&F Centres Out of hours fostering support commenced in July 2018 Coram psychologist accessible to carers 2 days a week Support for grandparents and other family members who are providing full time care through Grandparents Plus Joint training of social work professionals and foster carers Head of Service attending Fostering Network Groups Fostering and Adoption Panels merged in January 2018	3	2	6	Head of Service to lead on the development of improved support and training 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	З	9	Review of all young people in B&B accommodation (post 18 years) undertaken - no young people housed in B&B. 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. Homelessness strategy reviewed, including the priority of 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	- A Gateway report will go to Committee in October for tendering the Care Leavers Accommodation Service	Director, Housing (Sara Bowrey) Director, Children's Services (Janet Bailey)
5	Children's Servic	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	- Failure of provider	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, as part of the Corporate Contract Management System) 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	Director, Children's Services (Janet Bailey) Director, Education (Jared Nehra)