

Children, Education and Families Risk Register - Appendix B4

Q2 2021/22

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	Children's Services	Failure to deliver Children's Services Financial Strategy	<p>Cause(s):</p> <ul style="list-style-type: none"> - 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. - Specific cost factors impacting transport services <p>Effect(s):</p> <ul style="list-style-type: none"> - 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		<ul style="list-style-type: none"> - 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 	4	5	20	<ul style="list-style-type: none"> - Plans are in place in Children's Social Care for improving sufficiency whilst reducing identified areas of budget. - Transformation work being undertaken on High Needs spend on SEND 	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	<p>Cause(s):</p> <ul style="list-style-type: none"> - Local authority response to Bromley Safeguarding Children's Partnership following Wood Review. <p>Effect(s):</p> <ul style="list-style-type: none"> - Impact on life chances and outcomes for children 	Legal, Reputational	3	5	15		<ul style="list-style-type: none"> - 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	<ul style="list-style-type: none"> - Phase 3 'to excellence' plan continues with Performance Improvement Board (PIB) sessions continuing to be held quarterly. - Practice review cycle has continued as has Practice Assurance Stocktakes (PAS) despite COVID-19 - Due to Covid-19, progression of some elements of this work have been delayed. 	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	<p>Cause(s):</p> <ul style="list-style-type: none"> - 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 <p>Effect(s):</p> <ul style="list-style-type: none"> - 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		<ul style="list-style-type: none"> - 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	<ul style="list-style-type: none"> - April 2021 - workforce currently 84% permanent, despite challenges of Covid-19 	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	<p>Cause(s):</p> <ul style="list-style-type: none"> - 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) <p>Effect(s):</p> <ul style="list-style-type: none"> - Business interruption - failure to deliver services, loss of customer / resident satisfaction. - Emergency planning - failure to deliver statutory duties. 	Personnel, Reputational	2	5	10		<p>Business Interruption</p> <ul style="list-style-type: none"> - 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 <p>Emergency Planning</p> <ul style="list-style-type: none"> - 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	<ul style="list-style-type: none"> - Business Continuity Plans reviewed annually. BCP reviewed and activated in response to Covid 19 	Director, Children's Services (Janet Bailey) Director, Education (Jared Nehra)			
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	<p>Cause(s):</p> <ul style="list-style-type: none"> - 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 <p>Effect(s):</p> <ul style="list-style-type: none"> - Disruption to the education of children and impact on their life chances 	Political, Legal, Professional	3	4	12		<ul style="list-style-type: none"> - 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 	4	3	12	<ul style="list-style-type: none"> - Continue to work with DfE on delivery of approved new secondary and special Free Schools at the earliest possible opening date 	Director, Education (Jared Nehra)			

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6	Children's Services	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 - Lack of suitable opportunities for young people locally 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 and 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 and apprenticeships for Children Looked After - Tracking service in conjunction with South London CCIS Service - 'Door knocking' - ETE Strategy for LCT and Care is in place with ETE panel and DWP/Bromley education business partnership, I aspire and social care working to identify new opportunities for young people at risk of NEET - I-aspire, a 4 year pilot programme, in partnership with Lewisham and Greenwich, providing support for care leavers most at risk of NEET is into year 3- all young people are offered 1:1 progression coaching and specialist ETE advice.		3	2	6	- Work experience and apprenticeship programmes are delayed due to Covid 19 - Monitoring the length of time YP remain NEET to measure impact of Covid 19 and efficacy of NEET strategy within CLA and Leaving Care service	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 - Route review and rationalisation - Gateway review to improve efficiency - Interim arrangements for adult transport in place to cover period from September 2019 to August 2020 - Tender exercise completed and framework contract awarded		3	3	9	- Review of policy - consultation being undertaken - Travel training / personal transport budgets work to commence in September 2021	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	- SEN service realigned to improve decision making and management oversight - Service Level Agreements being established with mainstream settings with additionally resourced provisions to provide clarity across both parties - Legal advice to be drawn in to support complex tribunal cases - Local Area Autism Partnership established - Annual review programme, with additional resource identified - Covid-19 programmes established - data reporting, collaborative risk assessments, vulnerable CYP programme and CFA Modifications - Special Free School tendering process underway, Specialist placement planning model commissioned - Engagement framework finalised, CYP participation officer in place - Additional capacity in the Statutory assessment team agreed, recruitment in train with specific focus on vulnerable groups including CLA/LC cohort, CME/CMoE, NEET and EHE - increased resource identified to support schools in confidence to deliver education for CYP who have Dyslexia and other specific learning difficulties (SpLD)		3	3	9	- QA programme for placements in independent schools revised and programme of visits to recommence September 2021 - ASD Joint Strategy in development - CYP Participation Officer post extended with workplan agreed - Bromley Teaching Schools leading SEN training collaborative to support school improvement. - Placement planning for September 2021 and beyond - Additional local placement capacity in development - Options for SEND placement funding review being considered - Additional capacity in the Statutory assessment team identified and recruitment underway - Annual review project reviewed and re-established and broadened with multi-agency task and finish group - Quality Assurance and Improvement Framework revised and changes currently being embedded - Explore commissioning options for therapy capacity - Special Free School - identify Trust to deliver the new school - increase resource for Educational Psychology agreed, challenge with shortage of EP nationally - blended model of delivery developed - PRA approach revised	Director, Education (Jared Nehra)		
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	12	- Youth Justice Plan 2021 in place. - Implementation of the Youth Justice Strategy 2020-2023 in place - Fortnightly Improvement Board with Head of Service and YOS management team - Frequent auditing programme as part of CSC Practice Improvement timetable. - 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. - New Strategic Board chaired by the CEO - Three sub groups to the Strategic Board chaired by partners as part of YOS Inspection prep - Youth Justice Board self assessment of National standards submitted July 20		2	4	8	- Readiness for Youth Offending Service inspection is monitored through challenge sessions and Improvement Board meetings - SEF is being completed with story board for inspection - Covid 19 has slowed some progress, inspection also will be delayed	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 at multi agency resource panel - 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 - Laptop distribution to all NEET over summer 2020 to support accessing online training/learning during pandemic		3	3	9	- 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. - Step down from residential to foster care programme in place. - Work with housing to support Young People moving to own tenancy when ready and reduce risk of homelessness	Director, Children's Services (Janet Bailey)		

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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	Funded childcare places for two, 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): - Early Years Provider businesses failing financially as a result of Covid 19 closures and impact on the childcare sector - Insufficient places within local sector resulting in Local Authority failure to meet its statutory duty - Inability to fully implement IT system to support parental registrations Effect(s): - Parental dissatisfaction (availability of places or Parental Portal system failures) - Official notification from DfE regarding failure to fulfil statutory duty - Delays in payment to providers, destabilising local businesses and businesses and loss of confidence in LA's processes.	Political, Reputational		2		3		6	- Work to stimulate the market has increased capacity overall and work continues, local pockets at low risk of pressure exist. - These may be exacerbated by impact of C-19 pandemic - Monitoring eligibility, confirmations and take up of places to predict growth of demand, weekly data monitoring of attendance and unmet demand. - Early Years Sufficiency assessment underway with initial findings report due April 2021 - IT funding system resolution rollout of phases 1 and 2 implemented with automated monthly payments to settings now live and Census data captured within system.		2		3		6	- IT solution implementation to include development of parental portal - Completion of Sufficiency Risk Assessment, findings and recommendations for next steps - Pilot re-introduction of "Golden Ticket" for funded 2 year old places to stimulate demand for places thereby improving existing settings sustainability.	Director, Education (Jared Nehra)
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 SEND and other vulnerabilities	Legal Reputational Professional		4		3		12	- Review of service undertaken to consider impact and effectiveness of current provision and potential service improvements. - Identification of additional funding for 2019/20. £250,000 from BCF funding and £90,000 from Bromley Clinical Commissioning Group.		4		3		12	- Multi-agency review of SaLT provision underway. - Further review of how SaLT is delivered within Bromley is also underway - Occupational Therapy - urgent actions being taken to identify support for EHCP Needs Assessments professional advice - sourcing urgent specialist	Director of Education (Jared Nehra)
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 Failure to meet regulators expectations (Ofsted)	Financial Legal Data		4		5		20	- Programme Board established providing governance - Multi-disciplinary 'SCIS' team appointed and contracts secured. - Procurement strategy agreed, tenders evaluated, programme within budget, award of contract brought forward to May 2020 from July. - SCIS team influencing Transformation work streams to maximise digitalisation opportunities.		2		2		4	- Implementation phase development ongoing – reflective of Covid19 impact - Go live on schedule for April 2022.	Assistant Director, Strategy, Performance and Corporate Transformation (Naheed Chaudhry)
15	Education	School Attendance Ensuring return of children to school	Cause(s): - Children not returning to school following Covid-19 lockdown - Increased EHE declarations - Lack of real time data from schools Effect(s): - Children may not be in receipt of satisfactory education	Legal Reputational		3		4		12	- EWOs support schools with improving attendance - EHE officers monitor and follow up on new EHE cases & CSC involvement checked - Mental health and wellbeing initiatives being prioritised		2		4		8	- Further monitoring of EHE and non-attendance, working closely with schools to respond to Covid-specific guidance	Director of Education (Jared Nehra)