

Tri-Borough Children's Services Risk Log - TOP RISKS - RATING OF 12 and over - H&F Scrutiny 17th June 2015

Risk Number	Key Risks	Consequences	STRATEGIC/CHANGE (Portfolio, Programme, Project) or OPERATIONAL Risk (Business as usual)	PESTLE cc	Inherent risk / Initial risk rating			Residual risk February 2015			Residual risk April 2015			Risk Owner	Existing Controls
					Impact 1 - Insignificant 5 - Major	Likelihood 1 - Improbable 5 - Likely	Total	Impact 1 - Insignificant 5 - Major	Likelihood 1 - Improbable 5 - Likely	Total	Impact 1 - Insignificant 5 - Major	Likelihood 1 - Improbable 5 - Likely	Total		
<b>Tri-borough Children's BAU and Overall Change Portfolio</b>															
BAU4, 6, 22,23 and 30	If <b>serious harm</b> comes to a child or young person to whom we have a duty of care for, then the Council and/or partner agencies could be seen to be at fault.	- Potential injury to a client. - Reputational harm.	Operational	Reputation	5	4	20	5	3	15	5	3	15	CC/MC/IH/SM	- Family Services Directors manage the risk within their departments and ensure controls are in place so that no serious harm comes to a child or young person. - Employees have enhanced DBS checks. Ongoing SRQA and LSCB activities to ensure quality assurance. - Review lessons learnt from cases and ensure appropriate local safeguarding training is given to staff.
BAU9	If the <b>Looked after Children numbers</b> start to rise, then there will be an increasing demand for placements. Even without a rise in overall numbers, ongoing or even increased demand for high cost placements, particularly for adolescents, will put pressure on placements budget	- Financial overspend	Operational	Financial/Budgeting	4	4	16	4	3	12	4	3	12	CC/MC/SM	- The Assistant Director of Tri-borough LAC/ Care Leavers will drive forward work within the Tri-borough Service. - A LAC tracker in place to monitor numbers and need. - LAC numbers are monitored against national trend. - Launch of Focus on Practice.
BAU1,BAU2 and BAU3	If <b>staff morale</b> is low, then this may impact on service delivery and people leaving. Specific areas: 1. If pay, terms and conditions are not comparable for staff from different boroughs completing equivalent roles, then this may have negative impact 2. If workforce anxiety about on-going changes to services, people may leave 3. If workforce is reduced, then this reduces capacity/capability to deliver change.	- Failure to meet the needs and expectations of our customers and politicians - Failure to meet the needs of the service	Operational	People	4	4	16	4	3	12	4	3	12	AC/CC/MC/AF/IH/DMC/SM/DR/RWT	- There is no single corporate solution however, there are opportunities to look at this at individual directorate/ service level. - On-going staff engagement and consultation should take place and suitable handover and knowledge sharing opportunities should take place before exit. - Workforce Strategy developed
BAU20	If there is a failure to <b>align public health priorities</b> to support improved outcomes for children and their families then we may not be able to exploit the benefits of public health investment which may impact on delivering services.	- Failure to meet the needs and expectations of our customers and politicians	Strategic	Reputation	4	3	12	4	3	12	4	3	12	RWT	- Ensure regular engagement takes place between colleagues in health services and colleagues across the department.
BAU21	The changing relationship with schools; we need to ensure effective <b>financial standards and processes</b> are in place in all schools.	- Failure to meet the needs of the school - Reputational harm	Operational	Financial/Budgeting	4	4	16	4	3	12	4	3	12	DMC	- Review and develop the Scheme for Financing Schools across the tri borough to incorporate the funding, procurement and legislative changes. - Review the findings of Audit reports to develop and target training at areas of concern and weaknesses in the operation of financial processes within schools.
BAU18	<b>Commissioning and Procurement approach</b> - If we do not carry out processes properly (including ensure 'sovereignty' implications) then there is a risk of challenge. BAU but also in projects across the Children's Dept.	- Reputational harm - Financial	Operational	Political&Policy	4	4	16	4	4	16	4	3	12	RWT	- Ensure that we understand the complexity and timescales of the procurement process and that sufficient time is planned in to undertake the procurement process with robust governance. - Where required, inclusion of appropriate 'Sovereign' legal advice - Appropriate level of customer engagement
BAU33	If current improvements in the delivery of <b>Passenger Transport and Travel care and support services</b> are not sustained, then this will impact on service users and will cause reputational and financial damage to each council.	- Service failure – Children not transported safely - Failure to meet the needs and expectations of our customers and politicians. - Savings not realised	Operational	Customer/Client	5	5	25	5	3	15	5	3	15	RWT / RM	- Clear performance monitoring and contract management in place. - Robust remedial action taken when required. - Clear governance arrangements in place. - Report by exception to SLT and other governance boards when required. - Specific risk log to be implemented. - Specific implementation of service development and improvement plan.
<b>Children's Projects</b>															
CwD12a/SEN12b	Negative impact on each authority if the changes required from the <b>new Children &amp; Families Act</b> are not adequately delivered	- Failure to meet legislative requirements - Reputational harm	Strategic	Legislative/Regulatory	4	5	20	4	3	12	4	3	12	IH	Children's & Families Act Executive Board and programme governance in place. Board actively manages high level risks - EHC Plans now being delivered. Multi agency resource allocation panel in place to support and moderate decision making/ give oversight to high cost placements and joint commissioning. Working with parents via Parents Reference Group. - Full communications and workforce development plan being rolled out across all agencies. A clear programme and transition plan are in place. Key risk remains capacity to deliver assessments to the 20 week timescale.
ICS35	If the delivery of a <b>single ICS solution</b> is not feasible or is significantly delayed then this will have a significant impact on several projects and services.	- Failure to meet the needs of service - Failure to deliver projects on time - No savings realised	Operational	Technological	4	4	16	4	4	16	4	3	12	RWT	- SLT have agreed a pathfinder approach for requirements capture, and will review feasibility for the other services on 22/4/15. - A representative from Corporate ISD will be joining the Project Board and working with the Project Team on the next phases of work. - The project is monitored through JSRB/Portfolio Board on a monthly basis.
Capital 20	If <b>Academy conversions</b> processes are not completed on time, then there will be a negative impact on each authority	- Failure to deliver improvements and/or changes on time	Strategic	Economic/Financial	4	3	12	4	3	12	4	3	12	IH	- Monitoring report to each LA's Schools Capital Programme Board to highlight risks as necessary.
2 Year Old Offer 133	<b>2 year old offer</b> - Fails in its statutory duty to provide sufficient places to meet local need, or to support target parents to take up places.	- Each borough could fail in its forthcoming statutory duty to provide sufficient places - Reputational harm	Strategic	Economic/Financial	4	3	12	4	3	12	4	3	12	RWT / MP	- Capital funding for further expansion is being focused on the schools sector. - Steering Group in place. - Three working groups who are overseeing workstreams
Youth 166/ Children's Centres 167	<b>LBHF Transformation proposals for the Young Peoples Service and Children's Centres</b> - inability to reshape services to meet community expectations within available resources.	- Lack of buy in from stakeholders and partners - Reputational harm - Savings not realised	Change	Political&Policy	5	5	25	4	4	16	4	3	12	RWT/SM	- Communication and engagement plan in place. Consultation to take place. - Senior management oversight when project reported monthly by exception to FS Directors via Service Review Board and by exception to SLT. - Councillor oversight through Scrutiny Committee. - Engagement with Public Health and Clinical Commissioning Groups in co-design and joint commissioning.
FoP 195-213	<b>Focus on Practice Programme</b> (overall) - programme fails to deliver the planned benefits including the reduction in LAC numbers and those on child protection plans.	- Prog does not deliver on its objectives, Reputational harm - Reduction in re-referrals, LAC numbers and those subject to CP plans not met	Strategic	Political&Policy	5	4	20	5	3	15	5	3	15	CC/MC/SM	- FoP Programme Board actively managing risks and monthly report by exception to Children's SLT via Portfolio Board. - FoP working group working across all aspects of the project. - Engaging members, service users, staff and other stakeholders . - Cost delivery and Benefits Realisation Plans being developed.
SALT 285	<b>Speech and Language Therapy Service</b> - inability not to procure a commissioned service between the Local Authorities and CCGs by October 2016 ( <b>NEW</b> )	- Reputational harm - Time delays - Financial risk as savings not	Strategic	Political&Policy	4	3	12			0	4	3	12	SB/AF/MM	- Second project group scheduled to take place in April 2015. - A provisional implementation timeline has been drafted and will be reviewed at project group meeting in April. - Vacant commissioner post has been filled.
Comm Reorg 326	<b>Commissioning reorganisation</b> - If the commissioning directorate reorganisation does not complete either to time or to budget then the savings assigned to the directorate will not be achieved. ( <b>NEW</b> )	- Failure to meet savings target	Change	Social	4	4	16			0	4	3	12	RWT	- Ensure that we understand the complexity and timescales of the HR processes and all necessary sign off. - Ensure all stakeholders briefed and engaged. - Ensure staff communication are in place.