



Risk Register


Risk Register - Corporate Risk Register

Net Risk Level Summary

Green	0	Amber	6	Red	0	Total	6
Net Risk Level Changes		1	-1		1		-1 

Editor: Jahnvi Jagadish

Risk Title	Risk Ref	Risk Owner	Action Progress	Created	Last Review	Next Review
Failure to achieve a balanced budget in the context of unprecedented pressures, which could significantly limit the delivery of other services for Children	SMBCC0147	Beate Wagner	<div style="width: 91%; background-color: yellow;">91 % complete</div>	23/05/2018	05/03/2024	05/06/2024

Potentially Caused by	Potentially Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Action Progress	Net Risk	Previous Net Risk
- Unprecedented demand for Children Social Care Services at national level - Unpredictable demand for looked after children placements - Increased demand for special school places which through necessity is typically met with out of borough placements causing additional costs on the SEND transport budget	- Impact on outcomes for children and young people - Reduction in other areas of service delivery in order to cover cost of acute services - Financial implications - Legal implications - Reputational damage	Red 9	• Use of budget strategy reserve approved by full council. <i>Beate Wagner</i>	Complete		100	Amber	9 
			• Future Funding agreed as part of MTFS (as at 24.02.22) <i>Tim Browne</i>	Complete		100	Medium Likelihood	-1
			• Development of the Edge of Care Service linked to Social Care Improvement Plan <i>Beate Wagner</i>	In progress	31/03/2024	50	High Impact	
			• Childrens Improvement Plan regularly updated and progressed <i>Beate Wagner</i>	In Place		100		
			• Ensure robust commissioning and procurement of appropriate cost effective education placements to meet children's needs <i>Tim Browne</i>	In Place		100		
			• Financial Recovery Plan overseen by the Director of Children's Services & reporting to the Chief Exec & Leader of the council <i>Beate Wagner</i>	In Place		100		
			• Joint Additional Needs Strategy and delivery plan in place <i>Beate Wagner</i>	In Place		100		
			• Reshaping of Education services – completed <i>Tim Browne</i>	Complete		100		
• Graduated approach for children and young people with additional needs <i>Tim Browne</i>	In progress	31/03/2024	30					

		<ul style="list-style-type: none"> • Review of Specialist Commissioning Strategy <i>Tim Browne</i> • SEND Improvement Board established <i>Tim Browne</i> • Development of workforce Strategy <i>Beate Wagner</i> • Monthly Children's Social Care financial modelling <i>Beate Wagner</i> • Review of Sufficiency Strategy completed <i>Aimee Wright</i> 	Complete		100	
			In Place		100	
			In Place		100	
			Complete		100	
			Complete		100	



Review Comments Following MTFS agreements in February 2024 to manage the adverse variance, risk/mitigating measures will be updated during the 24/25 financial year.
05/03/2024

Risk Title	Risk Ref	Risk Owner	Action Progress	Created	Last Review	Next Review		
Avoidable death, serious harm or abuse of a child where the Council has a duty of care; Child safeguarding practice review or Domestic Homicide Review publication leading to adverse publicity	SMBCC0149	Beate Wagner	100 % complete	13/07/2010	05/03/2024	05/06/2024		
Potentially Caused by	Potentially Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Action Progress	Net Risk	Previous Net Risk
<ul style="list-style-type: none"> - Negligent action or failure to take action or excessive delay in taking action - Poor quality assessment and planning - Inexperienced staff - Poor supervision - Failure of systems including partnership information sharing - Failure to follow safeguarding procedures and processes 	<ul style="list-style-type: none"> - The Council being held liable for a death or serious injury to a child - Increased risk of litigation, prosecution and compensation claims - Loss of confidence and damage to reputation - Future recruitment challenges - Cost pressures 	Red 9	<ul style="list-style-type: none"> • Clear Improvement plans for both Children's Social Care and also the Safeguarding Partnership have been created and shared. <i>Beate Wagner</i> • Monthly Executive and Lead Member meetings on safeguarding performance. <i>Beate Wagner</i> • Recruitment of an Independent Scrutineer to provide 'external' objective challenge and accountability to the partnership <i>Beate Wagner</i> • Engagement in the Ofsted monitoring schedule, where mini inspections of children's social care take place on a quarterly basis <i>Beate Wagner</i> • Regular audits (full file and dip sampling) are taking in place to assess standards of practice and intervene where appropriate <i>Beate Wagner</i> • Additional capacity added through a fourth head of service <i>Beate Wagner</i> • Recruiting a Performance Manager to drive the oversight, reporting and accountability of the improvement journey <i>Beate Wagner</i> • Engagement with the DfE appointed Regional Improvement Partner (Birmingham Children's Trust) <i>Beate Wagner</i> • Development of Workforce Strategy to recruit and retain staff and provide necessary training. <i>Beate Wagner</i> 	In Place		100	Amber 8 Medium Likelihood High Impact	

		<ul style="list-style-type: none"> Ongoing weekly engagement with the statutory commissioner <i>Beate Wagner</i> 	In Place		100	
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Review Comments Practice development and improvement continues at a pace including the launch of the Early Help Board to ensure the overall system is coordinated , as well as developing a revised Quality Assurance Framework. The third Ofsted monitoring visit was completed in January and within the publicised report it was noted that “since the last inspection, social work practice has improved”. We are confident the changes , are being embedded which is also supported by a mandatory practice leadership training programme. Ultimately these developments in practice and across the service contributes to a lessening of risk, but nonetheless there remains service wide issues relating to demand, capacity and having an experienced workforce in place. Consequently for this quarter the level of risk remains at net 8 (Amber) pending the next review in 3 months time.

05/03/2024

Risk Title	Risk Ref	Risk Owner	Action Progress	Created	Last Review	Next Review		
Risks to MTFS delivery due to pressures in Children's Services, pressures in Social Care and inflationary pressures	SMBCC0133	Andrew Felton	92 % complete	06/01/2011	05/03/2024	05/06/2024		
Potentially Caused by	Potentially Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Action Progress	Net Risk	Previous Net Risk
- Significant demand in Children's services - JTAI (joint targeted area inspection) of Children's Services leading to improvement plan - Adult Social care demand - High Inflation Levels - Higher than budgeted pay award - Cost of living impact	- Council may not be able to deliver all its priorities. - Reductions in services - The Council may not be able to pursue investment opportunities.	Red	<ul style="list-style-type: none"> • Strict monitoring of Budget Delivery by CLT <i>Andrew Felton</i> 	In Place		100	Amber	
		9	<ul style="list-style-type: none"> • Budget Strategy Reserve <i>Andrew Felton</i> 	In Place		100	Medium Likelihood	
			<ul style="list-style-type: none"> • Business Rates Windfall <i>Andrew Felton</i> 	In Place		100	High Impact	
			<ul style="list-style-type: none"> • Regular lobbying of government for further funding <i>Andrew Felton</i> 	In Place		100		
			<ul style="list-style-type: none"> • Financial Sustainability Board established and will meet for the first time in March 2024 <i>Andrew Felton</i> 	In progress		50		
			<ul style="list-style-type: none"> • Some service specific reserves are in place <i>Andrew Felton</i> 	Complete		100		
Review Comments	Risk reviewed and mitigations updated by Andrew Felton 05/03/2024							

Risk Title	Risk Ref	Risk Owner	Action Progress	Created	Last Review	Next Review		
Inefficient systems and processes to share warning and information markers when dealing with a person, property or location for SMBC and SCH activities	SMBCC0154	Andrew Felton	<div style="width: 86%; background-color: yellow;"></div> 86 % complete	25/07/2014	12/01/2024	12/04/2024		
Potentially Caused by	Potentially Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Action Progress	Net Risk	Previous Net Risk
<ul style="list-style-type: none"> - IT system malfunction or failure - Corporate and local warning marker and information systems out of sync - Warning markers and information markers held in multiple local systems that are not reflected in corporate system, e.g. LiquidLogic, Trading Standards, SCH (Open Housing) - Information not being maintained by individual services/teams - Issues with accessing information to keep it up-to-date - Data quality issues in the corporate system - Insufficient use of the Corporate Warning Marker Register 	<ul style="list-style-type: none"> - Employees not being aware of warning and information markers when dealing with a person, property or location - Examples include potentially violent persons, environmental issues & property hazards, dangerous pets, customers with learning difficulties or disabilities who need additional assistance when communicating with them - Potential situations which may give rise to incidents, accidents and near misses occurring affecting the health and safety of employees and other people - Risks to customers themselves - Unable to demonstrate IT had adequate arrangements to protect staff - Significant fines / prosecution for non-compliance of health and safety and data protection legislation 	9	<ul style="list-style-type: none"> • Corporate Warning Marker Board to receive monthly performance reports and Board members to complete follow-up action as needed <i>Lizzie Edwards</i> • Implement Communications Plan to ensure that staff are aware of the Register and the requirements in the Warning Marker Policy <i>Lizzie Edwards</i> • Implement audit process to ensure that local systems and other corporate systems are up to date and correct <i>Lizzie Edwards</i> • Councillor access to warning marker information being organised <i>Andrew Felton</i> • Implement Children's Services specific communications plan to raise awareness and use in Children's Services <i>Lizzie Edwards</i> • Corporate system in place and available on the Intranet and records held on other systems <i>Andrew Felton</i> • Corporate Warning Marker Policy in place, produced by Information Governance Team and updated by Hazard Warning Marker Group <i>Andrew Felton</i> • Corporate Warning Marker Board led by the AD for Adults and will report back to the CSSG/DLT/CLT <i>Lizzie Edwards</i> • Membership from all key stakeholders, e.g. Information Governance, IT, Risk Management, Health and Safety, Social Care, SCH etc <i>Lizzie Edwards</i> 	<ul style="list-style-type: none"> In Place Complete In progress Complete Proposed In Place In Place In Place In Place 	<ul style="list-style-type: none"> 30/03/2024 31/03/2024 	<ul style="list-style-type: none"> 100 100 50 100 0 100 100 100 100 	8 Medium Likelihood High Impact	

		<ul style="list-style-type: none"> • Corporate Warning Marker Board to meet regularly with appointed warning marker officers & ensure systems are working effectively <i>Lizzie Edwards</i> 	In Place		100	
		<ul style="list-style-type: none"> • Use of new IT system to be monitored by Corporate Safeguarding Group <i>Andrew Felton</i> 	In Place		100	

Review Comments Risk reviewed by the Chair of the Corporate Warning Marker Board - process in place for the risk to be regularly reviewed through the Board. Mitigating actions updated and added to.
12/01/2024

Risk Title	Risk Ref	Risk Owner	Action Progress	Created	Last Review	Next Review		
Failure to secure sufficient funding to deliver the UK Central Programme	SMBCC0144	Mary Morrissey	<div style="width: 75%; background-color: yellow;"></div> 75 % complete	08/06/2017	17/01/2024	25/03/2024		
Potentially Caused by	Potentially Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Action Progress	Net Risk	Previous Net Risk
- Lack of funding in the West Midlands Combined Authority (WMCA) Investment Programme - Pace at which the UK Central Programme needs to progress compared to when funding might be available - Date by which funding commitments need to be given to HS2 Limited for them to change their base scheme.	- The full economic growth potential of UK Central is not realised. - SMBC does not get HS2 Limited to change its base scheme. - Infrastructure and wider projects in the UK Central programme do not get funded.	Red 9	<ul style="list-style-type: none"> Updated MUSE Masterplan being developed for the Arden Cross site <i>Mary Morrissey</i> Regular communication with WMCA Finance Director and Investment Director on funding position of the CA Investment Programme. <i>Paul Johnson</i> Quarterly funding claims are made to WMCA <i>Mary Morrissey</i> Regular dialogue with HS2 Limited and the DfT about funding requirements for the UKC hub site. <i>Mary Morrissey</i> Rigorous project and financial management arrangements in place <i>Mary Morrissey</i> Governance of all UKC activity to be consolidated UKC PMO to approve/monitor project progress & financial commitments <i>Mary Morrissey</i> Contributions from other funding bodies & partner contributions being pursued as an alternative source incl EBNS LUZ & HE <i>Mary Morrissey</i> Live pipeline of projects maintained to access grant funding for wider UKC objectives <i>Mary Morrissey</i> Build strong business cases, incl securing resources for delivery & resilience. To include retention of HMG £50m MSCP grant <i>Mary Morrissey</i> 	<ul style="list-style-type: none"> In progress In Place In Place In Place In Place In progress In progress In progress 	<ul style="list-style-type: none"> 31/03/2024 31/03/2024 31/03/2024 31/03/2024 	<ul style="list-style-type: none"> 50 100 100 100 100 50 50 50 	Amber 8 Medium Likelihood High Impact	

		<ul style="list-style-type: none"> • Submit change requests to reallocate WMCA funding secured by the UGC to UK Central priorities <i>Mary Morrissey</i> 	In progress	31/03/2024	50	
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Review Comments Actions updated to reflect closure of the UGC.
17/01/2024

Risk Title	Risk Ref	Risk Owner	Action Progress	Created	Last Review	Next Review		
Failure of the Council as landlord to keep residents safe in SCH managed homes.	SMBCC0168	Mary Morrissey	<div style="width: 80%; background-color: yellow;"></div> 80 % complete	06/09/2023	06/03/2024	29/03/2024		
Potentially Caused by	Potentially Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Action Progress	Net Risk	Previous Net Risk
<ul style="list-style-type: none"> - Incorrect interpretation of and compliance with current legislation, particularly the Building Safety and Fire Safety Acts and Regulations. - Not preparing for emerging and future legislation and regulation. - Not designating roles and accountability in line with the legislation. - Not having robust action and delivery plans in place. - Lack of effective assurance, oversight and challenge of the action and delivery plans. - Lack of robust governance arrangements in SMBC and SCH. - Non compliant building materials 	<ul style="list-style-type: none"> - Injury and fatality (residents and workforce) - Building Safety Regulator intervention and enforcement. - Prosecution, including individual and corporate action. - Financial loss. - Reputational damage. 	9	<ul style="list-style-type: none"> • Remediation of non compliant spandrel panels <i>Fiona Hughes</i> • Expert interpretation of the legislation and provision of advice to the Principal Accountable Person. <i>Mark Wills</i> • Designation of the Principal Accountable Person required by the Building Safety Act. <i>Mary Morrissey</i> • A robust Building Safety Operational Plan for in scope SCH high rise/risk buildings. <i>Fiona Hughes</i> • A Building Safety Assurance Board chaired by the PAP with representation from SCH and relevant SMBC functions. <i>Mary Morrissey</i> • Scrutiny and challenge of building safety information by the Building Safety Assurance Board. <i>Mary Morrissey</i> • Regular reports to the SMBC Strategic Housing Board. <i>Mary Morrissey</i> • Regular reports to the Cabinet Member for Housing, relevant scrutiny boards and CLT. <i>Mary Morrissey</i> • Mandatory reporting of fires, fire related incidents and structural issues to Building Safety Assurance Board. <i>Fiona Hughes</i> • Registration of the 37 high rise/risk buildings with the Building Safety Regulator and submission of key building information. <i>Darren Baggs</i> 	<ul style="list-style-type: none"> In progress In Place In Place In Place In Place In Place In Place In Place In Place 	<ul style="list-style-type: none"> 30/03/2024 	<ul style="list-style-type: none"> 0 100 100 100 100 100 100 100 100 	<ul style="list-style-type: none"> Amber 8 Medium Likelihood High Impact 	

		<ul style="list-style-type: none"> • Preparation of Building Safety Cases for the 37 high rise/risk buildings. <i>Darren Baggs</i> • Commissioning and completion of structural and other surveys and findings reported via gov framework. <i>Darren Baggs</i> • Ensure all relevant SMBC staff have the necessary building safety training and qualifications. <i>Mary Morrissey</i> • Appointment of the AD for Housing at SMBC to lead and manage assurance processes. <i>Mary Morrissey</i> • Establishment of and reporting through robust governance arrangements at SMBC & SCH. <i>Mary Morrissey</i> 	Planned	30/06/2024	0	
			In progress	30/06/2024	50	
			In progress	31/03/2024	50	
			In Place		100	
			In Place		100	

Review Comments Risk reviewed by the Building Safety Assurance Board on 29/2/24. It agreed that the net score of amber 8 should be retained. It will be reviewed again by the Board on 26/3/24 when updates on the actions due at the end of March will be considered.
06/03/2024

Registers : 1

Risk Register - Service Delivery SLT

Net Risk Level Summary

Green 0 Amber 1 Red 0 Total 1

Net Risk Level Changes

0	1	0
0	0	0
0	0	0

Editor Jason Ward

Risk Title	Risk Ref	Risk Owner	Action Progress	Created	Last Review	Next Review
Impact of MHRA Alert for risk of Entrapment and falls due to inappropriate supply and fitting of equipment.	OCB0013	Mike Strauss	<div style="width: 50%; background-color: red;"></div> 50 % complete	09/02/2024		09/05/2024

Potentially Caused by	Potentially Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Action Progress	Net Risk	Previous Net Risk
Inappropriate fitting and supply of Medical beds, trolleys, bed rails, bed grab handles and lateral turning devices Inadequate risk assessment and maintenance issues Worn bed or broken parts a key cause of falls. Risk assessment not being updated following a change of equipment or a change in a patient's condition Children and adults with atypical anatomy using inappropriate equipment	Risk of falls or death Entrapment	Amber 8	• Prescriber risk assessments in place to screen for appropriate equipment. <i>Peter Budge</i>	In progress	31/03/2024	50	Amber 8 Medium Likelihood High Impact	
			• Ensure all new order requests for this equipment has a risk assessment completed by the prescriber to ensure it is appropriate <i>Mike Strauss</i>	In progress	31/03/2024	50		
			• Check all the implicated equipment for correct fitting – there are approx. 6000 grab handles that have been supplied by CES <i>Mike Strauss</i>	In progress	31/03/2024	50		
			• Admin staff to call people that have a grab handle to check welfare and advise on checks required <i>Mike Strauss</i>	In progress	31/03/2024	50		
			• Ensure children that have been supplied adult beds have those changed as priority <i>Mike Strauss</i>	In progress	31/03/2024	50		
			• Issue a communication brief to prescribers on this alert and the actions being taken by CES. <i>Mark Wills</i>	In progress	31/03/2024	50		
			• Communication brief to be issued to providers to ensure they are aware of the alert and how to refer equipment for checking. <i>Mike Strauss</i>	In progress	31/03/2024	50		

Review Comments

Adult Social Care

Registers : 1

Risk Register - Education Outcomes and Intervention

Net Risk Level Summary

Green	0	Amber	1	Red	0	Total	1
Net Risk Level Changes							

0	1	0
0	0	0
0	0	0

Editor Clair McNeill

Risk Title	Risk Ref	Risk Owner	Action Progress	Created	Last Review	Next Review
Failure to support Children Looked After (CLA) educational attainment prevent exclusion or becoming Children Missing Education (CME) or Not in Education, Employment or Training (NEET)	IAEOI0002	Clair McNeill	<div style="width: 71%; background-color: yellow;"></div> 71 % complete	14/02/2023	04/01/2024	04/04/2024

Potentially Caused by	Potentially Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Action Progress	Net Risk	Previous Net Risk
- The virtual school team is the same size as 4 years ago while the number of children supported have nearly doubled - There are more children with a greater complexity of need. - Virtual school head is also a caseworker for 90+ children - Managing the context around a child takes longer due to Lack of stable social worker relationships - Team currently not supporting 2 year old olds as required by the statutory guidance	- Inability to monitor the progress of all children in care and advocate for our children and young people - Failure to make sure children are supported at all stages of their education and have the best opportunities to be successful in their adult lives - Inability to physically go and see the nearly 50% of the children who are placed out of borough - Quality assuring Personal Education Plans (PEPs) not being done consistently - Inconsistent support to staff dealing with complex situations alongside the complexity of need.	Red 9	• 2 year fixed term virtual school officer <i>Clair McNeill</i>	Complete		100	Amber	
			• Approval for 3 terms for an Assistant Head <i>Clair McNeill</i>	In progress	30/03/2024	50	Medium Likelihood	
			• Admin and finance officer to become interim business manager for 3 terms <i>Clair McNeill</i>	In progress	30/03/2024	50	High Impact	
			• Business manager and Assistant head to provide stability and leadership in the instance the Head Teacher is on leave <i>Clair McNeill</i>	In progress	30/03/2024	50		
			• Business case being presented to increase capacity to support the rising CLA numbers as well as including 2 year olds <i>Clair McNeill</i>	Complete		100		
			• Protocols with Social work heads of service to minimise disruption to children's education <i>Clair McNeill</i>	In progress	30/03/2024	50		
			• Personal Education Plan coordinator position created to meet statutory requirement <i>Clair McNeill</i>	Complete		100		

Review Comments On going recruitment into the team to support this work.
04/01/2024

Children and Education Services

Risk Register - Educational Inclusion & Access

Editor

Tim Browne

Risk Register - Educational Inclusion & Access

Net Risk Level Summary

Green	0	Amber	2	Red	0	Total	2
Net Risk Level Changes							

0	2	0
0	0	0
0	0	0

Editor Tim Browne

Risk Title	Risk Ref	Risk Owner	Action Progress	Created	Last Review	Next Review
High Needs Block deficit falls within the Council balances	IANS0001	Tim Browne	<div style="width: 76%; background-color: yellow;"></div> 76 % complete	06/10/2022	26/02/2024	26/05/2024

Potentially Caused by	Potentially Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Action Progress	Net Risk	Previous Net Risk
- Significant pressures on high needs budgets have resulted in many local authorities, including Solihull, accruing deficits on their Dedicated Schools Grant (DSG). - Temporary government legislation ring-fences High needs block deficits to within the DSG and separates them from councils' wider financial position in their statutory accounts. At March 2023, the accumulated Dedicated schools grant (DSG) High Needs Block deficit was £16.359m. The 2023/24 outturn will add to this risk level. - This ring-fence is due to end after the accounts close for the financial year 2024-25 - Subsequent to this date LAs will need to demonstrate their ability to cover DSG deficits from their available reserves.	- Impact on level of reserves held by the council for underwriting commitments, risks and the budget strategy. - Potential adverse impact on prudent level of reserves, which may have adverse impact on provision of council wide services.	Red 9	• High Needs Management Plan <i>Steve Fenton</i>	Complete	22/01/2024	100	Amber	
			• Opening of the new Autism free school (Sept 2023) is designed to reduce spend on out of borough independent places <i>Tim Browne</i>	In Place	30/09/2023	100	Medium Likelihood	
			• SMBC in Tranche 1 of the DfE's Delivering Better Value programme, which will provide external capacity to analyse cost pressures <i>Tim Browne</i>	Complete	31/03/2023	100	High Impact	
			• Respond to Dedicated Schools Grant (DSG) Information Gathering from Central Government on the DSG Statutory Override <i>Paul Johnson</i>	Complete		100		
			• Respond to any further consultation or requests from Central Government relating to scale & impact of statutory override changes <i>Paul Johnson</i>	Complete	31/03/2023	100		
			• Working with other LAs, and CX/Treasurer groups to raise the profile of the risk with the government <i>Paul Johnson</i>	In progress		50		
			• Roll out of DBV Programme <i>Clair McNeill</i>	In progress	31/03/2025	50		
• £1m is being invested in 2023-24 to deliver improvements in inclusion in schools and education. <i>Tim Browne</i>	In progress	31/03/2025	10					

Review Comments Awaiting feedback from DfE and CIPFA following the submission of the HNB Deficit Management Plan
26/02/2024

Children and Education Services

Risk Register - Educational Inclusion & Access

Editor

Tim Browne

Risk Title	Risk Ref	Risk Owner	Action Progress	Created	Last Review	Next Review
Failure to meet statutory requirements within Children & Families Act relating to SEND	IANS0002	Ruth Tennant	<div style="width: 76%; background-color: yellow;"></div> 76 % complete	02/09/2014	26/02/2024	26/05/2024

Potentially Caused by	Potentially Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Action Progress	Net Risk	Previous Net Risk
- Poor financial controls - Insufficient staff resources - Lack of agreed process and procedures across the local area (SMBC, Health) - Failure to issue educational health care plans within 20 week timescale and failure to comply with legal requirements to provide education placements	- Impact on outcomes for children and young people - Children's needs not met - Reputational damage, e.g. Quality / number of complaints - Tribunals - Judicial Review - Written statement of action	Red 9	• Ongoing review of Educational Health Care Plan (EHCP) timescale <i>Charlotte Jones</i>	Complete		100	Amber 8 Medium Likelihood High Impact	
			• Establish Joint Additional Needs Board, Strategy and Delivery Plan <i>Tim Browne</i>	In Place		100		
			• Monitor impact of new provider and new procedures on controls over direct payments <i>Anna Stephens</i>	In Place		100		
			• Implement all advice from Legal Service SEND specialist including further additional training for EHCP Team <i>Tim Browne</i>	In Place		100		
			• DSG Deficit management Plan <i>Tim Browne</i>	In Place		100		
			• Continued implementation of Additional Needs Strategy <i>Tim Browne</i>	In progress	31/12/2025	50		
			• Delivering Better Value Programme <i>Clair McNeill</i>	In progress	31/03/2025	10		
			• MTFS bid to provide additional capacity for EHCP team to address EHCP backlog and demand increase <i>Tim Browne</i>	In progress	01/04/2024	50		
			• Market forces payments for Education Psychologists <i>Tim Browne</i>	Complete		100		
• Increasing specialist capacity through the delivery of a new special school <i>Steve Fenton</i>	In progress	01/09/2027	50					

Review Comments All mitigations are progressing, however there is considerable lead in time. Currently in discussions with special schools to expand provision in the short term - which has been successful. Enhanced banding rate introduced to enable mainstream schools to provide additional support for pupils awaiting specialist provision now in place.

Awaiting outcome of full council decisions regarding MTFS proposal on 27/02/24

26/02/2024

Children and Education Services

Registers : 2

Risk Register - Bereavement Services

Net Risk Level Summary

Green	0	Amber	1	Red	0	Total	1
Net Risk Level Changes							

0	1	0
0	0	0
0	0	0

Editor Annabel.Dolphin

Risk Title	Risk Ref	Risk Owner	Action Progress	Created	Last Review	Next Review
Failure to maintain service improvements	ESBS0041	Annabel.Dolphin	<div style="width: 42%; background-color: red;"></div> 42 % complete	12/06/2023	28/12/2023	28/03/2024

Potentially Caused by	Potentially Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Action Progress	Net Risk	Previous Net Risk
Bereavement services failing to follow the reviewed, revised and approved processes and policies for service delivery both at a local level and corporately.	Reputational damage amongst peers but also within the bereaved communities and with visitors to our grounds.	Amber 8	<ul style="list-style-type: none"> Regular Management Review <i>Annabel.Dolphin</i> Work with the team to increase their involvement and 'buy in' to the Corporate processes. <i>Annabel.Dolphin</i> Operating Manuals for Contract Management <i>Annabel.Dolphin</i> 	Planned	31/03/2024	0	Amber 8	
				In progress	30/09/2024	50	Medium Likelihood	
				In progress	31/03/2024	75	High Impact	

Review Comments Service is currently going through a period of self audit. There is work in progress to review activities to ensure the actions from the audit are maintained.

This will be further reviewed when audit come back but the management team is currently reviewing activity to ensure compliance.

28/12/2023

Risk Register - Stronger Communities

Net Risk Level Summary

Green	0	Amber	1	Red	0	Total	1
Net Risk Level Changes							

0	1	0
0	0	0
0	0	0

Editor Austin Rodriguez

Risk Title	Risk Ref	Risk Owner	Action Progress	Created	Last Review	Next Review
Homes for Ukraine: Risk of harm to sponsors and refugees participating in the scheme	STC0002	Austin Rodriguez	<div style="width: 100%; background-color: green;"></div> 100 % complete	26/07/2022	15/02/2024	15/05/2024

Potentially Caused by	Potentially Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Action Progress	Net Risk	Previous Net Risk
- Lack of capacity to undertake relevant safeguarding checks before refugees arrive with their sponsors. - Limitations in the vetting and checking process to identify people who may be a risk to others. - Lack of understanding about the impact and implications of household sponsorship within refugee resettlement. - Abuse of the scheme by UK citizens and/or Ukrainian nationals	- Exploitation, trafficking, modern slavery. - Domestic abuse. - Child abuse, criminal and child sexual exploitation. - Financial abuse.	Amber 8	• Complete all government mandated vetting and checking processes before refugees arrive or move in with a new sponsor <i>Dajana Vasij</i>	Complete		100	Amber 8 Medium Likelihood High Impact	
			• Advice and support services put in place for sponsors and guests <i>Dajana Vasij</i>	In Place		100		
			• Regular contact with sponsors and guests to provide information, advice, visibility and resources <i>Austin Rodriguez</i>	In Place		100		
			• Multi-agency safeguarding and support panel <i>Austin Rodriguez</i>	In Place		100		
			• Homelessness response and rematching processes put in place <i>Austin Rodriguez</i>	Complete		100		

Review Comments No change to the nature of the risk, although the number of new households arriving has reduced significantly. However, with recent arrivals also now able to host refugees from Ukraine, and the nature of the Homes for Ukraine scheme in general, the safeguarding risks remain a concern.
15/02/2024

Economy and Infrastructure Directorate

Registers : 2

Risk Register - Public Health Directorate

Net Risk Level Summary

Green	0	Amber	1	Red	0	Total	1
Net Risk Level Changes		1	-1		1		-1

1	0	0
0	0	0
0	0	0

Editor Donna Vines

Risk Title	Risk Ref	Risk Owner	Action Progress	Created	Last Review	Next Review
Risk of not securing operational revenue for the Family Hub offer beyond transformational funding	PHD0085	Denise Milnes	<div style="width: 81%; background-color: yellow;"></div> 81 % complete	12/07/2023	04/03/2024	04/09/2024

Potentially Caused by	Potentially Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Action Progress	Net Risk	Previous Net Risk
- Failure to secure sustainable funding	- An inability to deliver the Family Hub offer having committed to this when receiving £1m of DfE transformational funding.	Amber 7	<ul style="list-style-type: none"> To conduct robust financial modelling across directorates in the Council and partners <i>Denise Milnes</i> Application to the Fairer Futures Fund to embed the multi-disciplinary Family Hub model during the first year of operation. <i>Denise Milnes</i> Build into Medium Term Financial Strategy to ensure transparency of the required operational revenue from 2026-27 onwards <i>Denise Milnes</i> Continuing work to explore additional budget measures during transition to Children's and Corporate Landlord.. <i>Denise Milnes</i> 	Complete		100	Amber 7 Low Likelihood High Impact	8 -1
				Complete		100		
				Complete		100		
				In progress	30/06/2024	25		

Review Comments The Fairer Futures Fund bid has been successful to embed the Family Hub transformation and operational revenue has been identified until 2027-28. In 2027-28, there will be a £275k shortfall of funding that will need to be covered by the Children's Directorate, potentially from savings achieved through the early intervention and preventative work in the Family Hub offer .
04/03/2024

Public Health Directorate

Registers : 1

Risk Register - Benefits

Net Risk Level Summary

Green 0 Amber 1 Red 0 Total 1

0	1	0
0	0	0
0	0	0

Net Risk Level Changes

Editor Jane Smith

Risk Title	Risk Ref	Risk Owner	Action Progress	Created	Last Review	Next Review
Housing benefit expenditure for temporary accommodation not reducing or actually increasing.	IAB0006	Joanne Robinson	<div style="width: 80%; background-color: yellow;"></div> 80 % complete	10/10/2023	03/01/2024	03/04/2024

Potentially Caused by	Potentially Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Action Progress	Net Risk	Previous Net Risk
-Continued or increased use of temporary accommodation specifically the use of B&B's and hotels.	- Considerable cost to the general fund as housing benefit expenditure for temporary accommodation does not attract 100% subsidy. - No formal budget for the cost to the general fund, spend is currently within the Resources directorate leading to an overspend.	Red 9	• Collaborative working with colleagues in SMBC to identify alternative options to temp accommodation <i>Joanne Robinson</i>	In Place		100	Amber 8 Medium Likelihood High Impact	
			• Regular reporting of issues and potential solutions to the Strategic Housing Board <i>Austin Rodriguez</i>	In progress	29/03/2024	50		
			• Explore alternative options to temp accommodation through preventative and more subsidy friendly options <i>Joanne Robinson</i>	In progress	29/03/2024	50		
			• Regular monitoring of housing benefit expenditure and subsidy for Non-HRA benefit (temporary accommodation) <i>Joanne Robinson</i>	In Place		100		
			• Accurate forecasting of likely expenditure and subsidy for temp accommodation included in DWP estimate claims <i>Joanne Robinson</i>	In Place		100		

Review Comments Risk reviewed.
03/01/2024

Resources Directorate

Registers : 1

Risk Totals 14

Total Registers 8
