

## Appendix A1 – People Scrutiny Commission - Corporate Risk Register Q3 2023-2024 as at December 2023

### Threat Risk Performance Summary

Risk	Page Number	Q4 Rating (22/23)	Q4 Matrix (22/23)	Q1 Rating (23/24)	Q1 Matrix (23/24)	Q2 Rating (23/24)	Q2 Matrix (23/24)	Q3 Rating (23/24)	Q3 Matrix (23/24)
CRR55 - Children placed in unregistered provision may be at risk	11	N/A	N/A	28 ↓		28		28	
CRR9 - Possible Failure of Safeguarding Vulnerable Children	3	21 ▬		21 ▬		21 ▬		21 ▬	
CRR10 - Safeguarding Adults may be at Risk with Care and support needs.	5	15 ▬		21 ↓		21 ▬		21 ▬	
CRR51 - ASC may be financial unsustainable due to national and local pressures leads to a failure to deliver statutory duties and budgetary control	8	21 ▬		21 ▬		21 ▬		21 ▬	
CRR56 – Potential threat to the ASC Care Quality Commission (CQC) Assurance Preparedness and Rating	12	15 ▬		15 ▬		21 ↓		21 ▬	
CRR45 - Potential failure to deliver statutory duty in respect of Children	7	20 ↓		20 ▬		20 ▬		20 ▬	
CRR53 - Increased social worker and occupational therapists vacancies and sickness rates may result in vulnerable adults care being compromised	9	20 ▬		20 ▬		20 ▬		20 ▬	
CRR39 - Adult and Social Care major provider/supplier may fail to deliver as expected	6	15 ↑		15 ▬		15 ▬		9 ↑	

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## CORPORATE RISKS DE-ESCALATED FROM THE CORPORATE RISK REGISTER Q3

### Threat Risks De-Escalated


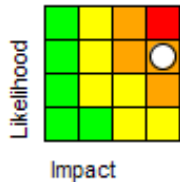
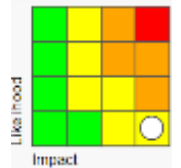
Risks for De-escalation	Page Number	Q4 Rating (22/23)	Q4 Matrix (22/23)	Q1 Rating (23/24)	Q1 Matrix (23/24)	Q2 Rating (23/24)	Q2 Matrix (23/24)	Q3 Rating (23/24)	Q3 Matrix (23/24)
CRR54 - Potential Threat of Financial Sustainability of Nursery Schools	10	21 Escalated		21		6		6	

### Risk Trend Key

Arrow	Description
	The risk rating has improved from the previous quarter, having reduced in its severity.
	The risk rating has deteriorated from the previous quarter, having increased in its severity.
	The risk rating has not changed from the previous quarter.


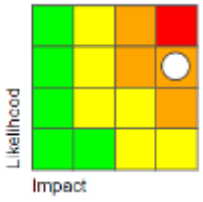
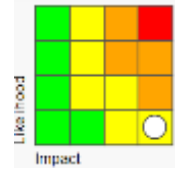
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### Threat Risks


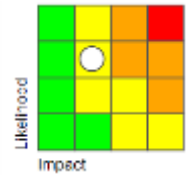
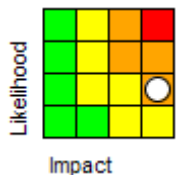
Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level			
<p><b>Risk Title:</b> CRR9 - Possible Failure of Safeguarding Vulnerable Children</p> <p><b>Description:</b> The council fails to prevent increased risk of harm to children, resulting in harm or death to a vulnerable child.</p>	<p><b>Constant</b></p> 	<p><b>21</b></p> <p>Likelihood = 3 Impact = 7</p>		<p><b>7</b></p> <p>Likelihood = 1 Impact = 7</p>			
<p><b>Risk Causes:</b></p> <ul style="list-style-type: none"> <li>-Demand for services exceeds service capacity and capability.; Inadequate controls result in harm.</li> <li>-Increase in child protection, complex safeguarding risks, criminal exploitation, serious youth violence and gang affiliation.; Hidden harm resulting from periods of lockdown, increased stress in families and service disruption during COVID</li> <li>-Placement failure due to COVID infection across children's home or fostering households.</li> <li>-An increase in demand of 6% evident across care population - specific pressures are clear for teenagers and unaccompanied children requiring our care</li> </ul>	<b>Existing Controls</b>		<b>Mitigating Actions</b>				
	<b>Control</b>		<b>Action Title</b>			<b>Due Date</b>	<b>Progress</b>
	DCS quarterly assurance report to Corporate Leadership Board Inspections and Peer Reviews		Procure a strategic partner to undertake work regarding extra familial harm and with our children who go missing from home or care.			October 23	85%
	Quality assurance and performance framework in place.		Our Families Transformation Programme			March 2025	20%
Strategic Risk Assurance		Working with other Councils			March 2024	30%	
<p><b>The Keeping Bristol Safe Board</b> provides independent scrutiny of children's safeguarding and safer communities' arrangements in the city and holds BCC and partner agencies to account.</p>							
<p><b>Risk Owner(s):</b> Executive Director Children and Families</p>							
<p><b>Portfolio Flag:</b> Children's Services, Education &amp; Equalities</p>	<p><b>Summary of Progress:</b></p> <p>Quality Assurance and performance framework in place and reported on at regular intervals through to cabinet members and Scrutiny. DCS quarterly assurance report to Corporate Leadership Board and action taken to address areas for improvement. The Keeping Bristol Safe Board provides independent scrutiny of children's safeguarding and safer communities' arrangements in the city and holds BCC and partner agencies to account. LGA review undertaken and new Independent Chair driving improvements. Services and structure aimed at ensuring delivery of a safe system of work for safeguarding children and communities. Reviewing various areas of specific vulnerability and implementing improvements:</p> <ul style="list-style-type: none"> <li>• resource in place for missing children by appointment of a strategic partner</li> <li>• reviewing quality assurance practice to ensure consistent quality of audits and sufficient number. Support provided by Islington through PiP.</li> <li>• Appointed a strategic partner to review and redesign extrafamilial harm pathway and services through DfE funds</li> <li>• reviewing child sexual abuse pathway with partners</li> <li>• Revised (as part of KBSP) Threshold document</li> <li>• implementing 'Safe and Together' approach to Domestic Abuse in families.</li> <li>• Our Families Transformation Programme to deliver better outcomes for children and families.</li> <li>• DfE Grant following Enhanced Diagnostics pilot to improve services to and outcomes for children. Consultants regarding adolescent services. housing pathway and recruitment and retention now started</li> </ul>						
<p><b>Strategic Theme:</b> Our Organisation, Empowering and Caring, Wellbeing.</p>							

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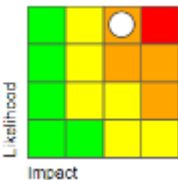
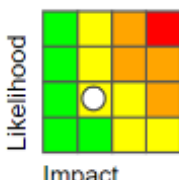
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Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p><b>Risk Title:</b> CRR10 - Safeguarding Adults may be at Risk with Care and support needs.</p> <p><b>Description:</b> The council fails to ensure adequate safeguarding measures are in place for adults at risk.</p>	<p><b>Constant</b></p> 	<p><b>21</b></p> <p>Likelihood = 3 Impact = 7</p>		<p><b>7</b></p> <p>Likelihood = 1 Impact = 7</p>	
<p><b>Risk Causes:</b> Adequacy of controls.; Management and operational practices. Demand for services exceeds capacity and capability. Poor information sharing. Lack of capacity or resources to deliver safe practice. Reduction in or lack of supply of commissioned care. Failure to commission safe care for adults at risk. Failure to meet the requirements of the 'Prevent Duty' placed on Local Authorities. Increased destitution in families, impacting on mental ill health, managing increased infection within the population. (COVID19); Increase identification of self-neglect and complexity. Carer strain / resilience.</p> <p><b>Risk Consequences:</b> Financial damage Legal liability Death/Injury Reputational damage</p> <p><b>Risk Owner(s):</b> Executive Director People, Director Adult Social Care.</p>	<p><b>Existing Controls</b></p>		<p><b>Mitigating Actions</b></p>		
	<p><b>Control</b></p>	<ul style="list-style-type: none"> <li>Annual report shared with Elected Members to allow for scrutiny of progress of the Keep Bristol Safe Partnership (KBSP).</li> <li>Training for all key staff in the essentials of safeguarding.</li> <li>Twice weekly business continuity meeting around supply of commissioned care and active management of waiting list.</li> <li>Improved Data through PowerBI – capturing safeguarding concerns feeding into monthly management operational meetings</li> <li>Safeguarding Discussion Forum – multi-agency held monthly – sharing information on high risk/complex cases</li> </ul>	<p><b>Action Title</b></p>	<p><b>Due Date</b></p>	<p><b>Progress</b></p>
			<p>Demand Management Review</p>	<p>March 24</p>	<p>0 %</p>
			<p>Workforce - maximising staffing resources within budget</p>	<p>Dec 2023</p>	<p>0%</p>
<p><b>Portfolio Flag:</b> Adult Social Care &amp; Integrated Care System</p>	<p><b>Summary of Progress:</b> Risk remains; reviewed 23 November 2023. Waiting list tray being developed by Business Analyst to enable greater insight, and operational team is working on introducing best practice model for prioritisation of waiting lists to mitigate risk.</p>				
<p><b>Strategic Theme:</b> Strategy Theme: Our Organisation, Empowering others and Caring, Fair and Inclusive, Well connected, Wellbeing.</p>					



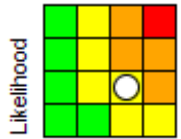
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Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level		
<p><b>Risk Title:</b> CRR39 – Adult and Social Care major provider/supplier may fail to deliver as expected failure</p> <p><b>Description:</b> Failure or potential degradation of ASC service provision linked to a complex set of internal / external risks causing service interruption or cessation. Failures or closures in the supply chain mean insufficient supply to source adequate appropriate support and meet Care Act needs.</p>	<p><b>Improving</b></p> 	<p><b>9</b></p> <p>Likelihood = 3 Impact = 3</p>		<p><b>14</b></p> <p>Likelihood = 2 Impact = 7</p>		
<p><b>Risk Causes:</b> - Provider goes into liquidation or ceases operations -Provider unable to meet demand due to recruitment / workforce/ or organisational issues. -Factors influencing provider/supplier failure: Increased demand and increased complexity of need of individuals putting further pressure on social care sector. Chronic workforce recruitment and retention problems heightened by pandemic. The social care sector facing a number of other issues – highly competitive job market, covid 'exhaustion', rising energy costs, changes to National Living Wage, inflation/ raising costs of supplies, high cost of living in Bristol, significant pressures from two large acute hospitals.</p> <p><b>Risk Consequences:</b> Citizens (many of whom are very vulnerable) may have services ended or reduced without much notice putting them at risk and causing distress Lack of suitable local provision may mean people moving away from community, support networks Lack of alternative provision should mean not meeting statutory duties under Care Act Pressures on ASC workforce (social work, contracts, brokerage commissioning etc) to review and find alternative provision in timely manner Financial pressures as demand may drive prices up Lack of suitable provision resulting people moving to inappropriate more costly provision (e.g. care home instead of home care)</p> <p><b>Risk Owner(s):</b> Executive Director People, Director Adult Social Care.</p>	<b>Existing Controls</b>		<b>Mitigating Actions</b>			
	<ul style="list-style-type: none"> <li>Daily review of supply and sustainability issues and x3 week business continuity meetings across operations</li> <li>Twice weekly Operational Business continuity meetings</li> <li>Weekly ASC Business continuity meeting – DMT level</li> <li>Weekly produced Sit Rep with information on Covid Outbreak Management, supply, demand, provider quality</li> <li>Regular information received from D&amp;B Credit ratings to help assess financial risk</li> <li>Each major contract (Home Care, Care Homes, Community Support Services, ECH) has a multi-disciplinary Business Relations team which assess risks to those provisions and plan response whether QA or Commissioning</li> <li>Provider Sustainability Panel is a forum where ASC can assess the financial issues facing individual provider and consider support options</li> <li>Regular meetings with a) key Strategic Providers in the city b) all provider forums and regular dialogue with Care and Support West Care Association</li> <li>Daily assessment of supply - via Brokerage team, Business relationship team and Contracts</li> <li>Strategic Planning and information sharing with CCG, other LAs and other key stakeholders - Great integration across BNSSG and joint problem solving, sharing of information and resources.</li> <li>Provider Failure/Service Interruption Process</li> </ul>		<b>Action Title</b>	<b>Due Date</b>	<b>Progress</b>	
			Provider RAG rating to identify essential / difficult to replace services	March 24	10%	
<p><b>Portfolio Flag:</b> Adult Social Care &amp; Integrated Care System <b>Strategic Theme:</b> Our Organisation, Empowering others and Caring, Fair and Inclusive, Well connected, Wellbeing.</p>	<p><b>Summary of Progress:</b> It continues to be likely that a large supplier could fail but most likely be a planned exit and as market relatively stable, it would be able to cope.</p>					

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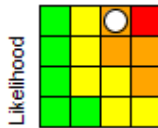
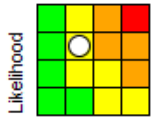
Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level		
<p><b>Risk Title:</b> CRR45 - Potential failure to deliver statutory duty in respect of Children</p> <p><b>Description:</b> Failure to deliver statutory duty in respect of the safeguarding of children resulting in harm or death to a child or other unmitigated risk to the local authority</p>	<p><b>Constant</b></p> 	<p><b>20</b></p> <p>Likelihood = 4 Impact = 5</p>		<p><b>6</b></p> <p>Likelihood = 2 Impact = 3</p>		
<p><b>Risk Causes:</b> Staffing failure: recruitment and retention COVID failure: business continuity plans fail due to higher infection/isolation Management failure: failure to oversee and respond in a timely way to child protection concerns, leaving children at risk</p> <p><b>Risk Consequences:</b> Harm or death of a child Inspection failure and regulatory action Litigation and reputational damage Other unpredicted costs to the LA</p> <p><b>Risk Owner(s):</b> Executive Director Children and Education.</p> <p><b>Portfolio Flag:</b> Children's Services, Education &amp; Equalities</p> <p><b>Strategic Theme:</b> Our Organisation, Empowering and Caring, Wellbeing.</p>	<b>Existing Controls</b>		<b>Mitigating Actions</b>			
	<b>Control</b>	<b>Action Title</b>	<b>Due Date</b>	<b>Progress</b>		
	1. Benchmarking salaries with regional levels	Implement transformation programme of Children's service	October 2024	41%		
	2. Investing in training and development					
	3. Over-recruiting where required					
	4. Reviewing system pressures and taking action on a weekly basis					
	5. Systemic unit model and integrated locality arrangements					
	6. Skilled and stable workforce with low use of agency workers - Continued low use of agency workers but turnover and vacancies have risen.					
	7. Strong multiagency children's safeguarding partnership under Keeping Bristol Safe arrangements					
8. Scrutiny of statutory safeguarding partners						
<p><b>Summary of Progress:</b> The Our Families Transformation Programme has identified strands to 1) Improve recruitment and retention of social workers. 2) Address demand management by focussed work to prevent children coming into care and improve placement sufficiency. 3) Respond to the findings within our Ofsted improvement plan. 4) Work is being planned across Adults and Children to improve Transitions for our children and timeliness of Care Act assessments. 5) DfE Grant to improve outcomes for children and linked to Our Families Transformation Programme has been approved and plan is in place to deliver against this over next 2yrs. Consultants appointed to work on models for adolescents, housing pathway and recruitment and retention of social workers. 6) The progress against the DfE grant and 7) Our Families Transformation programme is monitored through Our Families Board and CLB. The Directorate Improvement Plan encompasses actions against the risks.</p>						

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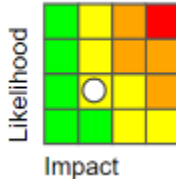
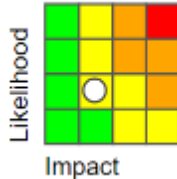
Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level		
<p><b>Risk Title:</b> CRR51 - ASC may be financial unsustainable due to national and local pressures leads to a failure to deliver statutory duties and budgetary control</p> <p><b>Description:</b> There is a risk that ASC financial unsustainability due to a number of national and local pressures compromises the ability to deliver statutory duties and the independence of people that draw on care and support.</p>	<p><b>Constant</b></p> 	<p><b>21</b></p> <p>Likelihood = 3 Impact = 7</p>	 <p>Likelihood</p> <p>Impact</p>	<p><b>10</b></p> <p>Likelihood = 2 Impact = 5</p>	 <p>Likelihood</p> <p>Impact</p>	
<p><b>Risk Causes:</b></p> <ul style="list-style-type: none"> <li>-Rising demand in Adult Social Care which must be met under the Care Act. Particularly from complex needs and higher cost requirements in people under 65. These needs are more likely to be met outside of area, be subject to lower personal contributions, and be needed for longer.</li> <li>-Increase of needs due to more health services being delivered in the community without appropriate funding following the patient.</li> <li>-Increased complex needs across our demographics that must be met under the Care Act.</li> <li>-Lack of funds available within budget to meet statutory duties.</li> <li>-Lack of systems in order to ensure effective governance and control of all spend.</li> <li>-Pressure from wider system pressures - for example, delays in hospitals which lead to increased long term cost provision for care.</li> <li>-Non-recurrent funding which limits opportunity for long term investment.</li> </ul> <p><b>Risk Consequences:</b></p> <ul style="list-style-type: none"> <li>- Overspending on the budget which may impact the wider council.</li> <li>-The consequence of this risk are that appropriate and effective care and support as required under the Care Act may not be possible for all those who require it. The consequence could be felt in the quality or quantity of care and support, or in both.</li> </ul>	Existing Controls		Mitigating Actions			
	Control	Action Title			Due Date	Progress
<ul style="list-style-type: none"> <li>• Established Care Cubed to improve pricing controls - enabling the service to maximise value for money.</li> <li>• Improved Business Intelligence - Developing advanced tools for analysing and reporting business intelligence and performance information.</li> <li>• Improved governance process on all spend - Improved case discussion where all spend is approved through tighter governance.</li> <li>• Leading integration opportunities with Health - Through establishment of the Integrated Care Board (ICB) BCC are leading implementation of integration opportunities which will maximise vfm e.g. joint commissioning of learning disability and autism team</li> <li>• Realignment of ASC Operations - Using new locality teams to work with local providers, community and voluntary sector to maximises care and support provision outside of Council statutory provision. This builds resilience in communities and individuals, and ensure statutory services are focused on the right interventions.</li> <li>• Reset the ASC Transformation Programme - Reset the programme to address market provision, workforce challenges, price control, practice and integration</li> </ul>	Strategic Partner (People Too) transformation work			March 2024	15%	
	Develop Single Framework			February 2024	50%	
	Increase the take up and opportunity around the use of technology enabled care			Sept 2023	100%	
	Review of in-house service provision to deliver efficiencies and savings			Sept 2023	100%	
<p><b>Portfolio Flag:</b> Children's Services, Education &amp; Equalities</p> <p><b>Portfolio Flag:</b> Adult Social Care &amp; Integrated Care System</p>		<p><b>Summary of Progress:</b></p> <p>Peopletoo and other transformation programmes in flight, but as we enter Q3 the risk of not balancing the budget becomes more acute. Risk combined of legacy saving projects, transformation and continued increase in demand. Some projects are progressing well and are delivering cash savings but not at the scale and pace required. Non-cashable saving also being delivered.</p>				
<p><b>Strategic Theme:</b> Our Organisation, Empowering and Caring, Wellbeing.</p>						





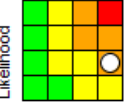
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Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level		
<p><b>Risk Title:</b> CRR53 - Increased social worker and occupational therapists' vacancies and sickness rates may result in vulnerable adults' care being comprised.</p> <p><b>Description:</b> Limited staff capacity within operational teams will result in increased waiting times for assessment and review potentially putting vulnerable adults at risk of going without sufficient care and support.</p>	<p><b>Constant</b></p> 	<p><b>20</b></p> <p>Impact = 5 Major Likelihood= 4 Almost Certain</p>		<p><b>9</b></p> <p>Likelihood = 3 Impact = 3</p>		
<p><b>Risk Causes:</b></p> <ul style="list-style-type: none"> <li>-Difficulties recruiting and retain experienced social workers and OTs. This is in line with national picture of increasing vacancy rates in statutory adult care social care departments across the country.</li> <li>-These vacancies are not distributed equally with some operational teams having nearly 50% vacant posts.</li> <li>-Sickness absence in operational teams have also increased during this period which is further compounding operational teams' ability to respond to those in most urgent need.</li> <li>-Cost of living crisis is also likely to impact on retention rates of social work staff</li> </ul>	<b>Existing Controls</b>		<b>Mitigating Actions</b>			
	<b>Control</b>		<b>Action Title</b>	<b>Due Date</b>	<b>Progress</b>	
<p><b>Risk Consequences:</b></p> <ul style="list-style-type: none"> <li>- As a result of this decreased operational capacity this has seen an increase in numbers of people waiting for assessment and reviews (insert data)</li> <li>-The percentage of individuals who have had an annual review of their care and support needs has also decreased in the last year with less than 50% of individual in receipt of care and support having had a formal review.</li> </ul>	<ul style="list-style-type: none"> <li>• Increase Social Work and OT Apprentice capacity - ASC have doubled the amount of SW and OT apprentices this year increasing to 6 SW Apprentices per year and 2 OT apprentices.</li> <li>• Operational Business Continuity plans duty - All operational teams have internal prioritisation process for workflow and demand. Additionally, they have robust duty systems in place with duty workers present to respond to urgent demands or cases to mitigate against highest risk of harm to citizens and respond in a timely way to those at greatest need.</li> <li>• Recruitment Strategy - Developed new recruitment strategy and implemented rolling recruitment advert.</li> <li>• Developing enhanced Wellbeing offer for operational staff - dedicated additional resource within Adult Workforce L&amp;D to enhance our wellbeing and support offer.</li> </ul>		Commission Workforce Strategy	November 2023	100%	
<p><b>Risk Owner(s):</b> Executive Director People, Director Adult Social Care.</p>						
<p><b>Portfolio Flag:</b> Adult Social Care &amp; Integrated Care System</p>						
<p><b>Strategic Theme:</b> Our Organisation, Empowering others and Caring, Fair and Inclusive, Well connected, Wellbeing.</p>	<p><b>Summary of Progress:</b> Work underway on TOM and Vision for ASC. Pay and non-pay options to shore up recruitment and retention progressing.</p>					


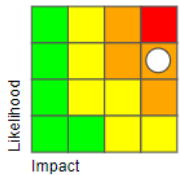
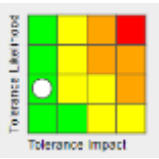
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Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p><b>Risk Title:</b> CRR54 - Potential Threat of Financial Sustainability of Nursery Schools</p> <p><b>Description:</b> The impact of Covid and union action on maintained nursery schools and classes will significantly reduce the funding provided to the LA and schools and could impact on sustainability and sufficiency (sufficiency being a statutory responsibility of the service) Ongoing underfunding of nursery schools continue to raise questions about their future.</p>	<p><b>Constant</b></p> 	<p><b>6</b></p> <p>Likelihood = 3 Impact = 2</p>		<p><b>6</b></p> <p>Likelihood = 3 Impact = 2</p>	
<p><b>Risk Causes:</b></p> <ul style="list-style-type: none"> <li>Availability of staff to service early years learning</li> <li>Census data weakened to inform on EY sector funding.</li> <li>Government process change.</li> </ul>	<b>Existing Controls</b>		<b>Mitigating Actions</b>		
	<b>Control</b>		<b>Action Title</b>	<b>Due Date</b>	<b>Progress</b>
<p><b>Risk Consequences:</b></p> <ol style="list-style-type: none"> <li>Increased financial deficits in maintained nursery schools leading to impact on the DSG and long-term sustainability.</li> <li>Reduction in places across the maintained sector on a permanent basis as schools close unsustainable nursery provision that impacts on the city's sufficiency plan.</li> </ol>	<ul style="list-style-type: none"> <li>Identification of potential financial impact</li> <li>Review of progress with agreed actions with targeted nursery schools.</li> <li>Published a council position on the strategic need for nursery schools and key areas where action is required to support sustainability.</li> <li>Individual finance visits to four targeted nursery schools with the largest in-year deficits to create action plans to tackle identified issues.</li> <li>Communication with nursery schools to establish Covid impact and impact on pupil numbers</li> <li>Development of a nursery transformation programme in collaboration with LA maintained nursery school headteachers and governors.</li> <li>Context conversations to capture the strengths and strategic importance of nursery schools as well as the financial and operational challenges.</li> </ul>	Continuing with the nursery transformation programme and working with nursery schools to implement action plans that will reduce in-year deficits and move towards sustainable models for the future.	April 24	55%	
		Bringing groups of nursery schools together the develop collaborative and federation models that share resources, leadership, skills and expertise.	April 24	50%	
		Modelling management of change and collaborate and federation models to inform discussions.	April 24	50%	
		Engaging with elected members to review strategic position of nursery schools and how the council can support remodelling and securing future sustainability.	April 24	45%	
<p><b>Risk Owner(s):</b> Executive Director People, Service Director Education and Skills</p>					
<p><b>Portfolio Flag:</b> Children's Services, Education &amp; Equalities</p>	<p><b>Summary of Progress:</b></p> <p>Increased government funding rates, including increased supplement for maintained nursery schools and increased hourly rates for 2 Year Olds and 3/4 Year Olds, are impacting positively on the school's in-year budget positions. Further funding to support government plans for the expansion of childcare and out of school wrap around care has been announced and officers are currently modelling the financial impact of these increases on current balances. The key challenge remaining is the repayment of the historical deficit of £7million. Discussions underway to agree a repayment plan that is manageable by schools and which meets outcomes of an Equalities Impact Assessment. Schools unable to repay historical deficit in 3-5 years, as stipulated by the financial regulations. Officers reporting to Our Families Board and Schools Forum updates provided.</p>				
<p><b>Strategic Theme:</b> Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing</p>					

Appendix A1 – People Scrutiny Commission - Corporate Risk Register Q3 2023-2024 as at December 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p><b>Risk Title:</b> CRR55 - Children placed in unregistered provision may be at risk</p> <p><b>Description:</b> There is a possible high threat risk for the council regarding children placed in unregistered provision which is unlawful.</p>	<p><b>Constant</b></p> 	<p><b>28</b> Likelihood = 4 Impact = 7</p>	 <p>Likelihood Impact</p>	<p><b>14</b> Likelihood = 2 Impact = 7</p>	 <p>Likelihood Impact</p>
<p><b>Risk Causes:</b></p> <ul style="list-style-type: none"> <li>The causes are placement sufficiency and increased numbers of children coming into care.</li> </ul>	<b>Existing Controls</b>		<b>Mitigating Actions</b>		
	<b>Control</b>		<b>Action Title</b>	<b>Due Date</b>	<b>Progress</b>
<p><b>Risk Consequences:</b></p> <ul style="list-style-type: none"> <li>Unlawful placements</li> <li>Negative Legal Impact</li> <li>Negative Ofsted Impact</li> </ul>	<ul style="list-style-type: none"> <li>Oversight of Director of Children and Families</li> </ul>		Improve placement sufficiency	March 2025	60%
			Explore with Ofsted more creative solutions	January 24	80%
<p><b>Risk Owner(s): Executive Director Children and Education</b></p>			Implementation of BCC Families Transformation Programme.	January 24	67%
<p><b>Portfolio Flag:</b> Children’s Services, Education &amp; Equalities</p>	<p><b>Summary of Progress:</b> The risk remains as we continue to have children placed in unregistered provision.</p>				
<p><b>Strategic Theme:</b> Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing</p>					

**Appendix A1 – People Scrutiny Commission - Corporate Risk Register Q3 2023-2024 as at December 2023**

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p><b>Risk Title:</b> CRR56 - Potential threat to the ASC Care Quality Commission (CQC) Assurance Preparedness and Rating</p> <p><b>Description:</b></p>	<p><b>Constant</b></p> 	<p><b>21</b></p> <p>Likelihood = 3 Impact = 7</p>		<p><b>2</b></p> <p>Likelihood = 2 Impact = 1</p>	
<p><b>Risk Causes</b> New line of work - learning whilst doing with little evidence base or benchmarking to refer to. Programme of work in preparation for inspection hitherto managed within BAU resource which has proved insufficient. Current workforce and operating model pressures are leading to risks to compliance in carrying out statutory duties, e.g. safeguarding, timely Care Act Assessments. Data and performance reporting (e.g. locality dashboard) delayed/unfinished.</p>	<b>Existing Controls</b>		<b>Mitigating Actions</b>		
	<b>Control</b>		<b>Action Title</b>	<b>Due Date</b>	<b>Progress</b>
	This is a new area of work, and so current control requirements are emerging as we learn from pilots.		LGA Peer Review (New)	January 2024	0%
			Reframed Approach to Self-Assessment (New)	December 2023	67%
			Resourcing Self-Assessment	October 2023	100%
<p><b>Risk Consequences:</b> People are families are waiting too long to be seen as teams are having to operate waiting lists, including in areas where there should be none, e.g. Safeguarding and First Response. Line of sight of risk is compromised. Individuals may come to harm.</p>					
<p><b>Risk Owner(s):</b> Director - Adult Social Care</p>					
<p><b>Portfolio Flag:</b> Adult and Communities – Adult Social Care</p>	<p><b>Summary of Progress:</b> Self Assessment complete with the support of additional resource. LGA Peer Review Prep is underway alongside engagement with partners and colleagues on the self assessment.</p>				
<p><b>Strategic Theme:</b> Empowering and Caring, Wellbeing Our Organisation</p>					

# Appendix A1 – People Scrutiny Commission - Corporate Risk Register Q3 2023-2024 as at December 2023

## Risk Scoring Matrix

		Threat Impact (Negative risks)					Opportunity Impact (Positive Risk)						
Threat Likelihood	Almost certain	4	4 (Low)	12 (Medium)	20 (High)	28 (Critical)	28 (Significant)	20 (High)	12 (Medium)	4 (Low)	4	Almost certain	Opportunity Likelihood
	Likely	3	3 (Low)	9 (Medium)	15 (High)	21 (High)	21 (High)	15 (High)	9 (Medium)	3 (Low)	3	Likely	
	Unlikely	2	2 (Low)	6 (Medium)	10 (Medium)	14 (High)	14 (High)	10 (Medium)	6 (Medium)	2 (Low)	2	Unlikely	
	Rare	1	1 (Low)	3 (Low)	5 (Medium)	7 (Medium)	7 (Medium)	5 (Medium)	3 (Low)	1 (Low)	1	Rare	
			1	3	5	7	7	5	3	1			
			Minor	Moderate	Major	Critical	Exceptional	Significant	Modest	Slight			

Threat Level	Opportunity Level	Level of Risk	Actions Required
1-4	1-4	Low	May not need any further action / monitor at the Service level.
5-12	5-12	Medium	Action required, manage and monitor at the Directorate level.
14-21	14-21	High	Must be addressed - if Directorate level consider escalating to the Corporate Risk Report, if Corporate consider escalating to the Cabinet Lead.
28	28	Critical / Significant	Action required - escalate if a Directorate level risk, escalate to the Corporate Level, if Corporate bring to the attention of the Cabinet Lead to confirm action to be taken.

LIKELIHOOD AND IMPACT RISK RATING SCORING  
Likelihood Guidance

## Appendix A1 – People Scrutiny Commission - Corporate Risk Register Q3 2023-2024 as at December 2023

Likelihood	Likelihood Ratings 1 to 4			
	1	2	3	4
Description	Might happen on rare occasions.	Will possibly happen, possibly on several occasions.	Will probably happen, possibly at regular intervals.	Likely to happen, possibly frequently.
Numerical Likelihood	Less than 10%	Less than 50%	50% or more	75% or more

Severity of Impact Guidance (Risk to be assessed against all of the Categories, and the highest score used in the matrix).

Impact Category	Impact Levels 1 to 7			
	1	3	5	7
Service provision	Very limited effect (positive or negative) on service provision. Impact can be managed within normal working arrangements.	Noticeable and significant effect (positive or negative) on service provision.  Effect may require some additional resource, but manageable in a reasonable time frame.	Severe effect on service provision or a Corporate Strategic Plan priority area.  Effect may require considerable /additional resource but will not require a major strategy change.	Extremely severe service disruption. Significant customer opposition. Legal action. Effect could not be managed within a reasonable time frame or by a short-term allocation of resources and may require major strategy changes. The Council risks 'special measures'. Officer / Member forced to resign.
Communities	Minimal impact on community.	Noticeable (positive or negative) impact on the community or a more manageable impact on a smaller number of vulnerable groups / individuals which is not likely to last more than six months.	A more severe but manageable impact (positive or negative) on a significant number of vulnerable groups / individuals which is not likely to last more than twelve months.	A lasting and noticeable impact on a significant number of vulnerable groups / individuals.
Environmental	No effect (positive or negative) on the natural and built environment.	Short term effect (positive or negative) on the natural and or built environment.	Serious local discharge of pollutant or source of community annoyance that requires remedial action.	Lasting effect on the natural and or built environment.
<b>Financial Loss / Gain</b>	<b>Under £0.5m</b>	<b>Between £0.5m - £3m</b>	<b>Between £3m - £5m</b>	<b>More than £5m</b>
Fraud & Corruption Loss	Under £50k	Between £50k - £100k	Between £100k - £1m	More than £1m
Legal	No significant legal implications or action is anticipated.	Tribunal / BCC legal team involvement required (potential for claim).	Criminal prosecution anticipated and / or civil litigation.	Criminal prosecution anticipated and or civil litigation (> 1 person).
Personal Safety	Minor injury to citizens or colleagues.	Significant injury or ill health of citizens or colleagues causing short-term disability / absence from work.	Major injury or ill health of citizens or colleagues may result in. long term disability / absence from work.	Death of citizen(s) or colleague(s). Significant long-term disability / absence from work.
Programme / Project Management <i>(Including developing commercial enterprises)</i>	Minor delays and/or budget overspend but can be brought back on schedule with this project stage. No threat to delivery of the project on time and to budget and no threat to identified benefits / outcomes.	Slippage causes significant delay to delivery of key project milestones, and/or budget overspends.  No threat to overall delivery of the project and the identified benefits / outcomes.	Slippage causes significant delay to delivery of key project milestones; and/or major budget overspends.  Major threat to delivery of the project on time and to budget, and achievement of one or more benefits / outcomes.	Significant issues threaten delivery of the entire project.  Could lead to project being cancelled or put on hold.
Reputation	Minimal and transient loss of public or partner trust. Contained within the individual service.	Significant public or partner interest although limited potential for enhancement of, or damage to, reputation.  Dissatisfaction reported through council complaints procedure but contained within the council.  Local MP involvement. Some local media/social media interest.	Serious potential for enhancement of, or damage to, reputation and the willingness of other parties to collaborate or do business with the council. Dissatisfaction regularly reported through council complaints procedure.  Higher levels of local or national interest.  Higher levels of local media / social media interest.	Highly significant potential for enhancement of, or damage to, reputation and the willingness of other parties to collaborate or do business with the council. Intense local, national and potentially international media attention.  Viral social media or online pick-up.  Public enquiry or poor external assessor report.