

Appendix 1 - Risk Register Last updated 14 December 2011

= No change to risk status  Increased risk  Decreased risk

	Description of risk	Date Identified	Owner	Likelihood	Impact	Score	Action – Mitigation/Prevention/Monitoring and Control	Residual score	Risk Status
Strategic Risks (incorporates Theme 5 - Leadership, Governance and Finance)									
1	Rising child population, increasing complexity of and numbers of vulnerable families and new arrivals into Slough resulting in increases demand for services and referrals and budget pressures	20/09/11	CP	H	H	9	<ul style="list-style-type: none"> Monitored via school population, applications for primary school, places, contacts and health data. Review of thresholds for referrals into children’s social care. Clear multi-agency response to EIP and multi-agency Team Around the Child. Work with partners to review thresholds. Internal work within SBC based on the Sector Support work on EIP to review work carried out by the Referral and Assessment Team and the level and type of work necessary to meet statutory obligations, Ofsted recommendations and the requirements of the Improvement Board. 	9	= Sector support review underway but will not have an impact in the short term

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2	Failure to engage all key partners and secure their commitment to delivery of the Improvement Plan	20/09/11	CP	M	H	8	<ul style="list-style-type: none"> Senior representation from key partners on the Improvement Board. Partners are held accountable for their actions through the LSCB and CPB both of which are being reviewed 	8	<p style="text-align: center;">=</p> Stakeholder engagement plans under development so have not yet impacted
3	Failure to engage Members and secure their commitment to delivery of the Improvement Plan	20/09/11	NP	M	H	8	<ul style="list-style-type: none"> Leader and Commissioner are Board members Commissioner responsible briefing all Members and is doing so The Improvement Plan is regularly scrutinised by Members 	8	<p style="text-align: center;">=</p> Extraordinary meeting has been called by the BILLD group

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4	Progress against key areas of work does not drive change sufficiently fast	20/09/11	CP	M	M	5	<ul style="list-style-type: none"> Exception reporting promotes rapid identification of obstacles to progress and action to address by Theme Leads. Escalation of exceptions to a senior officer in the relevant organisation, followed by the Board if necessary 	5	<p style="text-align: center;">↓</p> <p>Improvement in practice is starting to be reflected in performance measures. Exception reporting system is still being embedded</p>
5	Lack of resources to deliver improvement	20/09/11	CP	M	H	6	<ul style="list-style-type: none"> Sector support package to be agreed by Board Identification of areas where there are insufficient resources (people and funding) and escalation for Board resolution if necessary 	3	<p style="text-align: center;">↓</p> <p>Interim social care manager now in post and service being restructured to ensure capacity in priority areas</p>

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6	Ofsted unannounced inspection 2011 Inspectors judge that contact, referral and assessment services have areas for Priority Action	20/09/11	MD	H	H	8	<ul style="list-style-type: none"> • Three month contract specialist support project, on performance improvement and quality control complete. • Self-assessment report being prepared. • Temporary structure will bring change to referral rates 	8	= Recent staff reorganisation increases short term risk.
7	Turbulence due to financial and organisational changes across the main partner organisations reduce impact of partnership working on improving outcomes for children and young people	20/09/11	CP	H	M	7	<ul style="list-style-type: none"> • Board members updating Improvement Board with relevant information about people, organisational structure, and funding or other areas of change which will impact on key areas in Improvement Plan or on wider areas of the service • Prioritisation of key areas for partner collaboration and multi-agency working to ensure that focus is on the areas with potential for greatest change e.g. multi-agency approach to reducing substance abuse and domestic abuse 	7	= Key organisations are still planning their response to changes so mitigating actions cannot be put in place

	Description of risk	Date Identified	Owner	Likelihood	Impact	Score	Action – Mitigation/Prevention/Monitoring and Control	Residual score	Risk Status
8	Major financial pressures draw funding away from early intervention and prevention to ensure that statutory responsibilities are always addressed first, over and above other responsibilities.	20/09/11	RC	M	H	8	<ul style="list-style-type: none"> Board members to share intelligence and carry out joint financial and resource planning Clear sign up to the Early Intervention and Prevention Strategy Joint identification of funding for agreed priorities in the Early Intervention Strategy 	6	<p style="text-align: center;">↓</p> <p>Early Intervention Strategy is securing best use of current resources and will demonstrate impact</p>
9	Staff absence due to sickness or annual leave through December – February has an impact on the capacity to deliver key areas of the Improvement Plan.	06/12/11	CP	H	H	9	<ul style="list-style-type: none"> Work to be prioritised and delegated where this is possible 	9	New

Theme 1 – Social Care Practice

10	High staff turnover will reduce consistency and predictability of relevant skills base and result in reduced effectiveness of training	20/09/11	MD	H	H	9	<ul style="list-style-type: none"> • Immediate and long term work on the Workforce Strategy will ensure that staff are recruited and trained in accordance with core competencies. • Programme in place to recruit and retain staff. • Improved induction process. • Improved training. • Permanent staff have moved to areas where practice is poorest. 	9	= Improved policies and procedures are now in place to support induction
11	Insufficient progress on improvement of identified children’s social care indicators	20/9/11	MD	H	H	9	<ul style="list-style-type: none"> • Better selection and better support and leadership are all necessary to retain and build confidence in new staff groups. • Senior Management Team have new arrangements in place to review fortnightly Checkpoint reports, Initial and core assessments and overall performance in Children and Families and Children with Disabilities on key areas of work 	8	↓ Indicators of Initial and Core assessments completed within timescales are showing improvement.
12	Lack of understanding of specific accountability for aspects of Children’s Improvement Plan due to absence of clear delivery plans for each theme available to all members of the Project Team	30.10.11	CP	H	H	9	<ul style="list-style-type: none"> • Theme leads have developed detailed Delivery Plans showing clear responsibilities and resources required • Chair of Project Board to ensure that all theme leads provide full understanding to Project Board of Theme Delivery Plans and that any overlaps are identified. 	6	↓ Plans are in place. Overlaps and dependencies are identified

									and clarified by the Project Board
Theme 2 – Capacity and Capability									
13	Lack of understanding of specific accountability for aspects of Children’s Improvement Plan due to absence of clear delivery plans for each theme available to all members of the Project Team	30.10.11	CP	H	H	9	<ul style="list-style-type: none"> • Theme leads have developed detailed Delivery Plans showing clear responsibilities and resources required • Chair of Project Board to ensure that all theme leads provide full understanding to Project Board of Theme Delivery Plans and that any overlaps are identified 	6	<p style="text-align: center;">↓</p> Plans are in place. Overlaps and dependencies are identified and clarified by the Project Board
14	Insufficient capability within SBC workforce to achieve outputs of Theme 2	20/09/11		M	H	8	<ul style="list-style-type: none"> • Specific deliverables augmented with external support and expertise (e.g. sector support, independent advice) • Skills transfer from independent sources to SBC workforce • Specific up skilling of SBC workforce in delivering change and improvement 	8	=
15	Inability to attract and retain sufficient numbers of appropriately qualified and experienced staff in Children’s Social Care Services	30.10.11		H	H	9	<ul style="list-style-type: none"> • Design and deliver recruitment and retention strategies with relevant resource allocation to support achievement 	9	=

16	Essential internal and external resources (human and financial) are not made available to deliver Theme 2 outputs	26/10/11		M	H	8	<ul style="list-style-type: none"> Theme 2 Delivery Plan to be shared with CEO, DCS and CMT members for agreement prior to implementation 	8	= Concerns remain on capacity of key people within Children's Social Care to provide the necessary expert input
17	Insufficient leadership capability to deliver change in Directorate of ECS	30.10.11	CP	M	H	8	<ul style="list-style-type: none"> Complete gap analysis and other aspects of leadership development in Theme 2 Completion of internal organisational structure review in Directorate of ECS and implementation of recommendations 	8	=

Theme 3 – Quality Assurance and Performance Management

18	Capacity of partners to commit to work required by LSCB	20/09/11	KG	M	H	8	<ul style="list-style-type: none"> Improvement Board to be kept appraised of partner contributions. Sector support recommendations to drive improvement in the role and function of the LSCB. 	6	<p style="text-align: center;">↓</p> <p>Discussion at the Improvement Board is leading to additional contributions</p>
19	Delayed appointment of new LSCB Chair reduces capacity of LSCB to improve	20/09/11	KG	H	H	9	<ul style="list-style-type: none"> Appointment of Interim Chair made. 	6	<p style="text-align: center;">↓</p> <p>Interim Chair is leading change effectively</p>
20	Insufficient LSCB development resource	20/09/11	KG	M	H	8	<ul style="list-style-type: none"> Implement recommendations of LSCB review report regarding Development Manager. 	8	<p style="text-align: center;">=</p> <p>Recommendations not yet agreed by the Board</p>

21	Staff vacancies and turnover means service is not stable enough to embed revised performance framework	20/09/11	KG	H	H	9	<ul style="list-style-type: none"> Staff in Performance Team trained in Methodology of improving Performance Management to cascade to new starters. 	9	= Further attention is needed to this risk
Theme 4 – Early Intervention and Prevention									
22	Failure of partners to engage, sign up, promote and deliver in a united and effectively co-ordinated approach to achieve agreed priorities related to Early Intervention	20/09/11	RC	M	H	8	<ul style="list-style-type: none"> To pursue through Children’s Partnership Board and Local Strategic Safeguarding Board as a formal item for sign off with assurances given by partners about commitment and implementation. 	5	↓ Half day event for strategic leads and half day event for managers and front line staff should increase engagement, commitment and delivery

23	Failure of all members of partner organisations from the strategic to the front line being aware of the priorities and the actions to take to reduce risk, ensure safeguarding and keep activities at the lowest tiers of involvement possible. This can be seen as a golden thread across all partners.	20/09/11	RC	M	H	8	<ul style="list-style-type: none"> • Importance of management meetings across and within teams addressing risk and keeping cases at the lowest level appropriate while ensuring safeguarding. • One to one meetings, supervision and audits used to check on keeping casework at lower levels. 	5	<p style="text-align: center;">↓</p> <p>Communication being intensified to drive change</p>
24	Failure of all partners being familiar with the use of the risk matrix and applying thresholds, particularly related to accessing the Early Response Hub	20/09/11	RC	M	H	8	<ul style="list-style-type: none"> • Management use of one to one meetings, supervision and audits to check that the risk matrix and thresholds are being applied appropriately 	5	<p style="text-align: center;">↓</p> <p>The forthcoming half day events should contribute to a risk reduction in this area.</p>
25	Failure to sign up and implement the eight commitments associated with the Early Intervention Strategy	20/09/11	RC	M	M	5	<ul style="list-style-type: none"> • Introduction of commitments through the CAF training. • To achieve sign up through the Children's Partnership Board and Local Safeguarding Children Board that individuals and services are adhering to the Early Intervention commitments. • For managers to check with team members whether commitments are being met. 	2	<p style="text-align: center;">↓</p> <p>Forthcoming half day events should increase commitments</p>

26	Failure in implementation of joint commissioning and provision of information to support commissioning.	20/09/11	RC	M	H	8	<ul style="list-style-type: none"> To continue the dialogue within formal partnership meetings around needs, establishing priorities, planning action and addressing joint commissioning and joint procurement, possibly with joint funding. To test out small joint commissioning ventures to reinforce larger commissioning. 	8	<p style="text-align: center;">=</p> <p>Recently convened joint commissioning event gives some slight optimism</p>
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