

**BRISTOL CITY COUNCIL
Audit Committee**

30th September 2011

Report of: Craig Bolt, Service Director, Education Strategy & Targeted Support

Title: CYPS Directorate Risk Register

Officer Presenting Report: Craig Bolt, Service Director, Education Strategy & Targeted Support, Directorate Risk Champion

Contact Telephone Number: 90 37950

RECOMMENDATION

That Members review the updated CYPS Directorate Risk Register (DRR) attached at Appendix A, and note amendments to the register.

Summary

This report provides Members with the updated Quarter 1, Version 16, of the Directorate Risk Register, and outlines any significant changes from the last version reported to this Committee.

The significant issues in the report are:

The main content changes to the register are summarised in the DRR document header at Appendix A.

Policy

The Risk Management Policy states that the Audit Committee will receive Directorate Risk Registers on an annual basis.

Consultation

- **Internal**
Lead member for Children's Services
CYPS Directorate Leadership Team

- **External**
N/A

1. Background

- 1.1 A Directorate level risk register exists for each Directorate and these are reported on to the Audit Committee annually. The CYPS Directorate Risk Register was previously submitted to this committee in January 2011.
- 1.2 All risks are reviewed, and any new risks identified, by Service Managers and Service Directors on a quarterly basis. This is now part of the CYPS quarterly performance management arrangements.

2. 2011/12 CYPS Directorate Risk Register – Quarter 1 Update

- 2.1 There are currently fifteen key risks on the Directorate risk register, a reduction of three risks from January 2011. The following risks have been removed:
- CY030 Contractual obligations - Risk no longer applicable as contractual obligations set out in contracts
 - CY031 Transfer of LSC responsibilities - No longer a key risk for CYPS
 - CY022 Local Gov Equality Standard 5 - No longer a key risk for CYPS
 - CY015 Risks relating to key projects - LEP no longer a key risk for CYPS
 - CY016 Support to children in need – This is now recorded as a Corporate Risk (CR016)
 - CY002 Educational attainment - This is now recorded as a Corporate Risk (CR010)
- 2.2 A new risk has been identified for the potential Unitary Charge shortfall in relation to secondary school PFI projects. A Directorate risk previously entitled as “School admission places” (CY027) has been amended to “Shortage of Primary School places” (CRR043) and designated a Corporate risk.
- 2.3 The residual risk is assessed as “High” impact and either “High” or “Medium” probability for the following seven risks:
- CY001 Significant revenue budget overspend
 - CR016 Support to Children in Need
 - CY032 Potential Unitary Charge shortfall
 - CY020 Delivery of capital programme

- CY004 Resilience, Health and Wellbeing
- CY028 Failure to acknowledge and address community cohesion and the challenges raised by the growing diversity within schools
- CY024 Failure to react to emergency situations, which could lead to a service (business) continuity failure

Risk Assessment

Risk Register provided at Appendix A.

Legal and Resource Implications

Legal

N/A

Financial

(a) Revenue

N/A

(b) Capital

N/A

Land

N/A

Personnel

N/A

Appendices:

Appendix A – 2011/12 Quarter 1 CYPS Directorate Risk Register

LOCAL GOVERNMENT (ACCESS TO INFORMATION) ACT 1985

Background Papers:

Relevant background details held on SPAR.net

2011/12 - QUARTER 1 RISK REPORT

CYPS DIRECTORATE RISK REGISTER

	No	Day	Month	Year
VERSION	16	30th	Sep	2011

VERSION CONTROL HISTORY

Version No.	Reviewed By:	Review Date	Version No.	Reviewed By:	Review Date
1	Audit Committee	3rd November 2006	11	CYPS Directorate Executive Member Audit Committee	28th October 2009 4th November 2009 13th November 2009
2	Audit Committee	16th November 2007	12	CYPS Performance Focus Mtg Executive Member	23rd February 2010 4th March 2010
3	CYPS Directorate	9th July 2008	13	CYPS Performance Focus Mtg Executive Member	7th July 2010 19th July 2010
4	CYPS Directorate	22nd October 2008	Transfer of register to computerised SPAR.net system:		
5	Executive member	6th November 2008	14	CYPS DLT Executive Member Audit committee	24th November 6th December 2010 28 th January 2011
6	Audit Committee	14th November 2008	15	CYPS Directorate Executive Member	16 th February 2011 21st February 2011
7	CYPS Directorate	18th February 2009	16	CYPS Directorate Executive Member Audit Committee	5 th August 2011 22 August 2011 30 September 2011
8	Executive member	19th March 2009			
9	CYPS Directorate Executive Member	20th May 2009 28th May 2009			
10	CYPS Directorate Executive Member	26th August 2009 8th September 2009			

SIGNIFICANT CHANGES

Mitigations previously reported may no longer be contained in the body of this report if no longer relevant to controlling the risk (although remain in the SPAR.net database)

Main variations to the risk register since the previous submission to the January 2011 Audit Committee Meeting (Version 14) are as follows:

Risk No	RISK		VARIATION TO RISK			
			Previous Risk Ranking	Direction of travel	(inc. new/deleted risk, additional mitigations/information)	
	Current Risk Ranking		Current Status	Previous Status		
CY001	Significant revenue budget overspend for the Directorate	1	1	9	9	Overspend (£4.2m) projected for 2011/12 as at May 2011. Reduced by £700k to £3.3m as a consequence of management action. Further actions identified to reduce expenditure/mitigate overspend by an additional £1.9m.

Risk No	RISK		VARIATION TO RISK			
			Previous Risk Ranking	Direction of travel Current Status Previous Status		(inc. new/deleted risk, additional mitigations/information)
CRR016	Children in need - failure to meet corporate responsibilities to protect children in need	2	3	6	6	CORPORATE RISK Implementation of local action plan in response to recommendations of the Munro Review have been identified as an additional mitigation action. A recent Serious Case Review evaluation by Ofsted has been judged outstanding. Nb. Risk CY016 has been deleted as it was a duplicate of this risk
CY004	Resilience, health and wellbeing	3	2	6	6	New mitigations have been added, including acquiring Academy school clients, procurement and commissioning, and statutory and traded work approach. Training of managers in H&S policies is currently behind schedule.
CY020	Delivery of the capital programme	4	10	6	4	Risk description amended to include capital funding no longer being available and risk rating increased to medium likelihood in relation to this. Mitigation added to allocate funding to the medium term capital programme. School Organisation Strategy approved by Cabinet 21/7/11 and revised strategy to be published in March 2012 as part of an annual process.
CY024	Response to emergency situations and mitigation of business risks	5	5	6	6	Critical Plans now being updated. CYPS Directorate Continuity Plan underway.
CY028	Community cohesion	6	6	6	6	New mitigation added to develop response to changes to ESOL (English for Speakers of Other Languages) training funding.
CY032	Potential Unitary Charge Shortfall	7	N/A	6	N/A	NEW RISK Potential shortfall in the Unitary Charge to be paid for PFI school buildings, which is to be paid over the remaining life of the PFI scheme (c. 25years).

Risk No	RISK		VARIATION TO RISK			
			Previous Risk Ranking	Direction of travel Current Status Previous Status		(inc. new/deleted risk, additional mitigations/information)
CRR010	Educational attainment	8	8	4	4	CORPORATE RISK Deletion of actions relating to government initiatives that have been withdrawn by present administration. New mitigation to establish strong partnership agreements with schools in light of the changes outlined in the Schools White Paper Nov 2010 - Partnership Statement agreed Jan 2011. Nb. Risk CY002 has been deleted as it was a duplicate of this risk
CY010	Partnership Development	9	9	4	4	Children's Trust reviewing governance and structure.
CY025	Percentage of young people not in education, employment or training	10	11	4	4	Action relating to Future Jobs Fund Programme deleted as it is not continuing.
CY029	Extension of new Primary Education Facility – Bishopston	11	12	4	4	Cabinet approval agreed and approved additional funding to meet planning requirements. School has agreed to take additional form of entry in existing building for Sept 2011
CRR043	Shortage of Primary School Places	12	N/A	4	N/A	This is a new Corporate Risk and replaces the previous Directorate risk CY027 School admission places.
CY011	Serious fraud	13	14	2	2	Two actions deleted as both are now responsibility of Corporate internal audit and included in Corporate Services risk register
CY017	Support to children looked after	14	15	2	2	7 out of 8 children's homes now judged as "good" or better by Ofsted. Development of Social Work Practice identified as an additional action.
CY023	Business Transformation within CYPS	15	18	2	1	Action relating to LAA targets deleted. Robust action plan to redress overspend position now included.
CY030	Contractual obligations		13	N/A	3	RISK DELETED Risk no longer applicable as contractual obligations set out in contracts
CY031	Transfer of LSC responsibilities		7	N/A	4	RISK DELETED No longer a key risk for CYPS

Risk No	RISK		VARIATION TO RISK			
			Previous Risk Ranking	Direction of travel	Current Status	Previous Status
CY022	Local Gov Equality Standard 5		4	N/A	6	RISK DELETED No longer a key risk for CYPs
CY015	Risks relating to key projects		9	N/A	2	RISK DELETED LEP no longer a key risk for CYPs

CYPS - ALL RISKS (CRR and DRR)
Report for 2011-2012
For Children and Young People Services
Not Including Child Projects records, Including Mitigation records

Key to Performance Status:

Mitigation:	Well behind schedule	Behind schedule	On schedule	Completed	No Data available
Risks:	Review Overdue (0+)	High (6+)	Medium (3+)	Low (1+)	

CYPS - ALL RISKS (CRR and DRR)

Risk: Significant revenue budget overspend for the Directorate Managing overspend			Risk Code: DRR - CY001		
Inherent Status: High (9)		Inherent Risk Severity: High		Inherent Risk Likelihood: High	
Date Identified: 01 Sep 2010			Service: Corporate Indicators - CYPS		
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
On schedule	Ensure DLT and Executive member receive updated protocols	Required to authorise and monitor spend of specific grants	Geraldine Mead	01/09/2010	21/07/2011
On schedule	Ensure that resources & priorities are regular item on the monthly DLT agenda		Annie Hudson	01/09/2010	21/07/2011
On schedule	Ensure that the MTFP is linked to service delivery plans	11/12 Service Delivery Plans to be signed off by Finance Manager	Geraldine Mead	01/09/2010	21/07/2011
On schedule	Focus on achieving 'Value For Money', as a priority	VFM priorities identified this year for CYPS. Corporate VFM strategy being rolled out.	Lucia Dorrington	01/09/2010	21/07/2011
On schedule	In year monitoring of budget against actual income & expenditure	First budget monitor produced - brought forward to May 2011.	Geraldine Mead	01/09/2010	21/07/2011
On schedule	Mid-year policy practice/changes to create offsetting savings		Annie Hudson	01/09/2010	21/07/2011
On schedule	Scrutinise new legislation and professional journals	To raise awareness and keep up to date with funding sources available	Geraldine Mead	01/09/2010	21/07/2011
On schedule	Submit regular report to budget holders with agreed actions on how to respond to forecast overspend	The reports are submitted monthly	Geraldine Mead	01/09/2010	21/07/2011
Current Status: High (9)		Previous Status: High (9)		Current Risk Severity: High	
Risk Champion: Craig Bolt			Current Risk Likelihood: High		
			Risk Owner: Annie Hudson		
Review Note:					

CYPS - ALL RISKS (CRR and DRR)

Risk: Children in need Failure to meet corporate responsibilities to protect children in need.					Risk Code: CRR016	
Inherent Status: High (9)		Inherent Risk Severity: High		Inherent Risk Likelihood: High		
Date Identified: 01 Apr 2009				Service: Safeguarding & Specialist Services		
Mitigation records						
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date	
On schedule	Ensure safeguarding processes reflect good VFM and are effective	Ensuring that services are operating effectively and providing VFM through remodelling activity in a climate of reducing resources. This is monitored by the Bristol Safeguarding Children Board.	Ian McDowall	05/08/2011	05/08/2011	
On schedule	Produce and implement co-ordinated local action plan	Plan being developed to address Munro Review. Munro report published on 10 May 2010 and recommendations accepted in the DfE response of July 2011. A Local Action Plan has been drafted and is to be signed off by the Bristol Safeguarding Children Board in September 2011.	Ian McDowall	01/04/2009	05/08/2011	
On schedule	Put in place stringent policies & procedures for the recruitment and retention of staff	Ensure safeguarding protocols are adhered to in order to attract high quality child protection staff. Review being undertaken of safeguarding recruitment processes across all agencies including CYPS.	Ian McDowall	22/01/2010	05/08/2011	
On schedule	Review and update child protection procedures regularly to ensure compliance	The 2010 full OfSTED inspection of Safeguarding and Looked after Children Services, graded Bristol as "good" on all four key judgements. This represents a very positive outcome for the service and compares well to similar authorities. Completion dependent on outcome of Munro Review and recommendations. A recent Ofsted evaluation of Serious Case Review (SCR) was judged "oustanding" (1% of SCRs are graded such) which is a positive reflection of local SCR arrangements.	Ian McDowall	01/10/2009	05/08/2011	
On schedule	Train staff to ensure that required standards are achieved & maintained	The training will include inter-agency child protection issues. New training plan in place for 11/12. Work being undertaken to address streamlined arrangements for 2012/13 and beyond.	Ian McDowall	01/10/2009	05/08/2011	
Current Status: High (6)		Previous Status: High (6)		Current Risk Severity: High		Current Risk Likelihood: Medium
Risk Champion: Craig Bolt				Risk Owner: Annie Hudson		
Review Note:						

CYPS - ALL RISKS (CRR and DRR)

Risk: Resilience, health, safety and wellbeing Serious health and safety, or site safeguarding issues, leading to prosecution and/or "limiting judgements"					Risk Code: DRR - CY004	
Inherent Status: Low (2)		Inherent Risk Severity: Medium		Inherent Risk Likelihood: Low		
Date Identified: 01 Sep 2010				Service: Education Strategy & Targeted Services		
Mitigation records						
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date	
On schedule	Children, Adults and Families, New Directorate	Enbaling Hub review underway.	Bill Crocker	08/06/2011	28/07/2011	
Behind schedule	Ensure H&S policies and procedures are communicated to education establishments and across CYPS	The future issue of policy will need to take account of intellectual property rights and an increasing trading environment.	Bill Crocker	01/09/2010	28/07/2011	
On schedule	New Academy Schools	Success being achieved with acquiring academy clients. Contractual relationships being formalised. Clarity that competent person advice is being provided.	Bill Crocker	08/06/2011	28/07/2011	
On schedule	Procurement and Commissioning	Robust specifications. Thorough bid analysis clarity on appropriate information sharing and risk sampling. Home to school transport is a recent example of this.	Bill Crocker	08/06/2011	28/07/2011	
On schedule	Review and update risk assessments.	Assess high risk areas and ensure specific training is targeted to these issues (e.g. fire, manual handling, violence and aggression, DSE etc).	Bill Crocker	23/11/2010	28/07/2011	
Behind schedule	Statutory and Traded Work Approach	Incorrect/inaccurate assessment impacting on: resilience of safety system requirement to monitor income generation staffing	Bill Crocker	08/06/2011	28/07/2011	
On schedule	Submit quarterly reports to DLT on system compliance via monitoring and auditing requirements	July 2011 report submitted to target.	Bill Crocker	01/09/2010	28/07/2011	
Well behind schedule	Train managers in H&S policies and procedures and take remedial action for non-attenders	Directorate has a high proportion of managers who have not done day 2. Data confirmed and training content agreed. Remedy will be applied in 2011/12.	Bill Crocker	01/09/2010	28/07/2011	
Current Status: High (6)		Previous Status: High (6)		Current Risk Severity: High		Current Risk Likelihood: Medium
Risk Champion: Craig Bolt				Risk Owner: Michael Branaghan		
Review Note:						

CYPS - ALL RISKS (CRR and DRR)

Risk: Delivery of the Capital programme Risk of significant overspend and/or slippage, or funding no longer available				Risk Code: DRR - CY020	
Inherent Status: High (6)		Inherent Risk Severity: High	Inherent Risk Likelihood: Medium		
Date Identified: 01 Sep 2010			Service: Education Strategy & Targeted Services		
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
Behind schedule	Draw up robust SLA with Property Services	Being considered as part of Enabling Hub review.	Michael Branaghan	01/09/2010	27/07/2011
Behind schedule	Ensure school properties are suitable and sufficient to meet curriculum needs	Achieved for secondary but not for primary capital budget reduced by 60% by DfE. Local authority emphasis is on meeting statutory requirement of sufficient school places. Central government are aware of national problem and published (19 July 2011) annual priority school building programme which includes PFI option for Primary and Secondary. Option to be considered by Council to pursue the PFI route.	Michael Branaghan	01/09/2010	27/07/2011
On schedule	Ensure that for changes to contract the formal change process is maintained	Formal process is currently being maintained.	Michael Branaghan	01/09/2010	27/07/2011
On schedule	Ensure the SOS identifies communication with schools and parents as an essential requirement	Cabinet approval 21/7/11, SOS to be reviewed this Autumn and consulted with schools and parents in Nov/Dec 2011. Revised strategy to be published in March 2012 as part of an annual process.	Michael Branaghan	01/09/2010	27/07/2011
On schedule	Funding available which has been allocated to the medium term capital programme	If government does not make an allocation for 12/13 this funding can be used and the medium term capital programme re-programmed. Still awaiting info from central government who are consulting on the implementation of the James review ending October 2011.	Michael Branaghan	27/07/2011	27/07/2011
On schedule	Prepare School Organisation Strategy and Investment Strategy	Cabinet supported short term investment strategy on 21 July 2011, feasibility for medium term strategy also approved subject to capital funding from central government.	Michael Branaghan	01/09/2010	27/07/2011
On schedule	Produce monthly reports to: Infrastructure Board BSF/PFI Project Boards and the Capital Prog Board	Ongoing. System in place.	Michael Branaghan	01/09/2010	27/07/2011
On schedule	Review AMP on an annual basis	School organisation strategy completed and linked to AMP.	Michael Branaghan	01/09/2010	27/07/2011
Current Status: High (6)		Previous Status: Medium (3)	Current Risk Severity: High		Current Risk Likelihood: Medium
Risk Champion: Craig Bolt			Risk Owner: Michael Branaghan		
Review Note:					

CYPS - ALL RISKS (CRR and DRR)

Risk: Response to emergency situations and mitigation of business risks Failure to react to situations which could lead to a service (business) continuity failure, and/or adversely impact on Directorate/individual services, resources and reputation					Risk Code: DRR - CY024
Inherent Status: High (6)		Inherent Risk Severity: High		Inherent Risk Likelihood: Medium	
Date Identified: 01 Sep 2010			Service: Education Strategy & Targeted Services		
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
On schedule	Alert appropriate communication group, including Corporate Communications, to incidents	As each case arises	Bill Crocker	01/09/2010	28/07/2011
On schedule	Children, Adults and Families New Directorate	Enabling Hub review underway.	Bill Crocker	08/06/2011	28/07/2011
On schedule	Comply with Corp timescale & address recommendations in internal audit Business Continuity report	Critical Plans now being updated. Directorate continuity plan underway.	Bill Crocker	01/09/2010	28/07/2011
Behind schedule	Issue Directorate policy, procedure and guidance	Protocol agreed, arrangements to conclude. New protocol guidance now available to be incorporated in to policy launch in autumn.	Bill Crocker	23/11/2010	28/07/2011
Behind schedule	Procurement and Commissioning	Robust specifications and thorough bid analysis necessary. Services need to be involved in testing of plans.	Bill Crocker	08/06/2011	28/07/2011
On schedule	Scrutinise Service (Business) Continuity Plans	To ensure sufficiently robust to cover loss of services resulting from Providers going into liquidation. Annual programme underway.	Bill Crocker	01/09/2010	28/07/2011
On schedule	Statutory and Traded Work Approach	Incorrect/innacurate assessment impacting on: pro-active and re-active ability to rspnd to emergencies reslience and continuity capacity and ability to call on support	Bill Crocker	08/06/2011	28/07/2011
On schedule	Submit quarterly performance management reports to DLT	On going monitoring through the quarterly report card process. July 2011 report submitted to target.	Bill Crocker	01/09/2010	28/07/2011
Current Status: High (6)		Previous Status: High (6)		Current Risk Severity: High	
Risk Champion: Craig Bolt			Current Risk Likelihood: Medium		
Risk Owner: Michael Branaghan, Bill Crocker			Review Note:		

CYPS - ALL RISKS (CRR and DRR)

Risk: Community cohesion Failure to acknowledge community cohesion and the challenges raised by the growing diversity within schools					Risk Code: DRR - CY028	
Inherent Status: High (9)		Inherent Risk Severity: High		Inherent Risk Likelihood: High		
Date Identified: 01 Sep 2010				Service: Education Strategy & Targeted Services		
Mitigation records						
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date	
On schedule	Clarify statutory support in relation to community cohesion to be provided to schools		Su Coombes	09/02/2011	21/07/2011	
Well behind schedule	Develop coordinated response to changes to ESOL eligibility	CYPS are leading an ESOL action plan 2011/12. Scrutiny enquiry day planned for 18/10/11.	Jane Taylor	21/07/2011	21/07/2011	
On schedule	Ensure that ICOCO recommendations are embedded in service planning and delivery	CYPS are included in the Corporate Community Cohesion Strategy and Action Plan. Recommendations are embedded and are reported against.	Su Coombes	01/09/2010	21/07/2011	
On schedule	Ensure that partner organisations are aware of ICOCO recommendations	Funding available to create community cohesion web pages to provide updates in relation to ICOCO recommendations.	Su Coombes	01/09/2010	21/07/2011	
Behind schedule	Provide support for the transition of duties through traded services	Identify with schools that support is required through traded service provision. Recruitment of Inclusion Officer is frozen awaiting outcome of Enabling Hub.	Nick Batchelar	01/09/2010	21/07/2011	
Current Status: High (6)		Previous Status: High (6)		Current Risk Severity: High		Current Risk Likelihood: Medium
Risk Champion: Craig Bolt				Risk Owner: Su Coombes, Jane Taylor		
Review Note:						

Risk: Potential Unitary Charge Shortfall Declining pupil numbers means that there is a potential significant shortfall in the Unitary Charge to be paid for PFI school buildings, which is to be paid over the remaining life of the PFI scheme (c. 25years).					Risk Code: DRR - CY032	
Inherent Status: High (6)		Inherent Risk Severity: High		Inherent Risk Likelihood: Medium		
Date Identified: 25 Jul 2011				Service: Education Strategy & Targeted Services		
Mitigation records						
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date	
No Data available	Approach DfE for contribution	If pupil numbers fall below a minimum level, DfE will contribute towards the shortfall	Michael Branaghan	01/08/2011		
No Data available	Commence discussions with PFI companies and schools/academies	In relation to service standards and contributions	Michael Branaghan	22/08/2011		
No Data available	Increase in population of Bristol Children	Since 2010, the growth in Bristol primary school population will help to reduce surplus places from 2018/19.	Michael Branaghan	01/08/2011		
No Data available	Review of operational processes to identify opportunities for savings	In accordance with HM Treasury guidance	Michael Branaghan	22/08/2011		
Current Status: High (6)		Previous Status: No previous review		Current Risk Severity: High		Current Risk Likelihood: Medium
Risk Champion: Craig Bolt				Risk Owner: Michael Branaghan		
Review Note:						

CYPS - ALL RISKS (CRR and DRR)

Risk: Educational Attainment Failure to achieve improvement as a result of inadequate challenge and support from the Council.					Risk Code: CRR010	
Inherent Status: High (9)		Inherent Risk Severity: High		Inherent Risk Likelihood: High		
Date Identified: 01 Apr 2009				Service: Learning, Achievement & Schools		
Mitigation records						
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date	
On schedule	Achieve further decline in fixed term exclusion	Data shows continuing decline at Primary and Secondary.	Nick Batchelar	01/04/2009	28/07/2011	
On schedule	Build partnership agreement with schools	Establish strong partnership agreements with schools in light of the changes outlined in the Schools White Paper Nov 2010. Partnership Statement agreed Jan 2011.	Nick Batchelar	16/05/2011	28/07/2011	
On schedule	Implement CYP Plan actions	Improving Under Performing School Plan submitted to DfE in April 2011. Response received July 2011.	Nick Batchelar	01/04/2009	28/07/2011	
On schedule	Implement outcomes of review of out of school provision	The review has been completed and "Back on Track" strategy published	Nick Batchelar	01/07/2010	28/07/2011	
On schedule	Undertake governor recruitment drive		Nick Batchelar	08/02/2011	28/07/2011	
Current Status: Medium (4)		Previous Status: Medium (4)		Current Risk Severity: Medium		Current Risk Likelihood: Medium
Risk Champion: Craig Bolt				Risk Owner: Annie Hudson		
Review Note:						

Risk: Partnership development Internal or external partners fail to deliver desired outcomes, or are unable to deliver them					Risk Code: DRR - CY010	
Inherent Status: Medium (4)		Inherent Risk Severity: Medium		Inherent Risk Likelihood: Medium		
Date Identified: 01 Sep 2010				Service: Performance, Policy & Partnerships		
Mitigation records						
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date	
On schedule	Deliver and monitor progress with the Children's Trust workforce strategy	Specifically common induction for the children's workforce	Claudia McConnell	11/11/2010	19/08/2011	
On schedule	Ensure that partnership plans, including C&YP Plan, are based on shared evidence of need	For example JSNA, C&YP Plan needs assessment	Claudia McConnell	11/11/2010	19/08/2011	
On schedule	Identify resources needed to implement new C&YP Plan	Improve all partners capacity to monitor performance and Value for Money	Claudia McConnell	11/11/2010	19/08/2011	
On schedule	Secure ongoing commitment to a local Children's Trust	Provide leadership and support to the Board and its workstreams by reviewing governance and structures. National guidance is "freeing up" local arrangements.	Claudia McConnell	11/11/2010	19/08/2011	
Current Status: Medium (4)		Previous Status: Medium (4)		Current Risk Severity: Medium		Current Risk Likelihood: Medium
Risk Champion: Craig Bolt				Risk Owner: Claudia McConnell		
Review Note:						

CYPS - ALL RISKS (CRR and DRR)

Risk: Percentage of young people Not in Education, Employment or Training Potential increase as a result of the economic downturn					Risk Code: DRR - CY025	
Inherent Status: High (9)		Inherent Risk Severity: High		Inherent Risk Likelihood: High		
Date Identified: 01 Sep 2010				Service: Education Strategy & Targeted Services		
Mitigation records						
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date	
On schedule	Deliver September Guarantee	Process is well underway. Weekly panel meetings over the summer months and then monthly to look at support to young people NEET throughout the year	Adam Carter	01/09/2010	02/08/2011	
On schedule	Establish closer links with Job Centre Plus for 18 year olds	New partnership agreement is in place and Connexions Executive Manager has Quarterly meetings with JCP regional manager.	Adam Carter	31/05/2011	02/08/2011	
On schedule	Identify new engagement activities and provision	To meet the needs of learners. Keeping informed and responsive to national changes to qualifications, provision and funding. Specific European Social Fund in Bristol for engagement activities and NEET provision.	Adam Carter	01/09/2010	02/08/2011	
On schedule	Produce monthly monitoring report on the NEET and Not Known situation	All young people identified as NEET or at risk of NEET will receive full assessment and action plan outlining steps that need to be taken to access Education, Employment or Training."	Adam Carter	01/09/2010	02/08/2011	
On schedule	Review Bristol Youth Links	Outcome expected Spring 2012	Craig Bolt	01/09/2010	02/08/2011	
Current Status: Medium (4)		Previous Status: Medium (4)		Current Risk Severity: Medium		Current Risk Likelihood: Medium
Risk Champion: Craig Bolt				Risk Owner: Jo Grant		
Review Note:						

Risk: Extension of new Primary education facility - Bishopston To ensure that there are appropriate and sufficient school places available.					Risk Code: DRR - CY029	
Inherent Status: High (6)		Inherent Risk Severity: High		Inherent Risk Likelihood: Medium		
Date Identified: 01 Sep 2010				Service: Education Strategy & Targeted Services		
Mitigation records						
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date	
On schedule	Attend regular meetings with planning officers	On-going	Michael Branaghan	01/09/2010	28/07/2011	
On schedule	Complete work to secure planning approval on the extension to 2 form entry.	Cabinet approval agreed and approved additional funding to meet planning requirements. Awaiting agreement on best tender before planning application made. School has agreed to take additional form of entry in existing building for Sept 2011.	Michael Branaghan	01/09/2010	28/07/2011	
On schedule	Ensure LEP is achieving VfM	Through regular market testing of elements of the supply chain	Michael Branaghan	01/09/2010	28/07/2011	
Current Status: Medium (4)		Previous Status: Medium (4)		Current Risk Severity: Medium		Current Risk Likelihood: Medium
Risk Champion: Craig Bolt				Risk Owner: Michael Branaghan		
Review Note:						

CYPS - ALL RISKS (CRR and DRR)

Risk: Shortage of Primary School places in Bristol Failure to provide enough Primary School places					Risk Code: CRR043	
Inherent Status: High (6)		Inherent Risk Severity: High		Inherent Risk Likelihood: Medium		
Date Identified: 01 Sep 2010				Service: Education Strategy & Targeted Services		
Mitigation records						
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date	
On schedule	Complete DfE Surplus Place return	This is an annual process.	Catherine Filmer	01/09/2010	28/07/2011	
On schedule	Deliver outcomes identified in School Organisation Strategy - long term	Capital projects re-constructed to free up resources. Applications for additional capital funding to be submitted to central government over the autumn.	Michael Branaghan	28/07/2011	28/07/2011	
On schedule	Deliver outcomes identified in School Organisation Strategy - medium term	Feasibility for medium term agreed by Cabinet 21/7/11 subject to capital funding from central government.	Michael Branaghan	17/05/2011	28/07/2011	
On schedule	Deliver outcomes identified in School Organisation Strategy - short term	Short term proposals approved by Cabinet 24/3/11.	Michael Branaghan	17/05/2011	28/07/2011	
Current Status: Medium (4)		Previous Status: Medium (4)		Current Risk Severity: Medium		Current Risk Likelihood: Medium
Risk Champion: Craig Bolt				Risk Owner: Craig Bolt, Michael Branaghan		
Review Note:						

Risk: Serious Fraud Prevention of mis-use of financial procedures					Risk Code: DRR - CY011	
Inherent Status: Medium (4)		Inherent Risk Severity: Medium		Inherent Risk Likelihood: Medium		
Date Identified: 01 Sep 2010				Service: Corporate Indicators - CYPS		
Mitigation records						
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date	
On schedule	Deliver mandatory training in finance procedures	Training in finance procedures provided for all budget holders. New staff informed of finance procedures as part of their induction and refresher training provided for existing staff as required.	Geraldine Mead	01/09/2010	21/07/2011	
On schedule	Ensure guidance on password sharing is regularly circulated to staff	Ongoing measure throughout the year	Geraldine Mead	01/09/2010	21/07/2011	
On schedule	Ensure mandatory requirement for schols to submit budgets to LA for checking is enforced	Ongoing measure throughout the year	Geraldine Mead	01/09/2010	21/07/2011	
On schedule	Monitor budgets monthly	Ongoing measure throughout the year	Geraldine Mead	11/11/2010	21/07/2011	
On schedule	Training programme in audit procedures for schools with identified training need	Ongoing measure throughout the year	Geraldine Mead	01/09/2010	21/07/2011	
Current Status: Low (2)		Previous Status: Low (2)		Current Risk Severity: Medium		Current Risk Likelihood: Low
Risk Champion: Craig Bolt				Risk Owner: Geraldine Mead		
Review Note:						

CYPS - ALL RISKS (CRR and DRR)

Risk: Support to Children Looked After To address risk of inadequate support					Risk Code: DRR - CY017	
Inherent Status: Medium (4)		Inherent Risk Severity: Medium		Inherent Risk Likelihood: Medium		
Date Identified: 01 Sep 2010				Service: Safeguarding & Specialist Services		
Mitigation records						
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date	
On schedule	Address concerns that 3 out of 8 children's homes judged as "adequate"	Out of 8 homes, 1 is "outstanding", 6 "good", and 1 "adequate". It is the expectation that all 8 will be judged at least 'good'.	Ian McDowall	01/09/2010	08/09/2011	
On schedule	Identify ways in which the service for children on the edge of care can be improved	Review of children on the Edge of Care service is under way - due to be complete Oct 11.	Ian McDowall	01/09/2010	08/09/2011	
On schedule	Reduce placement costs	Plan in place to address placement costs pressures. Additional cost pressures due to 11% increase in children in care in June 2011 from March 2010. Action plan is being reported to SLT.	Ian McDowall	01/09/2010	08/09/2011	
On schedule	Social Work Practice Development	Practice pilot being developed - address risks related to placement costs and staff retention. Tender exercise complete and commissionin arrangements on track.	Ian McDowall	09/02/2011	08/09/2011	
Current Status: Low (2)		Previous Status: Low (2)		Current Risk Severity: Medium		Current Risk Likelihood: Low
Risk Champion: Craig Bolt				Risk Owner: Ian McDowall		
Review Note:						

Risk: Business Transformation within CYPS Failure to meet Corporate business transformation requirements					Risk Code: DRR - CY023	
Inherent Status: High (6)		Inherent Risk Severity: High		Inherent Risk Likelihood: Medium		
Date Identified: 01 Sep 2010				Service: Corporate Indicators - CYPS		
Mitigation records						
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date	
On schedule	Establish programme to deliver requisite changes and to challenge and monitor performance and budget	Through monthly CYPS Programme Board meetings	Annie Hudson	01/09/2010	27/07/2011	
On schedule	Identify posts for deletion and take necessary action to progress and implement	In line with staff reduction targets	Annie Hudson	01/09/2010	27/07/2011	
On schedule	Improve quality and availability of performance information, intelligence and analysis	Working with Corporate IT to establish better Information Governance procedures and development of a data warehouse (single data source). Corporate timeline has been set back; also vacancies within service area have limited progress	Helen Adams	01/09/2010	27/07/2011	
On schedule	Keep DLT updated on progress to eliminate 2011/12 overspend	Monthly agenda item for DLT meetings and robust action plan to redress overspend position	Geraldine Mead	01/09/2010	27/07/2011	
Current Status: Low (2)		Previous Status: Low (2)		Current Risk Severity: Low		Current Risk Likelihood: Medium
Risk Champion: Craig Bolt				Risk Owner: Annie Hudson		
Review Note:						