

BRISTOL CITY COUNCIL

Audit Committee

8th November 2013

Report of: Strategic Director, Children Young People and Skills

Report Title: Quarter 2 2013/14 Children and Young Peoples Services (CYPS) Risk Register

Ward: Citywide

Officer presenting report: Service Director, Resource Planning and Performance

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RECOMMENDATION

The Audit Committee

1. review and approve the CYPS Directorate Risk Register at Appendix 1

SUMMARY

This report covers the second quarterly risk management review for 2013/14.

Policy

It was recently agreed by the Audit Committee for Directorate risk register reports to be presented as a main agenda item.

Consultation:

Internal: Officers from within the Directorate, including risk owners and the risk champion were consulted.

External: None necessary

1. Background

- 1.1 The Children First programme is addressing most areas of the business and will help to reduce the likelihood of several risks on the register. Some risks, however, such as risks to children in need, will never completely reduce due to the nature of the work involved.

2. Quarter 2 Directorate risk register review

- 2.1 Appendix 1 provides full details of the current directorate risks and how these risks are being managed.
- 2.2 Currently there are 4 risks recorded on the corporate risk register and these are presented in order of highest current risk. 1 risk is demonstrating a current risk status as high:
- Children in need - CRR16
- 2.3 The remaining 3 risks are currently considered as medium or low risk when considering the effectiveness of current mitigation in place to manage the risk.
- 2.4 At its January 2013 meeting, the Committee requested inclusion of 'target risk' and the direction of travel since the previous quarter to be included and this analysis has progressed and is shown in the appendices. The addition of this information identifies that;
- Educational attainment CRR10 and Delivery of the capital programme CRR20 can be reduced to 'low risk' status
 - Children in need CRR16 can be reduced to a 'medium risk' status
 - Potential unitary charge shortfall CRR32 will remain 'medium risk'
- 2.5 There is now an opportunity to develop the risk management methodology and make it more effective in reducing 'Current risk' levels. Ongoing work is now required by Risk Owners to review and challenge the information in the register and the effectiveness of the risk management strategies in respect of each risk.
- 2.6 The risk register is considered by the Directorate Leadership Team as part of a quarterly performance report.

3. Risk Assessment

- 3.1 A robust and effective risk management process serves to minimise the risk of failures in the Council's service provision. It supports the internal control environment and governance arrangements, whilst providing for Member involvement in ensuring that risks facing the Council are properly addressed and managed.

4. Equalities Impact Assessment

- 4.1 None necessary for this report

5. Legal and Resource Implications

5.1 **Legal** - N/A

5.2 **Resource** - N/A

Appendices

Appendix 1 – Qtr 2 CYPS Directorate Risk Register 2013/14

Appendix 2 - Directorate Risk Register Target Projection

LOCAL GOVERNMENT ACCESS TO INFORMATION

Background Papers Relevant background details held on SPAR.net

Risk Management Report

**Report for 2013-2014
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+)

Risk Management Report

Risk: Business Transformation within CYPS Failure to meet Children First Business case objectives **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	Identify posts for deletion and take necessary action to progress and implement	In line with staff reduction targets. Ongoing work on achieving MTFP savings targets	Isobel Cattermole	01/09/2010	11/06/2013
On schedule	Monitor delivery of benefits of Children First Programme	Monitored through the CYPS Programme Board	Isobel Cattermole	01/02/2012	11/06/2013

Current Status: Review Overdue Current Risk Severity: Low Current Risk Likelihood: Medium

Risk Champion: Craig Bolt Risk Owner: Isobel Cattermole

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: Children and Young People**

Mitigation records

Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
On schedule	Ensure safeguarding processes reflect good VFM and are effective	Ensure that services are operating effectively. This is monitored by the Bristol Safeguarding Children Board.	Jean Pollard	05/08/2011	29/10/2013
On schedule	Ensure staffing levels are sufficient	Social work is being reshaped to provide more case carrying capacity and some additional capacity has been allocated.	Jean Pollard	29/10/2012	29/10/2013
On schedule	Remodel social work to promote best practice and develop Early Help services	One strand of the Children First change program is concerned with remodelling social work in the context of the Munro Review. It is addressing which attributes a Bristol Social Worker should have, the methodology we want Social Workers to use (signs of safety) and the organisational design for delivering social work. This should be in place by 2014	Jean Pollard	01/04/2009	29/10/2013
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 13/14.	Jean Pollard	01/10/2009	29/10/2013

Current Status: High (6)	Current Risk Severity: High	Current Risk Likelihood: Medium
Risk Champion: Craig Bolt		Risk Owner: Jean Pollard

Risk: Delivery of the Capital programme Risk of insufficient resources to meet medium and long term requirements including delivery of sufficient school places **Risk Code: CRR020**

Inherent Status: High (6)	Inherent Risk Severity: High	Inherent Risk Likelihood: Medium
Date Identified: 01 Sep 2010	Service: Resource Planning and Performance	

Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date

On schedule	Continued engagement with delivery partners.	Majority of schemes have been delivered on time and on budget. Continued engagement with delivery partners needed to ensure a high standard of delivery.	Craig Bolt	08/11/2012	29/10/2013
On schedule	Ensure school properties are suitable and sufficient to meet curriculum needs	LA emphasis is on meeting statutory requirement of sufficient school places. Central government published (19 July 2011) annual priority school building programme which includes PFI option for Primary and Secondary. Work at Hillfields and St Annes Park Primary - we have recieved no details from the EFA or DfE regarding these. Work St Ursulas - the timescales for this are very tight and probably not achievable.	Bob Rutherford	01/09/2010	29/10/2013
On schedule	Funding available which has been allocated to the medium term capital programme	Additional funding has been secured from central government, including • £18.3m for 11/12 additional basic needs; • £22.8m for 12/13	Bob Rutherford	27/07/2011	29/10/2013

		<p>Annual funding from central government:</p> <ul style="list-style-type: none"> • £14.9m for 11/12 basic needs • £23.9m for 12/13 <p>Additional funding approved by Cabinet:</p> <ul style="list-style-type: none"> • £20m Prudential borrowing 			
On schedule	Prepare School Organisation Strategy and Investment Strategy	<p>Additional funding from DfE: £33,799,482 for 13/14 and 14/15 Basic Need £28,231,308 for 13/14 and 14/15 Targetted Basic Need</p> <p>Both sums to be confirmed by Cabinet, 31st October, 2013. Additional Cabinet approval required on 31st October, 2013 for the revised Investment Strategy.</p>	Bob Rutherford	01/09/2010	29/10/2013
On schedule	Produce monthly reports to: Capital Panel and Capital Prog Board	<p>Ongoing. System in place. New reporting requirement on a quarterly basis to Executive Members for Children and Young People and Capital Projects.</p>	Bob Rutherford	01/09/2010	29/10/2013
On schedule	Review AMP on an annual basis	School organisation strategy completed and linked to AMP (Asset Management Plan). AMP advisory group regularly reviewing AMP information. AMP surveys updated on a rolling programme.	Bob Rutherford	01/09/2010	29/10/2013

Current Status: Medium (4)	Current Risk Severity: Medium	Current Risk Likelihood: Medium
Risk Champion: Craig Bolt		Risk Owner: Craig Bolt

Risk: Educational Attainment Failure to achieve improvement. **Risk Code: CRR010**

Inherent Status: High (9) **Inherent Risk Severity: High** **Inherent Risk Likelihood: High**

Date Identified: 01 Apr 2009 **Service: Education**

Mitigation records

Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
On schedule	Achieve further decline in fixed term exclusion	Most recently available data shows continuing reduction at primary and secondary	Jay Mercer	01/04/2009	29/10/2013
On schedule	Develop link between highly effective and low performing schools	The majority of secondary schools are now, or shortly will be, academies. All schools in an Ofsted category are being converted to sponsored academies. All low performing schools are linked with an effective school and interschool support is being facilitated with headteachers.	Jay Mercer	27/01/2012	29/10/2013
On schedule	Implement CYP Plan actions	Actions are in place to address the priorities in the CYP Plan. There has been an improvement in the number of schools judged to be good or better by Ofsted	Jay Mercer	01/04/2009	29/10/2013
On schedule	Implement outcomes of review of out of school provision	All the settings identified through the Back on Track Review of out of school provision have been re-commissioned.	Jay Mercer	01/07/2010	29/10/2013
On schedule	Partnership Structures being reviewed	Consultation on the Education Policy Directions report has included discussion and suggestions around future partnership structures, which will be taken on board. The Scrutiny Commission on The Role of the Local Authority in Education is about to report back, particularly on the role of members.	Jay Mercer	02/05/2012	29/10/2013
On schedule	Retention and Recruitment of Governors	Actively seeking new opportunities to promote governor recruitment. Promoting training to aid governor retention and to increase effectiveness. The Scrutiny Commission on the Role of the Local Authority in Education is about to report back and may well comment on the role of member governors and I A governors in general	Jay Mercer	08/02/2011	29/10/2013

the role of member governors and LA governors in general

On schedule	Review and change trading offer from BCC and schools	Trading With Schools has been established as a trading entity within the Council since April 2013 and is responding to feedback from school customers on its service offer in planning for the future	Jay Mercer	02/05/2012	29/10/2013
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Current Status: Medium (4)	Current Risk Severity: Medium	Current Risk Likelihood: Medium
Risk Champion: Craig Bolt	Risk Owner: Jay Mercer	

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: Resource Planning and Performance	

Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
On schedule	Connexions Provider Day	Regular provider days planned to make sure that young people are aware of education/training opportunities	Craig Bolt	31/01/2012	30/05/2013
On schedule	Deliver September Guarantee	September Guarantee Action Plan complete Schools/Colleges requested to supply data on education offers, LPW will work with 16-17 yr olds with no suitable offer of Education or Training Agreement for Engagement Workers to be available in schools/colleges on results day to ensure that GCSE pupils can find a course for September NEET drop in services established in all BYL locality areas and citywide drop in centre LPW to help 16- 17 year olds with low level qualifications get back into work	Craig Bolt	01/09/2010	30/05/2013
On schedule	Establish closer links with Job	Quarterly meetings continue	Craig Bolt	31/05/2011	30/05/2013

Centre Plus for 18 year olds	<p>Closer working links established with JCP advisers, now making direct referrals by phone to ensure advice and support.</p> <p>Continued development of Work Clubs by new EW team – see below</p>			
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On schedule	Identify new engagement activities and provision	Comprehensive recruitment of new Engagement Workers to Bristol Team now completed. Development of full work plan in progress. First NOCN courses delivered in Bristol to follow the end of school year – 16 students who have now completed, securing funding for further courses	Craig Bolt	01/09/2010	30/05/2013
On schedule	LSP supported Backing Young People in Bristol initiative	Supported recruitment of young people to BCC apprenticeships programme	Craig Bolt	08/05/2012	30/05/2013
On schedule	Produce monthly monitoring report on the NEET and Not Known situation	<p>Monthly reporting continues.</p> <p>All NEET young people receiving holistic assessment and action plan, with support in place to achieve goals. All NEET caseloads overhauled following BYL restructure to create smaller and more flexible groups</p>	Craig Bolt	01/09/2010	30/05/2013
Completed	Review Bristol Youth Links	LPW Bristol restructure completed in preparation for Spring 2012	Craig Bolt	01/09/2010	30/05/2013

Current Status: Review Overdue

Current Risk Severity: Medium

Current Risk Likelihood: Medium

Risk Champion: Craig Bolt

Risk Owner: Adam Carter

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. 25 years).

Risk Code: CRR032

Inherent Status: High (9)		Inherent Risk Severity: High	Inherent Risk Likelihood: High		
Date Identified: 25 Jul 2011		Service: Resource Planning and Performance			
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
On schedule	Approach DfE for contribution	DfE have confirmed that current position will be reconsidered as part of their next spending review	Bob Rutherford	01/08/2011	29/10/2013
On schedule	Commence discussions with PFI companies and schools/academies	Revised arrangements implemented for 2013/14 financial year with further review signaled for 2014/15	Bob Rutherford	22/08/2011	29/10/2013
On schedule	Complete DfE Surplus Place return	Annual School Capacity and Places (SCAP) return, in revised format, prepared and submitted in August to DfE. Additional information requested October 2013 and submitted.	Bob Rutherford	14/08/2013	29/10/2013
On schedule	Deliver outcomes identified in School Organisation Strategy – long term	Additional funding from DfE: £33,799,482 for 13/14 and 14/15 Basic Need £28,231,308 for 13/14 and 14/15 Targetted Basic Need Both sums to be confirmed by Cabinet, 31st October, 2013.	Bob Rutherford	14/08/2013	29/10/2013
On schedule	Deliver outcomes identified in School Organisation Strategy – medium term	Additional funding from DfE: £33,799,482 for 13/14 and 14/15 Basic Need £28,231,308 for 13/14 and 14/15 Targetted Basic Need Both sums to be confirmed by Cabinet, 31st October, 2013.	Bob Rutherford	14/08/2013	29/10/2013
On schedule	Develop forecasting model	Forecast model produced and reported to DLT. Forecast to be revised for March 2014.	Bob Rutherford	08/11/2012	29/10/2013
On	Impact of current primary	Secondary numbers and impact of new secondary free	Bob	01/08/2011	29/10/2013

schedule	numbers	school reviewed in the 2013-2017 School Organisation Strategy.	Rutherford		
On schedule	Review of operational processes to identify opportunities for savings	In accordance with HM Treasury guidance. Opportunities identified in terms of review of service provision. Skills of new finance business partners being used Review of Utilities in Skanska FM schemes may result in some additional charges. With BAM FM schemes these charges are already resolved. Ongoing review of Utility Savings.	Bob Rutherford	22/08/2011	29/10/2013
Current Status: Medium (4)		Current Risk Severity: Medium	Current Risk Likelihood: Medium		
Risk Champion: Craig Bolt			Risk Owner: Michael Branaghan		

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	ABW training has been rolled out over the last few months. A review of gaps in training and delivery is planned.	Geraldine Mead	01/09/2010	29/10/2013
On schedule	Ensure guidance on password sharing is regularly circulated to staff	Ongoing measure throughout the year	Geraldine Mead	01/09/2010	29/10/2013
On	Ensure mandatory requirement for	Ongoing measure throughout the year. Applies to LA	Geraldine	01/09/2010	29/10/2013

schedule	schols to submit budgets to LA for checking is enforced	maintained schools only as academies deal with the EFA who manage compliance.	Mead		
On schedule	Implementation and use of Pearsons ordering system	System is up and running but has experienced a number of issues, primary amongst them being a lack of interface with ABW.	Geraldine Mead	24/10/2011	29/10/2013
On schedule	Monitor budgets monthly	Ongoing measure throughout the year	Geraldine Mead	11/11/2010	29/10/2013
On schedule	Training programme in audit procedures for schools with identified training need	Ongoing measure throughout the year	Geraldine Mead	01/09/2010	29/10/2013
Current Status: Low (2)		Current Risk Severity: Medium	Current Risk Likelihood: Low		
Risk Champion: Craig Bolt			Risk Owner: Craig Bolt		

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: Children and Young People	

Mitigation records

Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
On schedule	Ensure staffing levels are sufficient	Social work is being reshaped to provide more case carrying capacity and some additional capacity has been allocated.	Jean Pollard	18/01/2013	29/10/2013
On schedule	Provide correct placements	The balance of placements element of the change programme is about providing placements of high quality to children in care in the context of ensuring best value.	Jean Pollard	01/09/2010	29/10/2013
On schedule	Remodelling social work programme	The remodelling work will include best practice for Children in Care	Jean Pollard	29/10/2013	29/10/2013
On	Train staff to ensure that	The training will include inter-agency child protection issues.	Jean Pollard	18/01/2013	29/10/2013

schedule	required standards are achieved & maintained	New training plan in place for 13/14.			
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Current Status: Medium (4)	Current Risk Severity: Medium	Current Risk Likelihood: Medium
Risk Champion: Craig Bolt	Risk Owner: Jean Pollard	

QUARTER 2 2013/14
RISK IMPROVEMENT - TARGET PROJECTION

SITUATION AS AT QTR2 2013/14					IMPROVEMENT TARGET PROJECTION		
Inherent Risk Status	Current Risk Status	Title	Last Review Date	Risk Owner	Improvement Target Status	Improvement Target Date	Risk owner recommendation
High (=> 6)							
9	6	↔ Children in need CRR16	29/10/2013	Isobel Cattermole	4	Planned improvements through delivery of change programme up to 2015	Retain as live corporate risk. Further mitigations and timelines developing through Children First programme.
Medium (=> 3)							
9	4	↔ Educational attainment CRR10	29/10/2013	Isobel Cattermole	2	Planned improvements through delivery of change programme	Retain as live corporate risk. Recent involvement of OfSTED and the consultation on Education Policy Directions has raised the profile of this work with all educational stakeholders and should lead to wider ownership and engagement
6	4	↔ Delivery of the capital programme CRR20	29/10/2013	Bob Rutherford	2	Commencement of academic year - Sept 2015	Retain as live corporate risk. In the medium term progress against the capital programme is positive, but in the longer term, there is a £50million funding shortfall until after 2014/15.
9	4	↔ Potential unitary charge shortfall CRR32	29/10/2013	Craig Bolt Bob Rutherford	4	Linked to review of national funding methodology 2016	Retain as live corporate risk. Anticipated changes to national funding arrangements may result in the need for a different approach to current funding arrangements meeting the unitary charge shortfall
6	4	↔ Business Transformation within CYPS CY023	11/06/2013	Isobel Cattermole	2	01/04/2015	Retain as a Directorate Risk. The transformation programme affects most of the Directorate service areas and is the main vehicle for delivery of financial savings
9	4	↔ Percentage of young people Not in Education, Employment or Training CY025	11/06/2013	Craig Bolt	2	01/03/2015	Retain as a Directorate risk. Amongst other elements the Bristol Youthlinks contracts establish performance expectations for new providers and will be subject to review in March 2015
4	4	↔ Support to Children Looked After CY017	29/10/2013	Jean Pollard	4	01/04/2015	Retain as a Directorate risk. The Children First Change programme includes developing signs of safety and remodelling of social care functions.
Low (=>1)							
4	2	↔ Serious Fraud CY011	29/10/2013	Craig Bolt	2	01/04/2015	Retain as a Directorate risk. This is on-going consideration for the Directorate and the Council, particularly in terms of business change.

DELETED FROM CRR				

COMMENTARY	
Please give reason for deletion from CRR, ie unable to lower risk any further/risk dissipated, and transferred elsewhere or simply deleted	

Key: ↔ No movement in current risk compared with previous quarter