

## Adult, Children & Education - Risk Overview

### Strategic Risks:

1. **Lack of Coherence and impact of educational offer through growth of academies due either to their own choice or because they fall into an Ofsted category of concern**

Risk: New Government policy enables good schools to become academies  
A more rigorous Ofsted framework places more schools in a category, and therefore the DfE expectation is that they will become an academy  
Reduced collaboration between schools to drive improvement particularly for most disadvantaged  
Leadership recruitment to schools in intervention

Impact: Impact on council budget should schools become academies, and on ACE capacity to deliver high quality core services to remaining schools.  
Narrowing the Gap priority not delivered

Mitigations: Continuous dialogue with schools  
Sector-led school to school support through the Teaching School Alliance and York Education Partnership established  
Strong understanding of the national picture to inform local decision making  
Strategic plan through York Education Partnership  
Improved buy-back service  
Strong understanding of the national picture to inform local decision making

2. **Inability to understand and respond to the demands of an Ageing Population**

Risk: The Ageing Population Review has been completed and actions are being embedded in Directorates. If as Directorates or Corporately we fail to give these actions the necessary priority and do not continue to respond

to the changing needs of older people this will become a risk.

Impact: We must continue to build on our understanding of our response required to meet the demands of an ageing population. Many people are living longer and living longer healthier. This is both an issue about increased volume of demand but more about higher dependency levels of those who need our support. If we do not, this could lead to reputational damage and older people becoming disengaged with the council and broader social issues.

Mitigations: Support Directorate leads in embedding actions via an Ageing Well Programme of mentoring  
Partnership working around Dementia Without Walls maintaining momentum  
Service Capacity protected through outsourcing/social enterprise plans etc  
Development of more integrated approaches with CCG eg Neighbourhood Care Teams  
EPH strategy approved and delivery plan in place

### **3. Insufficient Capacity to provide High Quality Childcare Places across the City as required for Vulnerable 2 Year Olds Programme**

Risk: Lack of high quality places

Impact: Lack of support for parents for career and learning  
Lack of childcare to enable parents to return into work, training or employment  
Impact on local job markets and employment figures

Mitigations: Funding secured  
Sufficient high quality places to meet the demands of the vulnerable two year old programme.  
Strategic plan completed with key mitigation actions in place to ensure sufficient number of places  
Implementation ongoing.  
QA and improvement scheme in place for all settings, including child minders.

#### **4. OFSTED/CQC/judge the council's Safeguarding Arrangements to be Inadequate**

Risk: OFSTED or CQC judge the council's safeguarding arrangements to be inadequate

Impact: This could affect the council reputationally and undermine people's confidence in the services and prevent them from making referrals, resulting in vulnerable people not being identified as such

Mitigations: Pre-inspection pack (Self-evaluation Framework)  
Revised referral and assessment arrangements  
Standing Inspection Reference Group – chaired by the Director  
Commissioned LGID Peer Review – January 2011  
Positive Safeguarding and Looked After Children Inspection outcome – May 2012  
Engaged with Sector led regional improvement programme for adults and children's services

#### **5. Further Growth in the Looked After Population**

Risk: The care population is growing nationally and York has seen significant growth over the period 2009-12. During 12/13 we have seen stabilisation and importantly a significant reductions in both new admissions and numbers of children on child protection plans in the community.

Impact: Children should ideally be cared for within their own or extended family. Increases in care population brings concerns about quality of family functioning, this carries both individual risks for children and young people and financial risks to ensure children who are in care remain locally placed.

Mitigations: Targeted Preventative Services  
New front door arrangements on partnership basis  
Good permanency planning  
Enhanced legal scrutiny  
Integrated Family Support Services including Troubleshooter programme now in place  
Restructure of children's social care and key support services

## 6. Inability to meet the Demand for School Places

Risk: Failure to predict demand accurately: children moving schools in year

Impact: Children failing to secure preferences  
Children not being able to attend their local school and having to travel greater distances

Reputational damage due to media coverage

Mitigations: Analysis - population projections  
School Organisation Plan under development for York Education Partnership  
Collaborative commitment from York Education Partnership  
Key decisions on Burnholme Community College and Derwent/Osbaldwick primary schools progressed  
Capital programme approved including major investment at Knavesmire Primary

## 7. Inability to Maintain School Buildings to Adequate Standard

Risk: Reduced both devolved school and LA capital funding places considerable pressure on maintenance and repair of school buildings

Impact: Lack of maintenance and basic repair could lead to breakdown eg school boilers which could disrupt the education of local children

Mitigations: Prioritisation through use of local conditions surveys  
History of attracting significant investment in new and existing buildings

### Financial Risks:

## 8. Increasing Social Care Support Costs

Risk: If we do not involve older people in the design and delivery of services such as health, social care, housing and other services and deliver the changes required to manage demand and create efficiencies/savings

Impact: The rising demographic for social care support projections show that the costs could increase by £12m by 2020. This would happen if the council does not respond and change the way it delivers its services. We will lose the opportunity to have an inclusive design that supports older people's quality of life in the city

Mitigations: Priority for Growth in council budget agreed for 13-15  
Additional central government funding via PCT  
Re-ablement service has doubled capacity as external provider  
Review of EPH's completed and clear strategy in place  
Whole System approach at Health and Wellbeing Board  
Strong engagement with Clinical Commissioning Group and models for integrated delivery under development  
Learning from North Yorkshire and York Review supporting whole system funding realignment toward community based support  
Framework approached for integrated and cross boundary working developed

## 9. Agreeing a Fair Price for Care

Risk: Financial risk arising from challenges from the independent sector to the level of fees paid by the LA for home care and residential and nursing care

Impact: National experience of judicial review resulting in findings against LAs incurring significant costs  
Financial implications also associated with achieving agreement.

Mitigations: Negotiations for 12/13 completed without legal intervention being necessary  
Agreement in place for joint independent development of a local Fair Price for Care  
National independent modelling available

## 10. Inability to deliver the Financial Strategy and make Savings within ACE

Risk: The scale of the delivery challenge is unparalleled and will stretch leadership, project management and support service capacity. Another factor affecting this

risk is how it is subject to secondary political decision-making due to targets having been agreed in advance of identifying the final and full delivery methods

Impact: Lack of delivery has significant implications for the balancing of the corporate budget  
A key concern to address, in delivering the transformation programme, is doing so without experiencing any destabilisation within existing high risk services such as Safeguarding

Mitigations: Monthly and quarterly monitoring reports  
Enhanced governance arrangements for delivery of savings programme  
DMT member leadership of each key project  
Project board arrangements established  
Programme built on previous work  
Strong consultation with staff and unions in place

## **Operational Risks**

### **11. Information Security Incident**

Risk: Failure to have corporate information governance policies and procedures in place

Impact: Legal challenge

Mitigations: Improvement plan in place  
Record keeping  
Confidentiality policy  
Staff training

### **12. Failure to deliver essential services in an emergency**

Risk: Lack of Business Continuity Plans

Impact: Within ACE this is particularly important because of the statutory responsibilities to protect vulnerable people  
The Council has a duty to ensure the continuity of its services to residents and customers. Business Continuity Plans should act as mitigating controls capable of reducing the impact of specific risks such as fire, flood or loss of staff. The lack of these plans reduces the Council's ability to respond and increases

the level of exposure to associated reputational damage

Mitigations: BIA's completed in all key sites  
Flu plan developed and tested  
BCP for each service division

**13. Serious injury or death occurs where there is or should have been some safeguarding involvement**

Risk: Evidence that multi agency procedures were not properly implemented

Impact: Serious case review which would put into the public domain the short comings of any services that were involved

Mitigations: Monitoring of referral arrangements  
Safeguarding Children Board Professional Practice Monitoring Group established  
Implementation of comprehensive safeguarding children training programme  
Routine Case File Auditing  
Inspection feedback  
Adult Safeguarding Board Assurance processes in place  
Multi agency procedures and protocols reviewed regularly  
Adults Safeguarding Competency Framework adopted and used to inform multi agency training  
Adult safeguarding team undertaking assessments for CYC and offering specialist advice and support

**14. Maintenance of Equipment supplied through Community Equipment Store**

Risk: Our Community Equipment Store provides a wide range of equipment to support the daily living of older/disabled residents. Many pieces of equipment requires periodic testing repair or updating and the timescales for completing recommended reviews are challenging.

Impact: Risk that lack of maintenance checks may not identify equipment in need of repair or renewal and place customers using the equipment at risk.

Mitigations: Schedule for maintenance checks in place  
Contract in place for compliance  
Priorities identified within contract  
Monitoring of progress against priorities

## **15. Updating of Foster Carer payment system**

Risk: Foster Carer payment system works effectively but is within an increasingly outdated and in the longerterm unsupportable financial payment system

Impact: Our valued carers receive errors or omissions in the levels of allowances they are entitled to

Mitigations: Exploration underway to identify and put in place new system