

Adult, Children & Education - Risk Overview**Strategic Risks:**1. **Fragmentation of the Education Community of York 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.

Impact: Impact on Council budget should schools become academies, and on ACE capacity to deliver high quality core services to remaining schools.

Mitigations: Continuous dialogue with schools.
 Sector-led school to school support through the Teaching School Alliance and York Education Partnership.
 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 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. 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.

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: Sufficient high quality places to meet the demands of the vulnerable two year old programme.
Strategic plan being written.
Implementation gradual.
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.

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

Risk: The care population is growing nationally and York has seen significant growth over the past 3 years.

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.

5. **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.

Financial Risks:

6. **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: Additional central government funding in 2011-12 to come via PCT.
Decision to procure a double capacity re-ablement service.
Review of EPH's.
White Paper produced July 2012.
Whole System approach at Health and Wellbeing Board.
Strong engagement with Clinical Commissioning Group.
North Yorkshire and York Review supporting whole system funding realignment toward community based support.

7. **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.

Mitigations: Negotiations underway.
National independent modelling available.

8. **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

9. **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.

10. **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.

11. **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