

Wolverhampton City Council

AUDIT COMMITTEE

Date: **06.06.11**

Originating Service Group(s) **Children and Young People**
Contact Officer(s)/ **Charles Green**
Telephone Number(s) **5400**
Title/Subject Matter **Children and Young People – Risk Management and Governance**

Summary

That Members note the content of this report which sets out the key high level risks for the Children and Young People service cluster

1.0 Purpose of the Report

1.1 To set out for Members the key high level risk facing the Children and Young People service cluster and to set out how these risks are being addressed.

2.0 Background

2.1 The attached appendix to this report sets out:

- (i) the key functions of the service cluster
- (ii) the key objectives of the service cluster
- (iii) a brief description of measures to ensure functions are delivered
- (iv) an outline of key risks

2.2 Members should be aware that this is not a full risk analysis for the service cluster. That work is more detailed and takes place at a divisional level. This report seeks to isolate the key high level risks.

3.0 Financial Implications

3.1 The application of appropriate risk management and governance procedures is integrated within the overall project and performance management arrangements followed in Children and Young People. These processes support the delivery of agreed projects or workstreams within agreed resource provision.[DM/27052011/Q]

4.0 Legal Implications

4.1 The appropriate consideration of legal implications in respect of all projects, work streams or individual actions is incorporated within the overall project and performance management arrangements to ensure compliance with legal requirements.
[MW/27052011/H]

5.0 Equality Implications

5.1 The application of risk management and governance procedures includes consideration, and addressing equalities implications in relation to work streams within Children and Young People. Where appropriate this includes undertaking specific Equalities Impact Assessments and acting on the resulting outcomes

6.0 Environmental Implications

6.1 The application of appropriate risk management and governance procedures as part of the overall performance and project management processes enable appropriate consideration to be given to the environmental implications of collective or individual actions or workstreams.

Children and Young People - Review of Risk Management & Governance Arrangements

Key Issues	Summary of Responses
<p>What are the key functions that the service is required to deliver?</p>	<p>Children and Families – Social inclusion; Children in Need & Child Protection; Looked after Children; SEN and Disabilities</p> <p>Schools for the Future – BSF Programme team; E-Services; School Organisation</p> <p>Trust and Partnership Development – Children’s Trust; Planning and Partnership Development; Youth Service; Youth Offending Team</p> <p>Quality and Improvement – Safeguarding; Equality and Diversity; 14/19 and Connexions; School Improvement Partnership</p> <p>Service Transformation, Resources and Commissioning – Service Development; Commissioning; Performance and Communication.</p>
<p>What arrangements are in place to ensure that key functions are properly delivered?</p>	<p>Key projects/initiatives are subject to detailed delivery plans which are routinely reviewed and progress reported to the Corporate Programme Office.</p> <p>In respect to core functions Service Plans are used to effectively plan the delivery of key services and ensure that there are links to key corporate priorities where applicable. Service Plans are monitored on a quarterly basis through divisional management team arrangements, and more frequently by Service Managers/Chief Officers where appropriate.</p>
<p>What are the main risks that the service group has to manage and how are these risks being managed?</p>	<p>For an overview of the main risks affecting the service this year please see below.</p> <p>Each service area also completes within their Service Plans a more detailed register of all key risks affecting their service are and the mitigating actions to be taken. In addition to this, as part of the service plan monitoring process service managers identify specific risks to achieving targets on an on-going basis and report these, and identify mitigating actions through the quarterly performance reviews (in accordance with the Corporate Performance Management Framework).</p>

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	<p>During 2010/2011 the Council began a significant restructure of its senior management. The changes in roles and responsibilities present an increase in risk to the delivery of services and the effectiveness of the internal control system. These changes are being monitored and evaluated using project management techniques to ensure any issues are identified at an early stage.</p>
<p>What external assurance is available e.g. external inspection reports?</p>	<p>An annual audit programme is agreed with Audit Services and as required a programme of Risk Workshops with the Head of Risk Management and Insurance.</p> <p>Different areas of service have also been subject to formal external inspection/audit/assessment.</p> <p>In all cases the respective Chief Officers/divisional management teams are responsible for progressing any recommendations/actions.</p>
<p>What significant problems have occurred in the past year and what arrangements have been made to avoid such problems reoccurring?</p>	<p>25% cut in grant funding – managed through careful review of Early Intervention Grant commitments.</p>

Appendix 1

Assurance Framework Report - Children and Young People

Principal Risks	Key Controls	Assurances on Controls	Positive Assurances	Gaps in Control	Gaps in Assurance
<i>What could prevent the Objective being achieved</i>	<i>What controls/systems do we have in place to minimise the risk</i>	<i>Where can we gain evidence that tells us whether the controls exist and are working</i>	<i>Where is the evidence that shows we are reasonably managing our risks and objectives are being met</i>	<i>Where are we failing to put controls in place and/or they are not effective</i>	<i>Where are there gaps in the evidence that control mechanisms are working.</i>
Recruitment difficulties in key areas in schools results in an inability to deliver clear direction and/or leadership	Effective succession planning	Regular reviews with schools.	Update reports into SMB		
Poor OFSTED inspection report; reputational damage and possible intervention	Compliance with existing sound, professional practice and procedures. Focussed preparation in advance of the inspection period.	Reports into CYP management teams. Review of practice and procedures	Update reports into SMB		

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New operational structure does not deliver an integrated and coherent service	Establishment of Joint Children's Board internally Strengthening of the Children's Trust	Reports by A&C and CYP operational management teams	Review by A&C - DMT and CYP - SMB		
Service reductions related to the savings programme Public dissatisfaction and/or reputational impact if the expectations of residents are not met.	Structured performance management procedure in place including the identification of priorities. Review of schools improvement plans. .	Management review programme. Project plans. Reports into SMB	Regular reports to Cabinet Panels		

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<p>Service reductions related to the loss of external funding</p> <p>Consequential reduction in the level of services provided (statutory and discretionary).</p> <p>Public dissatisfaction and/or reputational impact if the expectations of residents are not met.</p>	<p>Structured performance management procedure in place including the identification of priorities.</p> <p>Review of schools improvement plans.</p> <p>Review of early intervention strategy</p>	<p>Management review programme.</p> <p>Project plans.</p> <p>Reports into SMB</p>	<p>Regular reports to Cabinet Panels</p>		