

Children and Young People's Service

Business Plan

2011-2012





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Services delivered by the Department

This business plan outlines how Children and Young People' Service (CYPS) will meet priorities set out for 2011-2012.

The Children and Young People's Service is divided into four service areas:

- **Universal services** – early learning and childcare, school improvement and performance service, links with schools and governor development services, school food, arts in education, outdoor and residential education services and sports development
- **Targeted services** – early years and SEN inclusion service, school attendance support, behaviour support services, ethnic minority and traveller achievement, education psychology, specialist teaching and education of children in care
- **Specialist services** – including safeguarding and social care services for children looked after and children in need, anti-bullying
- **Strategic initiatives** – including youth service, integrated youth support, children's centre services and family support, adults learning, workforce development, planning, performance and commissioning and corporate liaison



Issues faced by the Department

The Department faces a significant number of challenges during 2011/12. As a result the degree of challenge and change in the immediate future this plan only provides detail regarding 2011/12.

The challenges arise from:

- legislative changes
- policy reviews
- substantial reductions in funding



Legislative changes

Key pieces of legislation impacting the work of the department are:

- **Academies Bill 2010** – giving schools the opportunity to become Academies, independent of the local authority
- **Importance of Teaching (Schools White Paper)** – future duties of local authorities will include:
 - Becoming “champions” of children and parents to challenge every school to be the best for their population
 - Bringing together all services for children in a local area so that every child is ready and able to benefit from high quality teaching in excellent schools
 - Encouraging the development of Academies and Free Schools,
 - Supporting vulnerable pupils
 - Marketing services to all schools, including beyond their geographical area
 - Leading the coordination of admission arrangements for all schools
 - Continuing to ensure that disabled children and those with Special Educational Needs can access high quality provision that meets their needs
 - Continuing responsibilities for safeguarding
- **Withdrawal of statutory guidance regarding children's trusts**
- **Equity and Excellence: Liberating the NHS White Paper:**
 - Abolition of Primary Care Trusts (PCTs), and development of GP commissioning through GP Consortia
 - Development of personal health budgets for children and young people



- **Healthy Lives, Healthy People (NHS White Paper)** – Transfer of Public Health responsibilities to the Local Authority. Duties include:
 - Improving mental health to improve outcomes for children
 - Reducing child poverty
 - Tackling childhood obesity
- **Revised Children Act guidance** – large suite of guidance setting out how local authorities should carry out care planning, placement and review of children in care, including:
 - Duty to provide short breaks
 - Changes to independent reviewing officers (IROs) responsibilities



- **Special Educational Need (SEN) Green Paper** – due to be published in spring 2011 the Green Paper will explore “fundamental changes to the SEN and disability system, ... looking at how to identify children’s needs earlier, develop fairer and more transparent funding arrangements, and streamline assessments to make life easier for parents and families.”
- Whilst the detailed implications of these changes is not yet clear the net effect is one of fundamental change in the role of the Children and Young People’s Service:
 - The relationship with schools, as they become Academies, will become very different
 - The ending of PCTs and Public Health becoming a Local Authority responsibility, mean that partnership working arrangements will need to be modified considerably

Reviews

There are 3 significant and recently published policy reviews that show the likely direction of the Coalition Government’s approach to children’s services.

- **Graham Allen Review** – identifying six components to early intervention (by which Allen means intervening at an early age)
- **Frank Field Review** – presents evidence that children’s life chances are predicated on their development and experiences in the first 5 years – and 0-3 especially
- **Eileen Munro Review** – review of child protection services in England

Each says similar things about Early Intervention which is seen as key to achieving lasting and improved outcomes for children and young people. The overarching message is that intervention in early years (0-5) is the way to improve outcomes and life chances for disadvantaged children and to address inter-generational disadvantage.



Budget

Together with much of the public sector and the County Council CYPS faces considerable reduction in funding for 2011/12 compared to previous years.

- The Area Based Grant (ABG) is being withdrawn and a new, Early Intervention Grant, created. There has been an approximate 20% reduction in funding between 2010/11 and 2011/12 for areas that are expected to be covered by this new grant in addition to the cessation of other specific grants
- The County Council Revenue Support Grant (RSG) is being reduced by approximately 13.8% compared to 2010/11

These budget reductions mean that significant savings in addition to those identified in the existing savings programme will have to be made.

Partner agencies are facing similar budget issues and are also under pressure to achieve significant savings that may result in service reductions.

At the same time, the County Council has been successful in becoming a trial area for a Community Budget. This is intended to “give budget holders at local level the freedom to pool and align funding to deliver better outcomes”. CYPS will actively contribute and support this initiative.



Current Medium Term Priorities

CYPS vision and goals

CYPS vision remains to:

Make every child and young person's life better by putting them at the heart of everything we do

To achieve this we will:

- Ensure that information, advice and guidance relevant to the lives of children, young people and their families is made available in an accessible and transparent manner
- Focus services towards those most vulnerable
- Design direct service delivery on a locality basis



Principles

The following principles will be employed in achieving our vision and goals:

- We will apply whole family approaches – the inter-dependency of the needs of the whole family should be an essential feature of any assessment and of service provision. Assessments should consider the hierarchy of the families' needs to ensure that provision is timely and appropriate and makes best use of available resources
- There should be a continuity of service, from universal to specialist. The focus should be on early identification of need and early intervention so reducing the need for high cost, specialist services
- Services should be:
 - Of high quality
 - Customer focused (ensuring appropriate routes are available so full range of people [including most vulnerable] access services they need)
 - Locality based

Core Business

CYPS core business is to:

- Ensure safeguarding of children and young people
- Improve attainment
- Promote young people's morale and self-esteem

Assumptions

Key points that underpin this business plan are:

- There will be less money and fewer staff
- Our role will shift rapidly from provider to commissioner
- The department/council will be the champion of young people and parents/carers in Leicestershire
- We will have more autonomy over our actions and heightened accountability for them
- Some of the highly effective work that has served young people well over the last five years will not be appropriate for the next five years
- Health and well being supports our core business



Priorities

From April 2011

CYPS will focus its efforts and resources on:

Ensuring Safeguarding

- Ensuring Leicestershire children and young people are safe by:
 - Embedding our new social care structures
 - Responding to the revised Children Act guidance
 - Modernising our children in care services
 - Reducing harm caused from domestic violence and adult substance misuse
- Delivering integrated early intervention through a whole family approach to local service delivery:
 - Understanding how services are provided from a family point of view
 - Reducing focus on symptoms, and services, working in isolation and developing a more integrated system based on family risk and resilience factors

Improving attainment

- Pro-actively leading groups of schools that wish to become Academies:
 - Developing and providing information for Governors re: Academy status
 - Raising awareness of opportunities presented by Academy status
 - Helping schools consider possible organisational models
- Providing tailored support and challenge to schools:
 - Maintain the high standards at the end of **Foundation Stage** Pupils and narrow the gap between the median and the lowest 20% by July 2012
 - Maintain high standards in Reading, Writing and Maths at the end of **Key Stage One** so that outcomes are in line with our best performing statistical neighbours by July 2012





- Further raise standards at **Key Stage 2** so that outcomes are in line with our best performing statistical neighbours by September 2012
- Further raise standards at **Key Stage 4** so that outcomes for Leicestershire Young People compare favourably with statistical neighbours for the percentage of young people achieving 5 A*-C including English and Maths, the percentage of young people achieving the English Baccalaureate and the percentage of young people achieving 5 A*-G by September 2012
- Raise standards at **post 16** so that outcomes for Leicestershire Young People compare favourably with statistical neighbours by September 2012
- Improving attainment for vulnerable groups
- Raising attainment of Children in Care to achieve 2011 SaLTs targets
- Narrowing the gap between the attainment of pupils with Free School Meals (FSM) and their non-FSM peers at the end of KS2 and KS4
- Increase the percentage of SEN pupils who achieve Age Related Expectations at the end of KS2 and KS4 by September 2012
- Reducing rates of permanent and fixed period exclusions:
 - Building on the significant reduction in exclusions at secondary schools further develop strategies to focus on reducing exclusion at primary schools
- Reducing rates of persistent absence from school:
 - Continue the focus of the Attendance Strategy targeting schools facing particular challenge
- Further increasing the number of good and outstanding schools and settings:
 - Improving the quality of teaching, leadership and management so that the percentage of schools judged to be good or outstanding in Ofsted inspection increases by July 2012
 - Supporting and facilitating school to school partnerships and collaborative working





- Ensuring access to sufficient and high quality school places:
 - Ensuring sufficiency and suitability of existing school accommodation
 - Providing additional accommodation where extra pupil places are needed
 - Replacing temporary buildings with permanent accommodation as a consequence of planning requirements
 - Developing a new area special school in Charnwood
- Reducing to a minimum, schools and settings causing concern and in Ofsted categories:
 - Reduce the number of LA schools in Ofsted categories to zero by April 2012 by providing targeted support and challenge for vulnerable schools and schools causing concern
- Reducing permanent and temporary exclusions:
 - Devolving resource at KS4 to groups of schools to manage provision for young people at risk of exclusion

Promote young people's morale and self-esteem

- Developing a strategy to promote young peoples self esteem and morale:
 - Exploring how children and young people's resilience to risk can be increased
 - Meeting the increased demand for mental health services through integrated provision and development of clear pathways for children and young people to get the right help at the right time
 - Ensuring that the help provided to individuals is coordinated with help other family members may be receiving
 - Increasing parenting capacity
 - Ensuring provision of personal development opportunities for all young people – including supporting the national citizen service
- Targeting youth service work towards Leicestershire's most vulnerable young people:
 - Providing a sharper focus on work with vulnerable young people and within priority neighbourhoods





- Developing/implementing SEN funding and disability strategy:
 - Aligning services for disabled children to improve coordination and outcomes
 - Responding to the needs of increasing children and young people identified as having Autism Spectrum Disorders
 - Developing specialist local provision in schools as an alternative to placements in independent special schools
- Further improving outcomes for vulnerable young people including children in care, BME and those with SEN:
 - Implementing a programme to modernise work with children in care
- Ensuring the department has a lead role in Community Budget planning:
 - Pooling funding and resources within the County Council and with partners agencies
 - Building on CYPS experience of delivering services on a locality basis, and using the opportunities presented through Community Budgets, to deliver holistic services meeting locally defined needs
- Considering the implications of the Munro, Field and Allen reviews:
 - Understanding resource and service delivery implications of early intervention and developing appropriate service provision (“productive children’s services”)

From September 2011

We will focus our efforts and resources on:

- Planning effectively for 2012/13 including the budget
- Reviewing our priorities as necessary
- Implementing our strategy for raising young peoples self esteem and morale
- Ensuring that our commissioning strategy is effective
- Responding to the recommendations arising from the Munro and Field reviews
- Delivering the plans for Community Budget

From April 2012

We will focus our efforts on:

- Maintaining outstanding safeguarding of young people
- Increasing attainment further at all key outcomes
- Redrafting priorities and actions in light of national/local developments and budget issues
- Implementing potential new SEN legislation



Monitoring Arrangements

The Departmental Management Team manages performance and monitors progress on the delivery of all actions, performance indicators and risks in the departmental and local business plans.

Performance is monitored on a monthly basis and key risks every quarter.

Major Risks

CYPS risks are identified in the CYPS Risk Log. Major risks are listed in Appendix 1.

Resourcing and Efficiency Planning

CYPS has had to critically evaluate the services it delivers using service baseline budgeting. It is planned that the department will build on this process in future years.

CYPS resources for 2011/12 are contained in the County Council's Medium Term Financial Strategy.

Efficiency planning is achieved through the CYPS Transformation programme.



Appendix 1: Major Risks

Risk aspects listed below may cross-cut across the different risk descriptions

Risk Area	Risk Description	Likelihood /Impact	Key Controls In place (Action already taken)	Further Action to be taken	Residual Risk (After action taken) Likelihood/ Impact	Overall Risk owner	Action Owner (Officer)
1. Safeguarding							
1.1	<p>Failure to integrate support (including early intervention) and having formal processes in place for vulnerable children and families 'below' specialist services intervention leading to gaps in safeguarding.</p> <p>Failure to increase children/young people's resilience around a range of factors that affect them</p>	2B	<ul style="list-style-type: none"> ■ Integrated intervention project and performance management reports from the Children's Centres ■ Encourage liaison with social care ■ Self Evaluation Frameworks and preparation from Ofsted inspections ■ Report to Transformation Board regarding community budgets ■ Awareness of review recommendations 	<ul style="list-style-type: none"> ■ Development of system to include Early Intervention, contact & referral, etc. ■ Ofsted support to marshal evidence and coach staff in demonstrating improved resilience 	3B	<p>Assistant Director – Strategic Initiatives</p> <p>Assistant Director – Specialist Services</p>	<p>Transformation programme manager</p> <p>All business unit leads</p>
1.2	<p>Failing to apply CAF processes leading to lack of CAF take up and impacting on integration project; breakdown in targeted support and safeguarding of vulnerable children</p> <p>Failing to resolve issues raised in previous Ofsted inspection regarding take up of CAF</p> <p>Failing to act on issues relating to the National eCaf; local use and differing assessments on CAF</p>	2B	<p>Process/procedures in place</p> <p>Promotion of CAF</p>	<ul style="list-style-type: none"> ■ To be integral part of the integration project ■ Improved governance of and direction for CAF ■ CAF involvement in Inspection preparation <p>Make training available</p>	3C	Assistant Directors	<p>Strategic Manager – CAF</p> <p>Heads of Services; Managers MAIG</p>
1.4	<p>Failure to ensure staff and staff in commissioned services are CRB checked</p>	3A	<ul style="list-style-type: none"> ■ Extensive review of HR records held ■ Promote safeguarding and CRB relevance within commissioned services 	<ul style="list-style-type: none"> ■ Implement review actions ■ Maintain list of CRB staff and updates ■ Ensure compliance of commissioned services through contract/SLA management 	4A	HR Business partner	<p>Service commissioners /CYPS Service Commissioning Manager</p>

Risk Area	Risk Description	Likelihood /Impact	Key Controls In place (Action already taken)	Further Action to be taken	Residual Risk (After action taken) Likelihood/ Impact	Overall Risk owner	Action Owner (Officer)
1.5	Failure in safeguarding practice; Outcomes of Serious Case Reviews (SCR)	3A	<ul style="list-style-type: none"> ■ Developed policy and procedures ■ Continue to learn lessons from outcomes of SCRs 	<ul style="list-style-type: none"> ■ Continue dialogue with Ofsted ■ Update policy and procedures ensure appropriate training in light of Serious Care Reviews 	3C	Assistant Director – Specialist Services	HOS - Safeguarding
1.6	Continued problems with implementation of new children's social care database	2B	<ul style="list-style-type: none"> ■ Action plan in place 	Continue to monitor and improve implementation	3C	Assistant Director – Specialist Services	Project Manager
2. Attainment							
2.5	Academies – schools opting to become academies: <ul style="list-style-type: none"> ■ competition from other agencies to provide services ■ staff reduction if services are commissioned from other agencies (not CYPS)/impact on services budgets ■ supporting academies and LA schools ■ failure to share information on children missing education ■ Not managing the Academies project well 	2B	<ul style="list-style-type: none"> ■ Engagement with schools to develop mechanisms to support this and also encourage further collaboration and support. ■ Formula for allocation of support according to service and need ■ Project support identified 	<ul style="list-style-type: none"> ■ Build on relationships with schools ■ Develop systems (including SLA where relevant) to support schools pre and post academy status ■ Funding formula for schools and taking into consideration CYPS(LA) duties ■ Monitor demand and use for academy status as well as CYPS support ■ Management processes in place for Academies project 	2C	Director	Assistant Director – Universal services
2.6	Recession impact (current economic and social climate impact on parents and businesses affect CYP and schools)	2B	Strategy focus on NEET; PA; 14-19 agenda	Further develop strategy	3C	Assistant Director – Universal services	Head of Service – School Improvement and Performance Service
2.7	Children with SEN not supported adequately with: <ul style="list-style-type: none"> ■ transition into school ■ involvement of therapy services support due to local NHS criteria change 	3B	<ul style="list-style-type: none"> ■ Additional adult funding available ■ Area SENCO support ■ Therapy managers are aware of the need to continue support for mainstream schools/ colleges and special schools 	<ul style="list-style-type: none"> ■ Support individuals as they transfer to school through IA or SENCO ■ Continue to request input from SALTs, OTs and Physios in ICT assessments where appropriate 	4C	Assistant Director – Targeted Services & Universal Services	Head of Service – Targeted Services and Service Manager – Universal Services

Risk Area	Risk Description	Likelihood /Impact	Key Controls In place (Action already taken)	Further Action to be taken	Residual Risk (After action taken) Likelihood/ Impact	Overall Risk owner	Action Owner (Officer)
2.8	Increasing numbers of children identified with ASD in mainstream schools (a national picture)	2B	<ul style="list-style-type: none"> ■ Monitor caseload numbers ■ Explore ways of supporting school effectiveness through use of practitioners 	<ul style="list-style-type: none"> ■ Review opportunities to enhance practitioner staffing through slippage 	2C	Assistant Director – Targeted Services & Universal Services	Service Manager
2.9	Increased demand for special school places and specific provision for children with severe Asperger syndrome (ERP provision in M/s)	2B	<ul style="list-style-type: none"> ■ Work with CYPS and school partners to identify demand and plan provision ■ Raise capacity in schools through training and support 	Continue planning on additional enhanced resource and low arousal provision	2C	Assistant Director – Targeted Services & Universal Services	Service Manager
3. Morale and Self Esteem							
3.2	Inadequate commissioning of CAMHS (CAMHS commissioning manager leaving)	2B	<ul style="list-style-type: none"> ■ Development of CAMHS strategy ■ Recruitment new CAMHS Commissioning & Performance Manager 	Increase involvement of Planning & Commissioning team in CAMHS work	3C	Assistant Director – Targeted Services	HoS – Planning and Commissioning
4. Performance and data management							
4.1	Inadequate representation of children and young people in JSNA	2B	Planning officer involved in JSNA development	Liaison / involvement research & information team	3 B	Assistant Director – Strategic Services	Head of Service – Planning and Commissioning
4.2	Transfer of performance management function leads to poor performance management	2B	<ul style="list-style-type: none"> ■ Monthly updating meetings with performance manager ■ Risks highlighted to Chief Executives ■ Planned creation of CYPS 'relationships' manager role ■ SLA created 	<ul style="list-style-type: none"> ■ Monitoring of Service Level Agreements (SLA) and review of arrangements ■ Involvement in planned restructuring of planning section 	3 C	Assistant Director – Strategic Services	Head of Service – Planning and Commissioning

Risk Area	Risk Description	Likelihood /Impact	Key Controls In place (Action already taken)	Further Action to be taken	Residual Risk (After action taken) Likelihood/ Impact	Overall Risk owner	Action Owner (Officer)
5. Inspection							
5.1	Inadequate preparations for Announced Inspections (LAC and Child Protection)	2B	Preparation plan being implemented	Development of key messages and issues that need to be addressed	3B	Assistant Director – Specialist Services	Head of Service – Planning and Commissioning
5.2	Children's Centres being placed in Ofsted categories	2B	Locality and Centre SEFs completed. Lessons learned from 2 inadequate inspection judgements	Ofsted support team established. 2 consultants engaged to improve overall performance and target localities at higher risk of poor judgements	3B	Assistant Director – Strategic Services	Senior Strategy Manager - RW
5.3	Inadequate judgement at annual safeguarding inspection and/or Children in Care & Safeguarding inspection Not meeting raised safeguarding expectations (Ofsted inspections)	2B	<ul style="list-style-type: none"> ■ Regular 'mock inspection' visits ■ Multi-agency Children's Inspection group meeting ■ Inspection website ■ Continuing internal review of practice and process 	<ul style="list-style-type: none"> ■ Maintain high profile re: inspections ■ Response to practice issues identified and appropriate changes to processes 	3B	Assistant Director – Specialist Services	Head of Planning and Commissioning; Heads of Services – Specialist Services
6. Commissioning/contracts							
6.1	Inadequate contract management and procurement arrangements leading to failure of external supplier to deliver service, and/or poor quality service provided	2B	<ul style="list-style-type: none"> ■ Procurement toolkit developed ■ Contracts and Commissioning Board meetings ■ Contract performance management 	<ul style="list-style-type: none"> ■ Commissioning Project, one strand of which examining contract management arrangements ■ Review contract management arrangements 	3B	Assistant Director – Specialist Services	Service Commissioning Manager
6.2	Failure to engage fully / appropriately with development of Joint Commissioning hubs	2B	PC & JD Attending Joint Commissioning Operational Group	<ul style="list-style-type: none"> ■ Liaison with Rob Wade re development of Community Budgets ■ Regular reporting to Assistant Director 	3C	Assistant Director – Specialist Services	Head of Service – Planning and Commissioning
6.3	Failure to develop commissioning strategy means reactive, rather than proactive stance and lack of planning for CYPS structure etc.	3A	<ul style="list-style-type: none"> ■ DMT consulted re issues to be addressed ■ Strategy being developed 	Establish proper governance for Project	3B	Assistant Director – Specialist Services	Head of Service – Planning and Commissioning

Risk Area	Risk Description	Likelihood /Impact	Key Controls In place (Action already taken)	Further Action to be taken	Residual Risk (After action taken) Likelihood/ Impact	Overall Risk owner	Action Owner (Officer)
6.4	Review of parenting provision not completed in time for 2012 commissioning cycle	2B	Cabinet report requests possible further 6 month extension to contract	none	3B	Assistant Director – Strategic Services	Parenting Strategy Commissioner - EL
7. Partnership working							
7.1	Funding reduction within CYPS and other partner agencies (including government; agencies; diocese, professional associations, customers (i.e. schools, independent/voluntary sector) could impact on partnership working: <ul style="list-style-type: none"> ■ reduce services provided resulting in loss of service and/or increase demand on remaining services ■ reduce staff capacity to engage in partnership working 	2B	Improve joint working approaches and build good relationships	<ul style="list-style-type: none"> ■ Raise awareness within the EIG and Community Budgets work taking place ■ Monitor and evaluate outcomes with partners 	3C	Assistant Directors	Heads of Services; Service managers; Senior Strategy Manager (RW)
9. HR Issues (workforce)							
9.2	Restructuring impact on: <ul style="list-style-type: none"> ■ staff capacity ■ loss of knowledge/skills/capacity in key positions due to staff leaving ■ staff morale/esteem/motivation ■ performance ■ potential resistance to action plans ■ potential grievances arising out of restructuring action plans ■ reputation of service/CYPS/LCC ■ consistency/stability of service delivery/provision ■ failing to have succession planning 	2B	<ul style="list-style-type: none"> ■ Action plans and HR Business Partner involvement ■ Communication with staff and trade union ■ Services where succession planning an issue identified 	<ul style="list-style-type: none"> ■ Follow HR restructuring processes ■ Communication strategy with staff, trade union and partners/ service users ■ Engagement with staff ■ Workforce development strategy to exchange (retain) information/ knowledge ■ HR Business Partner and Learning and Development Unit involvement for workforce development planning 	2C	Assistant Directors; HR Business Partner	Heads of Services; Service Managers



Risk Area	Risk Description	Likelihood /Impact	Key Controls In place (Action already taken)	Further Action to be taken	Residual Risk (After action taken) Likelihood/ Impact	Overall Risk owner	Action Owner (Officer)
9.3	Lack of appropriate/up to date training for staff and also funding to provide training to staff and others	2B	Funding for professional development restricted	Prioritisation of training needs and request made to Assistant Director for release of funding on a case by case basis	3C	Assistant Director - ?	Head of Services; Service Managers
10. Governance and Compliance							
10.1	Unclear approach to equalities	3A	CYPS Equalities Group Monitoring / ensuring completion EIAs	Creation of equalities action plan	4C	Assistant Director – Universal Services	Head of Service – Planning and Commissioning
10.2	Failure to comply with legislative and regulatory frameworks (e.g. CiC new legal framework; School Admissions Arrangements; SEN, etc.)	3A	<ul style="list-style-type: none"> ■ Ensure processes and procedures are in place ■ Familiarisation with changes to policy including grants and responsibilities 	<ul style="list-style-type: none"> ■ Update processes and procedures ■ Formalise new procedures/policies i.e. charging system for traded work if appropriate 	3B	Assistant Directors	Heads of Services; Service Managers
11. Budget (and efficiency savings)							
11.1	Services, including reviews of services, within the departments do not meet the efficiency savings target and therefore the department's savings target and budget	2A	<ul style="list-style-type: none"> ■ Transformation programme in place. ■ Follow review procedure with involvement of Strategic Finance and HR Business Partners and other stakeholders, including staff, Trade Unions and service users 	<ul style="list-style-type: none"> ■ Monitoring of efficiency savings through quarterly updated of Business unit plans and risk plans and also Departmental risk plan/register ■ Monitor review process and progress with Business Partners – Strategic Finance and HR 	3B	Assistant Directors; Business Partners – Strategic Finance and HR	Heads of Services; relevant managers

Risk Area	Risk Description	Likelihood /Impact	Key Controls In place (Action already taken)	Further Action to be taken	Residual Risk (After action taken) Likelihood/ Impact	Overall Risk owner	Action Owner (Officer)
11.2	Budget shortfall due to: <ul style="list-style-type: none"> ■ Grant loss/reduction/ ■ EIG change ■ Increased cost/prices ■ Decrease in uptake of services/loss of income ■ Financial deficit in traded services ■ Services opting out ■ Governor development service trading shortfall ■ Service volume increases ■ Further changes in external funding sources ■ Reduced Dedicated Schools Grant arising from the Academies program 	2A	<ul style="list-style-type: none"> ■ Community Budget and EIG work ■ Transformation programme 	Robust budget and service monitoring with key managers and Strategic Finance Business Partner	3B	Director/ Assistant Directors and Strategic Finance Business Partner	Heads of Services and relevant managers
11.3	Community budgets do not involve existing provision for FCN/duplicate CYPs provision	3A	Raise awareness within community budgets work and EIG work		3B	Asst. Dir Strategic Services	Senior Strategy Manager – RW
11.4	Failure of Transformation programme: <ul style="list-style-type: none"> ■ SEN Transport ■ CDT Improvement Plan ■ Strategic Commissioning ■ Integrated Intervention System ■ SEN & Disabilities ■ CiC modernisation? 	3A	<ul style="list-style-type: none"> ■ Programme manager in place ■ Transformation Board established, with regular reporting ■ Risk plan in place for each project 	<ul style="list-style-type: none"> ■ Ongoing development of programme ■ Provide challenge where required ■ Monitoring of risk plan 	3C	Director	Transformation Programme Manager



Risk Area	Risk Description	Likelihood /Impact	Key Controls In place (Action already taken)	Further Action to be taken	Residual Risk (After action taken) Likelihood/ Impact	Overall Risk owner	Action Owner (Officer)
12. Payroll risk							
12.1	<p>ESC process changes have led to:</p> <ul style="list-style-type: none"> ■ The removal of segregation of duties ■ Changes in system security profiles ■ Placing ultimate responsibility/reliability on budget holders ■ These changes to the control environment increase the risk of financial loss and/or reputational damage through various means which can include: <ul style="list-style-type: none"> ■ Overpayments to employees ■ Inaccurate information (through managers not informing ESC of any contractual changes) ■ No independent checks 	2B	<ol style="list-style-type: none"> 1. New reports are available and accessible by all managers, with detailed guidance issued by FAIT on staffing transaction reports and responsibility of budget managers. 2. MFS communicated Council wide Newsletters to provide updates on the new finance processes and systems (FSSC) 3. Training events/Workshops/E-Learning modules held for budget holders to help support and better understand impact of the improvements and how their roles and responsibilities may change. 4. HR/ESC E-Forms available on CIS. 	<p>Target at 30.06.2011</p> <ol style="list-style-type: none"> 1. Communication in departments via DMT's to ensure that any officer with responsibility for staff alerts ESC to any contractual changes (using relevant e-forms) at the earliest of the event occurring, to ensure accurate presentation for next accounting period. 2. A briefing for relevant officers will take place at SMG meeting. 3. Responsible officer to check monthly staffing reports to ensure amendments have been correctly applied. 4. Discuss the possibility of HR involvement to provide clearer guidance for 'new' managers on processes and expectations. 5. Consider improvements to ESC pages on CIS (makes e-forms more easily recognisable and accessible) 6. Internal Audit to continue testing as per 11/12 audit plan. 7. Monitor and collate any feedback from departments to FAIT etc should further problems arise. 8. Recognise corporate impact of this risk and add to Corporate Risk Register for further monitoring. 	3D	Assistant Directors; HR Business Partners	Heads of Services; Service Managers



IMPACT	SEVERE	A		1.4; 1.5; 6.3; 10.1; 10.3; 11.3; 11.4	11.1; 11.2	
	SIGNIFICANT	B			1.1; 1.2; 1.6; 2.5; 2.6; 3.2; 4.1; 4.2; 5.1; 5.2; 5.3; 6.1; 6.2; 6.5; 7.1; 9.2; 9.4; 12.1	
	MODERATE	C				
	MINOR	D				
				4	3	2
			VERY UNLIKELY	NOT VERY LIKELY	QUITE LIKELY	VERY LIKELY

Inherent Risk Register 2011-2012

Risk Area	Risk Description	Likelihood /Impact	Key Controls In place (Action already taken)	Further Action to be taken	Residual Risk (After action taken) Likelihood/ Impact	Overall Risk owner	Action Owner (Officer)
1. Legal risk/Political risk							
1.1.	National policy/legislative change impact on local policies	2B	Monitoring of national policy/ legislative changes	Continue monitoring national/ legislative changes and assess impact on local policies	3C	Assistant Directors	Heads of Service; Managers
1.2.	Not engaging with children, young people, families and carers	2B	Active involvement strategy	Encourage engagement	3C	Assistant Director – Strategic Services	Head of Service Planning and Commissioning



Risk Area	Risk Description	Likelihood /Impact	Key Controls In place (Action already taken)	Further Action to be taken	Residual Risk (After action taken) Likelihood/ Impact	Overall Risk owner	Action Owner (Officer)
2. Reputation risk – loss of reputation due to							
2.1.	Adverse publicity	3A	Close with corporate communications to ensure promotion of good news stories in the media	Regular attention to managing the risk	4B	All	
2.2.	Failure of internal practice, partnership working/professional or procedural shortcomings leading to death/serious harm of a child where the service has been, or should have been involved	2A	<ul style="list-style-type: none"> ■ Robust child protection procedures ■ Regular training/updates for staff ■ Safe recruitment practice ■ Regular updates of DMT/ Members. Regular case file audits, review procedures and overview by child protection officer.	Learn from outcomes any Serious Case Reviews and change practice accordingly	3A	AD Specialist Services	Head of Safeguarding
2.3.	Death of a child in school or on a school activity where there has been professional or procedural shortcomings	3A	<ul style="list-style-type: none"> ■ Crisis line access available to all schools ■ Health and safety training and advice to schools Effective systems in place for risk assessment on activities.	Review existing arrangement and ensure they are robust and effective and clear lines of communication between EDT, crisis line and EVC processes	4A	Assistant Director - Universal Services	Committee and Support Administration Manager
3. Financial/Budget risk							
3.1.	Not staying within the budget	2A	Transformation programme	Robust budget monitoring	3A	Assistant Directors; Strategic Finance Business Partner	Heads of Services; Managers
4. ICT related risk							
4.1.	Failure of ICT systems	2A	Departmental ICT Board	Creation Intelligent Client role	3B	?	?



IMPACT	SEVERE	A		2.1; 2.3	2.2; 3.1; 4.1	
	SIGNIFICANT	B			1.1; 1.2	
	MODERATE	C				
	MINOR	D				
				4	3	2
			VERY UNLIKELY	NOT VERY LIKELY	QUITE LIKELY	VERY LIKELY



Appendix 2: Voice – Active Involvement Children, Young People, Parents and Carers

During 2011/12 we will increase the active involvement of a wider range of children, young people, parents and carers by:

1. Focussing on the involvement of vulnerable children and young people, and those not 'yet heard'
2. Exploring how to further embed/audit active involvement work in policies, strategies and practice
3. Implementing the Parent / Carer strategy – the voice of the whole family is important, particularly for those most vulnerable
4. Continuing to implement, and subsequently renew, the Children and Young People's Active Involvement strategy (2009-2012)
5. Providing strategic support for CYCLE and operational and strategic support for UKYP.





Children and Young People's Service

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