

NORTH YORKSHIRE COUNTY COUNCIL AUDIT COMMITTEE

APRIL 2013

INTERNAL CONTROL MATTERS FOR THE CHILDREN AND YOUNG PEOPLE'S SERVICES DIRECTORATE

Report of the Corporate Director – CYPS

1.0 PURPOSE OF THE REPORT

- 1.1 To note the position on the Children and Young People's Directorate's **Statement of Assurance**.
- 1.2 To receive details of the new **Risk Register** for the Children and Young People's Services Directorate.

2.0 BACKGROUND

- 2.1 The Audit Committee is required to assess the quality and effectiveness of the corporate governance arrangements operating within the County Council. In relation to the Children and Young People's Services (CYPS) Directorate, the Committee receives assurance through the work of internal audit (detailed in a separate report to the Committee), details of the combined Statement of Assurance provided by the Chief Executive and appropriate Corporate Director, together with the Directorate Risk Register.

3.0 STATEMENT OF ASSURANCE

- 3.1 Management Board, the Chief Executive and each Corporate Director produce a **Statement of Assurance** (SoA) at the end of each financial year. In this Statement the Chief Executive/Corporate Director identifies those items that may give rise to internal control or performance risk issues for the Directorate in the forthcoming year. These issues feed into the process that enables the Annual Governance Statement (AGS) to be prepared for the County Council as a whole.
- 3.2 The SoA for CYPS Directorate identified some areas for improvement to ensure that there is a sound system of internal controls within the Directorate. These areas for improvement and the latest position on the action proposed were reviewed at the last meeting of this Committee in December 2012. As this information has been previously provided at the last meeting, it is felt more effective to concentrate in this report on the CYPS Directorate risk register. However the relevant part of the latest SoA is attached as **Appendix A**.

4.0 **DIRECTORATE RISK REGISTER**

4.1 The **Directorate Risk Register** (DRR) is the end product of a systematic process that initially identifies risks at Service Unit level and then aggregates these via a sieving process to Directorate level. A similar process sieves Directorate level risks into the Corporate Risk Register.

4.2 The Risk Prioritisation System used to derive all Risk Registers across the County Council categorises risks as follows:

Category 1 and 2 are high risk (RED)
Category 3 and 4 are medium risk (AMBER)
Category 5 is low risk (GREEN)

These categories are of course relative not absolute assessments - equally the Risk Register at Directorate level is designed to identify the dozen or so principal risks that may impact on the achievement of performance targets etc for the Directorate as a whole in the year – it is not a full Register of all the risks that are managed in the Directorate.

4.3 There are two reports available for risk registers. These are a detailed risk register and a summary risk register. A detailed risk register shows current controls at Phase 2 and the proposed actions to manage the risks at Phase 3, as well as the ranking of the risks both at the present time and in the future. The summary risk register provides a quick overview of the risks, their ranking and changes in ranking.

4.4 The detailed DRR shown at **Appendix B**. This shows a range of risks and the risk reduction actions which have been put in place to minimise them.

The Register was updated and agreed by the CYPS Leadership Team in January 2013.

- 4.5 A summary of the DRR is also attached at **Appendix C**. As well as providing a quick overview of the risks and their ranking, it also provides details of the change or movement in the ranking of the risk since the last review in the left hand column. Please note the key at the bottom of the summary provides an explanation of the change advised.
- 4.6 The next full review of the DRR is scheduled for June/July 2013, with the 6 month review (lighter touch) taking place in December/January 2014.

5.0 RECOMMENDATION

5.1 That the Committee:

- (i) note the position on the CYPS Directorate Statement of Assurance;
- (ii) note the updated risk register for the CYPS Directorate; and
- (iii) provide feedback and comments on the CYPS Directorate Risk Register.

Pete Dwyer
Corporate Director – CHILDREN AND YOUNG PEOPLE’S SERVICES
April 2013

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AREAS FOR IMPROVEMENT IDENTIFIED
CHILDREN & YOUNG PEOPLE'S SERVICES DIRECTORATE

Areas for improvement	Action proposed	Latest position
<p>A Maintaining and improving performance while reducing budget by over £23m in the 5-year period 2010/15</p>	<p>The Directorate's approach to achieving the challenging savings demanded of it has involved a radical review of all parts of the service.</p> <p>The objective has been to protect front-line services as much as possible to enable a reorganised Directorate to operate effectively across its universal, preventative, targeted and acute service responsibilities, in line with legislation.</p> <p>The savings programme has affected every part of the service, although the impact has been particularly heavy on management and administration with over £11.5m found from these areas.</p> <p>While there is now a very low risk of the savings target not being met (nearly £19m or 81% being made by March 2012), the Directorate will seek to ensure that the impact of the cuts is not felt on the frontline. At the same time, externally-driven pressures on the County Council and on partners, such as the NHS, will be monitored. There are risk that the Directorate's work will be compromised by these demands at a time when the landscape for services affecting children is changing rapidly.</p>	<p>Savings are ahead of target and it is expected that around a further £400k will be accelerated from future years.</p> <p>To date there has been no knock-on effect from the Academies programme. Indeed the Council will benefit from a repayment of grant from DCLG. This benefit is likely to be recurring in nature, although that is dependent on the number of schools becoming Academies.</p>

AREAS FOR IMPROVEMENT IDENTIFIED
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Areas for improvement	Action proposed	Latest position
	<p>In recent reports to Executive Members, the Director has highlighted the issue of budget pressures arising from changes in national policy or other priorities linked to the Children and Young People's Plan including Family and Friends Car, Troubled Families and issues around vulnerable teenagers. It is anticipated that these pressures will need to be funded, at least initially, from within the Directorate's own resources.</p> <p>While the Directorate itself has contracted to a sustainable position, despite the reduction in resources, it will continue to assess, and react to, external demands and interventions which would otherwise destabilise its work. These might be the impact on partners mentioned above, or the knock-on effect to LA budgets of the Academies programme.</p>	
<p>B Safeguarding</p>	<p>Since the crisis in Haringey over the death of Baby Peter, all authorities and other agencies working with children, including North Yorkshire, have needed to respond to the challenges of -</p> <ul style="list-style-type: none"> • increased expectations on all aspects of safeguarding 	<p>Transformation of Children's Social Care is now in place. Savings have been delivered and the frontline has been protected. The service has been subject to some protection from MTFS although this position is now being reviewed in light of further savings requirements.</p> <p>Additional cost pressures in placements (as a result of</p>

**AREAS FOR IMPROVEMENT IDENTIFIED
CHILDREN & YOUNG PEOPLE’S SERVICES DIRECTORATE**

Areas for improvement	Action proposed	Latest position
	<ul style="list-style-type: none"> • an increase in the number of assessments which Social Care staff have to undertake • an increase in the number of children placed into care. <p>Additional resources provided by the Council have included -</p> <ul style="list-style-type: none"> • additional provision for child placement in 2010/11 of at least £1.25m • provision in 2009/10 for 9 additional Social Workers with further provision for 12 extra Social Workers in 2010/11 (in aggregate an additional budget provision of £800k) <p>Work continues to improve the efficiency and effectiveness of the placements strategy and this will be consolidated in 2012/13. The expected outcomes of this are factored into efficiency savings – with no impact on service quality – in the later years of the MTFS.</p> <p>Added to this are pressures arising from the numbers of:</p> <ul style="list-style-type: none"> • teenagers <p>The Directorate will also seek to monitor and react to programmes for homelessness</p>	<p>national policy changes) is being managed within existing Directorate resources.</p>

AREAS FOR IMPROVEMENT IDENTIFIED
CHILDREN & YOUNG PEOPLE’S SERVICES DIRECTORATE

Areas for improvement	Action proposed	Latest position
	<p>amongst young people, while recognising the strains being placed on partner organisations through external pressures, and recognising the risks to funding such as that for Supporting People.</p>	
<p>C Maximise Resources and use them fairly across North Yorkshire schools and settings.</p>	<p>The current national debate regarding school funding and the government’s proposals for 2013/14 and beyond create substantial risks for schools in North Yorkshire. While CYPS will continue with its main priority in this area which is to act as an advocate for schools in North Yorkshire and to ensure that the Council contributes to the debate regarding the funding of all types of schools, work will also focus on preparing for implementation in April 2013, working with the Schools Forum to minimise damage to the county’s schools.</p> <p>At a local level CYPS will continue to pursue its policy of maximising headroom in the Dedicated Schools Grant to support school autonomy and schools’ shared priorities. However this will now need to take place within the constraints being imposed upon local authorities by the government.</p> <p>At the same time CYPS will ensure that there is</p>	<p>The Council has responded to the government’s proposals for change with limited success. Although no funding will be removed from North Yorkshire at least for the next two years, we continue to have serious concerns about the impact of restricting local flexibility in the funding of schools. The DfE has accepted the issues and has promised a review of the new proposals (even before they have been implemented). We will engage with that review to ensure an outcome for schools in the county that is fair and equitable.</p> <p>A review of traded services, particularly in the light of the changes, is being undertaken and we expect to report back at year-end.</p> <p>There has been no significant movement by schools towards Academy status and the new funding arrangements mean that any financial advantage to conversion is now effectively gone.</p>

AREAS FOR IMPROVEMENT IDENTIFIED
CHILDREN & YOUNG PEOPLE'S SERVICES DIRECTORATE

Areas for improvement	Action proposed	Latest position
	<p>effective management of centrally co-ordinated DSG resources and demonstrate Value for Money in traded services and also in CYPs-funded services which are free at the point of use for maintained schools, or provided on a fee basis to others (including Academies).</p> <p>There will also be a need to respond to any changes in the funding arrangements for Academy Schools together with any measures taken by Government to increase the number of such schools in North Yorkshire. In particular there is a concern that either of the above may impact adversely on the funds available to North Yorkshire schools</p>	

APPENDIX B - CYPS Directorate Detailed Risk Register

Risk Register: **month 6 (Dec 12) – detailed**

Report Date: 28th January 2013 (pw)

Phase 1 - Identification											
Risk Number	24/30	Risk Title	24/30 - National Funding Developments and Local Priorities			Risk Owner	CD CYPS	Manager	CYPS AD FMS		
Description	Inability to manage major changes in national funding developments (such as School Funding Reform), local priorities and grants resulting in inadequate response to these developments, poor advice to Members, Officers and schools, and potential loss of income. This includes additional cost burdens being imposed with the transfer of responsibilities to the LA from other agencies, such as: • Remand • Responsibility for 16-25 year olds • Friends and family foster care • Troubled families • School funding reform • Increased pressure to perform to mitigate threat of the loss of service arising from the National Action Plan for Adoption It also encompasses the impact of other policy changes, such as Welfare Reform, loss of benefits, etc on more vulnerable young people and families which will place higher demands on the Council.				Risk Group	Financial	Risk Type				
Phase 2 - Current Assessment											
Current Control Measures	Keep up to date with current publications, new corresp, email, etc. Reg review of DfE and other critical websites. Liaison with other LAs. Early assessment of resource implications on new development. Ensure ext funds include fin admin, team briefing. experienced staff, advocacy of NYCC case for funding, new procedures for grant & award acceptance, involvement in appropriate national conferences, participation in DfE priorities when possible, action plan to consider and respond to potential change in funding arrangements developed, the ability to maximise headroom available for these pressures reviewed through Cost Centre Monitoring & base budget						Effectiveness				
Probability	H	Objectives	H	Financial	H	Services	H	Reputation	M	Category	1
Phase 3 - Risk Reduction Actions											
Reduction	24/1175 - Reviewing through Cost Centre Monitoring and base budget review the ability to maximise any headroom available for these pressures	Action Manager	CYPS AD FMS	Action by	Thu-28-Feb-13	Completed	Thu-1-Nov-12	%	100%		
Reduction	24/1176 - Maximising funding opportunities from national initiatives which complement preventative work already undertaken by the LA	Action Manager	CYPS AD FMS	Action by	Thu-28-Feb-13	Completed		%	0%		
Reduction	25/90 - Continue to work with and use effective lobbying channels	Action Manager	CYPS AD FMS	Action by	Wed-31-Jul-13	Completed		%	0%		
Reduction	25/1245 - Ensure good communication within team and NYCC	Action Manager	CYPS AD FMS	Action by	Wed-31-Jul-13	Completed		%	0%		
Reduction	25/1246 - Promote changes and encourage discussion with partners, independent and third sector providers	Action Manager	CYPS AD FMS	Action by	Thu-28-Feb-13	Completed		%	0%		
Reduction	25/1247 - Make effective use of grant register for all aspects of monitoring external funding.	Action Manager	CYPS AD FMS	Action by	Thu-28-Feb-13	Completed		%	0%		
Reduction	25/1248 - Ensure there is a clear specification of developments and financial inputs	Action Manager	CYPS AD FMS	Action by	Thu-28-Feb-13	Completed		%	0%		
Reduction	25/1249 - Ongoing effective work prioritisation	Action Manager	CYPS AD FMS	Action by	Thu-28-Feb-13	Completed		%	0%		
Reduction	25/1250 - Ongoing review of structures in place	Action Manager	CYPS AD FMS	Action by	Thu-28-Feb-13	Completed		%	0%		
Reduction	25/1251 - Support for the Directorate in modelling of potential funding cuts scenarios to assist in forward planning	Action Manager	CYPS AD FMS	Action by	Thu-28-Feb-13	Completed		%	0%		
Phase 4 - Post Risk Reduction Assessment											
Probability	M	Objectives	H	Financial	H	Services	M	Reputation	M	Category	2
Phase 5 - Fallback Plan											
Fallback Plan	25/261 - Respond to Corporate priorities and guidance							Action Manager	CYPS AD FMS		

APPENDIX B - CYPS Directorate Detailed Risk Register

Risk Register: month 6 (Dec 12) – detailed
Report Date: 28th January 2013 (pw)

Phase 1 - Identification											
Risk Number	24/27	Risk Title	24/27 - Looked After Children Placement			Risk Owner	CD CYPS	Manager	CYPS AD CSC		
Description	Failure to establish robust Looked After Children Placement Commissioning processes and ensure that Looked After Children are accommodated for the minimum period of time needed to ensure protection and safety, leads to inefficient use of resources and budgetary pressures across the Directorate					Risk Group	Performance	Risk Type			
Phase 2 - Current Assessment											
Current Control Measures			Entry to Care panel, CSC Placement Commissioning Panel, and Placement Matching Panel, CSC placement commissioning team, monitoring of external placements, Young people's accom strategy, Financial scrutiny, monitoring of permanency planning, maximise use of adoption and SGO, Robust commissioning processes to secure the best VFM placement at correct time & in the right place, placement demand prediction processes established. regulatory Sufficiency Planning requirements in place, number of LAC who are NEET reduced, revised authorisation arrangements for financial approvals, commissioning strategy developed to ensure robust financial planning for child placement services & wider caring arrangements,					Effectiveness			
Probability	M	Objectives	M	Financial	H	Services	M	Reputation	H	Category	2
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed	%		
Reduction	22/144 - Embed robust Commissioning processes – secure the best value for money placement at the correct time and in the right place to meet identified need/risk and achieve best outcomes					CYPS AD CSC	Fri-30-Nov-12	Fri-30-Nov-12	100%		
Reduction	22/154 - Establish future placement demand prediction processes					CYPS AD CSC	Fri-30-Nov-12	Fri-30-Nov-12	100%		
Reduction	22/156 - Ensure regulatory Sufficiency Planning requirements are in place					CYPS AD CSC	Fri-30-Nov-12	Fri-30-Nov-12	100%		
Reduction	22/273 - Look to reduce the number of LAC who are NEET					CYPS AD CSC	Fri-30-Nov-12	Fri-30-Nov-12	100%		
Reduction	22/274 - Implement revised authorisation arrangements for financial approvals					CYPS AD CSC	Fri-30-Nov-12	Fri-30-Nov-12	100%		
Reduction	22/1045 - Develop the commissioning strategy to ensure robust financial planning for child placement services and wider caring arrangements					CYPS AD CSC	Fri-30-Nov-12	Fri-30-Nov-12	100%		
Reduction	22/1047 - Develop a comprehensive Looked After Children Strategy to improve outcomes and reduce the period of time children and young people are Looked After					CYPS CSC HoF&A	Thu-31-Jan-13		80%		
Reduction	24/1173 - Continue to take forward strategy relating to teenagers and multi behavioural children					CYPS AD CSC	Sun-30-Jun-13		0%		
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	M	Financial	H	Services	M	Reputation	H	Category	3
Phase 5 - Fallback Plan											
Fallback Plan	24/245 - Review to strengthen commissioning strategy, system controls							Action Manager			
								CYPS AD CSC			

APPENDIX B - CYPS Directorate Detailed Risk Register

Risk Register: month 6 (Dec 12) – detailed

Report Date: 28th January 2013 (pw)

Phase 1 - Identification											
Risk Number	24/1	Risk Title	24/1 - Cultural Change including One Council				Risk Owner	CD CYPS		Manager	CD CYPS
Description	Failure to secure appropriate continuity of service for front line service users arising from One Council strategies					Risk Group	Change Mgt		Risk Type		
Phase 2 - Current Assessment											
Current Control Measures		Engagement with and positive contribution to all One Council workstreams, successful transfer of overall business admin and support arrangements including the client arrangement,						Effectiveness			
Probability	M	Objectives	H	Financial	L	Services	L	Reputation	M	Category	2
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed	%		
Reduction	24/111 - Monitor the impact of workforce development changes on front line service users such as schools and members of the public					CYPS CYPLT	Wed-31-Jul-13		0%		
Reduction	24/211 - Continue to engage with and contribute to all One Council workstreams					CYPS CYPLT	Wed-31-Jul-13		0%		
Reduction	24/1144 - Continue to enable the directorate to deliver strategic and operational services following management and supervision changes					CYPS CYPLT	Wed-31-Jul-13		0%		
Reduction	24/1145 - Continue to monitor and deal with the effects arising out of the financial management workstream and ensure protection of service to front line users					CYPS CYPLT	Wed-31-Jul-13		0%		
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	H	Financial	L	Services	L	Reputation	M	Category	3
Phase 5 - Fallback Plan											
									Action Manager		
Fallback Plan	24/252 - Continue to prioritise resources to ensure continuity of service for front line service users								CD CYPS		

APPENDIX B - CYPS Directorate Detailed Risk Register

Risk Register: month 6 (Dec 12) – detailed
Report Date: 28th January 2013 (pw)

Phase 1 - Identification											
Risk Number	24/213	Risk Title	24/213 - Budget			Risk Owner	CD CYPS		Manager	CYPS AD FMS	
Description	Unforeseen budget overspend/underspend resulting in unfunded overspend, the need to re-prioritise and increase spend, including the risk of exposure to costs due to Central Government policies passing responsibility for areas without adequate budget or the failure to meet MTFs Project targets.				Risk Group	Financial		Risk Type			
Phase 2 - Current Assessment											
Current Control Measures			Detailed budget preparation, cost centre monitoring including monthly budget reviews, training of cost centre managers and support staff, guidance materials, experienced staff work on most demanding budgets, collective responsibility for budget, maximum use of technology, trends used for budget monitoring, enhanced procurement profile, data system review, review presentation of info to ensure needs are met, annual budget risk assessment, induction training for Directorate staff with financial responsibility, ongoing review of risk based approach to budget, and reallocation of headroom funding through tight budget management, mid year base budget review, budget monitoring arrangements incl role of Directorate staff (phase 1) reviewed as part of "One Council"					Effectiveness			
Probability	M	Objectives	M	Financial	H	Services	H	Reputation	H	Category	2
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed	%		
Reduction	24/207 - Revisit recharge from HAS for OT service and EDT in order to make savings					CD CYPS	Thu-28-Feb-13		0%		
Reduction	24/309 - As part of "One Council" implement new budget monitoring arrangements including role of Directorate staff (phase 2)					CYPS FMS FM	Mon-31-Mar-14		0%		
Reduction	24/311 - Carry out a mid year review of base budget by the end of September					CYPS AD FMS	Sun-30-Sep-12	Sun-30-Sep-12	100%		
Reduction	24/312 - Ensure regular monitoring and report to CYPLT of progress on all outstanding MTFs projects					CYPS AD FMS	Wed-31-Jul-13		0%		
Reduction	24/1000 - Focus on individual high risk areas of concern for monitoring processes and systems including assessment of staff involvement					CYPS AD FMS	Wed-31-Jul-13		0%		
Reduction	24/1146 - Promoting ownership of budgets within leadership team					CYPS AD FMS	Wed-31-Jul-13		0%		
Reduction	24/1147 - As part of "One Council", carry out a review of budget monitoring arrangements including role of Directorate staff (phase 1)					CYPS FMS FM	Sun-30-Sep-12	Sun-30-Sep-12	100%		
Reduction	24/1148 - Ensure CYPS FMT are aware of and involved in budget issues					CYPS FMS MT	Wed-31-Jul-13		0%		
Reduction	24/1157 - Clarify roles and responsibilities for all staff (as part of One Council workstream)					CYPS AD FMS	Mon-31-Mar-14		0%		
Reduction	24/1168 - Contribute to ongoing Budget Manager, support staff and BSO Training sessions					CYPS FMS MT	Wed-31-Jul-13		0%		
Reduction	24/1188 - Contribute to update of Financial Services guidance					CYPS FMS MT	Wed-31-Jul-13		0%		
Reduction	24/1201 - Continue to enhance procurement profile within service					CYPS FMS MT	Wed-31-Jul-13		0%		
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	M	Financial	H	Services	H	Reputation	M	Category	3
Phase 5 - Fallback Plan											
									Action Manager		
Fallback	24/246 - Re-prioritise CYPS Spending plans and current procedures								CYPS AD FMS		

APPENDIX B - CYPS Directorate Detailed Risk Register

Risk Register: **month 6 (Dec 12) – detailed**
Report Date: 28th January 2013 (pw)

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APPENDIX B - CYPS Directorate Detailed Risk Register

Risk Register: month 6 (Dec 12) – detailed

Report Date: 28th January 2013 (pw)

Phase 1 - Identification											
Risk Number	24/211	Risk Title	24/211 - Strategic planning with and for schools				Risk Owner	CD CYPS		Manager	CYPS AD FMS CYPS AD Q&I CYPS AD P&C
Description	Failure to assess and manage the combined effects of changes in the national school policy and funding framework, demographics and national and local political circumstances, resulting in a fragmentation of the network of services for children, growing numbers of unsustainable and/or failing schools, increased public dissatisfaction, and loss of confidence in the County Council as local authority.					Risk Group	Strategic		Risk Type		
Phase 2 - Current Assessment											
Current Control Measures			Consistent monitoring of forecast numbers. Links with District Councils and developers over major housing developments (including ISDG work). Small Schools policy, Guide for Federation and Confederation Cross-directorate "Schools Causing Concern" approach. Work with the Schools Forum, Keep up to date with current publications, new corresp, email, etc. Reg review of DfE and other critical websites. Liaison with other LAs. Early assessment of resource implications on new development. Advocacy of NYCC case for funding, new procedures for grant & award acceptance, involvement in appropriate national conferences, participation in DfE priorities when possible					Effectiveness			
Probability	M	Objectives	H	Financial	H	Services	H	Reputation	H	Category	2
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed	%		
Reduction	24/208 - Provision of briefings for HTs and Governors					CYPS AD P&C	Tue-30-Apr-13		0%		
Reduction	24/209 - Continue to work with and use effective lobbying channels					CYPS AD FMS	Thu-28-Feb-13		0%		
Reduction	24/283 - Continue with production of a commissioning strategy for school places					CYPS AD P&C	Tue-30-Apr-13		0%		
Reduction	24/1184 - Development of a range of structural options to address specific instances					CYPS AD P&C	Tue-30-Apr-13		0%		
Reduction	24/1199 - Provision of briefings for elected Members to enable them to see the range of implications					CYPS AD P&C	Tue-30-Apr-13		0%		
Reduction	24/1204 - Support for the Directorate in modelling of potential funding cuts scenarios to assist in forward planning					CYPS AD FMS	Thu-28-Feb-13		0%		
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	M	Financial	H	Services	H	Reputation	H	Category	3
Phase 5 - Fallback Plan											
Fallback Plan									Action Manager		

APPENDIX B - CYPS Directorate Detailed Risk Register

Risk Register: month 6 (Dec 12) – detailed
 Report Date: 28th January 2013 (pw)

Phase 1 - Identification											
Risk Number	24/212	Risk Title	24/212 - Protection of Sensitive Data				Risk Owner	CD CYPS		Manager	CYPS CYPLT
Description	Failure to protect sensitive data (either electronic or hard copy) resulting in media attention, loss of reputation &/or prosecution and fine					Risk Group	Legislative		Risk Type		
Phase 2 - Current Assessment											
Current Control Measures		Mandatory e-learning packages for staff completed, "Information Management" pages on intranet, file management procedures, high profile within the Directorate & Service, Directorate information governance champion, Information asset register identifying information asset owners, records and retention schedule reviewed and updated, staff briefings, poster campaign, internal check/audit of selected locations carried out, action taken to address issues identified during internal checks/audit, schools information governance handbook updated and communicated to schools, employment contract compliance,						Effectiveness			
Probability	M	Objectives	L	Financial	L	Services	L	Reputation	H	Category	2
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed	%		
Reduction	24/310 - Ongoing monitoring of compliance with data protection and information security regulations					CYPS CYPLT	Wed-31-Jul-13		0%		
Reduction	24/1141 - Ensure understanding of and compliance with corporate data security policies					CYPS CYPLT	Wed-31-Jul-13		0%		
Reduction	24/1142 - Respond to changes in corporate information governance framework when advised					CYPS CYPLT	Wed-31-Jul-13		0%		
Reduction	24/1143 - Continue to work with Directorate Info Gov Champ and Info Sec Officer to progress concerns around working practice conflicts with Info Gov requirements					CYPS CYPLT	Wed-31-Jul-13		0%		
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	L	Financial	L	Services	L	Reputation	H	Category	3
Phase 5 - Fallback Plan											
Fallback Plan	24/546 - Media management, work with Information Commissioner's Office and Senior Information Risk Owner								Action Manager	CYPS CYPLT	



APPENDIX B - CYPS Directorate Detailed Risk Register

Risk Register: month 6 (Dec 12) – detailed

Report Date: 28th January 2013 (pw)

Phase 1 - Identification											
Risk Number	24/222	Risk Title	24/222 - Business Support Arrangements for CYPS				Risk Owner	CD CYPS		Manager	CYPS CYPLT
Description	The new One Council business support arrangements fail to provide the required levels of support to enable Service Groups to deliver their services effectively.					Risk Group	Performance		Risk Type		
Phase 2 - Current Assessment											
Current Control Measures		One Council vision and approach, Design document, governance arrangements through Client Group, Head of Business Support (CYPS), ongoing consultations with Leadership Team and senior managers.						Effectiveness			
Probability	M	Objectives	H	Financial	L	Services	L	Reputation	M	Category	2
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed	%		
Reduction	24/1166 - Continue to engage with the Business Support Service Review developments					CYPS CYPLT	Sat-31-Aug-13		0%		
Reduction	24/1167 - Participation in the various Business Support project groups					CYPS CYPLT	Thu-28-Feb-13		0%		
Reduction	24/1174 - Evaluate and respond to the Business Support Service proposal document when available					CYPS CYPLT	Sun-30-Jun-13		0%		
Reduction	24/1179 - Ensure the Business Support Service menus meet the needs of the Directorate to enable the linking in with Service Group needs					CYPS CYPLT	Sun-30-Jun-13		0%		
Reduction	24/1180 - Continue to ensure Directorate concerns are fed back to the Client Group					CYPS CYPLT	Mon-31-Mar-14		0%		
Reduction	24/1182 - Monitor the performance of the new Business Support Service against specified targets					CYPS CYPLT	Mon-31-Mar-14		0%		
Reduction	24/1183 - Ensure communications between Business Support and the Directorate staff are effective					CYPS CYPLT	Mon-31-Mar-14		0%		
Reduction	24/1185 - Ensure a balance between self serve principles and the availability of business support					CYPS CYPLT	Mon-31-Mar-14		0%		
Reduction	24/1186 - Ensure Service Group managers have consistent and formal mechanisms to understand their changing responsibilities and to raise concerns with Directorate Leadership					CYPS CYPLT	Mon-31-Mar-14		0%		
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	H	Financial	L	Services	L	Reputation	M	Category	3
Phase 5 - Fallback Plan											
									Action Manager		
Fallback Plan	24/252 - Continue to prioritise resources to ensure continuity of service for front line service users							CD CYPS			

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Risk Register: **month 6 (Dec 12) – detailed**
 Report Date: 28th January 2013 (pw)

Phase 1 - Identification											
Risk Number	24/2	Risk Title	24/2 - Children's Social Care Transformation				Risk Owner	CD CYPS	Manager	CYPS AD CSC	
Description	Failure to embed and review all aspects of the CSC Transformation into working practice and further reduce the number of Looked After Children results in unmet needs, inefficient service provision, budgetary pressure, criticism					Risk Group	Change Mgt	Risk Type			
Phase 2 - Current Assessment											
Current Control Measures			Project team, plan with a time line , consultation sessions planned, planning and staff engagement, robust data available, Financial strategy agreed and controls and monitoring arrangements in place,					Effectiveness			
Probability	L	Objectives	H	Financial	H	Services	M	Reputation	M	Category	3
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed	%		
Reduction	22/27 - Develop distributive leadership to deliver transformational change (clarity of roles and cross CSC SMT links)					CYPS AD CSC	Fri-31-May-13		50%		
Reduction	22/143 - Embed evidence based interventions in order to effectively target identified risks and need					CYPS AD CSC	Fri-31-May-13		75%		
Reduction	22/152 - Embed new A&I model (child-centred – SOS screening etc.) of service delivery					CYPS AD CSC	Fri-31-May-13		90%		
Reduction	22/159 - Achieve consistency and improvement in assessment and planning for children and young people					CYPS AD CSC	Fri-31-May-13		50%		
Reduction	22/1046 - Evaluate FIT in relation to impact on children/young people becoming Looked After					CYPS AD CSC	Fri-31-May-13		0%		
Reduction	22/1048 - Review and re-structure the Leaving Care Service					CYPS AD CSC	Fri-31-May-13		0%		
Reduction	22/1049 - Develop Edge of Care as a county wide service					CYPS AD CSC	Fri-31-May-13		75%		
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	M	Financial	H	Services	M	Reputation	M	Category	3
Phase 5 - Fallback Plan											
Fallback Plan	22/529 - Review failing areas							Action Manager		CYPS AD CSC	

APPENDIX B - CYPS Directorate Detailed Risk Register

Risk Register: month 6 (Dec 12) – detailed

Report Date: 28th January 2013 (pw)

Phase 1 - Identification											
Risk Number	24/31	Risk Title	24/31 - SEND				Risk Owner	CD CYPS	Manager	CYPS AD A&I	
Description	Failure to create a single service for children and young people (0-25) with SEND, bringing together assessment approaches and commissioning decisions to improve efficiency, ensure services are value for money and improve transparency for families					Risk Group	Strategic	Risk Type			
Phase 2 - Current Assessment											
Current Control Measures			Designated budget holders, regular budget monitoring, data systems, assigned lead change programme and designated support, reporting to CYPLT, Members, MTFS Strategy, SEND strategy and business case agreed, separate SEND risk register					Effectiveness			
Probability	L	Objectives	L	Financial	H	Services	M	Reputation	H	Category	3
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed	%		
Reduction	24/206 - Implement a clear programme to drive change based on children's needs rather than on separate arrangements as now					CYPS AD A&I	Fri-31-May-13		30%		
Reduction	24/1151 - Undertake a residential review to identify current provision and capacity and develop future options which account for any changes to special school status.					CYPS AD A&I	Thu-31-Jan-13		0%		
Reduction	24/1155 - Completion of the key deliverables set out in the work package brief for each work strand, monitored via the SEND risk register					CYPS AD A&I	Fri-31-May-13		0%		
Reduction	24/1156 - Ensure effective project management of the SEND change and integration programme via implementation plans and project controls					CYPS AD A&I	Fri-31-May-13		0%		
Reduction	24/1189 - Engage strategic health leads in the change programme and residential review, to ensure policy and plans align with proposed changes to the health economy in North Yorkshire.					CYPS AD A&I	Wed-31-Jul-13		30%		
Reduction	24/1190 - Ensure full engagement of relevant staff in the change programme through user groups and project team					CYPS AD A&I	Fri-31-May-13		30%		
Reduction	24/1191 - Conduct a workload analysis of assessment and decision making, to ensure statutory timescales for assessments are met and anticipated workload can be planned for during the period of change					CYPS AD A&I	Fri-31-May-13		30%		
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	L	Financial	H	Services	L	Reputation	M	Category	3
Phase 5 - Fallback Plan											
Fallback Plan	24/249 - Reduce service levels							Action Manager			
								CYPS AD A&I			

APPENDIX B - CYPS Directorate Detailed Risk Register

Risk Register: **month 6 (Dec 12) – detailed**
 Report Date: 28th January 2013 (pw)

Phase 1 - Identification													
Risk Number	24/15	Risk Title	24/15 - DfE / Ofsted Categories for Schools and Directly Managed Provision						Risk Owner	CD CYPS	Manager		CYPS AD Q&I
Description	Failure to reduce the number of schools entering, and assist those coming out of Ofsted Category results in loss of confidence, additional unbudgeted work, unplanned urgent work, diverted from day to day job, school staff / leadership loss, school closure or academy status. Similarly in relation to directly managed provision (Children's Homes, Children's Centres and other directly managed provision) failure to achieve at least "satisfactory/adequate" in relation to Ofsted inspection, resulting in loss of confidence, low staff morale, declining levels of service to children and families, and service-wide inspection vulnerability.						Risk Group	Performance	Risk Type				
Phase 2 - Current Assessment													
Current Control Measures	Systematic monitoring, regular termly monitoring in Schools and Settings, intervention in inverse proportion to success, use of a repertoire of interventions, including local and national leaders in education as appropriate. Service Plan focus on school improvement, monitor/evaluate current support, small school and federation policy. Specific projects with Schools, take action on / with leadership of school, timely use of statutory powers, early identification and rigorous response to schools causing concern. "Annual conversations" with Children's Centres, regular monitoring of data, programme of self-evaluation.						Effectiveness						
Probability	L	Objectives	M	Financial	M	Services	M	Reputation	H	Category	3		
Phase 3 - Risk Reduction Actions													
							Action Manager	Action by	Completed	%			
Reduction	24/313 - Audit compliance against Ofsted methodology in children's homes, resource centres, social care fostering and adoption. Report to SMT quarterly and include remedial action required.						CYPS CSC HoEP&QA	Sun-31-Mar-13		0%			
Reduction	24/1164 - Reconfiguration of the children's centre pattern to strengthen provision.						CYPS AD P&C	Fri-30-Aug-13		0%			
Reduction	24/1165 - Introduction of "Children's Centre Performance Clinics" within P&C for Integrated Service Managers						CYPS AD P&C	Thu-31-Oct-13		0%			
Reduction	27/78 - Secure engagement of all CYPS partners in school improvement						CYPS AD Q&I	Sat-30-Nov-13		0%			
Reduction	27/226 - Encourage and facilitate school-to-school support						CYPS AD Q&I	Sat-30-Nov-13		0%			
Reduction	27/1401 - Ensure accurate school self evaluation and effective school development plans, on going.						CYPS AD Q&I	Sat-30-Nov-13		0%			
Reduction	27/1402 - Continue to work with a range of external partners within a changing context						CYPS AD Q&I	Sat-30-Nov-13		0%			
Reduction	27/1403 - Structural review of provision to create viable and sustainable schools and attractive leadership options. Contribute to federation amalgamation and closure.						CYPS AD Q&I	Sat-30-Nov-13		0%			
Reduction	27/1404 - Further develop competencies of Advisers, Consultants and team, through effective performance management.						CYPS Q&I PASP	Sat-30-Nov-13		70%			
Reduction	27/1405 - Commission external support as required						CYPS AD Q&I	Sat-30-Nov-13		0%			
Phase 4 - Post Risk Reduction Assessment													
Probability	L	Objectives	M	Financial	M	Services	M	Reputation	H	Category	3		



APPENDIX B - CYPS Directorate Detailed Risk Register

Risk Register: month 6 (Dec 12) – detailed
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Phase 5 - Fallback Plan		Action Manager
Fallback Plan	27/295 - Consider school closure, or in case of insufficient progress, recommend removal of delegation or other local authority interventions	CYPS AD Q&I



APPENDIX B - CYPS Directorate Detailed Risk Register

Risk Register: month 6 (Dec 12) – detailed

Report Date: 28th January 2013 (pw)

Phase 1 - Identification											
Risk Number	24/178	Risk Title	24/178 - Health and Safety (including High Risk Activities)				Risk Owner	CEO	Manager	CD CYPS	
Description	Failure to meet H&S statutory requirements in relation to staff, pupils/students, contractors and members of the public including learning beyond the classroom activities and high risk curriculum areas of PE, Sport and Science resulting in people suffering from harm, possible prosecution, claims, media attention, prohibition notice, fines					Risk Group	Legislative	Risk Type			
Phase 2 - Current Assessment											
Current Control Measures			Policy docs, Training ,Personnel initiatives, Monitoring systems (inc curriculum), guidance documents, financial investment (e.g. asbestos fund),designated staff, traded service with schools, Conditions survey, Educational visits database, Q&I advisers, 2RMGs, Quarterly reports and performance indicators to CYPLT, policy and guidance updated incl H&S manual, H&S advice at briefing stage, tech fire audits, legionella monitoring, Radon monitoring and mitigation, glazing filming, RM conference, HANDS newsletter, health and safety inspections of live construction sites, review of schools RMG, directorate and schools RM action plans, monthly meeting between AD and H&S advisor, Half termly meetings between AD and chairs of the directorate and outside the classroom groups. Strategic directorate group at AD level, structure and function of CYPS Risk Mgt Groups and roles and responsibilities of lead officers reviewed, CYPS H&S manual published,					Effectiveness			
Probability	L	Objectives	M	Financial	H	Services	M	Reputation	H	Category	3
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed	%		
Reduction	24/1154 - Work with H&SRM to ensure all necessary risk assessments are complete and up to date					CYPS AD P&C	Wed-31-Jul-13		0%		
Reduction	24/1160 - Develop CYPS school related response to Corporate requirements around Radon management, monitoring and mitigation, working at height and roof lights					CYPS AD P&C	Sun-31-Mar-13		0%		
Reduction	24/1196 - Ensure publication of the CYPS H&S manual					CYPS AD P&C	Sun-30-Sep-12	Mon-31-Dec-12	100%		
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	M	Financial	H	Services	M	Reputation	H	Category	3
Phase 5 - Fallback Plan											
								Action Manager			
Fallback Plan	24/527 - Early legal input, form the emergency task team, media management, provide support services, investigation, Member briefings							CD CYPS			

APPENDIX B - CYPS Directorate Detailed Risk Register

Risk Register: month 6 (Dec 12) – detailed

Report Date: 28th January 2013 (pw)

Phase 1 - Identification											
Risk Number	24/5	Risk Title	24/5 - Demonstrating the impact of preventative services and the "Early Help" offer				Risk Owner	CD CYPS	Manager	CYPS CYPLT	
Description	Failure to demonstrate the impact of preventative services resulting in increasing use of higher level, higher cost services, increased vulnerability of young people, loss of confidence of the public and of Members, inspection vulnerability and potential reduction in levels of resource					Risk Group	Strategic	Risk Type			
Phase 2 - Current Assessment											
Current Control Measures	Regular reports to the Children's Trust on common assessment and team around the child work. Action plans following inspections. "Solution focussed" approach enabling parents, children and young people to assess their own progress. Case supervision. Data analysis matching staffing to need. Initial telephone survey of users of CAF/TAC support. Further development of Early Help offer, Engagement with "Payments by Results" trials,						Effectiveness				
Probability	M	Objectives	M	Financial	L	Services	L	Reputation	M	Category	4
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed	%		
Reduction	24/1192 - Implementing a system of regular follow up with service users six months after involvement with CAF/TAC					CYPS AD P&C	Tue-30-Apr-13		0%		
Reduction	24/1193 - Further development of "Early Help" offer throughout all services within the Children's Trust					CYPS AD P&C	Fri-30-Nov-12	Fri-30-Nov-12	100%		
Reduction	24/1194 - Commissioning strategy developed for areas of preventative services where commissioning out may provide a more cost-effective approach.					CYPS AD P&C	Tue-30-Apr-13		0%		
Reduction	24/1195 - Engagement with "Payment by Results" trials					CYPS AD P&C	Sun-30-Sep-12	Sun-30-Sep-12	100%		
Phase 4 - Post Risk Reduction Assessment											
Probability	M	Objectives	M	Financial	L	Services	L	Reputation	L	Category	4
Phase 5 - Fallback Plan											
Fallback Plan								Action Manager			

APPENDIX B - CYPS Directorate Detailed Risk Register

Risk Register: month 6 (Dec 12) – detailed

Report Date: 28th January 2013 (pw)

Phase 1 - Identification											
Risk Number	24/221	Risk Title	24/221 - Health Integration				Risk Owner	CD CYPS	Manager	All CYPLT members	
Description	To be agreed by and completed with the new Corporate Director Inability, in the context of the changing NHS landscape, to develop effective partnerships with the emerging NHS Commissioners and other NHS organisations and to ensure that legislative requirements are met and the necessary health related outcomes for children and young people are achieved					Risk Group	Partnerships	Risk Type			
Phase 2 - Current Assessment											
Current Control Measures			Shadow H&W Board, Children's Trust Board, Public Health transfer						Effectiveness		
Probability	Nil	Objectives	Nil	Financial	Nil	Services	Nil	Reputation	Nil	Category	6
Phase 3 - Risk Reduction Actions											
							Action Manager	Action by	Completed	%	
Reduction	24/1149 - Secure appropriate engagement with CCG's for commissioning children and maternity services.						TBA			0%	
Reduction	24/1150 - Secure engagement with the Local Area Team for the NY&H Strategic Commissioning Board for the Healthy Child Programme (0-5years).						TBA			0%	
Reduction	24/1152 - Embed children's health priorities within the Health and Well-being Strategy and ensure strategic alignment between that strategy and the Children and Young People's Plan.						TBA			0%	
Reduction	24/1153 - Contribute the development and delivery of the workplan for the Health and Well-being Board in relation to children's health priorities.						TBA			0%	
Reduction	24/1161 - Influence strategic decision making in Health through alignment with the JSNA and Health planning framework.						TBA			0%	
Reduction	24/1162 - Review children's health performance at the Children's Trust Board to monitor the impact of changes on children's health outcomes in North Yorkshire.						TBA			0%	
Reduction	24/1163 - Work with the Director of Public Health to ensure the smooth transition to the local authority of public health functions as they affect children and young people.						TBA			0%	
Phase 4 - Post Risk Reduction Assessment											
Probability	Nil	Objectives	Nil	Financial	Nil	Services	Nil	Reputation	Nil	Category	6
Phase 5 - Fallback Plan											
										Action Manager	
Fallback Plan											

Appendix C - CYPS Directorate Summary Risk Register

Risk Register: month 6 (Dec 12) – summary
Report Date: 28th January 2013 (pw)

Identity		Person	Classification														Fallback Plan			
Change	Risk Title	Risk Description	Risk Owner	Risk Manager	Pre						RR		Post						FBPlan	Action Manager
					Prob	Obj	Fin	Serv	Rep	Cat	RRs	Next Action	Prob	Obj	Fin	Serv	Rep	Cat		
▼	24/30 - National Funding Developments and Local Priorities	Inability to manage major changes in national funding developments (such as School Funding Reform), local priorities and grants resulting in inadequate response to these developments, poor advice to Members, Officers and schools, and potential loss of income. This includes additional cost burdens being imposed with the transfer of responsibilities to the LA from other agencies, such as: • Remand • Responsibility for 16-25 year olds • Friends and family foster care • Troubled families • School funding reform • Increased pressure to perform to mitigate threat of the loss of service arising from the National Action Plan for Adoption It also encompasses the impact of other policy changes, such as Welfare Reform, loss of benefits, etc on more vulnerable young people and families which will place higher demands on the Council.	CD CYPS	CYPS AD FMS	H	H	H	H	M	1	10	28/02/2013	M	H	H	M	M	2	Y	CYPS AD FMS
◀▶	24/27 - Looked After Children Placement	Failure to establish robust Looked After Children Placement Commissioning processes and ensure that Looked After Children are accommodated for the minimum period of time needed to ensure protection and safety, leads to inefficient use of resources and budgetary pressures across the Directorate	CD CYPS	CYPS AD CSC	M	M	H	M	H	2	8	30/11/2012	L	M	H	M	H	3	Y	CYPS AD CSC
◀▶	24/1 - Cultural Change including One Council	Failure to secure appropriate continuity of service for front line service users arising from One Council strategies	CD CYPS	CD CYPS	M	H	L	L	M	2	4	30/11/2012	L	H	L	L	M	3	Y	CD CYPS
◀▶	24/213 - Budget	Unforeseen budget overspend/underspend resulting in unfunded overspend, the need to re-prioritise and increase spend, including the risk of exposure to costs due to Central Government policies passing responsibility for areas without adequate budget or the failure to meet MTFS Project targets.	CD CYPS	CYPS AD FMS	M	M	H	H	H	2	12	30/09/2012	L	M	H	H	M	3	Y	CYPS AD FMS

Appendix C - CYPS Directorate Summary Risk Register

Risk Register: **month 6 (Dec 12) – summary**
 Report Date: 28th January 2013 (pw)

Identity		Person	Classification													Fallback Plan				
Change	Risk Title	Risk Description	Risk Owner	Risk Manager	Pre						RR		Post					FBPlan	Action Manager	
					Prob	Obj	Fin	Serv	Rep	Cat	RRs	Next Action	Prob	Obj	Fin	Serv	Rep			Cat
◀▶	24/211 - Strategic planning with and for schools	Failure to assess and manage the combined effects of changes in the national school policy and funding framework, demographics and national and local political circumstances, resulting in a fragmentation of the network of services for children, growing numbers of unsustainable and/or failing schools, increased public dissatisfaction, and loss of confidence in the County Council as local authority.	CD CYPS	CYPS AD FMS CYPS AD Q&I CYPS AD P&C	M	H	H	H	H	2	6	28/02/2013	L	M	H	H	H	3	N	
◀▶	24/212 - Protection of Sensitive Data	Failure to protect sensitive data (either electronic or hard copy) resulting in media attention, loss of reputation &/or prosecution and fine	CD CYPS	CYPS CYPLT	M	L	L	L	H	2	4	30/04/2013	L	L	L	L	H	3	Y	CYPS CYPLT
- new -	24/222 - Business Support Arrangements for CYPS	The new One Council business support arrangements fail to provide the required levels of support to enable Service Groups to deliver their services effectively.	CD CYPS	CYPS CYPLT	M	H	L	L	M	2	9	28/02/2013	L	H	L	L	M	3	Y	CD CYPS
◀▶	24/2 - Children's Social Care Transformation	Failure to embed and review all aspects of the CSC Transformation into working practice and further reduce the number of Looked After Children results in unmet needs, inefficient service provision, budgetary pressure, criticism	CD CYPS	CYPS AD CSC	L	H	H	M	M	3	7	31/05/2013	L	M	H	M	M	3	Y	CYPS AD CSC
◀▶	24/31 - SEND	Failure to create a single service for children and young people (0-25) with SEND, bringing together assessment approaches and commissioning decisions to improve efficiency, ensure services are value for money and improve transparency for families	CD CYPS	CYPS AD A&I	L	L	H	M	H	3	7	31/01/2013	L	L	H	L	M	3	Y	CYPS AD A&I
◀▶	24/15 - DfE / Ofsted Categories for Schools and Directly Managed Provision	Failure to reduce the number of schools entering, and assist those coming out of Ofsted Category results in loss of confidence, additional unbudgeted work, unplanned urgent work, diverted from day to day job, school staff / leadership loss, school closure or academy status. Similarly in relation to directly managed provision (Children's Homes, Children's Centres and other directly managed provision) failure to achieve at least "satisfactory/adequate" in relation to Ofsted inspection, resulting in loss of confidence, low staff morale, declining levels of service to children and families, and service-wide inspection vulnerability.	CD CYPS	CYPS AD Q&I	L	M	M	M	H	3	10	31/03/2013	L	M	M	M	H	3	Y	CYPS AD Q&I



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Risk Register: **month 6 (Dec 12) – summary**
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Identity		Person	Classification														Fallback Plan			
Change	Risk Title	Risk Description	Risk Owner	Risk Manager	Pre						RR		Post						FBPlan	Action Manager
					Prob	Obj	Fin	Serv	Rep	Cat	RRs	Next Action	Prob	Obj	Fin	Serv	Rep	Cat		
◀▶	24/178 - Health and Safety (including High Risk Activities)	Failure to meet H&S statutory requirements in relation to staff, pupils/students, contractors and members of the public including learning beyond the classroom activities and high risk curriculum areas of PE, Sport and Science resulting in people suffering from harm, possible prosecution, claims, media attention, prohibition notice, fines	CEO	CD CYPS	L	M	H	M	H	3	3	30/09/2012	L	M	H	M	H	3	Y	CD CYPS
▲	24/5 - Demonstrating the impact of preventative services and the "Early Help" offer	Failure to demonstrate the impact of preventative services resulting in increasing use of higher level, higher cost services, increased vulnerability of young people, loss of confidence of the public and of Members, inspection vulnerability and potential reduction in levels of resource	CD CYPS	CYPS CYPLT	M	M	L	L	M	4	4	30/09/2012	M	M	L	L	L	4	N	
- new -	24/221 - Health Integration	To be agreed by and completed with the new Corporate Director Inability, in the context of the changing NHS landscape, to develop effective partnerships with the emerging NHS Commissioners and other NHS organisations and to ensure that legislative requirements are met and the necessary health related outcomes for children and young people are achieved	CD CYPS	All CYPLT members	Nil	Nil	Nil	Nil	Nil	6	7	30/11/2013	Nil	Nil	Nil	Nil	Nil	6	N	

Key	
▲	Risk Ranking has worsened since last review.
▼	Risk Ranking has improved since last review
◀▶	Risk Ranking is same as last review
- new -	New or significantly altered risk

