

NORTH YORKSHIRE COUNTY COUNCIL

AUDIT COMMITTEE

25 JUNE 2015

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 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 Peoples Services (CYPS), 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 identified some areas for further action to ensure that there is a sound system of internal controls within the Directorate.
- 3.3 The first draft of the new Statement of Assurance for CYPS is included elsewhere on the agenda; last year's Statement is now 12 months old and the new Statement effectively picks up on-going issues. However a number of key headlines are set out below, which demonstrate effective risk management of key issues.

2020 North Yorkshire

A savings programme targeting £15m of budget reductions had been identified. Implementation of Year1 savings (£7.4m) and service transformation is well under way, including a new Prevention Service launched in April and changes to the Education and Skills Service, which will be in place by September 2015. Planning for future year savings is well advanced – for example, the review of disabled children’s services and home to school transport. Arrangements are supported by sound programme and project management arrangements including formal project teams, regular senior management oversight and active monitoring of implementation and impact.

School Performance

As described in “Young and Yorkshire” our clear aspiration is to increase the number of North Yorkshire pupils attending good or outstanding schools or settings. Changes in the governance arrangements for school improvement and evidence from elsewhere directs us to a greater expectation of sector-led challenge and support to local schools, with a coherent strategic approach to school funding, organisation and improvement driven by the new North Yorkshire Education Partnership. Specific initiatives such as Closing the Gap will – with the support of partners – target resources into areas identified for particular improvement.

Safeguarding and Looked After Children

The number of looked after children has safely reduced over the last 2 years by 50 – a 10% reduction and we continue to strive to safely reduce this number further and deliver £3m from the looked after budget towards the 2020 savings target. This is the right thing to do as we provide more intensive family interventions that assist families in staying together. It has become challenging however in the recent 6 months as we have seen more teenagers being admitted to care. The service has a robust process to prevent admission (unless there are serious child protections concerns) and to ensuring that when children do come into care they move onto alternative permanence with alternative families or are rehabilitated home. The national funding for the No Wrong Door programme specifically targeted at adolescents in and on the edge of care enhances our capacity for creative alternative responses.

Similarly 2014-15 saw an unexpected rise in the numbers on child protection plans rising to 458 in December 2014. This again was caused by a rise in teenagers becoming subject to a plan for predominantly for reasons of abuse. A range of cases were reviewed by senior managers to ensure that they were satisfied with the decisions. In all cases the decision were correct and were as a result of multi-agency agreement. The numbers have more recently started to reduce once again and are just under 400. We will continue to closely monitor these cases, but the fluctuations, of which we do not always have control over pose a challenge to our resources.

Disabled Children’s Services

The Council recently approved a strategy for supporting disabled children, young people and families (May 2015). A significant aspect of the strategy is the

rebalancing of provision for overnight short breaks away from residential and towards locally-based foster carers. The intention is to close one of the local authority's Children's Resource Centres in three years' time, but this is dependent on the ability to recruit and retain sufficient foster carers. Again the implementation is supported by sound project management and will be subject to on-going review.

3.4 Plans are in place for all of the above but there are significant challenges to delivering both internally and externally. These plans also need to be seen in the context of whole Council change through the 2020 North Yorkshire Programme.

4.0 **DIRECTORATE RISK REGISTER**

4.1 The **Directorate Risk Register** (DRR) is the end product of a systematic process that initially identified 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 drive 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)**

4.3 Since the last progress report to this Committee, the CYPS DRR has had an annual update by the CYPS Leadership Team in October/November 2014 and a 6 month review in March 2015. There have been a number of changes to reflect the current position. The detailed DRR is shown at **Appendix 1** and shows a range of risks and the risk reduction actions which have been put in place to minimise them.

4.4 The **new** risks that have been added to the risk register since June 2014 (date of the last progress report to the Committee) include:

- Educational Outcomes
- Safeguarding Arrangements
- Workforce Planning and Development including Cultural Change
- Behaviour Strategy

4.5 The risks that have been **deleted** from the Directorate risk register since June 2014 include:

- National Funding Developments and Local Priorities
- Children and Families Act Part 3 relating to SEN
- Children's Social Care Implementation Review

4.6 The risk that has **changed** relates to Good and Safe Governance Arrangements which now includes issues such as information governance as well as health and safety.

4.7 The **significant actions that have been achieved** include the following:

- Inspection Outcomes – an action plan has been implemented following the highly positive Ofsted inspection. For the school improvement service: a self-assessment has been completed; action plans are being implemented and a peer challenge opportunity has been accepted.
- High Need Funding – proposals and options have been considered by the funding sub group and decisions have been made on future proposals and plans.
- Placement Strategy – Look After Children – an Adoption and Fostering Strategy has been agreed.
- Workforce Planning and Development including Cultural Change – plans have been finalised for 2015/16.
- Educational Outcomes – development of the Scarborough Programme which collaboratively challenges under achievement and implementation of the ‘Closing the Gap’ strategy and innovation programme.
- Good and Safe Governance Arrangements – secure electronic communications have been implemented where appropriate, responsibilities and reporting requirements for risk management and health and safety have been reassessed and revised.
- Joint Planning and Delivery with the NHS – securing appropriate engagement with CCGs and PCU for commissioning that affects children and young people and their families, working closely with NHS England to ensure the safe transfer of the 0-19 Healthy Child Programme contract

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

NORTH YORKSHIRE COUNTY COUNCIL

STATEMENT OF ASSURANCE 2014/15 BY CORPORATE DIRECTOR – CHILDREN AND YOUNG PEOPLE'S SERVICES

The County Council is responsible for ensuring that its business is conducted in accordance with the law and proper standards, and that public money is safeguarded and properly accounted for and used economically, efficiently and effectively. In discharging this accountability, all Members and senior officers of the County Council are responsible for putting in place proper risk management processes and internal controls to ensure the proper stewardship of the resources at its disposal.

As a Corporate Director and member of the Management Team, I have corporate responsibility for maintaining a system of sound internal controls and risk management processes within the County Council and service management responsibility for maintaining a system of sound internal controls and risk management processes within the Children and Young People's Services Directorate that support the achievement of both Corporate and the Directorate's objectives.

The system of internal controls is based on an ongoing process designed to identify the principal risks to the achievement of these objectives, to evaluate the nature and extent of those risks and to manage them efficiently, effectively and economically.

The system of internal controls is designed to manage rather than eliminate the risk of failure to achieve these objectives; it can therefore only provide reasonable and not absolute assurance of effectiveness.

As a Corporate Director, I have responsibility for reviewing the effectiveness of the system of internal control and risk management processes in the Children and Young People's Services Directorate. My review of the effectiveness of the system of internal controls has taken into account the following:-

- adequacy and effectiveness of management review processes
- outcomes from the formal risk assessment and evaluation process (Directorate Risk Register)
- relevant self-assessments of key service areas within the Directorate
- relevant internal audit reports and results of follow ups regarding implementation of recommendations
- outcomes from reviews of services by other bodies including Inspectorates, external auditors etc
- the framework of controls that operate in relation to individual partnerships where some aspects of the necessary controls are the responsibility of the partner to operate / apply

I confirm that Children and Young People's Services Directorate has a full set of business continuity plans and that they will continue to be refreshed as and when necessary and at least on an annual basis.

I also confirm that Children and Young People's Services Directorate understands the importance of keeping sensitive information secure and has the appropriate policies and procedures in place.

I am satisfied that a sound system of internal control has been in place for the financial year ended 2014/15 in the Children and Young People's Services Directorate. Nevertheless, during the year my review work has identified some areas for further development and these are set out in the *attached schedule*. I propose to take steps to address the matters so identified which should enhance the system of internal controls. I will be monitoring to ensure their effective implementation and operation.

I also understand that this Statement of Assurance will be relied upon by those Members and Officers signing the Annual Governance Statement 2014/15 (the "Document") and by the Audit Committee reporting on the Document.

I therefore confirm that I am not aware of any material statement in, or omission from, the Document which would make the Document misleading. In respect of the Directorate for which I am responsible I can confirm that I have made due and careful inquiry and that the statements relating to my Directorate, in particular those contained in Section 3 of the Document, fairly represent the key elements of the internal control environment within my Directorate. I also confirm that there are no matters relating to my Directorate omitted from Section 7 of the Document which, in my view, merited inclusion.

The assurances given above are all based upon the information that has been made available to me.

Signed:

Corporate Director – Children and Young People's Services

Date:

**AREAS FOR FURTHER DEVELOPMENT IDENTIFIED
CHILDREN'S AND YOUNG PEOPLE'S SERVICES DIRECTORATE**

Areas for Development as Identified in 2014/15	Action Proposed	AGS?
<p>A</p> <p><u>Upholding service performance with reducing resources</u></p> <p>Maintaining and improving performance while reducing budget by over £17m in the 4-year period 2015-19, and preparing for future resource reductions required for 2020 North Yorkshire, while continuing to deliver quality frontline services. This objective requires the management of risks faced from externally-driven pressures on the County Council and on partners, such as the NHS, at a time when the landscape for services affecting children is changing rapidly.</p>	<ul style="list-style-type: none"> a) Monthly CYPS Programme Board to assess ongoing progress of all projects b) Live Risk Register c) Use of Invest to Save opportunities d) Service Plans embedded through the directorate and being used as a live tool e) Individual Performance appraisals in place linked to delivery of service plans 	
<p>B</p> <p><u>Family Support and Safeguarding</u></p> <p>We will only look after children and young people when it is necessary to do so. We seek a further safe reduction in numbers of 10%.</p> <p>Maintaining the recruitment and retention of high quality staff as a priority.</p> <p>In the light of the national profile around child sexual exploitation in Rotherham we recognise that such abuse exists in every local authority and we have to openly debate and tackle it.</p>	<ul style="list-style-type: none"> a) Implementation of Post-Ofsted Action Plan b) Embed a single route into care with robust gatekeeping arrangements through new Exceptional Placements Panel c) Post-implementation review of new Prevention Service d) Single point of contact for referrals e) Ensuring that every child has a permanent care plan f) Mainstreaming of Developing Stronger Families programme g) New integrated Safeguarding Unit adding partnership capacity h) Delivery against No Wrong Door Innovation Programme i) Keeping agency staff usage to nil 	

	<p><u>School Resources and Planning</u></p> <p>Maximise resources and use them fairly across North Yorkshire schools and settings; assist schools in facing longer-term financial challenges; work towards implementing a new way of delivering school improvement throughout the county.</p> <p>Ensure capital resources are used wisely to create a sufficiency of places at both existing and new schools</p>	<ul style="list-style-type: none"> a) Monitor and contribute- through direct working with DfE – to the national review of school funding b) Enhance Schools Collaboration capacity and continue to monitor the impact of funding formula for schools, especially the impact on smaller, rural schools c) Ensure effective management of the Dedicated Schools Grant (DSG) working d) New NY Education Partnership established, with greater role in oversight of funding, school improvement and school organisation 	
	<p><u>Continuous Improvement</u></p> <p>Based on the self-assessment of service areas within CYPS, peer evaluation feedback and inspection outcomes a number of specific priority areas have been identified.</p>	<ul style="list-style-type: none"> a) Review of Performance and Outcomes team and improved Business Intelligence capacity b) Better use of data and trend information to predict future outcomes c) Implement Post-Ofsted Inspection Action Plan d) Service Plans embedded through the directorate and being used as a live tool e) Individual Performance appraisals in place linked to delivery of service plans 	
	<p><u>Special Educational Needs and Disabilities</u></p> <p>Ensure we meet the statutory expectations of Part 3 of the Children and Family Act relating to high quality support for children with SEN(D)</p>	<ul style="list-style-type: none"> a) External review of SEND b) Jointly commissioned improvement activity with partners (e.g. NYPACT and Flying High Group) c) Contribute to expected DfE review of High Needs Funding d) Implementation of strategy for supporting disabled children, young people and families e) Respond to DfE feedback and enhance accessibility of Local Offer 	

CYPS Directorate

Risk Register: **month 6 (Mar 2015) – detailed**

Report Date: 19th March 2015 (pw)

Phase 1 - Identification											
Risk Number	24/15	Risk Title	24/15 - Inspection Outcomes				Risk Owner	CD CYPS	Manager	CYPS AD E&S CYPS AD CSC CYPS AD S&C	
Description	Failure to avoid adverse outcomes from statutory inspections of provision of local authority safeguarding, schools and settings, children's centres, adult learning, school improvement services, adoption and fostering, looked after children and children's homes resulting in reputational damage, school closure or centrally imposed interventions, disruption of children, requirement for additional resources					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 Planning focussing on improvement; monitor/evaluate current support; 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; Ofsted prep SMT sub group; proactive approach to improvement; seconded Manager; CD CYPS oversees inspection readiness; partnership inspection reference group established; improved knowledge/awareness of inspection frameworks; performance data & training provided to CCSMS				Effectiveness				
Probability	M	Objectives	M	Financial	M	Services	H	Reputation	H	Category	2
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed			
Reduction	22/161 - For safeguarding and looked after children: Complete a self assessment, produce action plans based on the self assessment and ensure pre inspection readiness by carrying out identified actions, monitoring outcomes and assessing their impact					CYPS AD CSC	Mon-30-Jun-14	Sat-31-May-14			
Reduction	22/1051 - Continual review of policies and procedures and update as required to ensure new guidance and procedures are embedded					CYPS AD CSC	Wed-30-Sep-15				
Reduction	22/1052 - Ensure consultation with and participation of service users to inform service delivery and design					CYPS AD CSC	Wed-30-Sep-15				
Reduction	22/1053 - Implement post Ofsted inspection plans as appropriate, action plan to be submitted					CYPS AD CSC CYPS AD E&S CYPS AD S&C	Fri-31-Oct-14	Thu-23-Oct-14			
Reduction	24/1204 - Encouragement, support and capacity building to enable schools to work collaboratively in keeping with the outcome of the Schools Commission					CYPS AD S&C	Wed-30-Sep-15				
Reduction	27/78 - Review and revise the LA role and systems to support improvement of schools and settings (School Improvement Commission)					CYPS AD E&S	Fri-31-Jul-15				
Reduction	27/226 - Ensure continuation of effective delivery of service to schools and settings whilst the local and national picture of provision of school improvement services is changing					CYPS AD E&S	Fri-31-Jul-15				
Reduction	27/227 - For School Improvement Service: Complete a self-assessment, produce action plans based on the self-assessment and ensure pre inspection readiness by carrying out identified actions, monitoring outcomes and assessing their impact					CYPS AD E&S	Mon-30-Jun-14	Mon-30-Jun-14			



CYPS Directorate

Risk Register: **month 6 (Mar 2015) – detailed**

Report Date: 19th March 2015 (pw)

Reduction	27/1401 - Ensure accurate school self-evaluation and effective school development plans, on-going.	CYPS AD E&S	Fri-31-Jul-15								
Reduction	27/1404 - Further develop competencies of Advisers, Consultants and team, through effective performance management and CPD, increasing number of Ofsted accredited advisors where necessary following restructure	CYPS AD E&S CYPS E&S PASP	Tue-30-Jun-15								
Reduction	27/1405 - Commission external support as required	CYPS AD E&S	Fri-31-Jul-15								
Phase 4 - Post Risk Reduction Assessment											
Probability	M	Objectives	M	Financial	M	Services	H	Reputation	H	Category	2
Phase 5 - Fallback Plan											
										Action Manager	
Fallback Plan											



CYPS Directorate

Risk Register: **month 6 (Mar 2015) – detailed**

Report Date: 19th March 2015 (pw)

Phase 1 - Identification											
Risk Number	24/228	Risk Title	24/228 - High Need Funding				Risk Owner	CD CYPS	Manager	CYPS AD A&I	
Description	Failure to control spending and create headroom in the High Need Funding Block resulting in negative impact on DSG, loss of reputation, increased bureaucracy, lack of inclusive behaviour, internal and external criticism					Risk Group	Performance	Risk Type			
Phase 2 - Current Assessment											
Current Control Measures		Experienced team; capable and experienced leaders; full understanding of schools forum; significant support from NYPACT and Flying High Group; robust data available; proposals for all aspects of spend within element 3 funding for report to Schools Forum developed; Proposals and options considered by the funding subgroup of the Schools Forum; decisions made on future proposals / plans;						Effectiveness			
Probability	M	Objectives	M	Financial	H	Services	H	Reputation	M	Category	2
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed			
Reduction	21/382 - Develop proposals for all aspects of spend within element 3 funding for report to Schools Forum					CYPS AD A&I SR & Prop FM	Wed-4-Mar-15	Wed-4-Mar-15			
Reduction	21/383 - Proposals and options considered by the funding subgroup of the Schools Forum					CYPS AD A&I	Tue-31-Mar-15	Mon-16-Mar-15			
Reduction	21/987 - Make decisions on future proposals / plans					CYPS AD A&I	Tue-31-Mar-15	Mon-16-Mar-15			
Reduction	21/990 - Continue active engagement in the longer term SEN funding changes					CYPS AD A&I	Fri-31-Jul-15				
Reduction	21/994 - Ensure adequate and acceptable budget monitoring arrangements are put in place as part of the 2020 Finance programme					CYPS AD A&I	Thu-30-Apr-15				
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	M	Financial	M	Services	H	Reputation	M	Category	3
Phase 5 - Fallback Plan											
								Action Manager			
Fallback Plan	21/212 - Divert money from Schools Funding Block to High Needs Block							CYPS AD A&I			

CYPS Directorate

Risk Register: **month 6 (Mar 2015) – detailed**

Report Date: 19th March 2015 (pw)

Phase 1 - Identification											
Risk Number	24/27	Risk Title	24/27 - Placement Strategy - Looked After Children				Risk Owner	CD CYPS	Manager	CYPS AD CSC	
Description	Failure to establish robust Looked After Children Placement Commissioning processes and appropriate Family and Friends arrangements, ensure sufficient foster carer pool and ensure that only those that really need to enter the Looked After Children system and are accommodated for the minimum period of time needed to ensure protection and safety; failure to do so leads to inefficient use of resources, budgetary pressures across Children's Social Care and potential for costly legal challenges					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; foster carer recruitment campaign; independent identification of foster carer training needs; support from Outreach and FIT services considered unless there are child protection concerns; LAC strategy; Commissioning Strategy; Permanence Strategy; [F&F: initial audit of cases; working group; officer panel; independent panel; assessment of current cases in the system to scope the potential legal and financial impact of Friends and Family issues]					Effectiveness			
Probability	M	Objectives	M	Financial	H	Services	M	Reputation	H	Category	2
Phase 3 - Risk Reduction Actions											
							Action Manager	Action by	Completed		
Reduction	22/154 - Except where there are child protection concerns, no child should be brought into the LAC system without first having considered support from the Outreach and FIT services					CYPS AD CSC		Wed-30-Sep-15			
Reduction	22/156 - Develop and implement a Permanence Strategy					CYPS AD CSC		Fri-28-Feb-14	Sat-31-May-14		
Reduction	22/164 - Produce an Adoption and Fostering Strategy					CYPS CSC HoF&A		Fri-31-Oct-14	Fri-31-Oct-14		
Reduction	22/271 - Increase the number of foster carers recruited including the required number of Advanced foster carers					CYPS CSC HoF&A		Tue-31-Mar-15			
Reduction	22/272 - Ensure revised WD arrangements preserve the quality of foster carer training					CYPS CSC HoF&A		Wed-30-Sep-15			
Reduction	22/274 - Effectively monitor and challenge drift in children and young people's care plans					CYPS AD CSC		Wed-30-Sep-15			
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	24/245 - Review to strengthen commissioning strategy, system controls							CYPS AD CSC			



CYPS Directorate

Risk Register: **month 6 (Mar 2015) – detailed**

Report Date: 19th March 2015 (pw)

Phase 1 - Identification											
Risk Number	24/211	Risk Title	24/211 - Schools Organisation: Place Planning and Funding				Risk Owner	CD CYPS	Manager	AD SR (CYPS) & Prop CYPS AD E&S CYPS AD S&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, fragmentation due to academisation, 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; collaboration guidance and toolkit; cross-directorate "Strategic Priority Schools" approach; work with the Schools Forum; keep up to date with current publications, 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; review of planning areas to explore the level of need; understanding implications of funding & demographic changes; work with and use effective lobbying channels; capital implications assessed of providing school places and develop strategy for funding; framework for prioritisation of school organisation issues & briefings for elected Members & Schools Forum to enable them to see the range of implications; revised guidance on new school provision				Effectiveness				
Probability	M	Objectives	M	Financial	H	Services	M	Reputation	M	Category	2
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed			
Reduction	24/208 - Carry out modelling of a range of scenarios to understand implications of funding and demographic changes					AD SR (CYPS) & Prop CYPS AD S&C	Wed-30-Apr-14	Wed-30-Apr-14			
Reduction	24/209 - Continue to work with and use effective lobbying channels					AD SR (CYPS) & Prop	Mon-31-Mar-14	Mon-31-Mar-14			
Reduction	24/1184 - Develop a framework for prioritisation of school organisation issues and provide briefings for elected Members and Schools Forum to enable them to see the range of implications					AD SR (CYPS) & Prop CYPS AD S&C	Mon-31-Mar-14	Mon-31-Mar-14			
Reduction	24/1204 - Encouragement, support and capacity building to enable schools to work collaboratively in keeping with the outcome of the Schools Commission					CYPS AD S&C	Wed-30-Sep-15				
Reduction	27/1385 - Continue to promote alternative models of school leadership including mergers, federations and informal partnerships					CYPS AD E&S	Fri-31-Jul-15				



CYPS Directorate

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Reduction	28/235 - Develop a collaboration support team to assist schools in looking at alternative methods of delivery	CYPS AD S&C	Mon-1-Jun-15								
Reduction	28/236 - Carry out audit of schools place forecasting methodology	CYPS AD S&C	Sat-28-Feb-15	Sat-28-Feb-15							
Reduction	28/1426 - Implement revised guidance on new school provision	CYPS AD S&C	Sat-31-Jan-15	Mon-30-Jun-14							
Reduction	28/1428 - Continual review of the estate including maintenance requirement (ongoing)	AD SR (CYPS) & Prop	Fri-31-Jul-15								
Reduction	28/1429 - Develop and submit bid for next priority school building programme	CYPS AD S&C	Thu-31-Jul-14	Thu-31-Jul-14							
Reduction	28/1432 - Monitoring Jacob's performance and contribute to Corporate Strategy for Improvement	AD SR (CYPS) & Prop	Thu-31-Dec-15								
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	M	Financial	H	Services	M	Reputation	M	Category	3
Phase 5 - Fallback Plan											
										Action Manager	
Fallback Plan											



CYPS Directorate

Risk Register: **month 6 (Mar 2015) – detailed**

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Phase 1 - Identification												
Risk Number	24/213	Risk Title	24/213 - Budget 2020 North Yorkshire				Risk Owner	CD CYPS	Manager	AD SR (CYPS) & Prop		
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, legal and national changes or the failure to meet MTFS Project targets. (improvement aspects covered by other risks)					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; budget monitoring arrangements incl role of Directorate staff (phase 1) reviewed as part of "2020 North Yorkshire"					Effectiveness				
Probability	M	Objectives	M	Financial	H	Services	H	Reputation	H	Category	2	
Phase 3 - Risk Reduction Actions												
							Action Manager	Action by	Completed			
Reduction	24/312 - Ensure regular monitoring and report to CYPLT of progress on all 2020 North Yorkshire programmes and outstanding MTFS projects						AD SR (CYPS) & Prop CYPS Prog Mgr	Thu-30-Apr-15				
Reduction	24/1000 - Focus on individual high risk areas of concern for monitoring processes and systems including assessment of staff involvement						AD SR (CYPS) & Prop CYPS Prog Mgr	Thu-30-Apr-15				
Reduction	24/1146 - Promoting ownership of budgets within leadership team						AD SR (CYPS) & Prop	Thu-30-Apr-15				
Reduction	24/1148 - Ensure CYPS FMT are aware of and involved in budget issues						SR & Prop MT	Thu-30-Apr-15				
Reduction	24/1168 - Contribute to ongoing Budget Manager, support staff and BSO Training sessions						SR & Prop MT	Thu-30-Apr-15				
Reduction	24/1188 - Contribute to update of Financial Services guidance						SR & Prop MT	Thu-30-Apr-15				
Reduction	25/210 - As part of "2020 Finance", complete implementation of budget monitoring arrangements including role of Directorate staff and move to self service. Clarify roles and responsibilities for all staff in services, business support and new budget managers						SR & Prop FM	Thu-30-Apr-15				
Reduction	25/1233 - Continue to enhance procurement profile within service and ensure forward procurement plan is regularly reviewed						SR & Prop MT	Thu-30-Apr-15				
Phase 4 - Post Risk Reduction Assessment												
Probability	L	Objectives	M	Financial	H	Services	H	Reputation	M	Category	3	



CYPS Directorate

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Phase 5 - Fallback Plan		Action Manager
Fallback Plan	24/246 - Re-prioritise CYPS Spending plans and current procedures	AD SR (CYPS) & Prop



CYPS Directorate

Risk Register: **month 6 (Mar 2015) – detailed**

Report Date: 19th March 2015 (pw)

Phase 1 - Identification												
Risk Number	24/247	Risk Title	24/247 - Workforce Planning and Development including Cultural Change					Risk Owner	CD CYPS		Manager	CYPS LT
Description	Failure to appropriately plan workforce requirements and/or develop staff in line with transformation agenda resulting in reduction in quality of service and transformation objectives not achieved					Risk Group	Personnel		Risk Type			
Phase 2 - Current Assessment												
Current Control Measures		Inclusion of WFD requirements as part of the engagement and implementation Plans of individual transformation projects; monitoring of the overall CYPS & Organisational OD requirements via Programme managers & NY2020 Operational Group; WF Plans and requirements for 2015/16 discussions taking place with Ads and CYPS WFD Groups; WF Plans and requirements for 2015/16 finalised;							Effectiveness			
Probability	M	Objectives	H	Financial	M	Services	M	Reputation	M	Category	2	
Phase 3 - Risk Reduction Actions												
							Action Manager	Action by	Completed			
Reduction	24/343 - Continue to finalise WF Plans and requirements for 2015/16						CYPS HoHR	Tue-31-Mar-15	Tue-31-Mar-15			
Reduction	24/357 - Discuss and agree method of establishing new culture and teams (ongoing)						CYPS CYPLT CYPS HoHR	Sat-31-Oct-15				
Reduction	24/414 - Deliver the OD 2020 cross cutting theme across the directorate (ongoing)						CYPS HoHR	Sat-31-Oct-15				
Reduction	24/415 - Ensure managers have the right skills for the new way of delivering services (ongoing)						CYPS CYPLT	Sat-31-Oct-15				
Phase 4 - Post Risk Reduction Assessment												
Probability	L	Objectives	H	Financial	M	Services	M	Reputation	M	Category	3	
Phase 5 - Fallback Plan												
										Action Manager		
Fallback Plan	24/558 - Continue to prioritise resources to ensure continuity of priority services								CD CYPS			

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Phase 1 - Identification											
Risk Number	24/249	Risk Title	24/249 - Educational Outcomes				Risk Owner	Chief Exec	Manager	CD CYPS	
Description	Failure to ensure positive educational outcomes for children and young people together with appropriate support for schools to be good or outstanding results in lower achievement levels for pupils, and NY children's life chances being determined by geography or family circumstances rather than being in their own hands.					Risk Group	Performance	Risk Type			
Phase 2 - Current Assessment											
Current Control Measures		Cross-directorate "Strategic Priority Schools" approach; work with Schools Forum; detailed analysis of data; joint annual performance review and target settings with schools; effective targeted intervention; 'Closing the Gap' strategy; School Improvement strategy including monitoring groups for vulnerable children; Achievement for All Programme; alternative models of school leadership including mergers, federations and informal partnerships promoted;					Effectiveness				
Probability	M	Objectives	M	Financial	H	Services	L	Reputation	H	Category	2
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed			
Reduction	24/353 - Ensure leadership and release of commissioning capacity in the context of the Commission for School Improvement and School Improvement restructure					CYPS AD E&S	Sun-31-May-15				
Reduction	24/427 - Continue to promote alternative models of school leadership including mergers, federations and informal partnerships					CYPS AD E&S	Sat-31-Jan-15	Sat-31-Jan-15			
Reduction	24/428 - Ensure effective implementation of the local 'Closing the Gap' innovation programme and monitoring of the impact of the projects funded through this programme					CYPS AD E&S	Fri-31-Jul-15				
Reduction	24/429 - Continue to implement and evaluate impact of the Achievement for All Programme					CYPS AD E&S	Sat-31-Oct-15				
Reduction	24/430 - Implement plans to further improve Looked After Children educational outcomes					CYPS Ho ELAC	Fri-31-Jul-15				
Reduction	24/1166 - Develop a new Skills Strategy based on robust assessment of needs					CYPS AD E&S	Thu-30-Apr-15				
Reduction	24/1179 - Establish stronger links with businesses and employers re apprenticeships, internships and traineeships and use NYCC as a role model itself in this area					CYPS AD E&S	Thu-30-Apr-15				
Reduction	24/1182 - Establish stronger links with Further and Higher Education establishments					CYPS AD E&S	Thu-30-Apr-15				
Reduction	24/1185 - Develop and implement the "Scarborough Programme" which collaboratively challenges underachievement					CD CYPS	Thu-30-Apr-15				
Reduction	24/1187 - Establish the North Yorkshire Education Partnership					CD CYPS	Thu-30-Apr-15				
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	M	Financial	H	Services	L	Reputation	H	Category	3



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Phase 5 - Fallback Plan		Action Manager
Fallback Plan	24/560 - Continually review via internal mechanisms and the new NY Education Partnership and challenge Programmes and Strategies in order to ensure better educational outcomes	CD CYPS



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Phase 1 - Identification											
Risk Number	24/178	Risk Title	24/178 - Good and Safe Governance Arrangements				Risk Owner	Chief Exec	Manager	CD CYPS	
Description	Failure to ensure that good and safe governance arrangements in respect of data security and health and safety are in place throughout the Directorate resulting in people suffering from harm, data breach, possible prosecution, claims, media attention, prohibition notice, fines					Risk Group	Legislative	Risk Type			
Phase 2 - Current Assessment											
Current Control Measures	Info Gov: Issues, concerns, major breaches discussed at CYPS Leadership Team; periodic information governance updates circulated by CYPS DIGC to all Service Groups SMTs; secure e-mail (egress and GCSX) rolled out across the Directorate; ad hoc security sweeps carried out by Business Support colleagues in corporate buildings; pro forma circulated to managers to enable them to complete their own security sweeps; Assistant Directors raising profile at SMT meetings; review of hard copy communications undertaken and move to secure electronic communications where possible; H&S: Policy docs; training; guidance docs; financial investment (eg. asbestos fund); conditions survey; educational visits database; quarterly reports and performance indicators to CYPLT; monthly meeting between AD and H&S advisor; responsibilities and reporting requirements around H&S and Risk Management for Directorate reassessed;						Effectiveness				
Probability	M	Objectives	M	Financial	H	Services	M	Reputation	H	Category	2
Phase 3 - Risk Reduction Actions											
Reduction	24/416 - Strategic review of hard copy communications to be undertaken with a view to move to secure electronic communications where possible					Action Manager	CYPS HoBS	Action by	Tue-31-Mar-15	Completed	Tue-31-Mar-15
Reduction	24/1150 - All information breaches investigated thoroughly and action taken against individuals as appropriate.					Action Manager	CYPS CYPLT	Action by	Sat-31-Oct-15	Completed	
Reduction	24/1155 - Continue to review and carry out necessary training relating to move to secure electronic communications where possible					Action Manager	CYPS HoBS	Action by	Fri-31-Jul-15	Completed	
Reduction	28/1430 - Develop and implement CYPS school related response to Corporate requirements around Radon management, monitoring and mitigation, working at height and roof lights					Action Manager	AD SR (CYPS) & Prop	Action by	Fri-31-Jul-15	Completed	
Reduction	28/1444 - Reassess responsibilities and reporting requirements around H&S and Risk Management for Directorate in the light of changing environment					Action Manager	AD SR (CYPS) & Prop CYPS AD S&C	Action by	Tue-31-Mar-15	Completed	Tue-31-Mar-15
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	M	Financial	H	Services	M	Reputation	H	Category	3
Phase 5 - Fallback Plan											
Fallback Plan	24/527 - Info Gov - More rigorous intensive information governance training for staff & following ICO procedures. H&S - early legal input, media management & Member briefings							Action Manager	CD CYPS		



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Phase 1 - Identification											
Risk Number	24/217	Risk Title	24/217 - Behaviour Strategy					Risk Owner	CD CYPS	Manager	CYPS AD A&I
Description	Failure to develop and implement an effective Behaviour Strategy resulting in lack of strategic direction, no pattern of specialist provision, not meeting statutory duties, inability to provide support to Mainstream Schools in meeting needs, specialist support to children and appropriate Alternative Education when this is required.						Risk Group	Performance	Risk Type		
Phase 2 - Current Assessment											
Current Control Measures			CYPP; initial draft Strategy; initial data set; some engagement with schools and colleges; EMS review; restructuring within the Directorate; The Strategy is clearly linked to Social, Emotional and Mental Health (Specialist Support for the Child) and to the development of the prevention service (Support for Families);						Effectiveness		
Probability	M	Objectives	M	Financial	H	Services	H	Reputation	H	Category	2
Phase 3 - Risk Reduction Actions											
							Action Manager	Action by	Completed %		
Reduction	24/417 - Carry out wide engagement and consultation on draft Strategy						CYPS AD A&I	Wed-30-Sep-15			
Reduction	24/418 - Incorporate the local authority behaviours team and attendance advisers into the Inclusion service						CYPS AD A&I	Wed-1-Apr-15			
Reduction	24/419 - Ensure that Forest Moor school comes out of special measures						CYPS A&I SLT	Sat-31-Oct-15			
Reduction	24/420 - Ensure that the review of the SEN strategy includes specialist provision for Social, Emotional and Mental Health needs						CYPS AD A&I	Tue-30-Jun-15			
Reduction	24/421 - Begin to publish significant data relating to local behaviour outcomes for schools and others						CYPS AD A&I	Wed-1-Apr-15			
Reduction	24/422 - Appoint to the post of Inclusive Education						CYPS AD A&I	Sat-31-Jan-15	Sat-31-Jan-15		
Reduction	24/1180 - Ensure the Strategy is clearly linked to Social, Emotional and Mental Health (Specialist Support for the Child) and to the development of the prevention service (Support for Families)						CYPS AD A&I	Tue-31-Mar-15	Tue-31-Mar-15		
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	M	Financial	H	Services	H	Reputation	H	Category	3
Phase 5 - Fallback Plan											
									Action Manager		
Fallback Plan	24/559 - Continue with current arrangements with enhancements								CYPS AD A&I		

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Phase 1 - Identification											
Risk Number	24/250	Risk Title	24/250 - Safeguarding Arrangements				Risk Owner	Chief Exec		Manager	CD CYPS
Description	Failure to have a robust Safeguarding service in place results in risk to vulnerable children, adults and families and not protecting them from harm.					Risk Group	Safeguarding		Risk Type		
Phase 2 - Current Assessment											
Current Control Measures			Safeguarding website; regularly reviewed procedures; monthly performance data for monitoring; audit regime; manager authorisation of all assessments; ICS; family intervention team; training strategy; clear supervision process which is audited on a regular basis; customer contact screening team;						Effectiveness		
Probability	M	Objectives	H	Financial	H	Services	M	Reputation	H	Category	2
Phase 3 - Risk Reduction Actions											
Reduction	24/431 - Ensure compliance with Safeguarding Board and Children's Social Care procedures					Action Manager	CYPS AD CSC		Action by	Wed-30-Sep-15	
Reduction	24/432 - Contribute to the delivery and implementation of the Child Sexual Exploitation (CSE) strategy with the LSCB					Action Manager	CYPS CSC HoS		Action by	Wed-30-Sep-15	
Reduction	24/433 - Raise awareness of the escalation procedures relating to children missing and at risk of CSE					Action Manager	CYPS CSC HoS		Action by	Wed-30-Sep-15	
Reduction	24/434 - Ensure all cases of children at risk of CSE are flagged on LCS					Action Manager	CYPS CSC HoS		Action by	Wed-30-Sep-15	
Reduction	24/1197 - Ongoing Mgt file audit of case files against established assessment standards and staff supervision files					Action Manager	CYPS CSC SMT		Action by	Wed-30-Sep-15	
Reduction	24/1199 - Monitoring and management of performance against agreed targets in the SMT action plan and team action plans					Action Manager	CYPS CSC SMT		Action by	Wed-30-Sep-15	
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	H	Financial	H	Services	M	Reputation	H	Category	3
Phase 5 - Fallback Plan											
Fallback Plan	24/252 - Carry out necessary review of approach, target underperforming areas and take on lessons learned from any serious case reviews									Action Manager	CD CYPS

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Phase 1 - Identification											
Risk Number	24/221	Risk Title	24/221 - Joint Planning & Delivery with Health				Risk Owner	CD CYPS	Manager	All CYPLT members	
Description	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			H&W Board; Children's Trust Board; Public Health team; CYPLT; Dir of partnership Commissioning; joint post of Commissioning Manager; joint post of Public Health analyst; CYPS Plan; Health and Well-being Strategy; JSNA; Worked closely with NHS England to ensure safe transfer of the 0 – 5 Healthy Child Programme contract; CYPLT fully briefed and up to date with the changing commissioning landscape and the different roles involved; appropriate engagement secured with CCGs and PCU for commissioning affecting children and young people and their families; services recommissioned for 5 - 19 Healthy Child Programme to ensure close alignment with Preventative Services; children's health performance reviewed at the Children's Trust Board to monitor the impact of changes on children's health outcomes in North Yorkshire; Work with Public Health to embed PH outcomes into the work of CYPS;					Effectiveness			
Probability	L	Objectives	H	Financial	H	Services	H	Reputation	M	Category	3
Phase 3 - Risk Reduction Actions											
							Action Manager	Action by	Completed		
Reduction	24/423 - Work closely with NHS England to ensure safe transfer of the 0 – 5 Healthy Child Programme contract.						Jt Comm Mgr Public Health Consultant	Wed-30- Sep-15	Tue-31-Mar-15		
Reduction	24/424 - Ensure that when the Health and Well-being Strategy is refreshed, children's health is a priority						CD CYPS	Tue-30- Jun-15			
Reduction	24/425 - Ensure CYPLT are fully briefed and up to date with the changing commissioning landscape and the different roles involved in that landscape						Jt Comm Mgr	Tue-31- Mar-15	Mon-16-Mar-15		
Reduction	24/1149 - Secure appropriate engagement with CCGs and PCU for commissioning that affect children and young people and their families						CYPS AD S&C Janet Probert	Tue-31- Mar-15	Mon-16-Mar-15		
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.						CD CYPS	Mon-31- Mar-14	Sun-31-Aug-14		
Reduction	24/1153 - Contribute to the delivery of the workplan for the Health and Well-being Board in relation to children's health priorities and ensure strategic decision making in Health is influenced through alignment with the JSNA and the Children and Young People's Plan						CD CYPS	Fri-31-Jul- 15			
Reduction	24/1161 - Recommission services for 5 - 19 Healthy Child Programme to ensure close alignment with Preventative Services						Jt Comm Mgr Public Health Consultant	Tue-31- Mar-15	Tue-31-Mar-15		
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.						CD CYPS	Fri-31-Jul- 15	Tue-31-Mar-15		



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Reduction	24/1163 - Work with Public Health to embed Public Health outcomes into the work of CYPs	CD CYPs	Fri-31-Jul-15	Mon-16-Mar-15							
Reduction	24/1198 - Ensure the arrangements for the joint commissioning of services for children with speech, language and communication needs are developed and in place	CD CYPs Janet Probert	Mon-31-Aug-15								
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	H	Financial	H	Services	H	Reputation	M	Category	3
Phase 5 - Fallback Plan											
										Action Manager	
Fallback Plan											

