

## NORTH YORKSHIRE COUNTY COUNCIL

## AUDIT COMMITTEE

23 JUNE 2016

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 Statement of Assurance for CYPS is included elsewhere on the agenda. However a number of key headlines are set out below, which demonstrate effective risk management of key issues.

**MTFS: Upholding service performance with reducing resources**

An initial savings programme targeting £15m of budget reductions has made good progress with around half of that total met in 2015-16. 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. There are two current areas of significant budget pressures which present challenges – Special Educational Needs Transport and Disabled Children’s Service. Plans are in place to ensure these budgets are brought under control. A future potential budget issues may result from changes in school funding and we await Stage Two of the government’s consultation on a national funding formula after which we will assess the impact and prepare costed and timed action plans to mitigate any 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. Over 90% of primary school pupils and 85.5% of secondary pupils are now in good or outstanding schools. We have a coherent strategic approach to school funding, organisation and improvement driven by the North Yorkshire Education Partnership. We will build on this and will work with schools and other parties to prepare for the changes occurring as a result of the government’s stated ambitions of a fully academised system.

## **Safeguarding and Looked After Children**

The number of looked after children continues to reduce safely, reaching its lowest level for six years. The Council is now well on course to achieve its ambitious target to safely reduce the number of looked after children to 400 by 2020, whilst we continue to ensure that children’s safety stays at the very centre of everything we do and our procedures for responding to all safeguarding issues are robust and swift. Such reductions are essential to meet the savings requirement of £3m by 2019, and £750k was achieved during 2015-16, as targeted.

The rate of looked after children in North Yorkshire also continues to fall in line with further reductions in the numbers of children who enter into the care system and the Council is also on course to achieve the target rate of 34 per 10,000 by 2020.

We are an innovative council, receiving funding for the No Wrong Door programme which is specifically targeted at adolescents and is designed to improve radically the life chances of some of the county’s most vulnerable and challenging young people, and reduce the numbers ending up either homeless, in care or in the youth justice system.

North Yorkshire has also been awarded status as one of the first six Partners in Practice with the Department for Education (DfE). Seen as one of the very best examples of children’s services in modelling excellence and innovation in delivery it will now support and work alongside other local authorities to share valuable good practice and innovation and help other local authorities to develop long-term and sustainable high performance for children’s social care.

## **Disabled Children’s Services**

The Council approved a strategy for supporting disabled children, young people and families in May 2015 which will help deliver savings of almost £900k over the period 2015-19. 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. As highlighted above and in the Statement of Assurance, there are considerable budget pressures in this area and action to mitigate these sits alongside the implementation of the new strategy and savings plan.

The Directorate has also now agreed a new way forward for providing and monitoring Direct Payments for disabled children. This will ensure that the issues raised by Veritau in this area will be addressed.

- 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 2015 and a 6 month review in February 2016. 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 Only one **new risk**, Strategy for Supporting Disabled Children, Young People and their Families (as mentioned in paragraph 3.3 Disabled Children's Services above) has been added to the risk register since June 2015 (date of the last progress report to the Committee), and the following have been either **deleted or amended** to reflect ongoing changes:

- The previous risk relating to Looked after Children (LAC) Placements including Friends and Family arrangements and Reducing LAC was changed to Safely Reducing the LAC Population
- The previous risk relating to Budget 2020 North Yorkshire has been changed to 2020 North Yorkshire and incorporates Workforce Planning Development and Cultural Change
- The Behaviour Strategy risk was deleted
- The Joint Planning and Delivery with Health risk was amended to Partnership and Integration with Health and also includes Healthy Child Commissioning and Mental Health
- The High Need Funding risk has been expanded to include other issues and is now called SENDs Young People Funding

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

- Inspection Outcomes – a framework for prioritisation of school organisation issues has been developed alongside briefings sessions for elected Members and the NY Education Partnership. The local authority role and systems to support improvement of schools and settings has been reviewed and revised.
- Strategy for Supporting Disabled Children, Young People and their Families – much work has been done with the corporate Communications team on advertisement and marketing for fostering with a positive outcome. This links in with the good work being done on the Safely Reducing Children in Care Population risk.
- Schools Organisation: Place Planning and Funding – modelling of a range of scenarios to understand implications of funding and demographic changes continues. Work also continues to encourage, support and build capacity to enable schools to work collaboratively.
- Educational Outcomes – there is ongoing implementation and monitoring of the “Scarborough Education Summit” which collaboratively challenges under achievement together with implementation of the ‘Closing the Gap’ strategy and innovation programme
- Good and Safe Governance Arrangements – work continues on increasing the use of secure electronic communications where possible to keep sensitive information breaches to a minimum.
- Safeguarding Arrangements – safeguarding work continues including contribution to the delivery and implementation of the Child Sexual Exploitation Strategy with the Local Safeguarding Children’s Board.
- Partnership and Integration with Health – the Health and Wellbeing Strategy has been refreshed and children’s health is a priority. The arrangements for the joint commissioning of services for children with speech, language and communication needs have been developed and are in place.

4.6 It is noticeable and perceptibly correct, that there is a strong correlation between the risks that are considered in this risk register and the key issues mentioned in the Statement of Assurance for CYPS.

**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

Risk Register: month 6 (March 2016) – detailed  
 Report Date: 3<sup>rd</sup> March 2016 (pw)

| Phase 1 - Identification         |  |                   |                             |                  |   |                   |                             |                   |                  |   |   |
|----------------------------------|--|-------------------|-----------------------------|------------------|---|-------------------|-----------------------------|-------------------|------------------|---|---|
| <b>Risk Number</b>               | 24/15  | <b>Risk Title</b> | 24/15 - Inspection Outcomes |                  |   |                   | <b>Risk Owner</b>           | CD CYPS           | <b>Manager</b>   | CYPS AD<br>E&S<br>CYPS AD<br>C&F CYPS<br>AD S&C |   |
| <b>Description</b>               | Failure to avoid adverse outcomes from statutory inspections of provision of local authority safeguarding including joint area integration inspections, schools and settings, children's centres, adult learning, SEND/school improvement services, adoption and fostering, children in care and children's homes resulting in reputational damage, or centrally imposed interventions, disruption of children's care and/or education, requirement for additional resources   |                   |                             |                  |   | <b>Risk Group</b> | Performance                 | <b>Risk Type</b>  |                  |   |   |
| Phase 2 - Current Assessment     |  |                   |                             |                  |   |                   |                             |                   |                  |   |   |
| <b>Current Control Measures</b>  | 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; CD CYPS oversees inspection readiness; partnership inspection reference group established; improved knowledge/awareness of inspection frameworks; post Ofsted inspection plans implemented as appropriate; self assessment for safeguarding and children in care and for school improvement; framework for prioritisation of school organisation issues, briefings provided for elected Members and NY Education Partnership; post Ofsted inspection plans implemented |                   |                             |                  |   |                   | <b>Effectiveness</b>        |                   |                  |   |   |
| <b>Probability</b>               | M  | <b>Objectives</b> | M                           | <b>Financial</b> | M | <b>Services</b>   | H                           | <b>Reputation</b> | H                | <b>Category</b>                                 | 2 |
| Phase 3 - Risk Reduction Actions |  |                   |                             |                  |   |                   |                             |                   |                  |   |   |
|                                  |  |                   |                             |                  |   |                   | <b>Action Manager</b>       | <b>Action by</b>  | <b>Completed</b> |   |   |
| <b>Reduction</b>                 | 22/1051 - Continual review of policies and procedures and update as required to ensure new guidance and procedures are embedded  |                   |                             |                  |   |                   | CYPS AD C&F                 | Fri-30-Sep-16     |                  |   |   |
| <b>Reduction</b>                 | 22/1052 - Ensure consultation with and participation of service users to inform service delivery and design  |                   |                             |                  |   |                   | CYPS AD C&F                 | Fri-30-Sep-16     |                  |   |   |
| <b>Reduction</b>                 | 24/1179 - Ensure pre inspection readiness for safeguarding, children in care and SEND by carrying out identified actions, monitoring outcomes and assessing their impact   |                   |                             |                  |   |                   | CYPS AD C&F<br>CYPS AD Incl | Fri-30-Sep-16     |                  |   |   |
| <b>Reduction</b>                 | 24/1184 - Develop a framework for prioritisation of school organisation issues and provide briefings for elected Members and NY Education Partnership to enable them to see the range of implications  |                   |                             |                  |   |                   | CYPS AD S&C                 | Thu-31-Dec-15     | Thu-31-Dec-15    |   |   |
| <b>Reduction</b>                 | 24/1204 - Continue to encourage, support and build capacity to enable schools to work collaboratively in keeping with the outcome of the Schools Commission  |                   |                             |                  |   |                   | CYPS AD S&C                 | Fri-30-Sep-16     |                  |   |   |
| <b>Reduction</b>                 | 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     | Mon-31-Aug-15    |   |   |
| <b>Reduction</b>                 | 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                 | Sun-31-Jul-16     |                  |   |   |



## CYPs Directorate

Risk Register: **month 6 (March 2016) – detailed**

Report Date: 3<sup>rd</sup> March 2016 (pw)

|   |   |                              |               |                       |
|---|---|------------------------------|---------------|-----------------------|
| <b>Reduction</b>                                | 27/1401 - Ensure accurate school self-evaluation and effective school development plans, on-going.  | CYPs AD E&S                  | Sun-31-Jul-16 |                       |
| <b>Reduction</b>                                | 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<br>CYPs E&S PASP | Fri-30-Sep-16 |                       |
| <b>Reduction</b>                                | 27/1405 - Commission external support as required   | CYPs AD E&S                  | Sun-31-Jul-16 |                       |
| <b>Phase 4 - Post Risk Reduction Assessment</b> |   |                              |               |                       |
| <b>Probability</b>                              | M   | <b>Objectives</b>            | M             | <b>Financial</b>      |
|   |   |                              | M             | <b>Services</b>       |
|   |   |                              | H             | <b>Reputation</b>     |
|   |   |                              | H             | <b>Category</b> 2     |
| <b>Phase 5 - Fallback Plan</b>                  |   |                              |               |                       |
|   |   |                              |               | <b>Action Manager</b> |
| <b>Fallback Plan</b>                            |   |                              |               |                       |



## CYPS Directorate

Risk Register: **month 6 (March 2016) – detailed**

Report Date: 3<sup>rd</sup> March 2016 (pw)

| Phase 1 - Identification                 |  |   |   |                  |   |                   |                       |                      |                       |                 |   |
|--|--|---|---|------------------|---|-------------------|-----------------------|----------------------|-----------------------|-----------------|---|
| <b>Risk Number</b>                       | 24/259   | <b>Risk Title</b>   | 24/259 - Strategy for Supporting Disabled Children, Young People and their Families |                  |   |                   | <b>Risk Owner</b>     | CD CYPS              | <b>Manager</b>        | CYPS AD Incl    |   |
| <b>Description</b>                       | Failure to deliver the Strategy for supporting Disabled Children, Young People and their Families resulting in unmet needs, workload pressures, missed savings target and criticism. |   |   |                  |   | <b>Risk Group</b> | Strategic             | <b>Risk Type</b>     | Incl 21/254           |                 |   |
| Phase 2 - Current Assessment             |  |   |   |                  |   |                   |                       |                      |                       |                 |   |
| <b>Current Control Measures</b>          |  | Options appraisal; engagement with stakeholders; EIA; public consultation; Exec approval; multi agency transition steering group; single Disabled Children register developed; advertising and marketing for fostering in progress; |   |                  |   |                   |                       | <b>Effectiveness</b> |                       |                 |   |
| <b>Probability</b>                       | M  | <b>Objectives</b>   | M   | <b>Financial</b> | M | <b>Services</b>   | H                     | <b>Reputation</b>    | H                     | <b>Category</b> | 2 |
| Phase 3 - Risk Reduction Actions         |  |   |   |                  |   |                   |                       |                      |                       |                 |   |
|  |  |   |   |                  |   |                   | <b>Action Manager</b> | <b>Action by</b>     | <b>Completed</b>      |                 |   |
| <b>Reduction</b>                         | 21/124 - Ensure the Fostering Service review includes the strategic proposals  |   |   |                  |   |                   | CYPS AD Incl          | Thu-31-Dec-15        | Thu-31-Dec-15         |                 |   |
| <b>Reduction</b>                         | 21/142 - Establish a working group for maintenance and ongoing use of the single Disabled Children register  |   |   |                  |   |                   | CYPS Incl HoSEN       |                      |                       |                 |   |
| <b>Reduction</b>                         | 21/338 - Further develop options paper for Short Break proposals (disabled children grants May 2016 and DC overnight breaks Oct 2016)  |   |   |                  |   |                   | CYPS Incl HoSEN       | Mon-31-Oct-16        |                       |                 |   |
| <b>Reduction</b>                         | 21/339 - Work with Corporate Comms team on advertisement and marketing for fostering   |   |   |                  |   |                   | CYPS Incl HoSEN       | Mon-30-Nov-15        | Mon-30-Nov-15         |                 |   |
| <b>Reduction</b>                         | 21/372 - Structure the required phased implementation of the delivery model  |   |   |                  |   |                   | CYPS AD Incl          | Sun-31-Jul-16        |                       |                 |   |
| <b>Reduction</b>                         | 21/374 - Implement the Preparing for Adulthood model relating to SEND transition   |   |   |                  |   |                   | CYPS AD Incl          | Sun-31-Jul-16        |                       |                 |   |
| <b>Reduction</b>                         | 21/383 - Monitor the changes to overnight short breaks/fostering facility to ensure capacity and contribution to 2020 Inclusion programme  |   |   |                  |   |                   | CYPS Incl HoSEN       | Mon-31-Oct-16        |                       |                 |   |
| <b>Reduction</b>                         | 21/384 - Carry out an independent review of DCS function   |   |   |                  |   |                   | CYPS AD Incl          | Fri-30-Sep-16        |                       |                 |   |
| Phase 4 - Post Risk Reduction Assessment |  |   |   |                  |   |                   |                       |                      |                       |                 |   |
| <b>Probability</b>                       | L  | <b>Objectives</b>   | M   | <b>Financial</b> | M | <b>Services</b>   | H                     | <b>Reputation</b>    | H                     | <b>Category</b> | 3 |
| Phase 5 - Fallback Plan                  |  |   |   |                  |   |                   |                       |                      |                       |                 |   |
| <b>Fallback Plan</b>                     |  |   |   |                  |   |                   |                       |                      | <b>Action Manager</b> |                 |   |





## CYPS Directorate

Risk Register: **month 6 (March 2016) – detailed**

Report Date: 3<sup>rd</sup> March 2016 (pw)

| Phase 1 - Identification         |  |                   |   |                  |   |                   |                                     |                      |                  |                 |   |
|----------------------------------|--|-------------------|---|------------------|---|-------------------|-------------------------------------|----------------------|------------------|-----------------|---|
| <b>Risk Number</b>               | 24/228   | <b>Risk Title</b> | 24/228 - SENDs Young People Funding   |                  |   |                   | <b>Risk Owner</b>                   | CD CYPS              | <b>Manager</b>   | CYPS AD Incl    |   |
| <b>Description</b>               | Failure to control spending and create headroom for SENDs young people funding (including High Needs and other LA issues) given the pressures of budget reductions, increasing demand, increasing placement costs and continued academisation resulting in negative impact on DSG, poor joint area inspection outcome, loss of reputation, increased bureaucracy, lack of inclusive behaviour, internal and external criticism |                   |   |                  |   | <b>Risk Group</b> | Performance                         | <b>Risk Type</b>     | Incl 21/23       |                 |   |
| Phase 2 - Current Assessment     |  |                   |   |                  |   |                   |                                     |                      |                  |                 |   |
| <b>Current Control Measures</b>  |  |                   | Experienced team and leaders; awareness of Education Partnership; significant support from NYPACT and Flying High Group; robust data available; management of out-of-authority placements spend; implementing Personal Learning Pathways; Education Partnership approved funding framework; FE network; central contracting and commissioning service; local transition groups in place |                  |   |                   |                                     | <b>Effectiveness</b> |                  |                 |   |
| <b>Probability</b>               | M  | <b>Objectives</b> | M   | <b>Financial</b> | H | <b>Services</b>   | H                                   | <b>Reputation</b>    | M                | <b>Category</b> | 2 |
| Phase 3 - Risk Reduction Actions |  |                   |   |                  |   |                   |                                     |                      |                  |                 |   |
|                                  |  |                   |   |                  |   |                   | <b>Action Manager</b>               | <b>Action by</b>     | <b>Completed</b> |                 |   |
| <b>Reduction</b>                 | 21/382 - Carry out base budget review of all SEND budgets (SEND transport and DCS carried out)   |                   |   |                  |   |                   | AD SR (CYPS) & Prop<br>CYPS AD Incl | Fri-30-Sep-16        |                  |                 |   |
| <b>Reduction</b>                 | 21/443 - Ensure the Education Partnership is aware of the risks and challenges it faces  |                   |   |                  |   |                   | CYPS AD Incl                        | Sun-31-Jul-16        |                  |                 |   |
| <b>Reduction</b>                 | 21/444 - Work by Inclusive Education and Education and Skills to target the highest need and work with schools and settings to better manage need  |                   |   |                  |   |                   | CYPS Incl HoIE                      | Sun-31-Jul-16        |                  |                 |   |
| <b>Reduction</b>                 | 21/448 - Continue to build local capacity to cope with need  |                   |   |                  |   |                   | CYPS AD Incl                        | Sun-31-Jul-16        |                  |                 |   |
| <b>Reduction</b>                 | 21/451 - Review the weightings in the Resource Allocation System and work to introduce its use in post 19 placements   |                   |   |                  |   |                   | CYPS AD Incl                        | Sun-31-Jul-16        |                  |                 |   |
| <b>Reduction</b>                 | 21/452 - Work to better understand the link between education and care funding   |                   |   |                  |   |                   | CYPS AD Incl                        | Sun-31-Jul-16        |                  |                 |   |
| <b>Reduction</b>                 | 21/453 - Take a new look at the pattern of specialist provision on an area basis to identify gaps/overlaps   |                   |   |                  |   |                   | CYPS AD Incl                        | Sun-31-Jul-16        |                  |                 |   |
| <b>Reduction</b>                 | 21/455 - Contribute to the work in early years and schools on Closing the Gap strategies   |                   |   |                  |   |                   | CYPS AD Incl                        | Sun-31-Jul-16        |                  |                 |   |
| <b>Reduction</b>                 | 21/456 - Issue the SEND strategy and seek to promote the narrative to all stakeholders   |                   |   |                  |   |                   | CYPS AD Incl                        | Tue-31-May-16        |                  |                 |   |
| <b>Reduction</b>                 | 21/457 - Implement the Preparing for Adulthood model and push for the use of personalisation and direct payments including transport   |                   |   |                  |   |                   | CYPS AD Incl                        | Sun-31-Jul-16        |                  |                 |   |
| <b>Reduction</b>                 | 21/460 - Work to maintain contributions from HAS and Health  |                   |   |                  |   |                   | CYPS AD Incl                        | Sun-31-Jul-16        |                  |                 |   |



## CYPS Directorate

Risk Register: **month 6 (March 2016) – detailed**

Report Date: 3<sup>rd</sup> March 2016 (pw)

|   |   |                   |               |                  |   |                 |   |                   |   |                       |              |
|---|---|-------------------|---------------|------------------|---|-----------------|---|-------------------|---|-----------------------|--------------|
| <b>Reduction</b>                                | 21/990 - Continue active engagement at a regional and national level into the SEN funding changes and their impact                                  | CYPS AD Incl      | Sun-31-Jul-16 |                  |   |                 |   |                   |   |                       |              |
| <b>Reduction</b>                                | 21/994 - Fully clarify the revised budget roles and responsibilities with Finance to ensure that a robust budget monitoring process is put in place | CYPS AD Incl      | Sun-31-Jan-16 | Sun-31-Jan-16    |   |                 |   |                   |   |                       |              |
| <b>Reduction</b>                                | 21/1008 - Review of SEN provision in locality areas by ISOS   | CYPS AD Incl      | Sat-31-Dec-16 |                  |   |                 |   |                   |   |                       |              |
| <b>Phase 4 - Post Risk Reduction Assessment</b> |   |                   |               |                  |   |                 |   |                   |   |                       |              |
| <b>Probability</b>                              | L   | <b>Objectives</b> | M             | <b>Financial</b> | M | <b>Services</b> | H | <b>Reputation</b> | M | <b>Category</b>       | 3            |
| <b>Phase 5 - Fallback Plan</b>                  |   |                   |               |                  |   |                 |   |                   |   |                       |              |
| <b>Fallback Plan</b>                            | 21/212 - Redirection of resources from areas that have achieved savings   |                   |               |                  |   |                 |   |                   |   | <b>Action Manager</b> | CYPS AD Incl |



## CYPS Directorate

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| Phase 1 - Identification                 |  |                   |  |                  |   |                       |                      |                   |                |                 |   |
|--|--|-------------------|--|------------------|---|-----------------------|----------------------|-------------------|----------------|-----------------|---|
| <b>Risk Number</b>                       | 24/27  | <b>Risk Title</b> | 24/27 - Safely Reducing the Children in Care Population  |                  |   |                       | <b>Risk Owner</b>    | CD CYPS           | <b>Manager</b> | CYPS AD C&F     |   |
| <b>Description</b>                       | Failure to establish robust Children in Care 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 Children in Care 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 |                   |  |                  |   | <b>Risk Group</b>     | Performance          | <b>Risk Type</b>  |                |                 |   |
| Phase 2 - Current Assessment             |  |                   |  |                  |   |                       |                      |                   |                |                 |   |
| <b>Current Control Measures</b>          |  |                   | Entry to Care panel; CSC Placement Commissioning Panel; Placement Matching Panel; CSC placement commissioning team; monitoring of external placements; Young people's accom strategy; Financial scrutiny; enhanced CYPLT scrutiny; monitoring of permanency planning; maximise use of adoption and SGO; foster carer recruitment campaign; independent identification of foster carer training needs; [F&F: initial audit of cases; working group; officer panel; independent panel]; support from Outreach and FIT services considered unless there are child protection concerns; CYPS 2020 Programme; commissioning strategy; F&F policy embedded; effective budget monitoring; Permanence Strategy; Adoption and Fostering Strategy; exceptional placement panel chaired by Dir; pooled budget; national innovation programme No Wrong Door; |                  |   |                       | <b>Effectiveness</b> |                   |                |                 |   |
| <b>Probability</b>                       | M  | <b>Objectives</b> | M  | <b>Financial</b> | H | <b>Services</b>       | M                    | <b>Reputation</b> | H              | <b>Category</b> | 2 |
| Phase 3 - Risk Reduction Actions         |  |                   |  |                  |   |                       |                      |                   |                |                 |   |
|  |  |                   |  |                  |   | <b>Action Manager</b> | <b>Action by</b>     | <b>Completed</b>  |                |                 |   |
| <b>Reduction</b>                         | 22/154 - Except where there are child protection concerns, no child should be brought into the Children in Care system without first having considered support from the Outreach and FIT services  |                   |  |                  |   | CYPS C&F HoS&LAC      | Sun-31-Jul-16        |                   |                |                 |   |
| <b>Reduction</b>                         | 22/271 - Increase the number of foster carers recruited including the required number of Advanced foster carers  |                   |  |                  |   | CYPS C&F HoRes        | Sun-31-Jul-16        |                   |                |                 |   |
| <b>Reduction</b>                         | 22/272 - Continue to ensure that WD arrangements preserve the quality of foster carer training   |                   |  |                  |   | CYPS C&F HoRes        | Sun-31-Jul-16        |                   |                |                 |   |
| <b>Reduction</b>                         | 22/274 - Effectively monitor and challenge drift in children and young people's care plans   |                   |  |                  |   | CYPS C&F HoS&LAC      | Sun-31-Jul-16        |                   |                |                 |   |
| <b>Reduction</b>                         | 22/462 - Meetings between Director, Directorate Commissioning Unit and NHS to discuss issues around CAMHS  |                   |  |                  |   | CYPS C&F HoS&LAC      | Sun-31-Jul-16        |                   |                |                 |   |
| <b>Reduction</b>                         | 24/423 - Extend Partners in Practice model   |                   |  |                  |   | CYPS AD C&F           | Sat-31-Dec-16        |                   |                |                 |   |
| Phase 4 - Post Risk Reduction Assessment |  |                   |  |                  |   |                       |                      |                   |                |                 |   |
| <b>Probability</b>                       | L  | <b>Objectives</b> | M  | <b>Financial</b> | H | <b>Services</b>       | M                    | <b>Reputation</b> | H              | <b>Category</b> | 3 |



## CYPS Directorate

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| <b>Phase 5 - Fallback Plan</b> |   | <b>Action Manager</b> |
|--------------------------------|---|-----------------------|
| <b>Fallback Plan</b>           | 24/245 - Review to strengthen commissioning strategy, system controls | CYPS AD C&F           |



## CYPS Directorate

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| Phase 1 - Identification                 |  |                   |   |                  |   |                   |                                    |                      |                  |   |   |
|--|--|-------------------|---|------------------|---|-------------------|------------------------------------|----------------------|------------------|---|---|
| <b>Risk Number</b>                       | 24/211   | <b>Risk Title</b> | 24/211 - Schools Organisation: Place Planning and Funding   |                  |   |                   | <b>Risk Owner</b>                  | CD CYPS              | <b>Manager</b>   | AD SR (CYPS) & Prop<br>CYPS AD E&S CYPS<br>AD S&C |   |
| <b>Description</b>                       | 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. |                   |   |                  |   | <b>Risk Group</b> | Strategic                          | <b>Risk Type</b>     |                  |   |   |
| Phase 2 - Current Assessment             |  |                   |   |                  |   |                   |                                    |                      |                  |   |   |
| <b>Current Control Measures</b>          |  |                   | Consistent monitoring of forecast numbers. Links with District Councils and developers over major housing developments (including ISDG work). Cross-directorate "Strategic Priority Schools" approach. Work with the Education Partnership, Keep up to date with current publications, email, etc. Reg review of DfE and other critical websites. Liaison with other LAs and RSC (Schools Commission). Early assessment of resource implications of 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, collaboration guidance and toolkit, framework for prioritisation of school organisation issues, briefings provided for elected Members and NY Education Partnership. |                  |   |                   |                                    | <b>Effectiveness</b> |                  |   |   |
| <b>Probability</b>                       | M  | <b>Objectives</b> | M   | <b>Financial</b> | H | <b>Services</b>   | M                                  | <b>Reputation</b>    | M                | <b>Category</b>                                   | 2 |
| Phase 3 - Risk Reduction Actions         |  |                   |   |                  |   |                   |                                    |                      |                  |   |   |
|  |  |                   |   |                  |   |                   | <b>Action Manager</b>              | <b>Action by</b>     | <b>Completed</b> |   |   |
| <b>Reduction</b>                         | 24/208 - Carry out modelling of a range of scenarios to understand implications of funding and demographic changes - ongoing work  |                   |   |                  |   |                   | AD SR (CYPS) & Prop<br>CYPS AD S&C | Sun-31-Jul-16        |                  |   |   |
| <b>Reduction</b>                         | 24/209 - Continue to work with and use effective lobbying channels - ongoing work  |                   |   |                  |   |                   | AD SR (CYPS) & Prop                | Sun-31-Jul-16        |                  |   |   |
| <b>Reduction</b>                         | 24/1184 - Develop a framework for prioritisation of school organisation issues and provide briefings for elected Members and NY Education Partnership to enable them to see the range of implications  |                   |   |                  |   |                   | CYPS AD S&C                        | Thu-31-Dec-15        | Thu-31-Dec-15    |   |   |
| <b>Reduction</b>                         | 24/1204 - Continue to encourage, support and build capacity to enable schools to work collaboratively in keeping with the outcome of the Schools Commission  |                   |   |                  |   |                   | CYPS AD S&C                        | Fri-30-Sep-16        |                  |   |   |
| <b>Reduction</b>                         | 27/1385 - Continue to support alternative models of school leadership including mergers, federations and informal partnerships which is an S&C lead  |                   |   |                  |   |                   | CYPS AD E&S                        | Sun-31-Jul-16        |                  |   |   |
| <b>Reduction</b>                         | 28/235 - Ensure appropriate resource is available to schools looking at alternative methods of delivery  |                   |   |                  |   |                   | CYPS AD S&C                        | Sun-31-Jul-16        |                  |   |   |
| <b>Reduction</b>                         | 28/454 - Ensure consistent approach corporately to CIL infrastructure funding  |                   |   |                  |   |                   | CYPS AD S&C                        | Sun-31-Jul-16        |                  |   |   |
| <b>Reduction</b>                         | 28/1428 - Continual review of the estate including maintenance requirement (ongoing)   |                   |   |                  |   |                   | AD SR (CYPS) & Prop                | Sun-31-Jul-16        |                  |   |   |
| Phase 4 - Post Risk Reduction Assessment |  |                   |   |                  |   |                   |                                    |                      |                  |   |   |
| <b>Probability</b>                       | L  | <b>Objectives</b> | M   | <b>Financial</b> | H | <b>Services</b>   | M                                  | <b>Reputation</b>    | M                | <b>Category</b>                                   | 3 |



## CYPS Directorate

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| Phase 5 - Fallback Plan |   | Action Manager |
|-------------------------|---|----------------|
| <b>Fallback Plan</b>    | 28/300 - Investigate failure and resolve member briefings, media mgt, | CYPS AD S&C    |



## CYPs Directorate

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| Phase 1 - Identification         |  |                   |   |                  |   |  |                      |                   |                |                     |   |
|----------------------------------|--|-------------------|---|------------------|---|--|----------------------|-------------------|----------------|---------------------|---|
| <b>Risk Number</b>               | 24/213   | <b>Risk Title</b> | 24/213 - 2020 North Yorkshire incl WF development, planning and cultural change within CYPs |                  |   |  | <b>Risk Owner</b>    | CD CYPs           | <b>Manager</b> | AD SR (CYPs) & Prop |   |
| <b>Description</b>               | Failure to effectively deliver the CYPs 2020 Programme including the required workforce development and cultural change resulting in a reduction of quality in service delivery, inability to fully meet current and future financial requirements, internal and external criticism.   |                   |   |                  |   | <b>Risk Group</b>                      | Financial            | <b>Risk Type</b>  |                |                     |   |
| Phase 2 - Current Assessment     |  |                   |   |                  |   |  |                      |                   |                |                     |   |
| <b>Current Control Measures</b>  | CYPs Programme Board; 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 2016/19 discussions taking place with Ads and CYPs WFD Groups; direct involvement of ADs with 2020 work strands; detailed financial planning; cost budget monitoring based on risk assessment of all service areas; training of budget 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 financial planning including fundamental and base budget reviews; budget monitoring arrangements incl role of Directorate staff reviewed as part of "2020 Finance"; contracts and procurement team supporting CYPs consolidated providing a consistency of support across the Directorate and a strengthened gatekeeping for high cost placements; forward procurement plan regularly reviewed; |                   |   |                  |   |  | <b>Effectiveness</b> |                   |                |                     |   |
| <b>Probability</b>               | M  | <b>Objectives</b> | M   | <b>Financial</b> | H | <b>Services</b>                        | H                    | <b>Reputation</b> | H              | <b>Category</b>     | 2 |
| Phase 3 - Risk Reduction Actions |  |                   |   |                  |   |  |                      |                   |                |                     |   |
|                                  |  |                   |   |                  |   | <b>Action Manager</b>                  | <b>Action by</b>     | <b>Completed</b>  |                |                     |   |
| <b>Reduction</b>                 | 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<br>CYPs Prog Board | Fri-30-Sep-16        |                   |                |                     |   |
| <b>Reduction</b>                 | 24/343 - Continue to finalise present year WF Plans and requirements   |                   |   |                  |   | CYPs HoHR                              | Fri-30-Sep-16        |                   |                |                     |   |
| <b>Reduction</b>                 | 24/357 - Discuss and agree method of establishing new ways of working including behaviours (ongoing)   |                   |   |                  |   | CYPs CYPLT<br>CYPs HoHR                | Fri-30-Sep-16        |                   |                |                     |   |
| <b>Reduction</b>                 | 24/414 - Deliver the OD 2020 cross cutting theme across the directorate (ongoing)  |                   |   |                  |   | CYPs HoHR                              | Fri-30-Sep-16        |                   |                |                     |   |
| <b>Reduction</b>                 | 24/415 - Ensure managers have the right skills for the new way of delivering services (ongoing)  |                   |   |                  |   | CYPs CYPLT                             | Fri-30-Sep-16        |                   |                |                     |   |
| <b>Reduction</b>                 | 24/1000 - Focus on individual high risk areas of concern for monitoring processes and systems including assessment of staff involvement  |                   |   |                  |   | AD SR (CYPs) & Prop<br>CSD SR HoFP     | Fri-30-Sep-16        |                   |                |                     |   |
| <b>Reduction</b>                 | 24/1146 - Ensure ownership of budgets by senior managers in CYPs   |                   |   |                  |   | AD SR (CYPs) & Prop                    | Fri-30-Sep-16        |                   |                |                     |   |
| <b>Reduction</b>                 | 24/1148 - Adopt Business Partner approach to ensure service decisions include a full assessment of financial implications  |                   |   |                  |   | CYPs CYPLT                             | Fri-30-Sep-16        |                   |                |                     |   |



## CYPs Directorate

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|   |   |                     |               |                  |   |                 |   |                   |   |                       |                     |
|---|---|---------------------|---------------|------------------|---|-----------------|---|-------------------|---|-----------------------|---------------------|
| <b>Reduction</b>                                | 24/1180 - Consolidate the contracts and procurement team supporting CYPs to provide a consistency of support across the Directorate and a strengthened gatekeeping for high cost placements | AD SR (CYPs) & Prop | Sat-30-Apr-16 | Thu-31-Dec-15    |   |                 |   |                   |   |                       |                     |
| <b>Reduction</b>                                | 24/1189 - Engage fully with the 2020 Stronger Communities and Customer Themes to ensure greatest alignment with service and wider Council needs   | CYPs AD S&C         | Sat-30-Apr-16 |                  |   |                 |   |                   |   |                       |                     |
| <b>Reduction</b>                                | 25/1233 - Continue to enhance procurement profile within service and ensure forward procurement plan is regularly reviewed  | AD SR (CYPs) & Prop | Thu-30-Apr-15 | Thu-31-Dec-15    |   |                 |   |                   |   |                       |                     |
| <b>Phase 4 - Post Risk Reduction Assessment</b> |   |                     |               |                  |   |                 |   |                   |   |                       |                     |
| <b>Probability</b>                              | L   | <b>Objectives</b>   | M             | <b>Financial</b> | M | <b>Services</b> | H | <b>Reputation</b> | M | <b>Category</b>       | 3                   |
| <b>Phase 5 - Fallback Plan</b>                  |   |                     |               |                  |   |                 |   |                   |   |                       |                     |
|   |   |                     |               |                  |   |                 |   |                   |   | <b>Action Manager</b> |                     |
| <b>Fallback Plan</b>                            | 24/246 - Re-prioritise CYPs Spending plans and current procedures   |                     |               |                  |   |                 |   |                   |   |                       | AD SR (CYPs) & Prop |





## CYPS Directorate

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| Phase 1 - Identification                 |  |   |                               |                  |   |                       |                      |                       |                |                 |   |
|--|--|---|-------------------------------|------------------|---|-----------------------|----------------------|-----------------------|----------------|-----------------|---|
| <b>Risk Number</b>                       | 24/249   | <b>Risk Title</b>   | 24/249 - Educational Outcomes |                  |   |                       | <b>Risk Owner</b>    | Chief Exec            | <b>Manager</b> | CD CYPS         |   |
| <b>Description</b>                       | 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. |   |                               |                  |   | <b>Risk Group</b>     | Performance          | <b>Risk Type</b>      |                |                 |   |
| Phase 2 - Current Assessment             |  |   |                               |                  |   |                       |                      |                       |                |                 |   |
| <b>Current Control Measures</b>          |  | 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; the North Yorkshire Education Partnership established; |                               |                  |   |                       | <b>Effectiveness</b> |                       |                |                 |   |
| <b>Probability</b>                       | M  | <b>Objectives</b>   | M                             | <b>Financial</b> | M | <b>Services</b>       | L                    | <b>Reputation</b>     | H              | <b>Category</b> | 2 |
| Phase 3 - Risk Reduction Actions         |  |   |                               |                  |   |                       |                      |                       |                |                 |   |
|  |  |   |                               |                  |   | <b>Action Manager</b> | <b>Action by</b>     | <b>Completed</b>      |                |                 |   |
| <b>Reduction</b>                         | 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           | Wed-31-Aug-16        |                       |                |                 |   |
| <b>Reduction</b>                         | 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           | Sat-30-Apr-16        |                       |                |                 |   |
| <b>Reduction</b>                         | 24/430 - Implement plans to further improve Children in Care educational outcomes  |   |                               |                  |   | CYPS Ho ELAC          | Fri-30-Sep-16        |                       |                |                 |   |
| <b>Reduction</b>                         | 24/1185 - Develop and implement the "Scarborough Education Summit" which collaboratively challenges underachievement   |   |                               |                  |   | CD CYPS               | Fri-30-Sep-16        |                       |                |                 |   |
| <b>Reduction</b>                         | 27/400 - Develop a skills strategy and assessment of needs beginning with Scarborough then roll out to remaining districts in preparation for area review  |   |                               |                  |   | CYPS AD E&S           | Fri-30-Sep-16        |                       |                |                 |   |
| <b>Reduction</b>                         | 27/401 - 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           | Sun-31-Jul-16        |                       |                |                 |   |
| <b>Reduction</b>                         | 27/402 - Establish stronger links with Further and Higher Education establishments   |   |                               |                  |   | CYPS AD E&S           | Sun-31-Jul-16        |                       |                |                 |   |
| Phase 4 - Post Risk Reduction Assessment |  |   |                               |                  |   |                       |                      |                       |                |                 |   |
| <b>Probability</b>                       | L  | <b>Objectives</b>   | M                             | <b>Financial</b> | M | <b>Services</b>       | L                    | <b>Reputation</b>     | H              | <b>Category</b> | 3 |
| Phase 5 - Fallback Plan                  |  |   |                               |                  |   |                       |                      |                       |                |                 |   |
| <b>Fallback Plan</b>                     | 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  |   |                               |                  |   |                       |                      | <b>Action Manager</b> |                |                 |   |
|  |  |   |                               |                  |   |                       |                      | CD CYPS               |                |                 |   |



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| Phase 1 - Identification                 |   |   |  |                  |   |                       |                   |                       |                |                 |   |
|--|---|---|--|------------------|---|-----------------------|-------------------|-----------------------|----------------|-----------------|---|
| <b>Risk Number</b>                       | 24/178  | <b>Risk Title</b>   | 24/178 - Good and Safe Governance Arrangements |                  |   |                       | <b>Risk Owner</b> | Chief Exec            | <b>Manager</b> | CD<br>CYPS      |   |
| <b>Description</b>                       | 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 |   |  |                  |   | <b>Risk Group</b>     | Legislative       | <b>Risk Type</b>      |                |                 |   |
| Phase 2 - Current Assessment             |   |   |  |                  |   |                       |                   |                       |                |                 |   |
| <b>Current Control Measures</b>          |   | Info Gov: Issues, concerns, major breaches discussed at CYPS Leadership Team; periodic information governance updates circulated by CYPS DIGC to all Service Groups; 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 refreshed; Virtual Risk Management Group established with representatives from all service Groups; CYPS Risk Management forum established; |  |                  |   |                       |                   | <b>Effectiveness</b>  |                |                 |   |
| <b>Probability</b>                       | M   | <b>Objectives</b>   | M  | <b>Financial</b> | H | <b>Services</b>       | M                 | <b>Reputation</b>     | H              | <b>Category</b> | 2 |
| Phase 3 - Risk Reduction Actions         |   |   |  |                  |   |                       |                   |                       |                |                 |   |
|  |   |   |  |                  |   | <b>Action Manager</b> | <b>Action by</b>  | <b>Completed</b>      |                |                 |   |
| <b>Reduction</b>                         | 24/1150 - Continue to investigate all information breaches thoroughly and take action against individuals as appropriate.   |   |  |                  |   | CYPS CYPLT            | Fri-30-Sep-16     |                       |                |                 |   |
| <b>Reduction</b>                         | 24/1155 - Continue to review and carry out necessary training relating to move to secure electronic communications where possible   |   |  |                  |   | CYPS HoBS             | Fri-31-Jul-15     | Fri-31-Jul-15         |                |                 |   |
| <b>Reduction</b>                         | 24/1156 - Revise the Emergency response guide for schools   |   |  |                  |   | CYPS AD S&C           | Fri-30-Sep-16     |                       |                |                 |   |
| <b>Reduction</b>                         | 28/1430 - Develop and implement CYPS school related response to Corporate requirements around Radon management, monitoring and mitigation, working at height and roof lights  |   |  |                  |   | AD SR (CYPS) & Prop   | Sun-31-Jul-16     |                       |                |                 |   |
| Phase 4 - Post Risk Reduction Assessment |   |   |  |                  |   |                       |                   |                       |                |                 |   |
| <b>Probability</b>                       | L   | <b>Objectives</b>   | M  | <b>Financial</b> | M | <b>Services</b>       | M                 | <b>Reputation</b>     | H              | <b>Category</b> | 3 |
| Phase 5 - Fallback Plan                  |   |   |  |                  |   |                       |                   |                       |                |                 |   |
|  |   |   |  |                  |   |                       |                   | <b>Action Manager</b> |                |                 |   |
| <b>Fallback Plan</b>                     | 24/527 - Info Gov - More rigorous intensive information governance training for staff & following ICO procedures. H&S - early legal input, media management & Member briefings  |   |  |                  |   |                       |                   | CD<br>CYPS            |                |                 |   |



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| Phase 1 - Identification                 |   |  |                                    |                  |                   |                       |                  |                      |                |                       |   |
|--|---|--|------------------------------------|------------------|-------------------|-----------------------|------------------|----------------------|----------------|-----------------------|---|
| <b>Risk Number</b>                       | 24/250  | <b>Risk Title</b>  | 24/250 - Safeguarding Arrangements |                  |                   | <b>Risk Owner</b>     | Chief Exec       |                      | <b>Manager</b> | CD<br>CYPS            |   |
| <b>Description</b>                       | Failure to have a robust Safeguarding service in place results in risk to vulnerable children, adults and families and not protecting them from harm. |  |                                    |                  | <b>Risk Group</b> | Safeguarding          |                  | <b>Risk Type</b>     |                |                       |   |
| Phase 2 - Current Assessment             |   |  |                                    |                  |                   |                       |                  |                      |                |                       |   |
| <b>Current Control Measures</b>          |   | 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; OFSTED 'good' categorisation; delivery and implementation of the Child Sexual Exploitation (CSE) strategy with the LSCB; |                                    |                  |                   |                       |                  | <b>Effectiveness</b> |                |                       |   |
| <b>Probability</b>                       | L   | <b>Objectives</b>  | H                                  | <b>Financial</b> | H                 | <b>Services</b>       | M                | <b>Reputation</b>    | H              | <b>Category</b>       | 3 |
| Phase 3 - Risk Reduction Actions         |   |  |                                    |                  |                   |                       |                  |                      |                |                       |   |
|  |   |  |                                    |                  |                   | <b>Action Manager</b> | <b>Action by</b> | <b>Completed</b>     |                |                       |   |
| <b>Reduction</b>                         | 22/475 - Agree partnership strategy for Child Sexual Exploitation (CSE) through the LSCB  |  |                                    |                  |                   | CYPS C&F HoS&LAC      | Sat-30-Apr-16    |                      |                |                       |   |
| <b>Reduction</b>                         | 24/431 - Ensure compliance with Safeguarding Board and Children and Families' procedures  |  |                                    |                  |                   | CYPS AD C&F           | Sun-31-Jul-16    |                      |                |                       |   |
| <b>Reduction</b>                         | 24/432 - Contribute to the delivery and implementation of the Child Sexual Exploitation (CSE) strategy with the LSCB                                  |  |                                    |                  |                   | CYPS C&F HoS&LAC      | Sat-31-Oct-15    | Sat-31-Oct-15        |                |                       |   |
| <b>Reduction</b>                         | 24/433 - Continue to raise awareness of the escalation procedures relating to children missing and at risk of CSE                                     |  |                                    |                  |                   | CYPS C&F HoS&LAC      | Sun-31-Jul-16    |                      |                |                       |   |
| <b>Reduction</b>                         | 24/434 - Ensure all cases of children at risk of CSE are flagged on LCS   |  |                                    |                  |                   | CYPS C&F HoS&LAC      | Sun-31-Jul-16    |                      |                |                       |   |
| <b>Reduction</b>                         | 24/1162 - Review of EDT arrangements on a partnership basis (adults, children, Y&NY)  |  |                                    |                  |                   | CYPS AD C&F           | Thu-30-Jun-16    |                      |                |                       |   |
| <b>Reduction</b>                         | 24/1163 - Review of planning structure for Local Safeguarding Board   |  |                                    |                  |                   | CYPS C&F SUM          | Sat-31-Dec-16    |                      |                |                       |   |
| <b>Reduction</b>                         | 24/1197 - Ongoing Mgt file audit of case files against established assessment standards and staff supervision files                                   |  |                                    |                  |                   | CYPS C&F SMT          | Sun-31-Jul-16    |                      |                |                       |   |
| <b>Reduction</b>                         | 24/1199 - Monitoring and management of performance against agreed targets in the SMT action plan  |  |                                    |                  |                   | CYPS C&F SMT          | Sun-31-Jul-16    |                      |                |                       |   |
| Phase 4 - Post Risk Reduction Assessment |   |  |                                    |                  |                   |                       |                  |                      |                |                       |   |
| <b>Probability</b>                       | L   | <b>Objectives</b>  | H                                  | <b>Financial</b> | H                 | <b>Services</b>       | M                | <b>Reputation</b>    | H              | <b>Category</b>       | 3 |
| Phase 5 - Fallback Plan                  |   |  |                                    |                  |                   |                       |                  |                      |                |                       |   |
|  |   |  |                                    |                  |                   |                       |                  |                      |                | <b>Action Manager</b> |   |
| <b>Fallback Plan</b>                     | 24/252 - Carry out necessary review of approach, target underperforming areas and take on lessons learned from any serious case reviews               |  |                                    |                  |                   |                       |                  |                      | CD CYPS        |                       |   |



## CYPS Directorate

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Report Date: 3<sup>rd</sup> March 2016 (pw)

| Phase 1 - Identification         |  |  |  |                  |   |                   |                           |                   |                  |                   |   |
|----------------------------------|--|--|--|------------------|---|-------------------|---------------------------|-------------------|------------------|-------------------|---|
| <b>Risk Number</b>               | 24/221   | <b>Risk Title</b>  | 24/221 - Partnership and Integration with Health |                  |   |                   | <b>Risk Owner</b>         | CD CYPS           | <b>Manager</b>   | All CYPLT members |   |
| <b>Description</b>               | Failure to develop and implement new models of care that will provide better outcomes for children and young people and local communities. This failure will have a negative impact on the development of integrated services, give rise to increased costs to CYPS and cause the loss of opportunities that joint provision may have. |  |  |                  |   | <b>Risk Group</b> | Partnerships              | <b>Risk Type</b>  |                  |                   |   |
| Phase 2 - Current Assessment     |  |  |  |                  |   |                   |                           |                   |                  |                   |   |
| <b>Current Control Measures</b>  |  | 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 refreshed with children's health as a priority and aligned with the CYPS Plan; JSNA; 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; Director of PH annual report focussing on children's health; scope of Health care review agreed; arrangements for services for children with speech, language and communication needs in place; specifications for 0-5 healthy child service in place; |  |                  |   |                   | <b>Effectiveness</b>      |                   |                  |                   |   |
| <b>Probability</b>               | L  | <b>Objectives</b>  | H  | <b>Financial</b> | H | <b>Services</b>   | H                         | <b>Reputation</b> | M                | <b>Category</b>   | 3 |
| Phase 3 - Risk Reduction Actions |  |  |  |                  |   |                   |                           |                   |                  |                   |   |
|                                  |  |  |  |                  |   |                   | <b>Action Manager</b>     | <b>Action by</b>  | <b>Completed</b> |                   |   |
| <b>Reduction</b>                 | 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     | Tue-30-Jun-15    |                   |   |
| <b>Reduction</b>                 | 24/1153 - Continue to 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-30-Sep-16     |                  |                   |   |
| <b>Reduction</b>                 | 24/1161 - Carry out a review of the Partnership Commissioning Unit   |  |  |                  |   |                   | CD CYPS<br>CYPS Incl HoIE | Fri-30-Sep-16     |                  |                   |   |
| <b>Reduction</b>                 | 24/1166 - Review delivery arrangements for Health and Wellbeing Board to support implementation of reporting and performance arrangements (joint with HAS)   |  |  |                  |   |                   | CD CYPS                   | Thu-30-Jun-16     |                  |                   |   |
| <b>Reduction</b>                 | 24/1182 - Ensure effective monitoring of the 5-19 contracts and the in-house healthy lifestyle service   |  |  |                  |   |                   | CYPS S&C CMH              | Thu-31-Mar-16     |                  |                   |   |
| <b>Reduction</b>                 | 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<br>CYPS Incl HoIE | Sun-31-Jan-16     | Sun-31-Jan-16    |                   |   |
| <b>Reduction</b>                 | 24/1203 - Ensure that the CCGs 'future in mind' plans reflect the needs of Children and Young People in N Yorkshire and enable access to the full range of emotional and mental health support   |  |  |                  |   |                   | CYPS AD S&C               | Thu-31-Mar-16     |                  |                   |   |
| <b>Reduction</b>                 | 28/449 - Develop specifications for a recommissioned 0-5 healthy child service aligned to the 5-19 structure   |  |  |                  |   |                   | CYPS S&C CMH              | Sat-30-Apr-16     | Mon-29-Feb-16    |                   |   |



## CYPs Directorate

Risk Register: **month 6 (March 2016) – detailed**  
 Report Date: 3<sup>rd</sup> March 2016 (pw)

|   |  |                   |   |                  |              |                 |   |                       |   |                 |   |
|---|--|-------------------|---|------------------|--------------|-----------------|---|-----------------------|---|-----------------|---|
| <b>Reduction</b>                                | 28/450 - Carry out tender process for future contracts |                   |   |                  | CYPs S&C CMH | Tue-31-May-16   |   |                       |   |                 |   |
| <b>Phase 4 - Post Risk Reduction Assessment</b> |  |                   |   |                  |              |                 |   |                       |   |                 |   |
| <b>Probability</b>                              | L  | <b>Objectives</b> | H | <b>Financial</b> | H            | <b>Services</b> | H | <b>Reputation</b>     | M | <b>Category</b> | 3 |
| <b>Phase 5 - Fallback Plan</b>                  |  |                   |   |                  |              |                 |   | <b>Action Manager</b> |   |                 |   |
| <b>Fallback Plan</b>                            |  |                   |   |                  |              |                 |   |                       |   |                 |   |

