

## NORTH YORKSHIRE COUNTY COUNCIL

## AUDIT COMMITTEE

7 SEPTEMBER 2017

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 outline some of the key service risks and governance developments within the Directorate
- 1.2 To receive details of the updated Risk Register for the Children & 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 People's Services (CYPS), the Committee receives assurance through the work of internal audit (detailed in a separate report to the Committee) and through the Directorate Risk Register.
- 2.2 In previous reports, there has been a section on the Statement of Assurance which sought to identify those items that may give rise to internal control or performance risk issues for the Directorate in the forthcoming year. Under new arrangements, there are no longer directorate based Statements of Assurance but some headlines on key service risks and governance developments are provided at section 3.0

**3.0 KEY GOVERNANCE DEVELOPMENTS AND RISK ISSUES**

- 3.1 There are a number of key governance developments in the forthcoming year which may impact on the Directorate. A number of key headlines are set out below:

**(a) SEND and High Needs Strategic Review**

The LA has a duty to keep its special educational provision under review and to ensure sufficiency in placements to meet the needs of children and young people with special educational needs and/or disabilities (SEND). Consistent with the national trend, NYCC is experiencing an increase (16% in the year to March 2017) in the number of children and young people assessed as requiring Education, Health and Care Plans. In North Yorkshire the majority of children have their needs met in mainstream school but there has been an increased demand for specialist placements. There is significant work currently underway to review the continuum of special educational provision across the county to ensure it is fit for purpose for the future and that the majority of children can have their needs met in North Yorkshire. Work is also underway to identify the necessary capital investment required across the special school estate. Places in

specialist provision have also been increased by 69 places from September 2017 in response to meeting demand locally and minimise higher-cost out-of-county placements.

### **(b) Role of the Local Authority in School Improvement**

The government has indicated that it envisaged a fully academised system and that the role of the local authority would, therefore, diminish. In addition, the government reduced funding for councils through the Education Services Grant (ESG). Whilst government policy has moved away from a forced academised system, it remains clear that this is seen as the general direction of travel. The government is currently refining its thinking on the nature of council responsibilities in terms of school improvement. However, this requires a more focused School Improvement service that also seeks commercial opportunities. Reshaping the service and financial modelling of different scenarios are being developed to identify future operational models and potential savings.

In addition, the North Yorkshire Education Partnership has identified an opportunity to establish a highly strategic streamlined North Yorkshire Education Trust which would advocate for the sector in the county at a local and national level, propose policy and influence strategy.

### **(c) Dedicated Schools Grant (DSG)**

School and education funding uncertainty has arisen given proposals to implement a new national funding formula. There are potential changes in high needs funding and a proposed white paper on the role and responsibilities of the LA in school improvement (described above). In July 2017, the Secretary of State, Justine Greening, announced an extra £1.3 billion for schools and high needs across 2018-19 and 2019-20 as part of a transitional period towards the national funding formula. Gaining authorities will have amounts confirmed based on the final formula in September 2017. The additional funding for schools and high needs will be funded from “savings and efficiencies” in the Department for Education budget – however, details have yet to be clearly set out and how, if at all, this will impact on local authorities.

### **(d) MTFs: 2020 Savings and Budget Pressures**

As part of the Council’s 2020 Savings Programme, CYPS have played a full and active role in the development of savings ideas, with a good record of transforming services and delivering savings. The target has been £15m savings over the period 2015-20 across a range of services. During this period, the Council has seen the demand for some services increase and expectations remain high; within this context, it has been necessary to take a transformational approach. Although the target was front-loaded with £11.3m in 2015-16 and 2016-17, there are strong indications that the delivery of the programme is getting tougher and will be more challenging to deliver. In addition, the programme should not be seen in isolation, but in the context of wider financial pressures that are beginning to emerge, particularly around SEND. Arrangements are supported by sound programme and project management arrangements including formal project teams, a structure of programme board oversight and active monitoring of implementation and impact.

### **(e) Integration of Services**

Opportunities for joint commissioning arrangements have been developed with Health partners, particularly to ensure that speech, language and communication needs are developed and in place. Work continues to contribute to the delivery of the Health & Wellbeing Board in relation to children's health priorities to ensure strategic decision-making is influenced by Young and Yorkshire 2 (the Children and Young People's Plan). However, this is in the context where some health funding contributions for short breaks for disabled children has been withdrawn in 2017-18.

The Directorate has also benefitted from a number of sources of grant funding (e.g. No Wrong Door, Opportunity Areas, Partners in Practice). These have provided short-term funding for investment in innovative approaches to service delivery. Opportunities to ensure and maximise an integrated approach to service delivery within the Directorate will also be explored to ensure strong performance and successful outcomes for children and young people - but that are also financially sustainable.

#### **4.0 DIRECTORATE RISK REGISTER**

4.1 The **Directorate Risk Register** (DRR) is the end product of a systematic process that initially identifies risk at Service Unit level and the 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 The DRR represents the principal risks that may materially impact on the performance and financial outcomes of the Directorate. The CYPS DRR was last reviewed in July 2017. 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 main **amendments** to the risk register since June 2016 which reflect ongoing changes are as follows:

- The previous risk relating to Safely Reducing the LAC Population was changed to Looked After Children.
- The Strategy for Supporting Disabled Children, Young People and their Families has been expanded to include SEND Funding which was previously reported as a separate Directorate risk. The detailed actions against the risk will still be monitored as part of the Inclusion Service risk register.
- The School Organisation: Place Planning and Funding has been amended to School Organisation and Funding which emphasises the risk over the coming year.

- The Good and Safe Governance Arrangements risk was amended to Information Governance. This has previously included health and safety which will continue to be monitored as part of the Education & Skills Service risk register. However, information governance remains a Directorate risk.
- The 2020 North Yorkshire including workforce development, planning and cultural change within CYPS was amended to Planning and Cultural Change within CYPS to deliver 2020 North Yorkshire and address national changes.

4.5 Some examples of actions that have been completed in relation to particular risks since the last report to the Committee include:

- Strategy for Supporting Disabled Children, Young People and their Families – development of a single Disabled Children register. Work also continues to monitor the impact of the implementation of the new delivery model for short breaks.
- Safeguarding Arrangements – the implementation of the MAST has strengthened partnership working providing a single point of contact for referrals and to ensure that early engagement avoids escalation to statutory services.
- Looked After Children – the number of children and young people looked after have reduced from 415 at Q1 2016 to 397 at Q1 2017. The emphasis is on safely managing admissions and discharges to care to prevent, where possible, a rise in the care population.
- Planning and Cultural Change within CYPS to deliver 2020 North Yorkshire and address national changes – work continues on delivering the OD 2020 cross cutting theme across the directorate to ensure that managers and staff have the right skills, attitude and technology for new ways of delivering services. Leadership of the 2020 CYPS programme and project activity continues with regular monitoring at Children & Young People’s Leadership Team incorporating issues arising from programme, budget and funding.
- Educational Outcomes – work continues on the preparation for, and implementation of, the approach to the ‘Scarborough Opportunity Area’ building on the ‘Scarborough Pledge’ to collaboratively challenge educational underachievement.
- Information Governance – the introduction of a digital signature solution enables documents to be sent securely (e.g. HR and procurement contracts).
- Inspection Outcomes – work continues to ensure pre-inspection readiness.
- Partnership and Integration with Health – through the Partners in Practice initiative, work continues to improve joint commissioning arrangements for psychologists and speech and language therapists to improve outcomes for looked after children earlier; some co-location of staff has also been achieved.

**5.0 RECOMMENDATION**

5.1 That the Committee:

- (i) note the updated risk register for the CYPS Directorate; and
- (ii) provide feedback and comments on the CYPS Directorate Risk Register, key risk and governance issues/ developments and any other related internal control matters

Stuart Carlton  
Corporate Director – Children and Young People’s Services

Risk Register: month 0 (July 2017) – detailed

Next Review Due: January 2018

Report Date: 4<sup>th</sup> August 2017 (cpc)

Phase 1 - Identification											
<b>Risk Number</b>	24/211	<b>Risk Title</b>	24/211 - Schools Organisation and Funding				<b>Risk Owner</b>	CD CYPS	<b>Manager</b>	CSD AD SR (AH) CYPS AD E&S	
<b>Description</b>	Failure to assess and manage the combined effects of changes in the national school policy and funding framework, demographics (both rising and falling as a result of housing market changes) 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, insufficient school places, fragmentation due to academisation.					<b>Risk Group</b>	Strategic	<b>Risk Type</b>	Corp 20/205		
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. 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, collaboration guidance and toolkit, review of planning areas to explore the level of need; framework for prioritisation of school organisation issues, briefings provided for elected Members and NY Education Partnership; involvement with White Paper strategic board; liaison with Education Funding Agency (EFA), DfE and Regional Schools Commissioner (RSC)								
<b>Probability</b>	H	<b>Objectives</b>	M	<b>Financial</b>	M	<b>Services</b>	H	<b>Reputation</b>	H	<b>Category</b>	I
Phase 3 - Risk Reduction Actions											
							<b>Action Manager</b>	<b>Action by</b>	<b>Completed</b>		
<b>Reduction</b>	24/209 - Continue to work with and use effective lobbying channels eg Educational Building and Development Officers Group (EBDOG)						CSD AD SR (AH) CYPS AD E&S	Tue-31-Jul-18			
<b>Reduction</b>	24/1151 - Develop arrangements to support the process of academisation, where it has been started, to ensure smooth transfer of schools. Assist groups of schools, where appropriate, to develop locally focused Multi Academy Trusts or other appropriate arrangements						CYPS AD E&S	Tue-31-Jul-18			
<b>Reduction</b>	24/1152 - Assess implications for the market of changes to early years funding						CYPS AD E&S	Tue-31-Jul-18			
<b>Reduction</b>	24/1204 - Continue to encourage, support and build capacity to enable schools to work collaboratively to seek to ensure continued viability						CYPS AD E&S	Tue-31-Jul-18			
<b>Reduction</b>	28/454 - Ensure consistent approach corporately to infrastructure funding, including CIL						CYPS AD E&S	Tue-31-Jul-18			
<b>Reduction</b>	28/1428 - Continual review of the estate including maintenance requirement (ongoing)						CSD AD SR (AH)	Tue-31-Jul-18			
<b>Reduction</b>	28/1432 - Exploit alternative sources of funding for the delivery of new school spaces and encourage free school applications where appropriate						CYPS AD E&S	Tue-31-Jul-18			
<b>Reduction</b>	28/1444 - Develop constructive relationships with the Regional Schools Commissioner and receive their practical support						CYPS AD E&S	Tue-31-Jul-18			



Risk Register: **month 0 (July 2017) – detailed**  
 Next Review Due: **January 2018**  
 Report Date: **4<sup>th</sup> August 2017 (cpc)**

<b>Reduction</b>	28/1445 - Work with the Property team to mitigate risks to the delivery of the 2016/17 and 2017/18 capital plans arising from the transfer of the contract with Mouchel to an in-house arrangement						CYPS AD E&S	Tue-31-Jul-18		
<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>Fallback Plan</b>	28/300 - Investigate failure and resolve member briefings, media mgt,								<b>Action Manager</b>	CYPS AD E&S



Risk Register: month 0 (July 2017) – detailed

Next Review Due: January 2018

Report Date: 4<sup>th</sup> August 2017 (cpc)

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 including SEND				<b>Risk Owner</b>	CD CYPS	<b>Manager</b>	CYPS AD Incl	
<b>Description</b>	Failure to implement the Strategy for supporting Disabled Children, Young People and their Families including SEND 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; development officer; work with fostering on strategic proposal and comms re marketing; reviewed the Partnership with Action for Children for delivery of short breaks in Scarborough; further developed options paper for Short Break proposals and consider the impact of legal rulings on reductions made by other authorities; transformation plans completed;								
<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>	21/142 - Establish method for maintenance and ongoing use of the single Disabled Children register					CYPS Incl HoSEN	Mon-31-Jul-17	Wed-31-May-17			
<b>Reduction</b>	21/341 - Continuation of the plan to build place capacity at Forest Moor school and explore potential for a satellite at Selby.					CYPS AD E&S CYPS AD Incl	Sat-30-Jun-18				
<b>Reduction</b>	21/372 - Structure the required phased implementation of the delivery model, firstly short breaks and then the re-profiling of the work to address the overspend					CYPS AD Incl	Sat-30-Sep-17				
<b>Reduction</b>	21/374 - Implement the Preparing for Adulthood model relating to SEND transition; needs further work to embed particularly work with colleagues in HAS					CYPS AD Incl	Sat-30-Jun-18				
<b>Reduction</b>	21/383 - Review the changes to CRC and Fostering delivery to ensure capacity and contribution to 2020 Inclusion programme; need to maintain priority around personalisation and the hub model from CRC and to conclude work on T&C, quality assurance and the brokerage model with HAS					CYPS Incl HoSEN	Sat-30-Jun-18				
<b>Reduction</b>	21/451 - Transform the function of the Children's Resource Centres to extend the range of support					CYPS AD Incl	Sat-30-Jun-18				
<b>Reduction</b>	21/453 - Early work to secure longer term overnight provision in Scarborough					CYPS AD Incl	Sat-30-Jun-18				
<b>Reduction</b>	21/456 - Issue the SEND strategy and seek to promote the narrative to all stakeholders; draft done, timing will allow inclusion of aspects of ISOS report and SEND inspection					CYPS AD Incl	Sat-30-Sep-17				
<b>Reduction</b>	21/483 - Work with colleagues in C&FS to consider services for all disabled children whose carers request assessments and support.					CYPS AD Incl	Sat-30-Jun-18				
<b>Reduction</b>	24/427 - Dir level – Carry out actions listed in service risk 21/23 'to ensure control of spending for SENDs YP funding'					CYPS AD Incl	Tue-31-Jul-18				
Phase 4 - Post Risk Reduction Assessment											
<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 5 - Fallback Plan											





Risk Register: **month 0 (July 2017) – detailed**  
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<b>Fallback Plan</b>		<b>Action Manager</b>



Risk Register: **month 0 (July 2017) – detailed**  
 Next Review Due: **January 2018**  
 Report Date: **4<sup>th</sup> August 2017 (cpc)**

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 would 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 offer.					<b>Risk Group</b>	Partnerships	<b>Risk Type</b>	Corp 20/47		
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'leads for children for commissioning affecting children and young people and their families; services commissioned for 0-5 and 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; specifications for 0-5 healthy child service in place; 'Future in Mind' strategy reflects the needs of Children and Young People in N Yorkshire; tender process for future contracts; analyses of children's health in N Yorkshire, raising awareness and seeking actions from partner agencies to mitigate risks around children's physical and mental health and to inform commissioning decisions;								
<b>Probability</b>	M	<b>Objectives</b>	H	<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>	21/114 - Continuously improve partnership with CYP & Families, Health Commissioners and SEMH providers through SEMH steering group and SEMH implementation plan						CYPS Incl HoIE	Tue-31-Jul-18			
<b>Reduction</b>	24/415 - Ensure Healthy Child team and Prevention team collaborate effectively to deliver improved outcomes of Children, Young People and Families						CYPS C&F HoPrev	Tue-31-Jul-18			
<b>Reduction</b>	24/416 - Work with the commissioned provider to ensure Mental Health services are effective (ongoing)						CYPS C&F HoRes	Tue-31-Jul-18			
<b>Reduction</b>	24/432 - Address lessons learned from the SEND inspection to strengthen the partnership with Health (ongoing)						CYPS AD Incl	Tue-31-Jul-18			
<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 (ongoing)						CD CYPS	Tue-31-Jul-18			
<b>Reduction</b>	24/1161 - Contribute to the review of the Partnership Commissioning Unit (no formal opportunity provided)						CD CYPS CYPS Incl HoIE	Fri-31-Mar-17	Fri-31-Mar-17		
<b>Reduction</b>	24/1182 - Carry out financial modelling and continue dialogue between Integration and Health						CSD AD SR (HE)	Tue-31-Oct-17			
<b>Reduction</b>	28/439 - Hold regular contract monitoring and quality assurance meetings with providers including on site commissioning visits						CYPS S&C CMH	Sat-30-Jun-18			
Phase 4 - Post Risk Reduction Assessment											



Risk Register: month 0 (July 2017) – detailed  
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<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>											



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Phase 1 - Identification											
<b>Risk Number</b>	24/27	<b>Risk Title</b>	24/27 - Looked After Children				<b>Risk Owner</b>	CD CYPS	<b>Manager</b>	CYPS AD C&F	
<b>Description</b>	Failure to ensure that looked after children arrangements provide sufficient support for those with multiple and complex needs (including work on step down from Tier 4 cases, unaccompanied asylum seeker children and those not receiving 25 hours of education); that the service supports the regionalised adoption service; and ensures sufficient foster carers are recruited; failure to do so results in poorer outcomes for young people, the need for high cost interventions/placements and reputational damage					<b>Risk Group</b>	Performance	<b>Risk Type</b>	C&F 22/181		
Phase 2 - Current Assessment											
<b>Current Control Measures</b>			Placement, permanence and complex decision making forum; 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 service 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; complex needs pathway; short breaks guidance;								
<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>	22/271 - Continue to increase the number of foster carers recruited including the required number of Advanced foster carers						CYPS C&F HoRes	Sat-30-Jun-18			
<b>Reduction</b>	22/272 - Carry out further work to ensure that WD arrangements preserve the quality of foster carer training						CYPS C&F HoRes	Sat-30-Jun-18			
<b>Reduction</b>	22/274 - Effectively monitor and seek to strengthen the challenge to drift in children and young people's care plans						CYPS C&F HoS&LAC	Sat-30-Jun-18			
<b>Reduction</b>	22/462 - Development of integrated pathways for step down from tier 4						CYPS C&F HoS&LAC	Sat-30-Jun-18			
<b>Reduction</b>	22/478 - Continue work around accommodation for young people leaving custody						CYPS C&F HoRes	Sat-30-Jun-18			
<b>Reduction</b>	22/502 - Review the pathway for unaccompanied asylum seekers, including the commissioned service for interpreters						CYPS C&F HoRes	Sun-31-Dec-17			
<b>Reduction</b>	22/1054 - Review and refine process of working between the commissioning and contract teams						CYPS AD C&F	Sun-31-Dec-17			
<b>Reduction</b>	22/1081 - Introduce location of clinicians in prevention, social work, LAC and leaving care teams to prevent children becoming looked after						CYPS AD C&F	Sat-30-Jun-18			
<b>Reduction</b>	22/1082 - Reviewing and piloting of new assessment tool for foster carers						CYPS C&F HoRes	Sat-30-Jun-18			



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<b>Reduction</b>	22/1092 - Explore possible alternative models in relation to those not receiving 25 hours of education					CYPS C&F HoRes	Sat-30-Jun-18				
<b>Phase 4 - Post Risk Reduction Assessment</b>											
<b>Probability</b>	L	<b>Objectives</b>	M	<b>Financial</b>	H	<b>Services</b>	M	<b>Reputation</b>	H	<b>Category</b>	3
<b>Phase 5 - Fallback Plan</b>											
<b>Fallback Plan</b>	24/245 - Review to strengthen commissioning strategy, system controls							<b>Action Manager</b>			
								CYPS AD C&F			



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Phase 1 - Identification											
<b>Risk Number</b>	24/213	<b>Risk Title</b>	24/213 - Planning and Cultural Change within CYPS to deliver 2020 North Yorkshire and Address National Changes				<b>Risk Owner</b>	CD CYPS	<b>Manager</b>	CSD AD SR (AH)	
<b>Description</b>	Failure to maintain a strong change culture, processes and supporting capacity within CYPS to deliver 2020 North Yorkshire and address national funding and policy changes, 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>			Strong platform for WF development including culture around innovation and change; leadership capacity and experience in place; strength in operational workforce in place; ability to address further challenges relating to changes in policy; authority well engaged and connected to national agenda and therefore better placed to be proactive in positive planning; previous experience of successful delivery of financial challenges faced (savings target met creating confidence in ability); strong collaborative working with colleagues such as Finance, Performance and HR; monitoring of the overall CYPS & Organisational OD requirements via Programme managers & NY2020 Operational Group; direct involvement of ADs with 2020 work strands; detailed financial planning; cost budget monitoring based on risk assessment of all service areas; review of Directorate resources carried out; training of budget managers and support staff; guidance materials; collective responsibility for budget; maximum use of technology enhanced procurement profile; data system review; forward procurement plan regularly reviewed; Business Partner approach adopted to ensure service decisions include al full assessment of financial implications;								
<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 - Maintain leadership of programme and project activity and ensure regular monitoring and report to CYPLT of progress on all 2020 North Yorkshire programmes; ensure scheduled quarterly reviews of Directorate resource requirements to support programme takes place; ensure link to planning of workforce capacity to meet the changing context						CSD AD SR (AH) CYPS Prog Board	Sun-30-Sep-18			
<b>Reduction</b>	24/414 - Deliver the OD 2020 cross cutting theme across the directorate and ensure managers have the right skills, attitude and technology for the new way of delivering services (ongoing)						CYPS HoHR	Sun-30-Sep-18			
<b>Reduction</b>	24/1000 - Retain focus on individual high risk areas of concern for monitoring processes and systems including assessment of staff involvement						CSD AD SR (AH) CSD SR HoFP	Sun-30-Sep-18			
<b>Reduction</b>	24/1146 - Ensure strong continued budget management by staff at all levels within the Directorate						CSD AD SR (AH)	Sun-30-Sep-18			
<b>Reduction</b>	24/1149 - Develop proposed operating models in Education in response to changing national expectations for consideration as appropriate by Executive						CD CYPS	Sun-30-Sep-18			
<b>Reduction</b>	24/1187 - Monitor the potential financial impact of proposed changes to Early Years, Schools and Local Authorities funding methodologies and advise Management Board and Executive as appropriate of any potential impact on the Council's 2020 savings profile						CD CYPS CSD AD SR (AH)	Fri-31-Aug-18			
<b>Reduction</b>	24/1189 - Continue to engage fully with the 2020 Stronger Communities and Customer Themes to ensure greatest alignment with service and wider Council needs; continue to ensure CYPS strategic link to Customer Theme is well established through SLT representative Programme Managers						CSD SR T&C SPM (2020) CYPS AD Incl	Mon-30-Apr-18			
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>	M	<b>Category</b>	3



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Phase 5 - Fallback Plan		Action Manager
<b>Fallback Plan</b>	24/246 - Re-prioritise CYPS Spending plans and strategic approaches	CYPS LT



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Phase 1 - Identification											
Risk Number	24/249	Risk Title	24/249 - Educational Outcomes					Risk Owner	CD CYPS	Manager	CYPS AD E&S
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	E&S 27/19	
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 Unlocked Programme; alternative models of school leadership including mergers, federations, MATs and informal partnerships promoted; the North Yorkshire Education Partnership established; skills strategy and assessment of needs developed in preparation for area review; stronger links with the LEP through a joint post in place;								
Probability	M	Objectives	M	Financial	M	Services	L	Reputation	H	Category	2
Phase 3 - Risk Reduction Actions											
							Action Manager	Action by	Completed		
Reduction	24/353 - Ensure leadership including governance and release of commissioning capacity in the context of the Improvement Partnerships within the context of the shift to Sector Led Improvement						CYPS AD E&S	Tue-31-Jul-18			
Reduction	24/428 - Ensure effective implementation of the local 'Raising achievement of vulnerable learners' innovation programme and monitoring of the impact of the projects funded through this programme, given the reduction in funding in this area						CYPS AD E&S	Tue-31-Jul-18			
Reduction	24/430 - Continue to implement plans to further improve Children in Care educational outcomes particularly with the focus on progress						CYPS Ho ELAC	Tue-31-Jul-18			
Reduction	24/498 - Continue the relevant strategies around outcome for the post 16 Area Review						CYPS AD E&S	Tue-31-Jul-18			
Reduction	24/1185 - Develop and implement the approach to the 'Scarborough Opportunity Area' which builds on the 'Scarborough Pledge' and collaboratively challenges underachievement						CD CYPS	Tue-31-Jul-18			
Reduction	27/401 - Working together under the North Yorkshire Learning Trust and the LEP umbrella to establish stronger links with colleges, businesses and employers						CYPS AD E&S	Tue-31-Jul-18			
Reduction	27/1372 - Complete the evaluation of the school improvement service to ensure it remains fit for need; paper to CYPLT in July with work to follow						CYPS AD E&S	Tue-31-Jul-18			
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	M	Financial	M	Services	L	Reputation	H	Category	3
Phase 5 - Fallback Plan											
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								Action Manager		CD CYPS





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Phase 1 - Identification											
<b>Risk Number</b>	24/178	<b>Risk Title</b>	24/178 - Information Governance				<b>Risk Owner</b>	Chief Exec		<b>Manager</b>	CD CYPS
<b>Description</b>	Failure to ensure that good information governance arrangements are in place throughout the Directorate resulting in data breach, possible prosecution, claims, media attention, fines					<b>Risk Group</b>	Legislative		<b>Risk Type</b>		
Phase 2 - Current Assessment											
<b>Current Control Measures</b>			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, double checking process for outgoing sensitive mail, issues shared on CYPS Risk Management forum pages and move to secure electronic communications where possible; Strategic Support data governance team;								
<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>	24/359 - Work closely with the new Data Governance team in Strategic Support					CYPS CYPLT	Sun-30-Sep-18				
<b>Reduction</b>	24/474 - Review and update the information asset registers in line with policy guidelines					CYPS CYPLT	Sat-30-Sep-17				
<b>Reduction</b>	24/476 - Implement new and / or revised information governance actions agreed at Corp Info Gov Group as appropriate for the Directorate (ongoing)					CYPS CYPLT	Sun-30-Sep-18				
<b>Reduction</b>	24/500 - Continue work on converting paper based communications to electronic communications					CYPS CYPLT	Sun-30-Sep-18				
<b>Reduction</b>	24/1150 - Continue to investigate all information breaches thoroughly and take action against individuals as appropriate.					CYPS CYPLT	Sun-30-Sep-18				
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>Fallback Plan</b>	24/527 - More rigorous intensive information governance training for staff & following ICO procedures									<b>Action Manager</b>	CD 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>	CD CYPS		<b>Manager</b>	CYPS AD C&F
<b>Description</b>	Failure to have a robust approach to Safeguarding is 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>	C&F 22/252	
Phase 2 - Current Assessment											
<b>Current Control Measures</b>			LSCB Safeguarding website; regularly reviewed procedures; practice standards issued to teams to support consistent practice; monthly performance data which is monitored regularly to seek assurance over key performance headlines; case file audit process; manager authorisation of all assessments; ICS; newly formed integrated family support service; training strategy; clear supervision process which is audited on a regular basis; strengthened Multi agency screening team (MAST); OFSTED 'good' categorisation; delivery and implementation of the VEMT approach with the LSCB; working with colleagues and the CCG lead to ensure appropriate resources available for complex young people;								
<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>	22/407 - Introduction of 'Practice Weeks' where managers will visit locations to observe and review practice						CYPS C&F SMT	Sat-30-Jun-18			
<b>Reduction</b>	24/431 - Ensure compliance with Safeguarding Board and Children and Families' procedures						CYPS AD C&F	Sat-30-Jun-18			
<b>Reduction</b>	24/433 - Continue the new developments with the MAST to strengthen responses to children and young people who go missing or who are vulnerable to CSE by improved intelligence and information sharing arrangements						CYPS C&F HoS&LAC	Sat-30-Jun-18			
<b>Reduction</b>	24/434 - Ensure where there is a concern that a young person is being exploited that the Bedfordshire risk assessment tool is always completed						CYPS C&F HoS&LAC	Tue-31-Jul-18			
<b>Reduction</b>	24/1162 - Feed into review of EDT arrangements (adult lead); main submission into review made but ongoing liaison will continue						CYPS AD C&F	Sat-30-Jun-18			
<b>Reduction</b>	24/1197 - Ongoing Mgt file audit of case files against established assessment standards and staff supervision files						CYPS C&F SMT	Sat-30-Jun-18			
<b>Reduction</b>	24/1199 - Monitoring and management of performance against agreed targets in the SMT action plan						CYPS C&F SMT	Sat-30-Jun-18			
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			

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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 CYPLT	
<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>	E&S 27/13		
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 and TSAs 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>Probability</b>	L	<b>Objectives</b>	M	<b>Financial</b>	L	<b>Services</b>	H	<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>	22/1051 - Continual review of policies and procedures and update as required to ensure new guidance and procedures are embedded						CYPS LT	Sun-30-Sep-18			
<b>Reduction</b>	22/1052 - Ensure consultation with and participation of service users to inform service delivery and design						CYPS AD Incl	Sun-30-Sep-18			
<b>Reduction</b>	24/358 - Discuss and carry out training and awareness raising around the gravity of inspections, for colleagues who support CYPS on matters such as Procurement						CYPS HoHR	Sat-30-Jun-18			
<b>Reduction</b>	24/497 - Ensure areas of development following SEND inspection are embedded in the updated SEND strategy which will be monitored by the SEND strategy group (ongoing)						CYPS AD Incl	Sun-30-Sep-18			
<b>Reduction</b>	24/524 - Review the inspection frameworks relating to CYPS and embed a section on inspection prep in every Q report to CYPLT and service, including key performance indicators and narrative description of performance (ongoing)						CSD HoS&P	Sun-30-Sep-18			
<b>Reduction</b>	24/525 - Continue to ensure all statutory returns are signed off by services prior to submission, with a brief summary included in Q reports along with performance data (ongoing)						CSD HoS&P	Sun-30-Sep-18			
<b>Reduction</b>	24/526 - Maximise the benefit of benchmarking and learning derived from regional sector led improvement activity (ongoing)						CSD HoS&P	Sun-30-Sep-18			
<b>Reduction</b>	24/527 - Work with services to support the development of Self Evaluation Frameworks where appropriate, including monitoring feedback from other inspections in order to strengthen our own services (ongoing)						CSD HoS&P	Sun-30-Sep-18			
<b>Reduction</b>	24/1179 - Ensure pre inspection readiness by carrying out identified actions, monitoring outcomes and assessing their impact (ongoing)						CYPS AD C&F CYPS AD Incl	Sun-30-Sep-18			



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<b>Reduction</b>	24/1204 - Continue to encourage, support and build capacity to enable schools to work collaboratively to seek to ensure continued viability	CYPS AD E&S	Tue-31-Jul-18	
<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 (ongoing)	CYPS AD E&S	Tue-31-Jul-18	
<b>Reduction</b>	27/392 - More rigorous risk assessment leading to earlier intervention and support, including early use of statutory powers	CYPS AD E&S	Tue-31-Jul-18	
<b>Reduction</b>	27/1401 - Ensure accurate school and setting self-evaluation and effective school development plans (on-going)	CYPS AD E&S	Tue-31-Jul-18	
<b>Reduction</b>	27/1402 - Continue to work with a range of external partners, (DfE, RSC and Ofsted) to understand their concerns and have shared dialogue within a changing context	CYPS AD E&S	Tue-31-Jul-18	
<b>Reduction</b>	27/1405 - Commission external support and/or develop leadership capacity as required eg TSAs, Academies and NLEs	CYPS AD E&S	Tue-31-Jul-18	

**Phase 4 - Post Risk Reduction Assessment**

<b>Probability</b>	L	<b>Objectives</b>	M	<b>Financial</b>	L	<b>Services</b>	H	<b>Reputation</b>	H	<b>Category</b>	3
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**Phase 5 - Fallback Plan**

<b>Fallback Plan</b>		<b>Action Manager</b>	
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