

**NORTH YORKSHIRE COUNTY COUNCIL****AUDIT COMMITTEE****26 OCTOBER 2020****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 related issues within the Directorate
- 1.2 To provide 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 addition, this report provides some headlines on key service risks and governance developments.

**3.0 KEY GOVERNANCE DEVELOPMENTS AND RISK ISSUES**

- 3.1 The main areas of note for the Directorate are set out below:

**(a) Covid-19**

The emergence of Covid-19 in March 2020 has had an extensive and sustained impact on the operation of many aspects of the Directorate. This report provides a high-level update on the response and activity in the Directorate.

Prior to the national 'lockdown' restrictions, the local authority provided support to all schools and academies in North Yorkshire to move to a state of partial closure with approximately 24 hours' notice. Schools and academies remained open for the children of key workers and vulnerable children. The local authority rapidly deployed dedicated capacity to provide expert guidance and advice – drawing on multi-disciplinary professionals from school improvement, finance, HR, school transport, health and safety, facilities management (catering, cleaning and property), procurement, IT and project management.

Advice included risk assessments for the establishment of 'bubbles', operating partially-opened schools, September re-opening of schools, operation of supplier

relief advice to schools, financial management advice to schools including covid-19 cost claim reimbursement, furloughing advice and, staffing advice to schools (in relation to staff that were shielding, self-isolating, operating rotas, sharing resources between schools and staff testing). Risk assessment advice was also provided in relation to vulnerable children and young people, and children with Education, Health and Care Plans (EHCPs).

Working with North Yorkshire school leaders and trade unions, the local authority established 'hub' provision throughout 'lockdown' for the children of key workers and vulnerable children including Easter school holidays, bank holidays and weekends.

Governing Bodies and Schools Forum have been supported to meet remotely and the local authority has supported schools with resources for online and home learning.

Within the Early Years sector, a stakeholder forum was established early-on during lockdown; the LA has maintained engagement with the sector throughout the pandemic with representatives of LA maintained nurseries, day care, childminders and private and voluntary settings. An Early Years support package was established to ensure appropriate cash-flow support and targeted additional financial support.

In line with corporate guidelines, the Directorate adapted to working from home where possible, using Skype to operate as effectively as possible. Safeguarding remained largely face-to-face and the Directorate continued to support c.450 children in care as well as care leavers.

As reported through the Central Services report to the Audit Committee in July 2020, a significant challenge was ensuring the availability and provision of personal protective equipment to ensure the safety of individuals as well as keeping the reproductive value of the virus ('r number') as low as possible.

As schools and academies have re-opened from September, the Directorate has worked closely with public health colleagues to support a number of covid-19 related outbreaks and incidents.

## **(b) Children and Families**

Impacted by Covid-19, the children's and safeguarding teams experienced a reduction in the number of referrals during the 'lockdown' period. Although referrals had returned to expected levels by the start of September, nationally – and locally – there is some concern that as pupils return to school, there may be a 'spike' in referrals. Safeguarding teams and CYPLT are closely monitoring performance data and are prepared to respond to local and/or county-wide issues which may be impacted by any potential local, covid-related public health measures.

## **(c) School Funding**

2018-19 saw the introduction of a transitional period towards the national funding formula. Due in part to Covid-19, it is likely that this transitional period will continue to at least March 2022, although the local authority remains particularly concerned for small, rural secondary schools. Although the Department for Education have

indicated that they will review sparsity funding for secondary schools for the financial year 2022 to 2023, the local authority remains concerned that the response has been delayed and that it is insufficient to meet the current financial challenges reported by schools. Aggregate accumulated surplus balances for all LA maintained schools have decreased in 2019-20. Aggregate surplus balances for both secondary and special schools have continued to decrease and the local authority will undertake further work in 2020-21 to support and challenge schools to develop recovery plans where these are not already in place.

#### **(d) SEND and High Needs**

The LA continues to experience a significant increase in the number of children and young people assessed as requiring an Education, Health and Care Plan (EHCP). The accumulated deficit on high needs (i.e. funding for children with additional needs) at the end of March 2020 amounted to £6.1m. Additional High Needs funding allocated by DfE for 2020-21 have reduced the projected in-year deficit to c.£4m which, if confirmed, would result in an accumulated deficit of c.£10m by end-March 2021.

In July 2020, the DfE announced further funding for High Needs, which is greatly welcomed but is unlikely to be sufficient to address the in-year deficit when taking into account rising demand. However, the local authority is cautiously optimistic that the third year of the school funding settlement will direct additional funds towards high needs to support the 'repayment' of the unfunded accumulated deficit. This is particularly important given regulatory changes in February 2020 imposed by DfE, which effectively prohibit the local authority from using LA general resources for school or high needs purposes.

The SEND Strategic Plan is now in the second year of delivery with substantial progress achieved including re-commissioning Enhanced Mainstream Schools through targeted provision, reorganisation of Pupil Referral Services and Alternative Provision, restructuring inclusion support services to provide a locality hub-based model, development of locality boards, and implementation of a new model for the education of pupils with medical needs.

#### **(e) CYPS Risk Management Group**

The Directorate continues to operate a CYPS Risk Management Group to provide a focal point for risk management, resources and activities across all service areas, to identify and share both issues of concern and best practice in risk management, health and safety, and information security. The Group is co-chaired by the Assistant Director – Education and Skills (Directorate Risk Management Champion) and Assistant Director – Strategic Resources. Attendance has been strong with senior stakeholders from across the Directorate supported by professional advice from central risk, health and safety and information governance teams. A summary of relevant information and issues is a regular feature in the Children and Young People's Leadership Team meetings.

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

The Directorate continues to work towards delivery of over £4M of savings in the period 2020 through to 2024. The Directorate has recently implemented a number of significant restructures in Children and Families, Inclusion and School

Improvement supported by the implementation of new strategies including an Early Help strategy, Strategic Plan for SEND 0-25 and a school improvement strategy. Programme delivery arrangements are supported by rigorous programme and project management arrangements with strategic programme board oversight and active monitoring of implementation and impact.

#### **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 March 2020. The detailed DRR is shown at **Appendix A** and shows a range of risks and the risk reduction actions which have been put in place to minimise them. A summary of the DRR is also attached at **Appendix B**.

4.4 There are a few changes to the risk register since the last report to the Audit Committee in June 2020. The main change is as follows:

- **NEW: Childhood Futures:** risk of a failure to deliver the Childhood Futures strategic partnership arrangements, re-aligning and joining together several essential services for children and families into a brand-new integrated services model working collaboratively with CYPS services, health partners and communities to improve the health and wellbeing of children and families. Governance and resources have been reviewed during September to ensure sufficient capacity to take forward the programme of activity.

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

- **School Organisation and Funding:** The Directorate has implemented a framework to support, challenge and, where necessary, intervene in school finances and school organisation to ensure good or outstanding provision in financially sustainable schools. Financial conditions have been imposed on a number of local authority schools sponsored to become academies and currently, notices of financial concern have been issued to four schools.

- School Funding Challenges: the Directorate continues to lobby MPs and DfE for a fairer funding deal for schools and pupils in North Yorkshire. The LA co-ordinated a regional survey of high needs budget pressures and school funding issues. The results of the survey were used in lobbying. An update to the survey was commenced in Spring 2020 but has been delayed due to the impact of Covid-19.
- Partnership and Integration with Health: Work on reshaping the Healthy Child Programme has commenced and the Directorate has started a review of Continued Care arrangements including Health contributions.
- Looked After Children – a review of the pathway and accommodation requirements for unaccompanied asylum seeking children and the commissioned service for interpreters has been completed.
- Education Outcomes – the restructure of the School Improvement Service was implemented in January 2020 alongside the introduction of a new school improvement strategy. A post-implementation review will be undertaken to monitor effectiveness.
- Information Governance and Health and Safety: events have been held for schools (with HSE input) to help raise awareness of the risk of construction activities in schools.

## **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 6 (March 2020) – detailed

Next Review Due: September 2020

Report Date: 16<sup>th</sup> June 2020 (pw)

Phase 1 - Identification											
<b>Risk Number</b>	24/259	<b>Risk Title</b>	24/259 - SEND High Need Budget				<b>Risk Owner</b>	CD CYPS	<b>Manager</b>	CYPS AD Incl	
<b>Description</b>	Risk of further increased pressure on the budget given the current legislative framework, increased demand for specialist provision up to age 25 and budget reduction pressure resulting in negative impact on DSG, poor service performance and 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 Schools Forum; robust data available; management of out-of-authority placements spend; implementing Personal Learning Pathways; Schools Forum approved funding framework; FE network; central contracting and commissioning service; local transition groups in place; budget reviewed incl. roles and responsibilities; revised Resource Allocation System weightings; Strategic plan for SEND Education provision issued; Implemented the urgent actions from the Strategic Plan and those extra actions identified outside of the plan (eg. profile raising with schools and settings, buffering the spend across the year, reprofiling PRS and EMS); use of top up funding for children with SEN support to reduce need for stat assmnt request; approval for the transfer of part of the DSG to the High Needs Block for 2019/20;								
<b>Probability</b>	H	<b>Objectives</b>	M	<b>Financial</b>	H	<b>Services</b>	H	<b>Reputation</b>	M	<b>Category</b>	1
Phase 3 - Risk Reduction Actions											
							<b>Action Manager</b>	<b>Action by</b>	<b>Completed</b>		
<b>Reduction</b>	21/443 - Continue to ensure the Schools Forum is aware of the funding risks and challenges it faces						CYPS AD Incl	Fri-31-Jul-20			
<b>Reduction</b>	21/444 - Continue to work towards the Strategic Plan aims of early identification of children with SEN and provision of timely support and services (included those that are jointly commissioned) to meet that need thereby reducing the requirement for more costly interventions later,						CYPS Incl HoIE	Thu-30-Apr-20			
<b>Reduction</b>	21/448 - Continue to build local capacity to cope with need, undertaking the work needed to reshape SEND provision in North Yorkshire so that it is fit for purpose and addresses the gaps in provision, underpinned by the strategic plan						CYPS AD Incl	Wed-30-Sep-20			
<b>Reduction</b>	21/452 - Reduced the funding delegation which can be authorised by officers to ensure more scrutiny of agreements; Independent review of decision making to be carried out; full session planned in Feb 2020 to clarify officer authorisation						CYPS AD Incl	Thu-30-Apr-20			
<b>Reduction</b>	21/460 - Work to maintain contributions from HAS and Health on a case by case basis as part of the new transitions process; good case by case work being carried						CYPS AD Incl	Fri-31-Jul-20			
<b>Reduction</b>	21/484 - Continue to embed the use of the funding template to better understand and challenge the costs of out of county placements; ongoing work with support from procurement to challenge on a place by place basis						CYPS AD Incl	Fri-31-Jul-20			
<b>Reduction</b>	21/519 - Continue to progress the good work with partners to build choice at post 16 and post 19						CYPS AD Incl	Fri-31-Jul-20			
<b>Reduction</b>	21/536 - Review consistency of ARO function in terms of discussing placements with families including sourcing more flexible arrangements established special school forum ½ termly meetings to look at paces that may become high cost						CYPS AD Incl	Thu-30-Apr-20			
<b>Reduction</b>	21/990 - Continue active engagement at a regional and national level into the SEN funding changes and their impact (Government announcement early September to increase funding for SEND. Awaiting information on the impact for North Yorkshire High Needs Block)						CYPS AD Incl	Fri-31-Jul-20			

## CYPs Directorate

Risk Register: **month 6 (March 2020) – detailed**

Next Review Due: **September 2020**

Report Date: **16<sup>th</sup> June 2020 (pw)**

Phase 4 - Post Risk Reduction Assessment											
Probability	H	Objectives	M	Financial	M	Services	H	Reputation	M	Category	1
Phase 5 - Fallback Plan											
										Action Manager	
Fallback Plan	21/212 - Redirection of resources from areas that have achieved savings									CYPs AD Incl	

## CYPS Directorate

Risk Register: **month 6 (March 2020) – detailed**

Next Review Due: **September 2020**

Report Date: **16<sup>th</sup> June 2020 (pw)**

Phase 1 - Identification											
<b>Risk Number</b>	24/211	<b>Risk Title</b>	24/211 - Schools Organisation and Capital Funding for places				<b>Risk Owner</b>	CD CYPS	<b>Manager</b>	CSD AD SR (HE) CYPS AD E&S	
<b>Description</b>	Failure to assess and manage the combined effects of changes in the national school policy and capital funding for places 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, increased public dissatisfaction, and loss of confidence in the County Council as local authority.					<b>Risk Group</b>	Strategic	<b>Risk Type</b>	E&S 27/170		
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 Team Around the School 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); successful funding obtained for free special school in Selby delivering circa 100 places; Approach implemented to ensure that schools are financially sustainable in the medium-term;								
<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 to achieve a fairer funding outcome for North Yorkshire on both revenue and capital eg Educational Building and Development Officers Group (EBDOG)						CSD AD SR (HE) CYPS AD E&S	Fri-31-Jul-20			
<b>Reduction</b>	24/575 - Implement an approach to support, challenge and, if necessary, intervene in school organisation to ensure that schools are financially sustainable in the medium-term.						CSD AD SR (HE)	Tue-31-Mar-20	Tue-31-Mar-20		
<b>Reduction</b>	24/1151 - Develop arrangements to co-ordinate support for the process of academisation, to ensure smooth transfer of schools.						CYPS AD E&S	Fri-31-Jul-20			
<b>Reduction</b>	24/1204 - Continue to encourage, support and build capacity to enable schools to work collaboratively to seek to ensure continued viability and financial sustainability with a small and rural school focus						CSD AD SR (HE) CYPS AD E&S	Fri-31-Jul-20			
<b>Reduction</b>	27/318 - Work with Schools where increasing the physical capacity is required to meet the need for increased early years and childcare provision						CSD AD SR (HE) CYPS AD E&S	Fri-31-Jul-20			
<b>Reduction</b>	27/617 - Refresh the developer contribution policy in response to new s106 guidance						CYPS AD E&S	Sun-31-May-20			
<b>Reduction</b>	28/454 - Ensure consistent approach corporately to infrastructure funding, including CIL; ongoing established groups through the IDSG approach						CYPS AD E&S	Fri-31-Jul-20			
<b>Reduction</b>	28/1428 - Continual review of the estate including maintenance requirement (ongoing) including developing proposals around the Special School and PRS estate; complete a review of requirements by Dec 2019						CSD AD SR (HE) CYPS AD Incl	Wed-31-Mar-21			
<b>Reduction</b>	28/1432 - Exploit alternative sources of funding for the delivery of new school spaces and encourage free school applications where appropriate;						CSD AD SR (HE) CYPS AD E&S	Mon-31-Aug-20			



## CYPS Directorate

Risk Register: **month 6 (March 2020) – detailed**

Next Review Due: **September 2020**

Report Date: **16<sup>th</sup> June 2020 (pw)**

<b>Reduction</b>	28/1444 - Develop constructive relationships with the Regional Schools Commissioner and receive their practical support				CYPS AD E&S	Fri-31-Jul-20					
<b>Reduction</b>	28/1445 - Work with the Property team to mitigate risks to deliver the 2018/19 and 2019/20 capital plans to ensure school place sufficiency and no depreciation of the estate				CYPS AD E&S	Fri-31-Jul-20					
<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>	28/300 - Fundamental review of school organisation, increased intervention in schools, increased withdrawal of financial delegation, imposition of Interim Executive Boards to replace Governing Bodies,										CYPS AD E&S

## CYPS Directorate

Risk Register: **month 6 (March 2020) – detailed**

Next Review Due: **September 2020**

Report Date: **16<sup>th</sup> June 2020 (pw)**

Phase 1 - Identification											
<b>Risk Number</b>	24/277	<b>Risk Title</b>	24/277 - Schools Funding Challenges				<b>Risk Owner</b>	Chief Exec	<b>Manager</b>	CD CYPS	
<b>Description</b>	Inadequate revenue and capital funding available for good quality schools, maintenance of school infrastructure and to ensure the sustainability of small rural schools; poor financial management or failure to act in a timely manner by governors/head teachers DfE impose further restrictions on LA financial freedoms, results in potential accumulated deficits. Lack of investment in special provision such as special schools results in potential increased costs.					<b>Risk Group</b>	Resources	<b>Risk Type</b>	Corp 20/239		
Phase 2 - Current Assessment											
<b>Current Control Measures</b>			Support challenge and intervention framework in place; survey of all schools to benchmark their position on issues such as staff reduction, increased class sizes and commercial activities; licence to deficits; recovery plans, financial benchmarking; primary and secondary finance conferences; individual discussions with schools; Schools Forum engagement; governor briefings; Lobbying of Govt and MPs regarding schools' financial position carried out; outcome of schools survey benchmarking at Schools Forum completed, encourage a larger take-up for a further regional survey in order to provide 'real' information to Govt;								
<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>Reduction</b>	24/416 - Ensure regular monitoring at management board and CYPS Overview and scrutiny committee of financial challenges for schools to highlight the present financial position to ensure immediate and emerging challenges are addressed. (ongoing)					<b>Action Manager</b>	CD CYPS CSD AD SR (HE)	<b>Action by</b>	Fri-31-Jul-20	<b>Completed</b>	
<b>Reduction</b>	24/562 - Implement a support challenge and intervention framework to assist/instruct schools to take measures to address their financial position.					<b>Action Manager</b>	CSD AD SR (HE)	<b>Action by</b>	Tue-31-Mar-20	<b>Completed</b>	Tue-31-Mar-20
<b>Reduction</b>	24/563 - Continue to lobby Ministers, local MP and through F40 Group (ongoing)					<b>Action Manager</b>	CD CYPS	<b>Action by</b>	Fri-31-Jul-20	<b>Completed</b>	
<b>Reduction</b>	24/572 - Carry out press release and lobby Govt and MPs following outcome of survey benchmarking of schools positions					<b>Action Manager</b>	CD CYPS	<b>Action by</b>	Sun-30-Jun-19	<b>Completed</b>	Sun-30-Jun-19
<b>Reduction</b>	24/573 - Present outcome of schools survey benchmarking at Schools Forum (completed Sept 2019) and encourage a larger take-up for a further regional survey in order to provide 'real' information to Government					<b>Action Manager</b>	CSD AD SR (HE)	<b>Action by</b>	Tue-31-Dec-19	<b>Completed</b>	Tue-31-Dec-19
<b>Reduction</b>	24/574 - Deploy finance staff into schools with the biggest financial challenges to undertake financial consultancy to ensure schools balance their budget within 3 years.					<b>Action Manager</b>	CSD AD SR (HE)	<b>Action by</b>	Wed-30-Sep-20	<b>Completed</b>	
<b>Reduction</b>	24/602 - Define and secure appropriately experienced resources to provide a support and challenge function for schools and academies					<b>Action Manager</b>	CSD AD SR (HE)	<b>Action by</b>	Wed-30-Sep-20	<b>Completed</b>	
<b>Reduction</b>	24/641 - Develop and implement an approach to integrated curriculum and financial planning and support and encourage collaboration and federation					<b>Action Manager</b>	CSD AD SR (HE)	<b>Action by</b>	Wed-30-Sep-20	<b>Completed</b>	
<b>Reduction</b>	24/1152 - Develop a business case (in final consultation Mar 2020) for special provision across the County to ensure value for money					<b>Action Manager</b>	CSD AD SR (HE) CYPS AD Incl	<b>Action by</b>	Wed-31-Mar-21	<b>Completed</b>	
<b>Reduction</b>	24/1182 - Implement outcome of review of special provision					<b>Action Manager</b>	CSD AD SR (HE) CYPS AD Incl	<b>Action by</b>	Wed-31-Mar-21	<b>Completed</b>	

## CYPS Directorate

Risk Register: **month 6 (March 2020) – detailed**

Next Review Due: **September 2020**

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Phase 4 - Post Risk Reduction Assessment											
Probability	M	Objectives	M	Financial	M	Services	M	Reputation	M	Category	4
Phase 5 - Fallback Plan											
										Action Manager	
Fallback Plan	24/562 - Further fundamental review to ensure control of accumulated deficits									CD CYPS	

## CYPS Directorate

Risk Register: **month 6 (March 2020) – detailed**

Next Review Due: **September 2020**

Report Date: **16<sup>th</sup> June 2020 (pw)**

Phase 1 - Identification											
<b>Risk Number</b>	24/276	<b>Risk Title</b>	24/276 - Childhood Futures				<b>Risk Owner</b>	CD CYPS	<b>Manager</b>	CYPS AD Incl	
<b>Description</b>	Failure to deliver the Childhood Futures strategic partnership arrangements, re-aligning and joining together several essential services for children and families into a brand-new integrated services model working collaboratively with CYPS services, health partners and communities to improve the health and wellbeing of children and families, failure would result in poorer outcomes on health and school readiness and missed opportunities to tackle cost					<b>Risk Group</b>	Contracts/Performance	<b>Risk Type</b>			
Phase 2 - Current Assessment											
<b>Current Control Measures</b>			HCP: Contract monitoring meeting with providers; close liaison with Public Health team; HCP Project Board; HCP 2020 Project established; contract extended to allow synchronised re-procurement of 0-5 and 5-19 HCP School Readiness:								
<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>	21/523 - Ensure forecast demographic service pressures in Catterick are considered in next procurement of HCP services					CYPS Comm Mgr Health	Wed-31-Mar-21				
<b>Reduction</b>	21/605 - Finalise the Childhood Futures scope and vision as a beyond 2020 programme with an established board (paused due to Covid-19)					CYPS Comm Mgr Health	Wed-31-Mar-21				
<b>Reduction</b>	21/606 - Pilot school readiness zones (paused due to Covid-19)					CYPS Comm Mgr Health	Tue-30-Mar-21				
<b>Reduction</b>	21/607 - Establish the pillars and associated working groups / workstreams for Childhood Futures with appropriate representation from across the organisation School readiness pillar board established Feb 2020 (paused due to Covid-19)					CYPS Comm Mgr Health	Wed-31-Mar-21				
<b>Reduction</b>	21/630 - Develop and obtain approval for the s75 proposal for all elements of HCP post Apr 2021 including appropriate governance arrangements (paused due to Covid-19)					CYPS Comm Mgr Health	Wed-30-Jun-21				
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>Action Manager</b>	
<b>Fallback Plan</b>	21/569 - Individual services affected would be subject to open market exercise								CYPS Comm Mgr Health		

## CYPS Directorate

Risk Register: **month 6 (March 2020) – detailed**

Next Review Due: **September 2020**

Report Date: **16<sup>th</sup> June 2020 (pw)**

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; support from Outreach service considered; 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; unaccompanied asylum seekers pathway reviewed, procedures in place including agreed Home Office funding; commissioning and contract teams processes reviewed; pathways for step down from tier 4 developed; clinicians in prevention, social work, LAC and leaving care teams; new assessment tool for foster carers piloted; interpretation services including for asylum seekers in place;								
<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 provide sufficiency of placements						CYPS C&F Heads of Service	Fri-31-Jul-20			
<b>Reduction</b>	22/272 - Target recruitment for unrelated foster carers to ensure we have sufficient in house foster carers to meet changes in demand						CYPS C&F Heads of Service	Fri-31-Jul-20			
<b>Reduction</b>	22/274 - Effectively monitor and seek to strengthen the challenge to drift in children and young people's care plans; Progress: ongoing challenge continues through the weekly discharge forum and monitoring of admissions and discharge, this has led to progressing plans						CYPS C&F Heads of Service	Fri-31-Jul-20			
<b>Reduction</b>	22/478 - Continue work around accommodation for young people leaving custody; Progress: Resettlement panel continues and has made some progress, ongoing work is required with the magistrates to ensure custody is always avoided.						CYPS C&F Heads of Service	Fri-31-Jul-20			
<b>Reduction</b>	22/502 - Review the pathway for unaccompanied asylum seekers, including the commissioned service for interpreters; review complete and recommendations put forward including a corporate approach to commissioning of interpreters. Maximise the Home Office funding for UASC (unaccompanied asylum seekers)						CSD AD SR (HE) CYPS C&F HoCP	Sat-31-Aug-19	Sat-31-Aug-19		
<b>Reduction</b>	22/534 - Review all LAC Cases with new lens to consider discharge options via the Discharge Review Forum; Progress: This is taking place and family finding training will have an impact as it becomes embedded, the key challenge here is that connected persons do not wish to consider an SGO and as a quarter of children who are looked after are placed in this arrangement this does mean that discharges may not be at the rate expected.						CYPS C&F Heads of Service	Fri-31-Jul-20			
<b>Reduction</b>	22/635 - Develop a better understanding of why foster carers are de-registering from care & embed strategies to prevent this.						CYPS C&F Heads of Service	Fri-31-Jul-20			

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<b>Reduction</b>	22/1082 - Ensure that network meetings always take place prior to any LAC admissions and where family placements are made a clear strategy should be developed between fostering and C and F teams to agree the status of the arrangement.	CYPS C&F Heads of Service	Fri-31-Jul-20									
<b>Reduction</b>	22/1092 - Continue to explore and embed alternative models in relation to those not receiving 25 hours of education including recruitment of sessional tutors	CYPS C&F Heads of Service	Fri-31-Jul-20									
<b>Reduction</b>	22/1093 - Work with YJS to review the partnership decision making arrangements to reduce the likelihood of high cost secure and remand cases; the YJS have now secured a court rep on the YJB management board and have had a first meeting to look to the next steps; Progress: There is now a clear YJS development plan in place which sets out what is required to progress key actions, one of the key steps that is required is to drive integrated working across the teams to ensure clear and consistent plans are put before the courts as well as embedding the niche pathway	CYPS C&F Heads of Service	Fri-31-Jul-20									
<b>Reduction</b>	24/427 - Review accommodation requirements for unaccompanied asylum seeking children and where appropriate, seek to acquire additional property/accommodation; review complete and additional property in process of being purchased	CSD AD SR (HE) CYPS C&F HoCP	Tue-31-Dec-19	Tue-31-Dec-19								
<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>Action Manager</b>		
<b>Fallback Plan</b>	24/245 - Increase reliance on commercial market to meet supply and demand										CYPS AD C&F	

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Phase 1 - Identification											
<b>Risk Number</b>	24/213	<b>Risk Title</b>	24/213 - Cultural Change and Beyond 2020					<b>Risk Owner</b>	CD CYPS	<b>Manager</b>	CSD AD SR (HE)
<b>Description</b>	Failure to maintain a strong culture, processes and supporting capacity within CYPS to deliver Beyond 2020, savings targets and address national funding and policy changes, resulting in lack of the right capacity at right time, demand pressures, bottlenecks, inability to plan and overspending.					<b>Risk Group</b>	Financial	<b>Risk Type</b>			
Phase 2 - Current Assessment											
<b>Current Control Measures</b>	Strong platform for Workforce 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; 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; collective responsibility for budget; review of Directorate resources carried out; training of budget managers and support staff; guidance materials; maximum use of technology enhanced procurement profile; data system review; forward procurement plan regularly reviewed; Business Partner approach adopted to ensure service decisions include a 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 and Beyond 2020 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 (ongoing)						CD CYPS CYPS Prog Board	Wed-30- Sep-20			
<b>Reduction</b>	24/414 - Engage and deliver the Modern Council and OD programme theme across the directorate and ensure managers have the right skills, attitude and technology for delivering services (ongoing)						CYPS HoHR	Wed-30- Sep-20			
<b>Reduction</b>	24/1000 - Retain focus on budgetary high risk areas of concern for monitoring processes and systems including projects with temporary funding (ongoing)						CSD AD SR (HE) CSD SR HoFP	Wed-30- Sep-20			
<b>Reduction</b>	24/1146 - Ensure strong continued budget management by staff at all levels within the Directorate and where necessary, enhance arrangements (ongoing).						CSD AD SR (HE)	Wed-30- Sep-20			
<b>Reduction</b>	24/1187 - Monitor the potential financial impact of proposed changes to PRSs and EMS (educational mainstream) 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 (HE)	Wed-30- Sep-20			
<b>Reduction</b>	24/1189 - Continue to engage fully with the Stronger Communities and Customer Themes to ensure greatest alignment with service and wider Council needs to enable the Prevention and Communities Programme						CSD SR T&C SPM (2020) CYPS AD Incl	Wed-30- Sep-20			
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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<b>Phase 5 - Fallback Plan</b>		<b>Action Manager</b>
<b>Fallback Plan</b>	24/246 - Re-prioritise CYPS Spending plans and strategic approaches	CYPS LT



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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>	CD CYPS	<b>Manager</b>	CYPS AD E&S	
<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>	E&S 27/19		
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; 'Raiding achievement of vulnerable learners strategy'; School Improvement strategy including monitoring groups for vulnerable children; Achievement for Unlocked Programme; alternative models of school leadership including mergers and federations promoted; the North Yorkshire Learning Trust to be established; skills strategy and assessment of needs developed in preparation for area review;								
<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 including governance and release of commissioning capacity in the context of the Improvement Partnerships within the context of the shift to Sector Led Improvement; new School Improvement Strategy to be implemented in Autumn 2019						CYPS AD E&S	Mon-30-Sep-19	Sat-31-Aug-19		
<b>Reduction</b>	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 – ongoing for two more years						CYPS AD E&S	Sat-31-Jul-21			
<b>Reduction</b>	24/430 - Continue to implement plans to further improve Children in Care educational outcomes particularly with the focus on progress – ongoing						CYPS Ho ELAC	Fri-31-Jul-20			
<b>Reduction</b>	24/498 - Continue the relevant strategies around outcome for the post 16 Area Review; area review complete ALSS, work ongoing work around post sixteen schools and capacity (eg. small six forms						CYPS AD E&S	Fri-31-Jul-20			
<b>Reduction</b>	24/1185 - Continue to develop and implement the approach to the 'Scarborough Opportunity Area' which builds on the 'Scarborough Pledge' and collaboratively challenges underachievement; working towards sustainable approaches to those projects that have delivered most impact						CD CYPS	Fri-31-Jul-20			
<b>Reduction</b>	27/401 - Working together under the North Yorkshire Learning Trust and the LEP umbrella to establish stronger links with colleges, businesses and employers – ongoing						CYPS AD E&S	Fri-31-Jul-20			
<b>Reduction</b>	27/618 - Implement rigorous QA process for all school improvement within TSA and NLE, setting the standards and recording and evaluation protocols to be adhered to						CYPS AD E&S	Fri-31-Jul-20			
<b>Reduction</b>	27/1372 - Continue the evaluation of the school improvement service to ensure it remains fit for need; restructure to be implemented from Jan 2020						CYPS AD E&S	Fri-31-Jan-20	Fri-31-Jan-20		
<b>Reduction</b>	27/1390 - Work with colleagues across CYPS and key stakeholders to ensure that there is a strategic approach to school readiness and development of approaches that deliver significant impact; linking in with Childhood Futures						CYPS AD E&S	Fri-31-Jul-20			
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

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<b>Phase 5 - Fallback Plan</b>		<b>Action Manager</b>
<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	CD CYPS

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Phase 1 - Identification											
<b>Risk Number</b>	24/178	<b>Risk Title</b>	24/178 - Information Governance and Health and Safety				<b>Risk Owner</b>	Chief Exec	<b>Manager</b>	CD 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 potential Corporate Manslaughter, increased cost/claims, fines/prosecution, criticism and damage to the Council's reputation.					<b>Risk Group</b>	Legislative	<b>Risk Type</b>			
Phase 2 - Current Assessment											
<b>Current Control Measures</b>			<p><b>Info Gov:</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, move to secure electronic communications where possible; Strategic Support data governance team; DPIAs in place; CYPS privacy notice completed and published; mandatory data protection training as part of induction process for new starters and all staff complete updated training when required;</p> <p><b>H&amp;S:</b> Policy docs; Training; Personnel initiatives; Monitoring systems (inc curriculum); guidance documents; financial investment (e.g. asbestos fund); designated staff; traded service with schools; Conditions survey; Educational visits database; H&amp;S advice at briefing stage; tech fire audits; legionella monitoring; Radon monitoring and mitigation; glazing filming; HANDS newsletter; health and safety inspections of live construction sites; directorate and schools RM action plans; monthly meeting between AD and H&amp;S manager; all strat planning staff trained in construction site safety; schools emergency response guide reissued 2016; Directorate level risk management action plan; thorough reporting and investigation of accidents and incidents; 'incident news' newsletter; revised asbestos guidance High Risk areas: Performance management systems; risk reduction procedures in conjunction with HANDS; designated staff; guidance and training for those staff; continuing work with Outdoor Learning Service on Health and Safety; OL centres independent Bi-annual inspection and accreditation by AALA and LOTC Gold standard; use of external consultants; single head of Outdoor Learning Service; safeguarding advice provided to schools; review of planning and accountability in OLS carried out; half termly visits to both OL centres; unannounced visits for outdoor learning activities; themed audits of high risk areas; refreshed AD led Directorate risk management group</p>								
<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 Data Governance team in Strategic Support (Info Gov)					CYPS CYPLT	Wed-30-Sep-20				
<b>Reduction</b>	24/474 - Continue to review and update the information asset registers in line with policy guidelines (Info Gov)					CYPS CYPLT	Wed-30-Sep-20				
<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) (Info Gov)					CYPS CYPLT	Wed-30-Sep-20				
<b>Reduction</b>	24/500 - Continue work on converting paper based communications to electronic communications (Info Gov)					CYPS CYPLT	Wed-30-Sep-20				
<b>Reduction</b>	24/560 - Continue to complete Data Protection Impact Assessments (DPIA) for any changes to processes or implementation of new systems. (ongoing) (Info Gov)					CYPS CYPLT	Wed-30-Sep-20				

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<b>Reduction</b>	24/561 - Continue to complete Information Sharing Agreements when sharing data externally (Info Gov)	CYPS CYPLT	Wed-30-Sep-20								
<b>Reduction</b>	24/1150 - Continue to report breaches immediately, investigate all information breaches thoroughly and take action against individuals as appropriate. (Info Gov)	CYPS CYPLT	Wed-30-Sep-20								
<b>Reduction</b>	27/74 - Continue to work with schools on safeguarding including security of sites, providing advice (on outer / inner perimeter fencing, door locks etc) to ensure proportionate risk assessed solutions are implemented; significant amount achieved in this area of work (H&S)	CYPS AD E&S	Fri-31-Jul-20								
<b>Reduction</b>	27/314 - Carry out no notice safeguarding inspections and general safeguarding reviews of schools where a concern has been raised (H&S)	CYPS E&S LAVL	Fri-31-Jul-20								
<b>Reduction</b>	27/564 - Carry out monitoring visits to locations used for outdoor activities/school trips, both LA and private sector, to assess suitability for school visits (H&S)	CYPS AD E&S	Fri-31-Jul-20								
<b>Reduction</b>	27/565 - Assess arrangements in Children's Social Care for supervising children and young people and produce plans for known areas of concern; ongoing work but good progress made in raising concerns to appropriate levels in management (H&S)	CYPS AD E&S	Fri-31-Jul-20								
<b>Reduction</b>	27/566 - Work with passenger transport, road safety, schools and settings to ensure high priority is given to traffic management on school and setting sites and road safety awareness raising particularly around buses (H&S)	CYPS AD E&S	Fri-31-Jul-20								
<b>Reduction</b>	27/567 - Agree and then work through the new, three year Directorate H&S Action Plan, with six monthly monitoring by CYPLT (H&S)	CYPS AD E&S CYPS CYPLT	Fri-31-Jul-20								
<b>Reduction</b>	27/622 - Hold events (with HSE input) to help raise awareness of the risk of construction activities in schools (H&S)	CYPS AD E&S	Thu-31-Oct-19	Sat-30-Nov-19							
<b>Reduction</b>	27/623 - Continue to offer support and advice to prevent and respond to violent incidents in schools (H&S)	CYPS AD E&S	Fri-31-Jul-20								
<b>Reduction</b>	27/1397 - Awareness raising of outdoor visits risks with Headteachers and Governors using the Health and Safety Newsletter to highlight examples of incidents (H&S)	CYPS AD E&S	Fri-31-Jul-20								
<b>Reduction</b>	27/1407 - As commercialisation of Learning Beyond the Classroom and other directorate activity develops ensure capacity is considered and balance between internal and external work is appropriate (H&S)	CYPS AD E&S	Fri-31-Jul-20								
<b>Reduction</b>	27/1427 - Work with H&SRM to roll out the new H&S system to ensure effective accident reporting and completion of all necessary online risk arrangements (H&S)	CYPS AD E&S	Fri-31-Jul-20								
<b>Phase 4 - Post Risk Reduction Assessment</b>											
<b>Probability</b>	L	<b>Objectives</b>	M	<b>Financial</b>	M	<b>Services</b>	M	<b>Reputation</b>	H	<b>Category</b>	3
<b>Phase 5 - Fallback Plan</b>											
<b>Fallback Plan</b>	24/527 - Info Gov: More rigorous intensive information governance training for staff & following ICO procedures. H&S: Review processes and procedures and potentially stop risk taking activities									<b>Action Manager</b>	
										CD CYPS	

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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. Partnership working Funding.					<b>Risk Group</b>	Partnerships	<b>Risk Type</b>	Corp 20/47		
Phase 2 - Current Assessment											
<b>Current Control Measures</b>			H&W Board; CYPLT; Management Board; CYPS Plan; Health and Well-being Strategy; JSNA; services commissioned for 0-5 and 5 -19 Healthy Child Programme to ensure close alignment with CYPS Services; Childhood Futures governance arrangements in place;								
<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>	24/415 - Ensure Healthy Child team and CYPS services collaborate effectively and at the earliest stage to prevent family and education breakdown and to delivering improved outcomes of Children, Young People and Families (ongoing)						CYPS C&F HoEP (PiP)	Wed-30-Sep-20			
<b>Reduction</b>	24/432 - Commission a review of CHC arrangements relating to the needs of children with SEND (draft report completed Mar 2020)						CSD AD SR (HE) CYPS AD Incl	Mon-31-Aug-20			
<b>Reduction</b>	24/568 - Ensure full participation across Health and the Local Authority in the Childhood Futures Programme						CYPS Comm Mgr Health	Wed-31-Mar-21			
<b>Reduction</b>	24/642 - Develop and implement an action plan following the outcome of the review of CHC arrangements for the needs of SEND children with Health.						CSD AD SR (HE) CYPS AD Incl	Thu-31-Dec-20			
<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	Wed-30-Sep-20			
Phase 4 - Post Risk Reduction Assessment											
<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 5 - Fallback Plan											
									<b>Action Manager</b>		
<b>Fallback Plan</b>	24/561 - Escalation to CMB and Executive Members, further engagement with senior tiers in NHS locally, regionally and nationally.								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 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 'outstanding' 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; Mgt file audit of case files against established assessment standards and staff supervision files; monitoring and management of performance against agreed targets in the SMT action plan									
<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 - Continuation of 'Practice Weeks' where managers will visit locations to observe and review practice; Progress: These are now in place and in order to make these stronger the teams will need to be involved in the planning to make these more effective, however the feedback is positive.					CYPS C&F SMT	Fri-31-Jul-20				
<b>Reduction</b>	22/1079 - Use and further development of performance dashboards to support individual managers					CYPS C&F HoS	Fri-31-Jul-20				
<b>Reduction</b>	24/431 - Ensure compliance with Safeguarding Board and Children and Families' procedures					CYPS AD C&F	Fri-31-Jul-20				
<b>Reduction</b>	24/433 - Continue the work with the MAST to strengthen responses to children and young people who are vulnerable to CSE and CCE by improved intelligence and information sharing arrangements					CYPS C&F HoS	Fri-31-Jul-20				
<b>Reduction</b>	24/434 - Ensure where there is a concern that a young person is being exploited that the CSE risk assessment tool is always completed					CYPS C&F HoS	Fri-31-Jul-20				
<b>Reduction</b>	24/1162 - Continue to feed into review of EDT arrangements (adult lead) as required					CYPS AD C&F	Fri-31-Jul-20				
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											
Risk Number	24/15	Risk Title	24/15 - Inspection Outcomes				Risk Owner	CD CYPS	Manager	CYPS CYPLT	
Description	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 including finance.				Risk Group	Performance	Risk Type	E&S 27/13			
Phase 2 - Current Assessment											
Current Control Measures			Systematic and regular monitoring of data; monitoring and evaluation of support to Schools; utilisation of systems for National Leaders in Education and Teaching Schools Alliance; intervention in inverse proportion to success including early identification and rigorous response to schools causing concern (SCC); SCCs have a School partnership improvement plan; comprehensive C&F performance dashboards developed; a robust Quality Learning approach to audit is maintained for C&F; C&F S M T conduct Practice Weeks biannually; SEND Strategy Group for Ofsted prep and performance; Monthly Ofsted prep for inspection for SEND in 2021; self-evaluation form updated annually to identify priorities for improvement in Inclusion; Monthly Inclusion performance management meetings to review key performance indicators; timely use of statutory powers; CD CYPS oversees inspection readiness; self-assessment for safeguarding and children in care; briefings provided for elected Members and Partners;								
Probability	L	Objectives	M	Financial	L	Services	H	Reputation	H	Category	3
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed			
Reduction	22/1051 - Continual review of policies and procedures and update as required to ensure new guidance and procedures are embedded					CYPS LT	Wed-30-Sep-20				
Reduction	22/1052 - Ensure consultation with and participation of service users to inform service delivery and design					CYPS AD Incl	Wed-30-Sep-20				
Reduction	24/358 - Continue to discuss and carry out training and awareness raising around the gravity of inspections, for colleagues who support CYPS on matters such as Procurement (ongoing)					CYPS HoHR	Tue-30-Jun-20				
Reduction	24/497 - Continue to 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	Wed-30-Sep-20				
Reduction	24/524 - Continue to review inspection prep related performance as part of the Q report to CYPLT (ongoing)					CYPS CYPLT	Wed-30-Sep-20				
Reduction	24/525 - Continue to review the summary of statutory returns and performance as part of the Q report to CYPLT (ongoing)					CYPS CYPLT	Wed-30-Sep-20				
Reduction	24/526 - Continue to maximise the benefit of performance benchmarking against the sector and internally (ongoing)					CSD HoS&P CYPS CYPLT	Wed-30-Sep-20				
Reduction	24/527 - Continue 'Self Evaluation' reporting on a quarterly basis including the BEST reviews (ongoing)					CSD HoS&P	Wed-30-Sep-20				
Reduction	24/570 - Maintain a detailed self-evaluation for C&F and Inclusion which will be updated on a regular basis					CYPS AD C&F	Mon-31-Aug-20				

## CYPS Directorate

Risk Register: **month 6 (March 2020) – detailed**

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<b>Reduction</b>	24/571 - Ensure dashboards reflect the changes to the key focus of Ofsted inspections (ongoing)	CYPS CYPLT	Wed-30-Sep-20								
<b>Reduction</b>	24/1149 - Continue to progress and improve C&F Dashboards to monitor performance leading to deeper dives which will inform the Audit Group (ongoing)	CYPS AD C&F	Wed-30-Sep-20								
<b>Reduction</b>	24/1179 - Ensure pre inspection readiness by continual monitoring of performance and identifying areas for further improvement by assessing their impact (ongoing)	CYPS AD C&F CYPS AD Incl	Wed-30-Sep-20								
<b>Reduction</b>	24/1204 - Continue to encourage, support and build capacity to enable schools to work collaboratively to seek to ensure continued viability and financial sustainability with a small and rural school focus	CSD AD SR (HE) CYPS AD E&S	Fri-31-Jul-20								
<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 and recognising the restricted service capacity (ongoing)	CYPS AD E&S	Fri-31-Jul-20								
<b>Reduction</b>	27/392 - More rigorous risk assessment leading to earlier intervention and support, including early use of statutory powers; the school improvement strategy agreed showing improved approach to prioritisation of school risk	CYPS AD E&S	Fri-31-Jul-20								
<b>Reduction</b>	27/569 - Working with colleagues across CYPS and targeted schools to reduce the percentage of children who are excluded from education; developing a traded package on behaviour and attendance; traded package still being developed with colleagues from Inclusion	CYPS AD E&S	Fri-31-Jul-20								
<b>Reduction</b>	27/620 - Provide necessary training to ensure that all schools understand the new education inspection framework and early reading requirements	CYPS AD E&S	Fri-31-Jul-20								
<b>Reduction</b>	27/1401 - Ensure accurate school and setting self-evaluation and effective school development plans (on-going)	CYPS AD E&S	Fri-31-Jul-20								
<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	Fri-31-Jul-20								
<b>Reduction</b>	27/1405 - Continue to commission external support and/or develop leadership capacity as required eg TSAs, Academies and NLEs	CYPS AD E&S	Fri-31-Jul-20								
<b>Reduction</b>	27/1408 - Continue firmer and clearer use of MoUs particularly when schools are being sponsored to become academies as a result of being in special measures / having serious weaknesses	CYPS AD E&S	Fri-31-Jul-20								
<b>Phase 4 - Post Risk Reduction Assessment</b>											
<b>Probability</b>	L	<b>Objectives</b>	M	<b>Financial</b>	L	<b>Services</b>	H	<b>Reputation</b>	H	<b>Category</b>	3
<b>Phase 5 - Fallback Plan</b>											
<b>Fallback Plan</b>	24/563 - Development of a costed recovery plan addressing Ofsted findings, improving the quality of practice, seeking sector-led support and advice									<b>Action Manager</b>	CD CYPS



CYPS Directorate

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Identity			Person		Classification												Fallback Plan			
Change	Risk Title	Risk Description	Risk Owner	Risk Manager	Pre						RR		Post						FBPlan	Action Manager
					Prob	Obj	Fin	Serv	Rep	Cat	RRs	Next Action	Prob	Obj	Fin	Serv	Rep	Cat		
◀▶	24/259 - SEND High Need Budget	Risk of further increased pressure on the budget given the current legislative framework, increased demand for specialist provision up to age 25 and budget reduction pressure resulting in negative impact on DSG, poor service performance and criticism.	CD CYPS	CYPS AD Incl	H	M	H	H	M	1	9	30/04/2020	H	M	M	H	M	1	Y	CYPS AD Incl
◀▶	24/211 - Schools Organisation and Capital Funding for places	Failure to assess and manage the combined effects of changes in the national school policy and capital funding for places 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, increased public dissatisfaction, and loss of confidence in the County Council as local authority.	CD CYPS	CSD AD SR (HE) CYPS AD E&S	H	M	M	H	H	1	11	31/05/2020	M	M	M	H	H	2	Y	CYPS AD E&S
▼	24/277 - Schools Funding Challenges	Inadequate revenue and capital funding available for good quality schools, maintenance of school infrastructure and to ensure the sustainability of small rural schools; poor financial management or failure to act in a timely manner by governors/head teachers DfE impose further restrictions on LA financial freedoms, results in potential accumulated deficits. Lack of investment in special provision such as special schools results in potential increased costs.	Chief Exec	CD CYPS	H	M	M	H	H	1	10	31/07/2020	M	M	M	M	M	4	Y	CD CYPS
◀▶	24/276 - Childhood Futures	Failure to deliver the Childhood Futures strategic partnership arrangements, re-aligning and joining together several essential services for children and families into a brand-new integrated services model working collaboratively with CYPS services, health partners and communities to improve the health and wellbeing of children and families, failure would result in poorer outcomes on health and school readiness and missed opportunities to tackle cost	CD CYPS	CYPS AD Incl	M	M	H	H	M	2	5	30/09/2020	L	M	M	H	H	3	Y	CYPS Comm Mgr Health

## CYPS Directorate

Risk Register: **month 6 (March 2020) – summary**

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Identity			Person		Classification												Fallback Plan			
Change	Risk Title	Risk Description	Risk Owner	Risk Manager	Pre						RR		Post						FBPlan	Action Manager
					Prob	Obj	Fin	Serv	Rep	Cat	RRs	Next Action	Prob	Obj	Fin	Serv	Rep	Cat		
◀▶	<b>24/27 - Looked After Children</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	CD CYPS	CYPS AD C&F	M	M	H	M	H	2	11	31/07/2020	L	M	H	M	H	3	Y	CYPS AD C&F
◀▶	<b>24/213 - Cultural Change and Beyond 2020</b>	Failure to maintain a strong culture, processes and supporting capacity within CYPS to deliver Beyond 2020, savings targets and address national funding and policy changes, resulting in lack of the right capacity at right time, demand pressures, bottlenecks, inability to plan and overspending.	CD CYPS	CSD AD SR (HE)	M	M	H	H	H	2	6	31/07/2020	L	M	M	H	M	3	Y	CYPS LT
◀▶	<b>24/249 - Educational Outcomes</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.	CD CYPS	CYPS AD E&S	M	M	M	L	H	2	9	31/07/2020	L	M	M	L	H	3	Y	CD CYPS
◀▶	<b>24/178 - Information Governance and Health and Safety</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 potential Corporate Manslaughter, increased cost/claims, fines/prosecution, criticism and damage to the Council's reputation.	Chief Exec	CD CYPS	M	M	H	M	H	2	18	31/07/2020	L	M	M	M	H	3	Y	CD CYPS
◀▶	<b>24/221 - Partnership and Integration with Health</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. Partnership working Funding,	CD CYPS	All CYPLT members	M	H	H	H	M	2	5	31/07/2020	L	H	H	H	M	3	Y	CD CYPS
◀▶	<b>24/250 - Safeguarding Arrangements</b>	Failure to have a robust approach to Safeguarding is in place results in risk to vulnerable children and families and not protecting them from harm.	CD CYPS	CYPS AD C&F	L	H	H	M	H	3	6	31/07/2020	L	H	H	M	H	3	Y	CD CYPS




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Identity			Person		Classification											Fallback Plan				
Change	Risk Title	Risk Description	Risk Owner	Risk Manager	Pre					RR		Post					FBPlan	Action Manager		
					Prob	Obj	Fin	Serv	Rep	Cat	RRs	Next Action	Prob	Obj	Fin	Serv			Rep	Cat
	<b>24/15 - Inspection Outcomes</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 including finance.	CD CYPS	CYPS CYPLT	L	M	L	H	H	3	21	30/06/2020	L	M	L	H	H	3	Y	CD CYPS

Key	
	Risk Ranking has worsened since last review.
	Risk Ranking has improved since last review
	Risk Ranking is same as last review
<b>- new -</b>	New or significantly altered risk