

NORTH YORKSHIRE COUNTY COUNCIL

AUDIT COMMITTEE

27 JUNE 2022

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) Schools White Paper

In March 2022, the Department for Education published a White paper: "Opportunity for All: strong schools with great teachers for your child". The paper proposes national policies around teacher training and development, teacher recruitment and retention, improved behaviour and attendance, new national expectations for the length of the school week for all mainstream schools, improved safety and wellbeing, a Parent Pledge so that any child that falls behind in English or maths will receive timely and evidence-based support, up to 6 million tutoring packages, and reform of the SEND and Children's Social Care systems.

From a governance perspective, the most impactful policy proposals are a commitment to deliver, by 2030, a fully trust-led system with a single regulatory approach, through growth of strong trusts and establishment of new ones, including trusts established by LAs. The local authority is preparing a strategic response to the White paper, including engaging with key stakeholders including maintained school leaders, DfE Regional Groups, Diocesan representatives and leaders of

Multi-Academy Trusts. The response will recognise the broad range of stakeholders, including 32 existing academy trusts that currently operate in North Yorkshire.

(b) SEND Green Paper and High Needs

Alongside the Schools White Paper, the Department for Education also published a Green Paper on SEND. This describes that LAs remain at the heart of the education system, championing all children in their area – particularly the most vulnerable. The paper proposes that the LA will continue to co-ordinate local services to improve outcomes for children, meet communities' needs for good school places, and secure the best outcomes for individual children (e.g. admissions, safeguarding, and attendance). In addition, the paper proposes that LAs will receive new legal powers to object to changes to PAN, and to direct trusts to admit children.

The SEND Green Paper is published in the wider context of an unsustainable funding system for 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 2022 amounted to £9.6m. Additional High Needs funding allocated by DfE for 2022-23 has reduced the projected in-year deficit to c.£1.1m which, if confirmed, would result in an accumulated deficit of c.£10.7m by end-March 2023. However, with demand continuing to rise annually by c.8% and DfE announcements that funding will rise by 3% in 2023-24 and 2024-25, the medium-term outlook remains challenging.

Alongside the Green Paper, the Department for Education also announced capital funding for North Yorkshire of £8.468m over the next two years. Although additional capital resources are welcome, they fall short of the amount needed to reshape special school and targeted mainstream provision across the county in order to meet demand and need. This is in the context that:

- North Yorkshire receives the lowest £ per head in terms of high needs capital funding;
- North Yorkshire is ranked 140th out of 150 local authorities in terms of revenue funding per head
- School Condition Grant allocations, provided to respond to the most significant condition issues across maintained schools, have been reduced in 2022-23. With SEND priority commitments from this funding source, the local authority will continue to face challenges in delivering against planned maintenance backlogs and other improvement projects.

Against the challenging financial backdrop, the Department for Education are launching a 'Delivering Better Value in SEND' programme, working with 55 local authorities nationally to identify ways to tackle some of the high needs financial pressures. DfE have confirmed that North Yorkshire will be included in Tranche 3 of the programme with work due to commence in Spring 2023. The Department have set aside £85m for this three-year programme which will involve the Department undertaking diagnostic work and will require local authorities to prepare action plans in response. This sits below the 'Safety Valve' intervention programme which has seen 9 councils with some of the highest deficits receive £300m funding.

(c) School Funding

North Yorkshire has benefitted from additional sparsity funding, particularly for small, rural primary schools. However, the local authority remains particularly concerned for small, rural secondary schools and although lobbying continues, the Department for Education has failed to acknowledge the pressure within the National Funding Formula. Whilst the Department has signalled that they intend to move to a 'direct' formula, where all mainstream school funding is determined by a single national formula, the local authority successfully applied to provide exceptional circumstance funding for two small secondary schools, which typifies the issue.

Secondary school and special school balances continue to show a downward projection and Notices of Financial Concern have been issued to four schools. Additional financial controls are in place in a further six schools subject to sponsored academy conversion including two schools subject to closure consultation. The local authority continues to work alongside schools to support them to develop budget recovery plans, where appropriate.

(d) School Improvement De-delegation

In January 2022, the DfE confirmed that, following consultation in late-Autumn 2021, they would proceed with reforming how local authorities' school improvement functions are funded. The proposals involve a 50% reduction to the LA School Improvement Monitoring & Brokering Grant for the 2022/23 financial year, followed by full removal of the Grant in the 2023/24 financial year. Regulatory changes enabled local authorities to fund all of their school improvement activities (including core school improvement activity) via de-delegation from schools' budget shares.

The North Yorkshire Schools Forum did not reach a consensus on de-delegating funding for 2022-23 and a disapplication request to the Secretary of State was subsequently submitted and approved. The local authority have committed to undertake a review of the statutory core school improvement service delivery model for 2023/24 alongside a review of de-delegation methodologies to reflect any revisions to service provision.

(e) Inflationary Pressures

Construction costs and tender prices for construction and improvement projects are a significant risk. Fuel price rises and bus driver shortages continue to challenge the delivery of the home to school transport network. In addition, a combination of factors including independent provider failure, saturation in special school places to meet the needs of children assessed as requiring an Education, Health and Care Plan, and general inflationary pressures, combine to present supply issues and additional cost pressures. The Directorate continues to respond to individual placements issues including responding to market failures to ensure appropriate high-quality care.

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 April 2022. 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 September 2021. The main change is as follows:

- **NEW: SEND High Needs Budget:** the LA has engaged with, and is keen to commence work on, the Delivering Better Value in SEND programme.
- **NEW: Looked After Children and those on the edge of care:** the service will work through the Professional Development academy to consolidate activities around recruitment, retention and succession planning.
- **NEW: Schools White Paper:** a new Directorate-level risk has been introduced which recognises a risk to schools and the local authority if there is an insufficient response to the White Paper implications, in supporting schools with appropriate standards, support, functions or sustainability. This reflects the issues outlined in 3.1(a). Given the recent publication of the Schools White Paper, the risk log is yet to be fully developed but initial briefings have been provided to Management Board, and the directorate leadership team with further briefings planned for Executive Members and Headteachers. A task and finish group has been established to develop the LA response to the White Paper.

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:

- **SEND High Needs Budget:** funding delegation arrangements for individual caseworks and managers has been reviewed. Work continues to develop relationships with post-16 providers to build choice.
- **Looked After Children and those on the edge of care:** a programme of family finding training has been rolled out across all social care staff.
- **Schools Organisation and Capital Funding for Places:** the directorate has introduced a Good Estate Management for Schools (GEMS) statement on

capital delivery to ensure there is a mandate from Members for investment priorities. Visibility of demand for additional schools places has been achieved through an updated basic need programme.

- Childhood Futures: school readiness pilots have been undertaken. In conjunction with Public Health, Harrogate District Foundation Trust and CCG partners, the directorate has implemented the s75 proposal for all elements of the Healthy Child Programme (HCP).

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 (Apr 2022) – detailed

Next Review Due: October 2022

Report Date: 12th May 2022 (pw)

Phase 1 - Identification											
Risk Number	24/259	Risk Title	24/259 - SEND High Need Budget				Risk Owner	CD CYPS	Manager	CYPS AD Incl	
Description	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.					Risk Group	Performance	Risk Type	Incl 21/23		
Phase 2 - Current Assessment											
Current Control Measures			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;								
Probability	H	Objectives	M	Financial	H	Services	H	Reputation	M	Category	I
Phase 3 - Risk Reduction Actions											
							Action Manager	Action by	Completed		
Reduction	21/443 - Continue to ensure the Schools Forum is aware of the funding risks and challenges it faces						CYPS AD Incl	Fri-30-Sep-22			
Reduction	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; capital plan near finalisation						CYPS Incl HoIE	Fri-30-Sep-22			
Reduction	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; building a capital business case, will need Exec and Mgt board sign off (target May 22)						CYPS AD Incl	Tue-31-May-22			
Reduction	21/452 - Reduced the funding delegation which can be authorised by officers to ensure more scrutiny of agreements; Independent review of decision making carried out; process in place now						CYPS AD Incl	Wed-30-Jun-21	Thu-30-Sep-21		
Reduction	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 out						CYPS AD Incl	Fri-30-Sep-22			
Reduction	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; action plan in place to develop staff contract mgt skills; Quality in Practice model pulling together all elements of QA – SEND, Hubs and DCS						CYPS AD Incl	Fri-30-Sep-22			
Reduction	21/519 - Continue to progress the good work with partners to build choice at post 16 and post 19; progress made but ongoing work						CYPS AD Incl	Sat-30-Sep-23			
Reduction	21/659 - Embed and review the new funding model for the PRS						CYPS AD Incl	Sat-31-Jul-21	Sat-31-Jul-21		
Reduction	21/660 - Work with finance to produce a DSG deficit management action plan and share with Schools Forum; plan published and is being reviewed but work will be ongoing						CSD AD SR (HE) CYPS AD Incl	Fri-30-Sep-22			

CYPS Directorate

Risk Register: **month 6 (Apr 2022) – detailed**

Next Review Due: **October 2022**

Report Date: **12th May 2022 (pw)**

Reduction	21/664 - Embed and review the targeted mainstream provision that replace the EMS model; nine provisions established this year; about to embark on a further campaign to attract about to embark on a further campaign to attract	CYPS AD Incl	Fri-30-Sep-22								
Reduction	21/703 - Take part in SEND Better Value Programme starting June 2022	CYPS AD Incl	Tue-31-Dec-24								
Reduction	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); received in part some aspects around procurement and national review of special schools	CYPS AD Incl	Fri-30-Sep-22								
Reduction	24/571 - Ensure that service dashboards reflect the criteria for each of the key inspection areas and are monitored on a regular basis; Ed & Skills dashboard being pulled together	CYPS AD C&F CYPS AD E&S CYPS AD Incl	Fri-30-Sep-22								
Reduction	24/1179 - Ensure pre inspection readiness within CYPS for the inspections of LA services, and for schools within the inspection window by continual monitoring of performance and identifying areas for further improvement by assessing their impact (ongoing); dashboards will help improve this area	CSD AD SR (HE) CYPS AD C&F CYPS AD E&S CYPS AD Incl	Fri-30-Sep-22								
Phase 4 - Post Risk Reduction Assessment											
Probability	M	Objectives	M	Financial	M	Services	H	Reputation	M	Category	2
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 (Apr 2022) – detailed**

Next Review Due: **October 2022**

Report Date: **12th May 2022 (pw)**

Phase 1 - Identification											
Risk Number	24/27	Risk Title	24/27 - Children in care and those on the edge of care				Risk Owner	CD CYPs		Manager	CYPs AD C&F
Description	Failure to ensure that arrangements for children in care and those on the edge of care provide sufficient support for those with multiple and complex needs (including work on step down from Tier 4 cases and those not receiving 25 hours of education); that the service supports the regionalised adoption service; and ensures sufficient foster carers are recruited; all this in the light of current economic uncertainty, increased costs and workforce pressures (including Covid related absences) failure to do so results in poorer outcomes for young people, the need for high cost interventions/placements and reputational damage					Risk Group	Performance		Risk Type	C&F 22/181	
Phase 2 - Current Assessment											
Current Control Measures			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, children in care and leaving care teams; new assessment tool for foster carers piloted; interpretation services including for asylum seekers in place; Family Finding training rolled out; delivery of systemic practice across the service; network meetings always take place prior to any children in care admissions								
Probability	H	Objectives	M	Financial	H	Services	M	Reputation	H	Category	I
Phase 3 - Risk Reduction Actions											
							Action Manager	Action by	Completed		
Reduction	22/271 - Continue to provide sufficiency of placements action plan in place to recruit more carers and increase assessment capacity with frontline students and additional hours to other social work staff (service to remain in budget)						CYPs C&F HoRes	Fri-30-Sep-22			
Reduction	22/272 - Target recruitment for unrelated foster carers to ensure we have sufficient in house foster carers to meet changes in demand; re-established links with Corporate Comms at HoS level and reviewing the Comms plan, progressing virtual options for this						CYPs C&F HoRes	Fri-30-Sep-22			
Reduction	22/274 - Continue to monitor and seek to strengthen the challenge to drift in children and young people's care plans; weekly discharge forum has been stood down and replaced with additional meetings targeting effective care planning and discharge planning as well as assuring ourselves that permanence plans are progressed in a timely way; care proceeding meetings take place, oversight by IRO						CYPs C&F HoCP&FR	Fri-30-Sep-22			
Reduction	22/478 - Continue work around accommodation for young people leaving custody; resettlement panel continues and has made some progress, ongoing work is required with the magistrates to ensure custody is always avoided; further work has now been completed with the courts clerk and magistrates; challenge remains that finding appropriate accommodation for young people continues to be difficult; bespoke packages of care are arranged as needed via NWD						CYPs C&F HoRes	Fri-30-Sep-22			
Reduction	22/534 - Continue to review all children in care cases to consider discharge options via the Discharge Review Forum; monthly permanence and matching monitoring takes place for children in line with Ofsted guidance						CYPs C&F HoCP&FR	Fri-30-Sep-22			

CYPs Directorate

Risk Register: **month 6 (Apr 2022) – detailed**

Next Review Due: **October 2022**

Report Date: **12th May 2022 (pw)**

Reduction	22/635 - Develop a better understanding of why foster carers are de-registering from care & embed strategies to prevent this; monitored through Q reporting and have clearer understanding of why people leave; report on exit interviews has been produced and this will be incorporated into the recruitment action plan.	CYPS C&F HoRes	Thu-30-Sep-21	Thu-30-Sep-21							
Reduction	22/681 - Work through the Professional Development Academy to consolidate activities around recruitment, retention and succession planning for the whole service	CYPS C&F HoEP (PiP)	Fri-30-Sep-22								
Reduction	22/688 - Ensure we are recruiting sufficient suitably experienced staff to NWD hubs	CYPS C&F HoRes	Fri-30-Sep-22								
Reduction	22/689 - Continue rolling recruitment campaign supported by resourcing solutions to mitigate against retention issues	CYPS C&F HoCP&FR	Fri-30-Sep-22								
Reduction	22/1092 - Continue to explore and embed alternative models in relation to those not receiving 25 hours of education including implementation of strategic SAFE priorities	CYPS AD C&F	Fri-30-Sep-22								
Phase 4 - Post Risk Reduction Assessment											
Probability	M	Objectives	M	Financial	H	Services	M	Reputation	H	Category	2
Phase 5 - Fallback Plan											
Fallback Plan	24/245 - Increase reliance on commercial market to meet supply and demand									Action Manager	CYPS AD C&F

CYPS Directorate

Risk Register: **month 6 (Apr 2022) – detailed**

Next Review Due: **October 2022**

Report Date: **12th May 2022 (pw)**

Phase 1 - Identification											
Risk Number	24/211	Risk Title	24/211 - Schools Organisation and Capital Funding for places				Risk Owner	CD CYPS	Manager	CSD AD SR (HE) CYPS AD E&S	
Description	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.					Risk Group	Strategic	Risk Type	E&S 27/170		
Phase 2 - Current Assessment											
Current Control Measures			Consistent monitoring of forecast numbers. Links with District Councils and developers over major housing developments (including IDSG 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); Approach implemented to ensure that schools are financially sustainable in the medium-term; GEMS statement; updated Basic Need programme updated								
Probability	H	Objectives	M	Financial	M	Services	H	Reputation	H	Category	I
Phase 3 - Risk Reduction Actions											
							Action Manager	Action by	Completed		
Reduction	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-30-Sep-22			
Reduction	24/1151 - Continue arrangements to co-ordinate support for the process of academisation, to ensure smooth transfer of schools.						CYPS AD E&S	Fri-30-Sep-22			
Reduction	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-30-Sep-22			
Reduction	27/318 - Continue to work with Schools where increasing the physical capacity is required to meet the need for increased provision in early years, mainstream or high needs.						CSD AD SR (HE) CYPS AD E&S	Fri-30-Sep-22			
Reduction	27/617 - Continue to lobby the district and borough councils to implement the July 2020 NYCC July 2020 policy as their own						CYPS AD E&S	Fri-30-Sep-22			
Reduction	27/650 - Introduce a Good Estate Management for Schools (GEMS) statement on capital delivery to ensure we have mandate from members for our investment priorities; GEMS statement completed and will go to for sign off on 19th April Approved by Executive						CYPS AD E&S	Thu-31-Mar-22	Thu-31-Mar-22		
Reduction	27/657 - Ensure visibility of demand for additional school places through presentation of an updated basic need programme to executive. Completed						CYPS AD E&S	Thu-31-Mar-22	Tue-15-Mar-22		
Reduction	28/454 - Ensure consistent approach corporately to infrastructure funding, including CIL; ongoing established groups through the IDSG approach						CYPS AD E&S	Fri-30-Sep-22			

CYPS Directorate

Risk Register: **month 6 (Apr 2022) – detailed**

Next Review Due: **October 2022**

Report Date: **12th May 2022 (pw)**

Reduction	28/1428 - Continual review of the estate including maintenance requirement (ongoing)	CSD AD SR (HE)	Fri-30-Sep-22								
Reduction	28/1432 - Exploit alternative sources of funding for the delivery of new school spaces and encourage free school applications where appropriate and available	CSD AD SR (HE) CYPS AD E&S	Fri-30-Sep-22								
Reduction	28/1444 - Maintain constructive relationships with the Regional Schools Commissioner through regular meetings and receive their practical support	CYPS AD E&S	Fri-30-Sep-22								
Reduction	28/1445 - Work with the Property team to mitigate risks to deliver the 2021/2022 capital plans to ensure school place sufficiency and no depreciation of the estate. Mindful of additional uncertainty caused by eg. Covid and their potential impact on supply chain stability and costs.	CYPS AD E&S	Fri-30-Sep-22								
Phase 4 - Post Risk Reduction Assessment											
Probability	M	Objectives	M	Financial	M	Services	H	Reputation	H	Category	2
Phase 5 - Fallback Plan											
Fallback Plan	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,									Action Manager	CYPS AD E&S

CYPS Directorate

Risk Register: **month 6 (Apr 2022) – detailed**

Next Review Due: **October 2022**

Report Date: **12th May 2022 (pw)**

Phase 1 - Identification											
Risk Number	24/277	Risk Title	24/277 - Schools Funding Challenges				Risk Owner	Chief Exec	Manager	CD CYPS	
Description	Inadequate revenue and capital funding available for good quality schools, maintenance of school infrastructure and to ensure the sustainability of small rural schools in particular small secondary 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.					Risk Group	Resources	Risk Type			
Phase 2 - Current Assessment											
Current Control Measures			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; continual engagement with Ministers and in consultations;								
Probability	H	Objectives	M	Financial	M	Services	H	Reputation	H	Category	1
Phase 3 - Risk Reduction Actions											
							Action Manager	Action by	Completed		
Reduction	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)						CD CYPS CSD AD SR (HE)	Sun-31- Jul-22			
Reduction	24/563 - Continue to lobby Ministers, local MP and through F40 Group (ongoing)						CD CYPS	Sun-31- Jul-22			
Reduction	24/574 - Continue to deploy finance staff into schools with the biggest financial challenges to undertake financial consultancy to ensure schools balance their budget within 3 years. Commission and undertake SRMA deployments for North Yorkshire LA maintained schools.						CSD AD SR (HE)	Fri-30- Sep-22			
Reduction	24/641 - Embed an approach to integrated curriculum and financial planning and support and encourage collaboration and federation. Explore further collaboration opportunities for schools to achieve efficiencies.						CSD AD SR (HE)	Fri-30- Sep-22			
Reduction	24/1152 - Develop a business case (in final consultation Mar 2020) for special provision across the County to ensure value for money						CSD AD SR (HE) CYPS AD Incl	Sat-31- Dec-22			
Reduction	24/1182 - Implement outcome of review of special provision						CSD AD SR (HE) CYPS AD Incl	Fri-31- Mar-23			
Phase 4 - Post Risk Reduction Assessment											
Probability	M	Objectives	M	Financial	M	Services	H	Reputation	H	Category	2

CYPS Directorate

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Phase 5 - Fallback Plan		Action Manager
Fallback Plan	24/562 - Consider Schools reorganisation and financially sustainable educational arrangements	CD CYPS

CYPS Directorate

Risk Register: month 6 (Apr 2022) – detailed

Next Review Due: October 2022

Report Date: 12th May 2022 (pw)

Phase 1 - Identification											
Risk Number	24/276	Risk Title	24/276 - Childhood Futures				Risk Owner	CD CYPS	Manager	CYPS AD Incl	
Description	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					Risk Group	Contracts/Performance	Risk Type	E&S 27/265		
Phase 2 - Current Assessment											
Current Control Measures			Healthy Child Programme (HCP) s75 agreement in place; HP2 theme as part of transformation programme; Being Young in North Yorkshire published; Childhood Futures board established; CF scope, vision and priorities reviewed; school readiness zone pilot; HCP s75; Emotional Health and Wellbeing services commissioned								
Probability	M	Objectives	M	Financial	H	Services	H	Reputation	M	Category	2
Phase 3 - Risk Reduction Actions											
							Action Manager	Action by	Completed		
Reduction	21/605 - Some workstreams agreed but still need to develop the full work programme including data matching and understanding of support needs						CYPS Comm Mgr Health	Fri-30-Sep-22			
Reduction	21/606 - Pilot school readiness zones; relaunched in July 2020 including a number of smaller projects in the two areas; evaluation report being reviewed						CYPS Comm Mgr Health	Sat-31-Jul-21	Thu-30-Sep-21		
Reduction	21/630 - Develop and obtain approval for the s75 proposal for all elements of HCP post Apr 2021 including appropriate governance arrangements; was paused due to Covid-19 and governance issues but now in development with legal services						CYPS Comm Mgr Health	Sat-31-Jul-21	Sat-31-Jul-21		
Reduction	21/661 - Ensure effective use of data to better predict risk and identify earlier those children and families that may need early support and a multi agency response						CYPS Comm Mgr Health	Fri-30-Sep-22			
Reduction	21/663 - Working with CCGs and TEWV to commission Emotional Health and Wellbeing services; the s75 is being worked up and consultation will take place through autumn/winter 2021 - done						CYPS Comm Mgr Health	Thu-31-Mar-22	Thu-31-Mar-22		
Reduction	24/642 - Outcome of the review of CHC arrangements for the needs of SEND children with Health on hold during pandemic, action plan to be developed and implemented						CSD AD SR (HE) CYPS AD Incl	Fri-30-Sep-22			
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	M	Financial	M	Services	H	Reputation	H	Category	3
Phase 5 - Fallback Plan											
									Action Manager		
Fallback Plan	21/569 - Individual services affected would be subject to open market exercise							CYPS Comm Mgr Health			

CYPS Directorate

Risk Register: **month 6 (Apr 2022) – detailed**

Next Review Due: **October 2022**

Report Date: **12th May 2022 (pw)**

Phase 1 - Identification											
Risk Number	24/250	Risk Title	24/250 - Safeguarding Arrangements				Risk Owner	CD CYPS	Manager	CYPS AD C&F	
Description	Failure to have a robust approach to Safeguarding in place results in risk to vulnerable children and families and not protecting them from harm.					Risk Group	Safeguarding	Risk Type	C&F 22/252		
Phase 2 - Current Assessment											
Current Control Measures		North Yorkshire Safeguarding Children Partnership website; regularly reviewed procedures; monthly performance data for monitoring; audit regime; manager authorisation of all assessments; LCS; missing and at risk of exploitation multi-agency procedures and Specialist Social Worker roles to support practitioners ; training strategy; clear supervision process which is audited on a regular basis; Multi Agency Screening Team (MAST); OFSTED 'outstanding' categorisation; Mgt file audit of case files; monitoring and management of performance against agreed targets in the SMT action plan; Front Door Health Check completed by peer authority; Hidden Harm Group									
Probability	M	Objectives	H	Financial	H	Services	M	Reputation	H	Category	2
Phase 3 - Risk Reduction Actions											
							Action Manager	Action by	Completed		
Reduction	22/407 - Continuation of 'Practice Weeks' where managers will visit locations to observe and review practice; these are now in place and teams will to be involved in the planning to make these more effective; regular QA board reviews this activity and ensures plans are in place where required						CYPS C&F SMT	Fri-30-Sep-22			
Reduction	22/645 - Develop contingency plans around the MAST to provide support should demand increase; contingences were put in place but have not been needed to date						CYPS C&F Snr HoS	Fri-30-Sep-22			
Reduction	22/1079 - Use and further development of performance dashboards to support individual managers including development of managing upwards reports which support management and ownership of performance; ; a number of SG dashboards are used by team managers and there is a monthly performance board; a "single view" dashboard is being worked towards						CYPS C&F Snr HoS	Sun-30-Apr-23			
Reduction	24/431 - Continue to ensure compliance with Children and Families' and Partnership's procedures						CYPS AD C&F	Fri-30-Sep-22			
Reduction	24/433 - Formulation of Group Manager and Specialist Social Workers to oversee and support practice in relation to Contextual Safeguarding						CYPS C&F Snr HoS	Thu-30-Sep-21	Thu-30-Sep-21		
Reduction	24/434 - Manage the risk that as children, young people and their families are not seen by their networks and professionals they would usually have contact with due to restrictions; back to BAU as far as visits to families etc; Locality Groups in place for those not in 25 hours of education.						CYPS C&F Snr HoS	Fri-30-Sep-22			
Reduction	24/571 - Ensure that service dashboards reflect the criteria for each of the key inspection areas and are monitored on a regular basis; Ed & Skills dashboard being pulled together						CYPS AD C&F CYPS AD E&S CYPS AD Incl	Fri-30-Sep-22			
Reduction	24/1162 - Continue to feed into review of EDT arrangements (adult lead) as required; project group being set up to progress actions from recent review						CYPS AD C&F	Fri-30-Sep-22			
Reduction	24/1179 - Ensure pre inspection readiness within CYPS for the inspections of LA services, and for schools within the inspection window by continual monitoring of performance and identifying areas for further improvement by assessing their impact (ongoing); dashboards will help improve this area						CSD AD SR (HE) CYPS AD C&F CYPS AD E&S CYPS AD Incl	Fri-30-Sep-22			

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Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	H	Financial	H	Services	M	Reputation	H	Category	3
Phase 5 - Fallback Plan											
										Action Manager	
Fallback Plan	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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Report Date: **12th May 2022 (pw)**

Phase 1 - Identification											
Risk Number	24/213	Risk Title	24/213 - Change Programmes				Risk Owner	CD CYPS	Manager	CSD AD SR (HE)	
Description	Failure to maintain a strong change culture, processes and supporting capacity within CYPS to deliver transformational change such as post Covid new ways of working, Local Government Reorganisation and the existing NY Transformation Programme, together with the delivery of savings targets and addressing national funding and policy changes, resulting in lack of the right capacity at the right time, demand pressures, bottlenecks, inability to plan and overspending.					Risk Group	Financial	Risk Type			
Phase 2 - Current Assessment											
Current Control Measures			Strong platform for Workforce development including culture around innovation and change; leadership capacity and experience in place; regular review and restructures carried out when necessary; 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 NY Transformation Programme work strands; detailed financial planning; cost budget monitoring based on risk assessment of all service areas; collective responsibility for budget; 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; consider and respond to any issues arising from the Staff Surveys;								
Probability	M	Objectives	M	Financial	H	Services	H	Reputation	H	Category	2
Phase 3 - Risk Reduction Actions											
Reduction	24/312 - Maintain leadership of programme and project activity and ensure regular monitoring and report to CYPLT of progress on all NY Transformation Programme work; ensure regular scheduled reviews of Directorate resource requirements to support programme takes place; ensure link to planning of workforce capacity to meet the changing context (ongoing)					Action Manager	CD CYPS CYPs Prog Board	Action by	Fri-30-Sep-22	Completed	
Reduction	24/414 - Engage and continue to deliver the transformational programmes across the directorate and ensure managers have the right skills, attitude and technology for delivering services (ongoing)					Action Manager	CYPS HoHR	Action by	Fri-30-Sep-22	Completed	
Reduction	24/1000 - Retain focus on budgetary high risk areas of concern for monitoring processes and systems including projects with temporary funding (ongoing)					Action Manager	CSD AD SR (HE) CSD SR HoFP	Action by	Fri-30-Sep-22	Completed	
Reduction	24/1146 - Ensure strong continued budget management by staff at all levels within the Directorate and encourage use of budget management tools including e forecasting (ongoing).					Action Manager	CSD AD SR (HE)	Action by	Fri-30-Sep-22	Completed	
Reduction	24/1149 - Ensure effective engagement in the LGR change programme					Action Manager	CYPS LT	Action by	Fri-30-Sep-22	Completed	
Reduction	24/1187 - Consider and respond to any issues arising from the Staff Survey 2021 together with post Covid new ways of working requirements					Action Manager	CYPS LT	Action by	Fri-30-Sep-22	Completed	Fri-31-Dec-21
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	M	Financial	M	Services	H	Reputation	M	Category	3

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

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Report Date: **12th May 2022 (pw)**

Phase 1 - Identification											
Risk Number	24/178	Risk Title	24/178 - Information Governance and Health and Safety - Health and Safety part under review				Risk Owner	Chief Exec	Manager	CD CYPS	
Description	Failure to ensure that good and safe governance arrangements in respect of data security and health and safety are in place throughout the Directorate resulting in potential Corporate Manslaughter, increased cost/claims, fines/prosecution, criticism and damage to the Council's reputation.					Risk Group	Legislative	Risk Type			
Phase 2 - Current Assessment											
Current Control Measures	Info Gov: Issues, concerns, major breaches discussed at CYPS Leadership Team; quarterly information governance reports presented to CYPS Leadership Team, CYPS Risk Management Group established where reports and updates are presented to Service Group reps; 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; H&S: 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; Under Review H&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&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										
Probability	M	Objectives	M	Financial	H	Services	M	Reputation	H	Category	2
Phase 3 - Risk Reduction Actions											
							Action Manager	Action by	Completed		
Reduction	24/359 - Work closely with the Data Governance team in Strategic Support (Info Gov)						CYPS CYPLT	Mon-31-Oct-22			
Reduction	24/474 - Continue to review and update the information asset registers in line with policy guidelines (Info Gov)						CYPS CYPLT	Mon-31-Oct-22			
Reduction	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	Mon-31-Oct-22			
Reduction	24/500 - Continue work on converting paper based communications to electronic communications (Info Gov)						CYPS CYPLT	Mon-31-Oct-22			
Reduction	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	Mon-31-Oct-22			
Reduction	24/561 - Continue to complete Information Sharing Agreements when sharing data externally (Info Gov)						CYPS CYPLT	Mon-31-Oct-22			
Reduction	24/1150 - Continue to report breaches immediately, investigate all information breaches thoroughly and take action against individuals as appropriate. (Info Gov)						CYPS CYPLT	Mon-31-Oct-22			

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Reduction	24/1189 - Develop and implement a reviewed and revised Health and Safety action plan; working with H&S to develop a draft for review at CYPS RM Group Jun 2022 (H&S)					CYPS AD E&S	Mon-31-Oct-22				
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	M	Financial	M	Services	M	Reputation	H	Category	3
Phase 5 - Fallback Plan											
Fallback Plan	24/527 - Info Gov: More rigorous intensive information governance training for staff & following ICO procedures. H&S: Review processes and procedures and potentially stop risk taking activities									Action Manager	
										CD CYPS	

CYPs Directorate

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Report Date: **12th May 2022 (pw)**

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, given the current Covid pressures and lack of 2020 data, 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			Detailed analysis of data; annual performance review and target settings with schools including team around the school (categorisation); effective targeted intervention; School Improvement strategy including monitoring groups for vulnerable children; alternative models of school leadership including mergers and federations; locality boards developed and the North Yorkshire Learning Trust to be established;								
Probability	M	Objectives	M	Financial	M	Services	L	Reputation	H	Category	2
Phase 3 - Risk Reduction Actions											
							Action Manager	Action by	Completed		
Reduction	24/428 - Working together through locality boards and develop the North Yorkshire Learning Trust; all locality boards are up and running with action plans, work has begun on the approved provider list						CYPs AD E&S	Fri-30-Sep-22			
Reduction	24/430 - Continue to implement plans to further improve Children in Care educational outcomes particularly with the focus on progress – ongoing						CYPs Virtual School Head	Fri-30-Sep-22			
Reduction	24/571 - Ensure that service dashboards reflect the criteria for each of the key inspection areas and are monitored on a regular basis; Ed & Skills dashboard being pulled together						CYPs AD C&F CYPs AD E&S CYPs AD Incl	Fri-30-Sep-22			
Reduction	24/1179 - Ensure pre inspection readiness within CYPs for the inspections of LA services, and for schools within the inspection window by continual monitoring of performance and identifying areas for further improvement by assessing their impact (ongoing); dashboards will help improve this area						CSD AD SR (HE) CYPs AD C&F CYPs AD E&S CYPs AD Incl	Fri-30-Sep-22			
Reduction	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; will be integrated into Childhood Futures board						CD CYPs	Fri-30-Sep-22			
Reduction	27/401 - Re-establish partnership work under the LEP umbrella to establish stronger links with HE, FE, colleges, businesses and employers through the skills agenda; stronger links developed, appropriate representation on NEET forums and prioritised within the council						CYPs AD E&S	Fri-30-Sep-22			
Reduction	27/618 - Ensure we implement a clear, rigorous QA process for all school improvement activity including where partners have been commissioned to deliver support within TSA and NLE, setting the standards and recording and evaluation protocols to be adhered to; have set up an internal QA process for the School Improvement team						CYPs AD E&S	Fri-30-Sep-22			
Reduction	27/658 - Review the performance of small schools and develop best practice approaches; small school network developed and principal advisor appointed, training offer to be developed; increased allocation of core improvement activity; small school strategy group incl financial and strategic planning have developed an engagement framework for small schools						CYPs AD E&S	Fri-30-Sep-22			

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Reduction	27/1372 - Continue the evaluation of the school improvement service to ensure it remains fit for need; restructure was implemented from Jan 2020; PIR has taken place and a report will be taken to CYPLT in June 2021; improvement report signed off and conclusions will inform practice moving forward; new school improvement strategy being implemented from Sep 21	CYPs AD E&S	Fri-30-Sep-22	
Reduction	27/1390 - Continue to work with colleagues across CYPs and key stakeholders to ensure that there is a strategic approach to early years and development of approaches that deliver significant impact through Childhood Futures	CYPs AD E&S	Fri-30-Sep-22	
Phase 4 - Post Risk Reduction Assessment				
Probability	L	Objectives	M	Financial
			M	Services
			L	Reputation
			H	Category
				3
Phase 5 - Fallback Plan				
				Action Manager
Fallback Plan	24/560 - Continually review via internal mechanisms and the new NY Education Partnership and challenge Programmes and Strategies in order to ensure better educational outcomes			CD CYPs

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Report Date: **12th May 2022 (pw)**

Phase 1 - Identification											
Risk Number	24/280	Risk Title	24/280 - Schools White Paper - "To Be Developed"					Risk Owner	CD CYPS	Manager	CYPS AD E&S
Description	Failure to manage the response to the implications in the Schools White Paper resulting in inability to effectively support schools with appropriate standards, support, functions and sustainability; poor staff morale						Risk Group	Legislative	Risk Type		
Phase 2 - Current Assessment											
Current Control Measures			Schools White Paper								
Probability	L	Objectives	M	Financial	H	Services	M	Reputation	H	Category	3
Phase 3 - Risk Reduction Actions											
							Action Manager	Action by	Completed		
Reduction	24/524 - Establish a task and finish group to develop the LA's framework for a response						CYPS AD E&S	Thu-30-Jun-22			
Reduction	24/525 - Develop an action plan based on engagement with key stakeholders (schools, trusts, senior management and elected members)						CYPS AD E&S				
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	M	Financial	H	Services	M	Reputation	H	Category	3
Phase 5 - Fallback Plan											
									Action Manager		
Fallback Plan											

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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	14	31/05/2022	M	M	M	H	M	2	Y	CYPS AD Incl
	24/27 - Children in care and those on the edge of care	Failure to ensure that arrangements for children in care and those on the edge of care provide sufficient support for those with multiple and complex needs (including work on step down from Tier 4 cases and those not receiving 25 hours of education); that the service supports the regionalised adoption service; and ensures sufficient foster carers are recruited; all this in the light of current economic uncertainty, increased costs and workforce pressures (including Covid related absences) 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	H	M	H	M	H	1	10	30/09/2022	M	M	H	M	H	2	Y	CYPS AD C&F
	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	12	30/09/2022	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 in particular small secondary 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	6	31/07/2022	M	M	M	H	H	2	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		
◀▶	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	6	30/09/2022	L	M	M	H	H	3	Y	CYPS Comm Mgr Health
◀▶	24/250 - Safeguarding Arrangements	Failure to have a robust approach to Safeguarding in place results in risk to vulnerable children and families and not protecting them from harm.	CD CYPS	CYPS AD C&F	M	H	H	M	H	2	9	30/09/2022	L	H	H	M	H	3	Y	CD CYPS
◀▶	24/213 - Change Programmes	Failure to maintain a strong change culture, processes and supporting capacity within CYPS to deliver transformational change such as post Covid new ways of working, Local Government Reorganisation and the existing NY Transformation Programme, together with the delivery of savings targets and addressing national funding and policy changes, resulting in lack of the right capacity at the right time, demand pressures, bottlenecks, inability to plan and overspending.	CD CYPS	CSD AD SR (HE)	M	M	H	H	H	2	6	30/09/2022	L	M	M	H	M	3	Y	CYPS LT
◀▶	24/178 - Information Governance and Health and Safety - Health and Safety part under review	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	8	31/10/2022	L	M	M	M	H	3	Y	CD CYPS
◀▶	24/249 - Educational Outcomes	Failure to ensure positive educational outcomes for children and young people together with appropriate support for schools to be good or outstanding, given the current Covid pressures and lack of 2020 data, 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	10	30/09/2022	L	M	M	L	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		
- new -	24/280 - Schools White Paper - "To Be Developed"	Failure to manage the response to the implications in the Schools White Paper resulting in inability to effectively support schools with appropriate standards, support, functions and sustainability; poor staff morale	CD CYPS	CYPS AD E&S	L	M	H	M	H	3	2	30/06/2022	L	M	H	M	H	3	N	

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