

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

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	

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

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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