

NORTH YORKSHIRE COUNCIL

AUDIT COMMITTEE

26 JUNE 2023

**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 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 government has subsequently indicated that it will not move forward on the white paper in legislative terms. However, from a governance perspective, the most impactful policy proposals were 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 local authorities. The government has indicated that although they will not legislate for this proposal, this remains their aim and the Department for Education will consider other options/measures to encourage academisation. The local authority will continue to work with all LA maintained schools and other stakeholders to support local authority maintained schools to determine the most appropriate governance arrangements for their school and community.

(b) SEND Green Paper and High Needs

In March 2023, the Department for Education published the SEND and Alternative Provision Improvement Plan: right support, right place, right time. This followed the SEND and Alternative Provision green paper which DfE consulted on in March 2022. The plan outlines a roadmap to create a national system underpinned by national standards which includes:

- Delivering National SEND and Alternative Provision Standards
- Delivering a single national SEND and alternative provision system
- Updated SEND code of practice, consistent education, health and care plan processes making greater use of digital technology
- Development of innovative approaches for short breaks
- Further investment to increase the capacity in supporter internships
- A new leadership level special educational needs co-ordinator national professional qualification
- Investment to train more cohorts of educational psychologists
- Making significant progress towards the development and implementation of a system of funding bands and tariffs to back the national standards

The SEND and AP Improvement Plan has been 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 2023 amounted to £10m. A projected in-year deficit of c.£3m in 2023-24 will, if confirmed, result in an accumulated deficit of c.£13m by end-March 2023.

One key element in North Yorkshire is ensuring that, where possible, children and young people can have their needs met as locally as possible. In the context of limited capital funding, North Yorkshire has agreed a £20.5m capital investment programme to support additional capacity within North Yorkshire special schools, targeted mainstream provision, and establishing three new free schools. 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, are insufficient to meet the backlog of maintenance requirements. With contributions from this funding source committed to meeting SEND priorities, the local authority will continue to face challenges in delivering against planned maintenance backlogs and other improvement projects.

North Yorkshire is also commencing engagement with the Department for Education's 'Delivering Better Value in SEND' programme (Tranche 3). This 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 22 councils with some of the highest deficits receive £300m funding.

(c) Independent Review of Children's Social Care

Following the publication of the Independent Review of Children's Social Care in May 2022, the government published its strategy and consultation on children's

social care, *Stable Homes, Built on Love* in February 2023. The consultation closed in mid-May 2023 and seeks views on six strategic pillars – the DfE acknowledge that every local authority will be impacted by reforms. Additionally, the DfE have indicated their intention that over the next 18 months there will be opportunities for local authorities to shape the reforms and address systemic issues including foster care recruitment and retention, use of agency workforce, kinship carers training and support, child protection and family networks, co-designing regional care commissioning co-operatives, an early career framework, and a national framework and dashboard to set national direction for practice.

(d) School Funding

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

(e) Inflationary Pressures

General inflation remains high – the Consumer Prices Index (CPI) rose by 8.7% in the 12 months to April 2023. In terms of CYPS, 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 and significant additional provision was included in the budget for 2023-24 to manage this demand. In response, the Directorate will explore ways in which costs can be mitigated. 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.

(f) PFI Contract Exit Planning

In April 2002 the County Council commenced payments on a Private Finance Initiative (PFI) scheme which provided for four replacement primary schools: at Barlby Community Primary School, Brotherton and Byram Community Primary School, Kirby Hill C of E Primary School (near Boroughbridge) and Ripon Cathedral CE. The contract is for 25 years and ceases in 2027. Brotherton and Byram CPS converted to academy status on 1st August 2015. Two of the schools, Kirby Hill CE and Ripon Cathedral C of E Primary School are voluntary controlled schools; on expiry of the private finance initiative in 2027, these two school buildings will transfer to the respective Trustees of each of the schools. The expiry of the PFI contract requires detailed preparation to avoid operational disruption or financial loss and to ensure a smooth transition process. The local authority has established a PFI Contract Exit Steering Group and appointed a Senior Responsible Owner (SRO) to provide appropriate governance and oversight of transition arrangements.

(g) Mental Health

The mental health system of care in North Yorkshire has been earmarked for transformation work, after a 2022 review identified several systems changes and made significant recommendations. However, this relies on funding from the local

authority, Tees Esk and Wear Valley NHS Foundation Trust and the Integrated Care Board. It is an appropriate time to revisit the workstream and investigate the feasibility of all parts, or potentially incorporate it into a wider whole system overhaul. However, it may be that there are limits to what can be achieved within the existing financial envelope.

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 Council has recently been changed. The process and reports that are provided continue to be similar for ease of understanding, but the Council now uses a 5x5 risk assessment ranging from very low to very high in terms of both **likelihood** and **impact**: Once the likelihood and impact for a risk have been assessed, the risk scoring is calculated. The following table shows the scoring, assessment and suggested required actions:

Colour	Score	Assessment	Required Action
	1 – 2	Very Low (tolerate)	Risk should not appear in risk register.
	3 – 4	Low (tolerate)	Regular monitoring, action plan not essential, acceptable just to maintain current controls.
	5 – 9	Medium (treat)	Frequent monitoring, action plan required.
	10-12	Medium High (treat)	Frequent monitoring, action plan required to prevent from becoming a red risk.
	15 – 16	High (treat)	Constant monitoring, action plan required and escalation to next level for consideration / inclusion.
	20 – 25	Very High (treat / terminate)	Constant monitoring, action plan required and escalation to next level with request for inclusion. Consider terminating activity (if an option) where score cannot be reduced by risk mitigation.

- 4.3 The DRR represents the principal risks that may materially impact on the performance and financial outcomes of the Directorate. The CYPS DRR has been reviewed twice since it was presented to the Committee and was last reviewed in April 2023. 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 2022:
- NEW: SEND High Needs Budget: the LA will commence the DfE's Delivering Better Value in SEND programme.
 - NEW: SEND High Needs Budget: ensuring pre-inspection readiness within CYPS for the inspection of LA service, and for schools within the inspection window by continual monitoring of performance and identifying areas for further improvement by assessing their impact.
 - NEW: Children in care and those on the edge of care: the LA will complete and deliver the action plan following the Ofsted inspection of both No Wrong Door (NWD) hubs (inspection rating now "requires improvement")
 - NEW: Children in care and those on the edge of care: the LA will review the strategy for, and operation of, the Young People's Accommodation Pathway
 - NEW: Schools Organisation and Funding for Places: school condition is to be reviewed to inform maintenance plans to avoid loss of disruption to school places or impact on health and safety.
 - UPDATE: Childhood Futures: although this risk is on the register, the direction of this work will be included in the CYPS transformation programme.
 - UPDATE: Change Programmes and Transformation: this risk will include the transformation programme that will take place as a result of Local Government Reorganisation as well as other necessary changes within CYPS
 - UPDATE: Information Governance and Health and Safety: the Health and Safety plan has been reviewed and revised. This now includes work to develop the new schools' emergency response guide, ensure compliance with CDM regulations, and ensure appropriate training in dealing with violence and aggression in schools and social care settings.
 - CHANGE: at Audit Committee in June 2022, a new Directorate-level risk had 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. The risk log had not been fully developed, but has subsequently been removed from the DRR in line with the government's indication that they will not legislatively progress the actions outlined in the White Paper (see also section 3.1a). The changing

educational landscape is kept under review and the Directorate will regularly consider whether a Directorate-level risk is required.

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:

- Safeguarding Arrangements: contingency plans have been developed around the MAST to provide support should demand increase.
- School Funding Challenges: a capital investment programme of £20.5m has been agreed to invest in up to 350 additional places including within special schools, targeted mainstream provision and additional free schools.

5.0 FINANCIAL IMPLICATIONS

5.1 There are no direct financial implications as a result of this report.

6.0 LEGAL IMPLICATIONS

6.1 There are no direct legal implications as a result of this report.

7.0 EQUALITIES IMPLICATIONS

7.1 There are no direct equalities impacts as a result of this report.

8.0 CLIMATE CHANGE IMPLICATIONS

8.1 There are no direct climate change implications as a result of this report.

9.0 RECOMMENDATION

9.1 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

APPENDICES:

Appendix A – Directorate Risk Register – Detailed
Appendix B – Directorate Risk Register - Summary

BACKGROUND DOCUMENTS:

None

Stuart Carlton
Corporate Director – Children and Young People's Services
County Hall

Northallerton
26th June 2023

Report Author - Howard Emmett, Assistant Director – Resources
Presenter of Report – Howard Emmett, Assistant Director - Resources

CYPS Directorate

Risk Register: **month 6 (Apr 2023) – detailed**

Next Review Due: **October 2023**

Report Date: **4th May 2023 (pw)**

Phase 1 - Identification								
Ref.	CYP2	Title	SEND High Need Budget		Risk Owner	CD CYPS	Risk Manager	CYPS AD Incl
Risk 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	Linked Risk(s)	YIN2
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; Independent review of decision making carried out; new funding model for the PRS embedded and reviewed; capital plan agreed (April 2023)								
Current Probability	VH	Current Impact	VH	Current Risk Score	25	Current Risk Category		Very High
Phase 3 - Risk Mitigation Plan								
Reduction Action						Action Manager	Due Date	Date Completed
RRCYP1	Continue to ensure the Schools Forum is aware of the funding risks and challenges it faces					CYPS AD Incl	30-Sep-2023	
RRCYP10	Carry out review of sufficiency in services for provision of SEND linked to DfE Better Value Programme					CYPS AD Incl	30-Sep-2023	
RRCYP11	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	31-Aug-2023	
RRCYP12	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					CYPS AD C&F; CYPS AD E&S; CYPS AD Incl; RES AD (HE)	31-Aug-2023	
RRCYP2	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 Hol	30-Sep-2023	
RRCYP3	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 (capital plan agreed April 2023, places available from Sept 2025)					CYPS AD Incl	31-Mar-2024	
RRCYP4	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	30-Sep-2023	

CYPS Directorate

Risk Register: **month 6 (Apr 2023) – detailed**

Next Review Due: **October 2023**

Report Date: **4th May 2023 (pw)**

RRCYP5	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; New QA process from Sept for commissioned places jointly between service and procurement	CYPS AD Incl	30-Sep-2023	
RRCYP6	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	30-Sep-2023	
RRCYP7	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 - taking part in delivering better value programme, as part of this we are to produce a five-year high needs budget which will feed back in to DSG deficit management action plan	CYPS AD Incl; RES AD (HE)	30-Sep-2023	
RRCYP8	Embed and review the targeted mainstream provision that replace the EMS model; nine provisions established; about to embark on a further campaign to attract new schools	CYPS AD Incl	30-Sep-2023	
RRCYP85	Develop and implement a deep dive into High Needs each quarter	CYPS AD Incl; RES AD (HE)	31-May-2024	
RRCYP9	Take part in SEND Better Value Programme starting June 2022	CYPS AD Incl	31-Dec-2024	
Phase 4 - Target Risk Assessment				
Target Probability	H	Target Impact	H	Target Risk Score 16 Target Risk Category High
Phase 5 - Fallback Plan				
Fallback Plan				
Redirection of resources from areas that have achieved savings				

CYPS Directorate

Risk Register: **month 6 (Apr 2023) – detailed**

Next Review Due: **October 2023**

Report Date: **4th May 2023 (pw)**

Phase 1 - Identification								
Ref.	CYP3	Title	Children in care and those on the edge of care		Risk Owner	CD CYPs	Risk Manager	CYPs AD C&F
Risk 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 including for UASC; all this in the light of current economic uncertainty, increased cost of living and workforce pressures; failure to do so results in poorer outcomes for young people, the need for high cost interventions/placements and reputational damage				Risk Group	Performance	Linked Risk(s)	YCF2
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; 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; worked with YJS to review the partnership decision making arrangements to reduce the likelihood of high cost secure and remand cases; Transitions pathway to HAS								
Current Probability	H	Current Impact	H	Current Risk Score	16	Current Risk Category	High	
Phase 3 - Risk Mitigation Plan								
Reduction Action						Action Manager	Due Date	Date Completed
RRCYP13	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 HoPS	30-Sep-2023	
RRCYP14	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 (marketing plan in place) have progressed virtual options for this and are now re-establishing face-to-face foster carer recruitment events					CYPs C&F HoPS	30-Sep-2023	
RRCYP15	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; also need to ensure timely referral to the Transitions to HAS pathway					CYPs C&F HoCP&FR	30-Sep-2023	
RRCYP16	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 HoEH; CYPs C&F HoPS	30-Sep-2023	
RRCYP17	Continue to review all children in care cases to consider discharge options via the weekly best practice and scrutiny meetings and monthly care proceedings meetings					CYPs C&F HoCP&FR	30-Sep-2023	

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Next Review Due: **October 2023**

Report Date: **4th May 2023 (pw)**

RRCYP18	Work through the Professional Development Academy to consolidate activities around recruitment, retention and succession planning for the whole service	CYPS C&F HoEP	30-Sep-2023	
RRCYP19	Ensure we are recruiting sufficient suitably experienced staff to NWD hubs	CYPS C&F HoEP	30-Sep-2023	
RRCYP20	Continue rolling recruitment campaign supported by resourcing solutions to mitigate against retention issues, including hearing feedback from existing and former staff around what works and what could be improved	CYPS C&F HoCP&FR	30-Sep-2023	
RRCYP21	Continue to embed the practice model in particular the area of reunification for CiC and the process to follow. Partnership working with agencies, legal and CAFCASS to understand our reunification process	CYPS C&F HoCP&FR	30-Sep-2023	
RRCYP22	Complete and deliver the action plan following the OFSTED inspection of both NWD hubs; inspection rating now "requires improvement". Continued action plan being monitored by improvement board.	CYPS C&F HoPS	30-Sep-2023	
RRCYP23	Continued liaison via foster carer association chairs meeting to respond to concerns over cost of living crisis	CYPS C&F HoPS	30-Sep-2023	
RRCYP24	Re-procure the Young Person's Pathway service	CYPS C&F HoCP&FR	30-Sep-2023	
RRCYP25	Work with the National Transfer Scheme and dispersal centre to ensure sufficient placement resources to meet increased demand for UASC	CYPS C&F HoPS	30-Sep-2023	
RRCYP26	Continue to explore and embed alternative models in relation to those not receiving 25 hours of education including implementation of strategic SAFE priorities; established a community of practice across the service	CYPS AD C&F	30-Sep-2023	
Phase 4 - Target Risk Assessment				
Target Probability	H	Target Impact	H	Target Risk Score 16 Target Risk Category High
Phase 5 - Fallback Plan				
Fallback Plan				
Increase reliance on commercial market to meet supply and demand				

CYPS Directorate

Risk Register: **month 6 (Apr 2023) – detailed**

Next Review Due: **October 2023**

Report Date: **4th May 2023 (pw)**

Phase 1 - Identification								
Ref.	CYP4	Title	Safeguarding Arrangements		Risk Owner	CD CYPS	Risk Manager	CYPS AD C&F
Risk 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	Linked Risk(s)	YCF3
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); 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; Group Manager and Specialist Social Workers to oversee and support practice in relation to Contextual Safeguarding; daily performance management through dashboards by managers; system BCP in case of failure								
Current Probability	H	Current Impact	H	Current Risk Score	16	Current Risk Category		High
Phase 3 - Risk Mitigation Plan								
Reduction Action						Action Manager	Due Date	Date Completed
RRCYP12	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					CYPS AD C&F; CYPS AD E&S; CYPS AD Incl; RES AD (HE)	31-Aug-2023	
RRCYP27	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	30-Sep-2023	
RRCYP28	Develop contingency plans around the MAST to provide support should demand increase; contingency plans are in place					CYPS C&F Snr HoS	30-Sep-2022	30-Sep-2022
RRCYP29	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	30-Apr-2023	
RRCYP30	Continue to ensure compliance with Children and Families' and Partnership's procedures					CYPS AD C&F	30-Sep-2023	
RRCYP31	Manage the risk of children not returning to education post covid; Locality Groups in place for those not in 25 hours of education, targeted support to EHE and visit dashboard in use					CYPS C&F Snr HoS	30-Sep-2023	
RRCYP32	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	31-Aug-2023	
RRCYP33	Continue to feed into review of EDT arrangements (adult lead) as required; project group being set up to progress actions from recent review; review progressing and well embedded					CYPS AD C&F	30-Sep-2023	
RRCYP34	Use a range of tools and resources such as continued rolling recruitment campaigns including international recruitment, development of internal career pathways, providing an attractive employment offer and ensuring that					CYPS AD C&F	30-Sep-2023	

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Next Review Due: **October 2023**

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	pay is as competitive as possible, to manage the rising demand from increased referrals and greater difficulties in recruitment and retention						
Phase 4 - Target Risk Assessment							
Target Probability	H	Target Impact	H	Target Risk Score	16	Target Risk Category	High
Phase 5 - Fallback Plan							
Fallback Plan							
Carry out necessary review of approach, target underperforming areas and take on lessons learned from any serious case reviews							

CYPs Directorate

Risk Register: **month 6 (Apr 2023) – detailed**

Next Review Due: **October 2023**

Report Date: **4th May 2023 (pw)**

Phase 1 - Identification									
Ref.	CYP5	Title	Schools Organisation and Capital Funding for places		Risk Owner	CD CYPs	Risk Manager	CYPs AD E&S; RES AD (HE)	
Risk 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 Council as local authority.				Risk Group	Strategic	Linked Risk(s)	YES2	
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 NYC 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; liaison with Education Funding Agency (EFA), DfE and Regional Director; Approach implemented to ensure that schools are financially sustainable in the medium-term; GEMS statement; updated Basic Need programme updated									
Current Probability	H	Current Impact	H	Current Risk Score		16	Current Risk Category	High	
Phase 3 - Risk Mitigation Plan									
Reduction Action							Action Manager	Due Date	Date Completed
RRCYP35	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)						CYPs AD E&S; RES AD (HE)	31-Aug-2023	
RRCYP36	Continue arrangements to co-ordinate support for the process of academisation, to ensure smooth transfer of schools, the volume of which will be subject to Council involvement in test and learn opportunities.						CYPs AD E&S	31-Aug-2023	
RRCYP37	Continue to encourage, support and build capacity to enable schools to work collaboratively to seek to ensure continued viability, financial sustainability and delivery of strong and sustained outcomes for pupils, with a small and rural school focus						CYPs AD E&S; RES AD (HE)	31-Aug-2023	
RRCYP38	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, noting the competing demands for increasingly scarce funding.						CYPs AD E&S; RES AD (HE)	31-Aug-2023	
RRCYP39	Continue to lobby the district and borough councils to implement the July 2020 NYCC developer contribution policy as their own; this will be resolved via the LGR work stream						CYPs AD E&S	31-Aug-2023	
RRCYP40	Ensure full corporate understanding of the funding position and competing demands						CYPs AD E&S	31-Aug-2023	

CYPS Directorate

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Next Review Due: **October 2023**

Report Date: **4th May 2023 (pw)**

RRCYP41	Ensure consistent approach corporately to infrastructure funding, including CIL; ongoing established groups through the IDSG approach	CYPS AD E&S	31-Aug-2023	
RRCYP42	Continual review of the estate including maintenance requirement; ongoing but will also affected by the reduced funding	RES AD (HE)	31-Aug-2023	
RRCYP43	Continue to exploit alternative sources of funding for the delivery of new school spaces and encourage free school applications where appropriate and available	CYPS AD E&S; RES AD (HE)	31-Aug-2023	
RRCYP44	Maintain constructive relationships with the Regional Director through regular meetings and receive their practical support	CYPS AD E&S	31-Aug-2023	
RRCYP45	Work with the Property team to mitigate risks to deliver the 2022/2023 capital plans to ensure school place sufficiency and no depreciation of the estate. Mindful of additional uncertainty caused by eg. Inflationary pressures and their potential impact on supply chain stability and costs.	CYPS AD E&S	31-Aug-2023	
RRCYP86	Review school condition to inform maintenance plans to avoid loss of disruption to school places or impact on health and safety	RES AD (HE)	30-Sep-2023	
Phase 4 - Target Risk Assessment				
Target Probability	M	Target Impact	H	Target Risk Score
				12
				Target Risk Category
				Medium High
Phase 5 - Fallback Plan				
Fallback Plan				
Fundamental review of school organisation, increased intervention in schools, increased withdrawal of financial delegation, imposition of Interim Executive Boards to replace Governing Bodies,				

CYPs Directorate

Risk Register: **month 6 (Apr 2023) – detailed**

Next Review Due: **October 2023**

Report Date: **4th May 2023 (pw)**

Phase 1 - Identification								
Ref.	CYP6	Title	Schools Funding Challenges		Risk Owner	Chief Exec	Risk Manager	CD CYPs
Risk 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	Linked Risk(s)	
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; licenced 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;								
Current Probability	H	Current Impact	H	Current Risk Score	16	Current Risk Category	High	
Phase 3 - Risk Mitigation Plan								
Reduction Action						Action Manager	Due Date	Date Completed
RRCYP46	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; RES AD (HE)	31-Jul-2023	
RRCYP47	Continue to lobby Ministers, local MP and through F40 Group (ongoing)					CD CYPs	31-Jul-2023	
RRCYP48	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.					RES AD (HE)	30-Sep-2023	
RRCYP49	Embed an approach to integrated curriculum and financial planning and support and encourage collaboration and federation where appropriate. Explore further collaboration opportunities for schools to achieve efficiencies.					RES AD (HE)	30-Sep-2023	
RRCYP50	Develop and implement a business case for special provision across the County to ensure value for money including exploring free school bids where appropriate					CYPs AD Incl; RES AD (HE)	31-Dec-2023	
RRCYP51	Regular review of the financial position of schools in light of the cost of living/inflation issues. Particularly work with schools that are financially challenged where notices of financial concern have been issued					RES AD (HE)	30-Sep-2023	
Phase 4 - Target Risk Assessment								
Target Probability	M	Target Impact	H	Target Risk Score	12	Target Risk Category	Medium High	
Phase 5 - Fallback Plan								
Fallback Plan								

CYPS Directorate

Risk Register: **month 6 (Apr 2023) – detailed**

Next Review Due: **October 2023**

Report Date: **4th May 2023 (pw)**

Consider Schools reorganisation and financially sustainable educational arrangements

CYPS Directorate

Risk Register: **month 6 (Apr 2023) – detailed**

Next Review Due: **October 2023**

Report Date: **4th May 2023 (pw)**

Phase 1 - Identification									
Ref.	CYP10	Title	Educational Outcomes			Risk Owner	CD CYPS	Risk Manager	CYPS AD E&S
Risk Description	Failure to ensure positive educational outcomes for children and young people together with appropriate support for schools to be good or outstanding, results in lower achievement levels for pupils, and NY children's life chances being determined by geography or family circumstances rather than being in their own hands.					Risk Group	Performance	Linked Risk(s)	YES4
Phase 2 - Current Assessment									
Current Control Measures									
Detailed analysis of data; annual performance review and target settings (categorisation as part of risk based approach); core funded enhanced offer for cat 3 and 4 schools; School Improvement strategy including monitoring groups for vulnerable children; alternative models of school leadership including mergers and federations; locality boards developed									
Current Probability	M	Current Impact	H	Current Risk Score	12	Current Risk Category		Medium High	
Phase 3 - Risk Mitigation Plan									
Reduction Action							Action Manager	Due Date	Date Completed
RRCYP12	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						CYPS AD C&F; CYPS AD E&S; CYPS AD Incl; RES AD (HE)	31-Aug-2023	
RRCYP32	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	31-Aug-2023	
RRCYP73	Working together through locality boards; all locality boards are up and running with action plans, work has begun on the approved provider list but it is not yet published; funding only in place until April 23						CYPS AD E&S	31-Aug-2023	
RRCYP74	Alongside the virtual school head, continue to implement plans to further improve education outcomes for vulnerable children and strategic work to improve outcomes for Children in Need and Children subject to a Child Protection Plan						CYPS AD E&S; CYPS Virtual School Head	31-Aug-2023	
RRCYP75	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; this work will be taken on by County wide Education Investment Area work, further details of this are awaited						CD CYPS	31-Aug-2023	
RRCYP76	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	31-Aug-2023	
RRCYP77	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 will be strengthened further from Sept 22						CYPS AD E&S	31-Aug-2023	

CYPS Directorate

Risk Register: **month 6 (Apr 2023) – detailed**

Next Review Due: **October 2023**

Report Date: **4th May 2023 (pw)**

RRCYP78	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 this is being implemented					CYPS AD E&S	31-Aug-2023	
RRCYP79	Continue the evaluation of the school improvement service to ensure it remains fit for need					CYPS AD E&S	31-Aug-2023	
RRCYP80	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	31-Aug-2023	
Phase 4 - Target Risk Assessment								
Target Probability	L	Target Impact	H	Target Risk Score	8	Target Risk Category	Medium	
Phase 5 - Fallback Plan								
Fallback Plan								
Continually review via internal mechanisms and challenge Programmes and Strategies in order to ensure better educational outcomes								

CYPS Directorate

Risk Register: **month 6 (Apr 2023) – detailed**

Next Review Due: **October 2023**

Report Date: **4th May 2023 (pw)**

Phase 1 - Identification								
Ref.	CYP7	Title	Childhood Futures	Risk Owner	CD CYPS	Risk Manager	CYPS AD E&S	
Risk 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 - The direction of this work will be picked up as part of the CYPS Transformation work			Risk Group	Partnerships	Linked Risk(s)	YES6	
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								
Current Probability	M	Current Impact	H	Current Risk Score	12	Current Risk Category	Medium High	
Phase 3 - Risk Mitigation Plan								
Reduction Action						Action Manager	Due Date	Date Completed
RRCYP52	Some workstreams agreed but still need to develop the full work programme including data matching and understanding of support needs					CYPS AD E&S	31-Aug-2023	
RRCYP53	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 AD E&S	31-Aug-2023	
RRCYP54	Outcome of the review of CHC arrangements for the needs of SEND children with Health (action plan to be developed and implemented)					CYPS AD Incl; RES AD (HE)	30-Sep-2023	
Phase 4 - Target Risk Assessment								
Target Probability	L	Target Impact	H	Target Risk Score	8	Target Risk Category	Medium	
Phase 5 - Fallback Plan								
Fallback Plan								
Individual services affected would be subject to open market exercise								

CYPS Directorate

Risk Register: **month 6 (Apr 2023) – detailed**

Next Review Due: **October 2023**

Report Date: **4th May 2023 (pw)**

Phase 1 - Identification								
Ref.	CYP8	Title	Change Programmes and Transformation		Risk Owner	CD CYPs	Risk Manager	RES AD (HE)
Risk 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	Linked Risk(s)	
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 al full assessment of financial implications; consider and respond to any issues arising from the Staff Surveys;								
Current Probability	M	Current Impact	H	Current Risk Score		12	Current Risk Category	Medium High
Phase 3 - Risk Mitigation Plan								
Reduction Action						Action Manager	Due Date	Date Completed
RRCYP55	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)					CD CYPs; CYPs Prog Board	30-Sep-2023	
RRCYP56	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)					CYPs HoHR	30-Sep-2023	
RRCYP57	Retain focus on budgetary high risk areas of concern for monitoring processes and systems including projects with temporary funding (ongoing)					CSD SR HoFP; RES AD (HE)	30-Sep-2023	
RRCYP58	Ensure strong continued budget management by staff at all levels within the Directorate and encourage use of budget management tools including e forecasting (ongoing).					RES AD (HE)	30-Sep-2023	
RRCYP59	Ensure effective engagement in the transformation programme					CYPLT	30-Sep-2023	
Phase 4 - Target Risk Assessment								
Target Probability	L	Target Impact	H	Target Risk Score		8	Target Risk Category	Medium

CYPS Directorate

Risk Register: **month 6 (Apr 2023) – detailed**

Next Review Due: **October 2023**

Report Date: **4th May 2023 (pw)**

Phase 5 - Fallback Plan

Fallback Plan

Re-prioritise CYPS Spending plans and strategic approaches

CYPS Directorate

Risk Register: **month 6 (Apr 2023) – detailed**

Next Review Due: **October 2023**

Report Date: **4th May 2023 (pw)**

Phase 1 - Identification									
Ref.	CYP9	Title	Information Governance and Health and Safety		Risk Owner	Chief Exec	Risk Manager	CD CYPS	
Risk 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	Linked Risk(s)	YES8		
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, Business Support undertake 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; guidance documents; financial investment (e.g. asbestos fund); designated staff; traded service with schools; Conditions survey; Educational visits database; tech fire audits; legionella monitoring; Radon monitoring and mitigation; glazing filming; health and safety inspections of live construction sites; all strat planning staff trained in construction site safety; 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; continuing work with Outdoor Learning Service on Health and Safety; OL centres independent Bi-annual inspection and accreditation by AALA and LOTC Gold standard; safeguarding advice provided to schools; review of planning and accountability in OLS carried out; themed audits of high risk areas; refreshed AD led Directorate risk management group; construction in schools risk events held; schools and settings provided with a substantial amount of support during Covid on risk assessment and working safely; Health and Safety action plan;									
Current Probability	M	Current Impact	H	Current Risk Score		12	Current Risk Category	Medium High	
Phase 3 - Risk Mitigation Plan									
Reduction Action							Action Manager	Due Date	Date Completed
RRCYP60	Work closely with the Data Governance team in Strategic Support (Info Gov)						CYPLT	31-Oct-2023	
RRCYP61	Continue to review and update the information asset registers in line with policy guidelines (Info Gov)						CYPLT	31-Oct-2023	
RRCYP62	Implement new and / or revised information governance actions agreed at Corp Info Gov Group as appropriate for the Directorate (ongoing) (Info Gov)						CYPLT	31-Oct-2023	
RRCYP63	Continue work on converting paper based communications to electronic communications (Info Gov)						CYPLT	31-Oct-2023	
RRCYP64	Continue to complete Data Protection Impact Assessments (DPIA) for any changes to processes or implementation of new systems. (ongoing) (Info Gov)						CYPLT	31-Oct-2023	

CYPS Directorate

Risk Register: **month 6 (Apr 2023) – detailed**

Next Review Due: **October 2023**

Report Date: **4th May 2023 (pw)**









RRCYP65	Continue to complete Information Sharing Agreements when sharing data externally (Info Gov)	CYPLT	31-Oct-2023	
RRCYP66	Continue to report breaches immediately, investigate all information breaches thoroughly and take action against individuals as appropriate. (Info Gov)	CYPLT	31-Oct-2023	
RRCYP67	Implement the reviewed and revised Health and Safety action plan (H&S)	CYPS AD E&S	31-Aug-2023	
RRCYP68	Work to develop the new schools emergency response guide (including response plan template); draft going to Headteacher briefing in October and then move to finalise and issue in the new year (H&S)	CYPS AD E&S	30-Jun-2023	
RRCYP69	Ensure lone working risk assessments are in place and staff covered; supported by devices and need to ensure appropriate Directorate input to the assessment and procurement of new devices (H&S)	CYPS AD E&S	31-May-2023	
RRCYP70	Ensure fire risk assessments are completed in residential settings and schools in accordance with required review periods (H&S)	CYPS AD E&S	31-Aug-2023	
RRCYP71	Ensure compliance with CDM regulations by selective, unannounced H&S site visits and additional construction project support to schools on school led projects (H&S)	CYPS AD E&S	31-Aug-2023	
RRCYP72	Ensure appropriate training in dealing with violence and aggression in schools and social care settings (H&S)	CYPS AD E&S	31-Aug-2023	
Phase 4 - Target Risk Assessment				
Target Probability	L	Target Impact	H	Target Risk Score
				8
				Target Risk Category
				Medium
Phase 5 - Fallback Plan				
Fallback Plan				
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				

CYPS Directorate

Risk Register: **month 6 (Apr 2023) – summary**

Next Review Due: **October 2023**

Report Date: **4th May 2023 (pw)**









Risk Trend	Risk	Description	Risk Owner	Risk Manager	Curr Prob	Curr Imp	Current Risk Score	Current Category	Targ Prob	Targ Imp	Target Risk Score	Target Category	FB Plan?
	CYP2 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	VH	VH	25	Very High	H	H	16	High	
	CYP3 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 including for UASC; all this in the light of current economic uncertainty, increased cost of living and workforce pressures; 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	H	16	High	H	H	16	High	
	CYP4 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	H	H	16	High	H	H	16	High	
	CYP5 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 Council as local authority.	CD CYPS	CYPS AD E&S; RES AD (HE)	H	H	16	High	M	H	12	Medium High	

CYPS Directorate

Risk Register: **month 6 (Apr 2023) – summary**

Next Review Due: **October 2023**

Report Date: **4th May 2023 (pw)**


Risk Trend	Risk	Description	Risk Owner	Risk Manager	Curr Prob	Curr Imp	Current Risk Score	Current Category	Targ Prob	Targ Imp	Target Risk Score	Target Category	FB Plan?
	CYP6 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	H	16	High	M	H	12	Medium High	
	CYP10 Educational Outcomes	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	H	12	Medium High	L	H	8	Medium	
	CYP7 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 - The direction of this work will be picked up as part of the CYPS Transformation work	CD CYPS	CYPS AD E&S	M	H	12	Medium High	L	H	8	Medium	
	CYP8 Change Programmes and Transformation	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	RES AD (HE)	M	H	12	Medium High	L	H	8	Medium	

CYPS Directorate

Risk Register: **month 6 (Apr 2023) – summary**

Next Review Due: **October 2023**

Report Date: **4th May 2023 (pw)**

Risk Trend	Risk	Description	Risk Owner	Risk Manager	Curr Prob	Curr Imp	Current Risk Score	Current Category	Targ Prob	Targ Imp	Target Risk Score	Target Category	FB Plan?
	CYP9 Information Governance and Health and Safety	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	H	12	Medium High	L	H	8	Medium	