

NORTH YORKSHIRE COUNTY COUNCIL

AUDIT COMMITTEE

20 SEPTEMBER 2021

INTERNAL CONTROL MATTERS FOR THE CHILDREN AND YOUNG PEOPLE'S SERVICES DIRECTORATE

Report of the Corporate Director – CYPS

1.0 PURPOSE OF THE REPORT

- 1.1 To outline some of the key service risks and governance related issues within the Directorate
- 1.2 To provide details of the updated Risk Register for the Children & Young People's Directorate

2.0 BACKGROUND

- 2.1 The Audit Committee is required to assess the quality and effectiveness of the corporate governance arrangements operating within the County Council. In relation to the Children and Young People's Services (CYPS), the Committee receives assurance through the work of internal audit (detailed in a separate report to the Committee) and through the Directorate Risk Register.
- 2.2 In addition, this report provides some headlines on key service risks and governance developments.

3.0 KEY GOVERNANCE DEVELOPMENTS AND RISK ISSUES

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

(a) Covid-19

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

The local authority has continued to monitor and support schools and academies manage testing arrangements and the impact of positive tests on 'bubbles' and self-isolation for staff and pupils, operating partially-opened schools, updating risk assessments, furlough and staffing advice.

Outdoor Learning centres remained closed to residential groups throughout 2020-21 due to national restrictions significantly impacting on income levels. Some mitigating actions were taken, including furloughing staff, and the service has since resumed a non-residential offer from summer term 2021. A strategic review of the Outdoor Learning service has continued through Spring and Summer 2021 and is due to report to Executive in early Autumn 2021.

The Directorate has delivered five tranches of support through the covid winter grant scheme (and subsequently the covid local support grant scheme). This was a scheme funded by the Department for Work and Pensions, to deliver support to vulnerable households. The local authority administered this grant with the help of schools, academies, post-16 and early years providers who purchased supermarket vouchers for eligible families. Since Easter 2021, a further scheme – the Holiday and Activities and Food Programme, funded by the Department for Education – has aimed to provide enriching activities, food and nutritional advice to eligible children and young people and their families. Branded as the FEAST programme, the Stronger Communities team has co-ordinated efforts alongside voluntary sector partners, including North Yorkshire Youth, North Yorkshire Sport and Rural Arts, to deliver c.11,000 activity packs over Easter 2021 and a programme of face-to-face and online activities over the Summer holiday period in 2021.

In line with corporate guidelines, the Directorate continues to encourage working from home where possible, using Microsoft Teams to operate as effectively as possible. Safeguarding has remained largely face-to-face and the Directorate continues to support children in care as well as care leavers.

(b) Ofsted

During the Summer 2021, the Directorate received an Ofsted Focussed Visit on Help and Protection. Inspectors looked at the local authority's arrangements for the front door, including contacts, referrals, decision-making and the application of thresholds for services and accommodation of children. They also looked at assessments and plans for children in need and those subject to child protection processes. The headline findings were:

“highly confident senior leaders and managers have ensured that children’s services have continued to develop positively since the last inspection. Despite COVID-19 and the resultant increase in the number of children being referred to children’s services, partnership work flourished, the practice model is now fully embedded, and vulnerable children receive effective services from skilled and compassionate professionals who protect, help and support them.”

Although the number of children in care has returned to pre-pandemic levels, there remains some concern around potential future demand for placements and consequential financial pressures. The service continues to focus on managing the ongoing pressures of ensuring sufficient capacity within fostering and wider market issues.

(c) School Funding

The local authority remains particularly concerned for small, rural secondary schools. Despite lobbying the Department for Education as part of the national consultation on sparsity funding, the response has failed to acknowledge the pressure. Although aggregate accumulated balances for all LA maintained schools increased during 2020-21, this may be due to one-off issues arising from covid-19. This has not been a universal trend across all North Yorkshire LA schools and further analysis is required to understand this issue. Aggregate surplus balances for both secondary and special schools have continued to decrease and the local

authority continues to work alongside schools to support them to develop budget recovery plans, where appropriate.

(d) SEND and High Needs

The LA continues to experience a significant increase in the number of children and young people assessed as requiring an Education, Health and Care Plan (EHCP). The accumulated deficit on high needs (i.e. funding for children with additional needs) at the end of March 2021 amounted to £8.7m. Additional High Needs funding allocated by DfE for 2021-22 have reduced the projected in-year deficit to c.£2.5m which, if confirmed, would result in an accumulated deficit of c.£11.2m by end-March 2021.

In July 2021, the DfE announced further funding for High Needs, which is broadly welcomed and may assist with the repayment of the accumulated deficit. Some caution is offered here as the number of children assessed as requiring Education Health and Care plans has continued to rise and further demand rises may result in erosion of any 'headroom' in funding in 2022-23.

The financial outlook and potential availability of significant capital resources to help reshape special school provision is limited. In 2021/22 North Yorkshire received only £6.4m from DfE in school condition grant to respond to the most significant condition issues across maintained schools. DfE have also provided a transitional protection factor to 'top-up' this funding to £9.4m. Although the North Yorkshire Schools Forum have been positive in supporting the intention to use some of this funding to help reshape provision, the total available capital funding remains restricted. It should be noted that the DfE's specific capital allocation for high needs allocated only £717k to North Yorkshire – the lowest allocation per head of population (aged 2-18 of all English local authorities. This followed the previous government allocation for the period 2017-20 where an allocation of £846k was also the lowest per head allocation of all local authorities.

(e) MTFs: 2020 Savings and Budget Pressures

The Directorate continues to work towards delivery of over £1.5M of savings in 2021-22. Programme delivery arrangements are supported by programme and project management arrangements with strategic programme board oversight and active monitoring of implementation and impact.

4.0 DIRECTORATE RISK REGISTER

- 4.1 The **Directorate Risk Register** (DRR) is the end product of a systematic process that initially identifies risk at Service Unit level and the aggregates these via a sieving process to Directorate level. A similar process sieves Directorate level risks into the Corporate Risk Register.
- 4.2 The Risk Prioritisation System used to drive all Risk Registers across the County Council categorises risks as follows:
 - **Category 1 and 2 are high risk (RED)**
 - **Category 3 and 4 are medium risk (AMBER)**

- **Category 5 is low risk (GREEN)**

4.3 The DRR represents the principal risks that may materially impact on the performance and financial outcomes of the Directorate. The CYPS DRR was last reviewed in May 2021. 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 October 2020. The main change is as follows:

- **REMOVED:** Following a review of Directorate-level risks, *Inspection Outcomes* and *Partnership and Integration with Health* have been removed as directorate-level risks although these will continue to be monitored as part of risk management arrangements.
- **CHANGE:** SEND High Needs Budget: the assessment of the risk, current control measures and mitigating actions has changed the post-risk reduction assessment from a category 1 to a category 2. Although this is still considered a high risk, the change in category reflects recent DfE funding announcements for High Needs.
- **CHANGE:** School Funding Challenges: the post-risk reduction assessment has changed from a category 4 to a category 2; this reflects the concern around a small number of schools, particularly small, rural secondary schools and special schools who are projecting financial deficits.

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

- **School Organisation and Capital Funding:** provision has been made from school condition allocations for investment in specialist provision. Lobbying has continued to focus on seeking a fairer funding outcome in capital allocations.
- **School Funding Challenges:** the Directorate continues to lobby MPs and DfE particularly around sparsity funding for small, rural secondary schools.
- **Childhood Futures:** following consultation on a revised Healthy Child Programme service provision, progress has been made in developing strategic partnership arrangements. Governance arrangements have been established internally within CYPS to take forward the wider Childhood Futures agenda.
- **Educational Outcomes:** locality boards have been established in five geographical areas across North Yorkshire which provide input into local priority spending on school improvement and SEND to ensure education outcomes for children and young people.
- **Safeguarding Arrangements:** a joint review of the Emergency Duty Team has commenced (HAS-lead) to determine the effectiveness and future requirements for the service.

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 (April 2021) – detailed**

Next Review Due: **September 2021**

Report Date: **13th May 2021 (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	Sun-31-Oct-21			
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; into year three of five						CYPS Incl HoE	Sat-31-Jul-21			
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						CYPS AD Incl	Tue-31-Aug-21			
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; full session needed to clarify officer authorisation, underway						CYPS AD Incl	Wed-30-Jun-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	Sat-31-Jul-21			
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						CYPS AD Incl	Sat-31-Jul-21			
Reduction	21/519 - Continue to progress the good work with partners to build choice at post 16 and post 19						CYPS AD Incl	Sat-31-Jul-21			
Reduction	21/536 - Review consistency of SEN Caseworkers in terms of discussing placements with families including sourcing more flexible arrangements established special school forum ½ termly meetings to look at paces that may become high cost						CYPS AD Incl	Sat-31-Jul-21			
Reduction	21/659 - Embed and review the new funding model for the PRS						CYPS AD Incl	Sat-31-Jul-21			
Reduction	21/660 - Work with finance to produce a DSG deficit management action plan and share with Schools Forum (this has been done), review on a termly basis and share with Schools Forum.						CSD AD SR (HE) CYPS AD Incl	Thu-30-Sep-21			

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Reduction	21/664 - Embed and review the targeted mainstream provision that replace the EMS model	CYPS AD Incl	Sat-31-Jul-21	
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	Sat-31-Jul-21	
Reduction	24/571 - Ensure that service dashboards reflect the criteria for each of the key inspection areas and are monitored on a regular basis	CYPS AD C&F CYPS AD E&S CYPS AD Incl	Sun-31-Oct-21	
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)	CSD AD SR (HE) CYPS AD C&F CYPS AD E&S CYPS AD Incl	Sun-31-Oct-21	
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

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Next Review Due: **September 2021**

Report Date: **13th May 2021 (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;								
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	Sun-31- Oct-21			
Reduction	24/1151 - Develop arrangements to co-ordinate support for the process of academisation, to ensure smooth transfer of schools.						CYPS AD E&S	Sun-31- Oct-21			
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	Sun-31- Oct-21			
Reduction	27/318 - Work with Schools where increasing the physical capacity is required to meet the need for increased early years and childcare provision						CSD AD SR (HE) CYPS AD E&S	Sun-31- Oct-21			
Reduction	27/617 - Refresh the developer contribution policy in response to new s106 guidance; completed the review of policy July 2020, now need to lobby the district and borough councils to implement the NYCC policy as their own						CYPS AD E&S	Sun-31- Oct-21			
Reduction	27/650 - Update local policy statement on capital delivery to ensure we have mandate from members for our investment priorities						CYPS AD E&S	Sat-31- Jul-21			
Reduction	28/454 - Ensure consistent approach corporately to infrastructure funding, including CIL; ongoing established groups through the IDSG approach						CYPS AD E&S	Sun-31- Oct-21			
Reduction	28/1428 - Continual review of the estate including maintenance requirement (ongoing)						CSD AD SR (HE)	Sun-31- Oct-21			

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Reduction	28/1432 - Exploit alternative sources of funding for the delivery of new school spaces and encourage free school applications where appropriate;	CSD AD SR (HE) CYPS AD E&S	Sun-31- Oct-21	
Reduction	28/1444 - Maintain constructive relationships with the Regional Schools Commissioner and receive their practical support	CYPS AD E&S	Sun-31- Oct-21	
Reduction	28/1445 - Work with the Property team to mitigate risks to deliver the 2020/2021 capital plans to ensure school place sufficiency and no depreciation of the estate. Mindful of additional uncertainty caused by Covid and its potential impact on the housing market.	CYPS AD E&S	Sun-31- Oct-21	
Phase 4 - Post Risk Reduction Assessment				
Probability	M	Objectives	M	Financial
				M
				Services
				H
				Reputation
				H
				Category
				2
Phase 5 - Fallback Plan				
				Action Manager
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,			CYPS AD E&S

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Next Review Due: **September 2021**

Report Date: **13th May 2021 (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)	Sat-31- Jul-21			
Reduction	24/562 - Implement a support challenge and intervention framework to assist/instruct schools to take measures to address their financial position.						CSD AD SR (HE)	Tue-31- Mar-20	Tue-31-Mar-20		
Reduction	24/563 - Continue to lobby Ministers, local MP and through F40 Group (ongoing)						CD CYPS	Sat-31- Jul-21			
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.						CSD AD SR (HE)	Thu-30- Sep-21			
Reduction	24/602 - Define and secure appropriately experienced resources to provide a support and challenge function for schools and academies						CSD AD SR (HE)	Wed-30- Sep-20	Wed-30-Sep-20		
Reduction	24/641 - Develop and implement an approach to integrated curriculum and financial planning and support and encourage collaboration and federation						CSD AD SR (HE)	Thu-30- Sep-21			
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	Tue-31- Aug-21			
Reduction	24/1182 - Implement outcome of review of special provision						CSD AD SR (HE) CYPS AD Incl	Thu-31- Mar-22			
Phase 4 - Post Risk Reduction Assessment											
Probability	M	Objectives	M	Financial	M	Services	H	Reputation	H	Category	2

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

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Next Review Due: **September 2021**

Report Date: **13th May 2021 (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	Incl 21/265		
Phase 2 - Current Assessment											
Current Control Measures			Healthy Child Programme (HCP): Contract monitoring meeting with providers; close liaison with Public Health team; HCP Project Board; HCP 2020 Project established; contract extended to allow synchronised re-procurement of 0-5 and 5-19 HCP School Readiness; Being Young in North Yorkshire (BY in NY in draft); H&W Board; Health and Wellbeing Strategy;								
Probability	M	Objectives	M	Financial	H	Services	H	Reputation	M	Category	2
Phase 3 - Risk Reduction Actions											
Reduction						Action Manager		Action by		Completed	
Reduction	21/523 - Ensure forecast demographic service pressures in Catterick are considered in next procurement of HCP services;					Action Manager	CYPS Comm Mgr Health	Action by	Wed-31-Mar-21	Completed	Sun-28-Feb-21
Reduction	21/605 - Finalise the Childhood Futures scope and vision as a beyond 2020 programme with an established board; CYPLT reviewed priorities and agreed that a new vision was required with focus on embedding school readiness, data matching work and an understanding of support needs; board established with some workstreams agreed but not a full work programme					Action Manager	CYPS Comm Mgr Health	Action by	Thu-30-Sep-21	Completed	
Reduction	21/606 - Pilot school readiness zones; relaunched in July 2020 including a number of smaller projects in the two areas; from Jan CF will look to embed good practice into current processes					Action Manager	CYPS Comm Mgr Health	Action by	Sat-31-Jul-21	Completed	
Reduction	21/607 - Establish the working groups and workstreams required for the revised Childhood Futures vision with appropriate representation from across the organisation					Action Manager	CYPS Comm Mgr Health	Action by	Thu-30-Sep-21	Completed	
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					Action Manager	CYPS Comm Mgr Health	Action by	Sat-31-Jul-21	Completed	
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					Action Manager	CYPS Comm Mgr Health	Action by	Thu-30-Sep-21	Completed	
Reduction	21/662 - Complete the consultation on revised HCP service provision					Action Manager	CYPS Comm Mgr Health	Action by	Sun-31-Jan-21	Completed	Sun-31-Jan-21
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 2021 summer.					Action Manager	CYPS Comm Mgr Health	Action by	Sun-31-Oct-21	Completed	
Reduction	24/642 - Develop and implement an action plan following the outcome of the review of CHC arrangements for the needs of SEND children with Health					Action Manager	CSD AD SR (HE) CYPS AD Incl	Action by	Thu-30-Sep-21	Completed	
Reduction	24/1153 - Continue to contribute to the delivery of the workplan for the Health and Well-being Board in relation to children's health priorities and ensure strategic decision making in Health is influenced through alignment with the JSNA and the Young and Yorkshire 2 (Being Young in North Yorkshire (BY in NY) in draft) (ongoing)					Action Manager	CD CYPS	Action by	Thu-30-Sep-21	Completed	

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Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	M	Financial	M	Services	H	Reputation	H	Category	3
Phase 5 - Fallback Plan											
Fallback Plan	21/569 - Individual services affected would be subject to open market exercise									Action Manager	CYPS Comm Mgr Health

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Report Date: **13th May 2021 (pw)**

Phase 1 - Identification											
Risk Number	24/27	Risk Title	24/27 - Looked After Children and those on the Edge of Care				Risk Owner	CD CYPS	Manager	CYPS AD C&F	
Description	Failure to ensure that looked after and those on the edge of care children arrangements provide sufficient support for those with multiple and complex needs (including work on step down from Tier 4 cases, unaccompanied asylum seeker children and those not receiving 25 hours of education); that the service supports the regionalised adoption service; and ensures sufficient foster carers are recruited; failure to do so results in poorer outcomes for young people, the need for high cost interventions/placements and reputational damage					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, LAC and leaving care teams; new assessment tool for foster carers piloted; interpretation services including for asylum seekers in place;									
Probability	M	Objectives	M	Financial	H	Services	M	Reputation	H	Category	2
Phase 3 - Risk Reduction Actions											
							Action Manager	Action by	Completed		
Reduction	22/271 - Continue to provide sufficiency of placements; work is being done across the service to reduce the volume of connected persons arrangements led by all heads of service; action plan in place to recruit more carers involving additional capacity from frontline students						CYPS C&F Heads of Service	Thu-30-Sep-21			
Reduction	22/272 - Target recruitment for unrelated foster carers to ensure we have sufficient in house foster carers to meet changes in demand; we were down on a comms worker however have maintained a good marketing approach via fostering recruitment						CYPS C&F Heads of Service	Thu-30-Sep-21			
Reduction	22/274 - Effectively 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						CYPS C&F Heads of Service	Thu-30-Sep-21			
Reduction	22/478 - Continue work around accommodation for young people leaving custody; Progress: Resettlement panel continues and has made some progress, ongoing work is required with the magistrates to ensure custody is always avoided; Ongoing work has been done with the courts clerk with further work planned to meet with magistrates; challenge remains that finding appropriate accommodation for young people continues to be difficult						CYPS C&F Heads of Service	Thu-30-Sep-21			
Reduction	22/534 - Review all LAC Cases with new lens to consider discharge options via the Discharge Review Forum; Progress: This is taking place and family finding training will have an impact as it becomes embedded, the key challenge here is that connected persons do not wish to consider an SGO and as a quarter of children who are looked after are placed in this arrangement this does mean that discharges may not be at the rate expected; discharge planning meetings have been stood down and replaced with a Permanence Assurance and Care Proceedings overview working group, the focus of these meetings are to ensure that Special Guardianship Orders are progressed prior to a final hearing and Placement with Parents arrangements are challenged. in addition, the Head of Service on behalf of the local family justice board is chairing two sub groups focussing on widening the use of SGOs and reducing Placement with Parents, work is also being planned to improve the quality of care plans						CYPS C&F Heads of Service	Thu-30-Sep-21			

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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. Linked in with IRO to see how this can be addressed in the carers annual review.	CYPS C&F Heads of Service	Thu-30-Sep-21								
Reduction	22/643 - Roll out Family Finding training across all social care staff; phase 1 complete and phase 2 commissioned;	CYPS AD C&F	Fri-31-Dec-21								
Reduction	22/644 - Ensure effective delivery of systemic practice across the service	CYPS AD C&F	Thu-30-Sep-21								
Reduction	22/1082 - Ensure that network meetings always take place prior to any LAC admissions and where family placements are made a clear strategy should be developed between fostering and C and F teams to agree the status of the arrangement; FGC referrals have increased significantly, there have been some challenges with unregulated placements at times which is being addressed	CYPS C&F Heads of Service	Thu-30-Sep-21								
Reduction	22/1092 - Continue to explore and embed alternative models in relation to those not receiving 25 hours of education including recruitment of sessional tutors	CYPS C&F Heads of Service	Thu-30-Sep-21								
Reduction	22/1093 - Work with YJS to review the partnership decision making arrangements to reduce the likelihood of high cost secure and remand cases; the YJS have now secured a court rep on the YJB management board and have had a first meeting to look to the next steps; Progress: There is now a clear YJS development plan in place which sets out what is required to progress key actions, one of the key steps that is required is to drive integrated working across the teams to ensure clear and consistent plans are put before the courts as well as embedding the niche pathway; YJS has had an HMIP inspection and deemed Good with Outstanding features in June 2020, an action plan has now been agreed to develop the quality of post court case work to manage the risk of harm to others as to a consistently high standard across all teams and to ensure that contingency planning is tailored to the needs of all children recorded appropriately and shared with partners. Further work is being planned to develop improved management oversight of risk of harm work for court disposal cases	CYPS C&F Heads of Service	Thu-30-Sep-21								
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	24/245 - Increase reliance on commercial market to meet supply and demand										CYPS AD C&F

CYPS Directorate

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Next Review Due: **September 2021**

Report Date: **13th May 2021 (pw)**

Phase 1 - Identification											
Risk Number	24/213	Risk Title	24/213 - Cultural Change and Beyond 2020					Risk Owner	CD CYPS	Manager	CSD AD SR (HE)
Description	Failure to maintain a strong culture, processes and supporting capacity within CYPS to deliver Beyond 2020 at pace, failure to deliver savings targets, and address national funding and policy changes taking into account the impact of Coronavirus and LGR, 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 Beyond 2020 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;								
Probability	M	Objectives	M	Financial	H	Services	H	Reputation	H	Category	2
Phase 3 - Risk Reduction Actions											
							Action Manager	Action by	Completed		
Reduction	24/312 - Maintain leadership of programme and project activity and ensure regular monitoring and report to CYPLT of progress on all Beyond 2020 programmes; 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	Thu-30-Sep-21			
Reduction	24/414 - Engage and continue to deliver the Modern Council and OD programme theme across the directorate and ensure managers have the right skills, attitude and technology for delivering services (ongoing)						CYPS HoHR	Thu-30-Sep-21			
Reduction	24/1000 - Retain focus on budgetary high risk areas of concern for monitoring processes and systems including projects with temporary funding (ongoing)						CSD AD SR (HE) CSD SR HoFP	Thu-30-Sep-21			
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).						CSD AD SR (HE)	Thu-30-Sep-21			
Reduction	24/1189 - Continue to engage fully with the Stronger Communities and Customer Themes to ensure greatest alignment with service and wider Council needs to enable the Prevention and Communities Programme						CSD SR T&C SPM (2020) CYPS AD Incl	Thu-30-Sep-21			
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	M	Financial	M	Services	H	Reputation	M	Category	3

CYPS Directorate

Risk Register: **month 6 (April 2021) – detailed**
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Phase 5 - Fallback Plan		Action Manager
Fallback Plan	24/246 - Re-prioritise CYPS Spending plans and strategic approaches	CYPS LT

CYPS Directorate

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Report Date: **13th May 2021 (pw)**

Phase 1 - Identification											
Risk Number	24/178	Risk Title	24/178 - Information Governance and Health and Safety				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			<p>Info Gov: Issues, concerns, major breaches discussed at CYPS Leadership Team; monthly information governance reports presented to CYPS Leadership Team, CYPS Risk Management Group established where reports and updates are presented to Service Group reps; ad hoc security sweeps carried out by Business Support colleagues in corporate buildings; pro forma circulated to managers to enable them to complete their own security sweeps; Assistant Directors raising profile at SMT meetings; review of hard copy communications undertaken, double checking process for outgoing sensitive mail, move to secure electronic communications where possible; Strategic Support data governance team; DPIAs in place; CYPS privacy notice completed and published; mandatory data protection training as part of induction process for new starters and all staff complete updated training when required;</p> <p>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; 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</p>								
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	Sun-31-Oct-21				
Reduction	24/474 - Continue to review and update the information asset registers in line with policy guidelines (Info Gov)					CYPS CYPLT	Sun-31-Oct-21				
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	Sun-31-Oct-21				
Reduction	24/500 - Continue work on converting paper based communications to electronic communications (Info Gov)					CYPS CYPLT	Sun-31-Oct-21				
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	Sun-31-Oct-21				

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Reduction	24/561 - Continue to complete Information Sharing Agreements when sharing data externally (Info Gov)	CYPS CYPLT	Sun-31-Oct-21									
Reduction	24/1150 - Continue to report breaches immediately, investigate all information breaches thoroughly and take action against individuals as appropriate. (Info Gov)	CYPS CYPLT	Sun-31-Oct-21									
Reduction	27/74 - Continue to work with schools on safeguarding including security of sites, providing advice (on outer / inner perimeter fencing, door locks etc) to ensure proportionate risk assessed solutions are implemented; significant amount achieved in this area of work (H&S)	CYPS AD E&S	Sun-31-Oct-21									
Reduction	27/314 - Carry out no notice safeguarding inspections and general safeguarding reviews of schools where a concern has been raised (H&S)	CYPS E&S LAVL	Sun-31-Oct-21									
Reduction	27/564 - Carry out monitoring visits to locations used for outdoor activities/school trips, both LA and private sector, to assess suitability for school visits (H&S)	CYPS AD E&S	Sun-31-Oct-21									
Reduction	27/565 - Assess arrangements in Children's Social Care for supervising children and young people and produce plans for known areas of concern; ongoing work but good progress made in raising concerns to appropriate levels in management (H&S)	CYPS AD E&S	Sun-31-Oct-21									
Reduction	27/566 - Work with passenger transport, road safety, schools and settings to ensure high priority is given to traffic management on school and setting sites and road safety awareness raising particularly around buses; good progress made; currently working through covid transport risk issues (H&S)	CYPS AD E&S	Sun-31-Oct-21									
Reduction	27/567 - Agree and then work through the new, three year Directorate H&S Action Plan, with six monthly monitoring by CYPLT; in year three of three (H&S)	CYPS AD E&S CYPS CYPLT	Sun-31-Oct-21									
Reduction	27/623 - Continue to offer support and advice to prevent and respond to violent incidents in schools and settings (H&S)	CYPS AD E&S	Sun-31-Oct-21									
Reduction	27/1407 - As commercialisation of Learning Beyond the Classroom and other directorate activity develops ensure capacity is considered and balance between internal and external work is appropriate (H&S)	CYPS AD E&S	Sun-31-Oct-21									
Reduction	27/1427 - Work with H&SRM to roll out the new H&S system to ensure effective accident reporting and completion of all necessary online risk arrangements; BSafe system now implemented, need to embed use (H&S)	CYPS AD E&S	Sun-31-Oct-21									
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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Next Review Due: **September 2021**

Report Date: **13th May 2021 (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. Moved to a 2/2 on Ed and Skills					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						CYPs AD E&S	Sun-31-Oct-21			
Reduction	24/430 - Continue to implement plans to further improve Children in Care educational outcomes particularly with the focus on progress – ongoing						CYPs Ho ELAC	Sun-31-Oct-21			
Reduction	24/571 - Ensure that service dashboards reflect the criteria for each of the key inspection areas and are monitored on a regular basis						CYPs AD C&F CYPs AD E&S CYPs AD Incl	Sun-31-Oct-21			
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)						CSD AD SR (HE) CYPs AD C&F CYPs AD E&S CYPs AD Incl	Sun-31-Oct-21			
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						CD CYPs	Sat-31-Jul-21			
Reduction	27/401 - Continue with work under the LEP umbrella to establish stronger links with colleges, businesses and employers through the skills agenda						CYPs AD E&S	Sun-31-Oct-21			
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						CYPs AD E&S	Sat-31-Jul-21			
Reduction	27/658 - Review the performance of small schools and develop best practice approaches;						CYPs AD E&S	Sat-31-Jul-21			
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 before Easter 2021, the agreed recommendations will then be implemented as a new piece of work						CYPs AD E&S	Mon-31-May-21			

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Reduction	27/1390 - Continue to work with colleagues across CYPs and key stakeholders to ensure that there is a strategic approach to school readiness and development of approaches that deliver significant impact; linking in with Childhood Futures					CYPs AD E&S	Sat-31-Jul-21				
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			

CYPS Directorate

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Next Review Due: **September 2021**

Report Date: **13th May 2021 (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								
Probability	L	Objectives	H	Financial	H	Services	M	Reputation	H	Category	3
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						CYPS C&F SMT	Thu-30-Sep-21			
Reduction	22/645 - Develop contingency plans around the MAST to support should demand increase						CYPS C&F Snr HoS	Thu-30-Sep-21			
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						CYPS C&F Snr HoS	Thu-30-Sep-21			
Reduction	24/431 - Ensure compliance with Children and Families' and Partnership's procedures						CYPS AD C&F	Thu-30-Sep-21			
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			
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; If restrictions increase the pressures for families increase which in turn increases the risk. This is will be monitored closely by SLT. Escalation process are in place when families cannot be seen to ensure appropriate decision making and use of PPE if required. A Hidden Harm Group has been formulated which has raised awareness around the issue with a message for people to be even more vigilant.						CYPS C&F Snr HoS	Thu-30-Sep-21			
Reduction	24/571 - Ensure that service dashboards reflect the criteria for each of the key inspection areas and are monitored on a regular basis						CYPS AD C&F CYPS AD E&S CYPS AD Incl	Sun-31-Oct-21			
Reduction	24/1162 - Continue to feed into review of EDT arrangements (adult lead) as required						CYPS AD C&F	Thu-30-Sep-21			
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)						CSD AD SR (HE) CYPS AD C&F CYPS AD E&S CYPS AD Incl	Sun-31-Oct-21			

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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	

CYPS Directorate

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Identity			Person		Classification												Fallback Plan			
Change	Risk Title	Risk Description	Risk Owner	Risk Manager	Pre						RR		Post						FBPlan	Action Manager
					Prob	Obj	Fin	Serv	Rep	Cat	RRs	Next Action	Prob	Obj	Fin	Serv	Rep	Cat		
▼	24/259 - SEND High Need Budget	Risk of further increased pressure on the budget given the current legislative framework, increased demand for specialist provision up to age 25 and budget reduction pressure resulting in negative impact on DSG, poor service performance and criticism.	CD CYPS	CYPS AD Incl	H	M	H	H	M	1	14	30/06/2021	M	M	M	H	M	2	Y	CYPS AD Incl
◀▶	24/211 - Schools Organisation and Capital Funding for places	Failure to assess and manage the combined effects of changes in the national school policy and capital funding for places framework, demographics (both rising and falling as a result of housing market changes) and national and local political circumstances, resulting in a fragmentation of the network of services for children, growing numbers of unsustainable and/or failing schools, insufficient school places, fragmentation due to academisation, increased public dissatisfaction, and loss of confidence in the County Council as local authority.	CD CYPS	CSD AD SR (HE) CYPS AD E&S	H	M	M	H	H	1	11	31/07/2021	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	8	31/07/2021	M	M	M	H	H	2	Y	CD CYPS
◀▶	24/276 - Childhood Futures	Failure to deliver the Childhood Futures strategic partnership arrangements, re-aligning and joining together several essential services for children and families into a brand-new integrated services model working collaboratively with CYPS services, health partners and communities to improve the health and wellbeing of children and families, failure would result in poorer outcomes on health and school readiness and missed opportunities to tackle cost	CD CYPS	CYPS AD Incl	M	M	H	H	M	2	10	31/07/2021	L	M	M	H	H	3	Y	CYPS Comm Mgr Health

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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
◀▶	24/27 - Looked After Children and those on the Edge of Care	Failure to ensure that looked after and those on the edge of care children arrangements provide sufficient support for those with multiple and complex needs (including work on step down from Tier 4 cases, unaccompanied asylum seeker children and those not receiving 25 hours of education); that the service supports the regionalised adoption service; and ensures sufficient foster carers are recruited; failure to do so results in poorer outcomes for young people, the need for high cost interventions/placements and reputational damage	CD CYPS	CYPS AD C&F	M	M	H	M	H	2	11	30/09/2021	L	M	H	M	H	3	Y	CYPS AD C&F
◀▶	24/213 - Cultural Change and Beyond 2020	Failure to maintain a strong culture, processes and supporting capacity within CYPS to deliver Beyond 2020 at pace, failure to deliver savings targets, and address national funding and policy changes taking into account the impact of Coronavirus and LGR, 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	5	30/09/2021	L	M	M	H	M	3	Y	CYPS LT
◀▶	24/178 - 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	M	H	M	H	2	16	31/10/2021	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. Moved to a 2/2 on Ed and Skills	CD CYPS	CYPS AD E&S	M	M	M	L	H	2	10	31/05/2021	L	M	M	L	H	3	Y	CD CYPS
◀▶	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	L	H	H	M	H	3	9	30/09/2021	L	H	H	M	H	3	Y	CD CYPS

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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