

Public Report with Exempt Appendices  
Audit Committee

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**Committee Name and Date of Committee Meeting**

Audit Committee – 14 March 2023

**Report Title**

Children and Young People's Services Directorate Risk Register Report

**Is this a Key Decision and has it been included on the Forward Plan?**

No

**Strategic Director Approving Submission of the Report**

Nathan Heath, Acting Strategic Director of Children and Young People's Services

**Report Author(s)**

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**Ward(s) Affected**

Borough-Wide

**Report Summary**

This report provides an update to the Audit Committee in relation to the current position of the Children and Young People's Services Directorate Risk Register and risk management activity.

**Recommendations**

The Audit Committee is asked to note the progress and current position in relation to risk management activity in the Children and Young People's Services Directorate.

**List of Appendices Included**

Appendix 1 Children and Young People's Services Directorate Risk Register

**Background Papers**

Children and Young People's Services Risk Register report to Audit Committee in March 2022.

Corporate Strategic Risk Register report to Audit Committee in July 2022.

**Consideration by any other Council Committee, Scrutiny or Advisory Panel**

No

**Council Approval Required**

No

**Exempt from the Press and Public**

No

Yes.

*An exemption is sought for Appendix 1 under Paragraph 3 of Part I of Schedule 12A of the Local Government Act 1972 is requested, as this report contains information that refers to the affairs of third parties.*

*It is considered that the public interest in maintaining the exemption would outweigh the public interest in disclosing the information because failure to do so may result in disclosure of information about the financial or business affairs of Council suppliers and partners.*

## Children and Young People's Services Directorate Risk Register Report

### 1. Background

- 1.1 The Children and Young People's Services (CYPS) Directorate Risk Register was last presented to Audit Committee in March 2022
- 1.2 The CYPS Directorate Risk Register as at 28 February 2023 has five risk items listed (Appendix 1)
- 1.3 Two of the CYPS directorate risks also feature on the Council's Strategic Risk Register, these are referenced below:

#### **CYPS-01 & SLT-01 - Keeping Children, Young People and families safe from harm.**

**Risk Detail:** Failure to keep children and young people safe e.g. Children and Young People at risk of Child Sexual Exploitation and other forms of abuse, neglect and Criminal Exploitation.

#### **CYPS-02 and SLT-04 - Maintaining sustainable improvement in Children and Young People's Services with a challenging budget position.**

**Risk Detail:** Failure to maintain improvement in Children and Young People's services following the Ofsted Inspection 2022 which rated children's services as good.

### 2. Key Issues

- 2.1 CYPS is made up of four key service areas, each with an Assistant Director lead reporting into the Strategic Director (DCS), these are;
  - Childrens Social Care;
  - Early Help, Family Engagement and Business Services;
  - Education and Inclusion;
  - Commissioning, Performance and Quality.

The composite of DCS and Assistant Directors make up the Directorate Leadership Team (DLT), along with key officers from Finance and Human Resources.

- 2.2 In December 2022, the incumbent CYPS Directorate Risk Champion retired from the authority.

A decision has been reached within the directorate to appoint the Departmental Business Services Manager as the new Directorate Risk Champion.

To ensure the directorate continues to manage risk effectively a development plan has been created for the new Risk Champion, this will include accredited Institute of Risk Management training at the end of March 2023.

In addition, the new Risk Champion will form part of a corporate network alongside other officers' responsible for risk management across the Council, this will allow for good practice to be shared and co-working on key strategic risks to be facilitated.

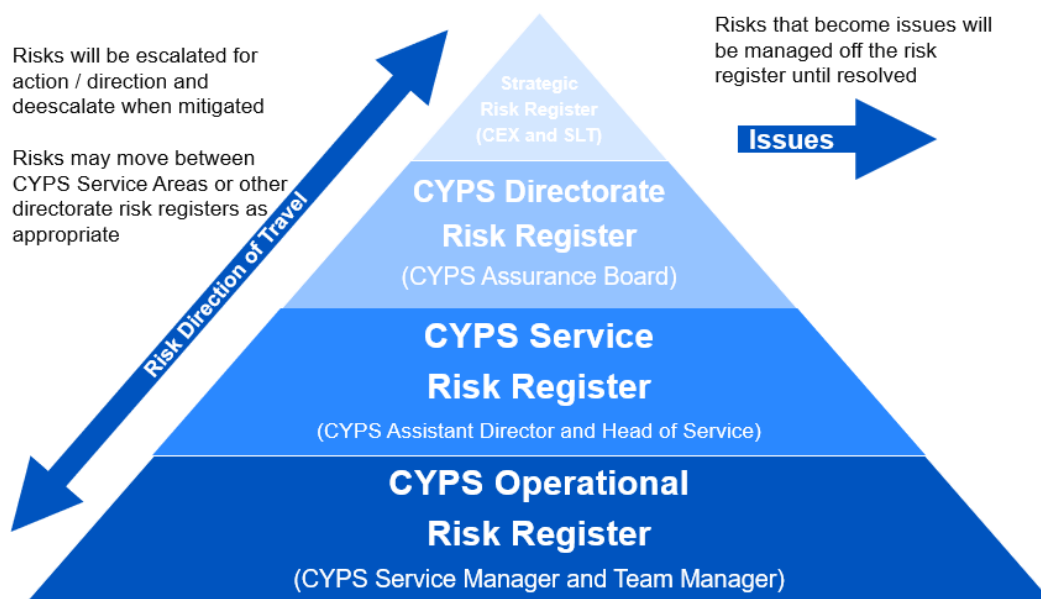
- 2.3 CYPS directorate risks are discussed and reviewed at the CYPS Assurance Board Meeting, which is scheduled on a quarterly basis, with escalations reviewed as exception outside of this reporting cycle by CYPS DLT.
- 2.4 Each Assistant Director within CYPS is accountable for managing a Service Risk Register which is formally monitored and reviewed with their Senior Managers on a monthly basis, discussions about risk are held every week in management meetings.

Each Service Risk Register is derived from key risks within operational areas following escalation from a Service Manager / Team Manager, these could be linked to a number of service delivery objectives such as transformation projects, service plans or outcomes from external inspections.

Escalations are made from Service level to the Directorate level at the discretion of a CYPS Assistant Director.

In the event a risk reviewed by CYPS Assurance Board (Directorate level) needs escalating this will be progressed by the DCS to the Strategic Leadership Team (SLT) for consideration.

The infographic below illustrates the four distinct levels of risk management within the CYPS directorate, this working model allows for escalation and de-escalation of risk as required. In addition to the movement and management of risk within CYPS, there may be occasions where the responsibility for managing a risk is with another directorate, any movement will be negotiated between either directorate Risk Champions or Assistant Directors.



This report and appended risk register is in respect of the CYPS Directorate Risk Register.

- 2.6 As part of the corporate programme to embed risk management into the culture of the Council, all managers from CYPS are required to attend the mandatory 'Risk Management Training for Managers' workshops. New managers are invited to attend workshops as soon as possible after commencement in role.
- 2.7 The CYPS Risk Register, dated 28 February 2023 is aligned to the Council Plan 2022-25 and Year Ahead Delivery Plan 2022.
- 2.8 A full review of risks associated with the Year Ahead Delivery Plan 2023 will be undertaken in the new financial year.
- 2.9 CYPS Risk items which have changed since the last review of the CYPS Directorate Risk Register, completed in December 2022 include;

| Risk No.       | Business Objective   | Risk Detail   | Change Since last report     |
|----------------|--|---|------------------------------|
| <b>CYPS 03</b> | Ensure the Local Authority is able to fulfil its statutory duty in relation to meeting the needs of Children and Young People with Special Educational Needs and Disability (SEND) | Failure to meet the statutory duty to meet the needs of Children and Young People with Special Educational Needs and Disability (SEND) caused by insufficient SEND provision  | Deescalated to Service Level |
| <b>CYPS 04</b> | Ensure robust and appropriate challenge to Schools and Academies to ensure Children and young people benefit from high quality education.  | Risk to the impact on pupil outcomes.<br>Rising exclusion rates.<br>Rising EHE cohort number.<br>Impact on LAC outcomes (Virtual School).<br>Financial implications for the LA in relation to academies converting in special measures with a deficit budget.<br>Risk of reduced data quality with regard to Capita One / SIMS issues around Business to Business (B2B) creating inaccurate and untimely transfer of data | Deescalated to Service Level |

### **3. Options considered and recommended proposal**

- 3.1 All CYPS Operational and Service Risk Register entries are closely linked to the directorate service plans, team plans, improvement plans and recommendations from any external inspection.

### **4. Consultation on proposal**

- 4.1 The Corporate Strategic Risk Register is reviewed quarterly by SLT, with the CYPS Directorate Risk Register also being reviewed quarterly at CYPS Assurance Board meetings.

A strategic Risk Champions Forum is in place, with representation from the Departmental Business Services Manager in capacity of CYPS Risk Champion.

### **5. Timetable and Accountability for Implementing this Decision**

- 5.1 Not applicable

### **6. Financial and Procurement Advice and Implications**

- 6.1 There are no direct financial or procurement implications arising from this report.

Any actions taken by the CYPS directorate or Council in response to risks identified will consider any financial and/or procurement implications

### **7. Legal Advice and Implications**

There are no direct legal implications arising from this report.

Any actions taken by the CYPS directorate or Council in response to risks identified will consider any legal implications

### **8. Human Resources Advice and Implications**

- 8.1 There are no direct Human Resources implications arising from this report.

Any actions taken by the CYPS directorate or Council in response to risks identified will consider any Human Resources implications

### **9. Implications for Children and Young People and Vulnerable Adults**

- 9.1 The CYPS risk register is focussed on managing risks to improve outcomes for Children and Young People and promoting every child is able to fulfil their potential, working with Rotherham's children, young people and families to be resilient, successful and safe.

## **10. Equalities and Human Rights Advice and Implications**

- 10.1 There are no direct Equalities and Human Rights Advice implications arising from this report.

Any actions taken by the CYPS directorate or Council in response to risks identified will consider any Equalities and Human Rights Advice implications

## **11. Implications for CO<sub>2</sub> Emissions and Climate Change**

- 11.1 There are no direct CO<sub>2</sub> Emissions and Climate Change implications arising from this report.

Any actions taken by the CYPS directorate or Council in response to risks identified will consider any CO<sub>2</sub> Emissions and Climate Change implications

## **12. Implications for Partners**

- 12.1 There are no direct implication for Partners arising from this report.

Any actions taken by the CYPS directorate or Council in response to risks identified will consider any Partner implications

## **13. Risks and Mitigation**

- 13.1 The CYPS Risk Register (Appendix 1) details the directorate level risks and mitigations.

## **14 Accountable Officer(s)**

*Report author*

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