

**Children, Families and Education Directorate
RISK REGISTER**

DATE Fourth Draft Jan 07

*** Also in the Strategic Risk Register**

+ Identified in the Statement for Internal Control

Risk No	Rank	Source	Event / Risk	Planned Outcome	Accountable manager	Existing controls	New tasks / action plans	Date
1	I = 4 L = 5 Score = 20 HIGH	Technological/ political/ citizen	Renewal of systems: ICS and Swift. Loss of control of information. Data unavailable for Management control and JAR. Risk to child if information is unavailable or not shared between agencies	Smooth transition and systems in place	Bill Anderson/ Marilyn Hodges	Major implementation programme involving front line staff / managers etc. Project Board	Action Plan in place Training programme for key staff	March 07
2*	I = 4 L = 4 Score =16 HIGH	Political/ citizen	Proposed strategies do not result in raising primary attainment	Ensure resources are focussed on raising attainment and proposed strategies are in place	Carol Parsons Maureen King	<ul style="list-style-type: none"> • Management monitoring and reporting • Primary strategy in place • Targeted support to schools • Cluster Collaboration • School Improvement Strategy in place • Kent School improvement partners in place 	<ul style="list-style-type: none"> • PSA2 Target and Action Plan • Towards 2010 Action Plan • Primary Challenge Board established • Implementation of a strategic plan • Establishment of role of senior primary managers on a regional basis • Bi termly tracking of progress of intensive support schools against targets set. • Programme of Principal Adviser challenge visits to targeted schools causing concern and enhanced monitoring schedule • Regular review of targeted support to evaluate impact in schools 	Ongoing: expect to See early indication of impact on results in September 2008

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3. New Risk	I = 4 L = 4 Score =16 HIGH	Political/citizen	Proposed strategies do not result in raising standards in Early Years and also leads to failure to achieve local and national targets	Ensure resources are focussed on raising attainment and proposed strategies are in place	Ian Craig Bob Rose Jennie Landsberg	<ul style="list-style-type: none"> Developing approach to assess quality of Early Years provision and providing support to improve quality PSA2 Target and action plan with working group Regular Monitoring 	<ul style="list-style-type: none"> Refresh PSA2 action plans: Focus on Early Years and Attendance Substantially re-focusing the work of the EY team to support and challenge in vulnerable settings, through mentoring and coaching, working more closely with cluster colleagues, EYATs, EY SENCOs. Developing a Setting Improvement Partner programme Improving networking between schools and promoting the use of the Kent record of transfer. Increasing the reliability of FSP moderation by developing additional local moderation arrangements in clusters - developing criterion referenced materials to support practitioners. Use the information from the ECERS audit to support setting self-evaluation and action planning. Increase and recruit an additional 52 (making 75 in total) Leading Early Years Teachers (LEYT's) 	Ongoing until 2008

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4. New Risk	I = 4 L = 4 Score = 16 HIGH	Political/citizen	Changes to SEN transport, including Purchase Cards, could put vulnerable young people at risk of harm and strong parental objections	More choice and independence for children with SEN	Joanna Wainwright	New risk. Controls need to be identified	Letters to be sent to all parents	
5.	I = 4 L = 4 Score = 16 HIGH	Social/Financial	Demand outstripping available resources and Major demand led budgets overspend resulting in inappropriate short term action to offset overspends. Position made more difficult as less flexibility under new national funding arrangements. Impact of medium term planning savings on the application of CP thresholds – risk in lowering thresholds in terms of resourcing need Impact on vulnerable children unable to access services	Financial control and children in need receive appropriate, cost effective services	Keith Abbott/ Bill Anderson	<ul style="list-style-type: none"> • Complaints monitoring • Increased user involvement. • Demographic planning • Joint planning • Thanet Report • Focus on prevention Business Planning • Finance and Activity Monitoring • Contracting and Procurement Controls • Eligibility criteria • Increase core assessments • Kent safeguarding Board • Eligibility criteria 	<ul style="list-style-type: none"> • Robust financial and resource management • Management Action • Monitoring and regular SMT reporting • Practice based commissioning • CYPP- identifying priorities 	

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6*	I = 4 L = 4 Score = 16 HIGH	Financial/ political/citizen	<p>Reduction/cessation of external funding</p> <ul style="list-style-type: none"> • Teenage Pregnancy funding ends <p>Extended Schools</p> <ul style="list-style-type: none"> • Shortfall in funding streams which cease in August 2008 • Funding from Government for family learning activities has been significantly reduced <p>Children's Centres</p> <ul style="list-style-type: none"> • Short fall in funding arrangements insufficient to develop full range of services or complete full programme of children centres and is a threat to existing provision through SURESTART. Risk that vulnerable children are overlooked • Children's fund finishing <p>Healthy schools</p> <ul style="list-style-type: none"> • Insufficient joint funding 	Financial control and delivery of service. Timely and effective services available to improve outcomes for children	Keith Abbott	<ul style="list-style-type: none"> • Make use of Freedoms and Flexibilities • Robust financial monitoring systems • Negotiations with Central Govt. • Capital Strategy in place and linking to Business Planning 		

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7 *+ New Risk	I = 5 L = 3 Score =15 MEDIUM	Political	Joint Area Review: External Assessment results in satisfactory or worse assessment	Favourable outcome: 3 or better	Marilyn Hodges Chris Carter	<ul style="list-style-type: none"> Existing mechanisms resulted in successful APA outcome Children and Young People's plan 	<ul style="list-style-type: none"> JAR Strategy Group in place Action Plan to be developed Initial stocktake underway in KCC and with partners Detailed Project planning awaiting revisions to JAR methodology 	JAR due January/ February 2008
8+ New Risk	I =5 L = 3 Score =15 MEDIUM	Political	Changes arising as a result of the implementation of a Children's Trust like approach and other national changes	Successful pilots demonstrate best approach for Kent to adopt Delivery of Children Young People's Plan through the Trust	Marilyn Hodges Judy Doherty Joy Ackroyd	<ul style="list-style-type: none"> Establishment of new Children, Families and Education Directorate County Children's Trust 3 Local pathfinders 	<ul style="list-style-type: none"> Development of common data set at County and Local levels Development of commissioning framework and local delivery plans Review lead roles and responsibilities to ensure structure is fit for purpose 	September 2007
9*+	I =5 L = 3 Score =15 MEDIUM	Professional, Technological, Financial, social, citizen	Death or abuse of a child as a result of failure to share information between agencies and lack of timely interventions Shortfall in funding available for implementation of ISI, lead professional function and CAF	Information sharing protocols and systems in place	Graham Badman/ Bill Anderson/ Joanna Wainwright	<ul style="list-style-type: none"> Kent Safeguarding Board Robust Preventative Strategy Multi-agency and consortia working Well trained, high calibre staff with clearly defined reporting structure. Development of lead professional Multi agency Child protection policies in place Multi-agency Board for ISI, lead professional function and CAF in place 	<ul style="list-style-type: none"> Integrated Children's System Common Assessment Framework Case Tracking audit and review of filing arrangements 	

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10*	I = 5 L = 3 Score = 15 MEDIUM	Social/political	Health economy: risks to children's social care and service integration as a result of problems in the health economy including shortfalls in funding and reorganisation	Continued investment and partnership working with Health	Bill Anderson/ Richard Murrells	<ul style="list-style-type: none"> Range of preventative projects Scrutiny of Health through Members overview 	<ul style="list-style-type: none"> Appointment of Director Children's Health Inclusion of Health in new Children Trust arrangements Funding for children's Preventative services 	ongoing
11	I = 5 L = 3 Score = 15 MEDIUM	Professional, legal, physical	Failure of a school to obtain necessary Police Checks leading to appointment of inappropriate staff. Potential for children to be unsafe and litigation	Keeping Children Safe (ECM) Early effective detection and sharing of information between employers and others in contact with school staff who behave inappropriately.	Keith Abbott Karen Ray Joanna Wainwright Kel Arthur	<ul style="list-style-type: none"> Guidance on CRB procedures issued to all schools LEA carries out CRB checks for all schools buying services from SPS. Respond to review of Safeguarding and vetting procedures as outlined in safeguarding Vulnerable Groups Bill. Updated child protection procedures for managing allegations against staff in response to new DfES guidance. Training for Headteachers and selected Governors CSS advice on threshold for referral to SS re: Section 47 investigations. 	<ul style="list-style-type: none"> Continue to monitor CRB checks carried out for all maintained schools and intervene where there are concerns. Increase number of schools completing NCSL On-line training Undertake retrospective police checks in line with ACPC approval Follow up NCSL training to ensure CP input at interviews in response to Birchard recommendation <ul style="list-style-type: none"> Enhanced monitoring via Self-Review Tool. 	ongoing
12	I = 4 L = 3 Score = 12 MEDIUM	Citizen/ Financial/ political	Falling school rolls school closures and amalgamation will affect school budgets and risks bad public and media relations	Manage school closures No schools in deficit	Ian Craig Keith Abbott	<ul style="list-style-type: none"> Kent Primary Strategy Group Full public consultations Members briefing and media representation 	<ul style="list-style-type: none"> Kent primary Strategy 2006 recommendations Continue full Members briefing and media representation 	2008

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13	I =5 L =2/ 3 Score =10/15 MEDIUM	Physical, legal	Health & safety: Accident or incident to pupil, member of staff or customer could bring legal action for damages and potentially prosecution. Risk from external contractors working on school sites	Reduce possibility of accident; deal appropriately when they occur	Sally-Anne Clark	<ul style="list-style-type: none"> Robust policies, procedures and guidelines Induction training for headteachers Regular health and safety training courses provided for staff Management of contractors policy and training in place Management system for asbestos in all premises Regular Governor training Health and safety team in place to deal with issues and provide advice Corporate Audit programme in place Annual Monitoring Returns required from schools to monitor compliance with H&S Finance team assist in monitoring compliance 	<ul style="list-style-type: none"> Train batches of school staff in accident procedures: first tranche of 150 schools have provided contact names Computerised audit system to be implemented to improve speed and consistency of information provided to schools on health and safety management . Develop training course in Management of Health and Safety for all CFE managers Bursar training started Dec 06 	April 2007 June 2007 Dec 2007 Regular sessions during year
14	I = 3 L = 4 Score =12 MEDIUM	Financial/Social	Large number of looked after children placed by other local authorities places burden on existing service structure	Influence number of placements	Bill Anderson	<p>Strategic Risk Register</p> <ul style="list-style-type: none"> Representation to Government Partnerships with other agencies etc In house service provision Developing better support systems for carers Preventative Services Business Plan, Fostering Action Thanet Report 	<ul style="list-style-type: none"> Management controls in place Too Far to Go: Project with Tizard Centre about people with LD placed in Kent- results to be published followed by National Conference 2006 Multi -agency protocols regarding placement of children in Kent SS will start charging other LA for CP investigation Member support 	ongoing

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15	I = 3 L = 4 Score =12 MEDIUM	Social/Financial	Difficulties in planning for asylum seeking services, as it is dependent on unpredictable, external factors outside KCC control. May not be able to provide adequate services to vulnerable young people	Management of resources Young asylum seekers are safe and protected from harm.	Bill Anderson Karen Goodman	<ul style="list-style-type: none"> Members agreed to move to full staffing structure Business plan Strategic Review Maximise resources available Negotiating directly with Govt. Consortium Legal action 	<ul style="list-style-type: none"> tendering for accommodation Re-engineering of multi-agency assessment and reception processes. Working with the Home Office to develop an asylum model which is less subject to unpredictability Currently discussing with Home Office the development of an intake and assessment model with Kent being used as a gateway for unaccompanied minors. 	ongoing
16*	I =5 L = 3/4 Score =12 MEDIUM	Human Resources	Staffing: Failure to recruit, retain and develop the children's workforce necessary to deliver ECM	Stable and effective staffing establishment	Rob Semens Ann Christina	<ul style="list-style-type: none"> Children and Young People's Workforce Strategy Group 	<ul style="list-style-type: none"> Write the Children's Workforce Strategy Plan the dissemination of the Strategy across all Every Child Matters agencies 	April 2007 ongoing
17	I = 4 L = 2/3 Score =8/12 MEDIUM	Legal / Social / financial/citizen	Children not in education – Legal cases for failure to educate Improved identification leads to demand on resources Children not fulfilling their potential	All known children and young people in receipt of education	Joanna Wainwright / Bob Rose	System to identify children not in school Pilot alternative curriculum PSA target to increase attendance	2010 targets developed and action plans implemented	ongoing