



Education and Young People Services Risk Register

JULY 2014

Education & Young People Services Directorate Summary Risk Profile

Low = 1-6
Medium = 8-15
High =16-25

Risk No.*	Risk Title	Current Risk Rating	Target Risk Rating
EYPS 01	Changes to Ofsted frameworks	15	5
EYPS 02	Transport budget savings	20	12
EYPS 03	Demand for specialist provision and placement of pupils with statements of SEN	12	6
EYPS 05	School provision planning – capital budget pressures	9	9
EYPS 06	More schools will move into a potentially deficit budget position	20	8
EYPS 07	Safeguarding children who are home educated	12	6
EYPS 08	Children not in full time education	9	6
EYPS 09	Free school meal requirement	9	6
EYPS 10	Non-integrated data information systems	16	4
EYPS 11	Achievement of outcomes and savings relating to Early Help and Preventative Services	16	8
EYPS 12	Implementing the new Children & Families Act 2014	6	4

*Each risk is allocated a unique code, which is retained even if a risk is transferred off the Corporate Register. Therefore there will be some ‘gaps’ between risk IDs.

NB: Current & Target risk ratings: The ‘current’ risk rating refers to the current level of risk taking into account any mitigating controls already in place. The ‘target residual’ rating represents what is deemed to be a realistic level of risk to be achieved once any additional actions have been put in place. On some occasions the aim will be to contain risk at current level.

Likelihood & Impact Scales					
Likelihood	Very Unlikely (1)	Unlikely (2)	Possible (3)	Likely (4)	Very Likely (5)

Impact	Minor (1)	Moderate (2)	Significant (3)	Serious (4)	Major (5)
Risk ID	EYPS 01	Risk Title	Changes to Ofsted Frameworks		
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
Changes to Ofsted frameworks	There is an increased risk of schools not reacting speedily enough to frequent changes to Ofsted frameworks resulting in increased numbers of schools dropping to "Requires Improvement" or into Category. Once categorised there is a requirement for the school to move into Academy status with associated costs.	This would lead to additional support being required, reputational damage and financial implications	Patrick Leeson, Corporate Director Education and Young Peoples Services	Possible (3)	Major (5)
				Target Residual Likelihood V Unlikely (1)	Target Residual Impact Major (5)
Control Title			Control Owner		
A school improvement strategy is in place to reduce the risk of schools going into an Ofsted category or maintaining "Requiring Improvement"			Sue Rogers, Director Education Quality and Standards		
Action Title		Action Owner		Planned Completion Date	
Regular monitoring by School Improvement Advisors and Improvement Advisors on visits to schools to ensure that Ofsted revisions are understood and reacted to		Sue Rogers, Director Education Quality and Standards		July 2014	
School Improvement Advisors to familiarise schools immediately changes to Ofsted Frameworks happen		Sue Rogers Director Education Quality and Standards		July 2014	
Reframing support for schools that have been judged to be in Ofsted Category as Local Authority resources diminish		Sue Rogers, Director Education Quality and Standards		July 2014	

Risk ID	EYPS 02	Risk Title	Transport Budget Savings				
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	Target Residual Likelihood	Target Residual Impact
There is a legal requirement on the LA to make appropriate provision for transport for SEN learners where their needs require it.	There is insufficient budget allocation to meet rising costs of SEN transport. The SEN transport budget has been set at £17.8m. The projected cost of transport for 2014/15 financial year is expected to be between £20-21m when accounting for recent rises in transport costs and the existing travel patterns.	The extent of shortfall will create a significant budgetary pressure on KCC because the LA has no alternative but to meet its legal duties in this regard.	Kevin Shovelton, Director of Education Planning and Access	V. Likely (5)	Serious (4)	Possible (3)	Serious (4)

Control Title	Control Owner	
Centralised eligibility assessment process	Scott Bagshaw, Head of Admissions and Transport	
Results of pilot scheme analysed and our approach adjusted to increase take-up of personalised budgets	Scott Bagshaw, Head of Admissions and Transport	
Policy on eligibility for SEN transport now completed	Scott Bagshaw, Head of Admissions and Transport	
Revised working practice to reduce demand on KCC delivered services	Scott Bagshaw, Head of Admissions and Transport and Julie Ely, Head of SEN Assessment and Placement	
Transport Integration Team have reviewed costings and produce detailed reports with user demographic and key information that is presented to a review body each month to enable strategic targeting of activity.	Scott Bagshaw, Head of Admissions and Transport	
Action Title	Action Owner	Planned Completion Date
3 year programme to be developed to enable some Special Schools to operate their own transport	Scott Bagshaw, Head of Admissions and Transport	July 2014
Co-location of Education Officers assessing eligibility and the SEN Transport logistics team based in Transport Integration.	Scott Bagshaw, Head of Admissions and Transport	July 2014

A dedicated Project Manager employed to progress ITT and manage uptake of PTB's	Scott Bagshaw, Head of Admissions and Transport	July 2014
Deep dive reviews of transport activity into establishments	Scott Bagshaw, Head of Admissions and Transport	July 2014
Work closely with Special Schools to identify suitable candidates to receive ITT with a view to transition to public transport	Scott Bagshaw, Head of Admissions and Transport	July 2014
The implementation of the SEN strategy will reduce the amount of school travel and create new school places	Scott Bagshaw, Head of Admissions and Transport	July 2014
A small ITT team recruited from 1 April 2014 to quickly roll out ITT	Scott Bagshaw, Head of Admissions and Transport	July 2014
Analysis of journey types to identify prospective candidates for a personal transport budget.	Scott Bagshaw, Head of Admissions and Transport	July 2014

Risk ID	EYPS 03	Risk Title	Demand for specialist provision and placement of pupils with Statements of SEN			
Source / Cause of risk		Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
Proposals in SEND strategy to increase commissioned places to 3700		Additional numbers are on track but there is a risk that the additional places in Kent are not delivered on time or within budget	Budgetary pressure on KCC as a consequence of legal duty to make specialist provision and continued placement in costly independent schools	Patrick Leeson, Corporate Director Education and Young Peoples Services	Likely (4)	Significant (3)
					Target Residual Likelihood	Target Residual Impact
					Possible (3)	Moderate (2)
Control Title				Control Owner		
Kent SEN strategy review and implementation				Kevin Shovelton, Director Education Planning and Access		
Pilot completed allowing outcomes to be used to scale up local decision making using core standards				Julie Ely, Head of SEN Assessment and Placement		
Workforce development plans issues w/c 20/1/2014				Julie Ely, Head of SEN Assessment and Placement		
Action Title			Action Owner		Planned Completion Date	
Commission additional places in Kent special schools to maximise use of existing accommodation; target capital resources to improving and increasing physical environment and places in special schools			Julie Ely, Head of SEN Assessment and Placement		September 2014	
Increase capacity in Kent's mainstream schools; raise awareness of core standards to increase the number of pupils who can be included in a local mainstream school			Julie Ely, Head of SEN Assessment and Placement		September 2014	
Increase the number of Profound, Severe and Complex needs (PSCN) places at FiveAcre Wood (50) by September 2015. Behavioural, Emotional and Social Needs (BESN) places at Goldwyn (35) by September 2014. PSCN places at Ridgeview (67) BY September 2015. Autistic Spectrum Disorder (ASD) places at Broomhill Bank (56) by September 2015.			Julie Ely, Head of SEN Assessment and Placement		September 2014	

Planning consents and Governing Body agreement are being sought for new provision.

Julie Ely, Head of SEN Assessment and Placement

September 2014

Risk ID EYPS 05	Risk Title	School Provision Planning – Capital Budget Pressures				
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
A significant expansion of schools is required to accommodate major population growth in the short term to medium term (primary age) and long term (secondary age). The “Basic Need” capital grant for DfE will not fund the expansion in full. A funding gap to deliver the programme for schools will be created by cost pressures from higher than expected build costs, low contributions from developers and sudden increases in pupil demand.	The expansion required may not be delivered, meaning that KCC is not able to provide appropriate school places	The duty to provide sufficient school places is not met	Kevin Shovelton, Director of Education Planning and Access	Possible (3)	Significant (3)	
				Target Residual Likelihood	Target Residual Impact	
				Possible (3)	Significant (3)	
Control Title			Control Owner			
Alternative strategies could be employed if required to reduce the impact of risk consequences e.g. more temporary solutions, scaling back of maintenance.			Kevin Shovelton, Director Education Planning and Access			
EYPS capital monitoring mechanism with Member involvement now created			Kevin Shovelton, Director Education Planning and Access			
The Kent commissioning plan contains the forecast expansion numbers and locations. A school expansion programme has been mapped, costed and kept under review.			Kevin Shovelton, Director Education Planning and Access			
Policy and operations to secure sufficient developer contributions are overseen by Cabinet sub-group			Kevin Shovelton, Director Education Planning and Access and Paul Crick, Director Environment, Planning and Enforcement			
The school expansion programme is under Member scrutiny and review by relevant Education and Property programme boards/forums/committees.			Kevin Shovelton, Director Education Planning and Access			
Action Title		Action Owner	Planned Completion Date			
A new director level Basic Need Programme board has mapped and costed the school expansion in detail to 2015 and is exploring more cost effective delivery solutions		Kevin Shovelton, Director Education Planning and Access	August 2014			
A bid has been made for extra funding under the priority school building		Kevin Shovelton, Director Education Planning and	End of June 2014			

Risk ID EYPS 06	Risk Title	More schools will move into a potentially deficit budget position					
Source / Cause of risk The fourth year of a "flat cash" DSG settlement for schools coupled with major national changes to school funding and the formula will put serious pressure on the budgets of a number of schools – especially those with falling rolls – in the short to medium term. Secondary schools are also expressing additional pressures as a result of national changes in the 6 th form funding. Also changes in the Ofsted frameworks resulting in more schools moving into category. Experience shows that the additional costs incurred as a result of this can also push a school into deficit.	Risk Event More schools will move into a potentially deficit budget position	Consequence There will be pressure on school budgets with knock-on consequences as they make budget savings to balance the budget. There will be increased pressure on the central redundancy budget and also increasing demands upon Schools Financial Services. SPS (Schools Personal Service) and School Improvement. There may also be a negative impact upon standards in some schools	Risk Owner Patrick Leeson, Corporate Director Education and Young Peoples Services	Current Likelihood V. Likely (5)	Current Impact Serious (4)	Target Residual Likelihood Likely (4)	Target Residual Impact Moderate (2)
Control Title			Control Owner				
Direct conversations taking place with the Chief Executive of the Education Funding Agency (EFA).			Keith Abbott, School Resources and EYPS Finance Business Partner				
Joint work is underway with school improvement colleagues to identify those schools at most risk as a result of the financial changes. Meeting has now taken place with school improvement colleagues.			Keith Abbott, School Resources and EYPS Finance Business Partner				
Paper re long term implications of funding and school roll numbers in Secondary Schools taken to DMT way day on 5 February 2014			Keith Abbott, School Resources and EYPS Finance Business Partner				
Met with Permanent Secretary regarding funding issues			Keith Abbott, School Resources and EYPS Finance Business Partner				
The potential implications of all the changes to school funding have been identified and DfE have been lobbied. Budget tool issued for 2014/15 and beyond.			Keith Abbott, School Resources and EYPS Finance Business Partner				
Action Title		Action Owner		Planned Completion Date			
As a result of a paper taken to DMT in February 2014, more detailed work to be carried out on top 12 schools of concern		Keith Abbott, School Resources and EYPS Finance Business Partner		July 2014			

For schools that have declared a balanced budget position, close monitoring of management action.	Keith Abbott, School Resources and EYPS Finance Business Partner	End of June 2014
Commence discussions with other schools that have showed future problems.	Keith Abbott, School Resources and EYPS Finance Business Partner	End of June 2014
Recovery plans with schools that have flagged up problems	Keith Abbott, School Resources and EYPS Finance Business Partner	End of June 2014

Risk ID	EYPS 07	Risk Title Safeguarding children who are home educated				
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
The Elective Home Education process does not require a young person to be seen by a member of the local authority tasked with identifying the suitability of education	Risk of delay in identifying potential safeguarding concerns.	Failure of KCC to fulfil its safeguarding duties.	Patrick Leeson, Corporate Director Education and Young Peoples Services	Possible (3)	Serious (4)	
				Target Residual Likelihood	Target Residual Impact	
				Unlikely (2)	Significant (3)	
Control Title				Control Owner		
Revised policy to include interaction with child as mandatory				Kevin Shovelton, Director Education Planning and Access		
Raising of awareness amongst other practitioners to recognise potential implications of children home educated that are not in contact with universal education services				Elective Home Education Team		
Early intervention prior to decision will reduce the number of vulnerable young people entering into Elective Home Education				Director of Early Help & Prevention Services		
Action Title		Action Owner		Planned Completion Date		
Revised policy to be taken to Cabinet		Patrick Leeson, Corporate Director Education and Young Peoples Services		October 2014		

Risk ID	EYPS 08	Risk Title Children not in full time education					
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	Target Residual Likelihood	Target Residual Impact
Section 436a of the Education Act 1996 (inserted by the Education and Inspections Act 2006) "requires all local education authorities to make arrangements to enable them to establish (so far as it is possible to do so), the identities of children in their area who are not receiving a suitable education". The local authority must also ensure that it "monitors the numbers of children/young people in the authority who are not receiving an education, including those new to the area of the country.	Information on children and young person's not in full-time education is held on a number of different systems that are not fully integrated. There is a risk that the professionals working with a C&YP may not be aware that they are not accessing education.	Failure of KCC to fulfil its duties to identify and monitor those children/young people not receiving an education and to ensure education is offered.	Patrick Leeson, Corporate Director Education and Young Peoples Services	Possible (3)	Significant (3)	Unlikely (2)	Significant (3)
Control Title			Control Owner				
Provision continues to be delivered to meet statutory obligation following PRU review			Louise Simpson, Acting Head of Inclusion				
Attendance offer revised to facilitate more robust monitoring of school attendance registers			Louise Simpson, Acting Head of Inclusion				
Improved information sharing systems between Admissions, Children Missing Education and Elective Home Education Teams			Louise Simpson, Acting Head of Inclusion				
The Elective Home Education Policy and process has been revised			Louise Simpson, Acting Head of Inclusion				
Action Title		Action Owner		Planned Completion Date			
Corporate Director to issue guidance to schools and other professionals in order to set up central register		Louise Simpson, Acting Head of Inclusion		August 2014			
Ensure centralised provision results in full time entitlement for pupils not on a school roll		Scott Bagshaw, Head of Admissions and Transport		End of June 2014			
Ensure that the proposal secures full-time (or as much as it is suitable) entitlement for pupils with health needs		Sue Dunn, Head of Skills and Employability		July 2014			

Setting up of an integrated database/case management system	Rob Comber, Monitoring and Quality Assurance Officer	July 2014
Develop a regular reporting system of off-rolled children by trialling a system of getting off-rolled information using B2B information from schools	Louise Simpson, Acting Head of Inclusion	August 2014
Single management information system being developed to ensure improved data sharing between agencies (see risk EYPS 10)	Katherine Atkinson, Performance & Information Manager	September (review)

Risk ID	EYPS 09	Risk Title Free school meal requirement				
Source / Cause of risk		Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
The Chancellor's Autumn statement of 2013 stated that free school meals would be provided to all Reception, Year 1 and Year 2 children in 2014. There is limited time to address the issues that this decision raises or to take the required actions prior to September 2014. In addition there is insufficient funding to address the capital issues in schools to enable them to provide for the additional meals and sittings.		There is a risk that KCC schools will not be able to meet the statutory requirement to provide free infant school meals from September 2014.	If this risk was to occur it could lead to reputational damage to KCC as well as to the school itself. In addition there could be parental complaints and possibly legal action.	Director of Education Planning and Access: Kevin Shovelton	Possible (3)	Significant (3)
					Target Residual Likelihood	Target Residual Impact
					Unlikely (2)	Moderate (2)
Control Title				Control Owner		
A survey has been sent to schools to understand the impact of the decision and the results have been analysed				Janet Stein, Client Services Manager		
Communication with schools and through the Primary Head Teachers Forum – ongoing.				Marisa White, Area Education Officer		
Criteria re prioritisation/allocation of funding was decided at the Executive Meeting in March 2014				Marisa White, Area Education Officer		
Funding being allocated according to decision taken by Schools Funding Forum				Janet Stein, Client Services Manager		
The Director of EYPS Finance received confirmation of distribution of revenue between September – March 2014/15				Keith Abbott, School Resources and EYPS Finance Business Partner		
Universal free school meals for infants project team in place				Marisa White, Area Education Officer		
Working with contractors re staffing and menus for September 2014				Janet Stein, Client Services Manager		
Action Title		Action Owner			Planned Completion Date	

Risk ID	EYPS 10	Risk Title Non-integrated data information systems				
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
Over a period of time, the number of data collection systems has increased. There is a great deal of duplication and a lack of consistency in the data, and none of the systems are integrated with each other. This is leading to an un-coordinated approach towards working with children and young people. Although we are taking steps to procure a management system that should be in place by the end of 2014 or early 2015.	There is a risk that staff will be working with incomplete information on children or YP due to the amount of data and systems that are collecting the data.	If staff work with incomplete data on children or YP it may lead to safeguarding issues for the child and reputational issues for the Authority. In addition, performance is presented in an uncoordinated manner due to inconsistency of the systems.	Katherine Atkinson, Performance and Information Manager	Likely (4)	Serious (4)	
				Target Residual Likelihood	Target Residual Impact	
				Unlikely (2)	Moderate (2)	
Control Title			Control Owner			
Action Title		Action Owner		Planned Completion Date		
Demonstrations are planned for potential new systems		Katherine Atkinson, Performance and Information Manager		July 2014		
Make more widespread use of common identifiers in order to assist joining up systems in the short-term		Katherine Atkinson, Performance and Information Manager		July 2014		
Use the Oracle Business Intelligence system to assist in joining up the databases		Katherine Atkinson, Performance and Information Manager		July 2014		

Risk ID	EYPS 11	Risk Title Achievement of outcomes and savings relating to Early Help and Preventative Services				
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
.As part of KCC's transformation programme, several early help and prevention services have been brought together into one division, to be redesigned and integrated to provide a cohesive service offer to families, ultimately reducing demand on education and social services. The division has a number of challenging outcomes to achieve, including significant savings in short timescales, some of which are unidentified.	The required benefits and savings are not achieved in time.	Non achievement of savings: additional budget pressure for the directorate/ or Authority at a time of diminishing resources. Non-achievement of outcomes: demand for children's social care services does not reduce.	Angela Slaven, Interim Director Preventative Services	Likely (4)	Serious (4)	
				Target Residual Likelihood	Target Residual Impact	
				Unlikely (2)	Serious (4)	
Control Title			Control Owner			
Interim arrangements established while services are redesigned			Angela Slaven, Interim Director Preventative Services			
A vision for Early Help Services has been developed			Angela Slaven, Interim Director Preventative Services			
Action Title		Action Owner	Planned Completion Date			
Savings PID's are being written to outline how required savings are to be achieved		Angela Slaven, Interim Director Preventative Services	End of May 2014			

Risk ID	EYPS 12	Risk Title Implementing the new Children and Families Act 2014				
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
Children and Families Act 2014	There is a risk that the service will be unable to fulfil the requirements of the Children and Families Act, particularly the joint commissioning duty with Health by September 2014	Reputational embarrassment and possibility of legal action against the authority.	Patrick Leeson, Corporate Director Education and Young Peoples Services	Moderate (2)	Significant (3)	
				Target Residual Likelihood	Target Residual Impact	
				Unlikely (2)	Moderate (2)	
Control Title			Control Owner			
Action Title		Action Owner		Planned Completion Date		
To develop a whole service action plan		Julie Ely, Head of SEN Assessment and Placement		July 2014		
Contribute and support the work of the SEN and disabilities pathfinder which is trialling aspects of the proposed statutory changes, ensuring information provided for all stakeholders is easily accessible		Julie Ely, Head of SEN Assessment and Placement		July 2014		
To establish a Reference Group to follow-up a detailed implementation		Julie Ely, Head of SEN Assessment and Placement		September 2014		