

From: **Roger Gough, Cabinet Member for Education and Health Reform**

**Peter Oakford, Cabinet Member for Specialist Children's Services**

**Mike Hill, Cabinet Member for Community Services**

**Patrick Leeson, Corporate Director for Education and Young People's Services**

To: Education and Young People's Services Cabinet Committee –  
15<sup>th</sup> April 2015

Subject: **Risk Management - Strategic Risk Register**

Classification: **Unrestricted**

**Past Pathway of Paper:** None

**Future Pathway of Paper:** None

**Electoral Division:** All

**Summary:** This paper presents the strategic risks relating to the Education and Young People Services directorate, in addition to a risk featuring on the Corporate Risk Register for which the Corporate Director is the designated joint 'Risk Owner'. The paper also explains the management process for review of key risks.

**Recommendation(s):**

The Education and Young People's Services Cabinet Committee is asked to consider and comment on the directorate risk register and relevant corporate risk outlined in appendices 1 and 2.

## **1. Introduction**

- 1.1 Directorate business plans are reported to Cabinet Committees each March / April as part of the Authority's business planning process. The plans include a high-level section relating to key directorate risks, which are set out in more detail in this paper.
- 1.2 Risk management is a key element of the Council's Internal Control Framework and the requirement to maintain risk registers ensures that potential risks that may prevent the Authority from achieving its objectives are identified and controlled. The process of developing the registers is therefore important in underpinning business planning, performance management and service procedures. Risks outlined in risk registers are taken into account in the development of the Internal Audit programme for the year.
- 1.3 Directorate risk registers are reported to Cabinet Committees annually and contain strategic or cross-cutting risks that potentially affect several functions across the Education and Young People Services (EYPS) directorate. These

often have wider potential interdependencies with other services across the Council and external parties. The EYPS directorate risk register is attached in appendix 1.

- 1.4 Corporate Directors also lead or coordinate mitigating actions in conjunction with other Directors across the organisation to manage risks featuring on the Corporate Risk Register. The Corporate Director for Education and Young People Services directorate is designated joint 'Risk Owner' for the corporate risk relating to the management of demand on specialist children's services. This is presented for comment in appendix 2.
- 1.5 A standard reporting format is used to facilitate the gathering of consistent risk information and a 5x5 matrix is used to rank the scale of risk in terms of likelihood of occurrence and impact. Firstly the current level of risk is assessed, taking into account any controls already in place to mitigate the risk. If the current level of risk is deemed unacceptable, a 'target' risk level is set and further mitigating actions introduced with the aim of reducing the risk to a tolerable and realistic level.
- 1.6 The numeric score in itself is less significant than its importance in enabling categorisation of risks and prioritisation of any management action. Further information on KCC risk management methodologies can be found in the risk management guide on the KNet intranet site.

## **2. Financial Implications**

- 2.1 Many of the strategic risks outlined have financial consequences, which highlight the importance of effective identification, assessment, evaluation and management of risk to ensure optimum value for money.

## **3. Strategic Priorities and Policy Framework**

- 3.1 Risks highlighted in the risk registers relate to strategic priorities of the *Facing the Challenge* KCC transformation agenda and achievement of outcomes in KCC's Strategic Statement, as well as the delivery of statutory responsibilities.
- 3.2 The presentation of risk registers to Cabinet Committees is a requirement of the County Council's Risk Management Policy.

## **4. Risks relating to the Education and Young People Services directorate**

- 4.1 There are currently twelve directorate risks featured on the EYPS directorate risk register (appendix 1), four of which are rated as 'High'. Many of the risks highlighted on the register are discussed implicitly as part of regular items to Cabinet Committees.
- 4.2 Since last reported in July 2014, two risks have been closed. One related to delivery of free school meal requirements and the other was linked to implementation of the Children & Families Act 2014. Three new risks have been added to the register. All relate to potential implementation issues of transferring the Community Learning and Skills service into a Local Authority Trading Company.
- 4.3 The risk relating to achievement of outcomes and savings relating to Early Help and Preventative Services has reduced from 'High' to 'Medium' to reflect progress being made to move this agenda forward.

- 4.4 A number of mitigating actions have completion or review dates listed as 31<sup>st</sup> March 2015. Progress against these actions is currently being reviewed with action owners, with findings to be reviewed by the Directorate Management Team as part of regular quarterly risk reviews.
- 4.5 Inclusion of risks on this register does not necessarily mean there is a problem. On the contrary, it can give reassurance that they have been properly identified and are being managed proactively.
- 4.5 Monitoring and review – risk registers should be regarded as ‘living’ documents to reflect the dynamic nature of risk management. Directorate Management Teams formally review their risk registers, including progress against mitigating actions, on a quarterly basis as a minimum, although individual risks can be identified and added to the register at any time. Key questions to be asked when reviewing risks are:
- Are the key risks still relevant?
  - Have some risks become issues?
  - Has anything occurred which could impact upon them?
  - Has the risk appetite or tolerance levels changed?
  - Are related performance / early warning indicators appropriate?
  - Are the controls in place effective?
  - Has the current risk level changed and if so is it decreasing or increasing?
  - Has the “target” level of risk been achieved?
  - If risk profiles are increasing what further actions might be needed?
  - If risk profiles are decreasing can controls be relaxed?
  - Are there risks that need to be discussed with or communicated to other functions across the Council or with other stakeholders?

## 5. Recommendation

### **Recommendation:**

The Education and Young People’s Services Cabinet Committee is asked to consider and comment on the directorate risk register and relevant corporate risk outlined in appendices 1 and 2.

## 6. Background Documents

- 6.1 KCC Risk Management Policy on KNet intranet site.

## 7. Contact details

Report Author

- Mark Scrivener
- Tel: 03000 416660
- Mark.scrivener@kent.gov.uk

Relevant Corporate Director:

- Patrick Leeson
- Tel: 03000 416384
- Patrick.leeson@kent.gov.uk



# Education and Young People Services Risk Register

MARCH 2015

## Education & Young People Services Directorate Summary Risk Profile

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

Risk No.*	Risk Title	Current Risk Rating	Change since July 2014	Target Risk Rating
EYPS 01	Schools going into Category	15	↔	5
EYPS 02	Transport budget savings	16	↓	12
EYPS 03	Demand for specialist provision and placement of pupils with statements of SEN	9	↓	6
EYPS 05	School provision planning – capital budget pressures	12	↑	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	CLOSED		
EYPS 10	Non-integrated data information systems	16	↔	4
EYPS 11	Achievement of outcomes and savings relating to Early Help and Preventative Services	12	↓	8
EYPS 12	Implementing the new Children & Families Act 2014	CLOSED		
EYPS 14	Viability of Community Learning and Skills LATCo	15	NEW	5
EYPS 15	Costs of transferring Community Learning & Skills service into a LATCo	16	NEW	4
EYPS 16	Impact on EYPS services if Community Learning & Skills LATCo fails	15	NEW	4

\*Each risk is allocated a unique code, which is retained even if a risk is transferred off the Directorate 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.

<b>Likelihood &amp; Impact Scales</b>					
<b>Likelihood</b>	Very Unlikely (1)	Unlikely (2)	Possible (3)	Likely (4)	Very Likely (5)
<b>Impact</b>	Minor (1)	Moderate (2)	Significant (3)	Serious (4)	Major (5)

<b>Risk ID EYPS 01</b>	<b>Risk Title Schools going into category</b>				
<b>Source / Cause of risk</b> Schools going into category	<b>Risk Event</b> Whilst the vast majority of KCC schools are either good or better, there remains approximately 20% of schools who are 'Requiring Improvement' or currently in an Ofsted category. Therefore there is a risk that a small percentage of these schools may fail their Ofsted inspection. This risk has significantly reduced over the last 12 months.	<b>Consequence</b> This would lead to additional support being required, reputational damage and financial implications	<b>Risk Owner</b> Patrick Leeson, Corporate Director EYPS	<b>Current Likelihood</b> Possible (3)	<b>Current Impact</b> Major (5)
				<b>Target Residual Likelihood</b> Very Unlikely (1)	<b>Target Residual Impact</b> Major (5)
<b>Control Title</b>			<b>Control Owner</b>		
A school improvement strategy is in place to reduce the risk of schools going into an Ofsted category or maintaining "Requiring Improvement"			Patrick Leeson, Corporate Director EYPS		
<b>Action Title</b>		<b>Action Owner</b>	<b>Planned Completion Date</b>		
Reframing support for schools that have been judged to be in Ofsted Category as Local Authority resources diminish.		Nigel Blackburn, Principal Adviser (Secondary)	31 <sup>st</sup> July 2015		
Regular monitoring by School Improvement Advisors and Improvement Advisors on visits to schools to ensure that Ofsted revisions are understood and reacted to		Nigel Blackburn, Principal Adviser (Secondary)	31 <sup>st</sup> July 2015		



<b>Risk ID EYPS 02</b>						
<b>Risk Title</b>		<b>Transport budget savings</b>				
<b>Source / Cause of risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>	
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 Education Planning and Access	Likely (4)	Serious (4)	
				<b>Target Residual Likelihood</b>	<b>Target Residual Impact</b>	
				Possible (3)	Serious (4)	
<b>Control Title</b>			<b>Control Owner</b>			
Revised working practice to reduce demand on KCC delivered services			Scott Bagshaw, Head of Admissions and Transport/Julie Ely, Head of SEN Assessment and Placement			
Results of pilot scheme analysed and our approach adjusted to increase take up of personalised transport budgets			Scott Bagshaw, Head of Admissions and Transport			
Policy on eligibility for SEN transport now completed			Scott Bagshaw, Head of Admissions and Transport			
Centralised eligibility assessment process			Scott Bagshaw, Head of Admissions and Transport			
Transport Integration Team have reviewed costings and produce detailed reports with user demographic and key information that are presented to a review body each month to enable strategic targeting of activity.			Scott Bagshaw, Head of Admissions and Transport			
Dedicated project manager in place to manage PTB's and to progress ITT			Scott Bagshaw, Head of Admissions and Transport			
Small ITT team recruited from November 2014 to quickly roll out ITT			Scott Bagshaw, Head of Admissions and Transport			
<b>Action Title</b>		<b>Action Owner</b>		<b>Planned Completion Date</b>		
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		31 <sup>st</sup> March 2015		
3 year programme to be developed to enable some Special Schools to		Scott Bagshaw, Head of Admissions and		31 <sup>st</sup> March 2015		

operate their own transport	Transport	
Co-location of Education Officers assessing eligibility and the SEN Transport logistics team based in Transport Integration.	Scott Bagshaw, Head of Admissions and Transport	31 <sup>st</sup> March 2015
Deep dive reviews of transport activity into establishments	Scott Bagshaw, Head of Admissions and Transport	31 <sup>st</sup> March 2015
Analysis of journey types to identify prospective candidates for a personal transport budget	Scott Bagshaw, Head of Admissions and Transport	31 <sup>st</sup> March 2015
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	31 <sup>st</sup> March 2015

<b>Risk ID EYPS 03</b>	<b>Risk Title Demand for specialist provision and placement of pupils with Statements of SEN</b>				
<b>Source / Cause of risk</b> Proposals in SEND strategy to increase commissioned places to 3700.	<b>Risk Event</b> Additional numbers are on track but there is a risk that the additional places in Kent are not delivered on time or within budget.	<b>Consequence</b> Budgetary pressure on KCC as a consequence of legal duty to make specialist provision and continued placement in costly specialist independent schools.	<b>Risk Owner</b> Patrick Leeson, Corporate Director EYPS	<b>Current Likelihood</b> Possible (3)	<b>Current Impact</b> Significant (3)
				<b>Target Residual Likelihood</b> Unlikely (2)	<b>Target Residual Impact</b> Significant (3)
<b>Control Title</b>			<b>Control Owner</b>		
Kent SEN strategy review and implementation			Kevin Shovelton, Director Education Planning and Access		
Workforce development plans issued			Julie Ely, Head of SEN Assessment and Placement		
Full scale rollout of plan (since September 2014) to be used to scale up local decision making using core standards			Julie Ely, Head of SEN Assessment and Placement		
<b>Action Title</b>		<b>Action Owner</b>		<b>Planned Completion Date</b>	
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		30 <sup>th</sup> June 2015	
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		30 <sup>th</sup> June 2015	
Increase the number of Profound, Severe and Complex Needs (PSCN) places at FiveAcre Wood (50) by September 2015. 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		30 <sup>th</sup> September 2015	
Planning consents and Governing Body agreement are being sought for new provision		Julie Ely, Head of SEN Assessment and Placement		31 <sup>st</sup> March 2015	

<b>Risk ID EYPS 05</b>	<b>Risk Title Delivering of New School Places - Capital Budget pressures</b>				
<b>Source / Cause of risk</b> 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 from 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.	<b>Risk Event</b> The expansion required may not be delivered, meaning KCC is not able to provide appropriate school places.	<b>Consequence</b> The duty to provide sufficient school places is not met, which may lead to legal action against the council. Some children have to travel much further to attend a school.	<b>Risk Owner</b> Kevin Shovelton, Director Education Planning and Access	<b>Current Likelihood</b> Likely (4)	<b>Current Impact</b> Significant (3)
				<b>Target Residual Likelihood</b> Possible (3)	<b>Target Residual Impact</b> Significant (3)
<b>Control Title</b>			<b>Control Owner</b>		
The Kent Commissioning Plan contains the forecast expansion numbers and locations. A school expansion programme has been mapped, coasted and kept under review.			Kevin Shovelton, Director Education Planning and Access		
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		
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		
Policy and operations to secure sufficient developer contributions are overseen by Cabinet sub-group.			Paul Crick, Director Environment Planning & Enforcement/ Kevin Shovelton, Director Education Planning and Access		
<b>Action Title</b>	<b>Action Owner</b>		<b>Planned Completion Date</b>		
A new director level Basic Need Programme Board has mapped and costed the school expansion in detail to 2017 and is exploring more cost effective delivery solutions.	Kevin Shovelton, Director Education Planning and Access		31 <sup>st</sup> March 2015		
A bid has been made for extra funding under the priority school building programme Phase 2	Kevin Shovelton, Director Education Planning and Access		31 <sup>st</sup> March 2015		
Negotiations taking place with District Councils regarding allocation of	Kevin Shovelton, Director Education		31 <sup>st</sup> March 2015		

contributions

Planning and Access

<b>Risk ID EYPS 06</b>	<b>Risk Title More schools will move into a potentially deficit budget position.</b>				
<b>Source / Cause of risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>
The fourth year of a "flat cash" DSG settlement for schools coupled with continuing impact of the 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 6th Form funding and falling rolls. Also changes in the Ofsted frameworks could result 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.	More schools move into a potentially deficit budget position.	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 increased demands upon Schools Financial Services. SPS (Schools Personal Service) and School Improvement. There may also be a negative impact upon standards in some schools.	Patrick Leeson, Corporate Director EYPS	Very Likely (5)	Serious (4)
				<b>Target Residual Likelihood</b>	<b>Target Residual Impact</b>
				Likely (4)	Moderate (2)
<b>Control Title</b>			<b>Control Owner</b>		
The potential implications of all of the changes to school funding have been identified and DfE have been lobbied. Budget tool issued for 2014/15 and beyond.			Keith Abbott		
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		
Paper re long term implications of funding and school roll numbers in Secondary Schools taken to DMT away day on 5th February 2014			Keith Abbott		
Direct conversations taking place with the Chief Executive of the Education funding Agency (EFA).			Keith Abbott		
Met with Permanent Secretary regarding funding issues			Keith Abbott		
<b>Action Title</b>		<b>Action Owner</b>	<b>Planned Completion Date</b>		
For schools that have declared a balanced budget position, close monitoring of management action		Keith Abbott	31 <sup>st</sup> March 2015		
Recovery plans with schools that have flagged up problems		Keith Abbott	31 <sup>st</sup> March 2015		
Commence discussions with other schools that have showed future problems		Keith Abbott	31 <sup>st</sup> March 2015		

More detailed work to be carried out on top 12 schools of concern. A dedicated resource is now employed to deal with this.

Keith Abbott

31<sup>st</sup> March 2015

<b>Risk ID EYPS 07</b>	<b>Risk Title Safeguarding children who are home educated</b>				
<b>Source / Cause of risk</b> 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	<b>Risk Event</b> Risk of delay in identifying potential safeguarding concerns.	<b>Consequence</b> Failure of KCC to fulfil its safeguarding duties.	<b>Risk Owner</b> Patrick Leeson, Corporate Director EYPS	<b>Current Likelihood</b> Possible (3)	<b>Current Impact</b> Serious (4)
				<b>Target Residual Likelihood</b> Unlikely (2)	<b>Target Residual Impact</b> Significant (3)
<b>Control Title</b>			<b>Control Owner</b>		
Revised policy taken to Cabinet on 28/1/2015 and approved			Patrick Leeson, Corporate Director EYPS		
Revised policy to include interaction with child as mandatory			Kevin Shovelton, Director Education Planning and Access		
Raising awareness amongst other practitioners to recognise potential implications of children home educated that are not in contact with universal education services			Scott Bagshaw, Head of Admissions & Transport/Hilary Alford, Manager Secondary Admissions		
Early intervention prior to decision will reduce the number of vulnerable young people entering into Elective Home Education			Florence Kroll, Director Early Help and Preventative Services		
<b>Action Title</b>		<b>Action Owner</b>		<b>Planned Completion Date</b>	
Ensuring that every child receives a home visit.		Scott Bagshaw, Head of Admissions & Transport		31 <sup>st</sup> March 2015	



<b>Risk ID EYPS 08</b>	<b>Risk Title Children not in full time education</b>					
<b>Source / Cause of risk</b> 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".	<b>Risk Event</b> Information on Children and Young Persons not in full-time education is held on a number of different systems that are not fully integrated. There is a risk that professionals working with a C&YP may not be aware that they are not accessing education.	<b>Consequence</b> Failure of KCC to fulfil its duty to identify and monitor those children/young people not receiving an education and to ensure education is offered.	<b>Risk Owner</b> Patrick Leeson, Corporate Director EYPS	<b>Current Likelihood</b> Possible (3)	<b>Current Impact</b> Significant (3)	
				<b>Target Residual Likelihood</b> Unlikely (2)	<b>Target Residual Impact</b> Significant (3)	
<b>Control Title</b>			<b>Control Owner</b>			
Information sharing systems between Admissions, Children Missing Education and Elective Home Education Teams.			Scott Bagshaw, Head of Admissions & Transport			
Attendance offer revised to facilitate more robust monitoring of school attendance registers			Louise Simpson, Inclusion Manager			
The Elective Home Education Policy and process has been revised			Scott Bagshaw, Head of Admissions & Transport			
Provision continues to be delivered to meet statutory obligation following PRU review.			Louise Simpson, Inclusion Manager			
Centralised provision now results in an education programme for pupils not on a school roll.			Scott Bagshaw, Head of Admissions & Transport			
<b>Action Title</b>		<b>Action Owner</b>		<b>Planned Completion Date</b>		
Single management information system being developed to ensure improved data sharing between agencies (see risk EYPS10).		Katherine Atkinson, Performance and Information Manager		31 <sup>st</sup> March 2015		
Corporate Director to re-issue guidance to schools and other professionals in order to set up a central register.		Louise Simpson, Inclusion Manager		31 <sup>st</sup> March 2015		
Ensure that the proposal secures full-time (or as much as it is suitable) entitlement for pupils with health needs		Ming Zhang, Head of Pupil Referral Unit, Inclusion and Attendance		31 <sup>st</sup> March 2015		

<b>Risk ID EYPS 10</b>	<b>Risk Title</b>	<b>Non- integrated data information systems</b>				
<b>Source / Cause of risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>	
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. In some cases, staff are also recording off-system on spreadsheets. This is leading to an uncoordinated approach towards working with children and young people as, staff are having to cross-reference and input on multiple systems potentially causing delay or confusion in supporting children and young people. We are taking steps to procure a single system, or rationalised number of systems, that should be in place in 2016/17.	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, Head of Information and Intelligence.	Likely (4)	Serious (4)	
				<b>Target Residual Likelihood</b>	<b>Target Residual Impact</b>	
				Unlikely (2)	Moderate (2)	
<b>Control Title</b>			<b>Control Owner</b>			
Demonstrations of new systems have been carried out			Katherine Atkinson, Head of Information and Intelligence.			
<b>Action Title</b>		<b>Action Owner</b>	<b>Planned Completion Date</b>			
Make more widespread use of common identifiers in order to assist joining up systems in the short-term		Katherine Atkinson, Head of Information and Intelligence.	31 <sup>st</sup> March 2015			
Write business case for CMT and Project Appraisal Group seeking approval to procure a single system solution for the Directorate		Andrew Jackson, Business Lead for the Early Help Module Implementation.	31 <sup>st</sup> March 2015			
Develop the single system specification further to make it "procurement ready"		Katherine Atkinson, Head of Information and Intelligence	30 <sup>th</sup> November 2015			
ICT Business Analysts gathering detailed information about exactly what is recorded in current EYPS systems		Andrew Jackson, Business Lead for the Early Help Module Implementation.	30 <sup>th</sup> May 2015			
Implementation of Early Help Module to provide a full case management system and link with Specialist Children's Services Liberi system		Andrew Jackson, Business Lead for the Early Help Module Implementation.	1 <sup>st</sup> October 2015			

Risk ID EYPS 11						
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, EHPS has been working with Consultants Newton Europe to redesign the services in order to provide a cohesive service offer to families, ultimately reducing demand on education and social services. This is a wide reaching restructure embedding new ways of working and requiring a wide ranging cultural shift.	The required benefits and savings are not achieved in time.	Non-achievement of savings: additional budget pressure for the directorate and / or Authority at a time of diminishing resources. Non-achievement of outcomes: demand for children's social care services does not reduce.	Florence Kroll, Director Early Help and Preventative Services	Possible (3)	Serious (4)	
				<b>Target Residual Likelihood</b>	<b>Target Residual Impact</b>	
				Unlikely (2)	Serious (4)	
Control Title			Control Owner			
A vision for Early Help Services has been developed			Florence Kroll, Director Early Help and Preventative Services			
Ongoing work with Social Care to reduce demand for social care			Florence Kroll, Director Early Help and Preventative Services			
By working with Organisational Development we have developed "The Way we do things here" document			Florence Kroll, Director Early Help and Preventative Services			
Analysis with Newton Europe has been undertaken to identify how savings will be achieved			Florence Kroll, Director Early Help and Preventative Services			
A staff survey has informed a communication strategy to ensure staff are on board with the required changes.			Florence Kroll, Director Early Help and Preventative Services			
Action Title	Action Owner		Planned Completion Date			
To assess likelihood of achievement of in year savings 2014/2015.	Florence Kroll, Director Early Help and Preventative Services (EH&P)		31 <sup>st</sup> March 2015			
Consultation process started 4/2/2015 and to be completed by 20/3/2015	Florence Kroll, Director EH&PS		1 <sup>st</sup> April 2015			
To consider any new areas against which savings can be achieved.	Florence Kroll, Director EH&PS		31 <sup>st</sup> March 2015			
Recruitment of staff will take place between April-September 2015. Head of Service and District Managers have already been recruited.	Florence Kroll, Director EH&PS		30 <sup>th</sup> September 2015			
Preparations are underway for a single district model	Florence Kroll, Director EH&PS		30 <sup>th</sup> September 2015			

<b>Risk ID EYPS 14</b>	<b>Risk Title</b>	<b>Viability of CLS LATCO</b>				
<b>Source / Cause of risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>	
As part of the Transformation agenda, KCC is considering the creation of a Community Learning and Skills (CLS) LATCO by either August 2015 or August 2016, in order to provide greater freedom and flexibilities for the service that would allow it to compete more effectively and grow its current offer.	There is a risk that the operation of the LATCO in its current form will lead to budgetary pressures from SFA and EFA across the EYPS Directorate, calling into question the viability of this business model.	Budgetary pressures for the EYPS Directorate leading to further savings having to be made across all services within the directorate. Failure of the LATCO and reputational damage.	Keith Abbott, Director School Resources and EY Finance Business Partner/Sue Dunn, Head of Skills and Employability Service	Possible (3)	Major (5)	
				<b>Target Residual Likelihood</b>	<b>Target Residual Impact</b>	
				Very Unlikely (1)	Major (5)	
<b>Control Title</b>				<b>Control Owner</b>		
Service costs and agreed management fee of operating the LATCO model have now been established				Sue Dunn, Head of Skills and Employability Service		
Action plan now prepared from the Financial Plan				Sue Dunn, Head of Skills and Employability Service		
<b>Action Title</b>	<b>Action Owner</b>		<b>Planned Completion Date</b>			
New financial models are being prepared	Sue Dunn, Head of Skills and Employability Service		31 <sup>st</sup> July 2015			
Development of a financial plan is underway	Sue Dunn, Head of Skills and Employability Service		31 <sup>st</sup> July 2015			
Management fee, consumer services charge and commercial rent to be annually negotiated.	Sue Dunn, Head of Skills and Employability Service		31 <sup>st</sup> July 2015			
Further discussions to take place regarding the costs of commercial rent	Sue Dunn, Head of Skills and Employability Service		31 <sup>st</sup> July 2015			

<b>Risk ID EYPS 15</b>	<b>Risk Title Costs of transferring CLS into a LATCO</b>					
<b>Source / Cause of risk</b> In July 2014 the Transformation Advisory Group (TAG) recommended the creation of a LATCO to operate CLS services within Kent. Subject to the proposals being brought forward, funding towards the implementation costs have yet to be identified.	<b>Risk Event</b> There is a risk that there will be a significant detrimental impact on other services within the EYPS Directorate, as a result of the legal, business transformation, infrastructure, staffing and redundancy issues (including costs) within CLS, that could be raised during the implementation phase.	<b>Consequence</b> Reduction in the level of service provided by all services within EYPS and reputational impact on the Authority and Directorate if the implementation fails. The overall service provided by the Directorate falls to such a level that children and young people's futures are adversely affected.	<b>Risk Owner</b> Keith Abbott, Director School Resources and EY Finance Business Partner/Sue Dunn, Head of Skills and Employability Service	<b>Current Likelihood</b> Likely (4)	<b>Current Impact</b> Serious (4)	
				<b>Target Residual Likelihood</b> Unlikely (2)	<b>Target Residual Impact</b> Moderate (2)	
<b>Control Title</b>			<b>Control Owner</b>			
<b>Action Title</b>			<b>Action Owner</b>		<b>Planned Completion Date</b>	
A proper assessment of the costs of the CLS transfer to be carried out			Sue Dunn, Head of Skills and Employability Service		31 <sup>st</sup> July 2015	
To monitor the costs of the implementation			Sue Dunn, Head of Skills and Employability Service		31 <sup>st</sup> July 2015	
Report back to CLS Steering Group			Sue Dunn, Head of Skills and Employability Service		31 <sup>st</sup> July 2015	

<b>Risk ID EYPS 16</b>	<b>Risk Title</b>	<b>Impact on EYPS services if LATCO fails</b>					
<b>Source / Cause of risk</b> In July 2014 the Transformation Advisory Group (TAG) recommended the creation of a LATCO to operate CLS services within Kent. The LATCO would require significant public and stakeholder consultation relating to the possible withdrawal from current CLS properties.	<b>Risk Event</b> The risk could lead to severe reputational and political damage to KCC.	<b>Consequence</b> The risk could lead to a reduction in the quality of services, to a level that is lower than the services currently provided. Such a result would impact significantly on children and vulnerable groups and cause them to rely more heavily on the social care services or increase levels of NEET.	<b>Risk Owner</b> Sue Dunn, Head of Skills and Employability Service	<b>Current Likelihood</b> Possible (3)	<b>Current Impact</b> Major (5)	<b>Target Residual Likelihood</b> Unlikely (2)	<b>Target Residual Impact</b> Moderate (2)
<b>Control Title</b>			<b>Control Owner</b>				
<b>Action Title</b>			<b>Action Owner</b>		<b>Planned Completion Date</b>		
Project Management Plan being prepared			Mark Starns, Sales & Marketing Manager		30 <sup>th</sup> June 2015		
Regular reporting to fortnightly Steering Group meeting of progress			Sue Dunn, Head of Skills and Employability Service		30 <sup>th</sup> June 2015		
Communication plan being developed re: the CLS implementation			Sue Dunn, Head of Skills and Employability Service		31 <sup>st</sup> July 2015		



# KCC Corporate Risk Register

**CORPORATE RISK LED BY OFFICERS IN THE EDUCATION & YOUNG PEOPLE SERVICES DIRECTORATE**

## Corporate Risks led by Officers in the Education and 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
CRR 10(b)	Management of Demand –Specialist Children’s Services	20	12

\*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					
<b>Likelihood</b>	Very Unlikely (1)	Unlikely (2)	Possible (3)	Likely (4)	Very Likely (5)
<b>Impact</b>	Minor (1)	Moderate (2)	Significant (3)	Serious (4)	Major (5)



Risk ID CRR10(b)	Risk Title Management of Demand – Specialist Children’s Services				
<p><b>Source / Cause of risk</b></p> <p>Local Authorities continue to face increasing demand for specialist children’s services due to a variety of factors, including consequences of highly publicised child protection incidents and serious case reviews, and policy/legislative changes.</p> <p>At a local level KCC is faced with additional demand challenges such as those associated with significant numbers of Unaccompanied Asylum Seeking Children (UASC) There are also particular ‘pressure points’ in several districts.</p> <p>These challenges need to be met as specialist children’s services face increasingly difficult financial circumstances and operational challenges such as recruitment and retention of permanent qualified social workers.</p>	<p><b>Risk Event</b></p> <p>High volumes of work flow into specialist children’s services leading to unsustainable pressure being exerted on the service.</p>	<p><b>Consequence</b></p> <p>Children’s services performance declines as demands become unmanageable.</p> <p>Failure to deliver statutory obligations and duties or achieve social value.</p> <p>Additional financial pressures placed on other parts of the Authority at a time of severely diminishing resources.</p> <p>Ultimately an impact on outcomes for children, young people and their families.</p>	<p><b>Risk Owner</b></p> <p>Andrew Ireland, Corporate Director SCHWB</p> <p>Patrick Leeson, Corporate Director EYPS</p> <p><b>Responsible Cabinet Member(s):</b></p> <p>Peter Oakford, Specialist Children’s Services</p>	<p><b>Current Likelihood</b></p> <p>Likely (4)</p> <p><b>Target Residual Likelihood</b></p> <p>Possible (3)</p>	<p><b>Current Impact</b></p> <p>Major (5)</p> <p><b>Target Residual Impact</b></p> <p>Serious (4)</p>
<b>Control Title</b>			<b>Control Owner</b>		
Analysis and refreshing of forecasts to maintain the level of understanding which feeds into the relevant areas of the MTFP and the business planning process			Andrew Ireland, Corporate Director SCHWB / Mark Lobban, Director Commissioning SCHWB		
Kent Integrated Adolescent Support Service (KIASS) aims to reduce demands by enabling swift access to specific additional and early help, particularly for the most disadvantaged and vulnerable young people, to meet their needs quickly and flexibly.			Patrick Leeson, Corporate Director EYPS		
Plans developed to appropriately manage the number of children in care (subject to continual monitoring)			Philip Segurola, Acting Director Specialist Children’s Services		
Intensive focus on ensuring early help to reduce the need for specialist children’s support services.			Patrick Leeson, Corporate Director EYPS / Andrew Ireland, Corporate Director SCHWB		
Continued support for investment in preventative services through voluntary sector partners			Mark Lobban, Director		

		Commissioning SCHWB
Maintain the use of appropriate tools to obtain value for money in relation to the commissioning of expensive specialist residential and independent fostering accommodation		Mark Lobban, Director Commissioning SCHWB
Dedicated Children in Care project action plan being presented to June 2014 Children's Transformation Board		Philip Segurola, Acting Director Specialist Children's Services
Scoping of diagnostic work for children's services with aid of efficiency partner has been completed		Philip Segurola, Acting Director Specialist Children's Services
Early Help & Preventative Services one year plan 2014/15 produced setting out priorities for service development and change and ambitious targets to improve outcomes for children, young people and families		Florence Kroll, Director of Early Help & Preventative Services
Weekly management information reports track key children in care milestones		Philip Segurola, Acting Director Specialist Children's Services
New and innovative service design concepts tested in 'sandbox' to inform the business case and associated savings projections		Andrew Ireland, Corporate Director SCHWB/Patrick Leeson, Corporate Director EYPS
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
In-house fostering capacity to be developed and assertive monitoring of all children in care performance milestones	Philip Segurola, Acting Director Specialist Children's Services	April 2015
Implementation of Unified 0-25 programme with projects targeted within Specialist Children's Services, Early Help and Prevention and External Spend	Patrick Leeson, Corporate Director, Education & Young People's Services/Andrew Ireland, Corporate Director SCHWB	December 2015