

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 – 17th March 2016

Subject: **Risk Management: Education and Young People's Services**

Classification: **Unrestricted**

Past Pathway of Paper: None

Future Pathway of Paper: None

Electoral Division: All

Summary: This report presents the strategic risks relating to the Education and Young People's 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 and management of key risks.

Recommendation(s):

The Cabinet Committee is asked to consider and comment on the risks presented.

1. Introduction

- 1.1 Directorate business plans are reported to Cabinet Committees each March or 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 report.
- 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's 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's Services is designated joint 'Risk Owner' for the corporate risk relating to the management of demand on Early Help and Preventative Services and 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 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. Policy Framework

- 3.1 Risks highlighted in the risk registers relate to strategic priorities and outcomes featured in KCC's Strategic Statement 2015-2020, 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's Services directorate

- 4.1 There are currently twelve 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 as part of regular reports to Cabinet Committee.
- 4.2 Since last reported in April 2015, four risks have been closed. Three of these related to the viability, cost and impact of the Community Learning and Skills (CLS) service transferring to a Local Authority Trading Company. These have been replaced by a new risk relating to the capacity of the service to generate sufficient income, and reflect the context of the service being internally commissioned. The fourth closed risk related to the implementation of the Children and Families Act 2014.
- 4.3 Three new risks have been added to the register. In addition to the CLS risk stated above, a risk has been added relating KCC being unable to meet its statutory requirement in relation to post 16 provision and raising participation; plus a new risk is linked to the possibility of there being insufficient take-up of free childcare places for eligible 2 year olds.
- 4.4 The risk relating to delivery of new school places to meet increasing demand has increased from 'medium' to 'high' to reflect constraints from capital budget pressures.
- 4.5 A number of mitigating actions are ongoing, hence the majority of review dates are listed for the end of financial or academic years (March or July 2016), as these often present the best time to 'take stock' of progress. Risk and action owners review these actions regularly, and the Directorate Management Team monitors this as part of regular quarterly risk reviews.
- 4.6 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.
- 4.7 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

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Education and Young People Services Risk Register

MARCH 2016

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 April 2015	Target Risk Rating
EYPS 01	Schools going into Category	15	↔	5
EYPS 02	Special Educational Needs (SEN) - Transport budget savings	16	↔	12
EYPS 03	Meeting the demand for specialist provision and placement of pupils with statements of Special Educational Needs	9	↔	6
EYPS 05	Delivery of new school places is constrained by capital budget pressures	20	↑	9
EYPS 06	More schools will move into a potentially deficit budget position	20	↔	8
EYPS 07	Children who are home educated may not be safeguarded	12	↔	6
EYPS 08	Children not in full time education may not be receiving a suitable education	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	12	↔	8
EYPS 12	Implementing the new Children and Families Act 2014		CLOSED	
EYPS 14	Viability of Community Learning and Skills (CLS) LATCo		CLOSED	
EYPS 15	Costs of transferring Community Learning and Skills service into a LATCo		CLOSED	
EYPS 16	Impact on EYPS services if Community Learning and Skills LATCo fails		CLOSED	
EYPS 18	Lack of or difficulty accessing appropriate provision and lack of targeted support for NEETs	9	NEW	6
EYPS 19	The capacity of CLS to generate sufficient income	12	NEW	6
EYPS 20	Insufficient take-up of free places for 2 year olds	8	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.

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	Schools going into category			
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
Schools going into category	Although there are currently 84% of KCC schools either good or better, there remains 16% of schools that are 'Requiring Improvement' or currently in an Ofsted category. Therefore there is a risk that a small percentage of these schools may have a repeat "Requires Improvement" judgement which will put them at risk of category or bring them to the attention of the Regional Schools Commissioner once the Education Bill becomes law.	This would lead to additional support being required, reputational damage and financial implications	Patrick Leeson, Corporate Director EYPS	Possible (3)	Major (5)	
				Target Residual Likelihood	Target Residual Impact	
				Very Unlikely (1)	Major (5)	
Control Title				Control Owner		
A school improvement strategy is in place to monitor the performance of schools and to provide additional support where required				Anton Francic, Head of School Improvement		
A categorisation process exists to ensure that schools are allocated appropriate resources. Meetings are held 3 times a year.				Anton Francic, Head of School Improvement		
Protocols regarding schools whose performance is causing concern have been revised to reflect the changing role of the Regional Schools Commissioner. This includes "coasting" schools.				Anton Francic, Head of School Improvement		
Schools in Ofsted category are supported as a priority to remove them from category rapidly				Anton Francic, Head of School Improvement		

Action Title	Action Owner	Planned Review Date
Ensure that schools and Improvement staff fully understand the implications of the new Ofsted framework	Anton Francic, Head of School Improvement	May 2016
Process to be implemented to ensure that schools in need of support are identified early and interventions are effective	Anton Francic, Head of School Improvement	March 2016
Review School Improvement Strategy	Anton Francic, Head of School Improvement	July 2016

Risk ID	EYPS 02	Risk Title	Special Educational Needs (SEN) Transport budget savings			
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
There is a legal requirement on the Local Authority to make appropriate provision of transport for SEN learners where their needs require it.	There is an expectation of numbers rising over the next 3 years which in turn will increase the numbers of learners seeking support with transport.	The extent of shortfall will create a significant budgetary pressure which will be mitigated in part by effective procurement enabling more cost effective efficient route planning to drive the cost reduction.	Keith Abbott, Director Education Planning and Access	Likely (4)	Serious (4)	
	The overall budget will also reduce during this period which may lead to further budget pressures and have a possible impact on the service.	Failure to deliver the procurement savings will impact on the budget medium term plan. Initial findings have failed to deliver the predicted level of savings. The LA has no alternative but to meet its legal duties in this regard, so the risk sits with education as budget holder. Whilst the activity to deliver the savings will predominantly be with Public Transport the lower than predicted levels of savings generated through the pilot, will be supplemented by exploring more schools managing their transport needs.		Target Residual Likelihood Possible (3)	Target Residual Impact Serious (4)	
Control Title			Control Owner			
Deep dive reviews of transport activity into establishments to identify schools best placed to benefit from revised route optimisation			Scott Bagshaw, Head of Admissions and Transport			
Suitable candidates identified to receive Independent Travel Training (ITT) with a view to transition to public transport			Scott Bagshaw, Head of Admissions and Transport			
Delivering Independent Travel Training to increase efficiency of travel and reduce costs.			Scott Bagshaw, Head of			

		Admissions and Transport
Programme developed to enable one Special Schools to operate their own transport		Scott Bagshaw, Head of Admissions and Transport
Public Transport to report on costings and monitor key information that is presented to EYPS each month to enable strategic targeting of activity.		Scott Bagshaw, Head of Admissions and Transport
Dedicated project manager in Public Transport in place to manage delivery of procurement and school contracts		Scott Bagshaw, Head of Admissions and Transport
Revised working practice including e-auctions to secure best prices.		Scott Bagshaw, Head of Admissions and Transport/Julie Ely, Head of SEN Assessment and Placement.
Action Title	Action Owner	Planned Review Date
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 2016
Following deep dive reviews route optimisation has been undertaken and KCC will continue to explore a “single source” contract supplier for transport into pilot schools. It is anticipated this new approach to procurement of school transport will drive some savings, but the initial pilots have not generated the expected levels of savings to date and this will mean the financial pressures will be sustained for longer.	Scott Bagshaw, Head of Admissions and Transport	July 2016
Analysis of journey types to identify prospective candidates for a personal transport budget	Scott Bagshaw, Head of Admissions and Transport	July 2016

Risk ID	EYPS 03	Risk Title	Meeting the 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 the Special Educational Needs (SEND) strategy to increase commissioned places to 3,700.		Additional numbers are on track but there is a risk that the additional places in Kent are not delivered on time or within budget. This is firmly linked into the Capital Programme EYPS 05 risk.	Budgetary pressure on KCC as a consequence of legal duty to make specialist provision and continued placement in costly specialist independent schools.	Patrick Leeson, Corporate Director EYPS	Possible (3)	Significant (3)
					Target Residual Likelihood	Target Residual Impact
					Unlikely (2)	Significant (3)
Control Title				Control Owner		
Kent SEN strategy review and implementation				Keith Abbott, Director Education Planning and Access		
Workforce development plans implemented				Julie Ely, Head of SEN Assessment and Placement		
Review of core standards now complete				Julie Ely, Head of SEN Assessment and Placement		
Full scale rollout of plan (since September 2014) used to scale up local decision making using core standards				Julie Ely, Head of SEN Assessment and Placement		
Action Title			Action Owner		Planned Review Date	
Training on new core standards leading to more children being well supported in local schools.			Julie Ely, Head of SEN Assessment and Placement		July 2016	
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		July 2016	

Increase the number of Profound, Severe and Complex Needs (PSCN) places at FiveAcre Wood (50) and PSCN places at Ridgeview (67).	Julie Ely, Head of SEN Assessment and Placement	July 2016
Planning consents and Governing Body agreement are being sought for new provision	David Adams, Jared Nehra, Ian Watts, Marisa White, Area Education Officers.	March 2016

Risk ID	EYPS 05	Risk Title Delivering of New School Places is constrained by 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 medium to 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 increases in pupil demand. The gap has been costed at £100m as drafted in the Kent Community Plan.		The expansion required may not be delivered, meaning KCC is not able to provide appropriate school places.	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, with a resulting impact on the transport budget.	Keith Abbott, Director Education Planning and Access	Likely (5)	Significant (4)
					Target Residual Likelihood	Target Residual Impact
					Possible (3)	Significant (3)
Control Title				Control Owner		
The Kent Commissioning Plan contains the forecast expansion numbers and locations. A school expansion programme has been mapped, costed and kept under review.				Keith Abbott, Director Education Planning and Access		
The school expansion programme is under member scrutiny and review by relevant Education and Property programme boards/forums/committees.				Keith Abbott, 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, reducing surplus capacity, phasing of projects, the scale of future developer contributions and working with property colleagues to close the gap of £100m before the end of February 2016.				Keith Abbott, Director Education Planning and Access		
EYPS capital monitoring mechanism with Member involvement now created				Keith Abbott, Director Education Planning and Access		

Policy and operations to secure sufficient developer contributions are overseen by Growth and Infrastructure Group.	Keith Abbott, Director Education Planning and Access and Katie Stewart, Director Environment, Planning and Enforcement.	
A bid has been made for extra funding under the priority school building programme Phase 2.	Keith Abbott, Director Education Planning and Access	
Negotiations have taken place with District Councils regarding allocation of contributions	David Adams, Jared Nehra, Ian Watts Marisa White, Area Education Officers.	
Action Title	Action Owner	Planned Review Date
Performance Evaluation Board are to monitor the delivery of the Basic Need programme	Keith Abbott, Director Education Planning and Access	March 2016

Risk ID	EYPS 06	Risk Title	More schools will move into a potentially deficit budget position.			
Source / Cause of risk		Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
<p>The fifth year of a "flat cash" Dedicated Schools Grant 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.</p>		<p>More schools move into a potentially deficit budget position.</p>	<p>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.</p>	<p>Patrick Leeson, Corporate Director EYPS</p>	<p>Very Likely (5)</p>	<p>Serious (4)</p>
					Target Residual Likelihood	Target Residual Impact
					<p>Likely (4)</p>	<p>Moderate (2)</p>
Control Title				Control Owner		
<p>The potential implications of all of the changes to school funding have been identified and Department for Education (DfE) have been lobbied. Budget tool issued for 2015/16 and beyond.</p>				<p>Keith Abbott, Director Education Planning and Access</p>		
<p>Joint work is underway with school improvement colleagues to identify those schools at most risk as a result of the financial changes.</p>				<p>Keith Abbott, Director Education Planning and Access</p>		
<p>Long term implications of funding and school roll numbers in Secondary Schools taken discussed in depth with the Directorate Management Team in autumn 2015</p>				<p>Keith Abbott, Director Education Planning and Access</p>		
<p>Direct conversations taking place with the Chief Executive of the Education funding Agency (EFA).</p>				<p>Keith Abbott, Director Education Planning and Access</p>		

Met with Permanent Secretary regarding funding issues	Keith Abbott, Director Education Planning and Access
The Academies issue has been raised with the Regional Schools Commissioner	Keith Abbott, Director Education Planning and Access
For schools that have declared a balanced budget position, close monitoring of management action	Keith Abbott, Director Education Planning and Access
Detailed work carried out on all new selective secondary schools and Academies. A dedicated resource is now employed to deal with this.	Keith Abbott, Director Education Planning and Access
Met with DfE, RSC and EFA to discuss position of vulnerable schools and Academies. More detailed work is required to follow up solutions	Keith Abbott, Director Education Planning and Access
Solutions identified for vulnerable secondary schools	Keith Abbott, Director Education Planning and Access
Action Title	Action Owner
Response awaited from the Secretary of State to KCC's representation of its financial position.	Keith Abbott, Director Education Planning and Access
	Planned Review Date
	March 2016

Risk ID	EYPS 07	Risk Title	Children who are home educated may not be safeguarded			
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 EYPS	Possible (3)	Serious (4)	
				Target Residual Likelihood	Target Residual Impact	
				Unlikely (2)	Significant (3)	
Control Title			Control Owner			
New policy regarding home education now in place			Patrick Leeson, Corporate Director EYPS			
Revised policy includes interaction with child where there are welfare concerns and where other agencies have been involved with the family			Keith Abbott, Director Education Planning and Access, Scott Bagshaw, Head of Admissions & Transport.			
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			
Action Title		Action Owner		Planned Review Date		
Ensuring that every child receives a home visit.		Scott Bagshaw, Head of Admissions & Transport		July 2016		

Risk ID	EYPS 08	Risk Title Children not in full time education may not be receiving a suitable education				
Source / Cause of risk		Risk Event	Consequence	Risk Owner	Current Likelihood	Current 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 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.	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.	Patrick Leeson, Corporate Director EYPS	Possible (3)	Significant (3)
					Target Residual Likelihood	Target Residual Impact
					Unlikely (2)	Significant (3)
Control Title				Control Owner		
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				Ming Zhang, Head of Pupil Referral Unit, Inclusion and Attendance		
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.				Ming Zhang, Head of Pupil Referral Unit, Inclusion and Attendance		

Centralised provision now results in an education programme for pupils not on a school roll.	Scott Bagshaw, Head of Admissions & Transport	
Central records kept of pupils that are on reduced timetables. Monitoring arrangements are then put in place.	Ming Zhang, Head of Pupil Referral Unit, Inclusion and Attendance	
If Early Help and Preventative Services staff are made aware of students not on a register, then schools are informed.	Ming Zhang, Head of Pupil Referral Unit, Inclusion and Attendance	
Action Title	Action Owner	Planned Review Date
Management information systems being reviewed to ensure improved data sharing and data management between services (see risk EYPS 10)	Katherine Atkinson, Head of Information and Intelligence.	March 2016
New organisational structure within the Pupil Referral Unit Inclusion and Attendance Service will mean dedicated staff visiting schools will have improved information to monitor this area of work at district level.	Ming Zhang, Head of Pupil Referral Unit, Inclusion and Attendance	March 2016
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	March 2016

Risk ID	EYPS 10	Risk Title	Non- integrated data information systems			
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
There is a great deal of duplication and a lack of consistency in data being collected 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 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 rationalised number of systems that should be procured in 2016. Some progress is being made through the implementation of the Early Help Module.	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)	
				Target Residual Likelihood	Target Residual Impact	
				Unlikely (2)	Moderate (2)	
Control Title			Control Owner			
Demonstrations of new systems have been carried out			Katherine Atkinson, Head of Information and Intelligence.			
A business case has been prepared			Katherine Atkinson, Head of Information and Intelligence.			
More widespread use of common identifiers			Katherine Atkinson, Head of Information and Intelligence.			
Progress has been made with the Early Help Module			Katherine Atkinson, Head of Information and Intelligence.			
Core systems have been identified as Phase 1. The remaining systems and spreadsheets are to be classified as Phase 2.			Katherine Atkinson, Head of Information and Intelligence.			

Systems refresh operational group formed		Katherine Atkinson, Head of Information and Intelligence.
Action Title	Action Owner	Planned Review Date
Currently moving all “open access” recording into e-Start	Katherine Atkinson, Head of Information and Intelligence.	March 2016
A full tender document to be prepared for EYPS system requirements	Katherine Atkinson, Head of Information and Intelligence.	March 2016

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	
The implementation phase of transformation work within EHPS to redesign the services in order to provide a cohesive service offer to families is now complete and should reduce demand on Education and Specialist Children's Services.	There is a risk that if the required benefits are not achieved it will impact on statutory services	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 Specialist Children's Services does not reduce. Lack of partnership understanding could lead to continuing referrals to Specialist Children's Services.	Florence Kroll, Director Early Help and Preventative Services	Possible (3)	Serious (4)	
				Target Residual Likelihood	Target Residual Impact	
				Unlikely (2)	Serious (4)	
Control Title			Control Owner			
Improvement work must now sustain and the effectiveness and efficiency will be monitored and reviewed throughout the coming year.			Florence Kroll, Director Early Help and Preventative Services			
Ongoing work with Specialist Children's Services to reduce demand for social care			Florence Kroll, Director Early Help and Preventative Services			
Joint DivMT meetings between Specialist Children's Services and EHPS are held monthly			Florence Kroll, Director Early Help and Preventative Services			
Performance Management and the Sustainability Plan are reviewed monthly at EHPS DivMT as well as within each district management team meeting			Florence Kroll, Director Early Help and Preventative Services			
Dashboards and Tracking tools are in place to monitor work in real time to address any drift in performance			Florence Kroll, Director Early Help and Preventative Services			
The Three Year Plan, Manual and QA Framework are published and regular communications and newsletters inform all staff of requirements, expectations and any changes			Florence Kroll, Director Early Help and Preventative Services			
Weekly Step Down panels, attended by SCS and EHPS staff are in place, in 12 districts, to manage the process and interface between the two directorates.			Florence Kroll, Director Early Help and Preventative Services			

Action Title	Action Owner	Planned Review Date
To consider any new areas against which savings can be achieved.	Florence Kroll, Director EH&PS	June 2016
Preparations are underway for a single district model	Florence Kroll, Director EH&PS	June 2016
To assess likelihood of achievement of in year savings 2016/17	Florence Kroll, Director EH&PS	June 2016
Training and a communications strategy will be developed to ensure understanding of all staff	Florence Kroll, Director EH&PS	June 2016

Risk ID	EYPS 18	Risk Title	Lack of or difficulty accessing appropriate provision and lack of targeted support for NEETs				
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	Target Residual Likelihood	Target Residual Impact
NEET interdependencies affect many services across KCC. Loss of Level 1 and 2 provision will increase the number of young people who become NEET. There is also a lack of post 16 provision in schools and colleges and work based training providers for Level 1 and entry level learning. NEET interdependencies between services across KCC and targeted intervention need strengthening.	There is a risk that KCC will be unable to meet its statutory requirement in relation to post 16 provision of places and raising participation	Reputational damage and possible litigation by parents or individuals. Vulnerable and complex learners will be disproportionately disadvantaged if targets are not met and this may lead to unacceptable budget pressures in other services in KCC	Patrick Leeson, Corporate Director EYPS	Possible (3)	Significant (3)	Unlikely (2)	Significant (3)
Control Title			Control Owner				
A Governance system has been developed to monitor progress and to ensure the implementation of the strategy.			Patrick Leeson, Corporate Director EYPS				
The District Offer is in place			Sue Dunn, Head of Skills and Employability				
Further statistical analysis is ongoing			Sue Dunn, Head of Skills and Employability				
Gap analysis has been conducted and indicates that a significant shortage of places for potential clients exists			Sue Dunn, Head of Skills and Employability				
IYSS database is used to enable effective tracking to target support			Sue Dunn, Head of Skills and Employability				
NEET interdependency group set up to ensure that all services are clear about their responsibilities to reduce NEET's			Sue Dunn, Head of Skills and Employability				

A NEET (Not in Education, Employment and Training) strategy and detailed action plan prepared	Sue Dunn, Head of Skills and Employability	
More specialist provision has been provided	Sue Dunn, Head of Skills and Employability	
Action Title	Action Owner	Planned Review Date
Focus work is being carried out with individual learners	Marion Emptage, Skills and Employability Strategic Manager	March 2016
Work is being carried out with SEND learners and asylum seekers and other vulnerable groups between January and March 2016	Marion Emptage, Skills and Employability Strategic Manager	April 2016

Risk ID	EYPS 19	Risk Title	Capacity of the Community Learning and Skills service to generate sufficient income			
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
Funding streams to support the service will reduce in the future.	There is a risk that in the long term, viability and quality of the service may be jeopardised if the service does not adapt to meet reduced funding, when costs saving measures are implemented, and opportunities for investment and growth to maintain income levels are reduced.	There will be fewer opportunities delivered to Kent residents. Even though commissioner expectations may increase, higher costs in the service will be the consequence and a possible cessation of the service, which would lead to significant budget pressures on KCC and the Directorate.	Gillian Cawley, Director Education Quality and Standards	Possible (3)	Serious (4)	
Reductions in Government funding or changes to funding policies (i.e. Skills Funding Agency / Education Funding Agency) are expected; and the service will be expected to contribute to Medium Term Financial Plan savings and achieve income targets. The service also competes against other providers.				Target Residual Likelihood	Target Residual Impact	
				Unlikely (2)	Significant (3)	
Control Title			Control Owner			
New business plan developed that identifies appropriate contingencies, flexibilities and adaptations			Terry Burgess, CLS Manager			
Performance Management reports are produced for Steering Group			Terry Burgess, CLS Manager			
Action Title		Action Owner		Planned Review Date		
CLS specification to be written in the context of national funding reductions and the financial impact of stretch targets		Sue Dunn, Head of Skills and Employability Service		December 2016		
CLS to actively tender and form parts of consortium bids for new funding opportunities		Terry Burgess, CLS Manager		March 2016		
KCC Commissioners to be made fully aware of feasibility and financial impact of stretch targets that are set		Sue Dunn, Head of Skills and Employability Service		March 2016		
Plans to be developed to reduce operational costs		Terry Burgess, CLS Manager		March 2016		
Steering Group to discuss new business model		Terry Burgess, CLS Manager		March 2016		

To ensure that CLS is kept up to date and involved in all consultations involving potential SFA/EFA funding changes to ensure that future 3.5 year financial planning can be accurate and updated regularly with the most up to date intelligence.

Terry Burgess, CLS Manager, Simon
Pleace, Revenue Finance Manager

March 2016

Risk ID	EYPS 20	Risk Title	Insufficient take-up of free places for 2 year olds			
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
With effect from September 2014, KCC has had a target of providing 6501 free places for two year olds. Whilst the supply of high quality places is good, there is a concern that the take up of these places by eligible children may not be high enough	There is a risk that there will be insufficient take-up of high quality places for 2 year old children thereby causing the Directorate to fail to reach its target of 70% by July 2016	By not taking up places, disadvantaged two year olds may not achieve as well as other children, nor secure good outcomes at the end of Early Years Foundation stage.	Patrick Leeson, Corporate Director EYPS	Unlikely (2)	Serious (4)	
				Target Residual Likelihood	Target Residual Impact	
				Unlikely (1)	Serious (4)	
Control Title			Control Owner			
All current activity is reviewed as part of a "Theory of Change" process			Nick Fenton, Head of Service 0-25, Alex Gamby, Head of Early Years and Childcare.			
Core work of Children's Centres is to reach out to vulnerable and disadvantaged families in their catchment area, including a particular focus on children eligible for free places			Nick Fenton, Head of Service 0-25			
Each District now has a children's centre based FF2 Champion			Nick Fenton, Head of Service 0-25			
Early Years and Childcare Service have introduced a refreshed universal and targeted marketing campaign			Sandra Mortimer, Partnership and Integration Manager			
Monitoring Group meets monthly			Alex Gamby, Head of Early Years and Childcare.			
A refreshed process has been delivered to enable children's centres to more effectively use information provided to them by the FF2 Team in following up eligible families not taking up free places			Nick Fenton, Head of Service 0-25, Alex Gamby, Head of Early Years and Childcare.			
Action Title		Action Owner		Planned Review Date		
An on-line eligibility checker is being introduced to speed up parents ability to register online		Pam Rawling, Sufficiency and Sustainability Manager		March 2016		



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 – Early Help and Preventative Services and 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					
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	CRR10(b)	Risk Title	Management of Demand – Early Help and Preventative Services and Specialist Children’s Services			
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
<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 early help and preventative services and specialist children’s services face increasingly difficult financial circumstances and operational challenges such as recruitment and retention of permanent qualified social workers.</p>	<p>High volumes of work flow into early help and preventative services and specialist children’s services leading to unsustainable pressure being exerted on the services.</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>Andrew Ireland, Corporate Director SCHW</p> <p>Patrick Leeson, Corporate Director EYPS</p> <p>Responsible Cabinet Member(s): Peter Oakford, Specialist Children’s Services</p>	<p>Likely (4)</p> <p>Target Residual Likelihood Possible (3)</p>	<p>Major (5)</p> <p>Target Residual Impact Serious (4)</p>	
Control Title			Control Owner			
<p>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</p>			<p>Andrew Ireland, Corporate Director SCHW / Philip Segurola, Director Specialist Children’s Services</p>			
<p>The Early Help and Preventative Services Programme is working to ensure that vulnerable families can access the right support through open access services or through targeted casework.</p>			<p>Florence Kroll, Director Early Help and Preventative Services</p>			

Plans developed to appropriately manage the number of children in care (subject to continual monitoring)	Philip Segurola, 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 SCHW	
Continued support for investment in preventative services through voluntary sector partners	Mark Lobban, Director Commissioning SCHW	
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 SCHW	
Scoping of diagnostic work for children's services with aid of efficiency partner has been completed	Philip Segurola, Director Specialist Children's Services	
Early Help & Preventative Services have outlined priorities for service development and change, including ambitious targets to improve outcomes for children, young people and families	Florence Kroll, Director Early Help & Preventative Services	
New and innovative service design concepts tested in 'sandbox' to inform the business case and associated projections	Patrick Leeson, Corporate Director, EYPS/Andrew Ireland, Corporate Director SCHW	
Weekly Management Information reports track key children in care milestones	Philip Segurola, Director Specialist Children's Services	
Action Title	Action Owner	Planned Review Date
In-house fostering capacity to be developed and assertive monitoring of all children in care performance milestones	Philip Segurola, Director Specialist Children's Services	March 2016
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, EYPS/Andrew Ireland, Corporate Director SCHW	June 2016
Work with partners to ensure that they understand the Kent Safeguarding Children Board thresholds and can accurately apply these when making referrals	Florence Kroll, Director Early Help & Preventative Services	April 2016