

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
– 30th March 2017**

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

Recommendation(s):

The 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'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 directorate 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. In addition, a directorate risk relating to "Delivery of new school places is constrained by capital budget pressures and dependency upon the Education Funding Agency" has been escalated to the Corporate Risk Register. These risks are 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. 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 thirteen 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 as part of regular items to Cabinet Committees.
- 4.2 Since last reported in March 2016, one risk has been closed (achievement of outcomes and savings relating to Early Help and Preventative Services).
- 4.3 Two new risks have been added to the register. The first relates to the requirement to provide thirty hours of free childcare to 3 and 4 year old children of eligible parents, and the possibility that there may be insufficient places of a suitable quality. The second new risk relates to the delivery of the 2017/18 budget.
- 4.4 The risk relating to Special Educational Needs (SEN) Transport budget saving has been raised from 'medium' to 'high' during the past year, while a re-assessment of the risk relating to non-integrated data information systems has resulted in its score reducing since last year, now that a supplier of the preferred software solution has been identified and an implementation plan is now in place.
- 4.5 A number of mitigating actions are of a more ongoing and evolving nature, hence review dates are set at what is seen to 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 2017

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 2016	Target Risk Rating
EYPS 01	Schools going into Category	15	↔	5
EYPS 02	Special Educational Needs (SEN) - Transport budget savings	20	↑	12
EYPS 03	Meeting the demand for specialist provision and placement of pupils with an Education, Health and Care Plan	9	↔	6
EYPS 05 / CRR 28	Delivery of new school places is constrained by capital budget pressures and dependency upon the Education Funding Agency (EFA).	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	9	↓	4
EYPS 11	Achievement of outcomes and savings relating to Early Help and Preventative Services		CLOSED	
EYPS 18	Lack of or difficulty accessing appropriate provision and lack of targeted support for young people Not in Education, Employment or Training (NEET) across KCC	9	↔	6
EYPS 19	The ability of (Community Learning and Skills) CLS to generate sufficient income due to changes in the national funding scheme	12	↔	6
EYPS 20	Insufficient take-up of free places for 2 year olds	8	↔	4
EYPS 22	Thirty hours of free childcare	20	NEW	15
EYPS 23	Delivery of 2017/18 budget	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 89% of KCC schools either good or better, there remains 11% of schools that are 'Requiring Improvement' (RI) 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 being eligible for intervention as a result of the Education and Adoption Act 2016	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. (Updated to reflect the Education and Adoption Act 2016).				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 and those at risk of being eligible for intervention are supported as a priority.				Anton Francic, Head of School Improvement		
Improvement advisers have clear criteria for notes of visits				Anton Francic, Head of School Improvement		

Quality assurance work is now underway

Anton Francic, Head of School
Improvement

Action Title

Action Owner

Planned Review Date

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 overall budget will also reduce during this period which may lead to further budget pressures and have a possible impact on the council's Medium Term Financial Plan.	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 moderate any further increases in market rates for transport provision. If the procurement savings do not compensate for the rising cost of transport provision this will impact on the budget medium term plan. Initial findings have failed to deliver the predicted level of savings. The Local Authority 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 saving generated through the pilot, will require alternate cost reduction activity to be identified.	Keith Abbott, Director Education Planning and Access	Likely (4)	Major (5)	
				Target Residual Likelihood	Target Residual Impact	
				Possible (3)	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 Dynamic Procurement 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	June 2017
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	June 2017
Analysis of journey types to identify prospective candidates for a personal transport budget	Scott Bagshaw, Head of Admissions and Transport	June 2017
Identify other schools to deliver direct transport solutions	Scott Bagshaw, Head of Admissions and Transport	June 2017
Investment in improved ICT, both on streamlining the application and process service and route optimisation and financial management information within Public Transport.	Scott Bagshaw, Head of Admissions and Transport	June 2017

Risk ID	EYPS 03	Risk Title Meeting the demand for specialist provision and placement of pupils with an Education, Health and Care Plan.				
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			
Planning consents and Governing Body agreement have been obtained			David Adams, Jared Nehra, Ian Watts, Marisa White. Area Education Officers			
Full scale rollout of plan to be used to scale up local decision making using core standards			Julie Ely, Head of SEN Assessment and Placement			
Refreshed core standards now in place			Julie Ely, Head of SEN Assessment and Placement			
Training on new core standards has taken place, leading to more children being supported in local schools.			Julie Ely, Head of SEN Assessment and Placement			

Action Title	Action Owner	Planned Review Date
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	September 2017

Risk ID	EYPS 05/ CRR28	Risk Title	Delivering of New School Places is constrained by capital budget pressures and dependency upon the Education Funding Agency (EFA).			
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 Department for Education (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. Whilst the funding gap identified with the Kent Commissioning Plan has been closed, the delivery of the plan is highly dependent upon securing 15 Free Schools in Kent over the period and that the EFA complete the Free School projects on time and to an appropriate standard.	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	Very 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			Keith Abbott, Director Education Planning and Access			

programme boards/forums/committees.		
Close working with the EFA and lobbying of the DFE/EFA. This included raising the issue in the KCC response to the Education White Paper and the Leader raised this via County Council Network route		Keith Abbott, Director Education Planning and Access
Regular meetings with EFA officials, EYPS, GEN2 and Infrastructure to monitor progress at individual project level and identify ways in which KCC can help progress these projects. First meeting held on 28/11/16		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.
Monitoring to be considered for inclusion in Cabinet Quarterly Performance Report		Keith Abbott, Director Education Planning and Access
Action Title	Action Owner	Planned Review Date
To develop contingency plans for alternative interim accommodation for each Free School project	Keith Abbott, Director Education Planning and Access. David Adams, Jared Nehra, Ian Watts, Marisa White. Area Education Officers	May 2017
Discussions with senior EFA staff and Keith Abbott/Rebecca Spore (Director of Infrastructure) to follow	Keith Abbott, Director Education Planning and Access	May 2017

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 sixth 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 Personnel 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. Meeting has now taken place with school improvement colleagues</p>				<p>Keith Abbott, Director Education Planning and Access</p>		
<p>Discussions have taken place with schools that have shown future problems</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 Department for Education, Regional Schools Commissioner and Education Funding Agency to discuss position of vulnerable schools and Academies.	Keith Abbott, Director Education Planning and Access
Solutions identified for vulnerable secondary schools	Keith Abbott, Director Education Planning and Access
The Leader has written to the Chief Executive of the EFA	Keith Abbott, Director Education Planning and Access
Recovery plans have been prepared with schools that have flagged up problems	Keith Abbott, Director Education Planning and Access
Cabinet Member met with the Secretary of State and has written to her re the financial position	Keith Abbott, Director Education Planning and Access
Action Title	Action Owner
	Planned Review Date

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		
Identification of and early intervention prior to decision will reduce the number of vulnerable young people entering into Elective Home Education				Scott Bagshaw, Head of Admissions & Transport		
Action Title			Action Owner		Planned Review Date	
Ensuring that every child receives a home visit.			Scott Bagshaw, Head of Admissions & Transport		June 2017	

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 Child or Young Person 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		
A County-wide Pupil Referral Unit (PRU) quality assurance framework has been developed and implemented. The PRU's performance in providing 6 th day provision is closely monitored.				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		
Attendance service has been re-organised and the new service re-focused on providing effective advice and monitoring of school attendance register to identify any poor or illegal practice. Schools are challenged for any known poor or illegal practice in attendance registration				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 where appropriate.	Scott Bagshaw, Head of Admissions & Transport
The part-time monitoring system was revised in January 2016. The system is now more effective in tracking students who are on part-time tables and the outcomes of the necessary use of the temporarily part-time table.	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. The newly organised Attendance and Inclusion teams operate within the Early Help structure. The integration ensures that any known case of a pupil not on a register is followed up. A new Children Missing Education procedure is in place to ensure that there is a seamless process in following up children missing from education.	Ming Zhang, Head of Pupil Referral Unit, Inclusion and Attendance
Management information systems now reviewed to ensure improved data sharing and data management between services.	Katherine Atkinson, Head of Information and Intelligence.
The restructured Health Needs Service is now in place. The leadership team of the service has been established and is functioning well.	Ming Zhang, Head of Pupil Referral Unit, Inclusion and Attendance
Action Title	Action Owner
	Planned Review 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
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. Good progress is being made with procuring a rationalised number of systems and we are on track to award a new contract. The system will be able to integrate with existing children's systems via SingleView technology that has already been implemented.		There is a risk that staff will be working with incomplete information on children or young person due to the amount of data and systems that are collecting the data.	If staff work with incomplete data on children or young person 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.	Possible (3)	Significant (3)
					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.	
All "open access" recording has been moved into e-Start	Katherine Atkinson, Head of Information and Intelligence.	
A new contract was awarded in November 2016	Katherine Atkinson, Head of Information and Intelligence.	
Action Title	Action Owner	Planned Review Date
Planned implementation will take place from November 2016 for 1 year.	Katherine Atkinson, Head of Information and Intelligence.	May 2017
Implementation plan has been drafted with the new supplier	Katherine Atkinson, Head of Information and Intelligence.	May 2017

Risk ID	EYPS 18	Risk Title Lack of or difficulty accessing appropriate provision and lack of targeted support for those Not in Education, Employment, or Training (NEET) across KCC				
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current 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 a lack of targeted support across KCC all add to the risk.	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, and meeting the KCC target of 2.5% NEET's by January 2017	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)	
				Target Residual Likelihood	Target Residual Impact	
				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			
Readytowork.com website is now in place			Sue Dunn, Head of Skills and Employability			
Internal audit has been carried out of the NEET process			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			
Integrated Youth Support Services 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 for each District	Sue Dunn, Head of Skills and Employability	
More specialist provision has been provided	Sue Dunn, Head of Skills and Employability	
NEET's processes have been streamlined	Sue Dunn, Head of Skills and Employability	
Monthly reviews of data are taking place and actions produced.	Sue Dunn, Head of Skills and Employability	
A ½ day training day is to be arranged for staff	Sue Dunn, Head of Skills and Employability	
Action Title	Action Owner	Planned Review Date
Focus work is being carried out with individual learners who are at risk of becoming NEET	Nigel Baker, Head of Preventative Services	May 2017
Work is being carried out with SEND learners and other vulnerable groups between January and March 2016	Marion Emptage, Skills and Employability Strategic Manager	May 2017
Internal Audit are to review the NEET process	Sue Dunn, Head of Skills and Employability	May 2017
To review the 16-24 pathway with special school heads	Marion Emptage, Skills and Employability Strategic Manager	May 2017
To input the SEND strategy refresh	Sue Dunn, Head of Skills and Employability	May 2017
A new streamlined NEET's process has been designed and a handbook is in place. Handbook to be reviewed in December	Sue Dunn, Head of Skills and Employability	March 2017
User feedback to be obtained	Sue Dunn, Head of Skills and Employability	May 2017
Research and analysis to be carried out to establish why some Districts are performing better than others	Sue Dunn, Head of Skills and Employability	May 2017

Risk ID	EYPS 19	Risk Title	Ability of Community Learning and Skills service to generate sufficient income due to changes in the national funding scheme.			
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
Funding streams to support the service will change and reduce in the future.	There is a risk that 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. Or it is unable to meet the requirements of the KCC Commission's specifications due to a lack of income.	Incomed targets not met; loss of learners to competitors. 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.	Graham Willett, Director Education Quality and Standards.	Possible (3)	Serious (4)	
Government funding cuts or changes to funding policies (Skills Funding Agency/Education Funding Agency) are expected; imposed MTFP savings.				Target Residual Likelihood	Target Residual Impact	
				Unlikely (2)	Significant (3)	
Control Title			Control Owner			
2016/17 business plan developed that identifies appropriate contingencies, flexibilities, adaptations and meets KCC service specifications			Patrick Leeson, Corporate Director EYPS			
Performance Management reports are produced for Client Group			Patrick Leeson, Corporate Director EYPS			
Monitoring of targets against the Growth Strategy take place.			Patrick Leeson, Corporate Director EYPS			
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	May 2017			
CLS to actively tender and form parts of consortium bids for new		Terry Burgess, CLS Manager	May 2017			

funding opportunities		
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	May 2017
Contingency Plans to be developed to reduce operational costs	Terry Burgess, CLS Manager	May 2017
Strategy Group to discuss business model	Terry Burgess, CLS Manager	May 2017
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 year financial planning can be accurate and updated regularly with the most up to date intelligence.	Terry Burgess, CLS Manager, Simon Pleave, Revenue Finance Manager	May 2017
To setup a Strategic Group to oversee the development of Community Learning	Terry Burgess, CLS Manager	May 2017
Prepare plan to take forward funding from current arrangements to new arrangements in order to mitigate the loss of funding	Terry Burgess, CLS Manager	May 2017

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	
Since September 2014, KCC has had a statutory duty to provide free places for eligible two year old children. Whilst the supply of high quality places is good, and take-up in December 2016 was 74%, (the highest ever seen in Kent), there is a particular concern that take-up in some localities in particular may not be consistently high enough.	There is a risk that there will be insufficient take-up of high quality places for 2 year old children	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			
Information on take-up is now reported by District and by residents and by take-up in provision			Pam Rawling, Sufficiency and Sustainability Manager			
An on-line eligibility checker has been introduced to speed up parent's ability to register on-line.			Pam Rawling, Sufficiency and Sustainability Manager			
A European Project to simultaneously increase the employment of vulnerable young parents with the take-up of free places by their 2 year olds focused on the District of Gravesham where the take-up is of greatest concern has been agreed.			Alex Gamby, Head of Early Years and Childcare.			
Each District now has a children's centre based Free For 2 Champion. Each champion meets regularly with the local childcare sufficiency officer and other relevant partners on a county wide and district basis.			Nick Fenton, Head of Service 0-25			
Some of these controls have been recognised nationally as effective good practice			Alex Gamby, Head of Early Years and Childcare.			
Early Years and Childcare Service have introduced a refreshed universal and targeted marketing campaign			Sandra Mortimer, Partnership and Integration Manager			
Monitoring Group meets termly			Alex Gamby, Head of Early Years and Childcare.			
A refreshed process has been delivered to enable children's centres to more effectively use information			Nick Fenton, Head of Service 0-25,			

provided to them by the FF2 Team in following up eligible families not taking up free places	Alex Gamby, Head of Early Years and Childcare.	
Refreshed materials and marketing strategy are now in place (February 2017).	Sandra Mortimer, Partnership and Integration Manager	
Parents Accessing Childcare and Education (PACE) funding has been approved	Alex Gamby, Head of Early Years and Childcare	
Action Title	Action Owner	Planned Review Date
Approval has been given to appoint a Project Manager for the European Project	Alex Gamby, Head of Early Years and Childcare	June 2017
Developing plans to deliver the European Project relating to increasing employment of vulnerable young parents with the take-up of free places for their 2 year olds	Sean Carter. Strategic Projects and Partnership Manager	May 2017

Risk ID	EYPS 22	Risk Title	Thirty hours of free childcare			
Source / Cause of risk		Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
<p>With effect from September 2017 it will be a statutory duty for the local authority to ensure that there are enough high quality inclusive free 30 hour childcare places for the 3 and 4 year old children of eligible parents. About 80% of parents of 3-4 year olds are anticipated to be eligible and of the eligible parents, about 80% are anticipated to take up free places. This equates to approximately 11,000 places for Kent in September 2017, and will increase again in January and April 2018 in line with parenting patterns of admission to schools.</p> <p>The national review of Early Years funding has resulted in Kent receiving less funding overall, however, KCC is managing the budget to allow an increase of 5p per child per hour (3 and 4 year olds) with effect from September 2017. It will however still be challenging for providers to offer places.</p>		There is a risk that there will be insufficient high quality school places for 3 and 4 year old children of eligible parents in Kent from September 2017.	Childcare providers may struggle to provide sufficient places because of a lack of financial viability. This may cause some providers to leave the childcare system which would have a detrimental effect to the childcare market within Kent and compromise KCC's ability to fulfil its statutory duty. KCC is a childcare provider of last resort.	Patrick Leeson, Corporate Director EYPS	Likely (4)	Major (5)
					Target Residual Likelihood	Target Residual Impact
					Possible (3)	Major (5)
Control Title				Control Owner		
An audit of providers has taken place to ascertain supply and therefore potential gaps				Alex Gamby, Head of Early Years and Childcare.		

Capital funding has been applied for with Department for Education (DfE). Outcomes are anticipated by December	Alex Gamby, Head of Early Years and Childcare.	
A Communication and Marketing strategy has been prepared	Alex Gamby, Head of Early Years and Childcare.	
A Project Manager has been appointed to oversee the Project	Alex Gamby, Head of Early Years and Childcare.	
A robust project plan with work streams has been created	Alex Gamby, Head of Early Years and Childcare.	
A working group has been created in order to deliver the project requirements	Alex Gamby, Head of Early Years and Childcare.	
Project risk register created	Alex Gamby, Head of Early Years and Childcare.	
An audit of parents has taken place in February 2017 to enhance demand information	Alex Gamby, Head of Early Years and Childcare	
Consultation has taken place with providers on elements of the national funding formula over which we have discretion.	Simon Pleave, Revenue Finance Manager.	
Action Title	Action Owner	Planned Review Date
Childcare Sufficiency Officers will offer individual visits to approximately 700 private, voluntary and independent group providers during April and May 2017 with a specific 30 hours of free childcare focus and with an express intention to maximise the number of places that will be available from September 2017. Childminders will be supported equitably by "Prospects".	Pam Rawling, Sufficiency and Sustainability Manager	May 2017
Awaiting a confirmation of capital funding from the DfE and or KCC to fill gaps in the most critical areas of the County.	Keith Abbott, Director Education Planning and Access, Simon Pleave, Revenue Finance Manager	March 2017
District based seminars with providers will take place to discuss how they can help to fill identified gaps in the market	Alex Gamby, Head of Early Years and Childcare.	March 2017
Providers to be informed of budget for the next financial year	Simon Pleave, Revenue Finance Manager	March 2017

Risk ID	EYPS 23	Risk Title	Delivery of 2017/18 budget			
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
There are a number of financial pressures on the Directorate namely: delivery of increased income targets, managing the significant loss of the Education Support Grant, a rising demand of the general growth of pupil population, managing the SEN transport budget and EHPS savings. In addition there is a growing and significant pressure on Dedicated Schools Grant (DSG) especially around High Needs Funding.	Due to increasing levels of budgetary restraint, there is a risk that the Directorate will fail to deliver its budget which will have an impact on other Services across the Directorate, and potentially the County Council.	Failure to deliver statutory duties could result in legal action against the Council.	Patrick Leeson, Corporate Director EYPS	Unlikely (2)	Serious(4)	
				Target Residual Likelihood	Target Residual Impact	
				Minor (1)	Serious (4)	
Control Title			Control Owner			
Routine budget management/monitoring of County Council systems			Patrick Leeson, Corporate Director EYPS			
Specific monitoring through EduKent of income budgets			Terry Burgess, CLS Manager			
High Needs Funding has been reviewed			Keith Abbott, Director Education Planning and Access			
The budget position is a standing item at SMT and DMT			Patrick Leeson, Corporate Director EYPS			
Action Title		Action Owner		Planned Review Date		
To create a culture that identifies in advance options to save rather than waiting until problems occur.		Keith Abbott, Director Education Planning and Access		March 2018		



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
CRR 28 / EYPS 05	Delivery of new school places is constrained by capital budget pressures and dependency upon the EFA (presented in appendix 1)	20	9

*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 them.</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 Segurolo, Director Specialist Children’s Services</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.	Stuart Collins, Interim Director Early Help and Preventative Services	
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	
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 Philip Segurola, Director Specialist Children's Services	
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	Stuart Collins, Interim Director Early Help & Preventative Services	
Weekly Management Information reports track key children in care milestones	Philip Segurola, Director Specialist Children's Services	
Kent Safeguarding Children Board has developed a 'threshold' document that outlines the criteria required by partners when making a referral and have been working with partners to promote aid appropriate application.	Mark Janaway, Programme and Performance Manager, Kent Safeguarding Children Board	
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 2017
Phase 2 of 0-25 Programme to define and implement a new way of delivering services to the children and young people of Kent to improve outcomes and reduce costs	Patrick Leeson, Corporate Director EYPS	May 2017

