

Education & Youth Portfolio Risk Register

Version 06

Reviewed: 30.11.20

Part 1 (Portfolio Management)

Financial

Mitigation Urgency Key	
IM – Immediate	Now
ST – Short Term	Within 1 month
MT – Medium Term	1 month plus
Upward arrow	Risk increasing
Downward arrow	Risk decreasing
Sideways arrow	No change in risk
*Denotes the risk is specific to 'Recovery'	

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
EY01	Secondary schools are not financially viable due to insufficient base funding	↔	MT	Risk associated with insufficient base budgets for secondary schools is included in the MTFs. There is on-going work with secondary head teachers to review the secondary schools funding formula with eventual consultation with the Schools' Budget Forum.
EY04	Increased financial costs to the Inclusion Service due to legal challenges	↔	MT	Officers are working with schools and parents/carers to negotiate the continuation of additional provision in the interim period to offset the need for statutory assessment. The cases are also discussed by Inclusion Service senior managers to determine whether any other alternatives are available to the child with regards provision or support to ensure all internal options have been considered and shared with the parent/carer. Where parents/carers have made an appeal, this information is being escalated to DMT and the legal team to ensure awareness of the number of appeals and officer support requirements. The actions appear to be impacting on the level of appeal to the SEN Tribunal with the outcome that the number is currently low, resulting in a reduced level of anticipated costs and a downward risk trend.
EY05	Insufficient financial resources to support children and young people's emotional health	↔	ST	There are insufficient financial resources to support children and young people's emotional health therefore the alternative approaches to securing resources are sought such as promoting free access to 'Solihull' approaches to parenting to support parents/carers in managing their children; Additional training provided to schools on strategies/programmes to support emotional health and wellbeing via Wales Government grant; Schools promoting online materials to support emotional health and wellbeing during school closure; use of the Integrated Youth Provision social media platform.

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
EY06	Insufficient funding to deliver new archive premises	↔	MT	The Archive Project Board of senior officers and political leaders meets regularly to monitor progress of the bid. There is Cabinet and Executive support for the bid to National lottery Heritage Fund with formal commitment to provide capital funding to top up the scheme from both Flintshire and Denbighshire. There is effective project management in place ensuring project is progressing within budget and timescales. There is a project action plan in place to complete Stage 1 bid by deadline of February 2021. There is effective working with the Museums and Libraries Division of Welsh Government who are supportive of the bid and providing expert advice and gives the bid credence. There is support from The National Archive for the bid and partnership working in place. An expert consultant has been procured with significant expertise in developing heritage funding bids to increase likelihood of success.

Workforce

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
EY07	Capacity on service delivery is impacted by workforce absence	↔	IM	Managers are well versed in applying the corporate Attendance Management policy and processes. In addition there is the availability of clear protocols for absences arising from the current emergency which are being applied when necessary within the portfolio. Quarterly attendance management figures are reported to Portfolio Senior Management Team with individual case work being followed up. Currently sickness absence levels are the lowest for some time with no significant impact on service delivery. The risk of absence impacting adversely on service delivery is reducing.

Property & Assets

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
EY11	Fluctuating pupil demography impacts on sufficiency of school places	↔	MT	Pupil number projections are reviewed bi-annually. This data assists in developing priorities for the Council's schools investment programme for schools and helps understand potential issues and possible mitigation measures associated with local development plan, to this end there are regular meetings with the Planning Team.

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
EY12	Deteriorating school buildings adversely impacts on curriculum delivery	↔	MT	All schools are subject to 5 year condition survey. Through the Council’s annual repairs and maintenance programme and the 21 <sup>st</sup> Century Capital investment funding, the risk from deteriorating school buildings impacting on curriculum delivery is reducing. All schools continue to deliver an effective curriculum. The Council continues to bid for other external capital funding to be invested in the school estate.
EY13	Inability to fully deliver on Welsh Government 21 <sup>st</sup> Century School Building Programme due to financial, workforce and contractor implications	↔	MT	There is regular dialogue between the Council and the North Wales Construction Partnership contractors and supply chain, and also with Wales Government to mitigate against problems arising from funding, the workforce or from the contractor. The risk continues to be managed.
EY14 Updated	Welsh Government Childcare Capital programme is not fully completed resulting in a reduction of childcare places	↓	MT	There is regular monitoring of risks at Portfolio Senior Management Team and quarterly reports to Welsh Government (WG). A contractor has been commissioned to work up actual costs and site risks for the individual projects, whilst not yet confirmed early indications are that all but one of the projects in the proposed programme are possible within the agreed WG funding envelope. All risks are escalated to the Capital Assets Board as necessary.

Governance/Legal

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
EY15	Non-compliance with the Additional Learning Needs Education Tribunal (ALNET) Act 2018	↔	MT	Progress against the Council’s Transformation Plan in relation to the implementation of the new Act from September 2021 is monitored at service and senior management level. Potential financial risks are reported through portfolio finance meetings and the Mid Term Financial Strategy monitoring systems. Progress is also measured through regular stakeholder meetings and meetings of the regional leads which include the regional Additional Learning Needs Transformation Lead who meets regularly with WG. Current measures confirm the Council continues to be compliant. Wales Government have recently indicated that the Guidance Code will not be published until February 2021 as opposed to December 2020. Work will continue against the current Transformation Plan but changes may need to be implemented quickly in response to the published Code.

**APPENDIX 2**

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
EY16	Failure to make statutory provision for learners with Special Educational Needs (SEN) due to resource availability	↔	ST	Education and Health professionals are developing ways in which they can complete their statutory responsibilities in relation to the statutory assessment process for children with SEN to ensure the Council is able to make specialist placement decisions. These include the use of video platforms and the establishment of clinical rooms where the child and the assessor are separated by a Perspex screen. Services are also engaging with their respective professional bodies who are in many cases providing advice and guidance on how to complete their roles whilst maintaining social distancing. Officers are working with schools and parents/carers to negotiate the continuation of existing additional provision in the interim period to offset the need for statutory assessment and change of educational placement.
EY17	Failure to meet the statutory targets in the Welsh in Education Strategic Plan due to insufficient parental take up of Welsh medium education	↔	MT	The annual update of the Welsh In Education Strategic Plan includes information from parental demand surveys. The Authority is on track to expand Welsh medium capacity at three school sites through its capital programme. Progress against statutory targets are monitored quarterly by the Forum with annual reports to Scrutiny Committee.
EY19	Insufficient local education provision to support learners with mental health needs	↔	MT	Specialist teams within the Inclusion & Progression Service are working regionally with other LAs and health colleagues to develop resources to support the transition from hubs back to school on the 29 June. There is a working group currently looking at how schools can offer increased targeted support to individuals with mental health difficulties. A review has been undertaken of the Council's current specialist provision with the findings having been collated into a report; this will form the basis of a business case application for further resource and investment. Capacity will be increased from September 2021 with the new build for Plas Derwen Portfolio Pupil Referral Unit.

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
EY20	Increased number of Special Educational Needs Tribunals due to an inability to meet the statutory assessment process requirements and accurately identify individual needs (link to EY 16)	↔	MT	<p>Education and Health professionals are developing ways in which they can complete their statutory responsibilities to ensure the Council’s SEN Moderation Panel has access to the level of information required to support informed decision making for children with SEN. These include the use of video platforms and the establishment of clinical rooms where the child and the assessor are separated by a Perspex screen. Services are also engaging with their respective professional bodies who are in many cases providing advice and guidance on how to complete their roles whilst maintaining social distancing.</p> <p>Officers are working with schools and parents/carers to negotiate the continuation of existing additional provision in the interim period to offset the need for statutory assessment and change of educational placement.</p> <p>Assessment of pupils continues to pose challenges however, sufficient information was received to inform placements for the beginning of the new academic year. The reopening of schools will offer greater opportunities for direct contact although the situation with positive Covid cases may affect the future risk level.</p>

External Regulation

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
EY22	Inability to meet the recommendations arising from the Local Authority’s Estyn Inspection 2019	↔	MT	The Post Inspection Action Plan has been incorporated into the Council Plan 20220/21 and the Portfolio’s business Plan. Plans are monitored at senior management team meetings weekly and the Senior Team meet termly with Estyn’s Local Registered Inspectors to monitor the delivery of actions to meet the targeted recommendations. The Plan is reported annually to Cabinet and Scrutiny. Current progression against the actions are on target.
EY23 Updated	Poor outcome of Ministry of Justice Inspection due to non-compliance with National Youth Justice Standards and ineffective governance from Youth Justice Board	↓	MT	Youth Justice Executive Management Board have agreed the recovery plan for the service and regularly review the associated risk assessment. At present YJS remain in phase 1 but following Executive Management Board on 24 <sup>th</sup> September it has been agreed the service can move to Phase 2 which includes increase face to face services in areas of the service.

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
EY24	Inability to meet national archive accreditation standards due to poor quality of the accommodation	↔	MT	The National Archive has agreed to a deferment of Flintshire’s next accreditation against the standards to allow time for the outcome of the bid and potential solution to the accommodation issue to be found.

Part 2 (Portfolio Service & Performance)

School Improvement

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
EY25 Updated	Schools insufficiently prepared to implement new curriculum which impacts adversely on learners	↓	MT	Regional and local Business Plans have been written identifying the required actions needed by schools to ensure they are prepared. Whilst preparations by schools was limited during the repurposing period, the regional school improvement service has continued to provide universal and bespoke support to schools as appropriate. Professional development and collaboration has continued virtually where possible. Cluster meetings for Flintshire schools have continued remotely. The fortnightly meetings between local authority and regional school improvement service continue, with a focus on developing distance and blended learning. The GwE Management Board attended by the Chief Officer receive and monitor update reports. Likewise, there are regular updates to the Joint Consultative Committee attended by the Lead member for Education and the Chief Education Officer. An appointment has been made of a temporary Primary Phase Adviser until 31.3.21 and this is providing effective additional capacity.
EY26 Updated	Ineffective school leadership results in poor pupil outcomes which increases risk of schools being placed in statutory Estyn categories	↓	MT	Local Business Plan has been written identifying targeted support needed. Progress against this is a standing item at the Standards Quality Board meeting with identified risks being flagged through DMT, Programme Board, Overview & Scrutiny meetings. The portfolio Business Plan identifies targeted support for those schools in need with identified risks being flagged through Senior Management Team. Currently all inspection activity by Estyn is suspended until further notice. There will be no further inspections during 2020- 2021. National and local focus is on planning and preparation for implementation of the new curriculum. The appointment of a temporary Primary Phase Adviser provides additional support to primary school leaders.

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
EY27	School leadership and governance is ineffective due to lack of engagement in professional development and support programmes	↔	MT	<p>There is a comprehensive professional leadership development programme in place nationally and regionally for school leaders. Programmes that have been suspended due to the pandemic are being moved to online virtual arrangements with work underway nationally and locally. Schools continue to nominate staff to participate in national leadership programmes such as the National Qualification for Headship and the Existing Headteacher Programme and the Chief Officer has endorsed the next round of applicants. Bespoke support is still available for Flintshire Heads through LA officers and GwE advisers. There is a regional protocol in place for supporting schools with senior leadership appointments, including headteacher and deputy headteacher appointments. This is continuing to support appointments virtually. School Governors have dedicated officer support and the Council funds access to Governors Cymru advisory service for all schools. Governors have access to on-line statutory modules and professional development through the regional school improvement service.</p>
EY28	Ineffective school leadership results in standards of Welsh in schools falling below the national average	↔	MT	<p>Action Plans have been written identifying the required activity needed to meet the Authority's Welsh in Education Strategic Plan targets. There are regular meetings between the senior manager for school improvement and the service manager for Welsh to monitor engagement and progress of schools. There are high levels of engagement between portfolio managers and the regional school improvement service to ensure resources are targeted appropriately. The regional plan includes support for improving outcomes in Welsh at key stages 3 and 4. The summer term meeting of the Welsh in Education Strategic Forum (WESP) was cancelled due to the pandemic. The forum meetings have been moved successfully online.</p>

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
EY29	Reduced performance in Science, Technology , Engineering and Maths subjects at Post 16 could impact on access to local apprenticeships and progression into higher education	↔	MT	There is a regional lead for post 16 now in place. The Business plan for post 16 is incorporated into regional and local planning. Schools have access to subject advisers and regional subject forums. There are fortnightly meetings between the local authority and regional school improvement service to monitor engagement and progress of schools, and regular stakeholder meetings to ensure communication at all appropriate level. Schools are reporting after 2020 A Level results that nearly all learners were able to progress to their preferred choice of course, however, destination data is not yet available to verify this.
EY33	Inability of schools to operate safely and deliver statutory education due to reduction in staffing levels	↔	MT	<p>At the start of the new academic year numbers of teaching and support staff not able to return to work due to Covid-19 were very low. Since mid -September there has been a significant rise in the number of Covid related absences in the school workforce. This is due to three main factors: the number of school staff testing positive for Covid; the number of staff having to self-isolate because they are an identified contact of a Covid case or they are parents of children who have been directed to self-isolate from their schools. No school has had to fully close yet as a result of these staffing pressures but two schools had to close their Nursery provision for short periods due to the unavailability of their early years’ workforce.</p> <p>In order to support schools to continue to operate safely there exists a robust support process in place between TTP and Environmental Health to quickly take action when a positive case in a school is identified.</p>

Inclusion & Progression

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
EY30	Increased numbers of young people not in Education, Training & Employment due to lack of pupil engagement	↔	MT	The Inclusion & Progression service continues to work in collaboration with a range of internal and external services to identify pupils at risk of disengagement via the range of data sources and tools available. There continues to be regular dialogue with pastoral leads in secondary schools and local further education institutes and training providers to ensure suitable transition arrangements are in place to support continued engagement for pupils leaving Year 11. Fortnightly education panels are conducted where targeted young people are monitored in terms of their engagement and transition arrangements to ensure alternative support and intervention is identified where required.

Integrated Youth Provision

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
EY31 Updated	Increase in young people subject to intervention by the Youth Justice Services due to the impact of school closures and revised service delivery models	↓	ST	The new Education Officer within the Youth Justice Service is now in post and the reopening of schools the number of young people subject to intervention by the YJS remains stable.
EY32	Young people in the Youth Justice Service not accessing minimum statutory education offer due to lack of pupil engagement	↔	ST	The YJS has recommenced monthly Education Meetings internally to monitor the engagement with this cohort.

Previously Closed Risks

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
EY02	Inability to deliver statutory Youth Services due to uncertainty about grant funding	↓	MT	-
EY03	Inability to deliver Inclusion & Progression Services due to uncertainty about grant funding	↓	MT	-
*EY08	Inability to provide emergency childcare provision during school closure period due to workforce availability	↓	MT	-
*EY09	Insufficient emergency childcare provision in summer holidays if school hubs	↓	MT	-

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
	directed to close by Welsh Government			
*EY10	Inability of schools to reopen safely to deliver statutory education due to reductions in workforce, availability of sufficient PPE and infrastructure (catering/transport)	↓	MT	-
EY18 Closed	Young people unable to access counselling services due to the closure of schools	↓	ST	<p>Closed Risk</p> <p>The Counselling service is currently accessing training to be able to offer on-line and telephone counselling as an additional /alternative model of service delivery. Counsellors have undergone training to deliver on line where required. Alternative settings to schools have also been sourced and used during the school holidays and the service is compiling a bank of suitable settings for future use if necessary.</p>
*EY21	Reduced safeguarding referrals due to school closures	↓	MT	-