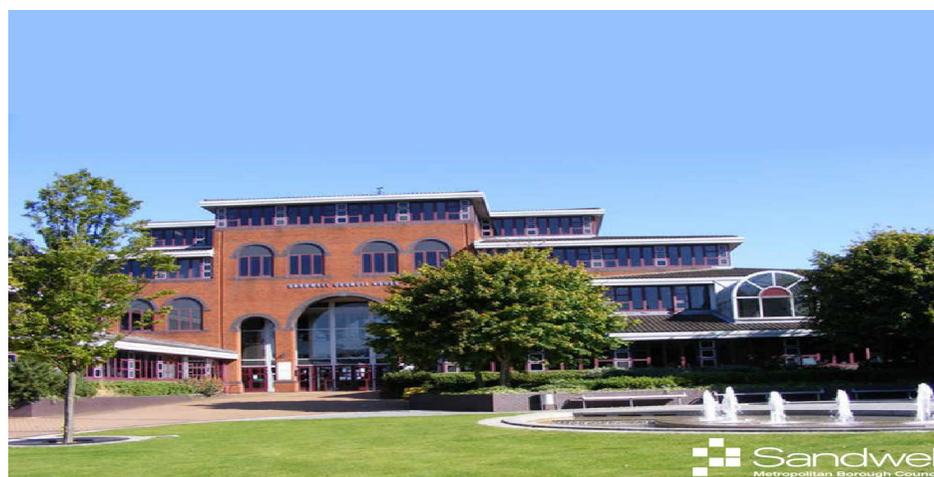


Appendix A

Profile of Current Strategic Risk Scores

RED	5, 6,
AMBER	1, 3, 9, 11, 12, 13
GREEN	2, 7, 8, 10

Summary Children’s Services Directorate Risk Register as at June 2022



Ambition 1
High aspirations



Ambition 2
Healthy lives



Ambition 3
Skills



Ambition 4
High quality education



Ambition 5
Safe communities



Ambition 6
Excellent and affordable public transport



Ambition 7
Housing to meet needs



Ambition 8
Community life, leisure centres & entertainment



Ambition 9
Location of choice for business and growth



Ambition 10
Reputation for getting things done

Children's services directorate business plan priorities

1. Children, young people and families are aspirational, resilient, ambitious and safeguarded	2. Sandwell's children to be healthy and active	3. Good school places	4. Best start in life and school readiness	5. Children to be well prepared for adulthood	6. Career opportunities
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Risk Ref	Risk Title and Description	Previous score (Sept 2021)	Direction of travel	Current score (June 2022)	Target score and date	Comment																																
001 05/16	<p>Impact of Reductions to Funding</p> <p>If the directorate does not plan and identify innovative new ways of dealing with the uncertainties and significant reductions imposed by central government on schools funding, then this will result in:</p> <ul style="list-style-type: none"> Services and schools unable to operate within a balanced budget School improvement strategy not being delivered Ineffective service delivery being provided by the directorate More schools converting to academies and the inability 	8 (amber)		8 (amber)	8 (amber)	<p>This risk is linked to the strategic risk 027 around council finances but considers the impact on schools resulting from the central government. When adjusted for inflation, funding per pupil was broadly flat between 2010-11 and 2015-16 at just under £6,400 in 2021-22 prices. It then fell by 4.0% over 2016-17 and 2017-18, but subsequently increased by 1.4% over 2018-19 and 2019-20. Since then, funding increased by 4.5% over the course of 2020-21 and 2021-22 and then by a further 4.2% in 2022-23, reaching £6,780 (in 2021-22 prices).</p> <p>Since financial year 2018-19, a new National Funding Formula (Soft NFF) has been used to determine how much mainstream schools attract in core revenue funding. There are separate formulas for sixth form, high needs, and early years funding. Pupil Premium (additional money to support disadvantaged children) is also paid via a separate grant.</p> <p>The government has said it remains committed to introducing a hard NFF from 2023-24, i.e., one</p>																																
<table border="1"> <tr> <td rowspan="5" style="writing-mode: vertical-rl; transform: rotate(180deg);">Likelihood</td> <td>4</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FF0000;"></td> <td style="background-color: #FF0000;"></td> </tr> <tr> <td>3</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FF0000;"></td> </tr> <tr> <td>2</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700; text-align: center;">8</td> </tr> <tr> <td>1</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> </tr> <tr> <td></td> <td style="text-align: center;">1</td> <td style="text-align: center;">2</td> <td style="text-align: center;">3</td> <td style="text-align: center;">4</td> </tr> <tr> <td colspan="6" style="text-align: center;">Impact</td> </tr> </table>							Likelihood	4					3					2				8	1						1	2	3	4	Impact					
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Risk Ref	Risk Title and Description	Previous score (Sept 2021)	Direction of travel	Current score (June 2022)	Target score and date	Comment
	<p>to support the remaining Sandwell schools effectively</p> <p>Risk owner – Director of Children and Education (Finance)</p> <p>Directorate priorities impacted: 1, 3, 4 and 5</p>					<p>with a reduced role for local authorities in deciding allocations. In July 2021, it consulted on completing the NFF reforms, proposing a gradual move toward a hard NFF. The government launched phase 2 consultation in June 2022 and have set out that they expect to have moved to the direct NFF within the next five years; which is by the 2027-28 funding year. The government further go on to say, “We hope that we may be able to move to the direct NFF sooner than this – but not later”.</p> <p>Current Controls</p> <p>At present the measures in place to manage the risk include:</p> <ul style="list-style-type: none"> • Regular monthly budget monitoring meetings • Response to on-going schools and SEND consultations • Working with similar LA (through groups like SIGOMA/ADCS) to lobby government on schools funding. • Early identification of schools showing financial strain (through the RAG system) and working with them to prevent them from going into deficit. • Service level agreements with schools for the provision of council services • Regular review of council services provided to schools to ensure they remain effective <p>Further Actions</p> <p>This risk which is likely to remain amber due to the continued uncertainties around funding. As such this risk does not have target dates.</p>

Risk Ref	Risk Title and Description	Previous score (Sept 2021)	Direction of travel	Current score (June 2022)	Target score and date	Comment																																
						The current control mitigates against the risk escalating. The government is still consulting on the changes it proposes, once it is clear as to what these changes will be, consideration will be given to what further actions can be taken to mitigate risk.																																
002 01/19	<p>Implementation of Synergy System</p> <p>If the council does not implement the Synergy education management information system to the required specification and within the appropriate timescales then this will require the continued and extended use of the current Capita system and result in increased financial costs of running the two systems. In addition, the current system will become unsupported.</p> <p>Risk owner – Group Head Education Support Service</p> <p>Priorities impacted: 4 and 5</p>	8 (amber)		6 (green)	4 (green) July 2022	<p>The Capita ONE system is the main education system that is used by the directorate and provides a wide range of statutory and non-statutory functions to the directorate including data on admissions; SEN; free school meals; attendance, etc.</p> <p>The system has been in place since 1993 and following Cabinet approval a procurement exercise was undertaken in 2018 to ensure that any education system was able to provide the current and future needs of the service. The procurement exercise resulted in the award of a contract for a new system provided by Synergy. This risk relates to the implementation of new system.</p> <p>Current Controls</p> <p>In order to manage the risk project management arrangements are in place including a project board; project plan, risk register, regular communications and briefings with staff and training of super users.</p> <p>Implementation is nearing full completion, with the final modules due to complete by July 22.</p>																																
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						<p>Further Actions</p> <p>Project team will continue to meet to support the next phase which includes:</p> <ul style="list-style-type: none"> - The move to case management to support cross team working. - Evaluation of SEND Transport Module - Review the contract to consider the use of the extension option. 																															
003 03/17	<p>Special Educational Needs and Disabilities (SEND)</p> <p>If the council does not effectively deliver the SEND development plan then the most vulnerable young people will not receive the support and services they are entitled to and may not reach their full potential.</p> <p>Risk owner - Group Head for Inclusion</p> <p>Priorities impacted: 1, 4 and 5</p>	6 (green)		9 (amber)	6 (green) April 2023	<p>In March 2019, Ofsted and CQC revisited Sandwell to establish whether sufficient progress had been made against the Written Statement of Action that was put in place in 2017. The visit concluded that sufficient progress had been made against all weaknesses identified and action areas in the written statement. As a result, the inspectors recommended that the formal monitoring visits by DfE and NHS England (the decision makers) cease.</p> <p>The impact of Covid has resulted in more Children and Young People (C/YP) requiring assessment and support for Special Educational Needs. There are also staff capacity issues across the system (in education, health and social care) which are leading to delays in the completion of holistic assessments of need. This has impacted on the timeliness of C/YP receiving appropriate intervention and provision through an Education, Health and Care Plan / SEN Support Plan</p> <p>Current Controls</p>																															
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						<p>The current measures to manage the risk include a SEND Strategy which is supported by a multi-agency development plan. Priority areas identified are: Quality Assurance of statutory duties, Workforce development, improving provision and improving outcomes. The SEND Strategic Board holds different partners to account for their actions against the development plan.</p> <p>Further Actions</p>																																
05 03/18	<p>High Needs Block (HNB)</p> <p>If the council continues to face increased funding requirements for its high needs block then this will result in significant adverse impact on schools' budgets.</p> <p>Risk owner – Group Head for Inclusion</p> <p>Priorities impacted: 1, 4 and 5</p>	12 (Red)		12 (Red)	8 (amber) April 2023	<p>This risk is a national risk one around the ongoing rise in children and young people with SEND and Education, Health Care Plans (EHCP) and therefore an increasing demand for additional support services for children/ young people with SEND. The increased demand arises from a combination of factors including population growth, advances in medicine which mean children with special needs live longer with more complex needs, better diagnosis of conditions such as autism and extension of the service for children with SEND to age 25 (the latter which took effect from 2014). Covid and subsequent lockdowns / inconsistent educational support has also had an impact.</p> <p>There has also been a significant increase in requests for Specialist Provision (Special schools / mainstream schools with Specialist Resource bases/ SEN Units). A Specialist Place Planning Strategy has been written to address</p>																																
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						<p>capacity issues within Sandwell going forward however current shortfall is being met by independent / Out of borough placements which puts further strain on the HNB.</p> <p>While not currently in deficit, based on the current trajectory that, it could potentially fall into deficit in the next 2 years.</p> <p>The high needs block also funds children in Alternative Provision (AP) which includes pupils who have been permanently excluded from mainstream schools and pupils who are too medically unwell to attend.</p> <p>The Department for Education has issued a Green Paper and consultation proposals on recommendations to improve provision for C/YP with SEND and in AP, including the management of the HNB. Consultation ends in July 22</p> <p>Current Controls Proactive strategies have and continue to be employed to keep spend within budget however this is becoming more challenging as the needs of C/YP increase.</p> <p>Regular reviews of spend in partnership with the School's Forum.</p> <p>Further Actions</p>

Risk Ref	Risk Title and Description	Previous score (Sept 2021)	Direction of travel	Current score (June 2022)	Target score and date	Comment																															
						<p>Review of the HNB based on the outcomes of the Green Paper consultation.</p> <p>Develop a plan to implement any legislative changes made</p>																															
06 03/18	<p>Special Educational Needs and Disabilities Transport</p> <p>If the council does not consider options on how to manage the increasing upwards trajectory of costs in respect of SEND transport then this will significantly impact service budgets and the provision of other services across the directorate.</p> <p>Risk owner – Group Head Education Support Service Priorities impacted: 2, 3 and 4</p>	12 (red)		12 (red)	8 (amber) August 2023	<p>This risk is a subset of the above risk and has been identified separately as a result of its significance as well as subsequent references being made to this risk in the Council's Improvement Plan.</p> <p>The Council has a statutory duty to provide transport assistance to eligible pupils with SEND. The current financial position in this area is challenging, whereby the costs for transport continue to exceed the planned budget due to increasing demand and pressures against current policy provision. There have been ongoing pressures against the SEN transport budget for several years which have historically been covered by savings across the directorate.</p> <p>The risk assessment has been informed by the current outturn forecast position for SEN transport which is an overspend of £1.77m. The reasons for this overspend arise from an increase in the number of children who are eligible for this transport; the increase in the statutory age at which SEN transport must be provided from 18 to 25 years and a general</p>																															
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						<p>increase in transport costs as inflation continues to increase (fuel/energy).</p> <p>Current Controls</p> <p>An external review was commissioned to look at benchmarking current practise and identified potential changes to improve service delivery or reduce costs. The findings will be presented to Cabinet later in the Autumn term.</p> <p>The new transport contracts will be in place from 1 September 2022 to 31 July 2024.</p> <p>Further Actions</p> <p>Recruitment of a SEND commissioner who will undertake periodic review of the delivery of the contract and support future development.</p> <p>Implementation of the recommendations made by Scrutiny and AARC</p>																					
07 04/18	<p>Client function for the Sandwell Children’s Trust Contract</p> <p>If the council does not establish a client function role then it may be unable to effectively monitor the service delivery contract and the service support agreement between the council and the Sandwell Children’s Trust.</p>	8 (amber)		4 (green)	4 (green) To be closed	<p>The contract with SCT has a comprehensive and robust programme of governance arrangements in place, as acknowledged in the Grant Thornton Governance Review. The Director of Children’s Services, together with council senior officers from finance and legal services, and the Chief Executive of the Trust meet on at least a monthly basis to consider performance and operational matters. In addition, each quarter, the Lead Member for Children’s Services, the DCS and the Chief Executive meet with the Chair of the SCT Board and the Chief Executive of SCT, at a Strategic Partnership Board.</p>																					
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	Risk owner – Strategic Partnership and Commissioning Manager Priorities impacted: 1 and 4	<table border="1"> <tr> <td></td> <td>1</td> <td>2</td> <td>3</td> <td>4</td> </tr> <tr> <td colspan="5">Impact</td> </tr> </table>		1	2	3	4	Impact								<p>The Trust is required to attend Children's Services and Education Scrutiny Board twice a year and at the Budget and Corporate Scrutiny Management Board if requested.</p> <p>Current Controls The Strategic Partnership and Commissioning Manager and Senior Commissioning Manager for Statutory Services have now been in place for over 12 months, these roles provide strong oversight of performance against the Service Delivery Contract.</p> <p>There is a clear trajectory of improvement as evidenced by inspections and monitoring visits undertaken by Ofsted.</p> <p>Further Actions No further action, risk is being closed</p>
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08 03/18	Business Continuity in Sandwell Schools If the council has not put in place arrangements that provide assurance that suitable business continuity plans are in place then in the event of an unplanned	9 (amber)		4 (green)	4 (green) To be closed	To ensure that the directorate has effective business continuity plans in place, the service needs to obtain assurances that sufficient and suitable arrangements are in place in all Sandwell schools in the event of an unplanned emergency such as a partial or full school closure. Current Controls										

Risk Ref	Risk Title and Description	Previous score (Sept 2021)	Direction of travel	Current score (June 2022)	Target score and date	Comment																																
	<p>emergency which forces a school closure, schools will be unable to operate and the council will fail in its statutory duty to provide school places.</p> <p>Risk owner – Group Head Education Support Service/Andrew Timmins</p> <p>Priorities impacted: 1, 3 and 4</p>	<table border="1"> <tr> <td rowspan="5">Likelihood</td> <td>4</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FF0000;"></td> <td style="background-color: #FF0000;"></td> </tr> <tr> <td>3</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FF0000;"></td> </tr> <tr> <td>2</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700;"></td> </tr> <tr> <td>1</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90; text-align: center;">4</td> </tr> <tr> <td></td> <td style="text-align: center;">1</td> <td style="text-align: center;">2</td> <td style="text-align: center;">3</td> <td style="text-align: center;">4</td> </tr> <tr> <td></td> <td colspan="5" style="text-align: center;">Impact</td> </tr> </table>	Likelihood	4					3					2					1				4		1	2	3	4		Impact								<p>Measures to manage this risk include:</p> <ul style="list-style-type: none"> Schools' business continuity plans which are reviewed by Internal Audit as part of their review of the school A single point of contact for schools to report a closure due to weather or other emergencies A review plan to be prepared after each school closure to ensure any lessons learned are captured <p>Assurances from academies that suitable arrangements and plans are in place to cover any increased financial costs if pupils need to be relocated in the event of a school closure.</p> <p>Further Actions</p> <p>No further action, risk is being closed</p>
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09 04/18	<p>Children Missing Education and from Education (CME and CMfE)</p> <p>If the council does not have effective mechanisms in place to track CME and CMfE then it will fail in its safeguarding duties.</p>	8 (amber)		8 (amber)	4 (green) Sept 2022	<p>Children missing education (CME) are children and young people who are not on a school roll and not in receipt of education at school or otherwise (electively home educated/alternative provision).</p> <p>Children missing from education (CME) are children and young people on a school roll and</p>																																

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	Risk owner – Group Head Education Support Service Priorities impacted: 1, 2 and 4	<table border="1"> <tr> <td rowspan="5">Likelihood</td> <td>4</td> <td>Green</td> <td>Amber</td> <td>Red</td> <td>Red</td> </tr> <tr> <td>3</td> <td>Green</td> <td>Green</td> <td>Amber</td> <td>Red</td> </tr> <tr> <td>2</td> <td>Green</td> <td>Green</td> <td>Green</td> <td>Amber</td> </tr> <tr> <td>1</td> <td>Green</td> <td>Green</td> <td>Green</td> <td>Green</td> </tr> <tr> <td></td> <td>1</td> <td>2</td> <td>3</td> <td>4</td> </tr> <tr> <td></td> <td colspan="5">Impact</td> </tr> </table>		Likelihood	4	Green	Amber	Red	Red	3	Green	Green	Amber	Red	2	Green	Green	Green	Amber	1	Green	Green	Green	Green		1	2	3	4		Impact							not in receipt of full-time education (on part-time timetables etc.). The council's Attendance Service provides support to schools and families to reduce lost learning, maintain safeguarding and improving life chances for children and young people. Current Controls There is a robust process in place to identify/monitor & support Children not in Education: The introduction of the DfE White paper "Opportunity for All" and new guidance "Working together to improve school attendance" brings new and increasing responsibilities for the Council. Further Actions An action plan to be in place for the start of the new Academic year.
Likelihood	4	Green	Amber		Red	Red																																
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10 07/16	Apprenticeship Levy If the council (including schools) does not put in place effective arrangements to use the resources it will have available from the introduction of the apprenticeship levy, then it will	9 (amber)		6 (green)	6 (green) Achieved	The Apprenticeship Levy introduced in 2017 continues to be a requirement for all organisations with a turnover in excess of £3 million. The public sector target is no longer a mandatory target, however the Council has chosen to continue with this target to benchmark performance.																																

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	<p>be unable to maximise benefits and its use of resources and will miss out on the opportunities available through the fund.</p> <p>Risk owner – Employment and Skills Services Manager</p> <p>Priorities impacted: 5 and 6</p>	<table border="1"> <tr> <td rowspan="5">Likelihood</td> <td>4</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>3</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>2</td> <td></td> <td></td> <td>6</td> <td></td> </tr> <tr> <td>1</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td>1</td> <td>2</td> <td>3</td> <td>4</td> </tr> <tr> <td></td> <td colspan="5">Impact</td> </tr> </table>	Likelihood	4					3					2			6		1						1	2	3	4		Impact								<p>For 2021/22, the target equates to 184 apprenticeships for the council. In the last update to the Apprenticeship Board, the actual performance for the year to 31 March 2022 showed that 108 apprenticeships had been placed during the year. Performance for this year has been largely impacted by the pandemic, alongside nationwide recruitment challenges.</p> <p>Current Controls</p> <p>The Council has continued to support local businesses by offering up unspent levy funds for transfer, enabling additional apprenticeships for Sandwell residents and businesses. Also, providing much needed support to industries experiencing growth and skills gaps.</p> <p>Further Actions</p> <p>No further action, risk is being closed</p>
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11 08/19	<p>Impact of School Academisation</p> <p>If the council does not effectively manage schools that have received an academy order prior to the conversion date then this will result in:</p> <ul style="list-style-type: none"> Schools unable to operate within a balanced budget and the overspend/debt 	8 (amber)		8 (amber)	8 (amber)	<p>This risk is linked to the strategic risk 027 around council finances but considers the impact on schools resulting from the implementation of the new Ofsted Inspection Framework for schools which came in to force on 1 September 2019.</p> <p>Current Controls</p> <p>At present the measures in place to manage the risk include:</p> <ul style="list-style-type: none"> Multi-discipline Task Groups are put in place for all schools in Special Measures or that are likely to fail an inspection 																																

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	<p>remaining with the council upon conversion</p> <ul style="list-style-type: none"> Increased risk of school staff redundancy and associated redundancy costs for the council Associated costs for school buildings which may not have been maintained to the expected standard prior to conversion falling to the council. <p>All risks above increase where the council is not contracted to provide services from council HR, Finance or Repairs and Maintenance teams.</p> <p>Risk owner – Group Head for Learning Services</p> <p>Priorities impacted: 1, 3 and 4</p>	<table border="1"> <tr> <td rowspan="5">Likelihood</td> <td>4</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FF0000;"></td> <td style="background-color: #FF0000;"></td> </tr> <tr> <td>3</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700;"></td> <td style="background-color: #FF0000;"></td> </tr> <tr> <td>2</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #FFD700; text-align: center;">8</td> </tr> <tr> <td>1</td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> <td style="background-color: #90EE90;"></td> </tr> <tr> <td></td> <td>1</td> <td>2</td> <td>3</td> <td>4</td> </tr> <tr> <td></td> <td colspan="5" style="text-align: center;">Impact</td> </tr> </table>	Likelihood	4					3					2				8	1						1	2	3	4		Impact								<ul style="list-style-type: none"> Governing Body are strengthened or removed entirely dependent on performance (using LA powers of intervention) Contingency Dedicated Schools Grant (DSG) has been agreed by Schools Forum up to a maximum of £125,000 per school in difficulty to assist with costs. Monthly monitoring reports of school balances are held by Schools Finance Team and are reported to the Director. Annual Health and Safety reports are completed for buildings maintenance and recommendations for essential work are highlighted to school governing bodies where they do not buy in to the council repairs and maintenance account. <p>With the above control measures in place there remains an ongoing risk due to the uncertainty associated with Ofsted inspection and their judgement differing from the view of the Council.</p>
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12 04/19	<p>Regional Adoption Agency (RAA)</p> <p>If the council does not put in place an effective arrangement to monitor the delivery of the contract with the Regional Adoption Agency,</p>	8 (amber)		8 (amber)	4 (green) October 2022	The regional adoption agency arrangements are intended to improve outcomes for children by speeding up the adoption process, recruiting a wider pool of adopters and improving post-adoption support. There is a potential risk the regional arrangements do not deliver against these intentions. There is a further potential risk																																

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	<p>Adoption@Heart, then it may not:</p> <ul style="list-style-type: none"> • deliver the best outcomes for children • achieve a good Ofsted outcome • ensure value for money. <p>Risk owner – Director of Children and Education and Strategic Partnership and Commissioning Manager</p> <p>Priorities impacted: 1, 2, and 5</p>					<p>that the expenditure exceeds the budget available.</p> <p>Current Controls</p> <p>These risks are mitigated through the governance arrangements in place which include:</p> <ul style="list-style-type: none"> • A monthly Management Board meeting (attended by Sandwell Children’s Trust’s Operations Director as lead for the delivery of Adoption related functions) • A quarterly Strategic Commissioning Board meeting attended by the Director of Children’s Services and the CEO of Sandwell Children’s Trust. <p>Additionally, the RAA reports to Sandwell’s Children’s Scrutiny Committee and the Corporate Parenting Board on an annual basis. A Black Country meeting of Lead Members from the four local authorities also meet twice yearly to ensure additional oversight. A Senior Commissioning Manager is in place to strengthen the monitoring and oversight of the contract.</p> <p>Further Actions</p> <p>Discussions are currently underway to amend the governance arrangements, Sandwell are fully engaged in these discussions and will ensure that they continue to afford the Council strong oversight of adoption arrangements. Once this action is complete the risk will move to green.</p>

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						The progress against the areas identified in the corporate improvement plan to be monitored via the Directorate Management Team.