

Annex 1

Proposed YPLA approach to corporate planning 2011/12

1. Introduction

- 1.1 Between now and when the EFA starts, there are just 14 months. This time-span covers a complete financial year (2011-2012) and two terms of a statutory planning year (autumn and spring).
- 1.2 Our planning needs to provide business continuity across the academic year 2011-2012, the year of transfer.
- 1.3 The planning scenario for the YPLA requires 'business as usual' to be delivered at the same time as an Education Funding Agency (EFA) is created to fund schools and other providers of education for children and young people aged 3 to 19 (25 for young people with a learning difficulty assessment). We will not know the remit of the new organisation until Autumn 2011.
- 1.4 Not all current activities will transfer to the EFA; some activities may stop, and some may transfer to other bodies. Some activities not presently undertaken by the YPLA may be undertaken by the EFA.
- 1.5 The end goal of the 'transition' is a new organisation which effectively and efficiently funds the 3-19(25) system in a form that aspires to be simpler, transparent and fair; and which delivers value for money.
- 1.6 We assume, for the purpose of planning, that the budget we control will grow whilst the proportionate overhead to the system will be expected to decrease.
- 1.7 The planning approach may need to allow scope for a period of 'shadow running' in aspects of the remit which will transfer to the new organisation.
- 1.8 We must deliver 'business as usual'.

2. The key components of planning

- 2.1 Our proposed approach to planning is set out below. It aims to build on the best of current practice and has six key components which are expanded later in this paper.

(A) An overall high level plan which objectively sets out the goals we will deliver to meet our statutory responsibilities. This contains the level 1 objectives. From this, the formal annual plan is drawn.

The high level plan covers:

- Statutory role and responsibilities
- Top level objectives – key deliverables from which milestone goals will be identified
- Spending plans – the focus for public investments relating to our objectives

(B) A delivery plan which breaks down the objectives in the overall high level plan into level 2 objectives with delivery milestones that can be measured and monitored.

There would be, say, four programmes or work-streams each with no more than 3 level 2 objectives drawn from the top level. For each objective there would be:

- Goals to be achieved
- Milestones ie important steps on the way to each goal and the activities to be undertaken to deliver the milestone goals
- Programme risks and mitigating actions – headlines at the planning stage (see also section E)
- Success measures – volume, on time, to cost, to the required quality

(C) A communications plan which defines our strategy for engagement with customers, stakeholders and partners, with the milestone required to successfully deliver our business goals.

- Stakeholder analysis
- Communications milestones – what and when
- Key communication activities – how and through what channel

The communications plan covers each ‘programme’ area and the activities within it. Linked to this is a corporate diary. The creating of the EFA will need its own communications plan.

(D) Programme management. This takes the form of monthly reports which track delivery against the milestones in the delivery plan. It identifies what has been achieved to date and what has not been achieved. It identifies forward-looking actions for the next period and the issues and risks to be managed. It sets out:

- what has been achieved to date (current period)
- what has not been achieved (current period)
- forward-looking actions for the next period which address the key issues to be managed
- key risks to be managed and progress with mitigating actions and
- a quarterly analysis of learning as part of a quarterly review.

(E) Risk management which covers the four main strands of the plan at three levels:

- Corporate – risk management to be scrutinised at executive board level
- Programme - risk management scrutinised at programme board level (including central and corporate services including provider risk)
- Delivery – progress with mitigating risks at the ‘coal face’

(F) Monitoring and reporting which involves monthly and quarterly reports on finance, performance, delivery and risk which chart our progress toward meeting our goals and define the key areas for management focus. Ultimately, this is brought together in the Annual Report. Coverage includes:

- YTD financial out-turn and year-end forecast
- System and organisational performance
- Programme delivery
- The management of corporate risks

Many of these components are in place. Largely, it is a matter of simplifying, streamlining and integrating current processes so they are less burdensome.

2.2 However, significant improvement is required in a number of respects:

- The high level annual plan must contain clear and measurable objectives

- Drawn from the high level plan must be a plan which ensures a continued and measurable focus on delivery. This delivery plan forms the basis for monthly delivery reporting and the management of risk
- Communications must feature more strongly in our planning.

2.3 We propose a conscious shift from programme reporting to monthly delivery reporting as this will better cover all of what we do. Currently, we believe that insufficient attention is given to corporate management in the plan.

2.4 Each delivery report would have a band 5 owner and be capable of being used for monthly review and objective setting by SROs.

3. Managing interdependencies

3.1 Good planning consciously manages key interfaces in the surrounding environment and is sensitive to changing influences. Our planning needs to specifically address the transfer of the management of functions delivered through shared services with the Skills Funding Agency into DfE shared services.

3.2 The wider environment we need to take account of is:

- The wider review of ALBs and the interfaces between them and the Department
- The Schools White Paper The Importance of Teaching
- The Education Bill (to provide the statutory basis for change)
- The Spending Review (determining the budget envelope and required savings)
- The James Review of capital
- Growth in the academies programme, including aspects of this which are 14-19
- The development of a National Funding Formula
- The changing role of local authorities.

4. Building on best practice and tackling key issues

4.1 The proposals in this document are designed to build on best management practice and to tackle areas of ambiguity in lines of accountability. The templates ultimately agreed will be instrumental for how we manage the organisation; not a monthly burdensome and bureaucratic exercise.

4.2 We believe we can make things simpler; more focused and better managed, especially if we have clear top level objectives, a sharp focus on what contributes to driving up performance, focused leadership and strong performance management.

4.3 A key issue is to get the key areas to be managed / 'programmes' right. In turn, this will rightly beg questions about lines of accountability. Presently, some of these are fractured or unclear. There needs to be alignment between the 'what' and 'how' of management.

4.4 The six key components above are set out in more detail in the following pages. The example we have used is funding.

5. Rationale

(A) Annual Plan 2011/12

1. Purpose

The Annual Plan sets out the objectives for the YPLA. It includes details of the spending plans for the financial year 2011-12 and the projected number of young people whose learning will be supported by YPLA (EFA) funding.

2. Background

The YPLA is required, under the Apprenticeships, Skills, Children and Learning Act 2009, to make and publish a plan for each academic year, setting out how it intends to achieve its objectives and how it proposes to use its grant funding.

3. Content

The plan sets out the key objectives for the YPLA. It is publicly available. Details of the associated milestones, outputs, target dates and success measures are provided in the Delivery Plan which is an internal document.

4. Approach

We propose six to eight measurable objectives. Ten would be an absolute maximum.

The style and outline content of the plan is agreed with the Executive Management Board and the YPLA Board. Each specific objective is identified through discussion with Peter Lauener and his strategic directors. The draft plan is considered by the DfE and YPLA Board before being signed off by the Chair and Chief Executive.

5. Issues

The ASCL Act requires the YPLA to make and publish a plan for each academic year. As the plan agreed by the YPLA Board is the authority for the YPLA's work in 2011/12, it should be published well in advance of the start of the academic year – to take up the baton from the publication of the annual report in May/June 2011. We need to decide the timeframe for the next plan and how we will manage the last term of the plan's life, after the YPLA has ceased to exist.

The Annual Plan should be embedded in the 'day-job' of the YPLA. Reference to objectives in the plan is to be made in all papers to the YPLA Board, its committees, and the main boards in the YPLA governance structure.

6. Annual plan objectives

The favoured approach is for a small number of clearly articulated objectives with associated metrics. These form level 1 objectives. The approach is designed to align SRO and Band 5 responsibilities to the plan and its goals.

Level 1 objectives would be further broken down, with associated metrics, through programmes or work-streams, each of which has its own delivery plan. These would be level 2 objectives and organised to support delivery management. For example, with allocations, level 2 objectives would specifically cover, Academies, 16-19 and Independent specialist providers. The allocations process would be YPLA wide but managed through customer facing interfaces.

The proposed focus for level 1 objectives is as follows:

(A) Service delivery

- **Allocations:** ensuring that the funding methodology is continually developed and that allocations are made accurately and on time.

This includes allocations to colleges, independent training providers and other providers (such as independent specialist providers and young offender institutions), and grant calculations for Academies.

- **Payments:** ensuring that payments are made accurately and on time.

This includes payments to providers of education and training, payments for individual learners to meet local authority requirements (LLDD), to those providing goods or services to the YPLA, and to young people receiving financial support from the YPLA.

- **Data and strategic analysis:** providing data and strategic analysis to local authorities and providers to inform their understanding of the future needs of learners and to enable comparative benchmarking.
- **Support, monitoring and intervention:** providing support to providers proportionate to need, audit and intervention where necessary to protect the interests of learners and to ensure the proper use of public funds.

(B) Leadership, governance and system change

- **Managing change:** preparing for the proposed transition from the YPLA to the Education Funding Agency
- **Effectiveness:** ensuring the effectiveness of the YPLA as an organisation in delivering its objectives.

This includes the governance of the YPLA and the management of central and shared services.

- **Simplification:** simplifying, wherever possible, all YPLA systems, to reduce the burden on providers and to deliver efficiency savings for the YPLA.

Managing the change to the Education Funding Agency will be the subject of a major planning stream.

The high level objectives need to be discussed and agreed

Spending plans for 2011-12 and projections

The tables below set out the spending plan for 2011-12 and the number of young people participating from which this is derived. Past and forecast budget and learner numbers are included to illustrate trends. This table forms the high level 'key measurables' for the YPLA.

Financial Year Funding £'000		2009-10	2010-11	2011-12	2012-13	2013-14	2014-15
A	16-18 year olds in Further Education						
B	16-18 year olds in School Sixth Forms in Maintained Schools (inc special schools)						
C	16-18 year olds in Academies and Free Schools						
D	Pre-16 year olds in Academies and Free Schools						
E	Total YPLA pre and post-16 funding (Total A to D)						
F	Apprenticeships						
G	Total core funding (E+F)						
H	Specialist provision for LLDD 16-24						
I	FE provision for LLDD 19-24						
J	Funding including LLDD(G+H+I)						
K	Youth Offender / OLASS provision						
L	Total						

May be difficult to complete for these years

Forecast numbers of young people		2009-10	2010-11	2011-12	2012-13	2013-14	2014-15
A	16-18 year olds in Further Education						
B	16-18 year olds in School Sixth Forms in Maintained Schools (inc special schools)						
C	16-18 year olds in Academies and Free Schools						
D	Pre-16 year olds in Academies and Free Schools						
E	Total YPLA pre and post-16 funding (Total A to D)						
F	Apprenticeships						
G	Total core funding (E+F)						
H	Specialist provision for LLDD 16-24						
I	FE provision for LLDD 19-24						
J	Funding including LLDD(G+H+I)						
K	Youth Offender / OLASS provision						
L	Total						

Key metrics are vital to performance delivery and management

(B) Delivery Plan 2011- 12

1. Purpose

The Delivery plan sets out the YPLA's activity between April 2011 and March 2012 and beyond. It is designed to achieve the objectives in the Annual Plan(s). It has a specific self-contained work-stream for the change to the Education Funding Agency (EFA) aligned to the DfE funding agencies sub-programme. It allows us to differentiate between 'business as usual' and change management. It breaks down the objectives in the high level plan into measurable milestones.

2. Background

The delivery plan is a working plan, below the level of the annual plan against which progress can be monitored and reviewed.

3. Content

The plan sets out agreed deliverables including: milestones drawn from the objectives in the annual plan; activities related to each milestone; target dates and risks and their mitigation. The risks are those identified at the planning stage.

Each of its level 2 objectives and attendant measures stems from a level 1 objective.

It includes success measures to ensure that activities are delivered to the required volume, on time and to budget.

It identifies the timescales for addressing key decisions.

It articulates the approach to risk, quality and change control.

4. Approach

We have taken 'programmes' to mean the main elements of the YPLA's remit and the central and corporate services needed to deliver an effective organisation.

We propose four main building blocks from April 2011 onward based on broad headings:

- (1) Academies**
- (2) 16-19 (25)**
- (3) Corporate and Central Services (including Shared Services)**
- (4) Managing the change from the YPLA to the EFA.**

We need to decide the 'programmes' through which we will work.

The programme management framework ensures that plans are developed for all stages of delivery, lead officers are assigned according to the executive scheme of delegation, milestones are realistic and activities are integrated across programmes.

A function of the programme office is to draw out interdependencies between programmes and their strands.

The programme office is responsible for monitoring progress against the delivery plan and providing monthly reports to the Executive Management Board. It is also responsible for ensuring, with the YPLA lead risk manager, synergy with the corporate approach to risk.

Delivery plan template

This is an example a plan for a level 2 objective with milestone goals, activities and target dates. This is designed to help us keep on top of delivery.

Objective: To ensure that all 16-19 institutions are funded to meet locality needs within the statutory time-frame.		
Lead accountability:	Jane Cowell?	
Goals	Milestones	Target date
1. Ensuring funding allocations are made accurately and on time	1 Agree with local authorities redistribution, infrastructure changes, gaps in provision	by end October 2011
	2 Calculate and communicate provisional provider	By end February 2010
	3 Confirm final provider allocations	by end March 2012
2. etc		
Success measures		Ambition
1. Proportion of activities delivered on time. 2. Proportion of inaccuracies in funding allocations. 3. Volume delivered. 4. Within budget. 5. No unintended consequences.		1. 100% 2. 0% 3. Numbers in annual plan 4. Yes 5. Yes
Risks		
<ul style="list-style-type: none"> • Lateness in knowledge of the funding quantum from the Department. • Delays in working out the funding formula. • Inaccuracies in calculations due to the high complexity of grant replication. • Complexities around the margins such as high need and new provision. 		
Mitigating actions		
<ul style="list-style-type: none"> • Put in place clear planning and communications between YPLA and DfE on funding. • Put in place processes and timescales for identifying funding available, volumes and key variables. • Conduct an audit of data quality and systems in preparation for the funding round and test system outputs. • Identify with stakeholders issues at the margins that need to be reflected in funding calculations. 		

These delivery plans focus on service delivery.

The process can be adapted for central business functions. For example:

Business performance	Objective: Ensuring the effectiveness of the YPLA as an organisation in delivering its objectives	Success measures: 1. Proportion of target dates achieved 2. Audit opinion 3. Business continuity plan in place and tested	Ambition: 1. 100 per cent 2. Green 3. Achieved
Goal	Milestones		Target date
1 Ensuring high-quality business performance reports are produced on time. These will inform the Executive Management Board, YPLA Board, Department for Education and, ultimately, Parliament and the public on the performance of the YPLA.	a Coordinate the production of the YPLA Annual Plan		31 May 2012
	b A monthly performance and risk report for the YPLA Executive Management Board and the Department for Education		Tenth working day of each month
	c A quarterly performance, delivery and risk report for the YPLA Audit and Risk Committee and the YPLA Board		The first YPLA Board meeting following the end of each quarter (unless that falls within 20 working days of the start of the next quarter)
	d Coordinate production of quarterly performance scorecard		Quarterly
	e Coordinate the production of the YPLA Annual Report		by end July 2012
Goal	Milestones		Target date
2 Ensuring that risk management and risk reporting is undertaken in a consistent manner and to high-quality. This will give the Chief Executive and the YPLA Board assurance that the YPLA has in place an effective and well-managed risk management system.	a Support, including offering training, risk owners and managers to ensure consistent reports to relevant committees and boards, and to ensure that decisions of those committees and boards are properly recorded		Monthly
	b Coordinate the production and completion of an annual statement on internal control		By end July 2012
	c Ensure all YPLA staff are aware of, and contribute to, risk management on a regular basis, through monthly all-staff performance slides		Monthly
Goal	Milestones		Target date
3 Ensuring the production and maintenance of a business continuity plan for the YPLA. This will give the Chief Executive assurance that the YPLA will be able to fulfil its business-critical functions in the event of a disaster.	a Ensure all premises occupied by the YPLA have in place a business continuity plan, including a telephone cascade and communications plan		April 2011
	b Test the business continuity plan for all premises occupied by the YPLA		September 2011
Risks		Mitigating actions	
1 Data/information required is not available in time		Begin process early Build in time for slippage Use most recent data/information in report and table updates	
2 Quality and consistency is not maintained/improved		Monthly review by BP team Members of BP team attend programme boards Quarterly reviews by BP team with SROs Regular reviews by internal audit	
3 Business continuity plan not fully in place, in particular where YPLA does not own the premises		Ensure that the YPLA telephone cascade and communications BCP is in place	

These delivery plans focus on whole organisational effectiveness

(C) Communications Plan 2011- 12

1. Purpose

In support of the YPLA Annual Plan business objectives, the communications plan outlines the communication activities, channels and deadlines for the period April 2011 to March 2012. A linked communication plan is to be put in place for the change to EFA.

2. Background

We are required to have a communications strategy. Underpinning this, communications plans are formed around the objectives in the annual plan and aligned to each key audience. The plan raises awareness and understanding of the mission, vision and values of the YPLA and our key business objectives as an organisation as we change from an NDPB to an Executive Agency.

Our strategy is designed support the provision of clear and usable information to the workforce in support of local management and decision making.

3. Content

Alongside the overarching communications strategy, a communications plan covers each business priority. For each of these, key activities, milestones and deadlines are set out. A corporate calendar covers the communication milestones. Linked to this is a process to determine vital messages for internal and external audiences. This includes e-communications, public relations, public and parliamentary correspondence handling and stakeholder engagement. The transition from the YPLA to the EFA is an important strand of the plan.

4. Approach

The plan is guided by the vision and direction of the Chief Executive, Chair, and his Board to meet the requirements of the remit. Delivery will link to discussions around shared services. Communications leads in each of the programme areas engage with DfE representatives to determine priorities.

The communications plan fosters approaches which are less prescriptive and bureaucratic than in the past, placing more responsibility with the front line workforce.

Monthly MI and status reports are designed to measure progress against the plan. Quarterly reviews monitor and adapt plans as appropriate.

The communications plan is signed off by the Chair and Chief Executive.

Communications and managing stakeholder relationships are crucial in times of change

Communications plan template

For each objective in the top level plan there will be a communications plan.

Each communications function such as external communications, internal communications and stakeholder management will also have a plan.

Each work programme will have a communications plan. The example below is for the allocations process.

Objective	Allocations: ensuring that funding allocations are made accurately and on time.			
Milestone	Communication Activity	Audience(s)	Channel(s)	Target date
Start of allocations' process for 2012/13	Alert local authorities and providers	Local authorities, Providers	e-bulletin; national and regional stakeholder engagement; regional events	May 2011
Local authorities advise on strategic priorities	Remind local authorities	Local authorities	e-bulletin	October 2011
Budget and key messages for 2012/13	Alert local authorities and providers	Local authorities, providers	e-bulletin; stakeholder engagement; corporate communications and targeted PR.	December 2011
Confirm volumes to be funded	Alert local authorities and providers	Local authorities, providers	Letter from regional directors	January 2012
Set national rate and finalise allocations	Alert local authorities and providers	Local authorities, providers	Letter from regional directors	March 2012
Risks				
<ul style="list-style-type: none"> • Budget and key messages announcement delayed. • Government requests changes in funding priorities. • Policy changes in transition arrangements and towards a national formula impact on 2012/13 allocations • Lack of support from partners and stakeholders for settlements 				
Mitigating actions				
<ul style="list-style-type: none"> • Inform sector through e-bulletin, corporate communications and targeted stakeholder engagement that allocations process continues on volumes only. • Immediately inform sector of changed priorities and engage where appropriate. • Link closely to transition programme. 				

Key dimensions = internal, external, stakeholder

(D) Delivery Management

1. Purpose

The YPLA's programme management framework provides a whole organisational approach for managing the delivery of our core business.

The current status of programmes/workstreams can be accessed by key managers from a 'one stop shop':

- Objectives (delivery and finance)
- Milestones
- Performance (delivery and finance)
- Risks
- Where we are in the business process cycle
- Emerging change projects

2. Background

Internal audit recommended the concept of identifying key 'projects' with staff responsible for ownership, management, assurance, and risk management. This has been introduced. Audit also recommended that we use OGC (Office for Government Commerce) methodologies for both 'Programme Management' and 'Project Management'. The OGC methodologies have many strengths that we can make use of.

3. Content

The programme management framework sets out how the system and processes for measuring delivery against objectives and milestones is monitored, measured and reported. It details the responsibilities of Senior Responsible Officers as part of our governance structure. It reflects best practice methodologies.

4. Approach

The programme management office (PMO) provides a central repository of information across all YPLA programmes to show progress against the delivery of milestones and key result areas. Information is held at whole organisational, programme and sub programme levels. The approach taken will:

- Enable each team to own the definition and reporting of milestones, activities, issues and risks.
- Ensure management information is kept up-to-date.
- Provide cross-team access to milestone and activity plans, risk registers and issues logs.
- Remove duplication of effort to measure progress against milestones.
- Support key managers in actively managing risks.

There is universal agreement for a strong focus on delivery.
It needs to keep pace with our ambitions and plans

Programme management template

This is an example of a programme report for a sub-programme. The overall status of the programme is given at the top.

FUNDING LEARNING OPPORTUNITIES FOR 16-19 YEAR OLDS	
<p>Date: 31.11.10</p>	<p>16-19 Programme</p> <div style="display: flex; align-items: center; justify-content: center;"> <div style="margin-right: 20px;"> </div> <div style="margin-right: 20px;"> <p>Trend since last Report</p> <p>Getting Better / Improving </p> <p>Getting worse </p> <p>Staying the same </p> </div> </div>
<p>Funding and Allocations</p> <p>Status: Amber/Green All areas broadly on track. Submission on overall framework with Ministers and YPLA Board. Submission on CSR settlement and savings packages with Ministers. Papers are being submitted weekly to the Technical Group and the Steering Group around the CSR and the allocations process.</p> <p>Trend: Getting Better Provided submissions are approved without further delay then all areas will remain on track for delivery within a very tight timetable.</p> <p>Headlines and progress against milestones:</p> <ul style="list-style-type: none"> • Papers on savings options submitted and agreed with DFE. Work on substantial modelling has been supplied to DFE alongside the development of Internal modelling of potential impact started (Two further options being modelled). • On 8th December, the YPLA Board and Ministers will receive a proposal on the overall allocations process, funding model and savings requirements. Papers to go to Steering Group and Technical Group are all agreed. • Data collection systems progressing to plans, although both time and budget are short. • Data store set up and operational (with ongoing development work). • Principles of in year adjustments for IPPs agreed. • F05 ILR returns received on time. <p>Issues:</p> <ul style="list-style-type: none"> • Local authorities' responsibilities within the context of strategic commissioning still need to be agreed – once agreed, these responsibilities will be included as part of the overall funding process and published as part of the statutory guidance <p>Mitigation: Paper and proposal to YPLA Board on 8 December on proposed statutory guidance. Communication strategy in place. Legal advice taken.</p> <p>Risks:</p> <ul style="list-style-type: none"> • Lagged funding may have perverse and unintended consequences for some groups of high need learners. <p>Mitigation: Research and evaluation commissioned with key action points.</p> <p>Looking forward</p> <ul style="list-style-type: none"> ▪ Papers in development and consideration Papers are being submitted weekly to the Technical Group and the Steering Group around the CSR and the allocations process. 	

This needs to be about how and what we manage – not just how we report

(E) Risk Management

1. Purpose

The purpose of the risk management framework is to ensure that relevant boards and committees are provided with reports that explain the key risks to the organisation, and that assurance is provided that risks are being well-managed.

2. Background

The YPLA Board considered and agreed the risk management framework at its first meeting in April 2010. Our approach is based on the principles set out in the HM Treasury *Orange Book*. And, we have refined our approach during the course of 2010-11.

The YPLA's corporate risk management was subject to a review by Internal Audit, which reported in December 2010 that the approach was basically sound (Amber Green), but with some room for improvement.

3. Content

Risk reports identify the:

- Senior Responsible Officer
- risk manager
- related YPLA objective
- description of the risk and its causes
- inherent likelihood and impact of the risk
- mitigating actions taken or proposed and
- residual likelihood and impact of the risk following mitigation.

4. Approach

Risks are considered on a monthly basis by programme boards and the Executive Management Board, with a report monthly to the DfE. The YPLA's Audit and Risk Management Committee and the YPLA Board consider risks on a quarterly basis.

Senior Responsible Officers are accountable to the Chief executive for the management of risk within their area of work in line with delegated responsibilities.

The role of the risk manager is to ensure that mitigating actions take place, and to report their impact.

The Business Performance team are responsible for the risk management framework, the production of monthly and quarterly reports and for supporting risk managers in their work. The team is also responsible for ensuring consistency in managing risk across the YPLA. It provides training for staff involved in risk management.

Risk requires increased focus at times of change, especially when there are new policies and reduced budgets

Risk reporting template

This is an example of the risk reporting template.

SRO: Rob Wye		
Risk Heading: Final allocations to providers by March 2011	Risk Manager: Jane Cowell	Updated: 26 October 2010
Related YPLA objective: This relates to the Spending Review that will determine the funds for participation available for 2011/12 and beyond (Annual Plan, paragraph 31)		
Risk description and Causes: Any delay to the release of budgets from the CSR, policy decisions and/or the communication on the priorities and how the funding approach will work (including the release of the guidance), will seriously jeopardise the allocations timeline.		
Inherent Impact: High		Inherent Likelihood: High
Mitigating Actions:		
<ul style="list-style-type: none"> • Expect to know CSR package by 5 November. There are meetings planned with the Steering Group and the Technical Group to take this work forward. • Delays to agreement on how savings will be made -- Options on savings have been submitted to the Department and Treasury for further consideration • Delays to agreement of how communications will take place e.g. Ministerial priorities and any form of SoPs – Paper to SoPs Steering Group in November. • Work through Allocations Task and Finish Group to ensure all aspects of the allocations process are in place (with flexibility to react to policies once known). Work ongoing to produce a 11/12 guide to allocations which is independent of the NCF replacement . 		
Residual Impact: High		Residual Likelihood: High
Previous assessment: Amber/Red	Current assessment: Amber/Red	Direction of travel: Same ↔

We need to:
 Differentiate between issues and risks
 Define risks clearly
 Put in place and deliver mitigating actions
 Report progress with a focus on improvement.

(F) Monitoring and reporting

1. Purpose

Our monthly and quarterly monitoring measures progress in meeting our goals. Information is made available to boards, committees and the DfE (including the quarterly Ministerial review). Monthly Finance and Performance reports and programme reports are provided to EMB. Quarterly reports are provided to the YPLA Board and the Audit and Risk Committee. The scorecard will be revised for April. The monitoring of progress is brought together in the year-end Annual Report.

2. Background

The YPLA Board agreed the approach to performance reporting and risk management at its first meeting in April. The approach was revised in August to take account of changes in programme management, feedback from a readiness review undertaken by the YPLA internal audit team and the revised YPLA remit.

3. Content

Our monthly and quarterly reports provide information on finance, performance, delivery and risk. They chart our progress toward meeting our objectives and define the key areas for management focus. The reports cover:

- YTD financial out-turn and year-end forecast.
- System and organisational performance.
- Programme delivery.
- The management of corporate risks.

A scorecard is produced at the end of each quarter, which provides performance metrics over time. The performance measures used in the scorecard need to be embedded in our planning and success measures. Internal audit produce reports which evaluate the effectiveness of and compliance with internal controls.

At year-end, the Annual Report brings all of this information together in a public document setting out the YPLA's performance for the year. We also produce a statement on internal control.

4. Approach

The reports are firmly rooted in the Annual Plan and Delivery Plan, with details of:

- Milestones achieved since the previous report.
- Milestones which have, or are expected to, slip, with the reasons for slippage.
- Changes to the Annual Plan or Delivery Plan, with reasons for those changes.
- Risks and the mitigation of risks, clearly identifying which of the objectives in the Annual Plan are at risk.

We can streamline this more, create better management focus and enhance accountability