

# Early identification – effective practice guidance



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*Better outcomes for young people*

**Early  
identification**



This document is in support  
of Section 2 of the *Youth  
engagement and progression  
framework*

# Early identification – effective practice guidance

**Audience** This document is primarily for local authority use. However, in the context of the *Youth engagement and progression framework* it is relevant for everyone working in the education and training system supporting young people to engage and progress in education and training including Careers Wales, for those working in the youth service and education and training providers (schools, further education colleges, work-based learning).

**Overview** This document is in support of the *Youth engagement and progression framework*. It provides further information to partners, particularly local authorities, as they develop an early identification system as part of the framework.

**Action required** The framework sets expectation that all local authorities will develop an early identification system. The early identification strand should be one of the first priorities and should be implemented as early as possible but by September 2014 at the latest. A plan for implementing this strand should be in place by March 2014.

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**Additional copies** This document can be accessed from the Welsh Government's website at [www.wales.gov.uk/educationandskills](http://www.wales.gov.uk/educationandskills)

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## Context

This guidance supports 'Section 2: Early identification' of the *Youth engagement and progression framework – Implementation plan* published by the Deputy Minister for Skills and Technology on 1 October 2013.

<http://wales.gov.uk/topics/educationandskills/skillsandtraining/youthengagement/?lang=en>

Local authorities (LAs) are responsible for implementing the *Youth engagement and progression framework* within the two year implementation period. It is acknowledged that across Wales different LAs are at different stages in their development of the *Youth engagement and progression framework*.

It is recognised that some LAs already have early identification systems developed or in development. This guidance is primarily aimed at those LAs who have yet to develop an early identification system.

It is recognised that across Wales early identification systems will not be standardised. However, this guidance indicates a Welsh Government expectation that the key indicators of attendance, behaviour and attainment play a central role in all early identification systems going forward. This builds directly on the evidence provided in *Identifying Young People at Risk of becoming 'Not in Employment, Education or Training'* Welsh Government research paper 60/2013, which can be found at

<http://wales.gov.uk/statistics-and-research/identifying-young-people-risk-becoming-not-education-employment-training/?lang=en>

A two-year implementation phase has been established for the *Youth engagement and progression framework*. It is recognised that during this period our evidence base on effective practice will develop. It is anticipated that this guidance will therefore be revised and updated based on the experience and input of partners during the implementation phase. As practitioner expertise grows we expect that, across Wales, there will be greater consistency in the operation of early identification systems.

## Section 1: Objectives

All LAs are expected to establish plans for the operation of an early identification system by March 2014 to allow full implementation by September 2014.

The principal objective of the early identification system strand is to ensure LAs are positioned to accurately and systematically identify those young people at greatest risk of disengaging from education, employment and training.

Pre-16 the early identification system should also be used by the Engagement and Progression Coordinator (EPC) as they broker dialogue with partners and seek to coordinate support and interventions to minimise the ongoing risk of disengagement. Further information on the EPC role is provided in the *Youth engagement and progression framework*.

Systematic early identification will support partners as they seek to ensure that the correct support and interventions are in place around young people to build their resilience and capacity to progress successfully. It is intended that the early identification system help identify young people at risk of disengaging in advance of them reaching the point of post-16 transition.

It is intended that an effective early identification system will help partners develop more coordinated and effective interventions. The EPC role, as described in the *Youth engagement and progression framework*, provides a focus for these discussions.

The *Youth engagement and progression framework* sets out the baseline requirements for LAs' early identification systems as follows.

- The use of a common set of core indicators: attendance, behaviour and attainment as a minimum.
- The system to be data-led to include Key Stage 4 initially – with Key Stage 3 included at the earliest opportunity, expected to be no later than end of 2016.
- Practitioner input: the data-led system can only flag a cohort at 'risk'. It will be the practitioner input which will then allow that data to be sense checked and allow appropriate provision to be agreed.
- Prioritised assessment of risk: using this systematic data-led process combined with practitioner input must allow the cohort at risk to be further prioritised, allowing provision, especially the lead worker role, to be directed.
- Accountability: identification of the roles and responsibility of all involved in the system.

It is expected that the EPC role will be fulfilled by an individual based within the LA or recruited into the LA. This will enable the postholder to manage the early identification system and provide strategic leadership to the dialogue between partners. We believe that it is essential the EPC is able to use the outputs of the early identification system to coordinate partnership working in support of young people.

It is important that implementation of the early identification strand of the *Youth engagement and progression framework* is aligned with the wider implementation plans for the framework being coordinated by LAs.

## **Section 2: Developing an early identification system**

Several recurring themes and practices have been identified from existing activity on early identification across Wales. Building from this, we believe that developing an early identification system can be considered in terms of three key stages.

### **Stage 1 – Stakeholder communication**

The implementation of the *Youth engagement and progression framework* and especially the early identification and tracking strands require significant stakeholder buy-in and joined-up working.

Those LAs who have successfully implemented or who are on course to implement an early identification system have all established some form of strategic/stakeholder steering group which brings together key partners.

Local authorities who have established group meetings as the primary stakeholder communication channel have used this forum to progress discussions on topics such as data-sharing agreements, refining their indicators/thresholds, and caseload management. Further information on the potential membership and terms of reference of such as group is provided at Annex A (page 22).

Establishing a strategic/stakeholder group has been highlighted by some LAs as the key means through which the wider stakeholder engagement necessary to ensure those in Education Other than at School (EOTAS) are captured within an early identification system.

### **Stage 2 – A data-driven process**

Early identification should start with a data-driven assessment, based on the indicators agreed by LAs and supported by partners. Establishing a data-led system will allow a systematic approach to be created to identify all those young people who fall within the parameters defined by a LA. This data can then be assessed by practitioners from a range of organisations to provide the necessary 'sense check', to introduce additional understanding not captured by a data-led model, and to support discussions on the prioritisation and most appropriate provision.

We believe that robust early identification systems can be built from data already available to partners. The minimum expectation is that LAs use PLASC data on attainment, attendance and behaviour as a starting point for identifying those at greatest risk of becoming NEET.

Careers Wales are able to offer all LAs a data set which identifies those young people who are aged 16 and 17 (as of the 31 August) who are at risk of failing to make a successful transition.

This dataset is based on Careers Wales own system for targeting careers information and guidance services. While local partners may wish to develop their own systems, we believe that the data provided by Careers Wales can be used by LAs as a starting point.

We expect the person fulfilling the EPC role to be the main contact point for the early identification system, using and managing the agreed communication channels to ensure appropriate data sharing agreements are in place, where required, to facilitate LAs to establish and maintain an early identification system.

To assist LAs in establishing data sharing agreements a template for data-sharing protocols can be found at Annex B (page 24).

In respect of collecting data from schools, LAs should familiarise themselves with the information provided by the Welsh Government detailing roles and responsibilities. This information can be accessed via <http://wales.gov.uk/topics/educationandskills/schoolhome/schooldata/ims/datamanagementims/?lang=en>

As detailed in the supporting material (referenced above), all schools have an obligation to issue a privacy notice to every learner in the school to confirm what data is collected, how it is used and with whom the data will be shared. A template privacy notice is available via the link and also attached at Annex C (page 26). The privacy notice template can be amended to meet local conditions but it must be recognised that the notes within the documentation are intended for information purposes only and should not be assumed to cover all aspects of the Data Protection Act 1998. Further contact details are provided via the web link should LAs have further queries in respect of the Data Protection Act 1998.

## **Indicators and thresholds**

Research suggests that attendance, behaviour and attainment are the most powerful indicators of disengagement. As such we expect these three indicators to be at the heart of the early identification system developed by each LA.

Critically, we believe that leaving prediction to later years has only a marginal effect on the accuracy of prediction. Therefore, it is justifiable to trade-off some prediction accuracy in return for identifying those at risk of disengagement and becoming NEET at an earlier age.

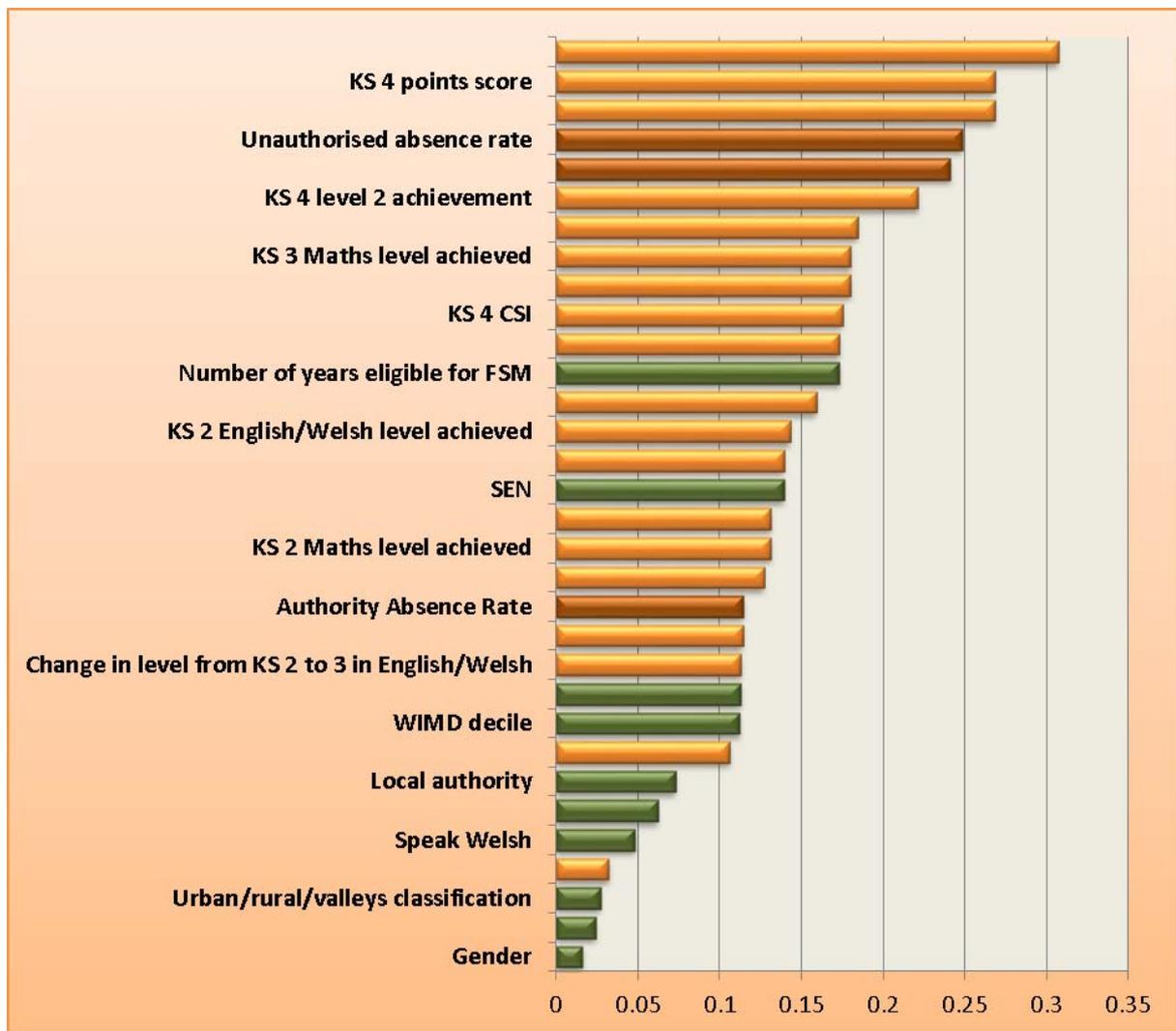
In Wales, research by the Welsh Assembly Government (2009) shows that young people who are NEET are likely to have a history of being absent from school, with a persistent truancy rate of 15.4 per cent for the NEET group compared to 3.3 per cent for the cohort as a whole. The significance of behavioural variables, such as attainment and attendance, is that they can be changed, and so by using them to identify those at risk of becoming NEET there is an opportunity for parents/carers and teachers to intervene and prevent it from actually happening.

Using demographic variables to identify those at risk of becoming NEET may result in the idea that nothing can be done to prevent it, since the majority of demographic variables cannot be changed. Furthermore, while demographic characteristics can be used to identify individuals at risk of becoming NEET by examining how over-represented certain demographic groups are within the NEET group, this can result in over-targeting. This could lead to individuals who do not go on to be NEET being flagged, despite them being within a group identified as being at risk (i.e. eligibility for free school meals). This can have several outcomes: that the problem is seen by schools as too large to address, that schools feel powerless as they will be unable to alter certain demographic characteristics, or that some learners are wrongly identified and unnecessarily 'treated'.

In parallel with the publication of the *Youth engagement and progression framework*, Welsh Government published *Identifying Young People at Risk of becoming 'Not in Employment, Education or Training'* (Welsh Government, 2013). Evidence provided in this report (and reproduced below) identifies how certain variables have a stronger association with future NEET status than others (see Figure 1 on page 8).

Welsh Government would expect LAs to reflect the evidence it provides in the development of their own systems.

**Figure 1: Strength of association between being NEET and variables sorted by strength of association – Phi /Cramer V** Demographic Attendance Attainment



Extract from page 29 of *Identifying Young People at Risk of becoming 'Not in Education, Employment or Training'*

<http://wales.gov.uk/statistics-and-research/identifying-young-people-risk-becoming-not-education-employment-training/?lang=en>

### Case study: Data-driven process

In Swansea the 'Vulnerability Assessment Profile' uses a weighting system of learner characteristics reported in PLASC data. The Swansea model draws on:

- attendance and unauthorised absence
- fixed-term exclusions (number and days lost for the last 12 months)
- SEN/ALN, i.e. Statemented, School Action Plus, School Action
- reading: standard age scores for Years 2 and 7

- free school meals
- looked after children
- English as Additional Language
- school moves in the last two years.

### **The Pupil Level Annual School Census (PLASC)**

All schools collect and hold a wealth of data on their learners. A key driver for this is the Pupil Level Annual School Census (PLASC) which takes place in January each year and requires all maintained schools to provide the Welsh Government with both learner and school-level data.

Analysis of the data from PLASC, in conjunction with learners' attendance, key stage and examination results, provide schools, LAs and central agencies with a range of information. This supports the drive to raise standards, the more accurate targeting of funding, and the tracking and monitoring of pupil progress and engagement with education.

### **Attendance**

A young person with a poor attendance record is more likely to disengage and become NEET. Failure to attend leads to loss of continuity in learning, reduces the likelihood of attainment, and makes pastoral support harder to deliver.

In addition to PLASC, schools are required to record daily attendance data for each learner on roll. This data is captured and reported as part of the school's Management Information System (MIS).

In advance of practitioner input it is necessary to establish some threshold or thresholds for attendance. Points may be ascribed to learners within different threshold groups as part of an overall assessment model.

While each LA area will need to agree how it manages and works with thresholds, evidence indicates that (as would be expected) the risk of being in the NEET group increases quite dramatically as attendance falls from 90 per cent to 50 per cent. An examination of attendance data shows that those with an attendance rate of 50–59 per cent are more than 15 times more likely to become NEET than those with attendance of more than 90 per cent. Those with attendance between 70–79 per cent are around four times more likely to be at risk of becoming NEET. For this reason we would advise that where LAs develop a composite scoring-based approach, consideration is given to associating a higher score to those with lower attendance rates.

Where only one threshold is being identified we would expect LAs to be flagging any individual with attendance below 80 per cent, as the likelihood of being in the NEET group rises considerably below this point.

Figure 2 below identifies six groupings based on attendance rates against the relative risk of young people in these groups becoming NEET. This evidence illustrates the potential impact of selecting different thresholds and can provide a basis for discussion among partners as to how best to identify thresholds and/or scoring within an early identification system.

**Figure 2: Six groupings based on attendance rates against the relative risk of young people in these groups becoming NEET**

Attendance group	Attendance rate (x)	Relative risk of being in NEET group
0	90 < x <= 100 %	
1	80 < x <= 90 %	For Group 1 compared to Group 0 = 1.756
2	70 < x <= 80 %	For Group 2 compared to Group 0 = 4.380
3	60 < x <= 70 %	For Group 3 compared to Group 0 = 7.570
4	50 < x <= 60 %	For Group 4 compared to Group 0 = 11.107
5	x <= 50 %	For Group 5 compared to Group 0 = 15.471

*Identifying Young People at Risk of becoming 'Not in Education, Employment or Training'*  
<http://wales.gov.uk/statistics-and-research/identifying-young-people-risk-becoming-not-education-employment-training/?lang=en>

Looking at unauthorised absence rates we can see from Figure 3 that the relative risk of being in the NEET group for those in Group 3 is nearly 11 times greater than those in Group 0.

**Figure 3: Four groupings based on attendance rates against the relative risk of young people in these groups becoming NEET**

Unauthorised absence group	Unauthorised absence rate (y)	Relative risk of being in NEET group
0	y <= 10 %	
1	10 < y <= 20 %	For Group 1 compared to Group 0 = 4.723
2	20 < y <= 30 %	For Group 2 compared to Group 0 = 7.909
3	y > 30 %	For Group 3 compared to Group 0 = 10.944

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In determining an approach to attendance within an early identification system, LAs will need to consider their approach to young people who are EOTAS as those outside the mainstream school system (such as in pupil referral units).

Local authorities will also need to determine whether they use unauthorised absence, authorised absence, or data on both within early identification systems.

### **Behaviour**

It is necessary to identify proxy data for behaviour. Exclusions data is most commonly used for this purpose. While LAs may consider using thresholds in respect of exclusion, such as the number of episodes, length and reason for exclusion, it may be appropriate to identify all young people subject to exclusions within the early identification system in an equal way. Further research and evidence from the practice of early identification systems over time may help to refine the guidance in this area in the future.

An alternative proxy may be derived by identifying those young people with behavioural special educational needs (SEN).

As with attendance, we would expect LAs to draw on practitioner input from a range of partners to refine the outcomes of any data-led process.

In determining the measures and any thresholds set for behaviour, LAs are asked to consider how they handle data and evidence for those EOTAS.

### **Attainment**

There is a strong relationship between low attainment and the risk of becoming NEET. Just over half of those who are NEET have attainment in the lowest decile (based on the core subject indicator at Key Stage 4). Those who achieve in the fifth decile (based on Key Stage 4 data) are over nine times more likely to become NEET compared to those in the 9<sup>th</sup> or 10<sup>th</sup> deciles. This figure rises to nearly 120 times more likely for those in the 10<sup>th</sup> decile (see Figure 4 on page 12).

Based on data from recent years we know that in Wales 39.2 per cent of the NEET group did not achieve Level 1 at Key Stage 4, compared to 4.7 per cent of the non-NEET group. Similar results were seen for Level 2 achievement (80.5 per cent of the NEET group did not achieve Level 2 compared to 27.9 per cent of the non-NEET group). The relative risk of being in the NEET group for someone not achieving Level 2 is almost 10 times that of someone achieving Level 2.

**Figure 4: Key Stage 4 data – Average wider points score**

KS4 points decile	KS4 points score (z)	Relative risk of being in NEET group
1	$z \leq 198.8$	For 1 <sup>st</sup> decile compared to 9 <sup>th</sup> and 10 <sup>th*</sup> = 117.725
2	$198.8 < z \leq 302.0$	For 2 <sup>nd</sup> decile compared to 9 <sup>th</sup> and 10 <sup>th*</sup> = 43.311
3	$302.0 < z \leq 366.0$	For 3 <sup>rd</sup> decile compared to 9 <sup>th</sup> and 10 <sup>th*</sup> = 21.165
4	$366.0 < z \leq 409.0$	For 4 <sup>th</sup> decile compared to 9 <sup>th</sup> and 10 <sup>th*</sup> = 12.132
5	$409.0 < z \leq 447.0$	For 5 <sup>th</sup> decile compared to 9 <sup>th</sup> and 10 <sup>th*</sup> = 9.329
6	$447.0 < z \leq 484.8$	For 6 <sup>th</sup> decile compared to 9 <sup>th</sup> and 10 <sup>th*</sup> = 6.786
7	$484.8 < z \leq 526.0$	For 7 <sup>th</sup> decile compared to 9 <sup>th</sup> and 10 <sup>th*</sup> = 3.578
8	$526.0 < z \leq 575.8$	For 8 <sup>th</sup> decile compared to 9 <sup>th</sup> and 10 <sup>th*</sup> = 4.068
9	$578.8 < z \leq 649.5$	
10	$z > 645.5$	

*Identifying Young People at Risk of becoming ‘Not in Education, Employment or Training’*  
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The Key Stage 4 data set will not be available for those young people who are of concern within the early identification system pre-16. Evidence shows that there is value in looking at Key Stage 3 and Key Stage 2 results. The risk of being in the NEET group (post-16) for someone not achieving the core subject indicators (CSI) at Key Stage 3 is almost five times that of someone achieving the CSI at the end of Key Stage 3.

Care is required when exploring the use of Key Stage 3 data. For example, just over a third of the NEET group achieve the expected level or above. Figure 5 shows that the relative risk of being in the NEET group for those achieving Levels 1 and 2 in English/Welsh at Key Stage 3 is 13 times greater than those achieving Levels 6–8. This figure drops to just three times greater for those achieving Level 5.

**Figure 5: Relative risk of being in the NEET group for those achieving Levels 6 and 8 in English/Welsh at Key Stage 3**

Key Stage 3 English/Welsh	
Relative risk of being in the NEET group	
For Levels 1–2 compared with Levels 6–8	13.261
For Level 3 compared with Levels 6–8	12.368
For Levels 4 compared with Levels 6–8	8.660
For Levels 5 compared with Levels 6–8	3.178

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Figure 6 tells a very similar story with respect to results in mathematics at Key Stage 3 with those achieving Levels 1–2 being nearly 12 times more likely to be in the NEET group compared to those achieving Levels 6–8.

**Figure 6: Relative risk of being in the NEET group for those achieving Levels 1 and 2 in mathematics at Key Stage 3**

Key Stage 3 mathematics	
Relative risk of being in the NEET group	
For Levels 1–2 compared with Levels 6–8	<b>11.972</b>
For Level 3 compared with Levels 6–8	<b>10.437</b>
For Levels 4 compared with Levels 6–8	<b>6.953</b>
For Levels 5 compared with Levels 6–8	<b>3.022</b>

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Where LAs do not elect to utilise CSI data, other data on attainment may be considered. However, LAs should consider the strength of evidence supporting the use of alternative indicators.

When developing an early identification system LAs may wish to give consideration to how they reflect unanticipated changes in attainment (differences between trajectories across key stages) in their early identification systems.

Further information on the accuracy of school-based indicators and demographic characteristics in predicting learners at risk of becoming NEET across key stages is set out in full in *Identifying Young People at Risk of becoming ‘Not in Employment, Education or Training’* (an extract from which is provided below:  
<http://wales.gov.uk/statistics-and-research/identifying-young-people-risk-becoming-not-education-employment-training/?lang=en>)

**Figure 7: Accuracy of school-based indicators and demographic characteristics in predicting learners at risk of becoming NEET across key stages**

Model code	Variables used	% NEET young people identified	% non-NEET young people identified
A1	Key Stage 2 attainment and attendance	63.0	78.0
A2	Key Stage 2 attainment, attendance and demographic characteristics	68.2	78.7
B1	Key Stage 3 attainment and attendance	72.9	75.1
B2	Key Stage 3 attainment, attendance and demographic characteristics	72.3	76.7
C1	Key Stages 2 and 3 attainment and attendance	73.2	74.9
C2	Key Stages 2 and 3 attainment, attendance and demographic characteristics	73.5	75.9
D1	Key Stage 4 attainment and attendance	78.2	78.8
D2	Key Stage 4 attainment, attendance and demographic characteristics	79.0	79.1
E1	Key Stages 2, 3 and 4 attainment and attendance	79.9	78.5
E2	Key Stages 2, 3 and 4 attainment, attendance and demographic characteristics	79.3	79.0

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## Indicators

A data-driven assessment of a young person's risk status can form the starting point for practitioner input. When it comes to identifying which 'at risk' young people might benefit most from certain interventions (including allocation of a lead worker), practitioner input is the means through which broader understandings about young people and their circumstances can be factored into the support-planning process.

## Stage 3 – Practitioner input

While an early identification system begins with a data-driven model, it is essential that practitioner input plays a full and formalised role within the system.

Practitioner input will:

- provide input and assessment on the reasons why an individual has been flagged
- test and help refine the prioritisation of need
- support dialogue and consideration of what, if any, provision is required

- help confirm the most appropriate organisations to provide targeted support (or which organisation is to provide the 'lead worker' support)
- add to the information available on the individual which has been flagged to allow a complete picture of circumstances to be available.

Practitioner input is essential to ensure that the initial cohort flagged by the data-driven process is accurate and appropriate, given that PLASC data is only available annually. Practitioner input should also ensure that up-to-date information on young people in need of support is introduced into the early identification system.

We expect arrangements for practitioner input to be an integral part of LAs' plans for early identification implementation. While not prescriptive, LAs may consider seeking practitioner input from the following: schools, local training providers, Careers Wales, related departments within a LA such as Children's Services and Community Services, Communities First, Job Centre Plus, Youth Offending Team, the Probation Service, and health practitioners.

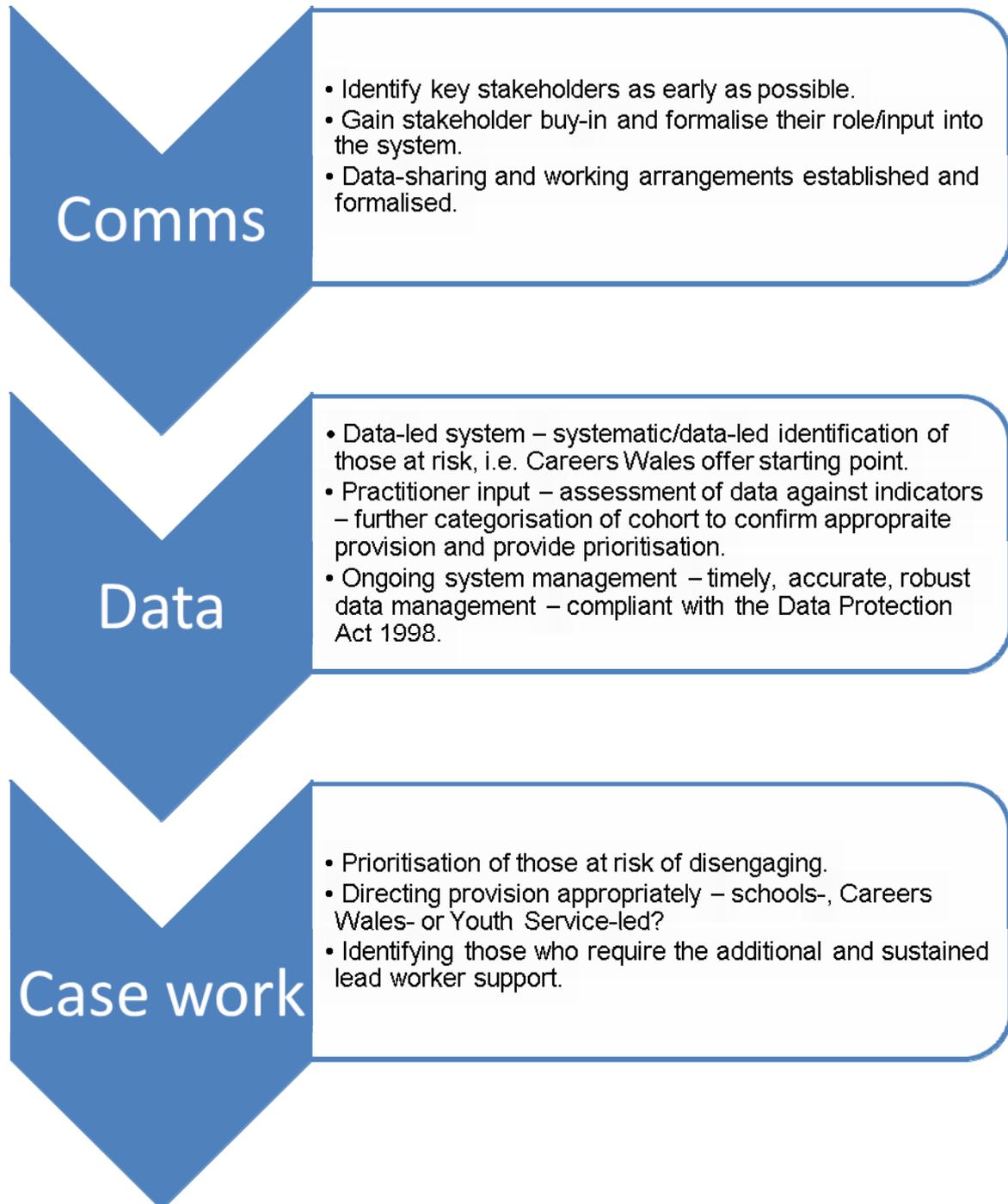
### Section 3: Identified challenges and options to explore

Establishing an early identification system brings multiple challenges and issues. Recognising these challenges from the outset will help LAs develop their proposals. Drawing from the experience of some LAs who have already begun operating early identification systems, the following section identifies the issues and potential responses.

Challenge	Options
<p>Gaining access to learner data from schools to feed into the early identification system.</p>	<ul style="list-style-type: none"> <li>➤ Communicate with school headteachers to confirm what data is required, why and how you will use it. The advice provided within Section 2 of this guidance, i.e. roles and responsibilities confirmed within the Data Protection Act 1998, has also helped some LAs to overcome data protection concerns.</li> <li>➤ With those LAs who already operate an established early identification system they have noted at times a number of communication channels have been used to engage with stakeholders to allow them to progress (i.e. written requests, one-to-one meetings and facilitating stakeholder forums).</li> </ul>
<p>Ensuring that additional indicators (in addition to the core indicators) and their use (thresholds and weighting) are set appropriately to identify those at risk.</p>	<ul style="list-style-type: none"> <li>➤ The agreed communication channel (as set out in Section 1) has worked well in some areas as a sounding board, allowing initial thinking to be refined and tested against the groups' expertise. A period of testing and refinement has also been identified as key by some LAs to provide an evidence base and confidence in the system.</li> <li>➤ Those LAs with more advanced early identification systems have noted that they used a period of refinement. It may be useful to test run the initial version of your system to allow a sample of the results to be given</li> <li>➤ in-depth evaluation. An agreed communication channel with key</li> </ul>

	<p>stakeholders has been a recurring tool used to facilitate this ‘testing’ period. During this testing period the primary question LAs would want to answer is ‘Does the sample identified via the systematic/data-led system align with the practitioners’ expectations?’</p>
<p>Gain stakeholder buy-in into the early identification system.</p>	<ul style="list-style-type: none"> <li>➤ Utilise the EPC role to coordinate early communication with key stakeholders. Establishing strong links with key stakeholders, setting the objectives of the system including how the stakeholders will input into the system has been noted as key.</li> <li>➤ Confirming what stakeholders themselves will gain out of the system, i.e. more robust information on young people to assist them in their roles has been noted as assisting discussions.</li> </ul>

## Section 4: Outline of key steps in the development of an early identification system



## **Section 5: Checklist for an early identification system**

### **1. Appointment of an Engagement and Progression Coordinator (EPC)**

This role is essential. It is expected that the EPC role will have the responsibility of taking forward the *Youth engagement and progression framework* – the early identification system being the first strand required.

### **2. Establish a stakeholder engagement communication channels**

It is expected that some form of strategic/stakeholder working group consisting of all key stakeholders will need to be created to feed into the LAs' development and implementation of the early identification system. It is expected the attendee list would include:

- local authority-related departments – EPC and LW representation
- schools
- children's services
- community services
- Communities First
- Careers Wales
- Job Centre Plus
- Youth Offending Service
- Probation Service
- health services
- local universities, training providers (national training federation for Wales) and voluntary sector providers.

### **3. Data-sharing protocols to be established with key stakeholders**

The early identification system should be data-led. It will be essential that the appropriate agreements are in place to allow the sharing of data and create a comprehensive robust early identification system.

One of the initial steps must be for LAs to respond to the Careers Wales offer of data and confirm a point of contact (EPC).

#### **4. Agree on risk indicators and thresholds**

It is expected that these indicators (the confirmed core and additional indicators aligned to area-specific needs) and thresholds can be refined by the LA's stakeholder network (steering group). It is also expected that LAs will want to plan-in testing and piloting of the early identification system to ensure the system is able to prioritise and direct provision accurately.

#### **5. Agree how practitioner input will be systematically mainstreamed into the data-driven early identification system**

The data-driven early identification system will require a practitioner input/sense-checking process in place. This process will ultimately need to assess all known reasons (softer indicators) behind the data which identifies a young person 'at risk'. This assessment will need to feed into the overall case review which will identify the appropriate level and type of provision.

#### **6. Review**

The LAs will want to have an established evaluation and review process agreed. This should confirm LAs expectations, what they consider success to look like and how this system will be maintained once live (from September 2014 – the implementation deadline). The review plan should be available along with the initial plans for an early identification system by March 2014.

## References

*Identifying Young People at Risk of becoming 'Not in Education, Employment or Training' 60/2013*

<http://wales.gov.uk/statistics-and-research/identifying-young-people-risk-becoming-not-education-employment-training/?lang=en>

*Reducing the proportion of young people not in education, employment or training in Wales: delivering skills that work for Wales.* Swansea (Welsh Assembly Government, 2009)

*Reducing the proportion of young people not in education, employment or training in Wales: delivering skills that work for Wales* (Welsh Assembly Government, 2009)

<http://wales.gov.uk/topics/educationandskills/publications/guidance/reducingneet/?lang=en>

*Youth engagement and progression framework – Implementation plan* (published 1 October 2013)

<http://wales.gov.uk/topics/educationandskills/skillsandtraining/youthengagement/?lang=en>

## **Annex A: Strategic group terms of reference template**

### **Supporting Engagement in Education, Employment and Training (SEET) Strategic Steering Group**

**A terms of reference should include the following.**

#### **Roles and responsibilities**

The below should be considered as potential roles and responsibilities.

1. To monitor and review the implementation of and delivery against the actions within the Local Authority Supporting Engagement in Education, Employment and Training (SEET) Strategy.
2. To advocate 'The right systems, right support, right provision' approach to multi-agency working within each sector agency and service area.
3. To be the central reference group to oversee the development and review of SEET provision in conjunction with the local authority for young people aged 14 to 25.
4. To utilise available data effectively to plan, monitor and review actions within the strategy in order to measure the impact of the strategy.
5. To contribute to relevant service evaluations.
6. To ensure that meaningful consultation and participation of children, young people and their families, as well as relevant stakeholders, takes place and informs the development and implementation of the local authority SEET strategy.
7. To provide direction and guidance to agencies and staff, where appropriate, to integrate their mode of working with the agreed post-16 five-tier approach to service provision and support and established early identification mechanisms as set out in the local authority SEET strategy.
8. To provide and disseminate relevant information to and from individual service areas and agencies to identify and close gaps in service provision and reduce duplication.
9. To provide and maintain a formal link between the SEET Steering Group and the Youth Support Services Steering Group in supporting a coordinated approach to the provision of services.
10. To provide and maintain a formal link between the SEET Steering Group and the ACL Partnership in supporting a coordinated approach to the provision of services.

11. To promote the agreed strategic approach to ensure effective delivery of SEET-related services to children, young people and their families.
12. To contribute to the development and implementation of related supporting strategies and initiatives. Local authority could specify.
13. Detail of reporting requirements.

## **Membership**

The membership of the SEET Steering Group, and its task and finish groups, should be reviewed and agreed by the local authority. As the local authority implements the framework additional members may be highlighted.

A suggested list is included below.

- Local authority related departments – EPC and LW representation.
- Schools.
- Children’s services.
- Community services.
- Communities First.
- Careers Wales.
- Job Centre Plus.
- Youth Offending Service.
- Probation Service.
- Health services.
- Local universities, training providers (national training federation for Wales) and voluntary sector providers.

All members of the SEET Steering Group, and associated task and finish groups, should be committed to supporting the stipulated aims and objectives of the local authority implementation of the framework (either through a SEET Strategy or whatever approach adopted by that local authority).

## **Meetings**

**\*\*Confirm how regular the group will meet\*\*.**

In the initial implementation phase it would be suggested local authorities will want to hold group meetings at least quarterly with additional meetings as required to agree development decisions such as setting the risk indicators and thresholds and establishing working data-sharing agreements.

## **Annex B: Data-sharing agreement template**

### **Template to formalise data-sharing agreements between local authorities and key agencies**

#### **1. Terms and conditions**

This agreement is made between **\*\*AGENCY\*\*** and **\*\* local authority** and will run from **\*\*DATE\*\*** until **\*\*DATE\*\***.

#### **2. Purpose of agreement**

**\*\*Here the local authority will want to detail exactly what data they require from the agency and by when. Local authorities should also confirm how they will be using the data\*\***.

**\*\*If the local authority and/or agency require that the agreement is made between a particular member of staff, Welsh Government would suggest the Engagement and Progression Coordinator (EPC) or a technical lead who is working with/for the EPC\*\***.

#### **3. Statutory liability**

**\*\*Local authorities will need to ensure compliance with the agencies and national data protection laws – ultimately this section will need to reassure the agency that the data will be used only for the purpose it has been requested\*\***.

#### **4. Confidentiality**

**\*\*As above\*\*** Sections such as these can alleviate concerns of data misuse

#### **5. Data protection/computer access**

**\*\*In this section local authorities should confirm what data they require access to – the level and how they intend to use that data. Compliance with data protection legal requirements should also be confirmed\*\***.

#### **6. Child protection**

**\*\*Due to the nature of the data required, compliance with child protection requirements should be confirmed\*\***.

## 7. Termination of agreement

\*\*Termination of agreement arrangements should be confirmed – detailing the rights of both parties\*\*.

## 8. Validation

\*\*Signed agreements are suggested to allow accountability\*\*.

Signed for on behalf of organisation:	Signed for on behalf of LA:
<b>Signature:</b>	<b>Signature:</b>
<b>Name:</b>	<b>Name:</b>
<b>Job title:</b>	<b>Job title:</b>
<b>Date:</b>	<b>Date:</b>

## **Annex C: Privacy notice template**

### **What the school/early years provider, local authority and Welsh Government does with the educational information they hold on children and young people**

#### **Subject**

To meet the requirements of the Data Protection Act 1998, schools are required to issue a privacy notice to children and young people and/or parents and guardians summarising the information held on record about children and young people, why it is held, and the third parties to whom it may be passed.

This privacy notice provides information about the collection and processing of children's or young people's personal and performance information by the Welsh Government, **XXXXX** local authority (LA) and **XXXXX** school/early years provider.

#### **The collection of personal information**

The school/early years provider collects information about children and young people and their parents or legal guardians when children and young people enrol at the school/early years provider. The school/early years provider also collects information at other key times during the school year and may receive information from other schools/early years providers when children and young people transfer.

The **school/early years provider** processes the information it collects to administer the education it provides to children and young people. For example:

- the provision of educational services to individuals
- monitoring and reporting on learners'/children's educational progress
- the provision of welfare, pastoral care and health services
- the giving of support and guidance to children and young people, their parents and legal guardians
- the organisation of educational events and trips
- the planning and management of the school.

#### **Welsh Government and local authority (LA)**

The Welsh Government receives information on school learners normally as part of the Pupil Level Annual Schools Census (PLASC). The Welsh Government may receive information on children who attend LA-funded early years provision in non-maintained settings. The Welsh Government uses this personal information for research (carried out in a way that ensures individual children and young people cannot be identified) and for statistical purposes, to inform, influence and improve education policy and to monitor the performance of the education service as a whole.

Examples of the sort of statistics produced can be viewed at [www.wales.gov.uk/statistics](http://www.wales.gov.uk/statistics)

The LA also uses the personal information collected to do research. It uses the results of this research to make decisions on policy and the funding of schools, to calculate the performance of schools and help them to set targets. The research is carried out in a way that ensures individual children and young people cannot be identified.

In addition the Welsh Government and LAs receive information regarding national curriculum assessment and public examination results as well as attendance data at individual learner level.

### **Personal information held**

The sort of personal information that will be held includes:

- personal details such as name, address, date of birth, child/young person identifiers and contact details for parents and guardians
- information on any special educational needs
- information on performance in internal and national assessments and examinations
- information on the ethnic origin and national identity of children and young people (this is used only to prepare summary statistical analyses)
- details about children's and young people's immigration status (this is used only to prepare summary statistical analyses)
- medical information needed to keep children and young people safe while in the care of the school/early years provider
- information on attendance and any disciplinary action taken
- information about the involvement of social services with individual children and young people where this is needed for the care of the child/young person.

### **Organisations which may share personal information**

Information held by the school, early years providers, LA and the Welsh Government on children and young people, their parents or legal guardians, may also be shared with other organisations when the law allows, for example:

- other education and training bodies, including schools, when children and young people are applying for courses or training, transferring schools or seeking guidance on opportunities
- bodies doing research for the Welsh Government, LA and schools/early years providers, as long as steps are taken to keep the information secure
- central and local government for the planning and provision of educational services
- social services and other health and welfare organisations where there is a need to share information to protect and support individual children and young people

- various regulatory bodies, such as ombudsmen and inspection authorities, where the law requires that information be passed on so that they can do their work
- the Office of National Statistics (ONS) in order to improve the quality of migration and population statistics.

Children and young people have certain rights under the Data Protection Act, including a general right to be given access to personal data held about them by any 'data controller'. The presumption is that, by the age of 12, children and young people have sufficient maturity to understand their rights and to make an access request themselves if they wish. A parent/legal guardian would normally be expected to make a request on a child's behalf if the child is younger.

If you wish to access your personal data, or that of your child, then please contact the relevant organisation in writing. Details of this organisation can be found on the following website **[school or LA website]**. For those children and young people or parents where this is not practical, a hard copy can be obtained from the school by contacting **[add details of who should be contacted]**.

### **Young people aged 14 or over**

The information you supply will be used by the Chief Executive of the Skills Funding Agency to issue you with a Unique Learner Number (ULN), and to create your Personal Learning Record. Further details of how your information is processed and shared can be found at the Learning Records Service website [www.learningrecordsservice.org.uk](http://www.learningrecordsservice.org.uk)

### **Other information**

The Welsh Government, LA and school/early years provider place a high value on the importance of information security and have a number of procedures in place to minimise the possibility of a compromise in data security.

The Welsh Government, LA and school/early years provider will endeavour to ensure that information is kept accurate at all times. Personal information will not be sent outside the United Kingdom.

### **Your rights under the Data Protection Act 1998**

The Data Protection Act 1998 gives individuals certain rights in respect of personal information held on them by any organisation. These rights include:

- the right to ask for and receive copies of the personal information held on **yourself**, although some information can sometimes be legitimately withheld
- the right, in some circumstances, to prevent the processing of personal information if doing so will cause damage or distress
- the right to ask for wrong information to be put right

- the right to seek compensation if an organisation does not comply with the Data Protection Act 1998 and you personally suffer damage
- in some circumstances, that the parent or legal guardian of a child or young person **may** have a right to receive a copy of personal data held about a child/young person in their legal care. Such cases will be considered on an individual basis where the individual concerned is deemed to have insufficient understanding of their rights under the Act.

You also have the right to ask the Information Commissioner, who enforces and oversees the Data Protection Act 1998, to assess whether or not the processing of personal information is likely to comply with the provisions of the Act.

### **Seeking further information**

For further information about the personal information collected and its use, if you have concerns about the accuracy of personal information, or wish to exercise your rights under the Data Protection Act 1998, you should contact:

- the school/early years provider on **XXXX XXXXXX**
- your LA on **XXXX XXXXXX**
- the Welsh Government's data protection officer at the Welsh Government, Cathays Park, Cardiff, CF10 3NQ
- the Information Commissioner's office helpline on 01625 545 745 or 0303 123 1113.

Information is also available from [www.ico.gov.uk](http://www.ico.gov.uk)

## **Annex D: Working with Careers Wales**

Recognising that all LAs and schools will have systems in place to identify young people who may be at risk of becoming NEET, Careers Wales will work in partnership to ensure a coherent approach to identifying the target group and agreeing the subsequent delivery of an appropriate mix of interactions. In practical terms, this will mean that Careers Wales will use:

- local authority at risk of NEET data in the first instance, i.e. vulnerability assessment profiles and equivalent approaches
- other sources of school data, i.e. PLASC NEET indicators and school data where LAs do not have 'at risk of NEET' dataset.

During the summer term a careers adviser will meet with all schools (or other provider/Youth Service, etc.) to plan Careers Wales' interactions for those learners considered to be at risk of NEET. The main focus of the meetings will be:

- the identification of young people in Year 10 who are at risk of NEET and will most benefit from Careers Wales' interactions
- an agreement of a mix of Careers Wales interactions to support the learners identified, taking into account all other interactions planned. For example, Youth Service or other provision.

### **Effective planning and caseload management**

Once the learners at risk of becoming NEET have been identified, and where it has been agreed that their needs can be best met by Careers Wales services, the school careers adviser will work with the school and others (e.g. the Youth Service), to plan and deliver an appropriate mix of interactions to support each young person into Education, Employment or Training (EET).

Careers Wales' approach to working with young people who are deemed at risk of becoming NEET is based on the following principles.

- The careers adviser will agree a schedule of the work with the school or other provider which takes into account other partner organisations' provision, e.g. the Youth Service.
- Each learner's individual circumstances will be considered at the planning stage.
- The careers adviser will monitor the progress of learners on their caseload and agree caseload reviews with the school (and Youth Service) at regular intervals, the purpose of which is to discuss the cohort and the progress of individual learners as appropriate.

## Transition support

The careers adviser will work in partnership with schools and partner organisations to provide appropriate transition support. Careers Wales' approach is to make an assessment of each learner's readiness for transition to their chosen post-16 pathway. This will enable Careers Wales to work with local partners and opportunity providers to develop an intelligence-led approach to facilitating each learner's transition into an appropriate and sustainable post-16 pathway.

## Five tier model

To support the implementation of the *Youth engagement and progression framework*, Careers Wales has worked in partnership with the Department for Education and Skills to develop a model that measures and tracks the engagement status of 16 to 18-year-olds on a monthly and geographical basis (by LA) called the five-tier model.

Using the Careers Wales client database the engagement status of 16 to 18-year-olds will be tracked and reported to Welsh Government and LAs using the tiered system defined as follows.

### Five-tier model definitions

- Tier 5:** Sustaining engagement in Education, Employment or Training (EET).
- Tier 4:** In EET but identified as in danger of dropping out/in a job without training.
- Tier 3:** Unemployed: either actively seeking EET, or requiring 'light touch' support to be ready to enter EET.
- Tier 2:** Unable to enter EET: either because of circumstance (young carer; pregnancy; custody; sickness) or because of significant or multiple barriers requiring more intensive support.
- Tier 1:** Unknown to Careers Wales.

The five-tier model has an important role within the *Youth engagement and progression framework*; giving partners shared definitions and providing a consistent platform for data sharing. The model provides LAs with the engagement data of all 16 to 18-year-olds in relation to their transition into an appropriate and sustainable post-16 pathway.

Since 1 November 2013, Careers Wales has provided LAs with monthly data mapped against the five tiers to inform the continued development of engagement strategies.