



AGENDA

CABINET

Monday, 30th November, 2015, at 10.00 am

Darent Room, Sessions House, County Hall, Maidstone

Ask for:

Louise Whitaker

Telephone

03000416824

e-mail::

louise.whitaker@kent.gov.uk

Tea/Coffee will be available 15 minutes before the meeting.

Webcasting Notice

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UNRESTRICTED ITEMS

(During these items the meeting is likely to be open to the public)

1. Introduction/Webcasting

2. Apologies and substitutions

To report any apologies received and substitutions made.

3. Declaration of Interests

To receive any declarations of interests by Members in items on the agenda for this meeting

4. Minutes of the Meeting held on 12 October 2015 (Pages 3 - 12)

To approve the minutes of the previous meeting, held on 12 October 2015, as a correct record.

5. Corporate Parenting Select Committee Report (Pages 13 - 30)

To receive the report of the recent Select Committee on Corporate Parenting.

6. Elective Home Education Policy (Pages 31 - 94)

To seek approval of the revised EHE policy following recent engagement with families.

7. Revenue and Capital Budget Monitoring for 2015-16, Quarter 2 (Pages 95 - 262)

To receive revenue and capital budget monitoring information for Quarter 2 of 2015-16

8. KCC Autumn Budget Statement (Pages 263 - 280)

To receive a report setting out the fiscal assumptions underlying the forthcoming 2016/17 budget proposals and Medium Term Financial Plan (MTFP) ahead of the Chancellor's Autumn budget statement.

9. Quarter 2 - Performance Report (Pages 281 - 356)

To receive the performance update for Quarter 2 2015/16.

10. Corporate Risk Register - Annual Refresh (Pages 357 - 398)

To receive the refreshed KCC risk register.

Peter Sass
Head of Democratic Services
Friday, 20 November 2015

Please note that any background documents referred to in the accompanying papers maybe inspected by arrangement with the officer responsible for preparing the relevant report.

KENT COUNTY COUNCIL

CABINET

MINUTES of a meeting of the Cabinet held in the Darent Room, Sessions House, County Hall, Maidstone on Monday, 12 October 2015.

PRESENT: Mr P B Carter, CBE (Chairman), Mr M A C Balfour, Mr G Cooke, Mr M C Dance, Mr R W Gough, Mr P M Hill, OBE, Mr P J Oakford, Mr B J Sweetland, Miss S J Carey and Mrs P T Cole

UNRESTRICTED ITEMS

131. Apologies and Substitutions (Item 2)

Apologies were received from:

- i. Deputy Leader & Cabinet Member for Finance and Procurement, Mr John Simmonds, who was substituted by the Deputy Cabinet Member for Finance and Procurement, Ms Susan Carey.
- ii. Cabinet Member for Adult Social Care and Public Health, Mr Graham Gibbens, who was substituted by the Deputy Cabinet Member for Adult Social Care and Public Health, Ms Penny Cole
- iii. David Cockburn, Head of Paid Service.
- iv. Patrick Leeson, Corporate Director for Education and Young People's Services, who was substituted by Gillian Cawley, Director of Education
- v. Andrew Scott-Clarke, Director of Public Health who was substituted by Dr Faiza Khan, Consultant in Public Health

132. Declarations of interest in matters appearing on the agenda

No declarations of interest were received.

133. Minutes of the Meeting held on 21 September 2015 (Item 4)

The minutes of the meeting held on 21 September 2015 were agreed as a correct record and signed by the Chairman accordingly.

134. Revenue and Capital Budget Monitoring for 2015-16 - July (Item 5)

Cabinet received a report providing the budget monitoring position for July 2015-16 for both revenue and capital budgets, including an update on key activity data and seeking approval of necessary changes to the Capital Programme.

Deputy Cabinet Member for Finance and Procurement, Ms Susan Carey introduced the report, and in particular referred to the following:

- i. The report contained information available to the end of July 2015 and the predicted final position for the 2014/15 budget; currently an overspend of £12.958million, following management action identified.
- ii. The Corporate Management Team had been tasked with urgently identifying further management action in order to deliver a balanced budget and would review areas of spend for reduction that would not affect front line services.
- iii. Each Directorate had significant pressures to which Ms Carey referred in turn, contained within the report, at para.3.6 and included asylum costs, increased demand for adult social care services, increased waste volumes and higher levels of emergency highway repair than predicted.

In relation to the Capital budget Ms Carey made the following comments:

- i. That the working budget for the 2015/2016 capital budget was £367million and included the usual rephasing of projects. Once this rephasing had been taking into account most projects were in time and on budget.
- ii. 'Real' variances were contained in section B of the report and related to additional costs on the Trinity School build, some highways work and the Incubator Development, all of which would be met by contributions from other agencies.
- iii. Rephrasing to which she drew particular attention included
 - a. Special School review which had been rephrased to reflect delays at the planning, acquisition and cost renegotiation stages
 - b. Seven Oaks Grammar School Annex which had been deferred awaiting a decision from the Secretary of State on the legality of the proposals
 - c. The single system for Early Help
 - d. Various SELEP projects and integrated transport schemes.

In conclusion, Ms Carey reminded members that the forecast was concerning and that it was imperative that action were taken to regain control of spending and deliver a balanced budget.

The Leader thanked Ms Carey for her comprehensive overview and referred to the pressures on the asylum budget. He stressed the importance of securing a refund from the government of the reasonable additional costs incurred by the council in supporting the increasing number of unaccompanied young people seeking asylum. These costs were currently approaching £7million and must be set out in a comprehensive manner in order to ensure that Government could see that these costs were reasonable.

Andy Wood, Corporate Director of Finance and Procurement responded at the request of the Leader; he explained that some of the difficulties and perceived inconsistencies identified by the home office related to changes in unit costs that occurred over time, when services reached saturation point, for example when in-house foster placement capacity was exhausted and alternative placements must be arranged or the number of staff supporting those placements increased. This had been set out in a clear and exhaustive manner but had not yet been sufficient to overcome all obstacles to securing a refund from Government. A further discussion with the Home Office was scheduled for later in the week.

The other matter to which Mr Wood referred as a considerable pressure was Home Care costs within Adult Services, an area in which local government and the NHS

were both experiencing pressures owing to a significant increase in demand despite good work being undertaken in the area of reablement, in addition to atypical inflation compared to CPI / RPI. Home care hours were included within the report and had increased by 10% in the last 6 months against a predicted reduction of 40% by March 2016. It was important that work was undertaken to understand why this was the case in order to control and reduce any overspend.

The Cabinet Member for Specialist Children’s Services, Mr Oakwood spoke on the matter of unaccompanied asylum seeking children. He reported that despite entering a time of year when arrivals would traditionally be expected to decline the number continued to increase. At the time of the meeting, there were 872 unaccompanied asylum seekers under the age of 18 in Kent of whom 60% - 70% were 16 & 17 years old which meant that the 18+ care leavers budget would soon come under considerable pressure.

The Leader agreed and reiterated the importance of seeking a solution from government, in particular he regarded projections on the 18+ care leavers budget as critical to negotiations for a sensible solution with government, which was needed urgently.

Andrew Ireland, Corporate Director of Social Care, Health and Wellbeing spoke on the matter of unaccompanied asylum seeking children, he referred to the fact that 77 new arrivals had presented in the last week and that this was equal to the caseloads of 5 social workers, almost a full team.

He also referred to the issue of home care; he reported that a significant portion of the demand increase could be attributed to patients discharged from hospital following admission last winter who needed double and sometimes triple handed care packages. This had also placed a significant pressure on domicillary care agencies and so some out of contract arrangements had been undertaken in some areas of the County which inevitably put the unit costs up. The Leader remarked that the pressures in this area, on Kent and other counties with larger elderly populations were greater than in some other areas of the country and that he hoped that this would be reflected in the Government’s spending review due on November 25th.

It was resolved that:

CABINET	
12 October 2015	
1.	The report, including the latest monitoring position on both the revenue and capital budgets, be noted.
2	The changes to the capital programme as detailed in the actions column in table 2 of the annex reports and summarised in Appendix 1 be agreed
REASON	
1.	In order that Cabinet can effectively carry out monitoring requirements.
2	In order that the budget accurately reflects the real time position and is fit for purpose enabling necessary actions to be taken.
ALTERNATIVE	
None.	

OPTIONS CONSIDERED	
CONFLICTS OF INTEREST	None.
DISPENSATIONS GRANTED	None.

135. Early Help and Preventative Services Commissioning Intentions for 2016-17
(Item 6)

Cabinet received a report on the reassessment of Early Help and Preventative Services contractual and grant arrangements intended to ensure a flexible and integrated model of support would be in place to achieve the best outcomes for children and young people and the most efficient use of resources.

The report outlined the proposals for future commissioning intentions, including the realignment of approaches with Public Health to ensure maximum utilisation of resources and integrated approaches to service delivery and sought agreement to progress as described

Florence Kroll, Director of Early Help and Preventative Services and Joanna Hook, District Manager; Gravesham Early Help and Preventative Service were in attendance to speak to the item.

The Cabinet Member for Community Services, Mr Mike Hill referred to the Youth Commissioning element of the report for which he was responsible. He reported that a significant proportion of these services had first been commissioned out three years ago and the results had been generally successful, providing a greater quantity of high quality youth work than before whilst also saving the Council money. It was now time to recommission these services and the redesign if approved would put in place 12 district based contracts compared to the 47 currently in place, which would enable easier and better contract management. He was pleased that smaller providers had been encouraged to collaborate in order to compete for the larger contracts and was convinced that this would protect good service already in place. Finally he welcomed the fact that the budget for youth services had remained unchanged despite the considerable pressures on the Council's budget.

The Cabinet Member for Specialist Children's Services, Peter Oakford welcomed the report which he felt reflected the excellent work undertaken to review the current grant and contractual arrangements and improve the offering and efficiency of Early Help and Preventative Services in Kent and he fully supported the direction of travel set out within it.

Florence Kroll described the contents of the paper for members which had been informed by a significant diagnostic phase, undertaken over the last 6 months and including stakeholders, young people, providers and staff in both Early Help and Preventative Services and Social Care. This period had established that the highest number of referrals related to family work or emotional health and wellbeing.

The proposed realignment would see the current complex contractual arrangements aligned to become 12 district youth contracts, 1 young carers contract, 4 family contracts and small local grants to be awarded with districts in order to continue to

support small, local arrangements. In order to ensure that the work was aligned with Public Health commissioning for emotional health and wellbeing the contracts would be commissioned in two phases as follows:

- Phase 1 – The 12 District youth contracts and the young carers contract would be awarded in April 2016 along with implementation of arrangements for small grants
- Phase 2 – The 4 Family contracts would be awarded in October 2016.

She reported that the budget was £8.5million reducing to £7.4million and included all of the budgets in scope which would be allocated as set out in the report at paragraph 5.1.

It was hoped that this proposed framework, whilst still supportive of smaller, local services, would be better aligned to other services, more accessible to users, have reduced waiting times and facilitate more straight forward contract management.

In response to comments from the Leader Ms Kroll confirmed that she and Thom Wilson had worked together on the commissioning intentions contained within the report. The Leader welcomed the intentions set out and suggested that the expected outcomes be clearly set out and monitored by the appropriate groups as the contracts were awarded and work undertaken. To facilitate that, he requested a report to a future meeting of Cabinet detailing those expected outcomes in more detail.

It was resolved that:

CABINET	
12 October 2015	
1.	The outlined commissioning intentions as set out in the report, having particular regard to the intention to cease grant funding at the end of March 2016 be agreed.
2	To facilitate the realignment of services as set out, authority be delegated to the Corporate Director, in consultation with the relevant Cabinet Member to extend some external contracts for 3 months where necessary
3.	That work be undertaken to re-commission Early Help services in 2016 as set out in the report
4.	That a report be returned to Cabinet at a future meeting containing a detailed description of the expected outcomes of the commissioning exercise.
REASON	
1.	In order that the proposed intentions are properly supported by the Executive.
2	In order that the realignment of services can be facilitated efficiently.
3	In order that re-commissioning can begin as required without unnecessary delay
4	In order that the executive and other bodies can properly monitor the outcomes of the proposals.
ALTERNATIVE	
None.	

OPTIONS CONSIDERED	
CONFLICTS OF INTEREST	None.
DISPENSATIONS GRANTED	None.

136. Proposed responses to recent Government Consultations

(Item 7)

Cabinet received a report setting out the Council's proposed responses to two recent Government Consultations.

The first, "Enabling closer working between the Emergency Services", was issued by the Home Office, Department for Communities and Local Government and Department of Health, and sought views on proposals to increase joint working between emergency services.

The second, "Reforming the Powers of Police Staff and Volunteers", was issued by the Home Office and sought views on the ways in which powers and roles were designated to police staff and volunteers by Chief Police Officers.

Mr Hill, Cabinet Member for Community Services introduced the item for Cabinet and explained the background to, and purpose of the consultations. He spoke to the Emergency Services consultation in most detail. He confirmed that Kent County Council was happy to support closer partnership working between the organisations to which the consultation referred but that this would be better achieved, as it had been already in Kent, by voluntary collaborations and not a statutory duty. Furthermore, KCC expressed in its proposed response, concerns regarding the proposed strengthening powers and increased involvement for the Police and Crime Commissioner which were not thought to be necessary or appropriate by KCC.

Mr Nick Chard, KCC elected member for Sevenoaks East spoke to the item and in particular, made the following points:

- i. That he supported comments made by the Cabinet Member as to the level and success of collaborative working in Kent to date and confirmed that the current governance arrangements had not hampered those collaborative efforts in any way.
- ii. That he believed that an enforced single employer model would be fraught with technical and other difficulties that would serve to stifle collaboration and damage mutual trust.
- iii. He identified within the proposed response a solution that would allow the Government to achieve the underlying aims of the proposals without the need for the introduction of a single employer model. The creation of a Joint Governance Board would increase those involved in current collaborative efforts but would retain the current employer model.
- iv. That he hoped that any future arrangements would take into account the response of KCC and others like it in order to build on the current good collaborative work undertaken in Kent.

In response to a question from the Leader, Mr Chard confirmed that further, and broader, collaboration was desirable and possible under current governance arrangements.

Mr Roger Gough, Cabinet Member for Education and Health Reform, referred to the response to Question 1 of the consultation. He expressed concern that too heavy a focus on the new duty, particularly if it were to be rigidly applied, would fail to recognise all of the work of the modern Ambulance Service in Kent, for example the preventative services carried out by paramedics. He asked that in order that concerns were fully expressed the last sentence of this answer be strengthened to more fully reflect the desire that any new duty not negatively impact current partnership arrangements.

Mr Gary Cooke, Cabinet Member for Corporate and Democratic Services asked members to consider whether those questions to which the proposed response replied 'no comment' should in fact be commented upon in order to support the other views contained in the proposed response. Following some discussion it was agreed that question 3 be responded to more fully in order to express concerns regarding a single employer model.

Mr Hill, Cabinet Member for Community Services, introduced the second consultation for Cabinet, "Reforming the Powers of Police Staff and Volunteers". He described the proposals being consulted upon and confirmed that KCC welcomed the suggestion that the Chief Constable would be able to confer powers more flexibly to meet the needs of the local community more fully. He reported that of most significance for KCC would be the potential impact of reforms on the Community Warden Scheme and welcomed the potential for consideration of appropriate powers by the Chief constable in relation to those roles.

No further comments or questions were received.

It was RESOLVED that:

CABINET	
12 October 2015	
1.	That the proposed response to the "Enabling closer working between the Emergency Services" consultation be endorsed for submission with the following amendments: <ul style="list-style-type: none"> a) That the response to Question 1 be amended so that the last sentence be strengthened to more fully reflect the desire that current partnership arrangements be recognised and valued and any new duty did not negatively impact on those arrangements. b) That the response to Question 3 be amended from 'No comment' to express concern that a single employer model may compromise some of the preventative work currently conducted by the Fire Authority, particularly but not exclusively, in relation to fire safety in HMO's.

2	That the proposed response to the “Reforming the Powers of Police Staff and Volunteers” consultation be endorsed for submission
REASON	
1 & 2.	Although no formal decision to submit the responses was required, KCC having in place a protocol which facilitated officer responses in consultation with relevant members, Cabinet resolved to endorse the submissions on this occasion In order that officers and members of the public were fully aware of the support of the combined executive for the responses as proposed and amended.
ALTERNATIVE OPTIONS CONSIDERED	None.
CONFLICTS OF INTEREST	None.
DISPENSATIONS GRANTED	None.

137. Facing the Challenge - Property and Infrastructure Support Local Authority Trading Company (LATC)
(Item 8)

Public minute of the discussion and resolutions which took place in both open and closed sessions of the meeting under items 8&9 of the agenda.

Cabinet received two reports, one to which access was unrestricted and one which was exempt from publication under paragraph 3 of Schedule 12a of the Local Government Act 1972 and during the discussion of which, following a motion agreed, the press and public were excluded from the meeting.

The reports sought approval for the establishment of a Local Authority Trading Company (LATC) to deliver the Council’s Property services.

Ms Rebecca Spore, Director of Property and Infrastructure introduced the reports for Members and reported that as a result of a review conducted as part of the Facing the Challenge programme 12-18 months previously and rigorous market testing; it had been proposed that a LATC be established for the purpose of delivering property services. Since that time, she explained, a business case had been produced and refined and was set out in full in the exempt report.

Members were provided with information regarding the establishment of the LATC and, should it be agreed to proceed, the proposed governance arrangements once established.

Cabinet also received a detailed risk register, which set out any risks identified with the proposals and the mitigating actions proposed and the section 151 officer’s report.

Proposed targets for the LATC were discussed and were confirmed by officers as realistic and achievable.

A full discussion of the business case and other information contained within the report and appendices took place and officers answered questions from Cabinet in relation to various elements of the proposals and arrangements post establishment.

It was RESOLVED

CABINET	
12 October 2015	
1.	That the formation of a wholly owned Limited Company, subject to the comments of the Trading Activities Sub Committee (Governance and Audit), to deliver KCC's Property Service based on the principles outlined in the exempt report, be agreed. [The Local Authority Trading Company (LATC) will be established as soon as possible but trading will not commence until the necessary resources, approvals and commissioning functions for KCC are in place].
2	That authority be delegated to the Director of Infrastructure in consultation with the Cabinet Member for Corporate and Democratic Services to put in place the necessary arrangements to facilitate the establishment and ongoing control over the Local Authority Trading Company.
REASON	
1 & 2.	In order that the proposed outcomes, set out in the exempt report, can be achieved.
ALTERNATIVE OPTIONS CONSIDERED	None.
CONFLICTS OF INTEREST	None.
DISPENSATIONS GRANTED	None.

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From: Peter Oakford, Cabinet Member for Specialist Children's Services
Andrew Ireland, Corporate Director Social Care, Health and Wellbeing

To: Cabinet – 30 November 2015

Subject: Corporate Parenting Select Committee Report

Classification: Unrestricted

Future Pathway of Paper: County Council – 10 December 2015

Summary

The Corporate Parenting Select Committee conducted a review of Members role as elected corporate parents. The report makes a number of recommendations for improving Members oversight role as corporate parents. Cabinet is invited to comment on the final report.

Recommendations

Cabinet is asked to:

- (i) **APPLAUD** the Select Committee's work for producing an instructive and timely report;
- (ii) **RECOGNISE** the contribution of the witnesses who provided evidence and the officers who supported the Select Committee's work;
- (iii) **COMMENT** on the recommendations and commend them to the County Council.

1. Introduction

1.1 The Corporate Parenting Select Committee was established in February 2015 to review Kent County Council's corporate parenting arrangements and make recommendations for endorsement by the County Council.

2. The Select Committee

2.1 The Select Committee was chaired by Mrs Zita Wilshire and the other Members of the Select Committee were Mr Robert Brookbank, Ms Jane Cribbon, Mr George Koowaree, Mr Bob Neeves, Mr Michael Northey, Mr Richard Parry, Mrs Pauline Stockwell and Mrs Jenny Whittle.

2.2 The terms of reference for the review were agreed on 3 February 2015 and they are as follows:

- To consider the definition of ‘Corporate Parent’ and the variety of roles and duties associated with it.
- To engage with, amongst others, children and young people in care to better understand what works well for them and what KCC can do to improve the fulfilment of its corporate parenting responsibilities.
- To investigate best practice across the country and abroad of how elected representatives within local government engage with and support children in care.
- To examine the extent to which the monitoring mechanisms available to KCC Members are effective in ensuring the safety and wellbeing of children in care.
- For the Corporate Parenting Select Committee to make recommendations after having gathered evidence and information throughout the review.

2.3 Substantive time of the Select Committee was dedicated to Evidence Gathering Hearings where internal and external witnesses were invited to give evidence. The full details of all the evidence hearing at the public meetings can be accessed via <https://democracy.kent.gov.uk>. In addition, written evidence was submitted by identified interested organisations.

2.4 The Select Committee also made a number of site visits as part of extended evidence gathering. These opportunities were used to meet and explore issues with children and young people in care and a cross section of frontline social workers.

3. Report’s Key Findings and Recommendations

3.1 The main report discusses some of the key topics and issues that have the most significant impact on health, wellbeing and education of the children in our care. Each chapter highlights the key points and high-level responsibilities that Members, as elected corporate parents should consider. The report also gives a brief account of the Kent picture for the main topics and issues considered. Three important questions are also addressed in the report. These are:

- what are we trying to achieve?;
- what are we doing at present?; and
- what more could be done?

The final section of each chapter puts forward recommendations and questions that we may wish to ask as part of our assurance role as elected corporate parents in ensuring that children in our care continue to be well looked-after.

3.2 The Executive Summary (Appendix 1) is attached to this report. The full Select Committee report will be available to Members via the Member Information

Bulletin. The report will also go on the Members' Area on the intranet. The 15 main recommendations of report aim to:

- Provide Members with a framework to ensure that they have a comprehensive understanding of their statutory responsibilities to the children within KCC's care.
- Ensure Members are aware of what they need to do and what questions they need to ask of officers in order to ensure KCC is doing the right things as an organisation to support and provide for its children and young people.
- Make sure KCC has the right systems and structures in place to fulfil its corporate parenting duties in the best and most effective way.
- Make certain that feedback from young people informs everything Kent does, from casework to organisational design and delivery.
- Strengthen the work KCC does with our partner agencies to ensure that the needs of Children in Care and care leavers are prioritised.

4. Conclusion

- 4.1 Corporate parent legal obligations placed on the Kent County Council require Members and officers to work together along with partner agencies to ensure that children in care are well looked after.
- 4.2 The Select Committee's report will be presented to the County Council for endorsement at its meeting on 10 December 2015
- 4.3 Cabinet should express its appreciation to Mrs Zita Wiltshire, who chaired the Committee and the other Members of the Select Committee. Cabinet should also extend its gratitude to all the witnesses who gave evidence in the course of the review.

5. Recommendations

5.1 Cabinet is asked to:

- (i) **APPLAUD** the Select Committee's work for producing an instructive and timely report;
- (ii) **RECOGNISE** the contribution of the witnesses who provided evidence and the officers who supported the Select Committee's work;
- (iii) **COMMENT** on the recommendations and commend them to the County Council.

Contact details:

Michael Thomas-Sam
Strategic Business Advisor
Policy, Strategy and Assurance

✉ Michael.thomas-
sam@kent.gov.uk

☎ 03000 417238



November 2015

Corporate Parenting

Select Committee Report

Final Draft Version to Cabinet and County Council **Appendix 1**

kent.gov.uk

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Foreword

One of the most important duties that Elected Members accept when they take office is assuming the mantle of corporate parent.

The children and young people who have come into local authority care are some of the most vulnerable in our society; many have suffered significant levels of abuse and neglect prior to coming into care, and it is the collective responsibility of the whole council – Members and officers alongside our partner agencies – to ensure that they receive the best possible support and protection.

All good parents want the very best for their children, and it is our statutory duty to ensure that every child we look after is able to flourish by being safe and happy, doing well at school, having good health and enjoying fulfilling relationships with their peers. As they grow towards adulthood, our young people should be equipped to lead independent lives and to make their way as young adults with good jobs, access to higher education and financial security. Indeed, our primary aim is to ensure that our children achieve as well as those who do not require our intervention.

It is the responsibility of all Members, not just the Lead Members for children's services, to continue to work hard to ensure that our children receive the right support to enable them to reach their full potential.

The purpose of this report is to consider the quality of the involvement and oversight of Kent's corporate parents and how we can make maximum impact in improving outcomes for children and young people in care. It also highlights a number of areas where we can improve our oversight as corporate parents and identifies some areas where further investigation is needed.

At Kent County Council, we take seriously our moral duty as well as our legal responsibilities to our children and we will continue to strive to improve our services so that our young people can experience happy and fulfilling lives.



Zita Wiltshire
Chair of the Corporate
Parenting Select
Committee

Members of the Select Committee

The Select Committee consisted of nine Members of Kent County Council. Five Members representing the Conservative Party, two Members representing the UK Independence Party, one Member representing the Labour Party and one Member representing the Liberal Democrats.



Mr Robert Brookbank
Conservative
Swanley



Ms Jane Cribbon
Labour
Gravesham
East



Mr George Koowaree
Liberal
Democrat
Ashford East



Mr Bob Neaves
UKIP
Folkestone
South



Mr Michael Northey
Conservative
Canterbury
South East



Mr Richard Parry
Conservative
Sevenoaks
West



Mrs Paulina Stockell
Conservative
Maidstone
Rural West

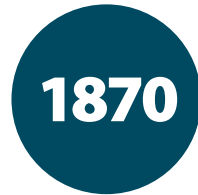


Mrs Jenny Whittle
Conservative
Maidstone
Rural East



**Mrs Zita Wiltshire,
Chair**
UKIP
Broadstairs
and Sir Moses
Montefiore

Kent: Key Facts



Children in care
on 31 March 2015



Children who started
to be 'looked-after' by
KCC on 31 March 2015



Children who ceased
to be 'looked-after' by
KCC on 31 March 2015

- 69 %** of our children in care population are in foster placements with our in-house services (69% of 1,870)
- 900** the number of registered foster carers in Kent in September 2015
- 8 %** the proportion of Kent children in care who are disabled (September 2015; 8% of 2206 or 173 children)
- 48 %** the proportion of disabled children in care living in foster care (September 2015; 48% of 173 children)
- 10.3 %** the proportion of children in residential care in August 2015 (10.3% of 1948 or 200 children including UASC)
- 21 %** of KCC's children in care population were adopted in the year ending March 2015. 21% of 870 (180)
- 81.3 %** the proportion of children in foster care placed within 20 miles from home as at August 2015 (81.3% of 1,378 children or 1,121 children)
- 74.2 %** of 561 children in care for 2 years+ or 416 children as at August 2015
- 43 %** the extent of the attainment gap between children in care (whose results are eligible to be counted) and their non-cared for Kent peers in achieving 5 grade A*-C GCSEs including English and Mathematics (provisional figures)
- 75 %** of Kent residential homes were rated as good or outstanding by Ofsted in 2014/15
- 82.9 %** of all Kent schools were rated as good or outstanding by Ofsted as at 02/10/2015
- 0.6 %** Kent children in care make up of the under 18 Kent population

Introduction

Through this report we are reaffirming our longstanding commitment to continue to discharge our corporate parenting responsibilities to all our children in care. The principal focus of this review is to examine the vital role that all elected Members, as elected corporate parents, should play in championing the rights and appropriately engaging with our children and young people.

The launch of the Corporate Parenting Select Committee (*referred to as the Committee throughout this document*) reflects our acknowledgment that it is time to restate our political and officer corporate parent responsibilities, so that any necessary changes we agree to make as an organisation to improve the experiences and outcomes of our children in care are implemented successfully.

We remain resolute that our children in care should always be at the centre of service provision, whoever the provider may be. To enable us to do this, we will listen to the voices of our children and we will use this feedback to inform our service delivery. We will also continue to work with our local partners to ensure our provision is as effective as possible. The children in our care, like all children, need positive adult encouragement, to be cared for and supported to make the most of their talents, skills, abilities and to make the most of their educational opportunities as they grow into adult life. It is our statutory duty as corporate parents to ensure that our children are nurtured and benefit from the emotional and practical support, that all good parents wish to give to their children, to ensure their best possible development in life.

The terms of reference for the review are as follows:

- **To consider the definition of 'Corporate Parent' and the variety of roles and duties associated with it.**
- **To engage with, amongst others, children and young people in care to better understand what works well for them and what KCC can do to improve the fulfilment of its corporate parenting responsibilities.**
- **To investigate best practice across the country and abroad of how elected representatives within local government engage with and support children in care.**
- **To examine the extent to which the monitoring mechanisms available to KCC Members are effective in ensuring the safety and wellbeing of children in care.**
- **For the Corporate Parenting Select Committee to make recommendations after having gathered evidence and information throughout the review.**

Key Findings and Recommendations

This review highlights some of the key topics and issues that have the most significant impact on the health, wellbeing and education of the children within our care.

This examination provides KCC with assurance that real progress is being made throughout our frontline services, as well as in relation to key performance areas across social care and education, to support our children and young people in care. We consider there are areas where we have made significant improvements (*in relation to our Virtual School Kent and adoption, for example*). However, there are other service areas (*Other Local Authority looked-after children placed within Kent and Child and Adolescent Mental Health Services*) that require further improvements to ensure we are making a real difference and doing as much as we can to enhance the life chances of our children and young people.

The following section gives an account of our key findings and recommendations against each of the main areas outlined in the terms of reference for the review.

Corporate Parent Roles and Duties

Corporate parent: roles and responsibilities

Corporate parenting is a shared responsibility between politicians and officers.

Although the Select Committee review focuses mostly on Member roles and responsibilities as corporate parents, the national legal and policy frameworks place joint responsibility on both politicians and officers to safeguard and support the children within their care. In high level terms, the role of Elected Members is to take a strategic overview and to set the organisation's direction in relation to promoting the wellbeing of children and young people and challenging services where there is emerging evidence of worsening performance. It is also to seek assurances where necessary that KCC is actively managing critical matters with the aim of further improving outcomes for children and young people. In order to do this effectively, the core Member role must be delivered at a strategic level rather than being drawn into the detailed day-to-day operational management of children's services. We believe that a comprehensive corporate parenting guide (handbook) should be developed to reinforce these joint responsibilities and to crystallise the distinctive role which all Members need to play in providing for our children.

Recommendation 1

KCC should adopt a simply-worded and practical corporate parenting guide (handbook) for all Members that clearly sets out what we need to know, including information about the fundamental areas crucial to running an effective children's services in fulfilment of our corporate parenting responsibilities. The handbook must include contact details of key officers within each division.

Information about children in care

Wide-ranging performance management framework, systems and processes:

We are of the view that KCC has wide-ranging performance management frameworks, systems and processes in place for monitoring how well all children's services are doing. However, our review has highlighted that in spite of the myriad of performance dashboards that exist, all Members as political corporate parents do not have access to accurate and meaningful information i.e. data that has been analysed and interpreted and which is readily available on a regular basis.

Recommendation 2

KCC should make available information about the fundamental areas of children's services such as education and health outcomes, placement stability and support for care leavers for all Members on a regular schedule, starting from March 2016.

Training for Members

Appropriate and timely training for all Members that is focused on our corporate parent roles and responsibilities:

We reached the conclusion that although training sessions for Members have been organised in the past, there is a compelling need for the current training to be reviewed and replaced with a new regular training programme which should be compulsory for all Members to attend. This should take account of the necessity for refresher sessions and the needs of new Members to understand the particular responsibilities placed on them as corporate parents.

Recommendation 3

That KCC should introduce a refreshed training programme for all KCC Members as part of the induction after every County Council election or upon their appointment. In the event of significant changes to corporate parenting, KCC Members should be updated through additional training. All Members are strongly advised to take advantage of this training offer. Consideration should be given to the best option for overseeing and reporting on training attendance.

Children in care from other local authorities living in the Kent area

Other Local Authority 'looked-after' children are particularly vulnerable and the high number in Kent puts additional pressure on KCC and partner agency resources.

We heard from a number of key witnesses that the additional and wider impact of other local authority looked-after children living in Kent is longstanding and of extreme concern. We understand that the revised Care Planning, Placement and Case Review (Regulations 2010) that came into force in January 2014 has strengthened requirements on local authority 'distant' placement decisions (notification of placement). We also understand that the revised Children's Homes Regulations 2015 has placed additional requirements on children's homes though we are aware that Ofsted does not report on this on a routine basis. We believe more needs to be done to hold other local authorities to account in relation to their corporate parenting responsibilities to appropriately safeguard children within their care living out of area.

Engagement of Children and Young People

Recommendation 4

KCC writes to the Children's Minister to ask that a review of compliance to the new Regulations 2010 and the sufficiency duty should be carried out to ensure that responsible authorities are held to account in maintaining the welfare of children in their care.

Corporate governance structure

We are aware that we currently have a number of statutory and non-statutory groups each with oversight roles in relation to children in care and children subject to protection measures including the Corporate Parenting Panel, Kent Corporate Parenting Group and the Children's Health and Wellbeing Board. With increasing pressure on resources and the need to take a proportionate approach to avoid any unnecessary drain on Members' and officers' resources, the Select Committee believes that it is necessary for KCC to streamline the corporate parenting governance arrangements.

Recommendation 5

KCC should adhere to the 'simplification' principle and merge the Corporate Parenting Panel and Kent Corporate Parenting Group to strengthen the focus on corporate parenting for a more powerful and streamlined oversight.

This is to be backed by the development of a memorandum on governance between the new group and relevant existing groups to reduce any avoidable overlap and/or duplication.

Participation opportunities for Members

Knowledge of local arrangements together with promoting the wellbeing of children in our care is paramount:

Apart from Cabinet and a small number of Members with some specific responsibilities for children's services, the evidence suggests that few Members fully understood our corporate parenting responsibilities. More needs to be done to ensure that all Members fully engage with their role as corporate parents. Members need to take practical steps to hear directly from the children in our care and their carers and to work with officers to assess how well we are performing the corporate parenting role. Members also need to understand how services can be further improved to ensure that our children and young people receive the best support to live happy and healthy lives both during their time with us and into adulthood.

Recommendation 6

All KCC Members commit to actively champion and engage with divisional and county-wide participation events (e.g. *Virtual School Kent activity and Achievement Award Ceremonies; organised foster carers events*) to hear about the achievements of our children and young people as well as finding out about emerging issues that concern those in our care. It must always be made the responsibility of the relevant service managers to extend an invitation to all Members to events and meetings and ensure that this automatically happens, and that relevant information is included in the Member Bulletin (or *Members calendar*) to give all County Councillors adequate notice and opportunity to attend.

Coordination of participation across children's services (*voice of the child*)

Management and oversight of different participation activities and capturing the experience of children in care and their carers:

Whilst we acknowledge that a good range of participation events take place at individual and service levels, our review has highlighted that there are issues with the effective coordination of a variety of participation and involvement activities across the whole of children's services. Also, we think steps should be taken to evidence how this feedback informs service delivery and redesign. Additionally, KCC must consistently provide feedback to children, young people and their carers about the difference that their contribution has made.

Recommendation 7

KCC should identify a lead participation officer to coordinate how children, young people and their carers views are taken into account at the service level and for such information to be made available to Members annually.

Care leavers' readiness for independent living

Suitable housing and adequate support for care leavers in gaining the relevant skills for independent living:

We heard from witnesses that access to suitable housing for our care leaver population can be challenging. We also noted a survey of our children in care which reported that a quarter of them felt they were not adequately supported in gaining the relevant skills needed for independent living. Our conclusion is that access to suitable housing and preparing care leavers with the right life skills and training in order to transition successfully into adulthood needs to be urgently addressed.

Recommendation 8

KCC should continue to strengthen work with our district partners (*through Kent Council Leaders and Joint Kent Chief Executives*) to prioritise the needs of care leavers in gaining access to social housing and support. This partnership work should consider district partners supporting corporate parenting responsibilities in relation to the accommodation needs of care leavers through mechanisms such as the Kent Housing Strategy and the Joint Housing Protocol.

Recommendation 9

KCC should review the independent living skills support arrangements for care leavers (*including the training provision and who care leavers to contact for support at whatever time*).

Investigation of Best Practice

There are a number of activities and initiatives which take place in Kent that enable Members to engage with and directly speak to children and young people in care. These include Virtual School Kent activities, awards events and other local events. Some examples from other areas which KCC could learn from include:

Elected Members visits

Ofsted's 'From a distance' report 2014 identified Members in good authorities that paid attention to children living in local authority children's homes (*through Regulation 33 visits*) and those living in homes that were run independently. The report also mentioned that some Members paid particular attention to children living out of area as part carrying out their corporate parenting responsibilities.

Integrated corporate parenting approach

Ofsted cited Trafford Council in the Children Social Care report in England 2015, which was an authority that has been judged to be outstanding. The Council has acquired an integrated corporate parenting strategy which has enabled councillors to develop a broad understanding of the children within their care by having the most salient information at their fingertips without being overwhelmed with data.

Innovative training for county and district councillors

In Staffordshire two innovative training events were recently held to raise awareness of the corporate parenting role which brought together county and district councillors and senior officers, as well as a range of practitioners and professionals who interacted with the audience and gave participants an insight into the lives of looked-after children.

Monitoring Mechanisms

Fostering services

Overseeing quality fostering service provision is an essential part of corporate parenting:

We recognise the important part that the fostering service plays in ensuring that children in our care benefit from good physical and emotional health, good or excellent education and, for those that need it, a good preparation for independent living. However, in the course of our review we heard about several areas (training, lack of access to CAMHS therapeutic support for young people, support for carers, stability and/or breakdown of placements, types and location of fostering) of the fostering service which require further attention. This has led us to make the following recommendation:

Recommendation 10

KCC should conduct a review of the fostering service with the objective of improving the matching process and reducing the number of placement breakdowns. The review should take place six months after the County Council has endorsed this Select Committee Report and report back to the Corporate Parenting Panel.

Emotional and mental wellbeing

We wish to ensure that our children and young people receive timely access to effective emotional and mental health support when they need it:

We are aware of the reasons why it is vital for good mental health services to be available to all children and young people when they need it. Nonetheless, we are deeply troubled by the negative impact that the lack of timely access to support can have on the cognitive development and educational outcomes of the most vulnerable young people. We are aware that the Kent Health and Wellbeing Board is overseeing the delivery plan which underpins the Emotional Wellbeing Strategy. We also know that work is progressing on a new service specification prior to a re-tendering exercise. However, we feel that all Members need to have oversight of the process. Therefore, we recommend that:

Recommendation 11

KCC and its commissioning partners produce regular progress reports to the Health Overview and Scrutiny Committee regarding the provision of Child and Adolescent Mental Health services, including evidence of the impact in relation to children in care – particularly the support offered to care leavers, disabled children and UASC and adopted children. Updates are to include key performance information, including waiting times and any geographical variances in access to services.

Young people not in education, employment or training (NEET)

Prioritising children in care in the selection process for KCC Apprenticeships:

Data indicates that children in care experience major barriers to their achievement and attain less well academically than their peers. Not being in education, employment or training between certain ages is a key predictor of later unemployment. Being NEET has an impact on later job security, physical and mental health, youth offending and homelessness. We note that a NEET strategy and action plan is in development to support closing this attainment gap. It is important we have regular updates of the initiatives that are being put in place, or that are planned to be implemented, to address the high numbers of care leavers not in education, training or employment.

Recommendation 12

KCC should investigate what further measures can be adopted as part of the NEET strategy development to address the high numbers of care leavers not in education, training or employment and to improve the life skills 'offer' for the post 18s. Measures should be defined and implemented to address any areas in need of improvement. A report on progress should be brought to the Corporate Parenting Panel by June 2016.

Apprenticeships and other employment opportunities

Promoting apprenticeships and other employment opportunities to all young people in care:

We found that young people in care value apprenticeships very highly and we believe that this vocational training offers an important pathway to acquiring valuable skills that can underpin long-term employment security for young people. We believe that the County Council should go one step further with its private, public and VCS sector partners to explore how young people could gain greater access to apprenticeships schemes and other employment opportunities.

Recommendation 13

KCC and our partner agencies should explore the viability of developing opportunities for care leavers to have apprenticeship positions with KCC and/or partners thus increasing the range and access to further education and employment opportunities for young people in care who are in the NEET position.

Promoting the physical, emotional and mental health of children in our care

Children in care are likely to need additional and ongoing support:

We know that as corporate parents we should act on any early signs of emerging health issues in order to prevent the onset of illness where possible, and to improve the lifetime health and wellbeing of children and young people in our care. Yet we currently lack up-to-date data on the rates and profiles of mental health problems in Kent's children and young people. We also don't have a strategic, detailed understanding of the health needs of the children and young people in our care.

Recommendation 14

KCC should ensure work is undertaken to improve the information we collect regarding our children in care and care leavers and their health needs. The result of this work should be fully reflected in the revised Joint Strategic Needs Assessment and future commissioning arrangements.

Recruitment and retention of social workers and other care staff

Recruitment and retention of social workers and other staff with the right skills to support our children and young people in care is paramount

KCC should continue to strive to ensure that social workers from across the UK view us as an 'employer of choice' with a competitive offer that attracts the right numbers of experienced and skilled qualified staff to do the challenging but rewarding job of working alongside Kent's children and young people.

Recommendation 15

Processes need to be established to ensure all Members take an active role in getting to know our frontline staff and their concerns, informally as well as via formal consultation exercises. We should also ensure that feedback from our social workers is informing the development of activities and planning at all levels of the organisation. Protocols must be established to clarify this process.

November 2015

Corporate Parenting

Select Committee Report

Final Draft Version to Cabinet and County Council **Appendix 1**

This publication is available in other formats and can be explained in a range of languages

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From: Roger Gough, Cabinet Member for Education and Health Reform
Patrick Leeson, Corporate Director for Education and Young People's Services (EYPS)

To: Cabinet – 30 November 2015

Subject: **Outcome of the Engagement Exercise in respect of the revised Elective Home Education Policy and Approval of the Policy**

Classification: Unrestricted

Electoral Division: All

Summary: Cabinet agreed on 28 January 2015 to endorse the revised Elective Home Education (EHE) Policy and undertake a process of engagement on the proposals. This report details the outcome of the process of engagement with the EHE community on the revised EHE Policy.

Recommendations: Cabinet is asked to:

- (i) note the feedback from the engagement exercise detailed in Appendix 1;
- (ii) note that the policy has been amended in light of the feedback received and appears at Appendix 2;
- (iii) confirm the earlier agreement by Cabinet on 28 January 2015 to implement this revised Policy.

1. Introduction

On 28 January 2015, Cabinet considered the revised Elective Home Education (EHE) Policy. After consideration, Cabinet agreed to endorse the revised EHE Policy and undertake a process of engagement with the EHE community to secure feedback on the revised policy.

The revised policy was designed to make improvements to the way in which Kent engages and works with EHE families and to help establish an appropriate framework for engagement with the EHE community to ensure that suitable education is being provided for all children of parent(s) who elect to home educate.

Elective Home Education (EHE) is the term used to describe parents' decisions to provide education for their children at home instead of sending them to school. Parents are legally responsible for ensuring that their children receive a 'suitable' education. The role of the Local Authority is to provide support for home educating families (at a level decided by local authorities themselves) if families wish it; to ascertain whether suitable education is being provided (by a range of means including home visits) and to intervene with families if the local authority has reason to believe that a child may not be receiving a suitable education or there are concerns about their welfare.

There has been a significant increase in numbers of families registered to EHE – from 793 recorded in 2008 to 1349 in 2014-15. New referrals received in 2014 –

15 equated to 964 which averages at 80 per month. A significant number of referrals include young people aged 14-16, and pupils with a history of exclusion and unauthorised absence from school. In these cases the local authority may have some concern about the suitability of the education provided at home, and not in school.

In response to this increased number of children and young people being home educated there has been a renewed focus on engaging with families earlier. Current practice has shown that some families have been using EHE as a last resort and were not choosing this option pro- actively. There is good reason to believe, therefore, that home education is not the first preference for many of these families. Of the 964 referrals to the EHE Service in 2014-15 the subsequent work, advice and support for these families resulted in 366 children and young people being helped to return to school.

However, in undertaking our evaluation of current policy, safeguarding and educational risks were found. These concerns were recognised by KCC's Integrated Children's Services Board, which recommended that the Elective Home Education Policy be reviewed to ensure more robust approaches are put in place.

2. Feedback from the Engagement Exercise

The engagement process has secured a positive open dialogue moving forward with the EHE community which we wish to maintain. The engagement exercise was undertaken between April and June 2015 and incorporated:

- A postal survey to 1161 parents who were registered to EHE;
- Three public meetings held in Maidstone, Gravesend and Thanet;
- An invitation to review the newly designed EHE content on KCC's website.

Feedback from the EHE community comprised:

- 102 questionnaire survey responses;
- 17 individuals attended the public meetings (10 Maidstone, 3 Gravesend and 4 Thanet);
- There were 22 responses to the draft EHE content and feedback helped to inform the final design, layout and content of the EHE pages on KCC's website.

The outcomes of the public engagement exercise in respect of the revised EHE policy are attached as Appendix 1. Part 1 of the feedback details a summary of responses to the questions asked in the survey, grouped around their observations, advice and outstanding concerns. Part 2 summarises the issues raised at the public meetings on pages 26 and 27.

Part 3 of the Engagement Feedback Report provides a summary of the engagement exercise and is detailed on pages 28 – 32 of Appendix 1. It takes the form of:

- What we heard;
- The LA's response; and
- What more the LA could do.

3. **Response to the feedback**

Overall, the feedback received from interested parties raised a number of concerns about the perception the EHE community has towards the LA and its intentions. In light of the issues raised, officers have been able to improve the clarity and understanding of both KCC's intentions and duties in respect of EHE. A number of aspects of the EHE policy have been redrafted to better reflect our intentions and a number of new paragraphs have been added that seek to emphasise the right of parents to educate their children at home and focus on working with and seeking to support EHE parents where they wish to engage. The final revised policy can be found in Appendix 2 of this report. In light of the feedback received, KCC's EHE website has been substantially redesigned in order to provide improved support and advice to parents.

Unfortunately, a large number of parents in the EHE community did not engage with the exercise. Of those that responded (141 in total) their principle concerns are that they are:

- Opposed to any LA engagement with them and their children;
- Want funding support for the education they provide, including fees for public examinations;
- Do not agree with our EHE Policy.

Other concerns expressed by the responders included:

- The belief that KCC has no duty to monitor the suitability of Elective Home Education;
- Families want advice and guidance, not obstructions or intrusion;
- KCC should consider the approach of other LAs to EHE.
- Access to learning materials.

Part 3 of the Engagement Feedback Report (Appendix 1) addresses the concerns identified in detail.

In each instance, every response received has been fully considered with concerns taken into consideration which have informed a redraft of aspects of the policy. However, some key elements are integral to the intent of the revised policy and have therefore remained.

4. **Focus of the revised Elective Home Education Policy**

KCC is obliged to fulfil its responsibilities to all parents who elect to educate at home and in meeting these responsibilities, intervene with families where there is reason to believe that children are not receiving a suitable education. In light of this duty, the change in composition of the growing EHE registrations and the variety of different circumstances that pupils and parents present, it is KCC's intention to maintain the focus of our original revised policy, whilst also improving access to information, learning materials and support and advice that an EHE family may need.

Where one or more of the conditions set out in Section 5 of the revised EHE Policy (attached at Appendix 2 and below for ease of reference) are met, KCC expects every parent(s) who elects to home educate, to participate in a meeting with an

EHE Officer and the child at a mutually convenient time and place in order to satisfy KCC of the suitability of the education provision. From past experience, the presence of one or more of these factors is a strong indication that the child in question may well not be engaging in or receiving a suitable education and may be seriously under-achieving. Education will not be recorded by KCC as suitable if the meeting with the parent(s) / carer(s) is not held.

The conditions where this meeting would usually be required are:

- a) The child has a history of persistent unauthorised absence from school (by persistent absence, KCC mean absence of 15% or higher);
- b) The child has a record of poor attainment at school as measured by progression in performance using prior attainment, school assessments and National Curriculum Test Results as the basis for assessment;
- c) The child has previously been permanently excluded from school(s) or has a history of fixed term exclusion whilst at school;
- d) The child has been referred to Early Help and/or to Children's Social Care.

Where none of the four conditions set out above are present, KCC would strongly encourage parents to participate in a meeting in order that they receive the full support and advice available. However in these circumstances, unless there is any other matter which suggests that the child is not receiving a suitable education otherwise than at a school, there is no expectation of such a meeting and KCC will record such a child as receiving suitable education.

5. Equality Impact Assessment

A full Equality Impact Assessment was undertaken on the EHE Policy and can be viewed in Appendix 3 of this report.

6. Conclusion

Kent County Council recognises that most parents who elect to educate their child(ren) at home provide suitable education and this is to be commended.

Whilst recognising there has been opposition to the introduction of the revised EHE Policy, we cannot lose sight of the compelling data detailed in the EQIA (Appendix 3) under the section entitled 'Information and Data', which demonstrates a strong correlation between the characteristics of vulnerable children and many of those that register for EHE.

The EHE policy has been revised to state that where one of the four conditions set out above is met, indicating a strong likelihood that a suitable education may not be being received, the expectation is that the evidence for the provision of a suitable education will include a meeting with the child present. This will help ensure that informed decisions have been made and that an informed judgement on suitability of provision can be made. Where there has been no engagement with KCC officers, and one of the conditions above have been met, the education provision will not be recorded as suitable. It will be recorded that there has been no opportunity to speak to the child and see sufficient evidence regarding their education and the child's name will be added to the Children Missing Education register.

Children 'Missing Education' who are registered EHE will remain on the Children Missing Education register until KCC is satisfied that suitable education is being provided, including through a meeting which involves engagement with the child and parent.

Where there is evidence that a suitable education is not being provided, and after a period of time in which the parent has been asked to improve the educational programme and the expectations for a suitable education are still not being met, KCC will take steps to issue a School Attendance Order.

KCC considers the revised EHE Policy (attached at Appendix 2) reflects a balanced approach to mitigating some of the concerns raised by home educators, whilst stating our clear intention to provide any necessary support to vulnerable learners.

7. Recommendations: The Cabinet is asked to:

- (i) note the feedback from the engagement exercise detailed in Appendix 1;
- (ii) note that the policy has been amended in light of the feedback received and appears at Appendix 2;
- (iii) confirm the earlier agreement by Cabinet on 28 January 2015 to implement this Policy.

Appendices:

- **Appendix 1** – Feedback from Engagement Exercise – Elective Home Education Policy
- **Appendix 2** – Revised Elective Home Education Policy
- **Appendix 3** – Equality Impact Assessment of the Elective Home Education Policy

7. Contact details

Report Author:
Scott Bagshaw – Head of Fair Access
03000 415798
scott.bagshaw@kent.gov.uk

Relevant Director:
Keith Abbott – Director of Education Planning and Access
03000 416677
keith.abbott@kent.gov.uk

Feedback on the Elective Home Education Policy Engagement Exercise

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Introductory Comments

Kent's Cabinet recently endorsed the draft Elective Home Education Policy and asked that officers engage with Kent's elective home education community to seek feedback.

The policy document is designed to make improvements to the way in which Kent engage and work with EHE families and to help establish an appropriate framework for engagement with the EHE community. We wanted to provide the opportunity for the Elective Home Education community to comment between 30 April 2015 - 12 June 2015. KCC intend to maintain a positive open dialogue going forward inviting groups to use a section of our website for promoting learning opportunities.

To ensure EHE families were aware of the consultation period, KCC wrote to 1161 parents who were registered to EHE and published the consultation on its website. 102 responses were received. Responders were asked to complete a questionnaire enabling the Local Authority (LA) to acknowledge the opinion of the EHE community.

Part 1 – Survey Questions and Answers

Question 1

We know from looking at the data we hold on registered Electively Home Educated children that about 50% of families chose to electively home educate following a breakdown in relationship with the child's schools which followed on from poor attendance levels and/or because the family felt their child wasn't being appropriately supported by the school.

Do you think KCC is right to try to engage families early who feel they are in this position with the offer of support in accessing their previous school (or an alternative school place) whilst providing additional support and advice on the delivery of home education if on balance this is preferred?

Answers

Option	Results Count
Yes	38% (39)
No	53% (54)
Don't Know	9% (9)

Observations made

These are unresolved school issues

Requires more data to have a complete picture

EHE parents do not need to involve the LA

KCC appear to be insisting parents return their CYP to school.

Elective is not always how it feels.

The Issue is with schools.

Home educating community provide adequate support.

LA Support is helpful.

Genuine support is welcomed.

LA's have a duty to act if no education is in place.

Advice offered

Allow families time to 'de-school'.

Leave EHE to families

Offer support, not force support.

EHE can meet the needs of some CYP better than schools.

Do parents have a choice?

Allow parents to make their own choice.

Problems with previous school may not be an indication EHE won't work for the family.

Acknowledge parents right to EHE

Provide a schools strategy for discussing EHE.

LA to make families aware of support

Provide better training in schools

LA to act as a go between before families de-register.

Offer support to those who want to return to a school.

Engage with families early on with a respectful dialogue

An LA contact available to advise, before the family de-register.

The LA should identify schools who promote EHE to families.

Earlier LA interventions would help.

Signpost families to support with an introductory letter

Write to parents annually to offer support.

KCC should offer all the support it can.

Question 2

There is no duty on the Local Authority to monitor the quality of elective home education and we know from our data that about 50% of home educating families we visit are well-resourced and their children's education is thriving.

Do you think it is reasonable for KCC to ask parents to evidence this so that the local authority can quickly identify families as not of concern and target their efforts more readily where children may not be receiving appropriate education?

Answers

Option	Results Count
--------	---------------

Yes	15% (15)
-----	----------

No	81% (82)
----	----------

Don't Know	4% (4)
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Observations made

Families should not be of concern, until the LA has reason to believe otherwise.

The LA has no legal rights.

Parents are free to make choices.

No legal requirement

EHE do not necessarily follow curriculum

A waste of limited resources.

Depends on the definition of quality and what's suitable for the child

Its intrusive

The role of the LA should be a supportive one.

EHE is a personal choice.

The LA only offer advice not practical help.

There are systems in place to identify families who require interventions.

How EHE is delivered will vary from one family to another.

The LA has a responsibility to identify children not receiving education

The EHE officer who visited was calm and communicated well with the children

Reasonable to ask for evidence, but consider how this is done

Advice offered

The LA, to consider providing better resources to EHE families.

Request evidence if they have reason to believe the child is not receiving an education.

Assume that parents are providing a suitable and sufficient education unless evidence is available that disputes this

The LA cannot judge education quality, only that education exists.

EHE officers are not considered to be qualified to assess the abilities of CYP

It is acceptable to contact the family after a settling in period.

All EHE families should be regularly visited, situations may change.

KCC should only be contacting families or requesting

KCC should visit all EHE CYP in the home

KCC should only offer support to those who consider they were forced to EHE.

KCC should provide resources and exam centres.

Questions asked

How does the LA define well resourced?

Where is evidence of EQIA data published?

How will KCC measure the "quality" of an education?

How is the LA considered qualified to judge, education provision?.

Question 3

KCC's policy distinguishes those EHE children where one or more of the factors listed below is present which from past experience and our data is a strong indicator that the child in question may not be receiving a suitable education.

Do you think that the four conditions set out in the policy are reasonable indicators to use to help determine where officers should focus their attention and support?

Answers

	Yes	No	Don't know
1. The child has a history of persistent unauthorised absence from school (by persistent absence, KCC mean absence of 15% or higher) (33% answered)	15	78	9
2. The child has a record of poor attainment at school as measured by progression in performance using prior attainment and National Curriculum test results as the basis for assessment. (22% answered)	12	84	6
3. The child has previously been permanently excluded from school(s) or has been subject to more than one fixed term exclusion whilst at school. (19% answered)	33	63	5
4. The child has been referred to early help and / or to children's social care. (26% answered)	35	60	7

Question 4

The Local Authority is primarily concerned where it is suggested by schools and other agencies that families are unlikely to have the capacity to effectively home educate.

Where this is the case, do you think the Local Authority should ask for evidence of learning so we can be confident the child is not denied access to education?

Answers

Option	Results Count
Yes	19% (18)
No	74% (72)
Don't Know	7% (7)

Observations made

In some cases, would be a better answer

They have no legal right to do so

It is utterly undermining parents to imply that all an agency need do is "suggest" a family might not have the capacity to home educate effectively in order for the LEA to intervene

Children need to be engaged to learn at a rate that they are comfortable with

The law is clear

This is a binary solution; the proposition is that the state provision for education is institutionalized learning in the asylum setting - and nothing else.

Head teachers do not always appreciate that EHE is an effective educational provision.

Progress of the CYP is relative and can be hard to measure

Schools and other agencies usually know diddly squat about elective home education and how it works Evidence should be given that the child is learning but learning to their capability.

Concerns raised around the quality or bias of the information provided to the LA from the school.

Schools do not understand or approve of EHE.

Broadly speaking there are 2 groups of home-schooled: Lifestyle choice or Solution based

Where school and parents relationship breaks down, the school has no rights what so ever to voice an opinion as to whether these parents are capable of providing adequate education

Assumptions are made about the parents ability to EHE

The law does NOT say 'if it appears to a local authority that a child of compulsory school age in their area might not receive suitable education at some point in the

future...' it says 'if it appears to a local education authority that a child of compulsory school age in their area IS NOT [my emphasis] receiving suitable education'. The law absolutely does not require the LA to feel 'confident' about a child's prospects.

Most school-based educationalists do not understand Home Education, how different intelligences work or that different children need different approaches to learning

The law does not require KCC to judge a child's future prospects

Advice offered

Only ask to meet a parent where genuine concerns exist.

Give parents time to adjust and find their own way

Acknowledge that families deliver EHE differently

Where concerns have been raised, KCC should of course make informal enquiries to ascertain whether the child is receiving a suitable education. There is no requirement to demonstrate 'learning'

When you are dealing with children, every case is different because children are individuals. An experienced EHE officer will know when it is appropriate to ask for evidence of learning

The idea that parents need to fit some particular criteria to successfully home educate their child is not true

Identify schools not deregistering a CYP who has been removed to EHE

Purely subjective decisions by professionals should not result in parents being considered unable to educate their child

The parents know the child better than the schools

Definitely – these vulnerable children need protection

LA should ask for evidence from schools who make such claims and the family offered the opportunity to counter the claims

It is not for schools and other agencies to judge home education provision

Please train KCC EHE staff so they don't ask stupid questions like this

If a concern is reported to you, you must by law follow it up. However, consider the source

I agree these families should be engaged and the individual reasons for concern should be addressed and discussed. It should not necessarily mean that evidence of learning needs to be provided

They should only ask questions if they have evidence or real reason to think that the child is not receiving a suitable education

KCC should not only ask for evidence as a box-ticking exercise, but arrange home visits and ask the child questions and perhaps do some age-appropriate tests of basic literacy and numeracy

If the child is deemed at risk through factors other than education such as at risk of abuse yes, but I fear there is still a great deal of ignorance, prejudice and stereotyping regarding HE esp within schools who are nervous about children being

outside of the system

I don't think you can be asking for evidence of learning. I think you should be asking for a written or verbal educational philosophy and a plan for how the parent is going to achieve the education that they are setting out to achieve

Questions asked

How can this be judged?

How can the school make assumptions about the parents' ability to educate? This smacks of bullying by local authorities and schools towards individuals

What makes you think a school that has failed the family to the point of them removing their child from the education system is in a position to judge the families ability to provide an education?

Question 5

Although there is no legal obligation for EHE families to engage with the Local Authority, KCC believes that some level of engagement is constructive to help meet its welfare and safeguarding responsibilities to Kent children.

To what extent do you agree or disagree that engagement with EHE families should be undertaken for this purpose?

Answers

Option	Results Count
Strongly agree	7% (7)
Agree	12% (12)
Neither agree nor disagree	8% (8)
Disagree	22% (21)
Strongly disagree	49% (48)
Don't know	1% (1)

Question 6

Please tell us any suggestions you have for how best KCC can engage with vulnerable children and families (who have chosen to EHE) to ensure children are receiving appropriate education. (It is not our intention to impose on those families delivering suitable education for their children.)

Answers

There were a number of suggestions which we have categorised:

Funding and resources

KCC to Provide communal areas where families can meet to perform activities,

Offer grants for supplies,

Free resources, reduced price entry for school trips

Support the family (financially if you have to), make sure they can be healthy and happy.

Provide alternatives, like a tutor, or small co-op schools, or alternative schooling systems that would suit that child.

Offer positive reasons for families to engage with the authority by for example opening up access to educational, sporting and creative opportunities and resources for home educating families.

Make educational resources freely available.

Publicise available resources

Discounts for council run facilities

Pay money to HE families,

LA funded surgery with the EHE advisors in the library and EHE mentor on hand

Pay costs of exams

More financial support for sick or disabled children

LA support

'Fantastic supportive not judgmental or intrusive and lots of advice and reassurance was given (although on very infrequent visits)'. This is the right balance. If parents do not want this then it is reasonable for safeguarding checks to be made

Parents can be helped not forced

Focus on schools, Make schools accountable

Create a pro-HE website (even a simple blog so there are no fees) with useful info

Offer an induction course to all parents starting the process of home schooling, critically workshop based.

Engagement

Don't interfere with parents

Consider this to be a tick box exercise

Offer time to 'deschool', before being expected to engage with the LA

Engagement is best done as a group activity

Well-functioning families have a lot of relevant support and are capable of seeking what they need without the help of KCC

The LA to work with schools to reduce bullying and increase support

LA to give some positives for the families

Families engage with the LA out of fear. They feel that they must prove not only that they are educating to a high standard but also prove that there are no welfare concerns

Provide incentives to EHE families to engage

Offer a non-judgemental, informative service

Look at the whole child, the whole family, not just the education aspect

LA to attempt to have a decent relationship with families

Listen to EHE families

Build better relationships with EHE families

Provided services worth engaging in

Publicise the work that Education Otherwise and local HE groups undertake

Improve the SEN support so as its easier to gain support

Acknowledge good practice

Operate a non-judgemental 'open-door' policy

More regular visits from the LA, list what the LA officer can offer to EHE families

Letters bespoke to the family

Develop a good website

Educate KCC officers on EHE. Use the expertise and experience of existing EHE communities to help and support home educated children

Engage POSITIVELY with families 'above the radar' then perhaps your staff will be seen less negatively by those avoiding your services

Offer support but make it entirely voluntary and communicate that this is the case

Offer more help, if you offer to help facilitate and guide home schoolers, you will have more opportunities to engage and get voluntary sign up

Offer individualised packages of agency support to vulnerable families

Constructive engagement with the LA is beneficial to families

Be clear how & what evidence the LA request from families

Safeguarding/welfare

It is reasonable to seek to support families already known to social services who are home educating, but it should be with the aim of supporting them in their home education rather than condemning it

Children are not put into school to safe-guard them, they are in school to receive an education. Home educators have contact with Drs, clubs, societies, etc.

Welfare of children is primarily parents' responsibilities. Safeguarding is everyone's responsibility

Safeguarding concern should be referred to social services or the police

Education is completely separate from welfare issues

KCC should engage if and only if there are real safeguarding concerns, as with any child (ie not treating EHE children as particularly at risk)

Being EHE is not a reason for concern over the child's welfare

The LA are not responsible for what goes on in private families unless there are issues

Home education in itself is not an indicator of abuse

In the context of home education, KCC has very limited 'education functions'

It is not, nor has it ever been, the duty of KCC to ensure the welfare and safeguarding of Kent children. Home education is not a welfare issue and safeguarding is not the remit of EHE visitors, it is the role of social services

Conflation of welfare and education creates a confusion of responsibility liable to lead to vulnerable children falling through the cracks. KCC should refer any welfare concerns to the appropriate agency

The law is clear that there is no legal need for engagement. Home educating a child is not a welfare issue and the two should not be conflated

Some level of engagement can be constructive to help parents with the education of their children

Welfare wasn't looked after very well in mainstream school

The LA can encourage families to engage with the service there without operating the proposed deficit model which sets families up to fail

Be proactive in challenging schools nudging out pupils who disrupt the smooth running of the school or who are unlikely to achieve the required exam results

Identify where there are bullying issues in schools

KCC should act according to its duties if there are concerns about a specific child's safety or welfare. There is no need to engage with EHE families in a blanket fashion for this reason

Ed families take the home ed route because they want the best for their child

Parents are the natural and legal safeguarders of their children. Home educated children are at no more risk than those children in school

Safe guarding and educating should be kept as two separate issues

Education professionals already have the power to refer families to other agencies where there are concerns about a child's safety or welfare

Home Educated children are not more at risk than schooled children. If the authority plans to monitor HE children in order to check on their welfare, does it also plan to check on pre-school children not attending nursery? And schooled children in the school holidays?

It is not KCC's responsibility to safeguard the child, it is the parents

My parents are responsible for me. Nobody at school looked out for me. I don't think KCC is responsible in any way for my welfare unless there is a problem

Welfare and education are not the same thing

Home education IS NOT A welfare and safeguarding issue

Elective Home education should not be seen as a welfare concern

There is already a system in place for safeguarding

EHE is not a safeguarding issue. The LA's safeguarding remit extends to a proactive duty with regard to its own services and a reactive duty should welfare concerns come to light. Safety in schools is the LA's responsibility, yet bullying and coercion is rife. Safety at home or in the wider world is the parents' responsibility. Nothing in law permits LAs to go on fishing expeditions for welfare concerns

Allow other agencies to support vulnerable EHE families . eg: Social services

EHE people responsible for referring those who are vulnerable to their LA, when that LA behaves appropriately

The LA has misunderstood its duty under s175(1) as there is no proactive duty for you to seek to undertake safeguarding checks on HE children

There is no evidence of any links between home education and safeguarding

Some level of engagement is fine, it should be optional

Safeguarding duties should not be conflated with education. The two are distinct and separate in law for good reason

Studies show the link between home education and safeguarding is completely unsupported by the statistics

If engagement for safeguarding is linked to home education it should also be linked to children in free schools or independent schools who are equally not in contact with LA safeguarding

What safeguarding duties?

The Badman Review was referenced

LA involvement is unlawful

If there are concerns about a child's welfare then that is a social services issue

Elective home education is not and never should be a welfare consideration

Again the law!!! education is NOT a cause for safeguarding concerns

Should not be as excuse to presume welfare or safeguarding issue

You should assume as set out by the law, that parents have the welfare of their own children at heart, that we are not a risk to our own kids.

Most EHE are protecting their children from the real problem....the school system, which allows heads to ignore Specialist and GP requests and which breaks the law by the way it handles the provision of education for sick children

Social Services is the agency responsible for a child's welfare. Elective Home Education is NOT a welfare concern. Confusing the two has led to children not having the correct input from social services - be VERY careful with this

Home education is not a safe guarding issue

Policy recommendations

Stop using narrow definitions of 'suitable' education. Use the safeguarding procedures already in place properly

Withdraw the policy

Follow Lancashire

The LA to take a hands on policy and stop the purely advisory role

The LA to provide meaningful support, undertaken in such a way that the family do not feel they are being dictated/demeaned by

Guidance rather than forceful action

Define vulnerable

Question 7a

We know from our visits with some families and from data relating to spikes in the school year that when families opt to EHE this can be driven by schools, and parents have felt pressured to EHE.

Has this been your experience?

Answers

Option	Results Count
Yes	14% (13)
No	78% (72)
Don't Know	8% (7)

YES

Schools reluctant to acknowledge bullying

Lack of appropriate SEN support

Undiagnosed SEN

Pressure of testing

Medical issues

Flawed school system

School should be taken to task

The environment of school life in general pushes parents of some children to HE?

The school refused to Home Tutor a sick child as requested by the specialist

school were in denial that problems existed

No mediator to advise and support parents

Schools having ridged approached to education

A number of educational and pastoral care issues

Reported to me by parents. The scale of this needs to be identified and schools need

to be tackled if they are adopting this as a policy to force out children who they regard as undesirable, perhaps by threatening them with permanent exclusion if they do not comply

Lack of CAMHS knowledge

It might be worth checking to see if the spikes are just after the school census days. Schools have been known to get prickly when parents attempt to deregister their children in the weeks leading up to the funding dates

Failed relationship with school

School unable to provide appropriate support

Ill health and absence

I haven't any experience of this and haven't met a HE family that has

Not applicable to our family

but I have heard of this from teachers at reputable schools who know of other schools who do this to keep their exclusion figures down or to avoid low exam grades

Question 7b

Has this been the experience of any EHE families you know?

Answers

Option	Results Count
Yes	33% (30)
No	45% (41)
Don't know	23% (21)

YES

Unlawful exclusions on Ofsted days and school trip days followed by pressure to deregister

The Home Ed families I know have either removed their child because of bullying, haven't managed to secure a place in the school of their choice, or simply because they do not feel that a child sitting in a box for 6 hours a day being pressurized to reach targets is healthy

I meet with parents via the Kent autistic trust who have similar experiences

A tiny minority and they are not true home educators

Forced into Home Education due to serious failings in school, including neglect, bullying and abuse from teachers and pupils. Other factors have included large class sizes, inability to recognise and deliver individualised teaching, forced pressures from constant tests to meet Government standards

Many HE families feel unsupported by school and I have since heard that many parents advised not to tell schools of decision of HE due to ill effects our children

suffer because of this. Some children just don't fit the school system and should not have to endure something that is detrimental to them

Schools are uncooperative and unable to cater for child's needs- impossible to help 30 children and do all paperwork expected of teachers

My use of forums indicate this

Some of the families that I advocate for have been advised to consider home education by schools that are trying to get rid of "trouble" children from their rolls

Undiagnosed SEN

Many families feel so failed by the school system that home education becomes a necessity not a choice

yes, but from shared experiences, which cover all of England- so not necessarily Kent

Two CYP taken out of school because their schools said it was the only way to avoid fines for absence

Several families I know have experienced this for the following reasons:

- special needs not met
- bullying not properly dealt with by the school
- challenging behaviour not wanted by Academy schools
- curriculum and methods of teaching not suitable for child with learning needs

I have talked to many home educating families throughout the country and they don't always realise how they have been driven into a corner with regard to home education, what the alternatives might be, and how much entitlement they sign away once they deregister

Schools are often the driving force because of their failings, but it is a fortuitous discovery that home education can provide a fully tailored and considered education for each child

One felt their gifted child wasn't getting the most they could from school. Some didn't get the place they wanted and so EHE until one became available

No but I have heard that LAs think this so I assume some must

Not personally no, although have heard people on internet forums say they have come to home education that way (not necessarily in Kent)

No families who EHE that we know have been pressured into EHE

It's not my business to describe others' experience, as it's not yours also

Sorry I do not feel it is appropriate to comment on other families in this kind of detail

Question 8

Have you received a home visit from the Kent Elective Home Education team?

Option	Results Count
Yes	33% (30)
No	67% (62)

Don't know 0% (0)

Question 8a

If yes, how would you rate the quality of advice you were given?

Answers

Option	Results Count
Excellent	37% (11)
Good	13% (4)
Satisfactory	27% (8)
Unhelpful	17% (5)
Very Unhelpful	7% (2)

Question 9

Do you have any other suggestions as to how we can improve the quality of our contact and engagement with EHE families?

Answers

Legislation

Letters that reflect the law. A policy that reflects the law. Useful info without strings.
Asking the community what support it requires

Read law, act upon law. You are no law

Step in line with national law and guidance

Respect them. Treat them as equals. Keep to the Law

follow current Government guidelines and legislation

Suggestions to Improve Working practices

Visits should be encouraged to help provide any extra support parents may need while EHEing

Treat EHE families with respect

As soon as a parent tells the school or EWO or SEN team at KCC that they are home educating, it might be prudent to invite parents to talk or offer help

Within the first few months send a standard letter listing groups/services/benefits that could be of use to the family with contact details for the EHE officer if they so wish to use it

After 6-12 months send a letter to offer a meeting or preferably a drop in session for parents with or without their children to have the opportunity to discuss any problems they may have with a request to send an education philosophy.

Hold open days, without registration, so those who do not want to be on any list can still access information

If it is a families choice then just let them know you are there if needed. And maybe do 1 or 2 visits a year to check that the child is ok. Otherwise offer help not just advice. All children deserve an education and is awful when you are told that there is no education available

Show more respect - be honest - be positive and open about EHE and stop trying to impose home visits, face to face meetings and such like on families who have told you they don't want them

Make sure ALL staff know the policy and make sure all staff do not over step the mark if they are invited into the family's homes

By all means offer support and services

Accept that conventional schooling is only one of a wide range of didactic methods

Work with schools to ensure that where pupils are disengaging, the school is working proactively to address the issue

Look at Lancashire

Carry out a comprehensive survey into why families opt to EHE. Analyse data

Non-intrusive , non-compulsory

Be more supportive and less threatening in all communications

Do not suggest follow up visits as par for the course

Training and more knowledgeable staff - particularly in relation to the law around home education

More professional staff, ie in their manner when making phone calls

Liaise with local Home Educating groups and families in a manner which inspires trust

Hold parent led group meetings

Show more respect - be honest - be positive and open about EHE

Stop trying to impose home visits

Keep to the existing legislation
Scrap the dreadful draft policy
Don't turn up on the doorstep unannounced
Offer support rather than demand evidence
Let families come to you if they feel they need it
I am sure your team do a great job and would like to think that the people you employ are all for Home Ed. Do not try and force CYP back into schools
Understand that your duties are reactive, not proactive
KCC should only be contacting families if legitimate educational concerns have been reported and offering support if families ask for it
A service accessed voluntarily
Differentiate between EHE families and CEHE families
Research into different intelligence, personality types, 'learning difficulties', syndromes, methods of learning
Just 'offer' contact details and let the parents know what help is available should they require it
Offer help accessing the kind of support available to those with children in school regarding special needs assessments, taking gcse's moving on from home ed to college
EHE officers after a visit should have to provide the family with a report for their own interest
Offer induction workshop for parents
Separate from the KCC website
Advertise better so that people are more aware of your team's efforts
Be friendly and have an alternative to going back to school if EHE isn't working (in your view)
Provide independent advocates for the children experiencing difficulties in school
Intervene in the situations where all those families cannot engage with education before they are forced to EHE
Do not suggest unnecessary visits to families, do not ask for evidence of learning or plans from families who you have no grounds to believe are not educating their children

Comments

"KCC's current interpretation of legislation and guidance results in EHE Officers making contact with registered home educating parents and offering a meeting to advise and provide support. However, parents may refuse this offer and provide alternative evidence of education. They may choose to meet EHE Officers at an alternative venue, or choose not to engage. There is some risk therefore that children who do not attend a meeting may not be receiving a suitable or any planned education. This means the LA is not able to ascertain whether a suitable education is

being provided in these cases."

That is not an offer - its a threat and a very poorly worded one. I am not required to provide evidence of anything unless I am subject to a S437 notice and even then I can provide evidence in any form I choose as has been proven again and again in courts

KCC Provide independent advocates for the family Policy is written on the premise that a choice has been made

Personal experiences

Positive

We are really happy with the visit we have and the support and experience

First visit was not compulsory and the person I saw was knowledgeable and encouragingly positive. This is a better approach than what I expect my next contact to be.....You must do this.. & why?? Because of past social services involvement

Don't contact families unless its legally justifiable

Do not suggest unnecessary visits to families

Do not ask for evidence of learning or plans from families who you have no grounds to believe are not educating their children

Negative

I had two visits in five years on both occasions I asked for information and never received the information requested

Complaint about links with NHS reporting Children missing education

Question 10

Do you have any further comments about the Kent EHE policy?

It should reflect the law, not project vulnerabilities onto families and not make assumptions

Answers

Positive

All HE children should be given free exams like children in schools. It really does not help families who are trying to provide a good education to then have to pay £165.00 per exam

I welcome being able to give evidence of the work my home educated child does, she works very hard and if there's nothing to hide there's no problem. Any suggestions of how to improve her education are always welcome

Looks fine ensures child has an education

Please, please do something to help these children and families who are not 'electing' but forced to home educate. This is a much, much bigger, wider, deeper issue than the still important priority of ensuring that EHE students are safeguarded and receiving an appropriate education

The actual support received acknowledged fully our situation, was extremely realistic and helpful

i believe that the policy should be left as it is

I welcome being able to give evidence of the work my home educated child does, she works very hard and if there's nothing to hide there's no problem. Any suggestions of how to improve her education are always welcome

Looks fine ensures child has an education

Please, please do something to help these children and families who are not 'electing' but forced to home educate. This is a much, much bigger, wider, deeper issue than the still important priority of ensuring that EHE students are safeguarded and receiving an appropriate education

Negative

I am concerned that this policy will have a negative impact on children with disabilities

Glad it has been consulted. Unsure how much this will affect what seemed to be a policy set up before consultation

It should include flexi school options

Yes - solve the pressured into off rolling problem in the schools

I am working with several other EHE parents to assess the EHE policies of each LA and yours is the worst I have come across so far!

I believe it is wrong to monitor & make visits compulsory. The legal guidelines is that it is our responsibility & that HE is not a reason for LA involvement

Allow home ed families to ask for support if they need it, and respect their wishes if they choose to decline visits

Solve the pressured into off rolling problem in the schools

It has caused dismay amongst HE families and advice sites have been full of fearful comments about your approach

Do not suggest unnecessary visits to families, do not ask for evidence of learning or plans from families who you have no grounds to believe are not educating their children

It needs to be rewritten in co-operation with members of the home educating community in Kent. It needs to be compliant with Education Law and the EHE Guidelines for LAs

Provide access to resources that we are taxed for and then denied access to

Your current draft policy badly misquotes the law and guidance and brings in a number of irrelevant items in order to bolster a very one-sided view of EHE. Your four "high risk" categories that you insist require home visits are blinkered,

discriminatory and unlawful

It seems to have too much bias on the anti-home educators front

Tangible help not yet more advice

Try a different approach because there is a lot of anger from parents that believe the system has failed their children whilst at school

It should include flexi school options

Please provide access to resources that we are taxed for and then denied access to

Focus on the causes not the symptoms of the failing school system, that results in pupils/families feeling they have no option but to electively home educate in order to give their children an effective education that meets their individual needs

Disappointed to read that the cost of exam entries will remain with HE families; as such a large local authority I feel Kent could be leading the campaign to gain funding from central government for HE children to have their exam entries funded to take a limited number of exams e.g. in Maths and English

As it stands KCC are assuming that parents can't carry out their parental duty unless it overseen by KCC

There are a couple of issues in the policy but I am more concerned with what will happen in practice as my experience is that does not always follow policy

It seems to have too much bias on the anti home educators front. Stop viewing home educators as potential child abusers, but instead see them as engaged parents

On the equality analysis it mentions the "limited support available" - this needs qualifying to "limited financial support" . There is loads of support for HE families

It does not as it stand meet the needs of my HE families, they want tangible help not yet more advice

Not enough consultation

The draft policy does not address or even mention that there is an issue in Kent. I know that EHE is not per se a problem, but there has to be a reason for the exceptionally high figures which needs to be identified before any policy can be finalised (actually I think it should have come first)

You need to check your policies against what the law says

There is no need to rewrite policy, it is already there in the form of the Elective Home Education Guidelines for Local Authorities 2007. It is, in fact, statutory guidance as it is signposted in CME Guidance 2015. Therefore any policy that goes against the EHEGLA is not in line with statutory guidance

Just because you change your policies it does not mean that home educating families have to abide by them, so don't bully or threaten people into complying with your ultra vires demands

For all of the reasons I have previously stated I feel that the proposed policy is unfair and unjust and targets the more vulnerable children in the community

I would like it to reflect the EHEGLA. Advisors are already overstepping the mark, and have stated the new policy is already in effect

EHE is done out of wanting the best for our children and many parents feel

victimised and pressured into proving this

It should be completely reworded and in line with the law/government guidelines

Having recently denied an EHCP assessment for our child, we are more than satisfied we made the correct choice

Question 11

Kent is one of the largest authorities in the country and we are keen to direct our resources most appropriately across the districts. To assist us in this, please provide your postcode (either in full or the first part).

Answers

Question 12

Are you?

Male	17%	(16)
Female	66%	(61)
Prefer not to say	17%	(16)

Question 13

Which of these age groups applies to you?

16-24	3%	(3)
35-49	50%	(51)
50-59	11%	(10)
60-64	1%	(1)
65-74	1%	(1)
Prefer not to say	18%	(17)

Question 14

To which of these Ethnic groups do you feel you belong?

White English	60%	(55)
White Scottish	1%	(1)
White Welsh	0%	(0)
White Northern Irish	1%	(1)
White: Irish	1%	(1)
White: Gypsy/Roma	1%	(1)
White: Irish Traveller	0%	(0)
White: Other*	7%	(6)
Mixed: White and Black Caribbean	0%	(0)
Mixed: White and Black African	0%	(0)
Mixed: White and Asian	0%	(0)

Mixed: Other*	0% (0)
Asian or Asian British: Indian	3% (3)
Asian or Asian British: Pakistani	0% (0)
Asian or Asian British: Bangladeshi	0% (0)
Asian or Asian British: Other*	0% (0)
Black or Black British: Caribbean	0% (0)
Black or Black British: African	0% (0)
Black or Black British: Other*	0% (0)
Arab	0% (0)
Chinese	0% (0)

Question 15

Do you consider yourself to be disabled as set out in the Equality Act 2010?

Yes	15% (14)
No	68% (63)
I prefer not to say	17% (16)

Question 15a

What type of impairment applies to you?

Physical impairment	21%	(3)
Sensory impairment (hearing sight or both)	7%	(1)
Long standing illness or health condition, such as cancer, HIV/AIDS, heart disease, diabetes or epilepsy	14%	(2)
Mental health condition	0%	(0)
Learning disability	0%	(0)
I prefer not to say	71%	(10)
other	0%	(0)

Question 16a

Which of the following applies to you?

Christian	80%	(20)
Buddhist	4%	(1)
Hindu	0	(0)
Jewish	0	(0)
Muslim	0	(0)
Sikh	0	(0)
Other	12%	(3)

The engagement responses reflect a mixed response from the EHE community. Some felt that engagement with the Local Authority was positive and helpful; however there were those who considered that any engagement should be on a voluntary basis.

Part 2 – Issues Raised at Public Meetings and via KCC Website

Public Meetings

There were three meeting held in key areas of the county:

Maidstone	10 people attended.
Gravesend	3 people attended
Thanet	4 people attended.

The attendees raised issues around the legislation not requiring the LA to monitor EHE families

They were concerned EHE families may be victimised by the LA

They were informed that EHE officers were advising parents on what to cover in the curriculum

They were concerned that EHE officers were there to judge and not assist

Attendees were not clear how the policy would affect them

There were many myths around the LA and attendees were concerned as to what and/or who to believe

Attendees advised that not many families wished to attend the consultation meetings as they were happy with how things worked at present

The LA were advised that some families were pushed into EHE as their CYP were not receiving the support they felt they needed in school and want to know what steps are being taken to address this with Schools

They felt the policy was confusing, advising that families don't have to follow the curriculum and further on advising if education is not sufficient that action would be taken

KCC should define what is perceived as effective education

The way the policy is written makes families feel that their children will be taken away

Incentives should be offered

Home Education should be given a better standing and recognition

Yahoo groups and facebook pages are a good link for parents

KCC to look at how they correspond with parents

It is considered by some EHE families that KCC want to enforce a curriculum based way of learning

Attendees advised they had no problems with EHE officers, however were advised they had been told to attend via the internet forums

Funding should be available to private consultants who create ways to engage with CYP

Where can families get SEN support

The community fear unannounced visits from EHE officers

Parents may want to speak to an EHE officer but that may not be in their own home

Advise parents who can help and where they can go for help

The attendees advised that there is a huge hidden EHE community that won't engage with KCC

KCC Website Responses / Comments

There were 22 responses to the webpage:

3 Good
4 Average
15 Poor

In summary, the respondents considered that while some of the advice published on the website was a positive move forward, that there was not enough information about activities and groups for EHE families. There is a requirement for more links to digital resources to be made available

Clarity is required for those EHE families contacting Kent's EHE team and what registering with the Local Authority means for those families

It was thought to be a positive gesture that Kent ask EHE families pressured into home educating to contact us, in order that support can be offered to the families

Further clarity is required around the hours that a family would be expected to offer EHE to their CYP

What EHE events will be published as the respondent had seen none to-date

The respondents advised that there should be clearer information around the legalities of the de-registration process

Part 3 – Summary of Engagement Exercise

- 1) **What we heard**
- 2) **Our response**
- 3) **What more could we do?**

- 1) ***Parents require support with funding for exams***

- 2) KCC do not currently have funding for offering exams to those children who are Electively Home Educated, however recent DFE funding has been made available to some FE colleges so they can offer Exams and courses to EHE families who have been educating their CYP through the secondary years of education.
- 3) KCC will identify and publish on their website exam centres throughout Kent for parents who wish to fund GCSEs. KCC will research and publish which 14- 19 qualifications are being made available to families who home educate.

- 1) ***Unannounced visits were alarming.***

- 2) We are concerned that there is some confusion over officer roles. We can confirm that it is not the remit of an EHE officer to arrive unannounced, they will phone, email and write, to attempt to arrange a mutually convenient time and place to meet. However if they are unable to make contact, they will refer to an EWO who would make an unannounced visit.
- 3) EHE officers will endeavour to always meet EHE families at a convenient time . It is only where these arrangements fail, that an Education Welfare Officer may attend unannounced

- 1) ***There is a lack of information on KCC website and a lack of published information available to EHE families.***

- 2) KCC have recently created a new website and invited feedback from EHE groups and families in order to develop this. Where we become aware of useful information for EHE families KCC will publish this along with links to publications and legislation.. The consultation invited the EHE community to provide helpful links, the details of local EHE groups, forums and information and we will publish these as they are presented to us.
- 3) KCC ask that EHE communities and forums share good practice tips and news stories that can be published and shared with less experienced EHE families. We will actively seek to publish details and discounts for Home Educating groups & Families of historic and educational venues in Kent. Where EHE support groups have a particular event, we would be happy to promote these.

- 1) ***Parents want resources to be available to them.***
- 2) The LA receives no funding for EHE CYP and therefore there are no resources available, the LA can advise and signpost families to forums and EHE groups where we have permissions to share information.
- 3) For low income families, KCC will provide access to licenced learning materials for core subjects.

1) ***EHE families consider KCC doesn't understand the concept and requires families to adhere to the national curriculum.***

- 2) We can confirm that this is not the case, KCC EHE officers are conscious that families choose a variety of ways to educate their CYP. We acknowledge that the parent understands the learning capacity and pace of their CYP. Article 2 of protocol 1 of the European convention on Human rights states that “ No person shall be denied the right to education. In the exercise of any functions which it assumes in relation to education and teaching and to learning; the state shall respect the rights of parents to ensure such education and teaching is in conformity with their own religious and philosophical convictions.” (elective home education guidelines for local authorities). KCC will only raise concern, where it is evident that the parents have **no** suitable provision in place.

1) ***All EHE families will be referred to social services.***

- 2) Social services are an overstretched resource and there would have to be a very clear area of identified concern before a referral was made to them. If an EHE officer identifies where a family may require support from other parts of the service, a referral is made to early help and they will assign an officer to work with the family.

1) ***Schools were promoting EHE to families to avoid exclusions and to achieve higher SATs outcomes.***

- 2) This practice has been identified and KCC EHE officers are working more closely with the headteachers of the schools where this is identified.
- 3) To prevent CYP being out of school for any longer than is necessary, the EHE officer will compile a list of schools and CYP affected by this, and this list will be taken to the In Year Fair Access panel meetings held every six weeks. Where the family request it, the CYP will return to their original school (as is the IYFA protocol) or a new school place will be secured where appropriate

1) ***KCC were not challenging bad practice in schools.***

- 2) The majority of schools work very hard to create and maintain an inclusive and effective learning environment for all their pupils. It is the role of the EHE officer,

working with the area Senior Improvement Adviser, to identify schools in their area who may need to improve the support for children and families experiencing difficulties and to challenge situations where families may be encouraged to EHE in order to legally take them off roll of the school. Where such problems emerge, EHE officers will bring this to the attention of Area Education Officers and KCC directors to ensure that schools are provided with the support and direction which may be needed to better support these pupils.

3) In addition to this Fair Access will report the data to the DFE in the annual adjudicator report.

1) ***Families want advice and guidance not instruction or intrusion.***

2) Advice and guidance is exactly what we aim to provide during educational visits. This is not intended to be intrusive. The majority of families who engage with us have excellent relationships with their area EHE officer and are happy to share good practice. It is disappointing that there is opposition to LA engagements from some small elements of the EHE community.

3) The KCC EHE team has a generic contact number and email address which is now published on our website. The administration officers who are on the end of the phone are experienced officers with an excellent knowledge of EHE. In order that parents may have a discussion with an EHE officer, if they so wish before they deregister their child from school, the callers details will be forwarded to the assigned EHE officer for that area and that officer will contact the family to offer impartial advice and support.

1) ***The LA has no legal right to monitor EHE families.***

2) However the LA does have a duty of care and a responsibility to ascertain that suitable education is being provided. We have worked hard through this consultation to ensure EHE families understand this and continue to engage with our officers, to ensure we can target our resources to those most vulnerable and support those less able to provide effective education..

1) ***Not all EHE officers follow the same direction and give varying advice and follow different formats of monitoring***

2) Through training and development Kent ensures the consistency of the approach of our EHE officers and endeavour to ensure that all officers are working to a key set of principles.

3) We will place more information on our website and aim to provide a service that EHE families will want to engage with.

- 1) ***Some EHE families welcome support from KCC EHE officers and are grateful for the engagement and advice officers are able to offer.***
 - 2) Kent wants all our EHE families to benefit from the support and advice available to them and more families to engage with our officers.
-
- 1) ***EHE groups and forums provide a considerable amount of information and guidance.***
 - 2) Kent would aim to publish contact details for groups so groups and forums can promote awareness to new EHE families.
-
- 1) ***Improve KCC correspondence in content and tone.***
 - 2) Kent CC is reviewing the content and tone of correspondence we send out to EHE families
-
- 1) ***Engage positively with families and groups.***
 - 2) Each EHE officer will liaise with local groups, offering to attend termly (six weekly) meetings with the EHE communities in their localities in order that information, concerns and local issues can be discussed..
-
- 1) ***Keep education and safeguarding separate.***
 - 2) KCC safeguarding responsibilities are a priority in everything we do, and EHE families are no different to any family in terms of what action the local authority would take in the event of safeguarding and child welfare concerns.
-
- 1) ***There is no lawful duty on the authority to monitor EHE.***
 - 2) No there is not, however the local authority has a duty under section 436a of the Education Act 1996, inserted by the Education and Inspections Act 2006, to make arrangements to enable them to establish the identities, so far as it is possible to do so, of children in their area who are not receiving a suitable education. It can only do this if it is aware children are in receipt of a suitable education.
-
- 1) ***Withdraw the policy.***
 - 2) Kent will present the findings of the consultation and any policy amendments brought about by these findings to Cabinet Members. It is appropriate for the LA to have a policy even if some people do not agree with every aspect presented.

- 1) ***Look at Lancashire's policy .***
- 2) Kent has held discussions with Lancashire, it has listened and taken into account the Lancashire policy which is reflected in the updated policy draft.

- 1) ***Acknowledge numbers and silent majority.***
- 2) It is unfortunate that the majority of families who engage with Kent's EHE officers did not feedback during the engagement with the EHE community. Of the 1501 Families registered with KCC 922 receive a visit or engage with their EHE officer. Just 102 online responses were received from the direct consultation with the EHE community. These responses could have come from families outside of Kent and interested groups, even if the respondents were all families we serve, it means that the majority of EHE families chose not to share their views with us.

ELECTIVE HOME EDUCATION POLICY

1. Introduction

Elective Home Education (“EHE”) is the term used by the Department for Education (“DfE”) to describe parents' decisions to provide education for their children at home instead of sending them to school. This is different to home tuition provided by a Local Authority or education provided by a Local Authority other than at a school. It is recognised that parents may choose home education for a variety of reasons.

Parents are responsible for ensuring that their children receive a suitable education. Kent County Council (“KCC”) recognises that parents have the right to choose to educate their child at home rather than at school. Where parents choose to home educate, KCC consider it to be desirable for parents and the LA to work together, recognising each other’s rights and responsibilities and establish and maintain a positive dialogue in the interests of the child to ensure that a high quality education is received and children are safeguarded. The LA supports positive engagement through identifying a range of opportunities for families to access via their website.

Many families make a pro-active decision to home educate. Such families usually provide a good or acceptable standard of education for their children. However, some families may feel that electing for home education is the only available option when it appears that school issues cannot be resolved or where personal circumstances mean that attending school regularly is problematic. The Local Authority EHE team aims to support families in these situations to ensure they understand the implications of the child no longer being on a school roll, for example having to take qualifications as an external candidate, and the lack of school places for young people during GCSEs. Families should also be aware that KCC has very little power of direction over the school, particularly for academies.

Where young people are entering EHE during Key Stage 4, (age 14-16) particular attention will be given to ensuring appropriate learning pathways are discussed with relevant parties. There is an expectation that clear plans will be in place for achieving recognised qualifications at age 16 and securing progression to post 16 learning or employment with training, and, recognising the vulnerability of becoming NEET (“not in education, employment or training”) for young people who exit school at this late stage. This might include opportunities to continue to take examinations in school.

It is appropriate that parents and children choose a type of education that is right for them. It is equally important that EHE officers understand and are supportive of the many differing approaches or "ways of educating" which are all feasible and legally valid. The role of the EHE Team is to respond to

concerns that a child is not receiving suitable education for his or her age, ability and aptitude and, where appropriate, provide support and information for parents. It is not the role of the EHE Team to tell parents how to educate their children.

2. Purpose

This policy aims to clarify for schools, parents, carers, guardians and related agencies, the procedures to be observed when a parent elects to home educate their child who is of compulsory school age. The policy sets out parents' rights to educate their children at home, together with the legal duties and responsibilities of Headteachers and KCC. It also sets out the arrangements KCC will make in order to carry out its legal duties.

3. Context

This policy has been drafted within the context of the following legislation and guidance:

- The Children Act 1989
- The Education Act 1996
- The Education Act 2002
- The Children Act 2004
- The Localism Act 2011
- Elective Home Education Guidelines for Local Authorities (DCSF 2007)
- Working Together to Safeguard Children (DfE, March 2015)
- Information and Policies of other Local Authorities
- 'Support for Home Education', House of Commons Education Select Committee Report (Dec. 2012), Volumes I and II
- Kent Threshold Criteria for Children & Young People. (June 15)
http://www.kscb.org.uk/_data/assets/pdf_file/0005/41693/Kent-Threshold-Criteria-for-Children-and-Young-People-V8-June-2015.pdf

4. The Law Relating to Elective Home Education

Parents

The responsibility for a child's education rests with the parents. In England, education is compulsory, but school is not. Parents may decide to exercise their right to home educate their child from a very early age and so the child is never enrolled at school. Parents may also elect to home educate at any other stage up to the end of compulsory school age at 16 years.

Section 7 of the Education Act 1996 provides that:

"The parent of every child of compulsory school age shall cause him to receive efficient full-time education suitable –

(a) to his age, ability and aptitude, and

(b) to any special educational needs he may have,

either by regular attendance at school or otherwise."

An "efficient" and "suitable" education is not defined in the Education Act 1996 but "efficient" has been broadly described in case law as an education that "achieves that which it sets out to achieve", and a "suitable" education is one that "primarily equips a child for life within the community of which he is a member, rather than the way of life in the country as a whole, as long as it does not foreclose the child's options in later years to adopt some other form of life if he wishes to do so". It is appropriate for EHE practitioners to be mindful of this when planning education provision.

Article 2 of Protocol 1 of the European Convention on Human Rights states that:

"No person shall be denied the right to education. In the exercise of any functions which it assumes in relation to education and to teaching, the State shall respect the right of parents to ensure such education and teaching is in conformity with their own religious and philosophical convictions."

Parents must comply with notices and orders served by KCC under Section 437 of The Education Act 1996, if it appears that parents are not providing a suitable education.

Schools

If parents inform schools they are considering home education, it is important that schools and parents are fully appraised of the expectations and implications of home educating before committing to making this important decision.

KCC recommends that parents are given contact details and advised to seek advice from the KCC's Elective Home Education Team before formally asking the school to remove the child from the school roll. Schools must not seek to persuade parents to educate their child at home, nor would it be recommended for parents to elect to educate their children at home as a way of solving a perceived or ongoing problem with the school.

In these situations both the school and parents should be able to obtain advice and support from KCC's EHE Team. Support for the family may, for example, be offered through the KCC's Early Help and Preventative Service where families are considering home education as means of addressing wider unmet needs or unresolved issues. KCC expects the school to explain to the family that delegated funding from the school may be used to pay for 'Alternative Provision' as long as the child or young person remains on roll, however there is no funding once a child or young person is removed from the school roll.

It should be noted that where there are places available at FE colleges for home educated 14-16 places, and whilst these places are limited in number, they are funded directly by the Education Funding Agency and therefore do not

require funding from the school.

Where parents are acting to home educate due to a breakdown in relations at the school and the parents are acting to home educate for these reasons, there should be a presumption that mediation will be explored prior to a final decision being made on whether to remove the child from the school roll and that the LA can be engaged in that process.

The LA would expect all Kent schools to have had a discussion with parents, signposting them to support and guidance before making any formal decision to home educate.

When a school receives written notification from a parent of their intention to home educate their child, it is the responsibility of the school to:

- Invite the parents to discuss any issues or concerns that could be resolved to enable the child to continue to be educated at school in a way which meets the parents' expectations
- If the parents' decision is firmly to home educate, to acknowledge this in writing and delete the child's name from the school register. KCC requires the school to do this within 3 working days of receiving the parents' letter. However in the interests of the family, recommended good practice would be to allow a period of 10 school days after deletion of the name from the school register, for the parents to reflect on their decision having sought further advice and support and to change their mind if they so wish.
- Inform KCC immediately of removal of the child's name from the register following the above. (Regulation 12 (3) of the "The Education (Pupil Registration) Regulations 2006)
- Ensure that the pupil file is retained in accordance with usual procedures until requested by a receiving school. The parent may request a copy of the file.

KCC's Role and Duties

In December 2012 the House of Commons Education Select Committee produced a report, 'Support for Home Education'. It stated that:

"The role of the local authority is clear with regard to home education. They have two duties: to provide support for home educating families (at a level decided by local authorities themselves), and if families wish it; and to intervene with families if the local authority is given reason to believe that a child is not receiving a suitable education."

Local Authorities have a duty to try and identify children not receiving a suitable education. Section 436A of the Education Act 1996:

"A local education authority must make arrangements to enable them to establish (so far as it is possible to do so) the identities of children in their area who are of compulsory school age but —

(a) are not registered pupils at a school, and

(b) are not receiving suitable education otherwise than at a school.“

Section 437 (1) Education Act 1996 provides that *“if it appears to a local authority that a child of compulsory school age in their area is not receiving suitable education, either by regular attendance at school or otherwise, they shall serve a notice in writing on the parent requiring him to satisfy them within the period specified in the notice (which must be no less than 15 days) that the child is receiving such education.”*

Case law (*Phillips v Brown*, 1980) established that a Local Authority may make enquiries of parents who are educating their children at home to establish that a suitable education is being provided. DfE guidelines, to which the Council has had regard, state that parents are under no duty to respond to such enquiries, *“but it would sensible for them to do so”*.

Section 437(3) Education Act 1996 provides that if a parent fails to satisfy the local authority within the specified period that their child is receiving a suitable education, it has the power to issue a “school attendance order” requiring that their child become a registered pupil at the school named in the order.

KCC has general duties to make arrangements to safeguard and promote the welfare of children (see section 175 of the Education Act 2002 and sections 10 and 11 of the Children Act 2004). EHE officers, along with all employees of KCC, have a responsibility to ensure all children are safeguarded and their welfare promoted throughout their work. Section 175 (1) provides:

“A local authority shall make arrangements for ensuring that their education functions are exercised with a view to safeguarding and promoting the welfare of children”.

Sections 17 and 47 of the Children Act 1989 provide KCC with a power to insist on seeing children in order to inquire about their welfare where there are grounds for concern, although such powers cannot be used in order to establish whether the child in question is receiving suitable education at home.

Officers must act upon any concerns that a child may be at risk of significant harm, in accordance with KCC’s child protection procedures, which can be accessed through the Kent Safeguarding Children Board website – www.kscb.org.uk.

5. KCC’s Policy

In order to comply with its duty to intervene if it appears that a child of compulsory school age is not receiving a suitable education and to adequately plan for support for families, KCC policy is to:

- Maintain a record of children known to KCC being educated at home. This is a list of the children known to KCC only and therefore not an exhaustive list of all children educated at home in Kent. Families who have children who have never been on roll may also register to access advice and support.
- Where one or more of the conditions set out below are met, expect every child whose parent(s) elect to home educate to participate in a meeting with an EHE officer and the child at a mutually convenient time and place in order to satisfy KCC of the suitability of the education provision proposed. From past experience the presence of one or more of these factors is a strong indication that the child in question may well not be engaging in a suitable education and may be seriously under-achieving.

To ensure that the critical voice of the child is heard and to establish education suitability KCC will request that both the child and evidence of learning are seen. Where one or more of the conditions set out below are met education will not be recorded as suitable if this meeting is not facilitated.

The conditions where this meeting would be required are:

- a) The child has a history of persistent unauthorised absence from school (by persistent absence, KCC mean absence of 15% or higher);
 - b) The child has a record of poor attainment at school as measured by progression in performance using prior attainment and National Curriculum Test Results as the basis for assessment;
 - c) The child has previously been permanently excluded from school(s) or has been subject to more than one fixed term exclusion whilst at school;
 - d) The child has been referred to Early Help and/or to Children's Social Care.
- Where none of the four conditions set out above are present, KCC would strongly encourage parents to participate in a meeting in order that they receive the full support and advice available. However in these circumstances, unless there is any other matter which suggests that the child is not receiving a suitable education otherwise than at a school, there is no requirement for such a meeting and KCC will record such a child as receiving suitable education.
 - Publish information about EHE arrangements for parents who wish to educate their child at home. The information will be posted on the County Council website and can be sent out on request to those enquiring about educating children at home.
 - Employ EHE Officers who are available to liaise with parents. Officers can offer support and guidance relating to the parents' plans for their child's education.
 - For the KCC EHE Team to explore the options for access/signposting to other Council services and facilities for parents, within available resources, and to also seek to ensure EHE children have appropriate access to services and facilities from other agencies that would generally be delivered via school.
 - To comply with legal requirements, where a child has a statement of Special

Educational Needs or an Education Health and Care Plan, the legal duty to ensure that the child's needs are met is fulfilled and annual reviews are undertaken for those children who have a statement of Special Educational Needs or EHC Plan. (See SEN section below).

- KCC's EHE team will advise and assist families who request support with returning children to school or with identifying a school place.
- Any Year 6 EHE registrations received in term 6, will not be processed until the parent has confirmed that they will be home educating in Year 7 (the first year of Secondary school) and have advised the Secondary school that they no longer require the place offered for September allowing the school to offer the place to those on the waiting list.
- KCC has had careful regard, when drafting this policy, to the Elective Home Education Guidelines for Local Authorities.

6. Procedural Guidance

Parents and schools may contact the KCC EHE Team for advice at any stage in a child's education.

If a child is registered at a Maintained or Independent school, and the parents elect to home educate, they must inform the school in writing. Schools are advised to refer families to the KCC EHE Team to ensure they are fully informed of the process prior to receiving formal notification of intention to withdraw the child from school.

Schools are strongly advised to offer to meet with the parents to discuss and resolve any issues about school and the child's needs that might influence the parents' decision to continue with their child's attendance at school or to home educate.

KCC EHE officers will monitor data and highlight schools considered to have larger than average numbers of children leaving to EHE and report the findings of this data to the schools Adjudicator in the annual report.

It must be made clear to parents who choose to educate their children at home that they must be prepared to assume full financial responsibility for that education. This includes examination fees. Schools must then inform the KCC EHE Team immediately using the EHE 1 Form.

If KCC is made aware of a child being home educated within Kent, the child's details will be added to the central EHE database. An officer will make written contact with the parent and share information and guidance on a range of issues including the local offer of available services.

KCC will offer an early opportunity for parents to inform KCC if they believe they have been pressured by the school. In such situations, KCC will ask the school to reconsider and apply any influence it may have to encourage the school to take a pupil back. Where it transpires it is not parental choice to EHE, the case will be supported by a LA officer and presented at the next In Year Fair Access (IYFA) Meeting in the locality, where according to the IYFA protocol, the

school will be expected to accept the children back on their roll, and potentially directed to do so.

Initial contact will be made with a family within two weeks of deregistration from school. Further contact may be arranged once education provision is established. Families may also be contacted by a LA Officer if a referral has been made to the Children Missing Education Team to establish that education is being provided at home in order to close that referral.

In order for KCC to establish the identities of children in their area who are of compulsory school age but who are neither registered pupils at a school nor receiving suitable education otherwise than at school an EHE Officer will request to meet with the family and the child to discuss the education provision. Evidence at this meeting could include a report about the education provided, an assessment by a qualified third party or by showing samples of their child's learning supported with input from the child. Parents would be expected to provide evidence of a suitable full time education that would, on the balance of probabilities, convince a reasonable person that a suitable education is being provided for the age and ability of the child.

Where one or more of the conditions listed above under 'KCC's Policy' are met, should the offer of a meeting be declined KCC will not be able to state that a suitable education is being offered. KCC will also record that there has been no opportunity to speak to the child regarding their education. In this case the child's name will be added to the Children Missing Education register until such time as it becomes possible to ascertain that they are receiving suitable education. This information will also be made available for the KCC Children's Social Services Teams.

When the EHE officer has no concerns that a parent is not complying with their Section 7 of the Education Act 1996 duty, the EHE officer and family will agree a date for the next annual review of educational provision. Parents may contact the EHE team at any time during this period for advice and support.

Following contact with the parent and child the EHE officer will write to parents within two weeks summarising the matters discussed/presented and will provide any additional information or advice requested by parents.

If it appears that a child is not receiving a suitable education, the EHE officer will in the first instance address the situation informally by offering advice and support to help enhance the education being provided and seek to agree a follow up meeting to monitor progress.

If it then appears to the EHE officer that a child is still not receiving a 'suitable' education, the officer will write formally to the parent requiring them to satisfy KCC that their child is receiving a suitable education (see section 437 (1) Education Act 1996). This letter will state the reasons for KCC's opinion that the child is not receiving suitable education. Parents will be given 15 working days to reply. Their reply should address the question of whether they are providing a 'suitable education' with reference to their own philosophy, and/ or educational

provision.

If it appears to KCC, after considering the parents' response to its written notice, is of the view that the child is not receiving a suitable education and that it is expedient that the child should attend school, it shall issue a school attendance order in the form prescribed by the Education (School Attendance Order) Regulations 1995/2090. Before making such an order, KCC will comply with the procedural requirements detailed in section 438 Education Act 1996. At any stage following the issuance of the Order, parents may present evidence to KCC that they are now providing a suitable education and apply to have the Order revoked.

KCC will always seek to discuss and engage and will only take legal action against the parent as a last resort, after all reasonable avenues have been explored to bring about a resolution of the situation.

If KCC prosecutes parents for not complying with the Order, then it will be for a court to decide whether the education being provided is suitable. The court can revoke the Order if it is satisfied that the parent is fulfilling their duty. It can also revoke the Order where it imposes an Education Supervision Order.

7. Children with an Education, Health and Care Plan or Statement of Special Educational Needs

Parents' right to educate their child at home applies equally where a child has special educational needs (SEN). SEN law was revised significantly with effect from 1 September 2014 by the Children and Families Act 2014 which introduced integrated Education, Health and Care assessments dealing with SEN and other issues. There is a three year period for transition from Statements of SEN to Education, Health and Care ('EHC') Plans and this policy refers to both.

Parents of any child subject to the statutory provisions of an EHC Plan (or Statement) who are considering whether to make their own arrangements should discuss this with their child's named SEN Caseworker to ensure that they are fully aware of alternatives (amended provision and/or change of placement) and their SEN statutory rights of appeal.

Parents considering to Electively Home Educate may wish to familiarise themselves with paragraphs 0.32 10.33 and 10.36 of the SEND Code of Practice January 2015:

- In cases where the EHC plan gives the name of a school or type of school where the child will be educated and the parents decide to educate at home, the local authority is not under a duty to make the special educational provision set out in the plan provided it is satisfied that the arrangements made by the parents are suitable. The local authority **must** review the plan annually to assure itself that the provision set out in it continues to be appropriate and that the child's SEN continue to be met (see Chapter 9). Where the local authority has decided that the provision is appropriate, it

should amend the plan to name the type of school that would be suitable but state that parents have made their own arrangements under Section 7 of the Education Act 1996.

- Where a child or young person is a registered pupil and the parent decides to home educate, the parent **must** notify the school in writing that the child or young person is receiving education otherwise than at school and the school **must** then remove the pupil's name from the admission register. If the school is a Special school, the local authority **must** give consent for the child's name to be removed, but this should not be a lengthy or complex process. There is no provision in law for a 'trial period' of home education.
- In some cases a local authority will conclude that, even after considering its power to provide support to home-educating parents, the provision that is or could be made for a child or young person with an EHC plan does not meet the child or young person's needs. The local authority is required to intervene through the school attendance order framework 'if it appears...that a child of compulsory school age is not receiving suitable education'. The serving of a school attendance order is a last resort if all attempts to improve provision are unsuccessful. 'Suitable education' means efficient full-time education suitable to the child or young person's age, ability and aptitude and to any SEN he or she may have.

Parents can ask KCC to arrange home education (or part of it) for a child with a statement. The request will be considered against the relevant legislation (section 319 Education Act 1996):

(1) Where a local education authority are satisfied that it would be inappropriate for—

(a) the special educational provision which a learning difficulty of a child in their area calls for, or

(b) any part of any such provision,

to be made in a school, they may arrange for the provision (or, as the case may be, for that part of it) to be made otherwise than in a school.

(2) Before making an arrangement under this section, a local education authority shall consult the child's parent.

If the local authority agrees to arrange home education the child's statement will be amended to include the home education programme.

8. Reviewing procedures and practices

KCC will review this policy and practice in relation to EHE on a regular basis.

9 Contact details

For enquiries relating to this policy, please contact the Elective Home Education

Team at educationathome@kent.gov.uk

Further information can be found on the Elective Home Education page of Kent County Council's website www.kent.gov.uk

Revised November 2015

**KENT COUNTY COUNCIL
EQUALITY ANALYSIS / IMPACT ASSESSMENT (EqIA)**

**This document is available in other formats, Please contact
Hilary.alford@Kent.gov.uk or telephone on 03000 415769**

Directorate: Education and Young People's Services (EYPS)

Name of policy, procedure, project or service

Elective Home Education Policy

What is being assessed?

Updated policy

Responsible Owner/ Senior Officer

Scott Bagshaw - Head of Fair Access

Date of Initial Screening

30/03/2015

Date of Full EqIA :

Version	Author	Date	Comment
1	H Alford	16/4/2015	
2	J Hill	17/4/2015	
3	S Bagshaw	17.04.15	
4	A Agyepong	20.04.15	
5	S Bagshaw	20.04.15	
6	J Hill	21/04/2015	
7	S Bagshaw	24/04/15	
8	S.Bagshaw	29/04/2015	
9	H Alford	1/07/2015	
10	J Hill	3/08/15	

Screening Grid

Characteristic	Could this policy, procedure, project or service, or any proposed changes to it, affect this group less favourably than others in Kent? YES/NO If yes how?	Assessment of potential impact HIGH/MEDIUM LOW/NONE UNKNOWN		Provide details: a) Is internal action required? If yes what? b) Is further assessment required? If yes, why?	Could this policy, procedure, project or service promote equal opportunities for this group? YES/NO - Explain how good practice can promote equal opportunities
		Positive	Negative	Internal action must be included in Action Plan	If yes you must provide detail
Age Page 79	No	Medium	Low	This policy relates to Children and young people of compulsory school age. All cases known to KCC are treated the same way irrespective of age. Internal Action Data evidences that a disproportionate number of children & young people who are EHE have experienced fixed term or permanent exclusions or poor attendance, further work is required.	
Disability	No	Medium	Low	Children with a disability will need extra support to be educated home. KCC data shows us that a greater proportion of children who are educated at home have special educational needs or have had an Educational Psychologist referral.	
Gender	No	low	low	The breakdown between male and female shows some bias but further research needed. We are aware that some communities feel that there is less of a requirement for girls to be formally educated and often have caring responsibilities.	

Gender identity	No	low	low	None	
Race	No	Medium	low	Further data needed	
Religion or belief	No	low	low	Further data needed	
Carers	No	low	low	Further data needed	

Part 1: INITIAL SCREENING

Proportionality - Based on the answers in the above screening grid what weighting would you ascribe to this function – see Risk Matrix

Low	Medium	High
Low relevance or Insufficient information/evidence to make a judgement.	Medium relevance or Insufficient information/evidence to make a Judgement.	High relevance to equality, /likely to have adverse impact on protected groups

State rating & reasons

We do not have sufficient data on some protected characteristics to make a judgement

Context

In England and Wales, parents and careers have the primary responsibility for ensuring that their children receive an effective education. Although this responsibility is usually delegated to Schools some parents and carers choose to exercise this right directly by providing an education based in the home.

The Council is required to have a policy on Elective Home Education, covering its approach to its monitoring arrangements with families. A policy is in place but requires updating in line with national guidance and several Serious Case Reviews published nationally where Elective Home Education was an element considered in the review.

In addition the new policy raises the profile of the rights of the child to an efficient, effective education, and also highlights the duties the Local Authority has relating to safeguarding whilst stressing that these powers cannot be used in order to establish whether a child is receiving a suitable education.

All parents have a duty to make sure that their children receive an efficient, full time education suitable to their age, ability and aptitude, either through regular attendance at school or otherwise including by educating them at home.

Elective Home Education (EHE) is the term used to describe parents' decisions to provide education for their children at home instead of sending them to school. Parents are legally responsible for ensuring that their children receive a 'suitable' education.

This new policy aims to inform parents, carers and guardians, schools, council officers, and other related agencies about the policy and procedures to be followed.

To enable KCC to monitor and support all EHE families who register with the

authority, KCC have a number of EHE officers assigned to support and advise families, these officers are mindful that the level of support required will vary according to the expertise of the family. Not all families who elect to Home Educate make this choice with full knowledge of what is involved or what their financial responsibilities will be.

KCC would hope that all parents understand and agree the importance of establishing and maintaining a positive conversation with its officers in the interest of the child and their education provision.

KCC aims to:

- Work to promote positive relationships and respect with parents and carers for the benefit and wellbeing of children and young people
- Provide effective and efficient EHE working practices, and staff with a good knowledge of elective home education
- Exercise its education functions with a view to safeguarding children and young people
- Acknowledge diversity in parental wishes and methods of educating their children
- Acknowledge the diverse needs of these children and young people
- Acknowledge that parents/carers of all educational, social, racial, religious and ethnic backgrounds can successfully educate their children outside the school setting
- Promote the relevant principles and priorities outlined in the Supporting Independence: Corporate Outcomes Framework 2015 - 2019.

Key background documentation:

- European Convention on Human Rights, 1953
- UN Convention on the Rights of the Child, 1990
- Education Act 1996
- Education Act 2002
- Children Act 1989
- Children Act 2004
- Education and Inspections Act 2006
- Education (Pupil Registration) (England) Regulations 2006
- Elective Home Education: Guidelines for Local Authorities, 2007
- Badman Report to the Secretary of State, Review of Elective Home Education in England, 2009
- Revised DfE guidance for local authorities on the funding of home educated children 2013-14
- Ofsted report into Elective Home Education, Local Authorities and home education, 2010
- Birmingham Safeguarding Children Board, Serious Case Review into Khyra Ishaq, 2010
- Barking and Dagenham Safeguarding Children Board, Serious Case Review into Child T and Child R, 2011
- Serious Case Review, June 2013, anonymised, Family W,
- Support for Elective Home Education, Committee Report, DfE, December 2012

- Working together to safeguard children, 2015
- Children and Families Act 2014
- SEND Code of practice, 0-25 years, 2014
- SEND Code of practice, 0-25 years, 2015
- Kent Inter Agency Threshold Criteria for Children in Need February 2015
- X County Council v The Mother, The Father, The Child by his Children's Guardian[2015] EWFC B40
<http://www.bailii.org/ew/cases/EWFC/OJ/2015/B40.html>

Beneficiaries

Parents, carers and guardians educating their child at home and schools, council officers and related agencies should benefit from this new policy

Aims and Objectives

Every child of compulsory school age has the right to a full time education. The responsibility for a child's education rests with their parents/carers. In England, education is compulsory but schooling is not. Whilst KCC advocates that parents enroll their children at school, it fully acknowledges that parents/carers have the right to educate their children at home and that many young people thrive and flourish when accessing education in this way.

Parents and carers decide to home educate for a variety of reasons. Many of these children have never attended school. Such families usually provide an extremely high standard of education for their children. However, some families may feel that electing for home education is the only available option when it appears that school issues cannot be resolved or where personal circumstances mean that attending school regularly is problematic. Not all families who elect to home educate make this choice willingly or having fully considered the implications on their family life and the limited support available.

There is growing evidence that decisions are being taken, because of concerns about the schools their children attend rather than a true desire to educate outside of the state system. Some parents are surprised to learn what is involved and what their financial responsibilities are. KCC EHE officers are assigned to support all families who inform the authority and are mindful that the level of support required will vary according to the expertise and experience of the family.

Where parents have chosen to home educate, KCC wants the child to have a positive experience and to ensure the best educational interests of the child are being met. KCC is committed to supporting families that make this choice, and is keen to develop strong and mutually beneficial relationships to help ensure the growing network of home educators are assisted where this is needed in ensuring all children and young persons can access the education they deserve.

Where appropriate KCC officers will seek to meet with families to offer advice and support where it is needed, sharing identified best practice with less experienced families and will assist families in accessing material and support groups.

This policy discusses;

- home education arrangements
- information for parents considering home education
- the role of the education welfare service
- the role of the assessor
- reviewing meetings
- acknowledging diversity and Gypsy, Roma and Traveller children
- special needs and SEN statements
- safeguarding
- the support that is available, including from outside agencies.

It also identifies the circumstances when home education may not be appropriate, for example, if the parent is intending to use home education as a response to short term disagreement with the head teacher or others at school or other unmet needs etc where with support a resolution may be possible.

The provision of clear information has an important role to play in the promotion of positive relationships. KCC is looking to update the written information it provides and website links for prospective and existing electively home educating parents. This will include the legal position, roles and responsibilities, and support that is available.

Further work may be necessary to ensure that information, including the support that is available, is accessible to parents who do not have access to the internet as well as making sure that it is appropriate for the diverse range of individual parents who may seek to home educate their children. Where necessary and on request we will print and supply details of our web content in hard copy for families unable to access this information on-line.

Safeguarding children and young people

The welfare and protection of all children and young people, both for those that attend school and those who are educated otherwise including at home, is of great concern and the responsibility of the whole community. (Working Together to Safeguard Children 2015)

KCC recognises that the majority of children and young people being educated at home are safe and secure but KCC also has a statutory duty to ensure that children and young people are safe and free from harm and therefore acknowledge that there are families with additional complex factors which could affect their child's education at home, some of these families are more likely to be involved with Early Help and Preventative Services or Specialist Children's Services. In some cases where there are safeguarding concerns around the child or young person, a team of professionals may already be involved, and a higher level of support is required to support the child's education. This policy aims to outline how KCC will carry out its duty to safeguard vulnerable children and young people, while maintaining a mutually beneficial relationship with Kent's EHE families.

Information and Data

Kent County Council recognises that historically many parents who elect to educate their child(ren) at home do so to a high standard.

However, more recently Kent has identified a significant increase in the number of registrations - from 793 in 2008 to 1326 in 2013-14. New referrals are being received at a significantly increased rate of 65 per month. In response to this increased demand KCC is reviewing its current policy and there has been a renewed focus on engaging with families earlier. Further analysis will be ongoing to monitor if this increase is clustered around districts or a protected characteristic.

We know from some of our meetings with families that in a small number of instances schools are encouraging parents of children with challenging behaviour to agree to home educate. There appears to be growing numbers of families who feel they have no option but to electively home educate due to a breakdown in relationships with schools rather than this being a considered choice.

Age

Of the children and young people KCC have recorded as receiving education at home, over one-half do not have any factors which would give any cause for concern regarding them receiving a suitable education, however, one-third to one-half of these children and young people do have other factors which may affect their ability to learn well.

Data evidences that disproportionate numbers of children and young people who are being educated at home have experienced fixed term or permanent exclusions or poor attendance, they may have Special Educational Needs, or have received support or input from other specialist agencies as identified in the following list:

Primary There are 383 primary children being educated at home for whom we hold sufficient data for comparison.

EHE	383	All
0%	0.3%	under the Youth offending team
0%	0.1%	have been permanently excluded
0.3%	0.4%	Children in Care
1%	0.4%	are Child Protection
1%	1%	have received more than 1 fixed term exclusion
2%	2%	are Children in Need
2%	1%	are Troubled Families
2%	1%	have had an Educational Psychologist referral
5%	6%	have between 85% -90% attendance
5%	6%	have a physical Special Educational Need
6%	4%	have a behavioural Special Educational Need
10%	3%	have less than 85% attendance
11%	13%	have free school meals

11% 4% have Social Care Services referral
 14% 0.4% have been referred as Children Missing Education
 0.3% have had an EHE referral

Secondary There are 640 young people being educated at home for whom we hold sufficient data for comparison.

EHE	640	All
0%	1%	Children in Care
1%	0.2%	are Child Protection
1%	0.3%	have had an Educational Psychologist referral
2%	0.5%	have had a permanent exclusion
3%	1%	under the Youth offending team
3%	2%	are Children in Need
4%	6%	have between 85% -90% attendance
7%	4%	have less than 85% attendance
7%	4%	have a physical Special Educational Need
7%	5%	have a behavioural Special Educational Need
8%	2%	are Troubled families
8%	9%	have free school meals
10%	3%	have Social Care Services referral
12%	0.4%	have been referred as Children Missing Education
16%	6%	have received more than 1 fixed term exclusion
	1%	have had an EHE referral

By tracking the time of year referrals for EHE come into the LA from schools we are able to see a pattern which indicates many of these decisions may be schools driven. We see a significant rise immediately before school census and SATS and **a very high number who opt to take this decision in Year 11**. The decision to remove a child from education after 10 years of school immediately before their final exams may indicate that home schooling is not the preferred approach to education for these families but rather driven by other underlying causes..

Disability

Children with a disability will need extra support to be educated at home. KCC data shows us that a greater proportion of children who are educated at home have special educational needs or have had an Educational Psychologist referral.

Gender

All Primary aged pupils:	49% Female	51% Male
EHE Primary aged pupils:	45% Female	55% Male
All Secondary aged pupils:	49% Female	51% Male
EHE Secondary aged pupils:	55% Female	45% Male

We are aware that some communities feel that there is less of a requirement for

girls to be formally educated once they reach secondary school age and further research will be undertaken on KCC's profile.

Race

The policy applies to all pupils regardless of their racial group. That said, there may be a potential for some groups (for example the Irish Traveller and Gypsy Roma Community) to be recorded as missing from education rather than being home educated.

Families who responded to the Engagement shows EHE families to be:

White Scottish	1%	(1)
White Northern Irish	1%	(1)
White Gypsy/Roma	1%	(1)
Asian or Asian British:Indian	3%	(3)
White other	7%	(6)

Religion

Further data is required regarding religion.

KCC has reviewed its data and information and where as some families who educate the children at home are able to use wider resources at their disposal (personal, family, community or other) to support their child's education and require little or no input from KCC. Other families are likely to be facing a number of challenges and not have the same level of resources at their disposal.

Families who responded to the Engagement feedback shows EHE families to be:

Christian	80%	(20)
Buddist	4%	(1)
Other	12%	(3)

Involvement and Engagement

During April and May 2015 we asked for views on this new policy. With the intention to use this feedback to ensure that the information we provide on Elective Home Education is helpful and sign posts all the resources available to make elective home education a success for both the family and the child.

We know from our referral data and meetings with families that numbers of children and young people are registered to be electively home educated spikes at key stages in the academic year, particularly around the census information being captured which would lock a child's data into the schools performance outcomes. We were keen to learn through our consultation how widespread this practice is and how much of a concern it is to the EHE community. While this statement evolves from feedback received from the families who are registered with the LA to EHE; a different picture has emerged from the respondents to the questionnaire. Only 13 of the 92 respondents to question 7a advised that this had been their experience. However 30 of the 92 respondents to question 7b confirmed that this was the experience of families known to them. KCC have

studied the data held on in more detail, the data clearly evidences where there are requirements for further engagement with schools identified as having high numbers of CYP leaving to EHE.

KCC considers it important to capture, where possible, details of EHE families and their localities to help target levels of support and to assist the authority in identifying any patterns that may be forming that adversely impacts disproportionately any particular groups. Respondents were asked to provide a postcode for the on-line engagement exercise. It recognised however that a proportion of the EHE community preferred to express their views whilst remaining anonymous. In light of this as part of the wider engagement exercise, three drop in sessions were arranged (North West, Mid & East Kent) where Kent EHE families and practitioners were invited to go along and have their views heard.

Families who responded to the consultation reside in:

CT	5	CT10	3	CT11	2
CT15	1	CT16	1	CT18	2
CT19	2	CT2	2	CT3	1
CT5	1	CT6	2	CT8	1
CT9	2	DA	1	DA	2
DA12	2	DA2	1	GRRRR	1
LA11	1	M5	1	MA	1
ME	2	ME1	2	ME10	1
ME12	2	ME14	3	ME15	8
ME16	1	ME18	1	ME19	2
ME20	1	ME4	1	ME6	2
ME7	1	ME9	2	NR21	1
S11	1	TN	2	TN10	1
TN12	1	TN14	1	TN15	1
TN16	1	TN17	1	TN2	1
TN20	1	TN23	1	TN24	4
TN25	2	TN26	1	TN27	1
TN29	1	xxxx	14		

Potential Impact

Not all parents and carers of children understand the legal requirements and the implications of taking their child out of Local Authority Education provision.

The Legal Framework relating to children with statements of Special Education Needs may be a barrier to parents providing their children with a suitable home education.

Cultural and Religious differences may lead parents and KCC officers to have different interpretations of a 'suitable, efficient, full time education'.

Families of children who have never attended school may be unaware of the Elective Home Education policy and service.

Removing a child or young person from the education system may isolate them from their peers and prevent them receiving support from professionals who have been assigned to work with the family in a support, mentoring or safeguarding capacity. In line with its statutory duties KCC will exercise its education functions including its EHE support team with a view to safeguarding children and young people.

Positive Impact

In terms of Equality Impact Assessment, there is no negative impact on any particular groups. There is positive impact on SEN (disability), race and religion/belief, as the policy is aimed at providing greater awareness of processes for all families who are choosing elective home education and also ensuring the staff working in EHE are sensitive to cultural or religious backgrounds.

By engaging with Kent's families who educate at home, best practice evidenced by more experienced families can be shared with those who may be less experienced but equally motivated to educate their children at home.

Where families have reluctantly elected to home educate these families will be identified and supported at the earliest opportunity, enabling KCC officers to support the family in securing a school place, or directing them to educational resources if they prefer thus preventing any unnecessary delay in children accessing suitable education.

Where there are safeguarding concerns which indicate the child is unlikely to be accessing suitable education, professionals will be on hand to engage with and support families meaning no Child or Young Person is left unsupported.

The engagement exercise has not revealed any adverse impacts for EHE families.

JUDGEMENT

Option 3 – Full Impact Assessment YES

Action Plan

The EqIA has highlighted areas where further data is required.

Historically the quality of data held on EHE has been poor and inconsistent across the county. Measures have been taken to centralise the EHE officers and ensure a standard approach to referrals and information capture.

There has been little profiling of EHE learners to establish if there are particular communities where children are more or less likely to be in receipt of effective education at home and more work must be done identify if this is the case to

ensure appropriate targeted advice, support and information is available.

We do not currently effectively capture the reasons why parents choose to educate their children at home. It is important that we get a better understanding of this, to ensure we can effectively distinguish between the groups that make this choice freely and those who feel pressured to deliver home education as a last resort to meet their legal responsibilities as parents.

Monitoring and Review

This EqIA will be reviewed annually.

Service outcomes are particularly difficult to measure, due to the absence of legal duties regarding Elective Home Education, and the breadth and diversity of the EHE Officer role.

The policy will be reviewed in light of further government guidance and legislation and the service will be reviewed on an annual basis. Statistical analysis of equality information; age, gender, disability, ethnicity and SEN of home educating families will take place on an annual basis to identify any discernible trends.

Referrals to other services, e.g. through Kent's early help team and triage process will also be monitored to ensure support is targeted at home educating families with additional needs.

Home educating parents and children will be asked to feedback on the effectiveness of the service and the accessibility of the policy and relevant information.

Sign Off

I have noted the content of the equality impact assessment and agree the actions to mitigate the adverse impact(s) that have been identified.

Senior Officer

Signed: _____ Name: Scott Bagshaw

Job Title: Head of Fair Access Date: 06-08-2015

DMT Member

Signed: _____ Name: Patrick Leeson

Job Title: Corporate Director Date: 06-08-2015

Equality Impact Assessment Action Plan

Protected Characteristic	Issues identified	Action to be taken	Expected outcomes	Owner	Timescale	Cost implications
All	Inconsistency in data held which requires a breakdown of registrations by District and further analysis of the information	Centralise the EHE officers and ensure a standard approach for all referrals and information capture.	<p>Better understanding of the issues facing EHE families better targeted support</p> <p>Better quality data resulting in better analysis</p> <p>Services more targeted through effective commissioning</p> <p>Shared learning and access to resources/ opportunities across County</p>	Hilary Alford	September 2015	N/A
Age, disability, Gender, race and religion	Data evidences that a disproportionate numbers of children & young people who are EHE have experienced fixed term or permanent exclusions or poor attendance,	Meetings with families where agreed will seek to gain a better understanding of why EHE has been chosen and to support parents having difficulty with EHE to access more resources or indeed re-enter	<p>Children accessing suitable education more quickly either in the home or back in school.</p> <p>Schools identified where there is a heightened trend and support and training offered to those schools to better engage learners at</p>	Hilary Alford	September 2015	N/A

Protected Characteristic	Issues identified	Action to be taken	Expected outcomes	Owner	Timescale	Cost implications
		state education	high risk of permanent exclusion and poor attendance which often leads to an EHE decision for disillusioned families.			
Gender, Race, Religion	We are aware that some communities feel that there is less of a requirement for girls to be formally educated once they reach secondary school age and further research will be undertaken on KCC's profile	<p>Use meetings with families and surveys to try to gain an improved cultural insight where it exposes that some groups of children are failing to access education appropriately in the home.</p> <p>Engage with Virtual Head-GRT, ISK as part of consultation to explore information and data that they may hold and to explore any discernible trends that have arisen in service delivery</p>	<p>Better understanding of any cultural characteristics which will assist officers in identifying the best approach to take to encourage the continuance of learning for young adults of compulsory school age.</p> <p>Identification of services and support where families choose to EHE</p>	Hilary Alford	September 2015	

Protected Characteristic	Issues identified	Action to be taken	Expected outcomes	Owner	Timescale	Cost implications
All	Safe guarding issues	Present policy to Kent Children's Safeguarding Board as part of consultation for discussion	<p>Partner agencies to share their EQIA's on EHE</p> <p>Partner agencies are able to see policy position in order to ensure that opportunities for shared working are taken at policy development stage</p> <p>Better support for EHE families and young people from all Safeguarding partners</p> <p>Young people with safeguarding needs are appropriately supported by KCC and partner agencies</p>	Scott Bagshaw/ Hilary Alford	April/ May 2015	N/A
ALL	Ensuring EHE parents are aware of KCC policy and offer of support to EHE	<p>Development of EHE website on Kent.gov.uk</p> <p>Publish New Policy</p>	<p>Parents are able to access resources in order to make informed decisions on EHE</p> <p>Parents are able to</p>	Scott Bagshaw	August 2015	N/A

Protected Characteristic	Issues identified	Action to be taken	Expected outcomes	Owner	Timescale	Cost implications
		<p>Publish plan for Press & Communications</p> <p>Provide feedback to those who engaged with the consultation via the KCC EHE website</p>	<p>access KCC's policy position on the implementation of EHE</p> <p>Parents are sign-posted to resources and opportunities that are available to EHE young people.</p>			

From: John Simmonds, Deputy Leader and Cabinet Member for Finance & Procurement
Andy Wood, Corporate Director of Finance & Procurement
Corporate Directors

To: CABINET - 30 November 2015

Subject:

- (1) REVENUE AND CAPITAL BUDGET MONITORING FOR 2015-16 - QUARTER 2
- (2) KEY ACTIVITY MONITORING FOR 2015-16 - QUARTER 2
- (3) FINANCIAL HEALTH INDICATORS 2015-16 - QUARTER 2
- (4) PRUDENTIAL INDICATORS 2015-16 - QUARTER 2
- (5) IMPACT ON REVENUE RESERVES
- (6) DIRECTORATE STAFFING LEVELS 2015-16 - QUARTER 2

Classification: **Unrestricted**

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SUMMARY

- 1.1 This report provides the budget monitoring position for September 2015-16 for both revenue and capital budgets, including an update on key activity data.
- 1.2 The format of this report is:
 - An executive summary which provides a high level financial summary and highlights only the most significant issues
 - Appendix 1 provides an update on our Financial Health indicators
 - Appendix 2 provides an update on our Prudential indicators
 - Appendix 3 provides a summary of the proposed capital programme cash limit changes
 - There are seven annexes to this executive summary report, as detailed below:
 - **Annex 1** **Education & Young People's Services**
 - **Annex 2** **Social Care, Health & Wellbeing** - Specialist Children's Services
 - **Annex 3** **Social Care, Health & Wellbeing** - Adults
 - **Annex 4** **Social Care, Health & Wellbeing** - Public Health
 - **Annex 5** **Growth, Environment & Transport**
 - **Annex 6** **Strategic & Corporate Services**
 - **Annex 7** **Financing Items**

- 1.3 Other items likely to be of particular interest to Members are the impact of the current financial and activity monitoring position on our revenue reserves, as detailed in section 6, and the directorate staffing levels as at the end of September 2015 compared to 31 March 2015 and 30 June 2015, which are provided in section 7.

2. RECOMMENDATIONS

Cabinet is asked to:

- i) **Note** the report, including the latest monitoring position on both the revenue and capital budgets.
- ii) **Agree** the reduction in the Public Health cash limits as identified in annex 4, in response to the in-year government funding cut confirmed on 4 November.
- iii) **Agree** the changes to the capital programme as detailed in the actions column in table 2 of the annex reports and summarised in Appendix 3.

3. SUMMARISED REVENUE MONITORING POSITION

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1 The net projected variance against the combined directorate revenue budgets is an overspend of £6.609m, before management action, but management action is expected to reduce this to £5.009m. However, there is some minor re-phasing of budgets which we will need to roll forward to 2016-17 to fulfil our legal obligations, detailed in section 3.7, therefore this changes the position to an overspend of £5.301m as shown in the headline table below. There is also some significant underspending within the forecast, detailed in section 3.8, which we would ideally like to roll forward in order to continue with these initiatives in 2016-17. However, this will only be possible if the Authority as a whole is sufficiently underspending by year end. If we allow for this, then this changes the position to an **underlying overspend of £6.586m**. Directorates have been tasked with coming up with management action to balance this position as, with the budget savings already required over the medium term, we must avoid going into 2016-17 in an overspending position. Management action of £0.5m is expected to be delivered within Education & Young People Services and £1.1m within Adult Social Care. The annexes to this report provide the detail of the overall forecast position which is summarised in table 1 below.

3.2 This is a report of mixed messages. Although the position has improved significantly which is very good news, this improvement is largely in respect of an offer from the Home Office for increased weekly rates for Asylum seekers, but this is subject to a Home Office audit of our costs. However, the improvement in the position for the remaining services is not as great as we would usually have seen by this point in the year and the underlying pressures on adult social care, particularly domiciliary care and supported living have continued to increase (although further management action and the release of funding provided in the budget for price increases following the conclusion of the prices review, are offsetting this increase this month). In terms of a residual forecast overspend after management action and roll forward requirements of £6.586m, this is still a significant problem to resolve and should not be under-estimated especially as we are now almost 8 months into the financial year and we have not had a forecast residual pressure (including Asylum) of this magnitude (£6.586m) at this point in the year in, at least, any of the last 21 years.

3.3 This report does not attempt to explain movements month on month, but explains why we have a forecast variance. However, we will report the headline movement, which for this month is a £6.561m reduction in the forecast overspend (excluding schools), as shown in table 1. This is mainly due to:

E&YP - the position has deteriorated by £0.1m since the last report but within this there are some larger offsetting movements: mainly a £1m increase in the combined position for SEN and mainstream home to school transport now that the pupil numbers requiring transport for the new term are known; +£0.3m Youth Offending Service, as staffing levels have not reduced in line with funding streams, and +£0.1m school premises maintenance costs being in excess of the capital maintenance grant available; but these are almost entirely offset by -£0.7m underspending across the area and district Early Help & Preventative Services teams; a -£0.2m improvement in the position for Children's Centres; -£0.2m increased income for non statutory psychology traded services and -£0.2m reimbursement from the Asylum Service for the shortfall in income at the Swattenden Centre associated with the change in use of the Appledore Unit to a reception centre for unaccompanied asylum seeking children. The pressure on the high needs education budgets has increased (+£1m) and there are other schools related pressures (+£2.9m) reported this month, but these will be met by a drawdown from the schools unallocated DSG reserve.

SCH&W (SCS - Asylum) - a further increase in the Asylum costs of £0.739m following a continuation of the recent increase in migrant activity, with provisional figures for October showing 211 referrals, however we have recently received an offer of higher weekly rates from the Home Office which based on our calculations should equate to an additional £5.077m of grant (subject to Home Office audit of our costs), leaving a residual pressure of £2.237m on the Asylum service.

SCH&W (SCS) - Within the other Specialist Children's Services (excluding Asylum) demand for family support services has increased and there is an increased pressure on social care staffing due to appointment of agency staff as a result of difficulties in recruiting to salaried posts. This is partly linked to the increase in Asylum activity but is partially offset by an increased recharge to the Asylum Service. These additional pressures are more than offset by vacancy management and an appropriate recharge of overheads within strategic management and directorate support budgets to the Asylum service; an increased underspend on adoption and other permanent care arrangements due to fewer adoption arrangements being made; and a reduction in safeguarding staffing costs as a result of staff being appointed at below the budget assumption of mid point of grade, together with a re-phasing of Kent Safeguarding Children Board costs into 2016-17, which will need to roll forward to meet our obligation to the board under the terms of the multi agency agreement.

SCH&W (Adults) - the overall Adult Social Care position has reduced by £0.3m but this reflects an increase in the underlying pressures of +£0.2m offset by the identification of further management action of -£0.5m. Within the £0.2m increase in the underlying pressure there are some significant offsetting movements: there are increased pressures on domiciliary care for older people and physically disabled clients; supporting living for physically disabled and mental health clients; and day care for learning disability clients, which have all led to a small increase in income from non residential charging helping to partially offset these increased pressures. In addition, there is an increase in social support for carers and a reduction in the underspend on older people nursing care. These increases in the position are more than offset by reductions in the positions for direct payments, mainly older people and physical disability clients; lower than anticipated demand for adaptive and assistive technology; staff vacancies within operational support and social care staffing; and the release of funding provided in the budget for social care price increases following completion of the prices review.

GE&T - the position has improved mainly as a result of a lower than budgeted price increase for streetlight energy; a reduction in early retirement costs; re-phasing of works at closed landfill sites into 2016-17 and capitalisation of costs relating to two collapsed roads. These improvements have been partially offset by a net write-back to revenue of old balances as part of an ongoing review of the balance sheet.

S&CS - the position has improved mainly due to an underspend on the Corporate Landlord budgets. The previously reported increased maintenance charge for data storage has transferred from the Business Services Centre to the ICT client commissioning budget. The centrally held procurement and commissioning saving has now transferred from Finance & Procurement to the Financing Items budget, which has also led to a reduction in the Strategic & Corporate Services management action.

FI - a small increase this month in the forecast interest on cash balances as a result of higher cash balances, investing for longer durations and increased dividends. In addition, transformation costs have increased but this will be met by an increased drawdown from reserves.

3.4 HEADLINE POSITION (EXCL SCHOOLS) (£'000)

	Cash Limit	Variance Before Mgmt Action	Management Action - already in place	Net Variance after Mgmt Action	Last Report	Movement
Directorate Totals	+930,028	+6,609	-1,600	+5,009	+11,570	-6,561
Adjustments: - Legally committed roll fwd (see section 3.7 for detail)		+292	-	+292	+136	+156
Underlying position (incl. legally committed roll fwd requirements only)	+930,028	+6,901	-1,600	+5,301	+11,706	-6,405
- Roll fwd / re-phasing required to continue / complete existing initiatives (see section 3.8 for detail)		+1,285	-	+1,285	+1,252	+33
Underlying position (incl. ALL roll fwd requirements)	+930,028	+8,186	-1,600	+6,586	+12,958	-6,372

Table 1 Directorate position - net revenue position **before and after** management action together with comparison to the last report

Annex	Directorate	Budget £'000	Net Variance (before mgmt action) £'000	Management Action already in place £'000	Net Variance (after mgmt action) £'000	Last Report £'000	Movement £'000
1	Education & Young People's Services	72,134.9	-184	-500	-684	-789	+105
2	Social Care, Health & Wellbeing - Specialist Children's Services	133,046.1	-360	-	-360	+664	-1,024
	Social Care, Health & Wellbeing - Asylum	280.0	+2,237	-	+2,237	+6,575	-4,338
	<i>Sub Total SCH&W - Specialist Children's Services</i>	<i>133,326.1</i>	<i>+1,877</i>	<i>-</i>	<i>+1,877</i>	<i>+7,239</i>	<i>-5,362</i>
3	Social Care, Health & Wellbeing - Adults	350,459.3	+8,279	-1,100	+7,179	+7,437	-258
4	Social Care, Health & Wellbeing - Public Health	-193.2	-	-	-	-	-
5	Growth, Environment & Transport	173,893.5	-37	-	-37	+789	-826
6	Strategic & Corporate Services	71,512.3	-177	-	-177	-	-177
7	Financing Items	128,895.0	-3,149	-	-3,149	-3,106	-43
	TOTAL (excl Schools)	930,027.9	+6,609	-1,600	+5,009	+11,570	-6,561
1	<i>Schools (E&YP Directorate)</i>	<i>-</i>	<i>+6,758</i>	<i>-</i>	<i>+6,758</i>	<i>+2,867</i>	<i>+3,891</i>
	TOTAL	930,027.9	+13,367	-1,600	+11,767	+14,437	-2,670

3.6 The **Revenue** Budget Monitoring headlines are as follows:

- a) We have recently received confirmation of in year government funding cuts in relation to Public Health grant of £4.033m and Youth Justice Board grant of £0.139m. See section 3.10 below for further details.
- b) The position included in this report for Asylum is a pressure of £2.237m, and this reflects the latest grant offer from the Home Office - we have recently received an offer from the Home Office. This proposes new weekly rates of £200 for age 18 and over (currently £150), £700 for 16 and 17 year olds (currently £637) and £1,050 for under 16's (currently £798). Our initial calculations suggest that these increased rates equate to additional grant income of £5.077m, which is reflected in this forecast, but this is subject to a Home Office audit of our costs. The position also reflects the impact of the increase in migrant activity up to the end of September and assumes 200 new referrals for October, 100 new referrals for November and then 75 per month for the remainder of the financial year. Provisional figures show that there were 211 referrals in October, however at the time of writing this report, migrant activity had slowed significantly during the last week of October and the first half of November. Also included within the forecast is the fit out costs for a new temporary reception centre. We are seeking to recoup these one-off costs from Government.
- c) There is now a small forecast underspend on Specialist Children's Services (exc. Asylum, see above) which assumes that the transformation savings will be delivered in line with the savings profiles agreed with our transformation partner. The net underspend of £0.360m includes the requirement to roll forward £0.125m of re-phasing of the Kent Safeguarding Children Board costs into 2016-17, in order to meet our obligation to the board under the terms of the multi agency agreement. The remaining £0.235m underspend mainly relates to underspending on adoption, residential care, fostering, safeguarding and strategic management & directorate support budgets, reflecting a reduction in the number of non asylum looked after children and the recharging of overheads, staff time and related costs to the asylum service. These underspends are largely offset by pressures on children's social care staffing as a result of increased costs of agency social workers due to the ongoing difficulties in recruiting to posts and the establishment of additional Adolescent Support Team posts targeted at increasing the proportion of young people re-united with their families within the early weeks of care, together with pressures on Care Leavers and Family Support Services.
- d) The pressure of £8.279m within Social Care, Health & Wellbeing - Adults is largely the net effect of a continuation of increased activity experienced in the final quarter of 2014-15 on residential and homecare services for older people and physically disabled clients, together with significant pressures on residential care for mental health clients, the supported living service for learning disabled and physically disabled clients, day care for learning disability clients and support for carers. In addition, revised phasing of the anticipated delivery of phase 2 transformation savings is adding to this pressure in the current year. These pressures are partially offset by further delivery of phase 1 transformation savings, increased non residential charging income as a result of the pressures on domiciliary care, supported living and day care, staff vacancy savings, underspending on learning disability residential care and older people nursing care, and the use of so-far uncommitted funding held within Other Adult Services and Adult Social Care Staffing, including the release of some of the funding provided in the budget for social care prices following completion of the prices review. Management action within older people and physical disability services of £1.1m is now forecast which is expected to reduce the pressure to £7.179m (see Annex 3 for further information).

- e) Within Education & Young People's Services, the pressure on the SEN Home to School Transport budget has increased to a forecast overspend of £1.425m but this is partially offset by a continuation from last year of the reduced demand for mainstream home to school transport (-£0.868m). In addition, the Directorate is showing a net pressure in relation to costs associated with the new Early Help Module; refurbishment costs for Youth Centres and costs of cabling and wireless routers in Children's Centres; a staffing pressure with the Youth Offending Service partly due to staffing levels not reducing in line with reductions in income streams; shortfalls against income targets for nursery provision, early years training and school improvement, together with a pressure on the Community Learning & Skills service due to costs associated with service redesign and a reduction in contract/grant income. These pressures are partially offset by lower than budgeted annual pension capitalisation costs; an underspend across the area and district Early Help & Preventative Services teams due to vacancies and staff appointed below the budget assumption of mid point of grade; increased income from non statutory psychology traded services, and savings on commissioned services and legal fees. In addition, significant underspending is now forecast relating to the Kent Employment Programme and the Troubled Families Programme but, if possible, roll forward is required to continue these schemes in 2016-17. As a result, the directorate as a whole is forecasting a net underspend excluding schools of £0.184m, with management action of £0.5m estimated to improve this to an underspend of £0.684m. However, in order to fund the roll forward requirements, an underspend of £1.375m is required, so the directorate is investigating options to cover the shortfall of £0.691m in order to achieve this position, particularly from maximising trading income from schools and academies through aggressive marketing campaigns as well as reviewing all discretionary non staffing expenditure.
- f) A net pressure on the high needs education budgets (+£2.612m) and other schools related pressures (+£2.958m) will be met by a drawdown from the schools unallocated DSG reserve. School reserves are also forecast to reduce by £1.188m as a result of an expected 12 schools converting to academies. Overall the school reserves are therefore currently forecast to reduce by £6.758m to £47.251m. However this does not yet include any change to the reserves of the remaining Kent schools as we are in the process of reviewing their first monitoring returns for the year and the impact of these returns on their reserves will be reflected in the next monitoring report to Cabinet.
- g) The Growth, Environment and Transport Directorate is forecasting a small underspend of £0.037m. Within this position are some larger offsetting variances, the most significant a pressure on Concessionary Fares (£0.403m) due to increased usage, a net pressure on the waste budget of £0.169m (*see item (i) below for further details*), a pressure on general highway maintenance and emergency response (£0.206m) mainly due to increased grass cutting/weed control at junctions on high speed roads, and a pressure on streetlight maintenance (£0.338m) mainly as a result of a net write-back to revenue following a review of the balance sheet. These pressures are more than offset by an underspend on streetlight energy (-£0.531m) due to a rebate following a reconciliation of winter 2014-15 usage and a lower than budgeted electricity price increase for 2015-16; additional registration income mainly from ceremonies (-£0.162m) and underspends within the strategic management & directorate support budgets (-£0.3m) mainly as a result of an underspend on early retirement costs; together with a number of other smaller variances across the other service units.

- h) The high waste volumes experienced during 2014-15 have continued into the first six months of 2015-16 with a forecast overspend of £1.911m currently reported. This is partially offset by savings on management fees at waste facilities sites, in-vessel composting, higher than anticipated income from recyclables, lower cost of waste to energy disposal, contract savings at HWRCs and transfer stations and a re-phasing of works at closed landfill sites into 2016-17, giving an overall net waste pressure of £0.169m. The tonnage for the first six months of 2015-16 was 4,700 tonnes above the affordable level for this period and the current forecast pressure on waste tonnage of £1.911m assumes tonnage will be 711,700 tonnes for the full year, 21,200 tonnes above the budgeted level of 690,500 tonnes. This forecast appears high when comparing to year to date tonnage, but it assumes that waste volumes will remain at similar levels to those experienced last year for the remainder of this financial year.
- i) It should be noted that we are awaiting the quarter 2 reconciliation of journey numbers for both the Young Person's Travel Pass and Concessionary Fares from our external travel partners. Once this is received this could impact on our current forecasts for these budgets.
- j) The forecast for Public Health currently shows an underspend on £4.543m, of which £4.033m is in response to the in year government funding cut resulting from the Government's austerity measures, which following a consultation exercise in the summer, was confirmed on 4 November. Please see section 3.10 (i) for further details. The cash limits will be reduced accordingly for future reports. The remaining £0.510m of the underspend will be transferred to the Public Health reserve in line with government guidelines, for use in future years.
- k) Within Strategic & Corporate Services a small underspend is now reported with pressures within the Contact Centre, Gateways & Customer Relationship and ICT being more than offset by underspending mainly within Property & Infrastructure, Communications & Consultation, Business Services Centre and Human Resources.
- l) Within Financing Items, increased interest on cash balances; a forecast increase in Education Services Grant as fewer schools are anticipated to convert to academy status this financial year than assumed at the time the budget was set; higher than expected Business Rate compensation grant for the impact of measures introduced by the Government in the 2012, 2013 and 2014 Autumn Statements; a retained levy as a result of being in a business rate pool with 10 of the Kent District Councils and an underspend against the external audit fee all contribute to a forecast underspend of £3.149m. The accounting treatment for the retained levy has only recently been agreed, hence why this was not factored into the 2015-16 budget build. If a business rate pool is agreed for 2016-17 then we will need to reflect a retained levy in the 2016-17 budget build, but we will not be able to calculate the magnitude of this retained levy until the precise membership of the business rate pool is agreed, which will not be known until December.
- m) The centrally held procurement and commissioning saving has been transferred from Finance & Procurement, within Strategic & Corporate Services (annex 6) to Financing Items (annex 7). The detailed action plan from our project partner (KPMG) on how this will be delivered has now been finalised. This contains a number of proposals for delivering these savings in future years, but for the current year the recommendation is that this be delivered from tactical savings across the authority. The impact of these savings is also currently being reported within Financing Items.

n) Many of the pressures and savings highlighted in the headlines above have implications for the 2016-19 MTFP, as they are expected to be ongoing. The 2016-17 budget proposals which are currently out to consultation, include an element of budget re-basing for these pressures and savings but based on a point in time much earlier in the financial year, therefore further re-basing of the 2016-17 budget is required to align with the latest position. The net effect of this is likely to be in the region of a further £3m to £4m. The budget consultation shows a budget gap in 2016-17 of £7m before this additional re-basing, therefore this is expected to increase the budget gap to approximately £10m to £11m.

3.7 Details of Committed Roll Forward/Re-phasing requirements

The headline table on page 4 shows that within the current forecast revenue position there is a requirement to roll forward £0.292m to 2016-17, relating to initiatives where we have a legal obligation to provide the funding. This relates to:

▪ re-phasing of Kent Youth Employment programme in to 2016-17 (see annex 1)	+90 k
▪ re-phasing of Kent Children's Safeguarding Board in to 2016-17. This represents KCC's share of the underspend of the KCSB. Under the terms of the multi-agency agreement, KCC has an obligation to provide this funding to the Board. The underspending relating to partners contributions is held in a Fund (see annex 2)	+125 k
▪ re-phasing of Kent & Medway Safeguarding Vulnerable Adults Committee in to 2016-17. This represents KCC's share of the underspend of the Committee. Under the terms of the multi-agency agreement, KCC has an obligation to provide this funding to the Committee. The underspending relating to partners contributions is held in a Fund (see annex 3)	+77 k
	+292 k

These roll forward requirements are only included as we have a legal obligation. All the time that we are in a overspend position for the authority, roll forwards **will not** be considered unless legally we have no choice.

3.8 Details of Roll Forward/Re-phasing required to complete existing initiatives, if the outturn position allows:

In addition to the roll forward requirements that we are legally obliged to provide for, which are detailed above, there is some significant underspending within the forecast which we would ideally like to roll forward in order to continue with these initiatives in 2016-17. The Authority as a whole would need to achieve an underspending position at year end of at least -£1.577m in order to fund all of these (£1.285m as detailed below and +£0.292m per section 3.7 above). We are currently forecasting an overspend of £5.009m even after the anticipated delivery of £1.6m of management action, so we have a shortfall of £6.586m as highlighted in the headline table on page 5, which will need to be addressed before roll forward for these initiatives can be considered. These initiatives are:

▪ Kent Youth Employment programme (see annex 1)	+704 k
▪ Tackling Troubled Families (see annex 1)	+581 k
	+1,285 k

In line with usual practice, if an underspending position is achieved by the end of the financial year, **all** roll forward proposals will be subject to Cabinet approval in the summer, in view of the overall outturn position and the pressures facing the authority over the medium term.

3.9 Revenue budget virements/changes to budgets

All changes to cash limits are in accordance with the virement rules contained within the constitution, with the exception of those cash limit adjustments which are considered “technical adjustments” i.e. where there is no change in policy, including:

- Allocation of grants and previously unallocated budgets where further information regarding allocations and spending plans has become available since the budget setting process, including the inclusion of new 100% grants (i.e. grants which fully fund the additional costs) awarded since the budget was set.
- Cash limits for the A-Z service analysis have been adjusted since the budget was set to reflect a number of technical adjustments, including the further centralisation of budgets and to reflect where responsibility for providing services has moved between directorates/divisions.

3.10 Potential in year cuts to Government funding levels

Making an early start on tackling the public finances in this Parliament, the Chancellor announced in the Queen's Speech in early June that the in-year budget review process was completed and provided details of the savings by Government Department. Some of these cuts will have a direct impact on our finances in the current year and, potentially, future years. Details which have been announced so far include:

Public Health

- As reported to Cabinet on 6 July in the first monitoring report for 2015-16, the Government announced that £200m of in year savings from the Department of Health are to come from public health budgets devolved to local authorities. National consultation setting out possible options on reducing Local Authority (LA) public health allocations ran from 31 July to 28 August. The options included:
 - (1) take a larger share from LAs that are significantly above their target allocation;
 - (2) take a larger share of the savings from LAs that carried forward unspent PH reserves into 2015-16;
 - (3) apply a flat rate percentage reduction to all LAs allocations;
 - (4) apply a standard percentage reduction to every LA unless an authority can show that this would result in particular hardship.

The Department of Health's stated preferred option was to apply a 6.2% reduction across the board (option 3 above), which for Kent equates to a cut in funding of £4.033m. On this basis, the service has identified options for dealing with an in-year 2015-16 budget reduction of this level, but a reduction of this size requires cuts to service levels.

Our response to the consultation was that option 1 was our preferred option. Kent is currently below our target allocation.

On 4 November, the DoH announced that, despite their preferred option only being backed by a quarter of respondents to the consultation, on balance this remains their preference as it is the option most consistent with the underpinning principles for managing the saving that the DoH has set out: it delivers the £200 million, it is the least disruptive to services and it is compliant with the Public Sector Equality Duty and the health inequality duty. The saving will be implemented through a reduction to the fourth quarterly instalment of the PH grant. Annex 4 identifies the services we are proposing to reduce as a result of this in year grant cut and has been agreed in conjunction with the Cabinet Member for Adult Social Care & Public Health. **Cabinet is asked to agree** these proposals so that the cash limits can be reduced and reflected accordingly in future reports.

ii) **Adult Education**

- The Skills Funding Agency (SFA) has announced a 3.9% cut to adult skills budget and discretionary learner support allocations, which is being made in response to the £450m in year savings required of the Department for Business, Innovation & Skills. Additionally, the SFA will attempt to save money by withdrawing all funding for mandated English for speakers of other languages (ESOL) provision for the 2015-16 funding year. This 3.9% cut will be made across the board to non-apprenticeship allocations. The impact on the Community Learning & Skills budget is a reduction in funding of £0.359m but the service is able to cease some direct service costs and with the implementation of management action the residual impact is estimated at £0.1m, and this is included in the E&YP directorate forecast reflected in this report.

iii) **Youth Offending Service**

- The formal consultation regarding a 14% (£12m) in year government cut in Youth Offending Team grant from Youth Justice Board (YJB) concluded in September. We, and other local authorities, responded to YJB stating that an in year cut in grant would be too detrimental to the service and suggested that the reduction should be taken from the central YJB budget. The YJB met on 28 October to consider the consultation responses and to make a decision on how to achieve the reduction. On 5 November the YJB announced that £9m of the required reduction will need to be taken from the 2015-16 grant, which equates to a 10.6% reduction in the annual allocation. At the time of writing this report we have not yet been notified of the precise amount of our grant reduction but a 10.6% reduction equates to approximately a £0.139m reduction in our YJB funding. The Youth Offending Service are now considering options to manage this reduction and whether it will have any adverse impact on their current forecast outturn position.

4. SUMMARISED CAPITAL MONITORING POSITION

4.1 The working budget for the 2015-16 Capital Programme is £374.675m (£336.897m excluding PFI). The forecast outturn against this budget is £277.124m (£273.381m excluding PFI) giving a variance of -£97.551m (-£63.516m excluding PFI). The annexes to this report provide the detail, which is summarised in table 2 below.

4.2 **Table 2** Directorate capital position

Directorate	2015-16 Cash Limit per Budget Book £'000	2015-16 Working Budget £'000	2015-16 Variance £'000	Real Variance £'000	Re-phasing Variance £'000	Annex
Education & Young People's Services	144,784	168,423	-41,133	54	-41,187	1
Social Care, Health & Wellbeing - Specialist Children's Services	902	1,959	-100	-	-100	2
Social Care, Health & Wellbeing - Adults	30,049	51,070	-40,138	-408	-39,730	3
Social Care, Health & Wellbeing - Public Health	-	360	-180	-	-180	4
Growth, Environment & Transport	101,707	125,205	-15,644	738	-16,382	5
Strategic & Corporate Services	20,582	27,658	-356	529	-885	6
Financing Items	-	-	-	-	-	7
TOTAL	298,024	374,675	-97,551	913	-98,464	

The **Capital** Budget Monitoring headlines are as follows:

- a) The majority of schemes are within budget and on time.
- b) +£0.913m of the -£97.551m variance is due to **real** variances as follows:

Home Support Fund & Equipment (SCH&W Adults) -£0.341m. This reflects the lower than anticipated demand for telecare equipment resulting in a reduction in the anticipated revenue contribution to capital.

Highway Major Enhancement (GET) +£0.792m reflects in the main an additional footway scheme at Bank Street, Ashford (+£0.290k) and enhancement works at Star Lane, Thanet (+£0.500k), both to be funded by additional developer contributions.

Disposal Costs (S&CS) +£0.400m. This reflects the capitalisation of security costs to protect the value of KCC assets, to be funded from the capital proceeds of property disposals. Future year budgets will be considered as part of the 2016-19 MTFP process.

The remaining +£0.064m of real variances are made up of a number of real over and underspends on a number of projects across the capital programme. The annexes to this report provide the detail.

- c) -£98.464m of the -£97.551m variance relates to **rephasing** on a number of projects. The main projects comprising the rephasing are as follows:

Special School Review Phase 2 (EYP) -£20.963m. Rephasing following significant delays at the planning and contract execution stages of a number of complicated projects which has impacted on start dates.

Grammar School annex at Sevenoaks (EYP) -£9.177m. Works had halted pending the outcome of the Secretary of State decision. Following approval on 15th October 2015, contract documentation will now be worked through prior to any construction contract being agreed.

Basic Need Programme (EYP) -£7.600m. The curriculum analysis and pre-construction work for Secondary school expansions has taken considerable time which has resulted in a delay to design work and preparing planning applications. No delivery delays are expected.

Modernisation Programme (EYP) -£1.544m. A programme of works has now been finalised with some projects due to complete in the next financial year. The budget is being reprofiled accordingly.

Early Help Single System (EYP) -£1.100m. This project is now progressing following the outcome of the back office procurement decision with the original budget allocation being re-profiled to reflect the revised project plan.

Pupil Referral Units (EYP) -£0.803m. Projects have been halted whilst a review of the North West Kent premises is undertaken and works for West Kent PRU will now commence in April 2016 when new premises can be accessed.

PFI - Excellent Homes for All (SCH&W) -£34.035m. Unforeseen contamination of sites in the form of asbestos has impacted on the start of construction of the new buildings as the sites needed to be cleared and decontaminated.

OP Strategy - Specialist Care Facilities (SCH&W Adults) -£3.162m. The Accommodation Strategy has identified a need to incentivise the market in Swale and Sandwich alongside the consultation of the future of the KCC care homes in those areas. Market engagement has commenced in Swale and will commence on the Sandwich project in the next six months which will inform what capital investment is needed. However, a formal procurement exercise will be required for both projects. Therefore the budget is being rephased into 2016-17.

Care Act ICT Implementation (SCH&W Adults) -£1.312m. System reviews will start next month to ascertain what developments are required to support the Care Act implementation and changes to business processes. Extended Government deadlines have allowed more time to scope this project.

Learning Disability Good Day Programme - Community Hubs and Initiatives (SCH&W Adults) -£1.178m. The KCC Asset Management Strategy stipulates a requirement to review all KCC properties when looking for alternative accommodation. In order to meet this requirement some projects are being rephased into next year.

SELEP projects (GET):

Sittingbourne Town Centre Regeneration -£2.500m;
 M20 Junction 4 Eastern Over Bridge -£2.090m;
 Middle Deal Transport Improvements -£1.500m;
 A26 London Road/Staplehurst Road/Yew Tree Junction -£0.936m;
 Tonbridge Town Centre Regeneration -£0.670m;
 A28 Sturry Rural Integrated Transport Package -£0.519m;
 A28 Chart Road, Ashford -£0.380m;
 Kent Thameside LSTF -£0.310m;
 Rathmore Road Link -£0.294m;
 Kent Sustainable Intervention Programme for Growth -£0.106m; and
 Maidstone Gyratory Bypass: +£0.260m.

The original budgets for these schemes were profiled on the phasings within the initial business cases which were submitted to SELEP for LGF funding. The forecasts now reflect amended profiles in the revised business cases.

LED Conversion (GET) -£2.400m rephasing as the tender invitation has been extended and therefore the start of works will not commence until the latter part of 2015-16.

Sittingbourne Northern Relief Road -£1.000m, East Kent Access Phase 2 -£0.799m and Rushenden Link Road -£0.542m (GET). Rephasing to cover land compensation payments in future years.

Empty Property Initiative (GET) -£1.268m rephasing to reflect realignment of the loan payment spend profile to match that of the expected loan repayments.

Integrated Transport Schemes (GET) -£0.674m reflects a scheme at the Bat & Ball junction, Sevenoaks which has been rephased to summer 2016-17 (-£0.250m) following other works being carried out by utility companies in the area this summer, plus rephasing across a number of other schemes within the programme.

No Use Empty Rented Affordable Homes Extension (GET) -£0.273m rephasing to reflect anticipated take up of loans in 2015-16.

Electronic Document Management Solution (S&CS) -£1.200m. Phase 1 has been delivered and completed. The project board has proposed the closure of the current project and to use the phase 1 assets and acquired knowledge to inform a re-scoped business requirement for a phase 2 EDMS delivery which will take place next financial year.

Property Investment & Acquisition Fund (S&CS) +£0.600m. A strategic acquisition approved in October will now complete in 2015-16.

The remaining -£0.989m rephasing comprises minor rephasing across the capital programme. The annexes to this report provide the detail.

4.4 Capital budget virements/changes to cash limits

- Any cash limit changes due to virements are in accordance with the virement rules contained within the constitution and have received the appropriate approval via the Leader, or relevant delegated authority.
- **Cabinet is asked to approve** further changes to the capital programme cash limits resulting from this round of monitoring, which are identified in the actions column in table 2 of the annex reports. For ease of reference these are all summarised in **Appendix 3**.

5. FINANCIAL HEALTH

5.1 The latest Financial Health indicators, including cash balances, our long term debt maturity, outstanding debt owed to KCC, the percentage of payments made within 20 days and the recent trend in inflation indices (RPI & CPI) are detailed in **Appendix 1**.

5.2 The latest monitoring of Prudential indicators is detailed in **Appendix 2**.

6. REVENUE RESERVES

6.1 The table below reflects the projected impact of the current forecast spend and activity for 2015-16 on our revenue reserves:

Account	Balance at 31/3/15 £m	Projected Balance at 31/3/16 £m	Movement £m
General Fund balance	34.7	37.2	2.5
Earmarked Reserves	168.3	121.9	-46.4
Surplus on Trading Accounts	2.9	2.9	-
Schools Reserves *	54.0	47.2	-6.8

* Both the table above and section 2.1 of annex 1 include delegated schools reserves and unallocated schools budget.

6.2 The increase of £2.5m in general reserves reflects the 2015-16 budgeted contribution, as approved by County Council in February.

6.3 The reduction of £46.4m in earmarked reserves includes:

	£m
▪ Budgeted drawdown of Economic Downturn reserve to support 2015-16 budget	-4.2
▪ Budgeted drawdown of earmarked reserve to support 2015-16 budget (residual 2013-14 underspend)	-4.0
▪ Budgeted use of directorate held reserves to support 2015-16 budget	-2.4
▪ Budgeted contribution to reserves for invest to save proposals	+4.5
▪ Budgeted contribution to reserves (incl. continuation of collaborative work with DCs to increase council tax yield)	+2.6
▪ Budgeted drawdown from Kingshill Smoothing reserve	-2.0
▪ Budgeted phased repayment of sums borrowed from long term reserves in 2011-12 (year 2 of 10)	+1.3
▪ Budgeted contribution to the elections reserve	+0.6
▪ Use of rolling budget reserve (2014-15 underspend) to fund approved roll forwards	-10.9
▪ Transfer to earmarked reserve to support future budgets of uncommitted 2014-15 rolled forward	+4.1
▪ Planned drawdown of reserves for transformation costs	-13.8
▪ Planned drawdown of Dedicated Schools Grant reserve	-4.0
▪ Planned drawdown of Kent Drug & Alcohol Service reserve	-3.9
▪ Planned drawdown of 2014-15 underspend from Public Health reserve	-2.1
▪ Forecast transfer to Public Health reserve of 2015-16 underspend (see annex 4)	+0.5
▪ Forecast transfer to (+ve) / from (-ve) Dedicated Schools Grant reserve (unbudgeted) (see annex 1)	+0.5
▪ Planned use of NHS Support for Social Care reserve	-0.7
▪ Forecast transfer to Insurance reserve (see annex 7)	+1.0
▪ Forecast transfer to Kingshill Smoothing reserve in respect of net profit distribution from partnership	+0.7
▪ Planned movement in IT Asset Maintenance reserve	-2.1
▪ Planned movement in Dilapidations reserve	-2.8
▪ Impact on rolling budget reserve of current forecast overspend	-5.0
▪ Other forecast movements in earmarked reserves	-4.3
	-46.4

6.3 The reduction of £6.8m in schools reserves is due to:

	£m
▪ An assumed 12 schools converting to academy status this financial year and taking their accumulated reserves with them	-1.2
▪ The anticipated use of schools unallocated reserves to fund in year pressures on high needs education	-2.6
▪ The anticipated use of schools unallocated reserves to fund other in year schools related pressures	-3.0
	-6.8

7. STAFFING LEVELS

7.1 The following table provides a snapshot of the staffing levels by directorate as at 30 September 2015 compared to the numbers as at 31 March 2015 and 30 June 2015, based on active assignments. Between 31 March and 30 September 2015 there has been a reduction of 561.95 FTEs, of which 419.57 FTEs were in schools and 142.38 FTEs were in non schools settings. The reduction in schools based staff is mainly as a result of schools converting to an academies.

		31 Mar 15	30 Jun 15	30 Sep 15	31 Dec 15	31 Mar 16	Difference	
							Number	%
KCC	Assignment count	37,285	37,123	36,055			-1,230	-3.30%
	Headcount (inc. CRSS)	31,437	31,310	30,555			-882	-2.81%
	Headcount (excl. CRSS)	27,933	27,770	27,134			-799	-2.86%
	FTE	20,915.93	20,758.33	20,353.98			-561.95	-2.69%
KCC - Non Schools	Assignment count	11,667	11,471	11,401			-266	-2.28%
	Headcount (inc. CRSS)	10,785	10,587	10,541			-244	-2.26%
	Headcount (excl. CRSS)	9,296	9,134	9,111			-185	-1.99%
	FTE	7,972.64	7,832.07	7,830.26			-142.38	-1.79%
E&YP	Assignment count	2,903	2,843	2,755			-148	-5.10%
	Headcount (inc. CRSS)	2,678	2,598	2,536			-142	-5.30%
	Headcount (excl. CRSS)	1,903	1,849	1,841			-62	-3.26%
	FTE	1,573.20	1,536.07	1,547.05			-26.15	-1.66%
SCH&W	Assignment count	4,638	4,590	4,648			10	0.22%
	Headcount (inc. CRSS)	4,256	4,221	4,270			14	0.33%
	Headcount (excl. CRSS)	4,056	4,028	4,069			13	0.32%
	FTE	3,483.83	3,459.75	3,504.37			20.54	0.59%
GET	Assignment count	2,370	2,354	2,349			-21	-0.89%
	Headcount (inc. CRSS)	2,163	2,152	2,144			-19	-0.88%
	Headcount (excl. CRSS)	1,626	1,617	1,597			-29	-1.78%
	FTE	1,314.51	1,305.26	1,283.96			-30.55	-2.32%
S&CS	Assignment count	1,756	1,684	1,649			-107	-6.09%
	Headcount (inc. CRSS)	1,746	1,674	1,639			-107	-6.13%
	Headcount (excl. CRSS)	1,720	1,649	1,612			-108	-6.28%
	FTE	1,601.10	1,530.99	1,494.88			-106.22	-6.63%
Schools	Assignment count	25,618	25,652	24,654			-964	-3.76%
	Headcount (inc. CRSS)	20,718	20,785	20,065			-653	-3.15%
	Headcount (excl. CRSS)	18,667	18,665	18,047			-620	-3.32%
	FTE	12,943.29	12,926.26	12,523.72			-419.57	-3.24%

Note:
If a member of staff works in more than one directorate they will be counted in each. However, they will only be counted once in the Non Schools total and once in the KCC Total.

If a member of staff works for both Schools and Non Schools they will be counted in both of the total figures. However they will only be counted once in the KCC Total.

CRSS = Staff on Casual Relief, Sessional or Supply contracts.

8. CONCLUSIONS

- 8.1 The overall forecast overspend position, after taking into account the requirements to roll forward, has reduced by -£8.168m from +£16.354m to +£8.186m since the July monitoring position provided to Cabinet in October. Management action of £1.6m is proposed, which is expected to reduce this position to +£6.586m, a reduction of £6.372m since the last report. Within this position is a -£4.338m reduction in the Asylum forecast reflecting the net impact of the further increase in migrant activity up to the end of September (+£0.739m) and the latest grant offer from the Home Office estimated at an additional £5.077m. Migrant activity was slightly higher in October than our assumptions contained within this forecast but, at the time of writing this report, activity has slowed for the first few days of November, so we appear to be remaining on track against our latest forecast. Excluding Asylum, the position for all other services has therefore improved this month by £2.034m, which is encouraging. However, a £6.586m forecast pressure, £4.349m excluding Asylum, is still a very real cause for concern especially as:
- i) the delivery of the £1.6m management action is by no means certain,
 - ii) we may still have not reached the peak of our adult social care forecast, as the pressure on domiciliary care and supported living has consistently increased month on month throughout this financial year.
- 8.2 Although it is not unusual for the early forecasts in the financial year to be on the pessimistic side, usually by the Quarter 2 monitoring report the position has improved significantly. Although our position this year, excluding Asylum and roll forward issues, has improved by £4.4m since the initial forecast for the year presented to Cabinet in July, the scale of improvement is not as high as we would have hoped, and we have not had a forecast residual pressure (including Asylum) of this magnitude (£6.586m) at this point in the year in, at least, any of the last 21 years. This all therefore paints a bleak outlook and it is essential that this is managed down to at least a balanced position before the end of the financial year, considering the further substantial budget savings required to balance the 2016-17 budget, and with further government funding cuts expected in the medium term. We are all aware that the easier savings options have already been taken, meaning that managing an in year pressure becomes harder and harder each year. By the time Cabinet considers this report we only have four months left of the financial year in which to turn this position around. Corporate Directors have urged their Directorate Management Teams to limit spend wherever possible. Managers have, and will continue to be, posted on KNet. We have, so far, resisted any moratorium on specific activity, but this will be kept under constant review.
- 8.3 If we do not resolve this residual £6.586m underlying pressure before the year end, then roll forward to continue with the re-phasing of the Kent Youth Employment Programme and the Troubled Families Programme in to 2016-17, as identified in section 3.8, may not be possible.
- 8.4 There are a number of ongoing emerging issues that will need to be addressed in the 2016-17 budget build / 2016-19 MTFP and these are highlighted in the annexes to this report and/or in the headlines above.

9. RECOMMENDATIONS

Cabinet is asked to:

- i) **Note** the report, including the latest monitoring position on both the revenue and capital budgets.
- ii) **Agree** the reduction in the Public Health cash limits as identified in annex 4, in response to the in-year government funding cut confirmed on 4 November.
- ii) **Agree** the changes to the capital programme cash limits as detailed in the actions column in table 2 of the annex reports and summarised in Appendix 3.

10. BACKGROUND DOCUMENTS

None

11. CONTACT DETAILS

Report Authors:

Chris Headey
Central Co-ordination Manager
Revenue Finance
03000 416228
chris.headey@kent.gov.uk

Julie Samson/Sara Brise
Capital Finance Manager
03000 416950 / 03000 416922
julie.samson@kent.gov.uk
sara.brise@kent.gov.uk

Director:

Andy Wood,
Corporate Director of Finance and Procurement
03000 416854
andy.wood@kent.gov.uk

FINANCIAL HEALTH INDICATORS

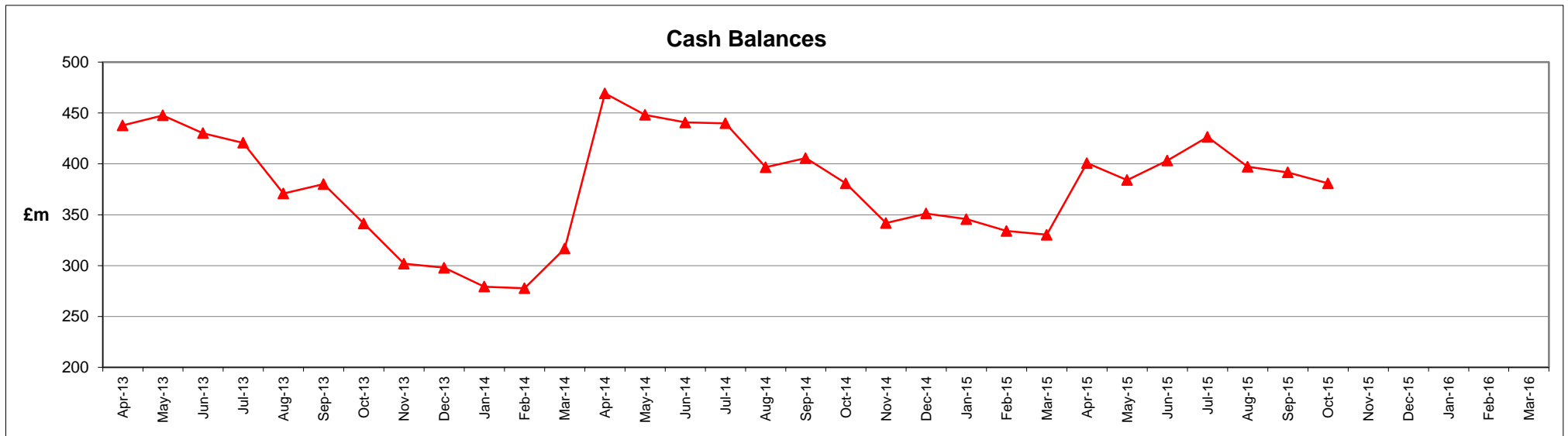
1. CASH BALANCES

The following graph represents the total cash balances under internal management by KCC at the end of each month in £m. This includes principal amounts currently at risk in Icelandic bank deposits (£7.353m), balances of schools in the corporate scheme (£53.3m), other reserves, and funds held in trust. KCC will have to honour calls on all held balances such as these, on demand. The remaining deposit balance represents KCC working capital created by differences in income and expenditure profiles.

Central Government Departments (particularly DCLG) are following a similar pattern to the last two years of front loading revenue grants for 2015-16, though less so than last year, where receipts have been weighted towards the beginning of the year (33%) leading to an early peak in managed cash levels. These cash levels are forecast to decline over the course of the year as grant income reduces.

	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
2013-14	437.8	447.6	430.1	420.7	371.0	380.1	341.3	301.9	297.9	279.3	277.7	316.7
2014-15	469.3	448.2	440.7	439.9	396.6	405.7	380.9	341.9	351.2	345.7	334.1	330.4
2015-16	400.8	384.1	403.2	426.5	397.2	391.7	380.8					

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2. LONG TERM MATURITY

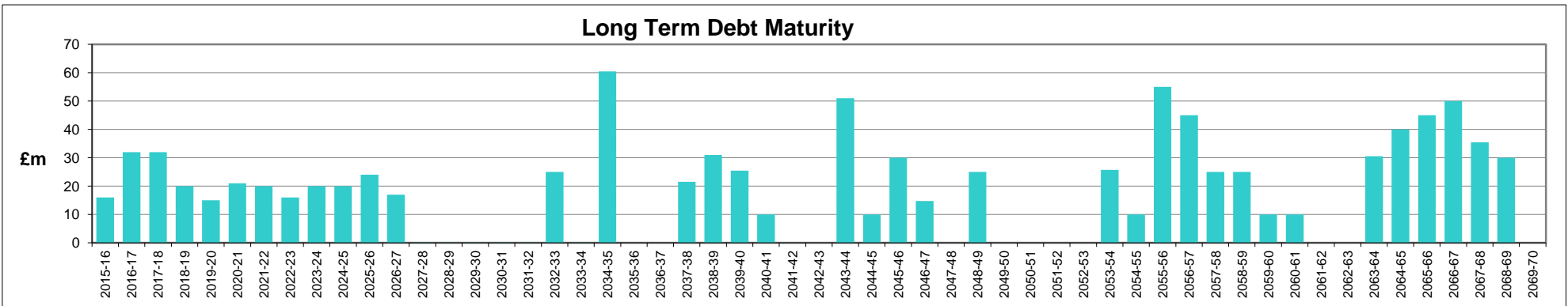
The following graph represents the total external debt managed by KCC, and the year in which this is due to mature. This includes £39.09m pre-Local Government Review debt managed on behalf of Medway Council. Also included is pre-1990 debt managed on behalf of the Further Education Funding council (£1.76m) and Magistrates Courts (£0.556m). These bodies make regular payments of principal and interest to KCC to service this debt.

The graph shows total principal repayments due in each financial year. Small maturities indicate repayment of principal for annuity or equal instalment of principal loans, where principal repayments are made at regular intervals over the life of the loan. The majority of loans have been taken on a maturity basis so that principal repayments are only made at the end of the life of the loan. These principal repayments will need to be funded using available cash balances (i.e. internalising the debt), by taking new external loans or by a combination of the available options.

The total debt principal to be repaid in 2015-16 is £31.001m, relating to £29m of maturity loans, (£14m was repaid in August and £15m is to be repaid in February), and £2.001m of equal instalment of principal loans (mainly relating to £1m which was repaid in September and £1m is to be repaid in March). Following the repayment of debt in August and September, the remaining outstanding debt still to be repaid this financial year is £16m.

A £25m PWLB maturity loan was borrowed at 3.16%, advanced on 29 April 2015, which matures on 10 August 2055.

	£m	Year	£m	Year	£m	Year	£m	Year	£m	Year	£m
2015-16	16.000	2025-26	24.001	2035-36	0.000	2045-46	30.000	2055-56	55.000	2065-66	45.000
2016-17	32.001	2026-27	17.001	2036-37	0.000	2046-47	14.800	2056-57	45.000	2066-67	50.000
2017-18	32.001	2027-28	0.001	2037-38	21.500	2047-48	0.000	2057-58	25.000	2067-68	35.500
2018-19	20.001	2028-29	0.001	2038-39	31.000	2048-49	25.000	2058-59	25.000	2068-69	30.000
2019-20	15.001	2029-30	0.001	2039-40	25.500	2049-50	0.000	2059-60	10.000	2069-70	0.000
2020-21	21.001	2030-31	0.001	2040-41	10.000	2050-51	0.000	2060-61	10.000		
2021-22	20.001	2031-32	0.000	2041-42	0.000	2051-52	0.000	2061-62	0.000		
2022-23	16.001	2032-33	25.000	2042-43	0.000	2052-53	0.000	2062-63	0.000		
2023-24	20.001	2033-34	0.000	2043-44	51.000	2053-54	25.700	2063-64	30.600		
2024-25	20.001	2034-35	60.470	2044-45	10.000	2054-55	10.000	2064-65	40.000	TOTAL	994.079



3. OUTSTANDING DEBT OWED TO KCC

The following graph represents the level of outstanding debt due to the authority, which has exceeded its payment term of 30 days. The main element of this relates to Adult Social Services and this is also identified separately, together with a split of how much of the Social Care debt is secured (i.e. by a legal charge on the clients' property) and how much is unsecured. The significant increase in SCH&W Directorate sundry debt in June 2015 predominately relates to a number of invoices raised early in this financial year across the East Kent Clinical Commissioning Groups (CCGs) for the Better Care Fund (BCF) totalling £43m. **There is minimal risk around this £43m debt** as it is secured by a signed Section 75 agreement meaning that the CCGs are legally obliged to pay. Payments are being received monthly, so this debt has reduced each month. From September, the remaining BCF debt has been moved onto a payment plan and therefore will only show in the table below if a monthly instalment is not received on time.

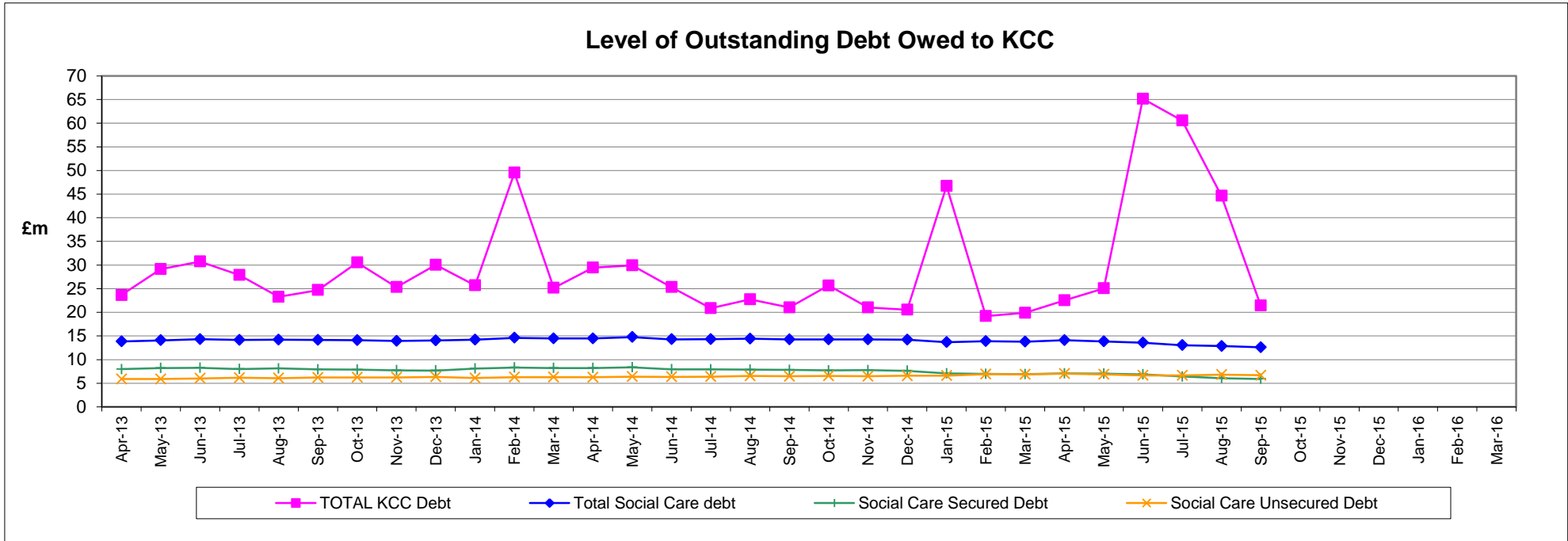
	Social Care Secured Debt £m	Social Care Unsecured Debt £m	Total Social Care Debt £m	SCH&W Sundry Debt £m	TOTAL SCH&W Debt £m	All other Directorates Debt £m	TOTAL KCC Debt £m
Apr 14	8.220	6.270	14.490	8.884	23.374	6.060	29.434
May 14	8.353	6.402	14.755	8.899	23.654	6.276	29.930
Jun 14	7.944	6.346	14.290	7.289	21.579	3.733	25.312
Jul 14	7.927	6.389	14.316	2.187	16.503	4.337	20.840
Aug 14	7.882	6.549	14.431	3.707	18.138	4.616	22.754
Sep 14	7.805	6.465	14.270	2.849	17.119	3.919	21.038
Oct 14	7.709	6.543	14.252	3.808	18.060	7.614	25.674
Nov 14	7.777	6.472	14.249	2.658	16.907	4.132	21.039
Dec 14	7.624	6.582	14.206	2.406	16.612	3.927	20.539
Jan 15	7.079	6.604	13.683	30.632	44.315	2.395	46.710
Feb 15	6.973	6.914	13.887	2.538	16.425	2.792	19.217
Mar 15	6.915	6.887	13.802	2.955	16.757	3.136	19.893
Apr 15	7.069	7.026	14.095	3.669	17.764	4.782	22.546
May 15	7.009	6.848	13.857	5.534	19.391	5.675	25.066
Jun 15	6.885	6.673	13.558	* 46.885	60.443	4.694	65.137
Jul 15	6.417	6.637	13.054	* 43.741	56.795	3.755	60.550
Aug 15	6.075	6.791	12.866	* 28.648	41.514	3.115	44.629
Sep 15	5.913	6.684	12.597	4.794	17.391	4.022	21.413
Oct 15			0.000		0.000		0.000
Nov 15			0.000		0.000		0.000
Dec 15			0.000		0.000		0.000
Jan 16			0.000		0.000		0.000
Feb 16			0.000		0.000		0.000
Mar 16			0.000		0.000		0.000

* incl. BCF debt of £42.867m

* incl. BCF debt of £39.295m

* incl. BCF debt of £25.006m

From Sept 15, the remaining BCF debt has been moved onto a payment plan and will only show in these figures if a monthly instalment is not received on time.



4. PERCENTAGE OF PAYMENTS MADE WITHIN THE PAYMENT TERMS

The following graph represents the percentage of payments made within the payments terms – the national target for this is 30 days, however from January 2009, we have set a local target of 20 days in order to help assist the cash flow of local businesses during the current tough economic conditions. We focus on paying local and small firms as a priority. The table below shows our performance against this 20 day payment target.

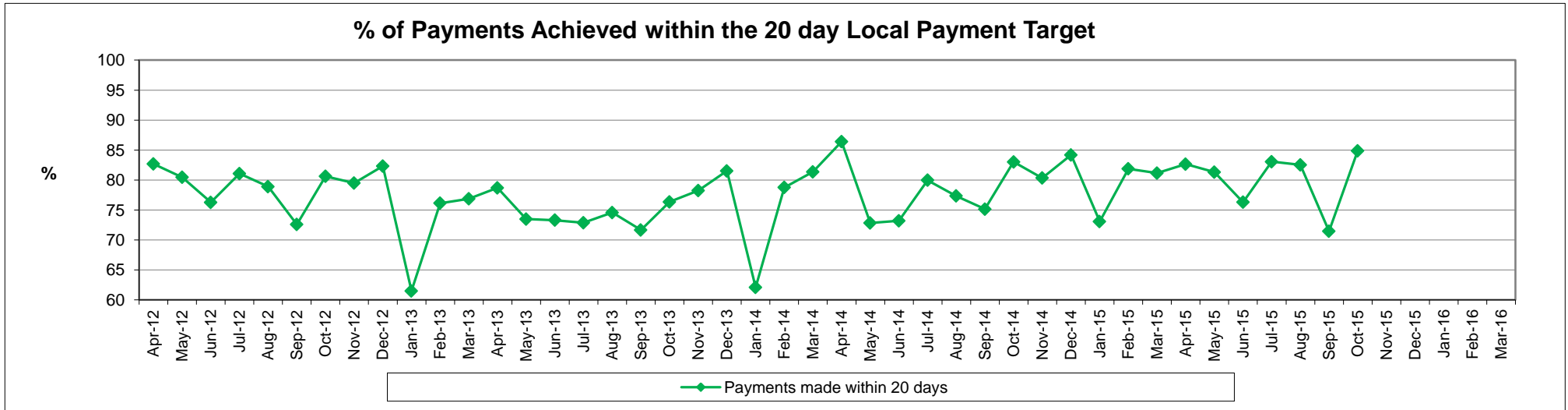
	2012-13	2013-14	2014-15	2015-16
	%	%	%	%
Apr	82.7	78.7	86.4	82.7
May	80.5	73.5	72.9 *	81.3
Jun	76.3	73.3	73.2 *	76.3
Jul	81.1	72.9	80.0	83.1
Aug	78.9	74.6	77.3	82.5
Sep	72.6	71.7	75.1	71.5
Oct	80.6	76.4	83.0	84.9
Nov	79.5	78.2	80.3	
Dec	82.3	81.5	84.2	
Jan	61.5	62.1	73.1	
Feb	76.1	78.8	81.9	
Mar	76.9	81.4	81.2	

The percentages achieved for January each year are consistently lower than other months due to the Christmas/New Year break. This position was exacerbated in 2012-13 due to snow. The 2015-16 year to date figure for invoices paid within 20 days is 80.3%. This compares to overall performance in previous years as follows:

	20 days %
2012-13	77.3
2013-14	75.3
2014-15	79.2
2015-16 to date	80.3

* The lower percentages in May/June 2014 were due to invoices arriving late into the payments team, impacting on their ability to pay to terms.

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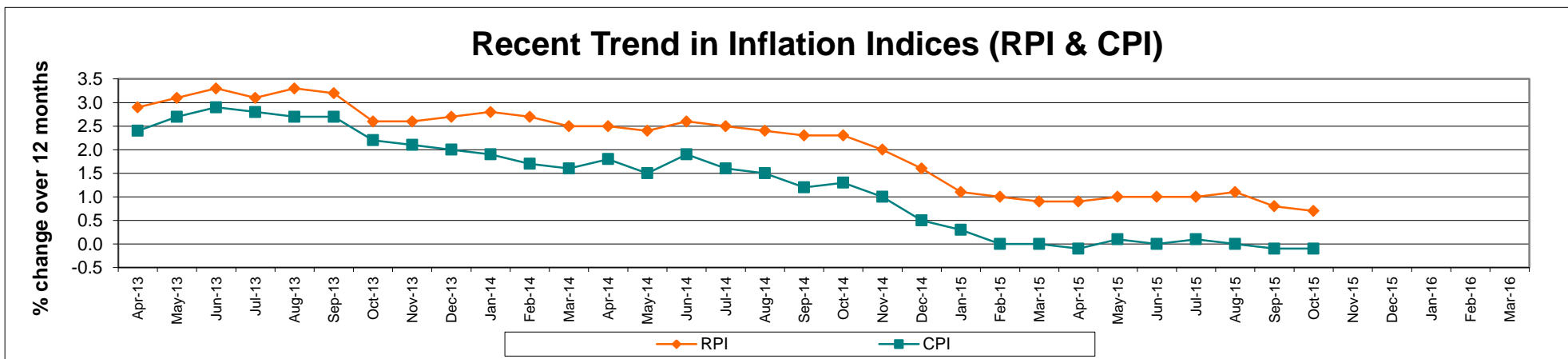
5. RECENT TREND IN INFLATION INDICIES (RPI & CPI)

In the UK, there are two main measures of inflation – the Consumer Prices Index (CPI) and the Retail Prices Index (RPI). The Government’s inflation target is based on the CPI. The RPI is the more familiar measure of inflation, which includes mortgage interest payments, but is now not deemed to be a formal measure. The CPI measures a wide range of prices. The indices represent the average change in prices across a wide range of consumer purchases. This is achieved by carefully recording the prices of a typical selection of products from month to month using a large sample of shops and other outlets throughout the UK. The recent trend in inflation indices is shown in the table and graph below.

Percentage Change over 12 months

	2013-14		2014-15		2015-16	
	RPI %	CPI %	RPI %	CPI %	RPI %	CPI %
Apr	2.9	2.4	2.5	1.8	0.9	-0.1
May	3.1	2.7	2.4	1.5	1.0	0.1
Jun	3.3	2.9	2.6	1.9	1.0	0.0
Jul	3.1	2.8	2.5	1.6	1.0	0.1
Aug	3.3	2.7	2.4	1.5	1.1	0.0
Sep	3.2	2.7	2.3	1.2	0.8	-0.1
Oct	2.6	2.2	2.3	1.3	0.7	-0.1
Nov	2.6	2.1	2.0	1.0		
Dec	2.7	2.0	1.6	0.5		
Jan	2.8	1.9	1.1	0.3		
Feb	2.7	1.7	1.0	0.0		
Mar	2.5	1.6	0.9	0.0		

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2015-16 QUARTER 2 MONITORING OF PRUDENTIAL INDICATORS**1. Estimate of Capital Expenditure (excluding PFI)**

Actuals 2014-15	£219.896m
Original estimate 2015-16	£289.838m
Revised estimate 2015-16	£277.815m

2. Estimate of capital financing requirement (underlying need to borrow for a capital purpose)

	2014-15	2015-16	2015-16	2016-17	2017-18
	Actual	Original Estimate	Forecast as at 30-09-15	Forecast as at 30-09-15	Forecast as at 30-09-15
	£m	£m	£m	£m	£m
Capital Financing requirement	1,382.856	1,382.620	1,374.698	1,347.369	1,306.975
Annual increase/reduction in underlying need to borrow	-52.407	-9.053	-8.158	-27.329	-40.394

In the light of current commitments and planned expenditure, forecast net borrowing by the Council will not exceed the Capital Financing Requirement.

3. Estimate of ratio of financing costs to net revenue stream

Actuals 2014-15	14.19%
Original estimate 2015-16	13.17%
Revised estimate 2015-16	13.71%

4. Operational Boundary for External Debt

The operational boundary for debt is determined having regard to actual levels of debt, borrowing anticipated in the capital plan, the requirements of treasury strategy and prudent requirements in relation to day to day cash flow management. The operational boundary for debt will not be exceeded in 2015-16.

a) Operational boundary for debt relating to KCC assets and activities

	Prudential Indicator	Position as at 30.09.15
	£m	£m
Borrowing	983	955
Other Long Term Liabilities	254	248
	<u>1,237</u>	<u>1,203</u>

b) Operational boundary for total debt managed by KCC including that relating to Medway Council etc (pre Local Government Reorganisation)

	Prudential Indicator	Position as at 30.09.15
	£m	£m
Borrowing	1,024	994
Other Long Term Liabilities	254	248
	<u>1,278</u>	<u>1,242</u>

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5. Authorised Limit for External Debt

The authorised limit includes additional allowance, over and above the operational boundary to provide for unusual cash movements. It is a statutory limit set and revised by the Council. The revised limits for 2015-16 are:

	Authorised limit for debt relating to KCC assets and activities	Position as at 30.09.15	Authorised limit for total debt managed by KCC	Position as at 30.09.15
	£m	£m	£m	£m
Borrowing	1,023	955	1,064	994
Other long term liabilities	254	248	254	248
	<u>1,277</u>	<u>1,203</u>	<u>1,318</u>	<u>1,242</u>

6. Compliance with CIPFA Code of Practice for Treasury Management in the Public Sector

The Council has adopted the Code of Practice on Treasury Management and has adopted a Treasury Management Policy Statement. Compliance has been tested and validated by our independent professional treasury advisers.

7. Upper limits of fixed interest rate and variable rate exposures

The Council has determined the following upper limits for 2015-16

Fixed interest rate exposure	100%
Variable rate exposure	40%

These limits have been complied with in 2015-16

8. Upper limits for maturity structure of borrowings

	Upper limit	Lower limit	As at 30.09.15
	%	%	%
Upper 12 months	10	0	1.61
12 months and within 24 months	10	0	3.22
24 months and within 5 years	15	0	6.74
5 years and within 10 years	15	0	9.76
10 years and within 20 years	20	5	12.72
20 years and within 30 years	20	5	14.99
30 years and within 40 years	25	10	10.61
40 years and within 50 years	25	10	24.20
50 years and within 60 years	30	10	16.15

9. Upper limit for principal sums invested for periods longer than 364 days

Indicator	£175m
Actual	£126m

2015-16 QUARTER 2 SUMMARY OF PROPOSED CAPITAL PROGRAMME CASH LIMIT CHANGES

Directorate	Project	2015-16	2016-17	2017-18	Funding	Description
		£'000	£'000	£'000		
Cash limit change due to revised external/grant funding availability:						
GET	Dartford Library Plus	120			Developer Contributions	Banked contributions to replace virement of prudential to Swanley Gateway
S&CS	Swanley Gateway	4			Other External Funding	
Cash limit change due to virement of funding between projects:						
S&CS	Swanley Gateway	120			Prudential	Virement from Dartford Library Plus.
GET	Dartford Library Plus	-120			Prudential	Virement to Swanley Gateway.

EDUCATION AND YOUNG PEOPLE'S SERVICES DIRECTORATE
SEPTEMBER 2015-16 MONITORING REPORT

1. REVENUE

	Cash Limit	Variance Before Mgmt Action	Mgmt Action	Net Variance after Mgmt Action	Roll forwards		Variance after Mgmt Action & Roll Fwd
					committed	uncommitted	
Total (excl Schools) (£k)	+72,135	-184	-500	-684	+90	+1,285	+691
Schools (£k)	-	+6,758	-	+6,758	-	-	+6,758
Directorate Total (£k)	+72,135	+6,574	-500	+6,074	+90	+1,285	+7,449

1.2 **Table 1** below details the revenue position by A-Z budget:

Budget Book Heading	Cash Limit			Variance	Explanation		Management Action/ Impact on MTFP/Budget Build
	Gross	Income	Net	Net			
	£'000	£'000	£'000	£'000	£'000		
Education & Young People's Services							
Delegated Budget:							
Schools & Pupil Referral Units Delegated Budgets	674,374.7	-674,374.7	0.0	+6,758	+1,188	Drawdown from school reserves for 12 expected academy converters	
					+2,958	Expected drawdown from the schools unallocated reserve to fund other in year schools related pressures	
					+2,612	Expected drawdown from the schools unallocated reserve to fund in year High Needs pressures	
TOTAL DELEGATED	674,374.7	-674,374.7	0.0	+6,758			
Non Delegated Budget:							
E&YP Strategic Management & directorate support budgets	9,772.8	-8,679.2	1,093.6	+268	+264	Pressure on the Information and Intelligence team including £220k of costs associated with the new Early Help Module (<i>includes a DSG variance of +£92k</i>)	The Early Help Module pressure is expected to be ongoing and will be reflected in the 2016-19 MTFP
					+239	Additional Area Education staffing costs together with plans to capitalise staffing costs for basic need provision not now going ahead (<i>includes a DSG variance of +£220k</i>)	

Budget Book Heading	Cash Limit			Variance	Explanation	Management Action/ Impact on MTFP/Budget Build	
	Gross £'000	Income £'000	Net £'000	Net £'000			
					-211	Underspend on legal fees	Part of this saving is expected to be ongoing and will be reflected in the 2016-19 MTFP
					-24	Other minor variances	
<u>Children's Services - Early Help</u>							
- Children's Centres	8,389.1	-2,076.5	6,312.6	+2	+129	Underachievement of savings on commissioned contracts due to only a part year effect being delivered in 2015-16 and the percentage saving applied being lower than anticipated	
					-127	Other minor variances across a number of centres, all less than £100k in value	
- Early Intervention & Prevention	20,447.9	-5,353.1	15,094.8	-553	-673	Underspend across area and district EH&PS teams, mainly due to staffing vacancies and staff budgeted to be at mid point of scale but appointed at the bottom of scale <i>(includes a DSG variance of -£206k)</i>	
					+150	Refurbishment costs for Youth Centres including Whitstable and Tunbridge Wells	
					+125	ICT costs for wireless routers, cabling etc in Children's Centres	
					-187	Net savings on commissioned services <i>(includes a DSG variance of -£11k)</i>	
					+32	Other minor variances	
	28,837.0	-7,429.6	21,407.4	-551			

Budget Book Heading	Cash Limit			Variance	Explanation	Management Action/ Impact on MTFP/Budget Build
	Gross £'000	Income £'000	Net £'000	Net £'000		
Children's Services - Education & Personal						
- 14 - 24 year olds	2,986.0	-941.0	2,045.0	-794	-794	Kent Youth Employment programme placements; £90k of this underspend will need to be rolled forward to fund our legal obligation to continue with the current placements. If required, the remaining £704k of the underspend could be used to help with achieving an overall balanced outturn position for the authority as a whole, but this would mean that no further placements can be made.
- Attendance & Behaviour	2,587.9	-2,449.3	138.6	-248	-116	Staff savings due to vacancies and staff budgeted at mid point of scale but appointed at the bottom of scale <i>(includes a DSG variance of -£106k)</i> -95 DSG variance - underspend on individual tuition due to staff vacancies and fewer tutors being used -37 Other minor underspends
- Early Years & Childcare	6,369.7	-4,939.8	1,429.9	+469	+316	Shortfall in the budgeted surplus for the 3 nursery provisions +297 Under recovery of Early Years Training income -211 Underspend on Sufficiency and Sustainability staff <i>(includes a DSG variance of -£181k)</i> +67 Other minor variances
- Early Years Education	56,493.0	-56,493.0	0.0	0		A management action plan has been put in place to improve the premises through building renovation work, alongside a marketing campaign, which should increase the level of income in 2016-17.
- Education Psychology Service	2,966.8	-675.0	2,291.8	-179	-147	Increased income for non statutory psychology traded services
					-32	Other minor variances

Budget Book Heading	Cash Limit			Variance	Explanation	Management Action/ Impact on MTFP/Budget Build
	Gross	Income	Net	Net		
	£'000	£'000	£'000	£'000	£'000	
- Individual Learner Support	7,151.5	-6,671.4	480.1	+25		
- Statemented Pupils	4,809.8	-4,809.8	0.0	-453	<p>-245 DSG variance - reduced therapy statemented support costs</p> <p>-192 DSG variance - recoupment income received for other local authority pupils in Kent schools</p> <p>-173 DSG variance - reduction in general statemented support costs</p> <p>-125 DSG variance - an increase in places in SEN provision has led to a reduction in Individual Tuition costs</p> <p>+300 DSG variance - increase in Severe Complex Accessibility Funding agreements for 2 year old nursery pupils</p> <p>-18 DSG variance - Other minor variances</p>	
- Youth Service	2,962.2	-1,726.2	1,236.0	+59	<p>+77 Net shortfall in the budgeted surplus for the outdoor education sites. A marketing campaign for Bewl and Kent Mountain Centre may help to improve this position. The previously reported shortfall associated with the change of use of the Appledore Unit at the Swattenden Centre to a reception centre for unaccompanied asylum seeking children, is now being fully reimbursed from the Asylum service.</p> <p>-18 Other minor variances</p>	

Budget Book Heading	Cash Limit			Variance	Explanation	Management Action/ Impact on MTFP/Budget Build
	Gross £'000	Income £'000	Net £'000	Net £'000		
- Youth Offending Service	2,202.7	-1,771.1	431.6	+340	+329 Staffing pressure, due partly to staff being budgeted at mid point of scale but existing staff are being paid above this, and partly as staffing levels have not reduced in line with reduced income streams. This position could deteriorate further once the full implications of the recently announced in year Youth Justice Board grant reduction have been assessed	
					+11 Other minor variances	
	88,529.6	-80,476.6	8,053.0	-781		
<u>Children's Services -Other Children's Services</u>						
- Safeguarding	512.1	-150.0	362.1	-68		
<u>Community Services</u>						
- Community Learning & Skills (CLS)	13,826.4	-15,366.1	-1,539.7	+731	+632 Pressure due to costs associated with the service redesign, a reduction in contract income with no corresponding reduction in costs and a requirement to fund the additional costs of total contribution pay.	
					+100 An in year cut of £359k has been announced by the Skills Funding Agency. Some direct delivery costs can cease and management action has been implemented to reduce other costs but this leaves a residual problem of £100k.	
					-1 Other minor variances	
- Supporting Employment	806.6	-335.0	471.6	0		

Budget Book Heading	Cash Limit			Variance	Explanation	Management Action/ Impact on MTFP/Budget Build
	Gross £'000	Income £'000	Net £'000	Net £'000		
- Troubled Families Programme	4,783.2	-2,514.9	2,268.3	-581	-581	Underspend due to projects supporting families spanning financial years. In addition, due to the payment by results element of the programme, the grant has increased in year but the projects associated with this increase do not begin until the income is received. If the directorate and the authority as a whole achieve an underspending position sufficient to allow it, roll forward of this £581k will be requested in order to continue supporting families, in 2016-17, as part of the Tackling Troubled Families government initiative.
	19,416.2	-18,216.0	1,200.2	+150		
School & High Needs Education Budgets						
- Exclusion Services	2,495.4	-2,495.4	0.0	0		
- High Needs Further Education Colleges - Post 16 year olds	2,338.0	-2,338.0	0.0	+673	+673	<i>Schools unallocated DSG variance - increased costs of high needs placements for post 16 students in colleges</i>
- High Needs Independent Sector Providers - Post 16 year olds	4,591.0	-4,591.0	0.0	-590	-590	<i>Schools unallocated DSG variance - reduction in costs of independent sector placements for post 16 students</i>
- High Needs Independent Special School placements	19,650.4	-19,650.4	0.0	+2,781	+2,781	<i>Schools unallocated DSG variance - increase in costs of independent special school places</i>
- PFI Schools Scheme	23,810.0	-23,810.0	0.0	0		
	52,884.8	-52,884.8	0.0	+2,864		
Schools Services:						
- High Needs Pupils - Recoupment	1,500.0	-1,500.0	0.0	-252	+281	<i>Schools unallocated DSG variance - increase in costs of Kent children with high needs receiving education in other local authority schools</i>

Budget Book Heading	Cash Limit			Variance	Explanation	Management Action/ Impact on MTFP/Budget Build	
	Gross £'000	Income £'000	Net £'000	Net £'000			
					-533	<i>Schools unallocated DSG variance - additional income from other local authorities with pupils in Kent schools</i>	<i>This saving is expected to be ongoing and will be included as part of the 2016-17 budget setting process</i>
- Other Schools Services	6,779.3	-6,885.5	-106.2	+415	+306	<i>DSG variance - Pressure on budget for mobile classrooms to fulfil basic need</i>	
					+137	Work in excess of capital maintenance funding on school premises including for asbestos, planned maintenance and tree surveys	
					-28	Other minor variances	
- Redundancy Costs	1,188.7	-1,188.7	0.0	0			
- School Improvement	8,909.1	-6,108.6	2,800.5	+222	+443	Shortfall in budgeted income targets for teams across the units	
					+108	Increased costs of moderation training and school visits	
					-224	Net underspend on advisor vacancies partially offset by the costs of consultants covering some of the vacant posts	
					-73	Support team staff vacancies	
					-32	Other minor variances	
- Schools Staff Services	2,617.6	-2,514.6	103.0	-18			
- Teachers & Education Staff Pension Costs	8,416.3	-2,684.0	5,732.3	-917	-917	Reduced annual capitalisation costs	Part of this saving is expected to be ongoing and will be reflected in the 2016-19 MTFP
	29,411.0	-20,881.4	8,529.6	-550			
<u>Transport Services</u>							
- Home to School/College Transport (SEN)	21,599.5	-900.0	20,699.5	+1,425	+1,384	Higher than budgeted numbers of pupils travelling	This pressure is expected to be ongoing and will be reflected in the 2016-19 MTFP
					+111	Lower than budgeted recoupment income from other local authorities	
					-70	Other minor variances	

Budget Book Heading	Cash Limit			Variance	Explanation	Management Action/ Impact on MTFP/Budget Build	
	Gross £'000	Income £'000	Net £'000	Net £'000			
- Mainstream HTST	8,795.0	-50.0	8,745.0	-868	-868	Fewer than budgeted numbers of pupils travelling	This saving is expected to be ongoing and will be reflected in the 2016-19 MTFP
- Kent 16+ Travel Card	3,452.4	-2,575.0	877.4	-10			
	33,846.9	-3,525.0	30,321.9	+547			
Assessment Services							
- Assessment & Support of Children with Special Education Needs	8,503.1	-7,336.0	1,167.1	+89	+107	<i>DSG variance - additional Occupational Therapy and Communication equipment</i>	
					-103	Underspend on general non staffing costs to offset the pressure on Occupational Therapy and Communication equipment (<i>includes a DSG variance of -£92k</i>)	
					+85	Other minor variances	
	8,503.1	-7,336.0	1,167.1	+89			
TOTAL NON DELEGATED	271,713.5	-199,578.6	72,134.9	+1,968			
- <i>Transfer to(+)/from(-) DSG reserve</i>				<i>-2,152</i>		Net transfer to the Central DSG reserve to offset:	
					+419	<i>DSG variances of -£419k explained above</i>	
					+41	<i>A number of other smaller DSG variances totalling -£41k</i>	
						Net transfer from the Schools Unallocated DSG reserve to offset:	
					-2,612	<i>DSG variances of +£2,612k on High Needs Education & recoupment and Early Years</i>	
TOTAL NON DELEGATED after tfr to/from DSG reserve	271,713.5	-199,578.6	72,134.9	-184			
Total E&YPS	946,088.2	-873,953.3	72,134.9	+6,574			

Budget Book Heading	Cash Limit			Variance	Explanation	Management Action/ Impact on MTFP/Budget Build
	Gross £'000	Income £'000	Net £'000	Net £'000		
Assumed Mgmt Action				-500	<p>Whilst the forecast at this stage is an underspend of £184k (excl. schools) and the £500k management action identified to date is expected to increase this underspend to £684k, roll forward of £90k is required to fund the continuation of current placements under the Kent Youth Employment Programme, and if possible roll forward of the remaining £704k underspend against this programme and £581k against the Troubled Families Programme is required for these schemes to continue into 2016-17. To enable this an underspending position of £1,375k for the directorate will need to be achieved, as well as an underspending position for the overall authority as a whole. The directorate is therefore now looking at options to cover the remaining £691k required to achieve this position and is committed to achieving this by the end of the financial year.</p> <p>Despite the improvements seen to the forecast within Early Help and Preventative Services, the Directorate remains committed to identifying management action which it estimates will deliver savings in the region of £500k. It believes that some of this will come from maximising trading income from schools and academies through aggressive marketing campaigns as well as reviewing all discretionary non staffing expenditure.</p> <p>The Directorate continues to look for further management action (in addition to the £500k) with a view to delivering a balanced budget by year end, after roll forward requirements.</p>	
Total E&YPS Forecast <u>after</u> mgmt action	946,088.2	-873,953.3	72,134.9	+6,074		

2. KEY ACTIVITY INDICATORS AND BUDGET RISK ASSESSMENT MONITORING

2.1 Number of schools with deficit budgets compared with the total number of schools:

	2012-13	2013-14	2014-15	2015-16
	as at 31-3-13	as at 31-3-14	as at 31-3-15	projection for 31-3-16
Total number of schools	463	449	412	396
Total value of school reserves	£48,124k	£45,730k	£54,009k	£47,251k
Number of deficit schools	8	18	8	10
Total value of deficits	£364k	£2,017k	£2,650k	£1,372k

Comments:

- The information on deficit schools for 2015-16 has been obtained from the schools 3 year plans completed in summer 2015 and show 10 schools predicting a deficit at the end of year 1. The Local Authority receives updates from schools through budget monitoring returns from all schools after 6 months, and 9 months as well as an outturn report at year end but these only include information relating to the current year. Schools' Financial Services are working with these 10 schools to reduce the risk of a deficit in 2015-16 and with the aim of returning the schools to a balanced budget position as soon as possible. This involves agreeing a management action plan with each school.
- KCC has a “no deficit” policy for schools, which means that schools cannot plan for a deficit budget at the start of the year. Unplanned deficits will need to be addressed in the following year’s budget plan, and schools that incur unplanned deficits in successive years will be subject to intervention by the Local Authority.
- The total number of schools is based on the assumption that 12 primary schools will convert to academies before the 31st March 2016 and 4 schools are closing.
- The value of schools reserves is forecast to reduce by £6,758k this financial year. This movement includes a reduction in the schools unallocated reserve to fund both a pressure on the high needs education budgets of £2,612k and other schools related items of £2,958k, and an estimated drawdown of £1,188k assumes 12 schools convert to academy status this financial year. The value of school reserves are very difficult to predict at this early stage and further updates will be provided in future monitoring reports when we have reviewed the first monitoring returns from LA maintained schools.

2.2 Number of children receiving assisted SEN and Mainstream transport to schools

	2013-14				2014-15				2015-16			
	SEN		Mainstream		SEN		Mainstream		SEN		Mainstream	
	Budget level	actual	Budget level	actual	Budget level	actual	Budget level	actual	Budget level	actual	Budget level	actual
Apr	3,934	4,145	14,667	14,119	3,808	4,051	12,493	11,400	3,752	3,896	9,866	9,426
May	3,934	4,172	14,667	14,119	3,808	4,056	12,493	11,436	3,752	3,877	9,866	9,454
Jun	3,934	4,206	14,667	14,106	3,808	4,073	12,493	11,468	3,752	3,904	9,866	9,491
Jul	3,934	4,167	14,667	14,093	3,808	4,041	12,493	11,307	3,752	3,913	9,866	9,505
Aug	0	0	0	0	0	0	0	0	0	0	0	0
Sep	3,934	3,761	14,667	10,300	3,808	3,725	12,493	8,969	3,752	3,599	9,866	6,576
Oct	3,934	3,981	14,667	11,258	3,808	3,785	12,493	9,123	3,752	3,847	9,866	7,422
Nov	3,934	4,010	14,667	11,267	3,808	3,826	12,493	9,237	3,752		9,866	0
Dec	3,934	4,021	14,667	11,296	3,808	3,816	12,493	9,220	3,752		9,866	0
Jan	3,934	4,037	14,667	11,314	3,808	3,853	12,493	9,258	3,752		9,866	0
Feb	3,934	4,086	14,667	11,368	3,808	3,885	12,493	9,357	3,752		9,866	0
Mar	3,934	4,041	14,667	11,375	3,808	3,899	12,493	9,388	3,752		9,866	0

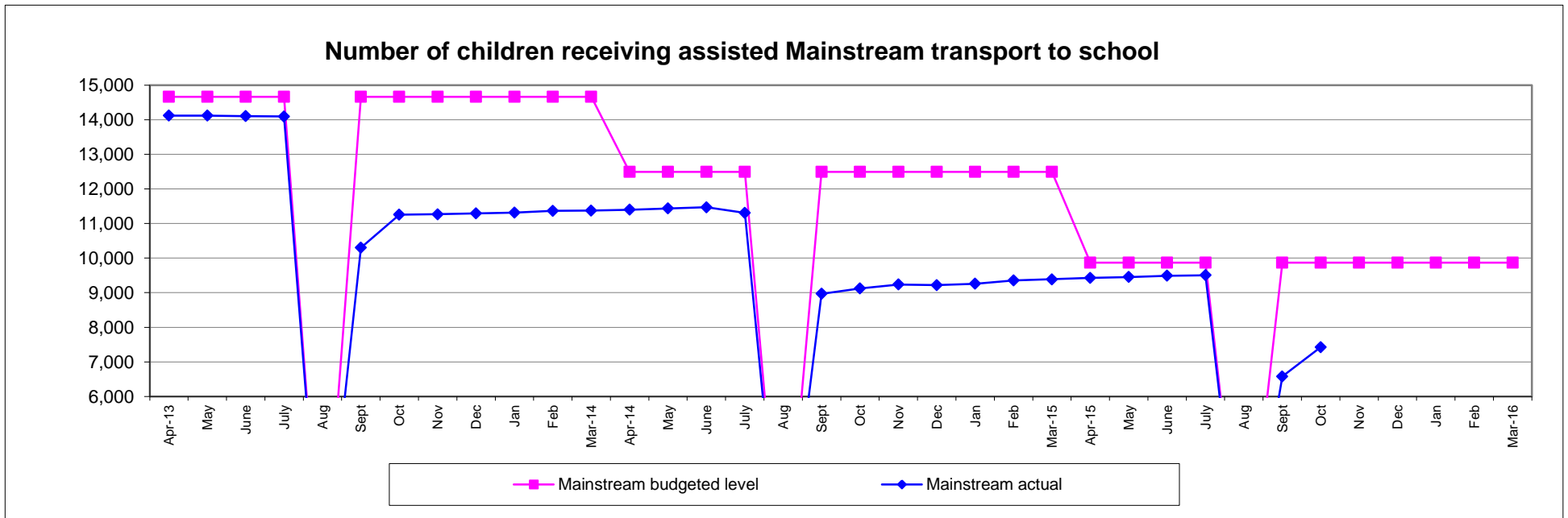
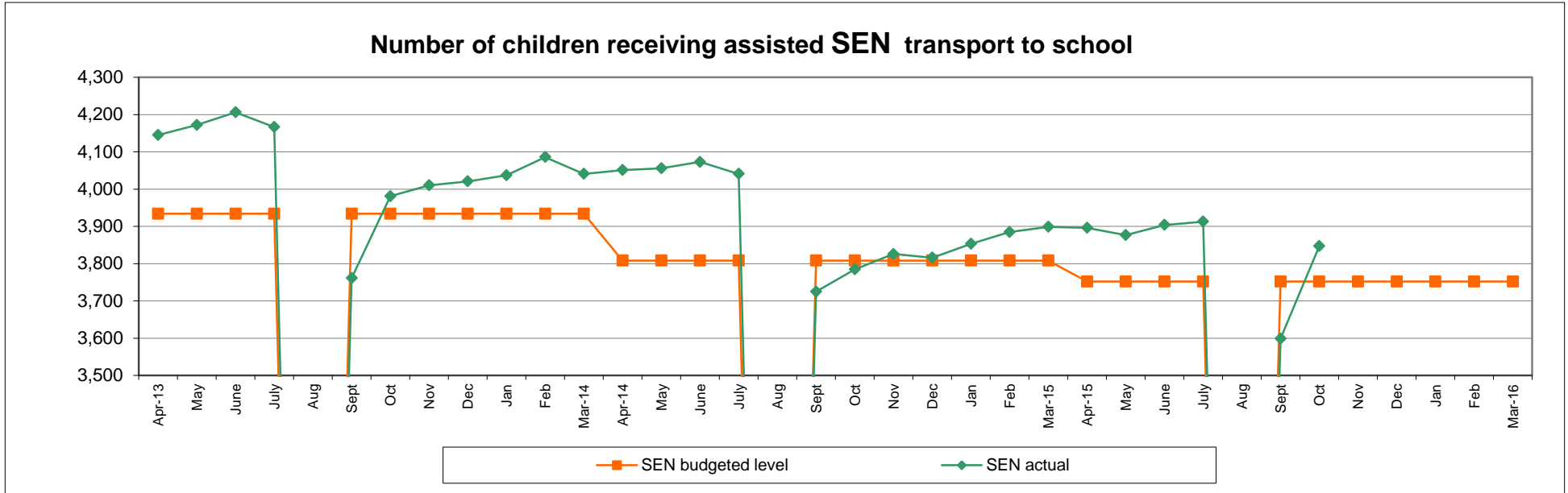
Comments:

SEN HTST

- Apart from in September, the number of children travelling is higher than the budgeted level. There are also a number of other factors which contribute to the overall cost of the provision of transport such as distance travelled and type of travel. A pressure of +£1,384k is therefore reported in table 1, which is offset by minor underspends totalling -£70k on SEN college transport and personal transport budgets. There is also an additional pressure of £111k due to anticipated lower than budgeted recoupment income from other local authorities for the transport of their pupils to Kent schools.
- Changes in the commissioning of SEN transport during 2014-15, where some special schools and PRUs are given an allocation to provide their own transport, mean that since September 2014 these journeys are not included within the budgeted levels or the actual numbers travelling.

Mainstream HTST

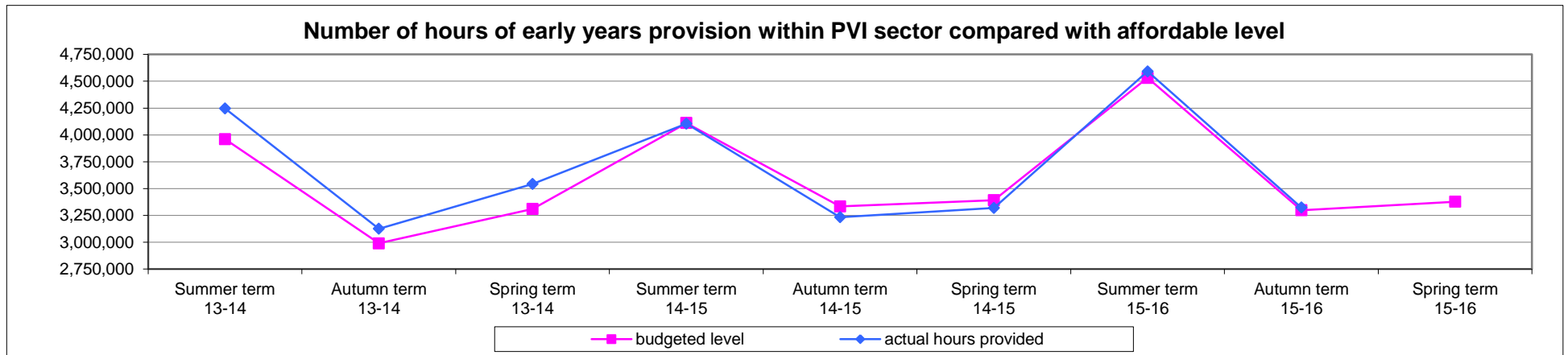
- The number of children receiving transport is lower than the budgeted level, therefore an underspend of -£868k is reported in table 1. As expected, the number of children requiring transport has reduced for the new academic year due to a reduction in the secondary aged population and the impact of a further school year cohort affected by the selective and denominational school transport policy change implemented in 2012-13.



2.3 Number of hours of early years provision provided to 3 & 4 year olds within the Private, Voluntary & Independent Sector compared with the affordable level:

	2013-14		2014-15		2015-16	
	Budgeted number of hours	Actual hours provided	Budgeted number of hours	Actual hours provided	Budgeted number of hours	Actual hours provided *
Summer term	3,961,155	4,247,461	4,110,576	4,104,576	4,531,281	4,591,985
Autumn term	2,990,107	3,126,084	3,333,465	3,234,394	3,297,864	3,323,168
Spring term	3,310,417	3,543,567	3,392,138	3,320,479	3,378,367	
TOTAL	10,261,679	10,917,112	10,836,179	10,659,449	11,207,512	7,915,153

* The figures for actual hours provided are constantly reviewed and updated, so will always be subject to change



Comments:

- The budgeted number of hours per term is based on an assumed level of take-up and the assumed number of weeks the providers are open. The variation between the terms is due to two reasons: firstly, the movement of 4 year olds at the start of the Autumn term into reception year in mainstream schools; and secondly, the terms do not have the same number of weeks. The forecast number of hours of early years provision for 3 & 4 year olds is 11,238,724 which is 31,212 hours more than budgeted.
- The affordable number of hours was uplifted in the July monitoring report, presented to Cabinet in October, as a result of an increase in Dedicated Schools Grant to reflect the January 2015 pupil numbers. Although actual hours provided are more than budgeted, the Dedicated Schools Grant will be uplifted before the end of the financial year to reflect January 2016 pupil numbers and therefore no overspend is currently forecast for this service. As this budget is entirely funded from DSG, any surplus or deficit at the year end must be carried forward to the next financial year in accordance with the regulations and cannot be used to offset over or underspending elsewhere within the directorate budget, therefore any pressure or saving will be transferred to the schools unallocated DSG reserve at year end.
- It should be noted that not all parents currently take up their full entitlement and this can change during the year.

3. CAPITAL

3.1 The Education and Young People's Services Directorate has a working budget (excluding schools) for 2015-16 of £168,423k . The forecast outturn against the 2015-16 budget is £127,290k giving a variance of -£41,133k.

3.2 **Table 2** below details the Education and Young People's Services Capital Position by Budget Book line

Budget Book Heading	2015-16 cash limit per budget book (£000)	2015-16 Working Budget (£000)	2015-16 Variance (£000)	Variance Break-down (£000)	Rephasing / Real Variance and Funding Stream	Explanation of In-Year Variance >£100k	Project Status ¹	Explanation of Project Status	Actions
Rolling Programmes									
Annual Planned Enhancement Programme	9,000	13,656	0	0			Green		
Pupil Referral Units	1,209	1,627	-803	-803	Rephasing	A review of premises occupied in North West Kent, with a view to rationalise, has halted projects. Works for West Kent PRU cannot commence until April 2016 when new premises can be accessed.	Amber		
Youth - Modernisation of Assets	0	23	0	0			Green		

Budget Book Heading	2015-16 cash limit per budget book (£000)	2015-16 Working Budget (£000)	2015-16 Variance (£000)	Variance Break-down (£000)	Rephasing / Real Variance and Funding Stream	Explanation of In-Year Variance >£100k	Project Status ¹	Explanation of Project Status	Actions
Individual Projects									
Basic Need Schemes - to provide additional pupil places:									
Basic Need Programme	61,767	68,745	-7,600	-7,600		The curriculum analysis and pre-construction work for Secondary school expansions has taken considerable time which has resulted in a delay to design work and preparing planning applications. No delivery delays are expected.	Green		
Basic Need - Aylesham Primary School	0	0	0	0				Project to commence in later years.	
Goat Lees Primary School, Ashford	0	25	0	0			Green		
Repton Park Primary School, Ashford	0	109	0	0			Green		
Modernisation Programme - Improving and upgrading school buildings including removal of temporary classrooms:									

Budget Book Heading	2015-16 cash limit per budget book (£000)	2015-16 Working Budget (£000)	2015-16 Variance (£000)	Variance Break-down (£000)	Rephasing / Real Variance and Funding Stream	Explanation of In-Year Variance >£100k	Project Status ¹	Explanation of Project Status	Actions
Modernisation Programme - Future Years	2,000	3,479	-1,544	-1,544	Rephasing	A programme of works has now been finalised and the budget is being reprofiled accordingly.	Amber	Some projects will complete in the next financial year.	
St Johns / Kingsmead Primary School, Canterbury	0	70	0	0			Amber	A £650k payment due from Canterbury Diocese as part of the contract is overdue.	
Special Schools Review - major projects supporting the special schools									
Special Schools Review phase 1	0	628	0	0			Green		

Budget Book Heading	2015-16 cash limit per budget book (£000)	2015-16 Working Budget (£000)	2015-16 Variance (£000)	Variance Break-down (£000)	Rephasing / Real Variance and Funding Stream	Explanation of In-Year Variance >£100k	Project Status ¹	Explanation of Project Status	Actions
Special Schools Review phase 2	47,200	49,540	-20,963	-20,963	Rephasing	<p>The Foreland School has experienced delays in contract execution which has impacted on commencement of works. Both Ridge View and Portal House are still at Planning Stage. Ridge View has experienced significant delays due to planning issues at the original site, an alternative has now been found. Following objections to planning permission for Portal House, a review and redesign has been necessary. Enabling works are underway and a revised planning application has now been submitted.</p> <p>Five Acre Wood has also experienced significant delays at Planning stage, Planning approval has now been given and work will commence on the school following completion of the farm works.</p>	Amber		

Budget Book Heading	2015-16 cash limit per budget book (£000)	2015-16 Working Budget (£000)	2015-16 Variance (£000)	Variance Break-down (£000)	Rephasing / Real Variance and Funding Stream	Explanation of In-Year Variance >£100k	Project Status ¹	Explanation of Project Status	Actions
Academy Projects:									
Astor of Hever (St Augustine's Academy), Maidstone	0	19	0	0			Green		
Dover Christ Church	3,000	2,760	0	0			Green		
Skinnners Academy	0	140	0	0			Green		
Spires Academy	0	0	0	0			Green	Project complete except for clearance of remaining creditors.	
John Wallis	0	0	0	0			Green	Project complete except for clearance of remaining creditors.	
Wilmington Enterprise College	0	0	0	0			Green	Project complete except for clearance of remaining creditors.	
The Knole Academy	0	0	0	0			Green	Project complete except for clearance of remaining creditors.	
Duke of York Academy	0	0	0	0			Green	Project complete except for clearance of remaining creditors.	
Academy Unit Costs	233	798	0	0			Green		
BSF Wave 3 Build Costs	500	498	0	0			Green		
BSF Unit Costs	0	51	0	0			Green		

Budget Book Heading	2015-16 cash limit per budget book (£000)	2015-16 Working Budget (£000)	2015-16 Variance (£000)	Variance Break-down (£000)	Rephasing / Real Variance and Funding Stream	Explanation of In-Year Variance >£100k	Project Status ¹	Explanation of Project Status	Actions
Other Projects:									
Primary Improvement Programme	0	4	0	0			Green		
Canterbury Family Centre	0	4	-4	-4	Real - Prudential		Green	Project Complete	
Integrated Youth Service - Youth Hub Reprovision	0	713	0	0			Green	Project complete 9 October 2015.	
Nursery Provision for Two Year Olds	0	637	0	0			Green		
One-off Schools Revenue to Capital	0	40	23	23	Real - Revenue		Green		
Platt CEPS	0	85	0	0			Green		
Grammar School annex at Sevenoaks	10,000	9,677	-9,177	-9,177	Rephasing	Works had halted pending the outcome of the Secretary of State decision. Following approval, contract documentation will now be worked through prior to any construction contract being agreed.	Amber	The Grammar School annex at Sevenoaks was approved by the Secretary of State for Education on 15 October 2015.	

Budget Book Heading	2015-16 cash limit per budget book (£000)	2015-16 Working Budget (£000)	2015-16 Variance (£000)	Variance Break-down (£000)	Rephasing / Real Variance and Funding Stream	Explanation of In-Year Variance >£100k	Project Status ¹	Explanation of Project Status	Actions
Trinity Free School, Sevenoaks	7,000	11,898					Green		
Early Help Single System	1,800	1,800	-1,100	-1,100	Rephasing	This project is now progressing following the outcome of the back office procurement decision.	Green	£908k rephasing has previously been reported.	
Ashford North Youth Centre	0	0	35	35	Real - Developer Contribution		Green		
Priority School Build Programme	0	0	0	0			Green	Projects to commence in later years.	
Universal Infant Free School Meals	1,075	1,207	0	0			Green		
The Piggery, Swattenden	0	42	0	0			Green		
Vocational Education Centre	0	148	0	0			Green		
Total	144,784	168,423	-41,133	-41,133					

1. Status:

Green – on time and within budget

Amber – either delayed completion date or over budget

Red – both delayed completion and over budget

SOCIAL CARE, HEALTH & WELLBEING DIRECTORATE
SPECIALIST CHILDREN'S SERVICES
SEPTEMBER 2015-16 MONITORING REPORT

1. REVENUE

	Cash Limit	Variance Before Mgmt Action	Mgmt Action	Net Variance after Mgmt Action	Roll forwards		Variance after Mgmt Action & Roll Fwd
					committed	uncommitted	
Total excl Asylum (£k)	+133,046	-360	-	-360	+125	-	-235
Asylum (£k)	+280	+2,237	-	+2,237	-	-	+2,237
Total (£k)	+133,326	+1,877	-	+1,877	+125	-	+2,002

1.2 Table 1 below details the revenue position by A-Z budget:

Budget Book Heading	Cash Limit			Variance	Explanation	Management Action/ Impact on MTFP/Budget Build
	Gross	Income	Net	Net		
	£'000	£'000	£'000	£'000	£'000	
Specialist Children's Services						
Strategic Management & Directorate Support budgets	5,420.9	-257.9	5,163.0	-503	-118 Lower than anticipated spend in the Access to Resource Team, the Central Support Team and the Management Information Unit, principally due to vacancy management -326 Appropriate recharge of overheads to the Asylum Service. -59 Other minor variances	
Children's Services - Children in Care (Looked After)						
- Fostering - In house service	24,165.6	-252.2	23,913.4	+44	+376 Forecast +1,004 weeks above affordable level of 52,485 weeks +191 Forecast average unit cost +£3.63 above affordable level of £371.10 -165 Lower than anticipated costs in the County Fostering Team relating primarily to recruitment and training costs, including lower use of specialists	Demographic pressures & savings are expected to be ongoing & will need to be addressed in the 2016-19 MTFP

Budget Book Heading	Cash Limit			Variance	Explanation	Management Action/ Impact on MTFP/Budget Build
	Gross £'000	Income £'000	Net £'000	Net £'000		
					-188 Higher than anticipated income from recharges to the Asylum Service owing to greater Asylum activity -170 Other minor variances each below £100k, such as lower than anticipated spend on Fostering Related Payments (-£88k)	
- Fostering - Commissioned from Fostering Agencies	8,184.3	0.0	8,184.3	-154	-232 Forecast -247 weeks below affordable level of 8,812 weeks +107 Forecast average unit cost +£12.17 above affordable level of £925.36 -29 Other minor variances	Demographic pressures & savings are expected to be ongoing & will need to be addressed in the 2016-19 MTFP
- Legal Charges	6,769.0	0.0	6,769.0	+50		
- Residential Children's Services - in house services (short breaks units)	3,227.4	-682.4	2,545.0	-63		
- Residential Children's Services - commissioned from independent sector	13,625.9	-2,567.7	11,058.2	-203	-777 Forecast -233 weeks below affordable level of 2,660 weeks, partially due to young people becoming care leavers (see care leavers below) +684 Forecast average unit cost +£256.98 above affordable level of £3,079.85 +310 Children with a Disability: Forecast +113 weeks above affordable level of 1,489 weeks -340 Children with a Disability: Forecast average unit cost -£228.67 below affordable level of £2,968.70 +264 Lower than anticipated service income, mainly relating to fewer contributions for care costs agreed to date from Health & Education as a result of the reduced activity levels -300 Lower than anticipated spend on Secure Accommodation based on year to date usage -44 Other minor variances	Demographic pressures & savings are expected to be ongoing & will need to be addressed in the 2016-19 MTFP

Budget Book Heading	Cash Limit			Variance	Explanation		Management Action/ Impact on MTFP/Budget Build
	Gross	Income	Net	Net	£'000		
	£'000	£'000	£'000	£'000	£'000		
- Virtual School Kent	4,863.0	-3,430.6	1,432.4	-104	-104	Minor variances each below £100k	
	60,835.2	-6,932.9	53,902.3	-430			
Children's Services - Children in Need							
- Family Support Services	10,944.5	-1,660.0	9,284.5	+315	+241	Informal Arrangements: Following the rates and charges reviews the majority of Informal Arrangements were expected to become Child Arrangement Orders, the budget for which is within the "Adoption & other permanent care arrangements" A-Z service line below. However, the rates and charges reviews of these current informal arrangements have only recently been completed resulting in higher than expected costs for Informal Arrangements and a compensating lower than expected cost for Child Arrangement Orders (see "Adoption & other permanent care arrangements" below).	
					+74	Other minor variances	
Children's Services - Other Social Services							
- Adoption & other permanent care arrangements	12,908.8	-104.0	12,804.8	-472	+523	Guardianship: Primarily due to the full year effect of an increase in Special Guardianship Orders (SGOs) in the previous year. In addition, finalising the rates and charges review in 2015-16, has increased the number of SGOs. (Part of the remit of the Rates & Charges reviews is to establish the type of legal arrangement in place and re-categorise accordingly)	
					-495	County Adoption Team: fewer adoption arrangements are being made due to fewer children requiring this permanent care arrangement, so current vacancies are being managed	

					-107	Adoption Allowances underspend due to fewer adoptions arrangements being made which require financial support	
					-152	Child Arrangement Orders: As a result of the Rates and Charges Review, most continuing services were expected to become Child Arrangement Orders, so the cash limit was held on this A-Z service line, awaiting further information. This underspend partly offsets increases in Guardianship, which has been one of the outcomes of the Rates and Charges Review.	
					-241	Child Arrangement Orders: offsets the pressure relating to Informal Arrangements within the "Family Support Services" A-Z service line above.	
- Asylum Seekers	19,619.1	-19,339.1	280.0	+2,237	+211	Pressure relating to under 18 Unaccompanied Asylum Seeking Children (UASC) due to costs being greater than grant receivable and due to ineligibility.	Negotiations continue with Central Government regarding rates for increased numbers of Unaccompanied Asylum Seeking Children and the additional costs incurred by KCC. National dispersal of some young people to other local authorities is mitigating part of the current pressure on this service. Current increased migrant activity levels are likely to produce an additional pressure in future years as more young people reach age 18.
					+223	Fitting out costs of new temporary reception centre. We are seeking to recoup these costs from Central Government.	
					+1,803	Pressure mainly relating to ineligible over 18's (of which £342k relates to direct costs for All Rights Exhausted (ARE) clients), together with a pressure on eligible over 18's due to costs exceeding grant receivable (see activity section 2.6 below), including infrastructure costs.	

Budget Book Heading	Cash Limit			Variance	Explanation	Management Action/ Impact on MTFP/Budget Build
	Gross	Income	Net	Net		
	£'000	£'000	£'000	£'000	£'000	
- Care Leavers	6,657.1	-2,105.4	4,551.7	+107	+253 Higher than expected costs for 16 and 17 year olds requiring this service in order to provide stability and continuity whilst they continue their education as they prepare to leave care. This is partly due to individuals being placed in a broader variety of placements including 'step down' placements from residential care. +99 Higher than anticipated staffing and related costs -164 Lower than anticipated costs on Supported Lodging provision contract -81 Other minor variances	Demographic pressures & savings are expected to be ongoing & will need to be addressed in the 2016-19 MTFP
- Safeguarding	5,628.3	-812.9	4,815.4	-248	-125 KCC's share of re-phasing into 2016-17 of Kent Safeguarding Children Board funding. This will be required to roll forward to meet our obligation to the board under the terms of the multi-agency agreement. -123 Other minor variances each below £100k, including underspending as a result of staff being appointed at below the budget assumption of mid-point point of grade.	
	44,813.3	-22,361.4	22,451.9	+1,624		
<u>Assessment Services</u>						
- Children's social care staffing	46,410.7	-3,886.3	42,524.4	+871	+3,555 Pressure on staffing budgets for Non-Disability teams due to appointment of agency staff due to difficulties in recruiting to salaried posts. Part of this forecast overspend is linked to the increased numbers of Asylum young people and is offset by the increased recharge below.	This pressure will need to be addressed in the 2016-19 MTFP

Budget Book Heading	Cash Limit			Variance	Explanation	Management Action/ Impact on MTFP/Budget Build
	Gross £'000	Income £'000	Net £'000	Net £'000		
					£'000 -2,617 Higher than expected recharged costs to Asylum service for social care staffing (offsetting part of the above staff costs) due to increased activity +170 Establishment of additional Adolescent Support Team posts targeted at increasing the proportion of young people re-united with their families within early weeks of care. +189 Pressure on staffing budgets for Disability teams due to appointment of agency staff as a result of difficulties in recruiting to salaried posts -148 Lower other non-staffing spend in Disability teams predominately due to lower than anticipated staff travel costs -100 Additional income relating to Occupational Therapy equipment for 2014-15, for which no debtor was raised in the 2014-15 accounts -178 Other minor variances each below £100k, including costs and income for Non-Disability teams and Children's Equipment	
Total SCH&W (SCS)	168,424.6	-35,098.5	133,326.1	+1,877		
Assumed Mgmt Action						
Total SCH&W (SCS) Forecast after mgmt action	168,424.6	-35,098.5	133,326.1	+1,877		

2. KEY ACTIVITY INDICATORS AND BUDGET RISK ASSESSMENT MONITORING

2.1 Number of Looked After Children (LAC) :

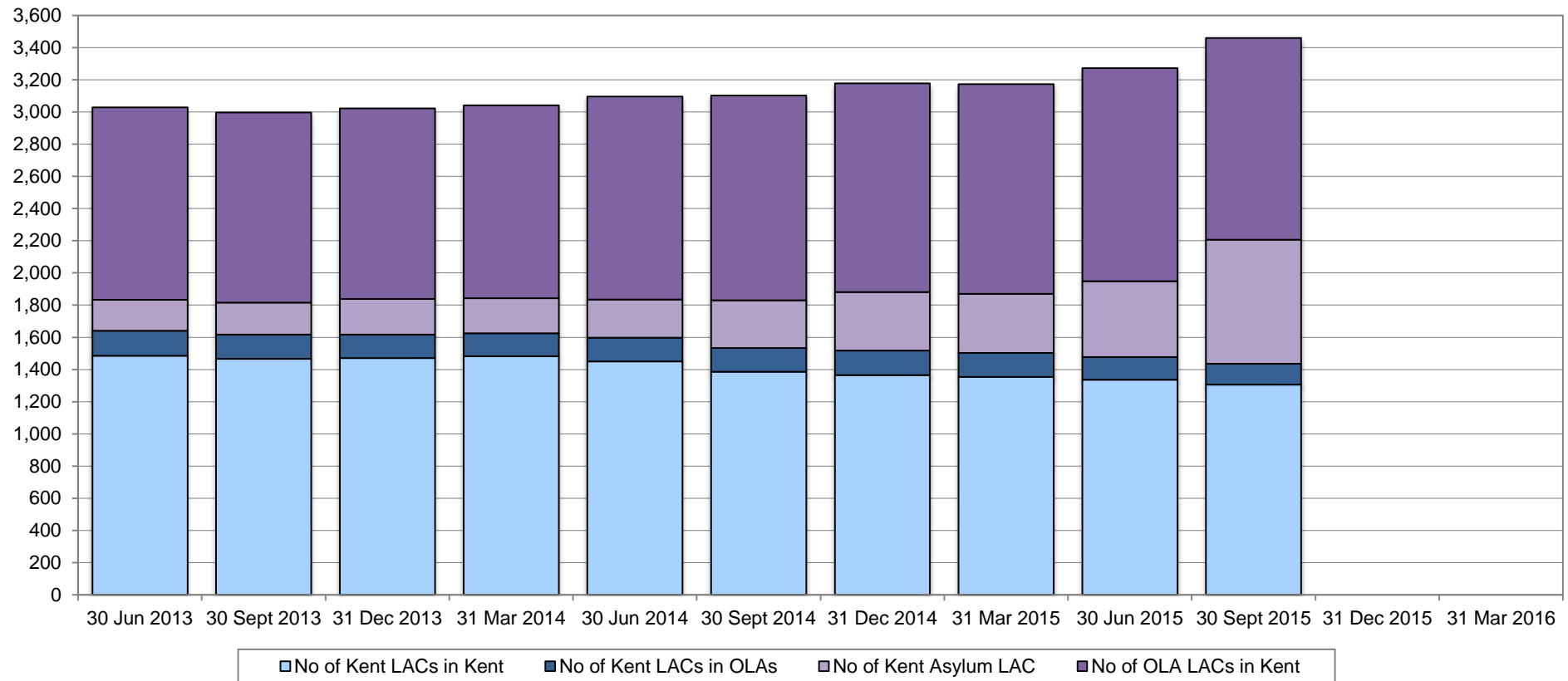
		No. of Kent LAC placed in Kent	No. of Kent LAC placed in OLAs	TOTAL NO. OF KENT LAC (excluding Asylum)	No of Kent Asylum LAC	TOTAL NUMBER OF LAC IN KENT	No. of OLA LAC placed in Kent	TOTAL NUMBER OF LAC IN KENT
2013-14	30-Jun	1,485	155	1,640	192	1,832	1,197	3,029
	30-Sep	1,465	152	1,617	198	1,815	1,182	2,997
	31-Dec	1,470	146	1,616	221	1,837	1,185	3,022
	31-Mar	1,481	143	1,624	218	1,842	1,200	3,042
2014-15	30-Jun	1,450	147	1,597	238	1,835	1,261	3,096
	30-Sep	1,385	148	1,533	296	1,829	1,273	3,102
	31-Dec	1,365	152	1,517	364	1,881	1,296	3,177
	31-Mar	1,354	148	1,502	368	1,870	1,303	3,173
2015-16	30-Jun	1,336	141	1,477	471	1,948	1,324	3,272
	30-Sep	1,305	130	1,435	771	2,206	1,254	3,460
	31-Dec							
	31-Mar							

Comments:

- Children Looked After by KCC may on occasion be placed out of the County, which is undertaken using practice protocols that ensure that all long-distance placements are justified and in the interests of the child. All Looked After Children are subject to regular statutory reviews (at least twice a year), which ensures that a regular review of the child's care plan is undertaken.
- The figures represent a snapshot of the number of children designated as looked after at the end of each quarter, it is not the total number of looked after children during the period. Therefore, although the number of Kent looked after children (excluding Asylum) had reduced by 67 as at September of this financial year, there could have been more (or less) during the period.
- Following the reduction in the number of Kent LAC, there is no longer an overall forecast pressure on the SCS budget. After taking into account anticipated transformation savings, however, there are still some pressures primarily relating to non LAC headings such as staffing, care leavers and family support services.

- The OLA LAC information has a confidence rating of 59% and is completely reliant on Other Local Authorities keeping KCC informed of which children are placed within Kent. The Management Information Unit (MIU) regularly contact these OLAs for up to date information, but replies are not always forthcoming. This confidence rating is based upon the percentage of children in this current cohort where the OLA has satisfactorily responded to recent MIU requests.
- This information on number of Looked After Children is provided by the Management Information Unit within SCH&W directorate.

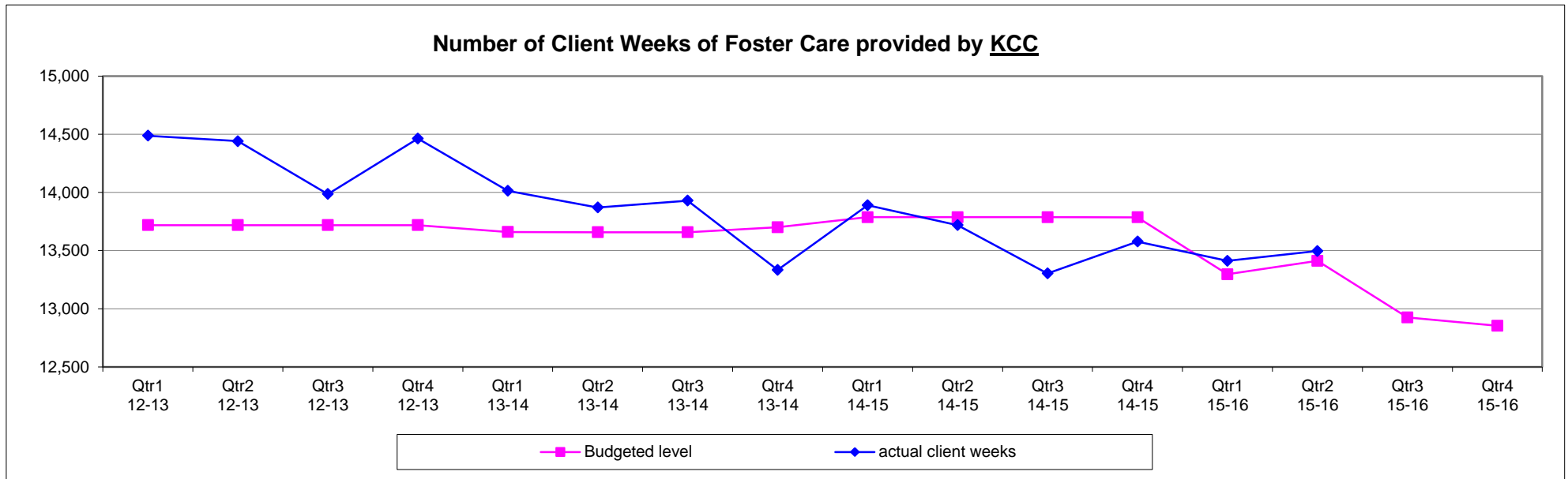
Number of Looked After Children

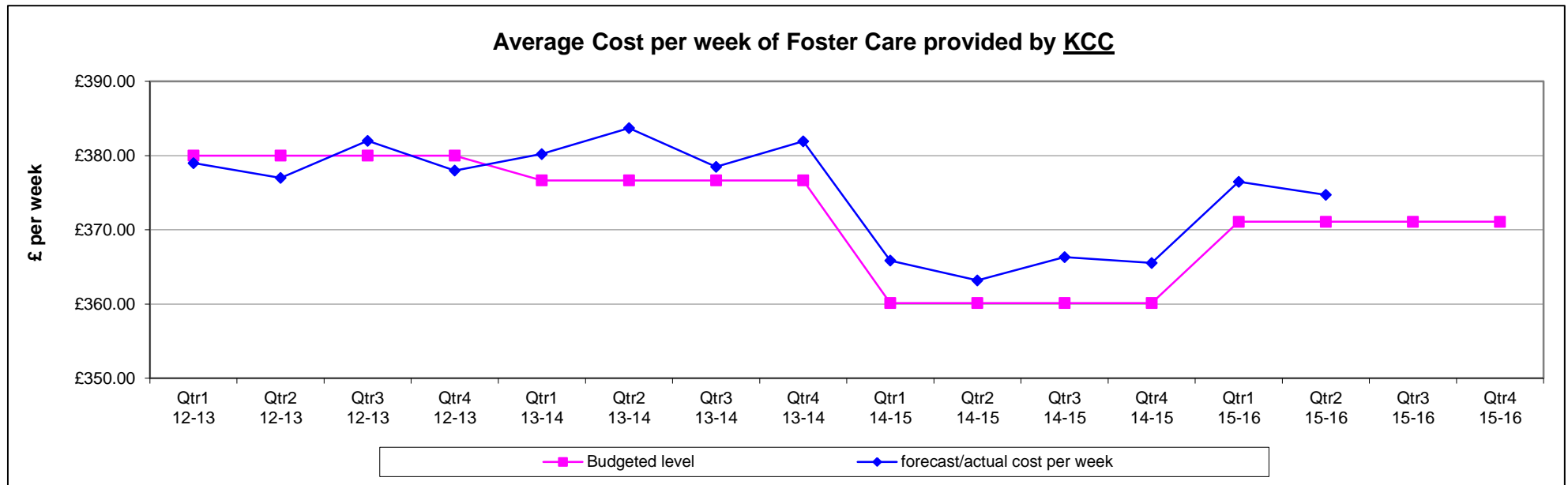


2.2 Number of Client Weeks & Average Cost per Client Week of Foster Care provided by KCC:

	2013-14				2014-15				2015-16			
	No of weeks		Average cost per client week		No of weeks		Average cost per client week		No of weeks		Average cost per client week	
	Budget level	actual	Budget level	forecast /actual	Budget level	actual	Budget level	forecast /actual	Budget level	actual	Budget level	forecast
Apr to Jun	13,659	14,014	£376.67	£380.22	13,787	13,889	£360.14	£365.85	13,296	13,411	£371.10	£376.47
Jul to Sep	13,658	13,871	£376.67	£383.72	13,787	13,719	£360.14	£363.19	13,411	13,496	£371.10	£374.73
Oct to Dec	13,658	13,929	£376.67	£378.50	13,787	13,304	£360.14	£366.33	12,925		£371.10	
Jan to Mar	13,700	13,334	£376.67	£381.94	13,786	13,577	£360.14	£365.54	12,853		£371.10	
	54,675	55,148	£376.67	£381.94	55,147	54,489	£360.14	£365.54	52,485	26,907	£371.10	£374.73

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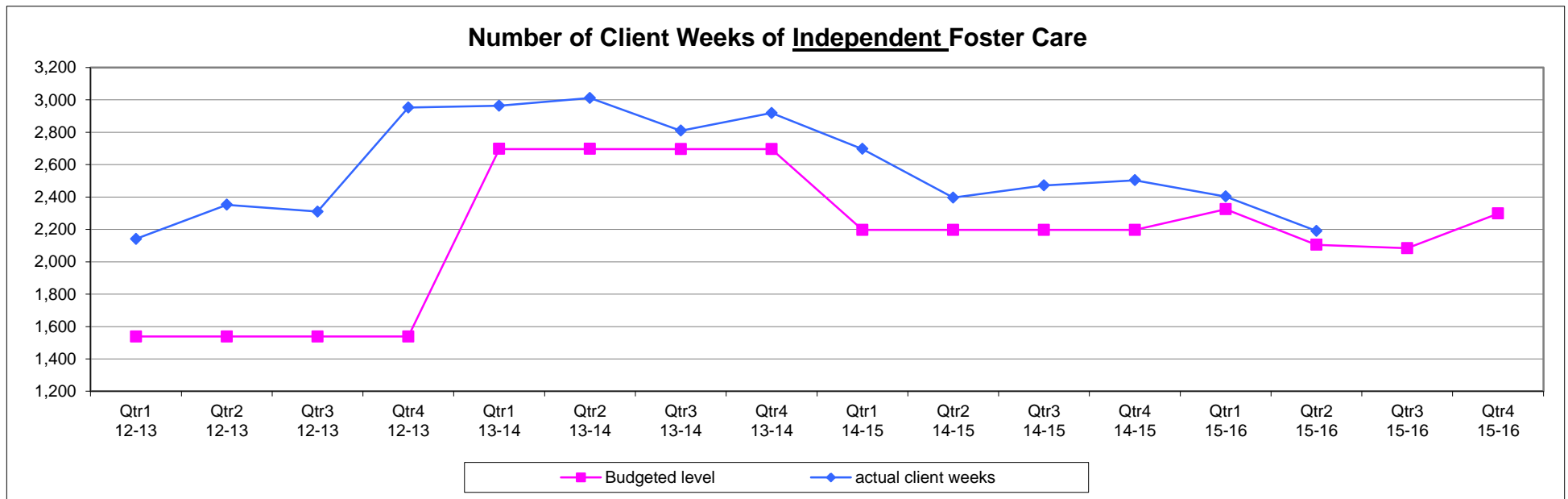
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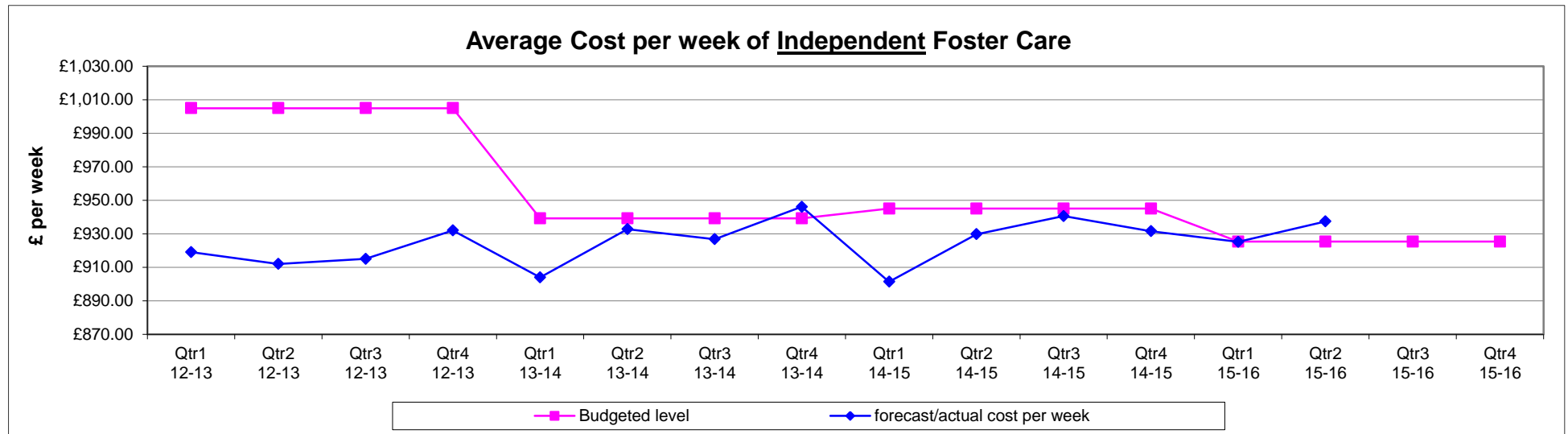
- The actual number of client weeks is based on the numbers of known clients at a particular point in time. This may be subject to change due to the late receipt of paperwork.
- The budgeted level has been calculated by dividing the budget by the affordable weekly cost.
- The 2015-16 budgeted level reflects the 2015-16 Quarter 1 realignment of budgets reported to Cabinet on 21 September.
- The forecast number of weeks (excluding asylum) is 53,489 weeks against an affordable level of 52,485, a difference of +1,004 weeks. At the forecast unit cost of £374.73 per week, this additional activity gives a pressure of +£376k, as shown in Table 1. The current year to date activity suggests a lower level of activity than forecast. Part of this is likely to be due to the recording of respite activity which is recorded in arrears, so this part of the year to date activity is likely to be understated.
- The forecast unit cost of +£374.73 is higher than the affordable level of +£371.10 and this difference of +£3.63 gives a pressure of +£191k when multiplied by the affordable weeks, as shown in Table 1.
- Overall, therefore, the combined gross underspend on this service is +£567k (+£376k +£191k).
- The special operation which was previously excluded from this activity indicator has concluded, so from April 2015-16 this indicator reflects all In House Foster Care activity.

2.3 Number of Client Weeks & Average Cost per Client Week of Independent Foster Care:

	2013-14				2014-15				2015-16			
	No of weeks		Average cost per client week		No of weeks		Average cost per client week		No of weeks		Average cost per client week	
	Budget level	actual	Budget level	forecast /actual	Budget level	actual	Budget level	forecast /actual	Budget level	actual	Budget level	forecast
Apr to Jun	2,697	2,964	£939.19	£904.01	2,197	2,697	£945.07	£901.37	2,325	2,403	£925.36	£925.17
Jul to Sep	2,697	3,012	£939.19	£932.83	2,197	2,396	£945.07	£929.73	2,105	2,191	£925.36	£937.35
Oct to Dec	2,696	2,810	£939.19	£926.83	2,197	2,471	£945.07	£940.61	2,084		£925.36	
Jan to Mar	2,696	2,919	£939.19	£946.08	2,197	2,504	£945.07	£931.60	2,298		£925.36	
	10,786	11,705	£939.19	£946.08	8,788	10,068	£945.07	£931.60	8,812	4,594	£925.36	£937.35

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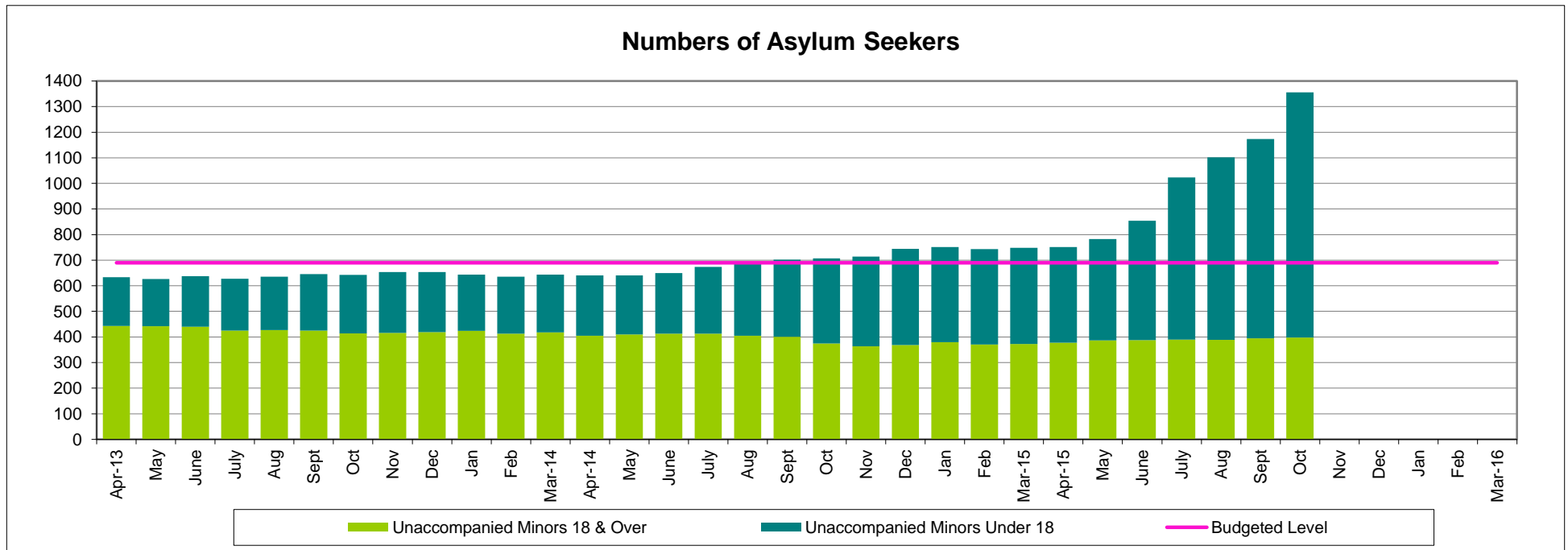
Comments:

- The actual number of client weeks is based on the numbers of known clients at a particular point in time. This may be subject to change due to the late receipt of paperwork.
- The budgeted level has been calculated by dividing the budget by the affordable weekly cost.
- The 2015-16 budgeted level reflects the 2015-16 Quarter 1 realignment of budgets reported to Cabinet on 21 September.
- The forecast number of weeks (excluding asylum) is 8,565 weeks against an affordable level of 8,812, a difference of -247 weeks. At the forecast unit cost of £937.53 per week, this reduced activity decreases the forecast position by -£232k, as shown in Table 1. The forecast is based on the transformation savings profiles which assume a range of durations of care/placement end dates. The current year to date suggests a higher level of activity than currently forecast. This is because the forecast assumes a greater number of new in-house placements with an expected compensating reduction in the overall number of commissioned fostering placements in the second half of the year.
- The forecast unit cost of +£937.53 is higher than the affordable level of +£925.36 and this difference of +£12.17 gives a pressure of +£107k when multiplied by the affordable weeks, as shown in Table 1.
- Overall therefore, the combined gross underspend on this service is -£125k (-£232k +£107k).
- The forecast average unit cost of £937.53 includes some mother and baby placements, which are subject to court orders. These placements often cost in excess of £1,500 per week.
- The special operation which was previously excluded from this activity indicator has concluded, so from April 2015-16 this indicator reflects all Independent Foster Care activity.

2.4 Number of Unaccompanied Asylum Seeking Children (UASC):

	2013-14			2014-15			2015-16		
	Under 18	18 & Over	Total	Under 18	18 & Over	Total	Under 18	18 & Over	Total
Apr	190	443	633	235	405	640	373	378	751
May	184	442	626	230	410	640	396	387	783
Jun	197	440	637	237	413	650	466	388	854
Jul	202	425	627	261	413	674	633	390	1,023
Aug	208	427	635	282	405	687	713	389	1,102
Sep	221	425	646	301	401	702	778	395	1,173
Oct	229	414	643	332	375	707	958	398	1,356
Nov	238	416	654	351	363	714			
Dec	235	419	654	375	369	744			
Jan	220	424	644	371	380	751			
Feb	222	413	635	372	371	743			
Mar	226	418	644	375	373	748			

Provisional figures



Comments:

- The overall number of children is increasing, with numbers as at the end of October at the highest level they have been since September 2003. The current number of clients supported is above the budgeted level of 690.
- The budgeted number of referrals for 2015-16 is 15 per month, with 9 (60%) being assessed as under 18.
- We are responsible for those aged 18 and over if they are a Former Relevant Child and have eligibility for Care Leaver status. These are those young people who had been looked after for at least 13 weeks which began after they reached age 14 and ended after they reached age 16. Additionally young people over 18 may qualify for advice or assistance if they have been in care for at least 24 hrs aged 16 or 17.
- The numbers of 18 and over young people who are All Rights of appeal Exhausted (ARE) or Certified Refusals have been steadily decreasing, particularly since the introduction of Human Rights Assessments (HRAs). Certified Refusals are similar to ARE in that these individuals are expected to leave the UK immediately and have no recourse to public funds, but they have never had in-country appeal rights. On the 30th September 2015 there were 54 ARE or Certified Refusal cases in Kent, compared to 78 in August 2014 and 112 in August 2013.
- The number of young people leaving the service at age 21 rather than remaining in the service up to age 24 has increased in recent months. In previous years, the number of young people supported who are 18 and over has been larger than those aged under 18, but this trend is reversing due to the current high numbers of arrivals of under 18's and the numbers leaving the service at age 21.
- The data recorded above will include some referrals for which the assessments are not yet complete or are being challenged. These clients are initially recorded as having the Date of Birth that they claim, but once their assessment has been completed, or when successfully appealed, their category may change.
- The number of Asylum LAC shown in table 2.1 above is different to the number of under 18 UASC clients shown within this indicator, due to UASC under 18 clients including both Looked After Children and 16 and 17 year old Care Leavers.
- The September UASC numbers shown in the table above include approximately 200 clients who are ineligible for grant funding.

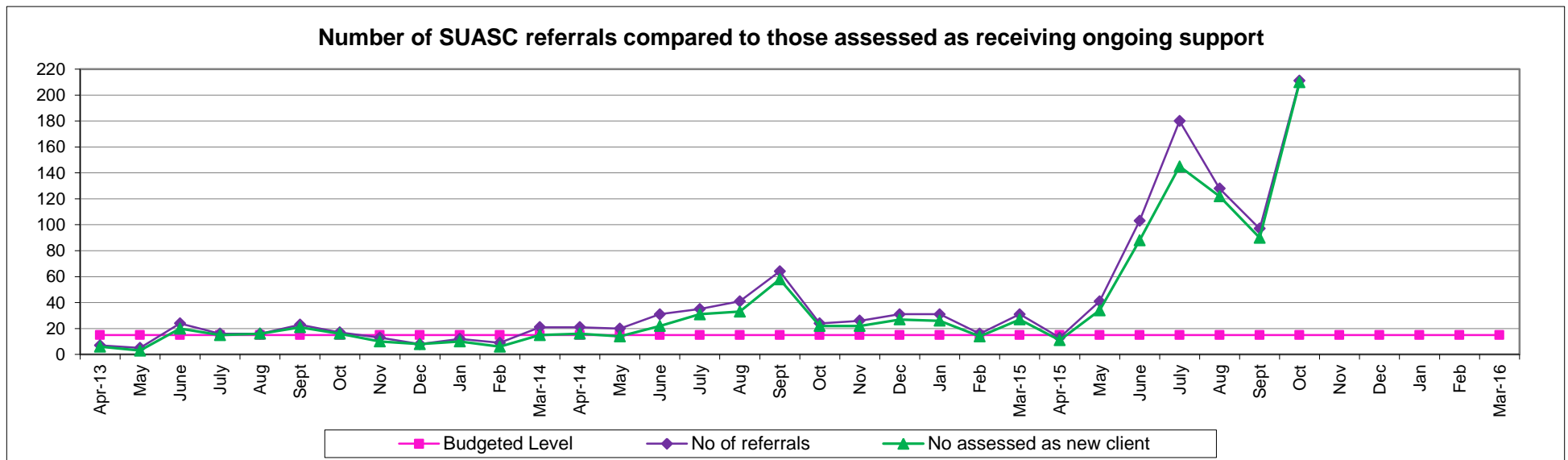
2.5 Number of Unaccompanied Asylum Seeking Children (UASC):

	2013-14			2014-15			2015-16		
	No of referrals	No. assessed as new client	%	No of referrals	No. assessed as new client	%	No of referrals	No. assessed as new client	%
Apr	7	6	86%	21	16	76%	13	11	85%
May	5	3	60%	20	14	70%	41	37	90%
Jun	24	20	83%	31	22	71%	103	88	85%
Jul	16	15	94%	35	31	89%	180	145	81%
Aug	16	16	100%	41	33	80%	128	122	95%
Sep	23	21	91%	64	58	91%	97	90	93%
Oct	17	16	94%	24	22	92%	211	210	100%
Nov	13	10	77%	26	22	85%			
Dec	8	8	100%	31	27	87%			
Jan	12	10	83%	31	26	84%			
Feb	9	6	67%	16	14	88%			
Mar	21	15	71%	31	27	87%			
	171	146	85%	371	312	84%	773	703	91%

Since the 2014-15 Q3 monitoring report, a revised methodology has been adopted - UASC are now only included when their Looked After Child (LAC) status has formally commenced.

Provisional figures

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Comments:

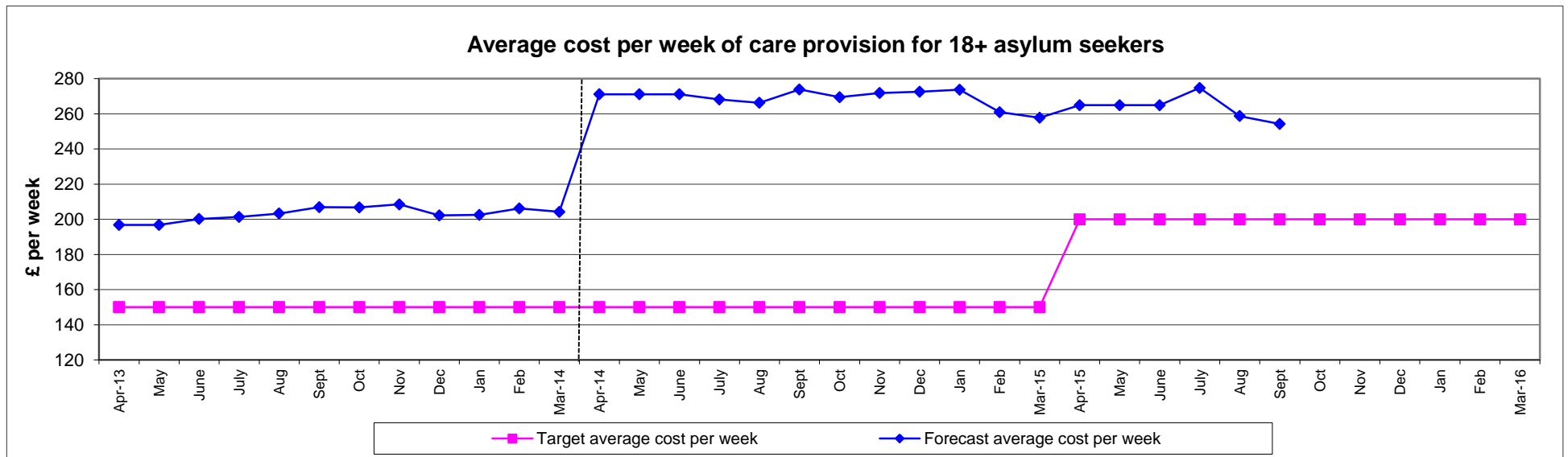
- Please note that UASC Referrals are assumed to be new clients until an assessment has been completed, which usually can take up to 6 weeks, however, as a result of the recent high number of referrals it is currently taking longer to complete individual assessments. Therefore the number of UASC assessed as new clients shown in the table may change once the assessment has taken place.
- The average number of referrals per month for the year to date is 110, which is above the budgeted number of 15 referrals per month. However within this average, as can be seen in the graph above, there is a significantly increasing trend reflecting the recent volatility in migrant activity.
- The number of referrals has a knock on effect on the number assessed as new clients. The budgeted level is based on the assumption 60% of the referrals will be assessed as a new client. The average proportion assessed as new clients in 2015-16 is currently 91%.
- The budget assumed 9 new clients per month (60% of 15 referrals) but the average number of new clients per month is 100 i.e. 1011% higher than budgeted.
- Where a young person has been referred but does not become an ongoing client this may be for various factors. The number of these cases is relatively low but would include those where an age assessment has determined the young person to be aged 18 or above (and therefore they have been returned to immigration for dealing with through the asylum process for Adults) and more recently, transfers of case responsibility to Other Local Authorities. We are only able to claim grant for 28 days for an Asylum Seeker who, on arrival to the UK, is assessed as age 18 or over, but due to the current high number of arrivals it is taking longer than this for the assessments to be completed, resulting in an increased unfunded pressure on the Asylum budget.
- The information on numbers of Unaccompanied Asylum Seeking Children is provided by the Management Information unit within SCH&W directorate.
- Please note that due to the time taken to validate referrals on the database (particularly at this stage given the high volumes encountered since June), the number of new clients and number of referrals for any given month may change, therefore the activity data is refreshed in each report to provide the most up to date information.

	2013-14		2014-15		2015-16	
	Target average weekly cost £	Forecast average weekly cost £p	Target average weekly cost £	Forecast average weekly cost £p	Target average weekly cost £	Forecast average weekly cost £p
Apr	150	196.78	150	271.10	200	264.91
May	150	196.78	150	271.10	200	264.91
Jun	150	200.18	150	271.10	200	264.91
Jul	150	201.40	150	268.15	200	274.77
Aug	150	203.29	150	266.33	200	258.73
Sep	150	206.92	150	273.87	200	254.29
Oct	150	206.74	150	269.47	200	
Nov	150	208.51	150	271.85	200	
Dec	150	202.25	150	272.56	200	
Jan	150	202.49	150	273.75	200	
Feb	150	206.24	150	260.94	200	
Mar	150	204.27	150	257.79	200	

The current forecast average weekly cost for 2015-16 is £254.29, +£54.29 above the £200 claimable under the grant rules. This adds +£2,083k to the forecast outturn position for which we have a cash limit of £280k, giving a variance of +£1,803k, as shown in Table 1.

The weekly cost has increased significantly since 2013-14. Previously the average weekly cost was based on direct client costs only, as the gateway grant was used for staff and infrastructure costs. From 2014-15 onwards we no longer receive a Gateway Grant, so all staff and infrastructure costs have been allocated to age groups. Therefore, the increased weekly cost since April 2014 reflects ALL costs associated with 18+.

A dotted line has therefore been added to the graph to show that the unit costs pre and post April 2014 are not directly comparable.



Comments:

- The 2015-16 target average weekly cost has been increased in this report from £150 to £200 based on the latest offer from the Home Office received in early November.
- The reduction in unit cost between January and February 15 follows a restructure of the service that took place at the start of December to bring Asylum support alongside mainstream care. Following this restructure a data cleansing exercise was performed. This revealed a number of elements that required revision, including changes to weekly costs for those in independent accommodation and a reassessment of the level of void placements. In addition, the amount paid via the Essential Living Allowance has reduced, which is likely to be in part due to ongoing work to improve take-up of benefits for those able to claim them.
- The local authority (LA) has agreed that the funding levels for the Unaccompanied Asylum Seeking Children's Service 18+ grant agreed with the Government rely on us achieving an average cost per week of £200, in order for the service to be fully funded, which is also reliant on the UKBA accelerating the removal process. In 2011-12 UKBA changed their grant rules and now only fund the costs of an individual for up to three months after the All Rights of appeal Exhausted (ARE) process if the LA carries out a Human Rights Assessment before continuing support. The number of AREs supported has fallen in recent months. The LA has continued to meet the cost of the care leavers in order that it can meet its' statutory obligations to those young people under the Leaving Care Act until the point of removal.
- The issue remains that for various reasons, some young people have not yet moved to lower cost properties, mainly those placed out of county. These placements are largely due to either medical/mental health needs or educational needs.
- As part of our strive to achieve a net unit cost of £200 or below, we will be insisting on take-up of state benefits for those entitled. However, the proportion of young people being accepted for asylum has reduced in recent months, meaning that a lower proportion of young people are unable to claim state benefits, bringing up the average cost. In addition, the service has undertaken a data cleansing exercise and as a result a number of older cases have been closed where we no longer have a requirement to support these young people as care leavers. The costs for these cases were lower, which has resulted in a further increase to the average cost.

3. CAPITAL

3.1 The Social Care, Health and Wellbeing Directorate - Children's Services has a working budget for 2015-16 of £1,959k . The forecast outturn against the 2015-16 budget is £1,859k giving a variance of £100k.

3.2 **Table 2** below details the SCH&W - Children's Services Capital Position by Budget Book line.

Budget Book Heading	2015-16 cash limit per budget book (£000)	2015-16 Working Budget (£000)	2015-16 Variance (£000)	Variance Break-down (£000)	Rephasing / Real Variance and Funding Stream	Explanation of In-Year Variance >£100k	Project Status ¹	Explanation of Project Status	Actions
Individual Projects									
Transforming Short Breaks	70	112	0				Green		
ConTROCC	556	925	-100	-100	Rephasing	Due to the scale of the project it has been agreed that the Children's provider portal will be rolled out on a phased basis. The scope of phase 2 has increased but costs will remain within current budget. The final phase will be the rollout to internal fostering providers.	Amber	Phase 1 went live in July 2015. Phase 2 completion has moved from December 2015 to March 2016. Phase 3 is scheduled for August 2016.	
Early Help Module (EHM)	276	922	0				Green	Phase 1 went live in June 2015. Phase 2 is scheduled for November 2015.	
Total	902	1,959	-100	-100					

1. Status:

Green – on time and within budget

Amber – either delayed completion date or over budget

Red – both delayed completion and over budget

SOCIAL CARE, HEALTH & WELLBEING DIRECTORATE
ADULTS SERVICES
SEPTEMBER 2015-16 MONITORING REPORT

1. REVENUE

1.1	Cash Limit	Variance Before Mgmt Action	Mgmt Action	Net Variance after Mgmt Action	Roll forwards		Variance after Mgmt Action & Roll Fwd
					committed	uncommitted	
Total (£k)	+350,459	+8,279	-1,100	+7,179	+77	-	+7,256

1.2 **Table 1** below details the revenue position by A-Z budget:

Budget Book Heading	Cash Limit			Variance	Explanation		Management Action/ Impact on MTFP/Budget Build
	Gross	Income	Net	Net	£'000		
	£'000	£'000	£'000	£'000	£'000		
Social Care, Health & Wellbeing - Adult Social Care							
Strategic Management & Directorate Support budgets	8,032.5	-1,072.9	6,959.6	-647	-276	Staff vacancies within Access to Resources Team	
					-242	Staff vacancies across teams within operational support	
					-144	Reduced demand for a number of office support services (including postage, printing and stationery)	
					+112	Higher than anticipated legal costs	
					-97	Other minor variances	
<u>Support to Frontline Services:</u>							
- Adults Social Care Commissioning & Performance Monitoring	4,045.2	-623.8	3,421.4	-163	-145	Delays in recruitment to vacancies within the Performance & Information Management team	
					-18	Other minor variances	
<u>Adults & Older People:</u>							
- Direct Payments							
- Learning Disability (aged 18+)	17,671.6	-69.5	17,602.1	-99	+531	Forecast +1,899 weeks above affordable level of 63,397 weeks	Demographic pressures & savings are expected to be ongoing & will need to be addressed in the 2016-19 MTFP
					+74	Forecast average unit cost +£1.17 above affordable level of £278.27	
					+647	One-off direct payments	

Budget Book Heading	Cash Limit			Variance	Explanation	Management Action/ Impact on MTFP/Budget Build
	Gross	Income	Net	Net		
	£'000	£'000	£'000	£'000	£'000	
					-1,234	Recovery of unspent funds from clients
					-143	Other local authority income relating to prior year costs for a client who has recently been transferred under Ordinary Residence status
					+26	Other minor variances
- Mental Health (aged 18+)	1,049.7	-84.3	965.4	+99	+150	Forecast +1,467 weeks above affordable level of 9,968 weeks
					-33	Forecast average unit cost -£3.26 below affordable level of £105.31
					+92	One-off direct payments
					-115	Recovery of unspent funds from clients
					+5	Other minor variances
- Older People (aged 65+)	14,367.7	0.0	14,367.7	-969	-418	Forecast -2,235 weeks below affordable level of 78,040 weeks
					+243	Forecast average unit cost +£3.11 above affordable level of £184.00
					+439	One-off direct payments
					-1,224	Recovery of unspent funds from clients
					-9	Other minor variances
- Physical Disability (aged 18-64)	12,067.7	0.0	12,067.7	+502	+1,178	Forecast +5,979 weeks above affordable level of 60,472 weeks
					-100	Forecast average unit cost -£1.65 below affordable level of £198.65
					+718	One-off direct payments
					-1,321	Recovery of unspent funds from clients
					+27	Other minor variances
Total Direct Payments	45,156.7	-153.8	45,002.9	-467		
- Domiciliary Care						
- Learning Disability (aged 18+)	993.3	-14.0	979.3	-262	-271	Forecast -19,626 hours below affordable level of 64,081 hours
					-3	Forecast average unit cost -£0.05 below affordable level of £13.87
					+12	Other minor variances

Budget Book Heading	Cash Limit			Variance	Explanation		Management Action/ Impact on MTFP/Budget Build
	Gross	Income	Net	Net	£'000		
	£'000	£'000	£'000	£'000	£'000		
- Older People (aged 65+) - in house service (KEaH)	7,888.9	-5,415.4	2,473.5	+188	+188	Higher usage of Kent Enablement at Home Service (KEAH) than anticipated for Older People clients	
- Older People (aged 65+) - Commissioned Service	16,843.4	-10,157.1	6,686.3	+9,292	+7,106	Forecast +485,679 hours above affordable level of 1,168,456 hours	Management action is currently being finalised to reduce the overall demand for this service and any ongoing demographic pressures & savings will be addressed in the 2016-19 MTFP The revised timing of the anticipated delivery of phase 2 transformation savings will be addressed in the 2016-19 MTFP This pressure is expected to be ongoing & will need to be addressed in the 2016-19 MTFP.
					+292	Forecast average unit cost +£0.25 above affordable level of £14.38	
					+1,696	Revised phasing of anticipated delivery of phase 2 transformation savings resulting from work completed by our Transformation Partners during the design stage of the savings programme	
					+185	Commissioning additional block domiciliary related contracts primarily related to providing additional support within Extra Care Sheltered Housing.	
					+13	Other minor variances	
- Physical Disability (aged 18-64) - in house service	579.4	0.0	579.4	0			
- Physical Disability (aged 18-64) - Commissioned Service	2,240.8	0.0	2,240.8	+2,919	+2,512	Forecast +180,203 hours above affordable level of 189,847 hours	Demographic pressures & savings are expected to be ongoing & will need to be addressed in the 2016-19 MTFP The revised timing of the anticipated delivery of phase 2 transformation savings will be addressed in the 2016-19 MTFP.
					+34	Forecast average unit cost +£0.18 above affordable level of £13.76	
					+372	Revised phasing of anticipated delivery of phase 2 transformation savings resulting from work completed by our Transformation Partners during the design stage of the savings programme	
					+1	Other minor variances	
Total Domiciliary Care	28,545.8	-15,586.5	12,959.3	+12,137			

Budget Book Heading	Cash Limit			Variance	Explanation		Management Action/ Impact on MTFP/Budget Build
	Gross	Income	Net	Net			
	£'000	£'000	£'000	£'000	£'000		
- Non Residential Charging							
- Learning Disability (aged 18+)	0.0	-3,191.3	-3,191.3	-391	-391	The forecast over-recovery of client contributions towards non-residential care services is linked to the current net pressure being forecast on other learning disability community based services (such as Domiciliary, Day Care, Direct Payments & Supported Living) highlighted in this report.	Demographic pressures & savings are expected to be ongoing & will need to be addressed in the 2016-19 MTFP
- Older People (aged 65+)	0.0	-7,516.3	-7,516.3	-1,087	-1,087	The forecast over-recovery of client contributions towards non-residential care services is linked to the current net pressure being forecast on other older people community based services (such as Domiciliary, Day Care, Direct Payments & Supported Living) highlighted in this report.	Demographic pressures & savings are expected to be ongoing & will need to be addressed in the 2016-19 MTFP
- Physical Disability (aged 18-64) / Mental Health (aged 18+)	0.0	-1,298.5	-1,298.5	-459	-406	The forecast over-recovery of client contributions towards non-residential care services is linked to the current net pressure being forecast on other physical disability community based services (such as Domiciliary, Day Care, Direct Payments & Supported Living) highlighted in this report.	Demographic pressures & savings are expected to be ongoing & will need to be addressed in the 2016-19 MTFP
					-53	Other minor variances	
Total Non Residential Charging Income	0.0	-12,006.1	-12,006.1	-1,937			
- Nursing & Residential Care							
- Learning Disability (aged 18+)	81,821.8	-6,597.4	75,224.4	-1,935	-2,751	Forecast -2,251 weeks below affordable level of 68,129 weeks	Demographic pressures & savings are expected to be ongoing & will need to be addressed in the 2016-19 MTFP
					+212	Leading to a shortfall in client contributions	
					+1,276	Forecast average unit cost +£18.73 above affordable level of £1,203.48	

Budget Book Heading	Cash Limit			Variance	Explanation	Management Action/ Impact on MTFP/Budget Build
	Gross £'000	Income £'000	Net £'000	Net £'000		
					-123 Independent Sector: forecast average unit client contribution -£1.80 above affordable level of -£92.56 -613 Release of unrealised creditors +64 Other minor variances	
- Mental Health (aged 18+)	8,054.0	-1,006.5	7,047.5	+1,480	+1,218 Forecast +1,855 weeks above affordable level of 12,652 weeks -73 Leading to an increase in client contributions +262 Forecast average unit cost +£20.74 above affordable level of £636.00 +73 Independent Sector: forecast average unit client contribution +£5.75 below affordable level of -£45.06	Demographic pressures & savings are expected to be ongoing & will need to be addressed in the 2016-19 MTFP
- Older People (aged 65+) - Nursing	37,635.9	-16,250.7	21,385.2	-236	-2,827 Forecast -5,570 weeks below affordable level of 73,815 weeks +1,086 Leading to a shortfall in client contributions +645 Forecast average unit cost +£8.74 above affordable level of £498.75 +884 Independent Sector: forecast average unit client contribution +£11.97 below affordable level of -£206.97 -24 Other minor variances	Demographic pressures & savings are expected to be ongoing & will need to be addressed in the 2016-19 MTFP
- Older People (aged 65+) - Residential - in house service	20,057.6	-5,468.8	14,588.8	+359	+135 Additional agency staff to cover staff vacancies, along with higher than anticipated usage of agency staff for specialist care/nursing roles at Gravesham Place. +156 Increase in running costs for Gravesham Place associated with a recharge from Health for staff, clinical items, utilities and unitary charge. +88 Other minor variances for Gravesham Place including reduced health income associated with Registered Nursing Care Contributions (RNCC)	

Budget Book Heading	Cash Limit			Variance	Explanation	Management Action/ Impact on MTFP/Budget Build	
	Gross	Income	Net	Net			
	£'000	£'000	£'000	£'000	£'000		
					-20	Other minor variances within other residential units	
- Older People (aged 65+) - Residential - commissioned service	55,412.3	-29,367.8	26,044.5	+1,291	-4,024	Forecast -9,449 weeks below affordable level of 139,119 weeks	Demographic pressures & savings are expected to be ongoing & will need to be addressed in the 2016-19 MTFP
					+1,867	Leading to a shortfall in client contributions	
					+598	Forecast average unit cost +£4.30 above affordable level of £421.49	
					+605	Independent Sector: forecast average unit client contribution +£4.35 below affordable level of -£201.90	
					+1,941	Revised phasing of anticipated delivery of phase 2 transformation savings resulting from work completed by our Transformation Partners during the design stage of the savings programme	The revised timing of the anticipated delivery of phase 2 transformation savings will be addressed in the 2016-19 MTFP
					+188	Health have indicated that they will not contribute to an element of running costs for an integrated care centre. Although negotiations continue, it is considered prudent to reflect this as a pressure until the situation is resolved.	
					+118	Health have indicated that they will no longer contribute towards the cost of short term residential placements within East Kent, previously received through a long standing agreement. Although negotiations continue, it is considered prudent to reflect this as a pressure until the situation is resolved.	
					-2	Other minor variances	

Budget Book Heading	Cash Limit			Variance	Explanation		Management Action/ Impact on MTFP/Budget Build
	Gross	Income	Net	Net			
	£'000	£'000	£'000	£'000	£'000		
- Physical Disability (aged 18-64)	13,579.6	-1,729.9	11,849.7	-464	-481	Forecast -563 weeks below affordable level of 15,841 weeks	Demographic pressures & savings are expected to be ongoing & will need to be addressed in the 2016-19 MTFP
					+62	Leading to a shortfall in client contributions	
					-30	Forecast average unit cost -£1.91 below affordable level of £857.27	
					-15	Independent Sector: forecast average unit client contribution -£0.95 above affordable level of -£109.20	
Total Nursing & Residential Care	216,561.2	-60,421.1	156,140.1	+495			
- Supported Living							
- Learning Disability (aged 18+) - in house service	3,787.4	-1,593.7	2,193.7	-358	-100	Completion of the Pathway to Independence project pilot at lower cost than anticipated	
					-279	Local action plans in place to pool resources in preparation for move to Kent Pathways Service, leading to overall reduction in staffing costs as vacancies and secondments are not being filled	
					+21	Other minor variances	
- Learning Disability (aged 18+) - shared lives scheme	3,582.7	-246.9	3,335.8	+121	+137	Forecast +48,849 hours above affordable level of 1,069,507 hours	Demographic pressures & savings are expected to be ongoing & will need to be addressed in the 2016-19 MTFP
					-43	Forecast average unit cost -£0.04 below affordable level of £2.84	
					+27	Other minor variances	
- Learning Disability (aged 18+) - other commissioned supported living arrangements	31,662.7	-118.5	31,544.2	+2,885	+3,236	Forecast +328,227 hours above affordable level of 3,183,542 hours	Demographic pressures & savings are expected to be ongoing & will need to be addressed in the 2016-19 MTFP
					-159	Forecast average unit cost -£0.05 below affordable level of £9.91	
					-327	Release of unrealised creditors	
					+124	Estimated costs of unfilled block-purchased supported living placements	
- Older People (aged 65+) - in house service	4,825.0	-4,825.0	0.0	0	+11	Minor other variances	

Budget Book Heading	Cash Limit			Variance	Explanation		Management Action/ Impact on MTFP/Budget Build
	Gross	Income	Net	Net			
	£'000	£'000	£'000	£'000	£'000		
- Older People (aged 65+) - commissioned service	400.7	0.0	400.7	-54	+44	Forecast +7,718 hours above affordable level of 48,688 hours	Demographic pressures & savings are expected to be ongoing & will need to be addressed in the 2016-19 MTFP
					-122	Forecast average unit cost -£2.50 below affordable level of £8.23	
					+24	Other minor variances	
- Physical Disability (aged 18-64) / Mental Health (aged 18+) - in house service	107.4	-107.4	0.0	0			
- Physical Disability (aged 18-64) / Mental Health (aged 18+) - commissioned service	4,436.5	-210.2	4,226.3	+1,599	+542	Mental Health forecast +44,421 hours above affordable level of 177,381	Demographic pressures & savings are expected to be ongoing & will need to be addressed in the 2016-19 MTFP
					+43	Mental Health forecast average unit cost +£0.24 above affordable level of £11.95	
					+1,389	Physical Disability forecast +231,187 hours above affordable level of 300,791 hours	
					-322	Physical Disability forecast average unit cost -£1.07 below affordable level of £7.08	
					-53	Other minor variances	
Total Supported Living	48,802.4	-7,101.7	41,700.7	+4,193			
- Other Services for Adults & Older People							
- Adaptive & Assistive Technology	6,106.6	-3,666.2	2,440.4	-367	-190	Estimated savings following the renegotiation of the equipment contract affecting occupational therapy equipment, telecare and the pooled budget arrangement with health to provide equipment	Savings are expected to be ongoing & will need to be addressed in the 2016-19 MTFP
					-341	Lower than anticipated demand for telecare leading to a reduction in anticipated revenue contribution to capital	
					+175	Higher than anticipated demand for occupational therapy equipment	
					-11	Other minor variances	

Budget Book Heading	Cash Limit			Variance	Explanation		Management Action/ Impact on MTFP/Budget Build
	Gross	Income	Net	Net			
	£'000	£'000	£'000	£'000	£'000		
- Community Support Services for Mental Health (aged 18+) - in house service	1,383.8	-64.4	1,319.4	-72			
- Community Support Services for Mental Health (aged 18+) - commissioned service	1,717.1	-693.9	1,023.2	-71			
- Day Care							
- Learning Disability (aged 18+) - in house service	6,627.5	-70.7	6,556.8	-205	-102	Countywide reduction in Agency and contracted staffing costs resulting from 1:1 costs now being commissioned externally within the supported living service (now within the activity reported on the Learning Disability - other commissioned supported living A-Z line)	Savings are expected to be ongoing & will need to be addressed in the 2016-19 MTFP
					-120	Reduced costs of staff following the recent restructure of day care services and more effective management of resources	
					+17	Other minor variances	
- Learning Disability (aged 18+) - commissioned service	7,095.4	0.0	7,095.4	+1,012	+824	Pressure reflecting current demand for services provided by the independent sector	Demographic pressures & savings are expected to be ongoing & will need to be addressed in the 2016-19 MTFP
					+131	Leading to an increase in transport related costs	
					+57	Other minor variances	
- Older People (aged 65+) - in house	877.9	-45.0	832.9	-30			
Older People (aged 65+) - commissioned service	959.1	0.0	959.1	-130	-130	Underspend reflecting current demand for services provided by the independent sector	Demographic pressures & savings are expected to be ongoing & will need to be addressed in the 2016-19 MTFP
- Physical Disability (aged 18-64)	951.1	0.0	951.1	-23			
Total Day Care	16,511.0	-115.7	16,395.3	+624			

Budget Book Heading	Cash Limit			Variance	Explanation	Management Action/ Impact on MTFP/Budget Build
	Gross	Income	Net	Net		
	£'000	£'000	£'000	£'000	£'000	
- Other Adult Services	3,532.0	-3,695.3	-163.3	-4,101	-3,275	Use of so-far uncommitted funding, held within Other Adult Services, to offset increased activity on Older People A-Z budget lines.
					-1,074	Following the recent completion of the prices review for 2015-16, budgets need to be realigned to reflect where the price pressures are being experienced (within specific activity related A-Z service lines above, such as Commissioned Older People Domiciliary and Residential Care). The outcome of this review has only recently been agreed and a virement has been requested to realign the 2015-16 budget allocation for prices to reflect this outcome. Therefore, if agreed, this underspend will not be reflected against Other Adult Services in future monitoring reports but will net off against pressures on other A-Z service lines.
					+169	Meals service pressure, primarily due to lower than anticipated client contributions
					+79	Other minor variances including additional mental health client support costs
- Safeguarding	2,331.7	-702.1	1,629.6	-323	-358	There are only part year costs in 2015-16 from the processing of additional Deprivation of Liberty cases as a result of a phased approach to recruitment but budget allows for the full year effect.

Budget Book Heading	Cash Limit			Variance	Explanation		Management Action/ Impact on MTFP/Budget Build
	Gross	Income	Net	Net			
	£'000	£'000	£'000	£'000	£'000		
					+35	Other minor variances, each below £100k, including -£77k relating to KCC's share of re-phasing into 2016-17 of Kent & Medway Safeguarding Vulnerable Adults Committee. This will be required to roll forward to meet our obligation to the Committee under the terms of the multi-agency agreement.	
- Social Support							
- Carers - in house service	3,550.9	-0.3	3,550.6	+69			
- Carers - commissioned service	10,465.9	-6,172.1	4,293.8	+667	+430	Higher than anticipated spend on supporting carers via external provision (including services provided by voluntary organisations)	Demographic pressures are expected to be ongoing & will need to be addressed in the 2016-19 MTFP
					+387	Lower than anticipated client income for Social Support to Carers	
					-150	Lower than anticipated demand for Carers direct payments	
- Information & Early Intervention	6,517.0	-2,254.9	4,262.1	-117	-100	Lower than anticipated demand for advocacy services	
					-17	Other minor variances	
- Social Isolation	6,292.0	-2,288.5	4,003.5	+67	+115	Payments to voluntary organisations as a result of higher than anticipated demand for Learning Disability services	
					-48	Other minor variances	
Total Social Support	26,825.8	-10,715.8	16,110.0	+686			
- Support & Assistance Service (Social Fund)	1,481.5	0.0	1,481.5	0			
Total Other Services for Adults & Older People	59,889.5	-19,653.4	40,236.1	-3,624			
<u>Community Services</u>							
- Local Healthwatch & NHS Complaints Advocacy	1,138.4	-705.9	432.5	-2			

Budget Book Heading	Cash Limit			Variance	Explanation		Management Action/ Impact on MTFP/Budget Build
	Gross	Income	Net	Net			
	£'000	£'000	£'000	£'000	£'000		
Housing Related Support for Vulnerable People (Supporting People)							
- Administration	536.1	-150.0	386.1	-32			
- Adults - Learning Difficulties	3,352.2	0.0	3,352.2	-26			
- Adults - Physical Difficulties	138.5	0.0	138.5	0			
- Adults - Mental Health (aged 18+)	2,904.3	0.0	2,904.3	-58			
- Older People (aged 65+)	3,891.5	0.0	3,891.5	-46			
- Other Adults	7,421.6	0.0	7,421.6	0			
- Young People	3,677.9	0.0	3,677.9	0			
Total Housing Related Support for Vulnerable People	21,922.1	-150.0	21,772.1	-162			
Public Health							
- Drug & Alcohol Services (LASAR)	429.9	0.0	429.9	-25			
Assessment Services							
- Adult Social Care Staffing	44,720.3	-11,309.5	33,410.8	-1,519	-895	Delays in the recruitment to vacancies within the Mental Health assessment teams and the usage of locum/agency staff. This is partly due to recent staffing reviews along with general difficulties in recruiting to speciality mental health practitioners.	
					-190	Delay in implementation of new Care Planning Management System	
					-412	Delays in the recruitment to vacancies across Learning Disability assessment teams	
					-154	Use of so-far uncommitted funding held within Adult Social Care staffing to offset spending on new Care Act responsibilities within the Older People Domiciliary Care A-Z budget line above	
					+132	Other minor variances, each below £100k	
Total SCH&W (Adults)	479,244.0	-128,784.7	350,459.3	+8,279			

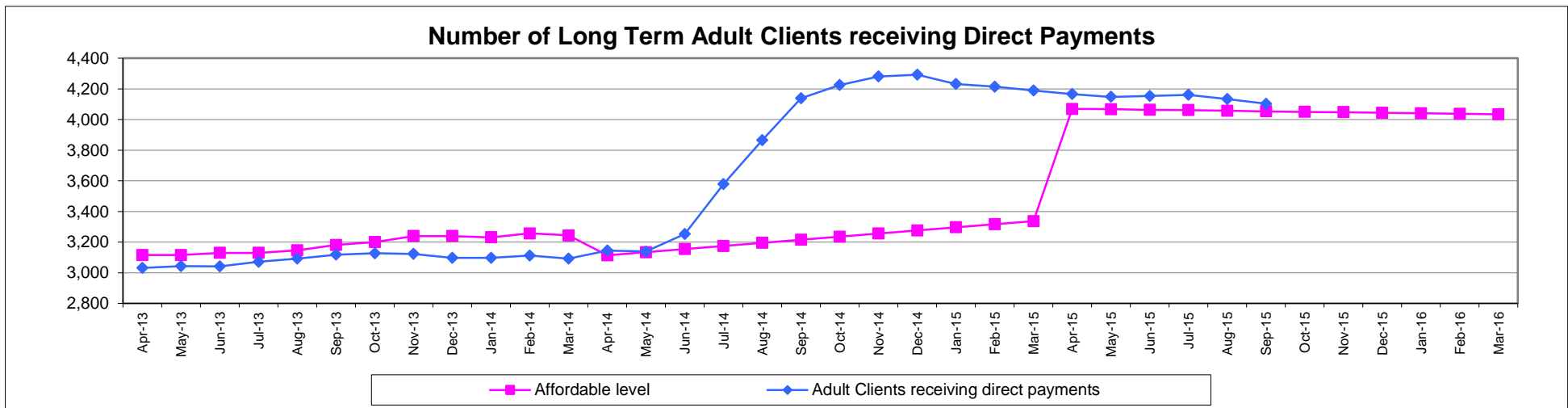
Budget Book Heading	Cash Limit			Variance	Explanation	Management Action/ Impact on MTFP/Budget Build
	Gross	Income	Net	Net		
	£'000	£'000	£'000	£'000	£'000	
Assumed Mgmt Action				-1,100		Plans are being refined to reduce the overall pressure on Older People and Physical Disability Services, centred around reducing the demand for domiciliary and residential services and increasing client contributions. Latest estimates suggest up to a £1,100k reduction can be achieved.
Total SCH&W (Adults) Forecast <u>after</u> mgmt action	479,244.0	-128,784.7	350,459.3	+7,179		

2. KEY ACTIVITY INDICATORS AND BUDGET RISK ASSESSMENT MONITORING

2.1 Direct Payments - Number of Adult Social Services Clients receiving Direct Payments:

	2013-14			2014-15			2015-16		
	Affordable level for long term clients	Snapshot of long term adults rec'ing direct payments	Number of one-off payments made during the month	Affordable level for long term clients	Snapshot of long term adults rec'ing direct payments	Number of one-off payments made during the month	Affordable level for long term clients	Snapshot of long term adults rec'ing direct payments	Number of one-off payments made during the month
Apr	3,116	3,032	164	3,114	3,145	216	4,069	4,166	151
May	3,116	3,043	169	3,134	3,139	160	4,067	4,148	134
Jun	3,130	3,042	120	3,155	3,253	184	4,063	4,154	169
Jul	3,130	3,072	173	3,175	3,579	215	4,061	4,161	150
Aug	3,147	3,092	158	3,195	3,866	200	4,057	4,134	112
Sep	3,181	3,118	134	3,215	4,139	209	4,053	4,103	94
Oct	3,201	3,127	179	3,235	4,225	204	4,050		
Nov	3,240	3,123	144	3,256	4,281	167	4,048		
Dec	3,240	3,098	159	3,276	4,292	115	4,044		
Jan	3,231	3,097	176	3,297	4,232	135	4,041		
Feb	3,257	3,112	135	3,317	4,214	128	4,037		
Mar	3,244	3,093	121	3,337	4,189	144	4,034		
			1,832			2,077			810

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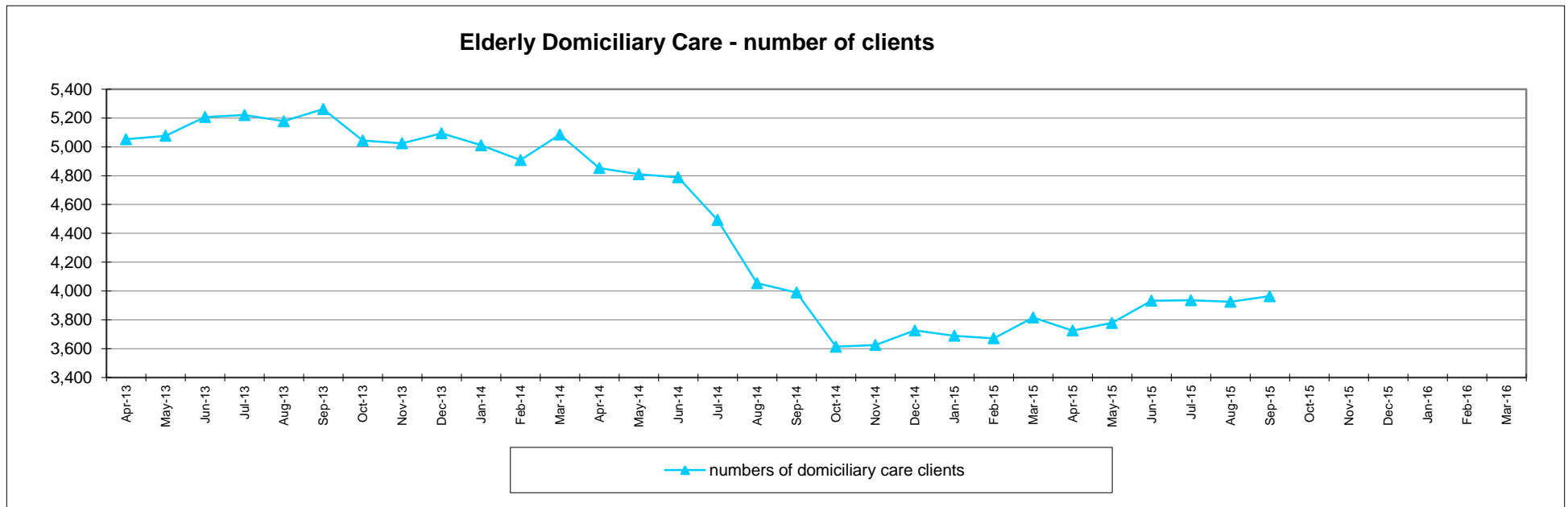
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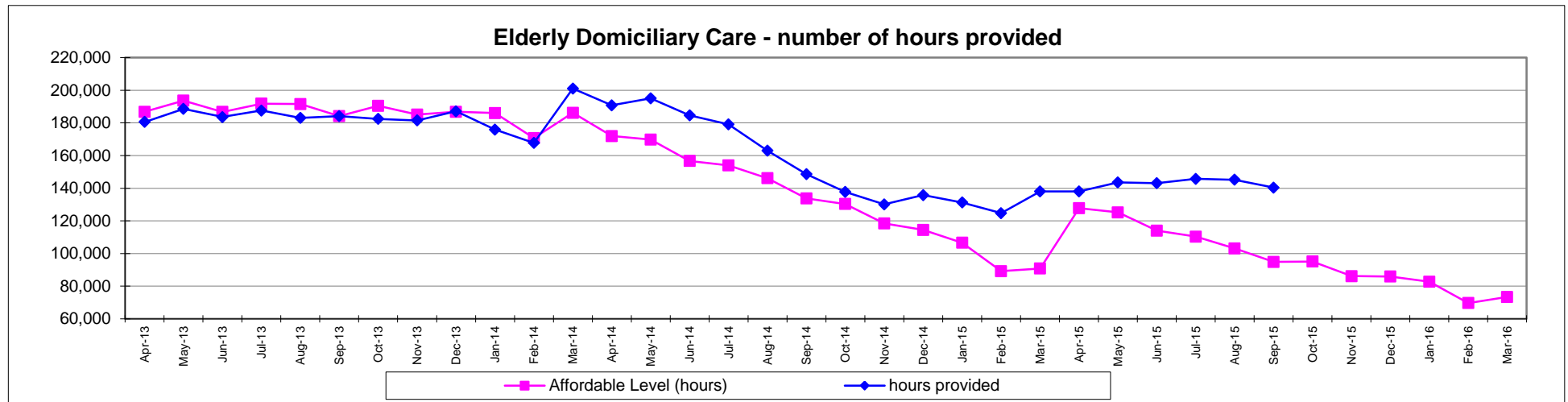
- A long term client in receipt of a regular direct payment may also receive a one-off payment if required. Only the long term clients are presented on the graph above.
- Please note that due to the time taken to record changes in direct payments onto the client database the number of clients and one-off direct payments for any given month may change, therefore the current year to date activity data is refreshed in each report to provide the most up to date information.
- Current activity to date compared against the profiled budget would suggest a lower level of activity than currently forecast on this service, however the current forecast includes a number of known clients not yet recorded on the activity database. This position is being offset by recoveries of unspent funds from clients. The overall effect of these factors across individual client groups is reflected in Table 1, which shows a small forecast underspend of £467k against the overall direct payments budget.

2.2 Elderly domiciliary care – numbers of clients and hours provided in the independent sector

	2013-14			2014-15			2015-16		
	Affordable level (hours)	hours provided	number of clients	Affordable level (hours)	hours provided	number of clients	Affordable level (hours)	hours provided	number of clients
Apr	186,809	180,585	5,053	171,979	190,804	4,853	127,780	138,025	3,726
May	193,717	188,656	5,077	169,813	195,051	4,810	125,245	143,582	3,778
Jun	186,778	183,621	5,206	156,692	184,572	4,789	113,969	143,059	3,932
Jul	191,791	187,621	5,221	154,016	179,105	4,492	110,355	145,708	3,936
Aug	191,521	183,077	5,178	146,118	163,006	4,054	103,158	145,224	3,925
Sep	184,242	184,208	5,262	133,761	148,649	3,989	94,880	140,360	3,964
Oct	190,446	182,503	5,044	130,322	137,790	3,614	95,120		
Nov	185,082	181,521	5,025	118,474	130,108	3,625	86,179		
Dec	186,796	187,143	5,094	114,525	135,832	3,727	85,967		
Jan	186,006	175,916	5,011	106,627	131,261	3,690	82,698		
Feb	170,695	167,774	4,909	89,174	124,714	3,672	69,653		
Mar	186,184	201,069	5,085	90,829	138,077	3,817	73,452		
	2,240,067	2,203,694		1,582,330	1,858,968		1,168,456	855,958	

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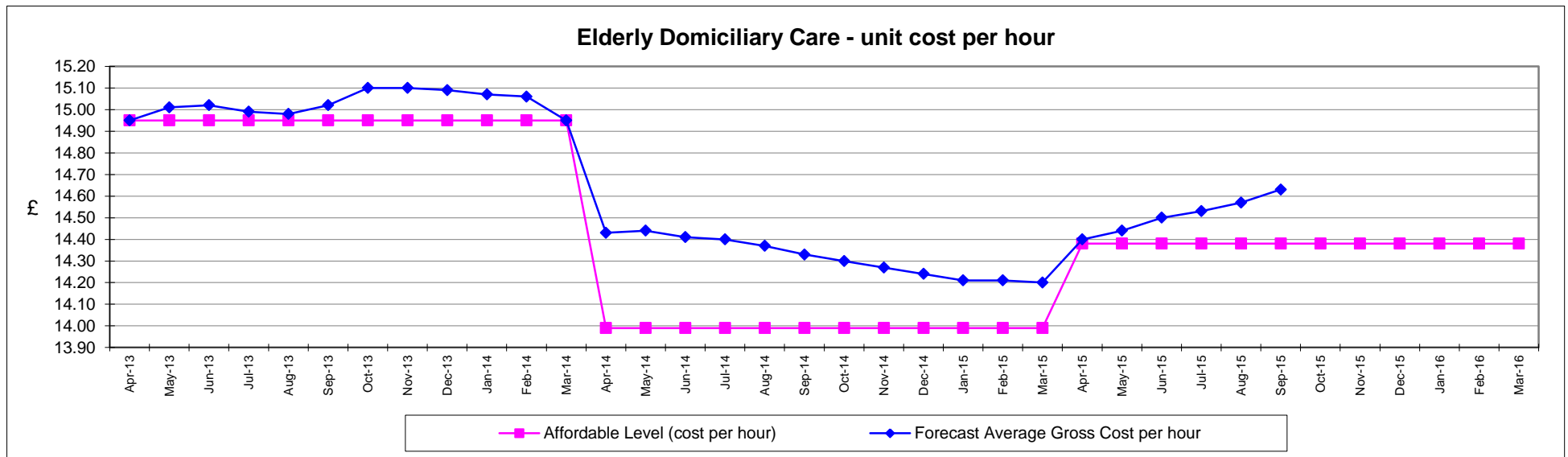
- Figures exclude services commissioned from the Kent Enablement At Home Service.
- The current forecast is 1,654,135 hours of care against an affordable level of 1,168,456, a difference of +485,679 hours. Using the forecast unit cost of £14.63 this increase in activity increases the forecast by +£7,106k, as shown in table 1.
- The affordable level for 2015-16 reflects both the full year effect of phase 1 transformation changes, along with further reductions in relation to the phase 2 transformation programme based on the revised savings plans agreed with our transformation partners. Due to the revised phasing of the second tranche of savings, a separate pressure of £1,696k is being reported in table 1.
- To the end of September 855,958 hours of care have been delivered against an affordable level of 675,387, a difference of +180,571 hours. The budgeted level assumes a continual reduction in client numbers in line with transformation plans and the general trend experienced in recent years. Current activity suggests that the forecast should be lower on this service when compared to the budgeted profile, however the forecast reflects the continuation of the higher levels of activity experienced in 2014-15 and in the first six months of 2015-16, which have offset the effect of the transformation savings that are built in to the affordable profile.
- Domiciliary for all client groups are volatile budgets, with the number of people receiving domiciliary care decreasing over the past few years as a result of the implementation of Self Directed Support (SDS). This is being compounded by a shift in trend towards take up of the enablement service. However, as a result of this, clients who are receiving domiciliary care are likely to have greater needs and require more intensive packages of care than historically provided - the 2012-2013 average hours per client per week was 8.0, whereas the average figure for 2013-14 was 8.3 and 8.7 for 2014-15. For 2015-16, the current actual average hours per client per week is 8.4.

2.3 Average gross cost per hour of older people domiciliary care compared with affordable level:

	2013-14		2014-15		2015-16	
	Affordable Level (Cost per Hour) £p	Forecast Average Gross Cost per Hour £p	Affordable Level (Cost per Hour) £p	Forecast Average Gross Cost per Hour £p	Affordable Level (Cost per Hour) £p	Forecast Average Gross Cost per Hour £p
Apr	14.95	14.95	13.99	14.43	14.38	14.40
May	14.95	15.01	13.99	14.44	14.38	14.44
Jun	14.95	15.02	13.99	14.41	14.38	14.50
Jul	14.95	14.99	13.99	14.40	14.38	14.53
Aug	14.95	14.98	13.99	14.37	14.38	14.57
Sep	14.95	15.02	13.99	14.33	14.38	14.63
Oct	14.95	15.10	13.99	14.30	14.38	
Nov	14.95	15.10	13.99	14.27	14.38	
Dec	14.95	15.09	13.99	14.24	14.38	
Jan	14.95	15.07	13.99	14.21	14.38	
Feb	14.95	15.06	13.99	14.21	14.38	
Mar	14.95	14.95	13.99	14.20	14.38	

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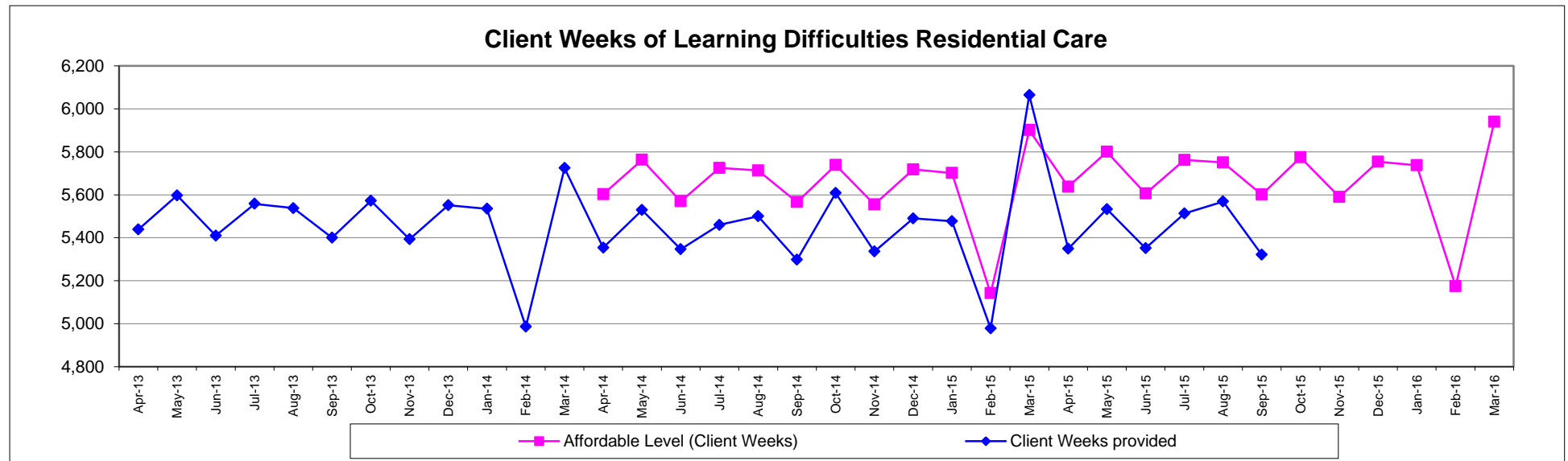
- The unit cost is dependent on the intensity of the packages required, so is subject to variations.
- The forecast unit cost of +£14.63 is higher than the affordable cost of +£14.38 and this difference of +£0.25 adds +£292k to the position when multiplied by the affordable weeks, as shown in table 1.
- The affordable level for 2015-16 reflects the result of the domiciliary re-let during 2014-15, along with an estimated price uplift. This affordable level will be updated once the virement referred to in table 1 "Other Adult Services" has been agreed reflecting the outcome of the prices review.



2.4 Number of client weeks of learning disability residential care provided compared with affordable level:

	2013-14	2014-15		2014-15	
	Client Weeks provided	Affordable Level (Client Weeks)	Client Weeks provided	Affordable Level (Client Weeks)	Client Weeks provided
Apr	5,439	5,603	5,354	5,638	5,349
May	5,597	5,763	5,529	5,800	5,533
Jun	5,410	5,570	5,347	5,606	5,351
Jul	5,558	5,725	5,460	5,762	5,513
Aug	5,538	5,713	5,500	5,750	5,569
Sep	5,400	5,566	5,298	5,601	5,321
Oct	5,572	5,739	5,608	5,775	
Nov	5,393	5,555	5,336	5,590	
Dec	5,551	5,718	5,490	5,754	
Jan	5,535	5,702	5,477	5,738	
Feb	4,986	5,142	4,978	5,175	
Mar	5,724	5,901	6,064	5,940	
	65,703	67,697	65,441	68,129	32,637

From April 2014 there has been a change in the method of counting client weeks to align with current guidance, bringing together non-preserved rights client weeks with preserved rights client weeks. Also, clients receiving a respite service are no longer included in this measure and now fall under Support for Carers. The client weeks provided prior to April 2014, shown in the table, have been adjusted to provide comparable figures. Due to the fact that prior year affordable levels did not distinguish between respite and non-respite services, the affordable level cannot be converted into a comparable measure for previous years.



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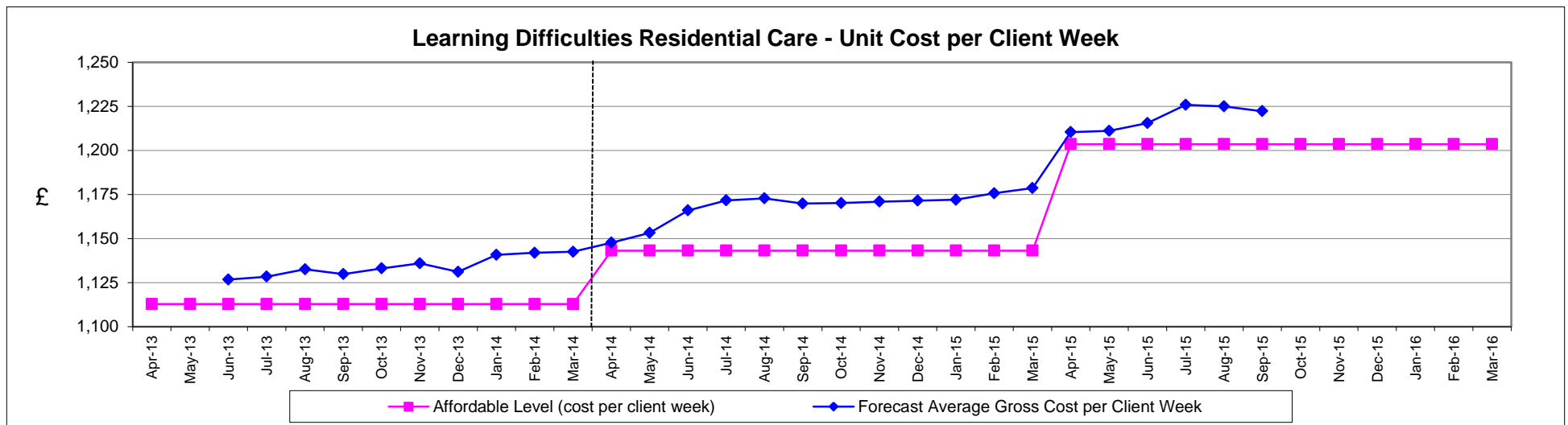
- The above graph reflects the number of client weeks of service provided as this has a greater influence on cost than the actual number of clients. The actual number of clients in LD residential care (including preserved rights clients) at the end of 2013-14 was 1,254, at the end of 2014-15 it was 1,258 and at the end of September 2015 it was 1,237. This includes any ongoing transfers as part of the S256 agreement with Health, transitions, provisions and ordinary residence.
- The current forecast is 65,878 weeks of care against an affordable level of 68,129, a difference of -2,251 weeks. Using the forecast unit cost of £1,222.21, this reduced activity decreases the forecast by -£2,751k, as shown in table 1.
- The forecast activity for this service is based on known individual clients including provisional and transitional clients. Provisional clients are those whose personal circumstances are changing and therefore require a more intense care package or greater financial help. Transitional clients are children who are transferring to adult social services.
- To the end of September 32,637 weeks of care have been delivered against an affordable level of 34,157, a difference of -1,520 weeks. The year to date activity suggests a lower level of activity than currently forecast, however, this is mainly due to delays in the recording of non-permanent residential care services on the activity database, meaning the year to date activity is understated. In addition, the forecast assumes that some activity for transitional and provisional clients will, by necessity, need to be backdated due to bespoke contracts that have to be agreed individually with providers.

2.5 Average gross cost per client week of learning disability residential care compared with affordable level

	2013-14		2014-15		2015-16	
	Affordable Level (Cost per Week) £p	Forecast Average Gross Cost per Client Week £p	Affordable Level (Cost per Week) £p	Forecast Average Gross Cost per Client Week £p	Affordable Level (Cost per Week) £p	Forecast Average Gross Cost per Client Week £p
Apr	1,112.86		1,143.16	1,147.62	1,203.48	1,210.33
May	1,112.86		1,143.16	1,153.21	1,203.48	1,211.12
Jun	1,112.86	1,126.76	1,143.16	1,165.91	1,203.48	1,215.42
Jul	1,112.86	1,128.39	1,143.16	1,171.61	1,203.48	1,225.85
Aug	1,112.86	1,132.54	1,143.16	1,172.74	1,203.48	1,224.95
Sep	1,112.86	1,129.75	1,143.16	1,169.82	1,203.48	1,222.21
Oct	1,112.86	1,133.04	1,143.16	1,170.10	1,203.48	
Nov	1,112.86	1,135.86	1,143.16	1,170.90	1,203.48	
Dec	1,112.86	1,131.13	1,143.16	1,171.47	1,203.48	
Jan	1,112.86	1,140.70	1,143.16	1,171.99	1,203.48	
Feb	1,112.86	1,141.90	1,143.16	1,175.62	1,203.48	
Mar	1,112.86	1,142.45	1,143.16	1,178.59	1,203.48	

- From April 2014 there was a change in the method of counting clients to align with current guidance, bringing together non-preserved rights clients with preserved rights clients. Also, clients receiving a respite service are no longer included in this measure and now fall under Support for Carers. The forecast average gross cost per client prior to April 2014, shown in the table, includes respite in the overall unit cost. A dotted line has been added to the graph to distinguish between the two different counting methodologies, as the data presented is not on a consistent basis and therefore is not directly comparable.
- The affordable unit cost for 2015-16 reflects an estimated price uplift. This affordable level will be updated once the virement referred to in table 1 "Other Adult Services" has been agreed reflecting the outcome of the prices review.

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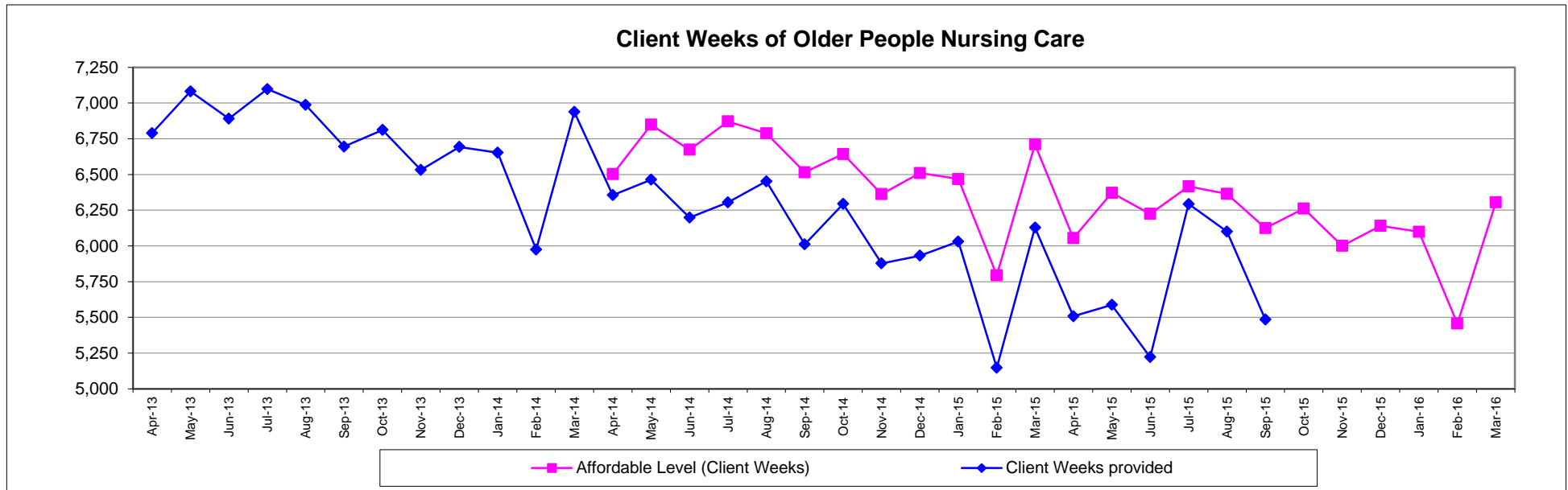
Comments:

- Clients being placed in residential care are those with very complex and individual needs which make it difficult for them to remain in the community, in supported accommodation/supporting living arrangements, or receiving a domiciliary care package. These are therefore placements which attract a very high cost, with the average now being over £1,200 per week. It is expected that clients with less complex needs, and therefore less cost, can transfer from residential into supported living arrangements. This would mean that the average cost per week would increase over time as the remaining clients in residential care would be those with very high cost – some of whom can cost up to £2,000 per week. In addition, no two placements are alike – the needs of people with learning disabilities are unique and consequently, it is common for average unit costs to increase or decrease significantly on the basis of one or two cases.
- The forecast unit cost of +£1,222.21 is higher than the affordable cost of +£1,203.48 and this difference of +£18.73 adds +£1,276k to the position when multiplied by the affordable weeks, as shown in table 1.
- The steep price increase in July has been influenced by a home closure requiring the clients to be transferred to new settings. As a result of the short notice of closure, many of these new placements are more expensive.

2.6 Number of client weeks of older people nursing care provided compared with affordable level:

	2013-14	2014-15		2015-16	
	Client Weeks provided	Affordable Level (Client Weeks)	Client Weeks provided	Affordable Level (Client Weeks)	Client Weeks provided
Apr	6,789	6,502	6,355	6,054	5,507
May	7,081	6,848	6,464	6,372	5,587
Jun	6,891	6,673	6,199	6,224	5,222
Jul	7,097	6,871	6,304	6,416	6,293
Aug	6,986	6,788	6,452	6,364	6,100
Sep	6,695	6,515	6,011	6,124	5,484
Oct	6,812	6,643	6,294	6,261	
Nov	6,532	6,363	5,878	6,000	
Dec	6,693	6,510	5,932	6,141	
Jan	6,653	6,468	6,030	6,099	
Feb	5,975	5,795	5,147	5,456	
Mar	6,937	6,710	6,129	6,304	
	81,141	78,686	73,195	73,815	34,194

From April 2014 there was a change in the method of counting client weeks to align with current guidance, bringing together non-preserved rights client weeks with preserved rights client weeks. Also, clients receiving a respite service are no longer included in this measure and now fall under Support for Carers. The client weeks provided prior to April 2014, shown in the table, have been adjusted to provide comparable figures. Due to the fact that prior year affordable levels did not distinguish between respite and non-respite services, the affordable level cannot be converted into a comparable measure for previous years.



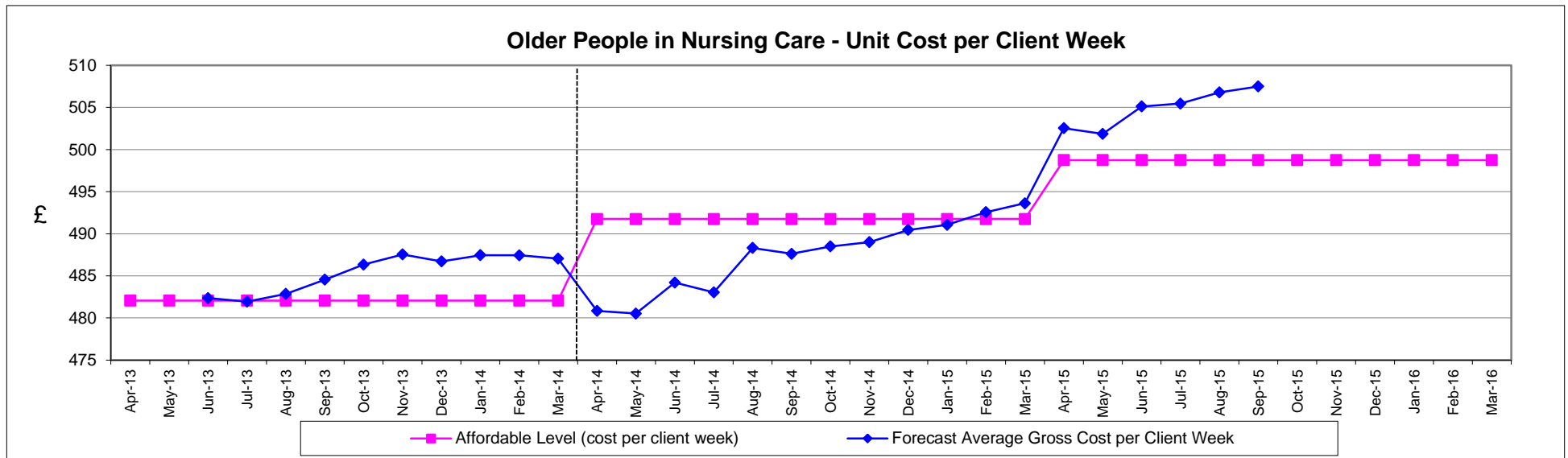
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- The graph reflects the number of client weeks of service provided as this has a greater influence on cost than the actual number of clients. The actual number of clients in older people nursing care at the end of 2013-14 was 1,423, at the end of 2014-15 it was 1,253 and at the end of September 2015 it was 1,260.
- The current forecast is 68,245 weeks of care against an affordable level of 73,815, a difference of -5,570 weeks. Using the forecast unit cost of £507.49, this reduced activity decreases the forecast by -£2,827k, as shown in table 1.
- To the end of September 34,194 weeks of care have been delivered against an affordable level of 37,554, a difference of -3,360 weeks. The year to date activity suggests a lower level of activity than currently forecast. However, it is believed the activity reported is still understated due to delays in updating the activity database, meaning the year to date activity is understated. Work has been ongoing to clear this backlog. The sharp increase in activity in July is due to the initial impact of this work and therefore the July activity reported in the table above not only reflects July activity but also some activity relating to previous months. This is also true, but to a lesser extent, of the August activity.
- We are now making contributions under the Health and Social Care Village model for health commissioning of short-term beds in order to support step down from acute hospital, to reduce demand for this service.

2.7 Average gross cost per client week of older people nursing care compared with affordable level:

	2013-14		2014-15		2015-16	
	Affordable Level (Cost per Week)	Forecast Average Gross Cost per Client Week	Affordable Level (Cost per Week)	Forecast Average Gross Cost per Client Week	Affordable Level (Cost per Week)	Forecast Average Gross Cost per Client Week
	£p	£p	£p	£p	£p	£p
Apr	482.05		491.75	480.83	498.75	502.53
May	482.05		491.75	480.53	498.75	501.86
Jun	482.05	482.37	491.75	484.21	498.75	505.11
Jul	482.05	481.93	491.75	483.04	498.75	505.46
Aug	482.05	482.87	491.75	488.31	498.75	506.79
Sep	482.05	484.55	491.75	487.62	498.75	507.49
Oct	482.05	486.34	491.75	488.50	498.75	
Nov	482.05	487.54	491.75	489.00	498.75	
Dec	482.05	486.72	491.75	490.45	498.75	
Jan	482.05	487.46	491.75	491.06	498.75	
Feb	482.05	487.44	491.75	492.57	498.75	
Mar	482.05	487.05	491.75	493.62	498.75	

- From April 2014 there was a change in the method of counting clients to align with current guidance, bringing together non-preserved rights clients with preserved rights clients. Also, clients receiving a respite service are no longer included in this measure and now fall under Support for Carers. The forecast average gross cost per client prior to April 2014, shown in the table, includes respite in the overall unit cost. A dotted line has been added to the graph to distinguish between the two different counting methodologies, as the data presented is not on a consistent basis and therefore is not directly comparable.
- The affordable unit cost for 2015-16 reflects an estimated price uplift. This affordable level will be updated once the virement referred to in table 1 "Other Adult Services" has been agreed reflecting the outcome of the prices review.



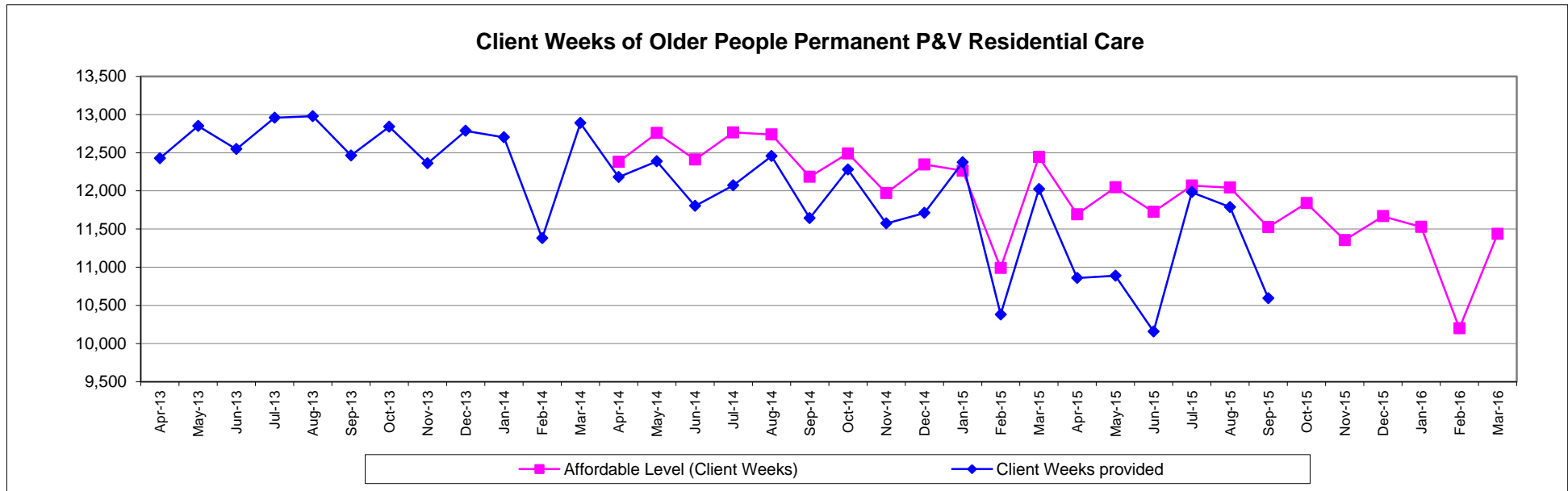
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- As with residential care, the unit cost for nursing care will be affected by the increasing proportion of older people with dementia who need more specialist and expensive care, which is why the unit cost can be quite volatile and in recent months this service has seen an increase of older people requiring this more specialist care.
- The forecast unit cost of +£507.49 is higher than the affordable cost of +£498.75 and this difference of +£8.74 increases the position by +£645k when multiplied by the affordable weeks, as shown in table 1.
- The unit cost for 2015-16 includes the full year effect of the price increase which took effect from October 2014, whereas the unit cost in 2014-15 is an average for the year and therefore only includes a part year effect of this price uplift.

2.8 Number of client weeks of older people permanent P&V residential care provided compared with affordable level:

	2013-14	2014-15		2015-16	
	Client Weeks provided	Affordable Level (Client Weeks)	Client Weeks provided	Affordable Level (Client Weeks)	Client Weeks provided
Apr	12,427	12,381	12,179	11,693	10,858
May	12,849	12,757	12,388	12,046	10,888
Jun	12,547	12,409	11,802	11,723	10,157
Jul	12,959	12,764	12,071	12,068	11,983
Aug	12,978	12,739	12,456	12,041	11,787
Sep	12,463	12,184	11,644	11,524	10,594
Oct	12,839	12,490	12,279	11,839	
Nov	12,360	11,972	11,573	11,355	
Dec	12,787	12,345	11,712	11,667	
Jan	12,701	12,264	12,373	11,527	
Feb	11,380	10,991	10,381	10,199	
Mar	12,887	12,443	12,022	11,437	
	151,177	147,739	142,880	139,119	66,266

From April 2014 there was a change in the method of counting client weeks to align with current guidance, bringing together non-preserved rights client weeks with preserved rights client weeks. Also, clients receiving a respite service are no longer included in this measure and now fall under Support for Carers. Due to the fact that prior year affordable levels did not distinguish between respite and non-respite services, the affordable level cannot be converted into a comparable measure for previous years.



Comments:

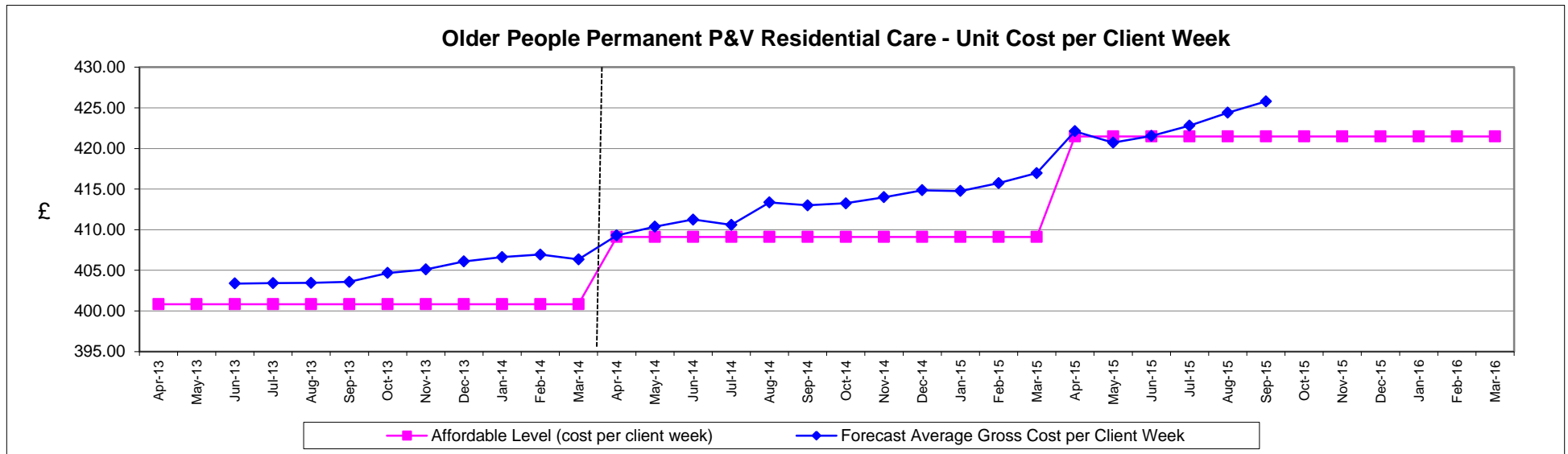
- The above graph reflects the number of client weeks of service provided as this has a greater influence on cost than the actual number of clients. The actual number of clients in older people permanent P&V residential care at the end of 2013-14 was 2,704, at the end of 2014-15 it was 2,480 and at the end of September 2015 it was 2,410 . It is evident that there are ongoing pressures relating to clients with dementia who require a greater intensity of care.
- It is difficult to consider this budget line in isolation, as the Older Person's modernisation strategy has meant that fewer people are being placed in our in-house provision, so we would expect that there will be a higher proportion of permanent placements being made in the independent sector which is masking the extent of the overall reducing trend in residential client activity.
- The current forecast is 129,670 weeks of care against an affordable level of 139,119, a difference of -9,449 weeks. Using the forecast unit cost of £425.79, this reduced activity decreases the forecast by -£4,024k, as shown in table 1.
- To the end of September 66,266 weeks of care have been delivered against an affordable level of 71,095 a difference of -4,829 weeks. This is in line with the current forecast activity variance of -9,449 weeks.
- Due to delays earlier in the year in updating the activity database, work is being undertaken to clear this backlog. The sharp increase in activity in July is due to the initial impact of this work and therefore the July activity reported in the table above not only reflects July activity but also some activity relating to previous months. This is also true, but to a lesser extent, of the August activity.
- We are now making contributions to the Health and Social Care Village model for health commissioning of short-term beds in order to support step down from acute hospital, to reduce demand for this service.

2.9 Average gross cost per client week of older people permanent P&V residential care provided compared with affordable level:

	2013-14		2014-15		2015-16	
	Forecast Average Gross Cost per Client Week £p	Forecast Average Gross Cost per Client Week £p	Affordable Level (Cost per Week) £p	Forecast Average Gross Cost per Client Week £p	Affordable Level (Cost per Week) £p	Forecast Average Gross Cost per Client Week £p
Apr	400.83		409.12	409.31	421.49	422.12
May	400.83		409.12	410.36	421.49	420.72
Jun	400.83	403.38	409.12	411.25	421.49	421.54
Jul	400.83	403.43	409.12	410.59	421.49	422.80
Aug	400.83	403.46	409.12	413.36	421.49	424.41
Sep	400.83	403.59	409.12	413.00	421.49	425.79
Oct	400.83	404.67	409.12	413.25	421.49	
Nov	400.83	405.12	409.12	413.99	421.49	
Dec	400.83	406.10	409.12	414.86	421.49	
Jan	400.83	406.62	409.12	414.76	421.49	
Feb	400.83	406.94	409.12	415.73	421.49	
Mar	400.83	406.35	409.12	416.97	421.49	

- From April 2014 there was a change in the method of counting clients to align with current guidance, bringing together non-preserved rights clients with preserved rights clients. Also, clients receiving a respite service are no longer included in this measure and now fall under Support for Carers. The forecast average gross cost per client prior to April 2014, shown in the table, includes respite in the overall unit cost. A dotted line has been added to the graph to distinguish between the two different counting methodologies, as the data presented is not on a consistent basis and therefore is not directly comparable.
- The affordable unit cost for 2015-16 reflects an estimated price uplift. This affordable level will be updated once the virement referred to in table 1 "Other Adult Services" has been agreed reflecting the outcome of the prices review.

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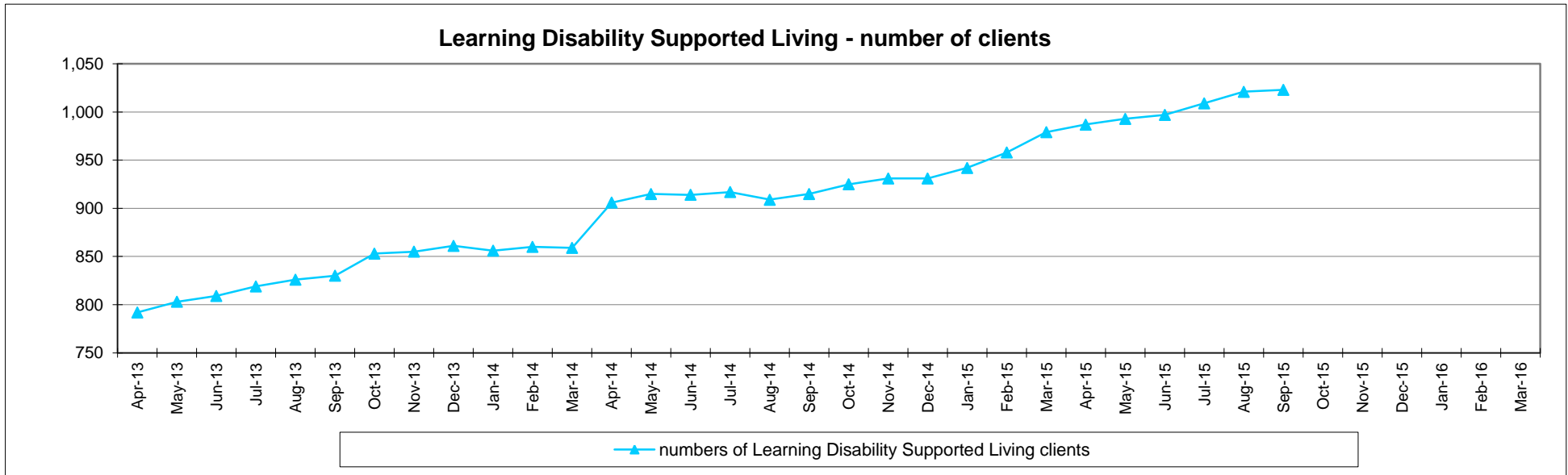
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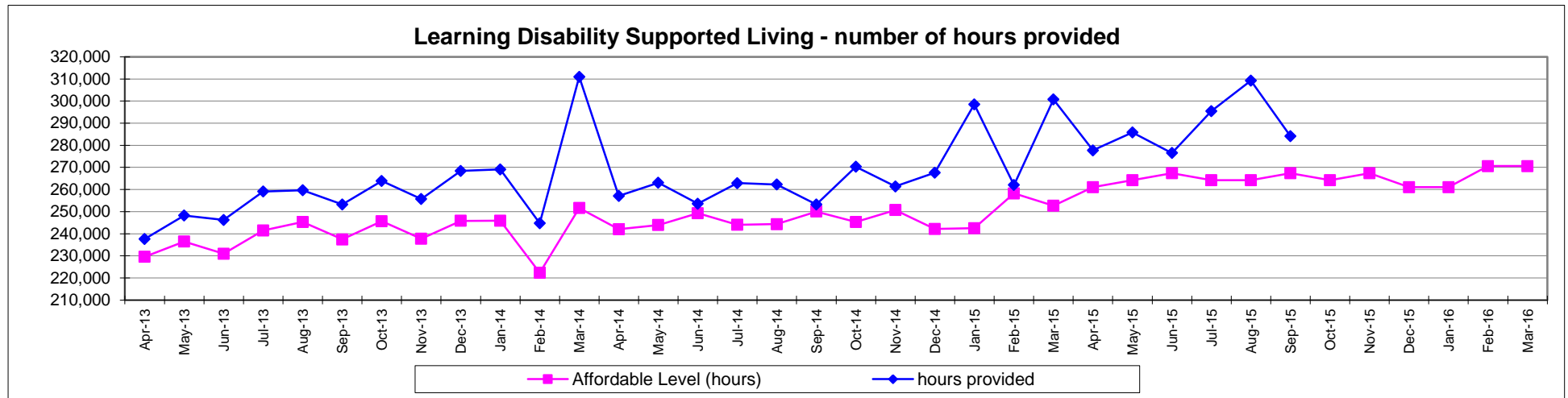
- The forecast unit cost of +£425.79 is higher than the affordable cost of +£421.49 and this difference of +£4.30 adds +£598k to the position when multiplied by the affordable weeks, as shown in table 1.
- This general increasing trend in average unit cost is likely to be due to the higher proportion of clients with dementia, who are more costly due to the increased intensity of care required, as outlined above. New cases are likely to enter the service at higher unit costs, reflecting the fact that only those with higher needs are directed towards residential care, while those with lower needs are directed towards other forms of support.

2.10 Learning Disability Supported Living – numbers of clients and hours provided in the independent sector

	2013-14			2014-15			2015-16		
	Affordable level (hours)	hours provided	number of clients	Affordable level (hours)	hours provided	number of clients	Affordable level (hours)	hours provided	number of clients
Apr	229,595	237,586	792	242,016	257,102	906	261,050	277,711	987
May	236,463	248,239	803	243,920	263,101	915	264,234	285,786	993
Jun	230,924	246,245	809	249,306	253,552	914	267,418	276,507	997
Jul	241,526	259,125	819	244,064	262,906	917	264,234	295,434	1,009
Aug	245,366	259,688	826	244,360	262,245	909	264,234	309,295	1,021
Sep	237,459	253,230	830	250,030	253,263	915	267,418	284,119	1,023
Oct	245,710	263,849	853	245,304	270,298	925	264,234		
Nov	237,732	255,747	855	250,730	261,412	931	267,418		
Dec	245,833	268,439	861	242,207	267,598	931	261,050		
Jan	245,925	269,112	856	242,547	298,520	942	261,050		
Feb	222,397	244,716	860	258,264	262,038	958	270,601		
Mar	251,616	310,965	859	252,712	300,749	979	270,601		
	2,870,543	3,116,941		2,965,460	3,212,783		3,183,542	1,728,852	

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Comments:

- This indicator has changed for 2015-16 and now excludes activity relating the adult placement scheme as this is now reported within a separate budget line. This measure continues to incorporate 2 different supported living arrangements; supported accommodation (mainly S256 clients) and Supporting Independence Service. Services for individual clients are commissioned in either sessions or hours, however for the purposes of this report, sessions are converted into hours on a standard basis. In addition, the details of the number of clients in receipt of these services is given on a monthly basis. Activity for 2013-14 and 2014-15 has also been restated to exclude the adult placement scheme to ensure data is directly comparable.
- The current forecast is 3,511,769 hours of care against an affordable level of 3,183,542, a difference of +328,227 hours. Using the forecast unit cost of £9.86, this increased activity increases the forecast by +£3,236k, as shown in table 1.
- To the end of September 1,728,852 hours of care have been delivered against an affordable level of 1,588,588, a difference of +140,264 hours. The forecast number of hours reflects an increase in activity expected in future months which is also reflected in the profile of the budgeted level. However, the year to date activity still suggests a lower level of activity than currently forecast, which is mainly due to a delay in the recording of transitional and provisional clients on the activity database. Such delays are intrinsic to this service as a result of the channels through which referrals take place, i.e. ordinary residence cases, where complex negotiations are involved to determine the point at which different local authorities have responsibility for clients, in addition to the number of bespoke contracts that have to be agreed individually with providers.

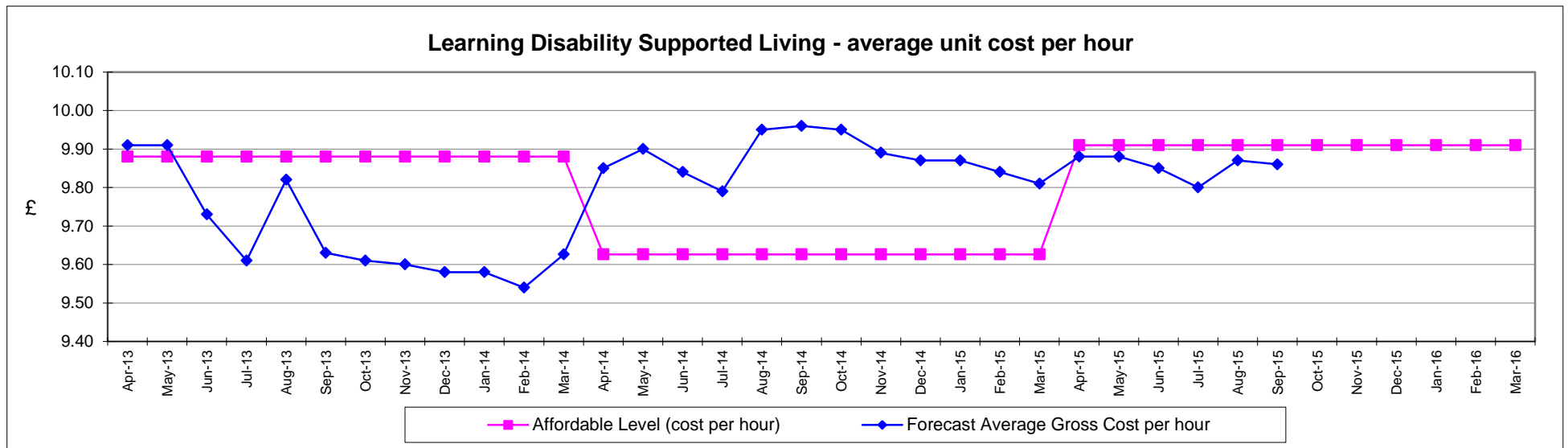
2.11 Average gross cost per hour of Supported Living service compared with affordable level:

	2013-14		2014-15		2015-16	
	Affordable Level (Cost per Hour) £p	Forecast Average Gross Cost per Hour £p	Affordable Level (Cost per Hour) £p	Forecast Average Gross Cost per Hour £p	Affordable Level (Cost per Hour) £p	Forecast Average Gross Cost per Hour £p
Apr	9.88	9.91	9.63	9.85	9.91	9.88
May	9.88	9.91	9.63	9.90	9.91	9.88
Jun	9.88	9.73	9.63	9.84	9.91	9.85
Jul	9.88	9.61	9.63	9.79	9.91	9.80
Aug	9.88	9.82	9.63	9.95	9.91	9.87
Sep	9.88	9.63	9.63	9.96	9.91	9.86
Oct	9.88	9.61	9.63	9.95	9.91	
Nov	9.88	9.60	9.63	9.89	9.91	
Dec	9.88	9.58	9.63	9.87	9.91	
Jan	9.88	9.58	9.63	9.87	9.91	
Feb	9.88	9.54	9.63	9.84	9.91	
Mar	9.88	9.63	9.63	9.81	9.91	

Comments:

- This measure comprises 2 distinct client groups and each group has a very different unit cost, which are combined to provide an average unit cost for the purposes of this report.
- The costs associated with these placements will vary depending on the complexity of each case and the type of support required in each placement. This varies enormously between a domiciliary type support to life skills and daily living support.
- The forecast unit cost of +£9.86 is lower than the affordable cost of +£9.91 and this difference of -£0.05 reduces the position by -£159k when multiplied by the affordable hours, as shown in table 1.
- The affordable unit cost for 2015-16 reflects an estimated price uplift. This affordable level will be updated once the virement referred to in table 1 "Other Adult Services" has been agreed reflecting the outcome of the prices review.

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2.12 SOCIAL CARE DEBT MONITORING

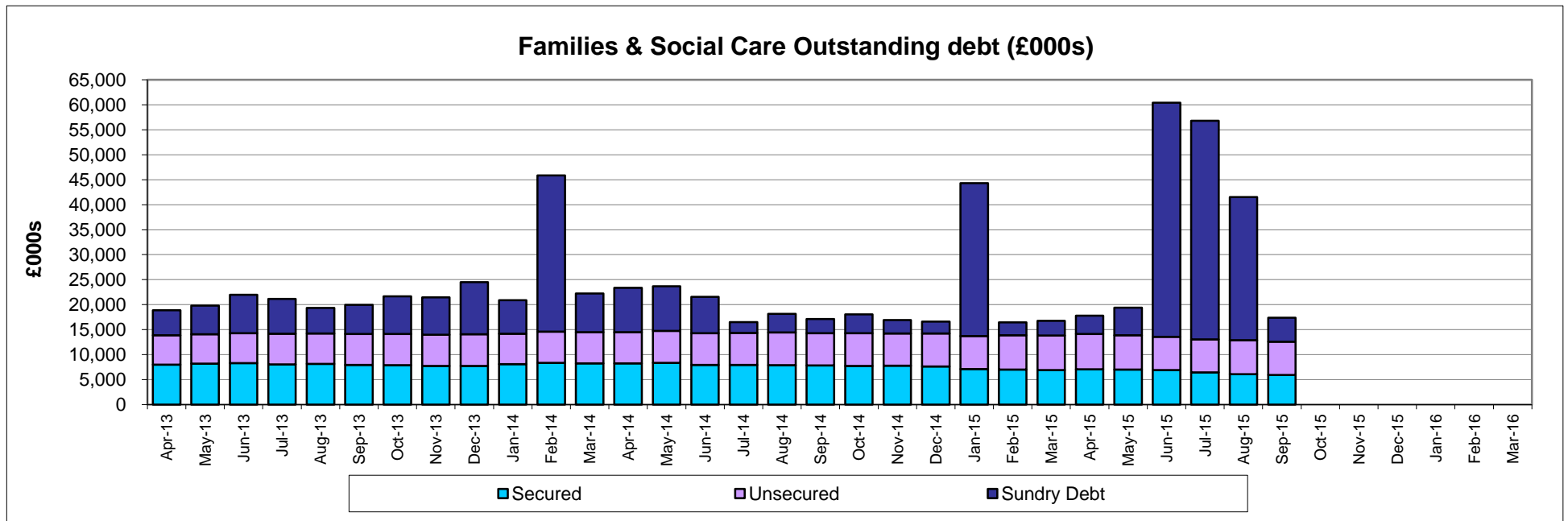
The outstanding debt as at the end of September was £17.391m compared with August's figure of £41.514m excluding any amounts not yet due for payment (as they are still within the 28 day payment term allowed). Within this figure is £4.794m of sundry debt compared to £28.648m in August. It is not unusual for sundry debt to fluctuate for large invoices to Health. As previously reported, in June invoices were raised across the East Kent Clinical Commissioning Groups (CCGs) for the Better Care Fund (BCF) totalling £43m. There is minimal risk around this debt as it is secured by a signed Section 75 agreement, meaning that the CCGs are legally obliged to pay. Payments are being received monthly with 6 instalments received up to the end of September. However, from September, the remaining BCF debt has been moved onto a payment plan to reflect the agreed monthly profile of anticipated income receipts and will only show as outstanding debt in the table below if an instalment is not received on time.

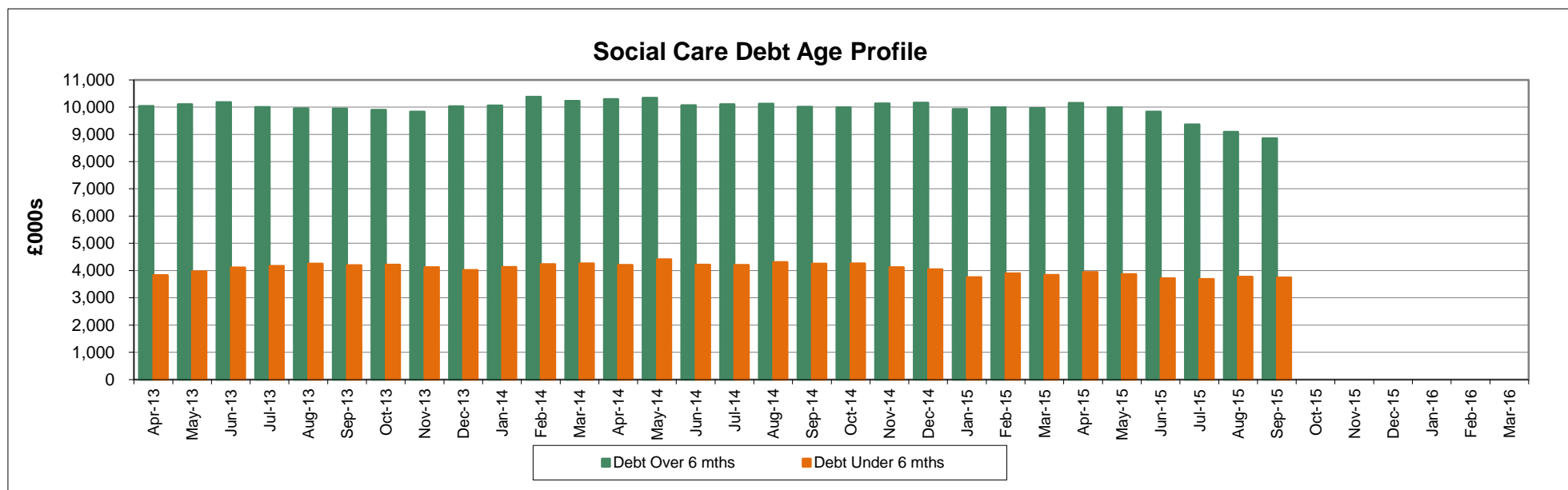
Also within the outstanding debt is £12.597m relating to Social Care (client) debt which is a reduction of £0.269m from the August position. The following table shows how this breaks down in terms of age and also whether it is secured (i.e. by a legal charge on the client's property) or unsecured, together with how this month compares with previous months. For most months the debt figures refer to when the four weekly invoice billing run interfaces with Oracle (the accounting system) rather than the calendar month, as this provides a more meaningful position for Social Care Client Debt. This therefore means that there are 13 billing invoice runs during the year. The sundry debt figures are based on calendar months.

	Total Due Debt (Social Care & Sundry Debt) £000s	Sundry Debt £000s	Social Care Debt				
			Total Social Care Due Debt £000s	Debt Over 6 months £000s	Debt Under 6 months £000s	Secured £000s	Unsecured £000s
Apr-14	23,374	8,884	14,490	10,288	4,202	8,220	6,270
May-14	23,654	8,899	14,755	10,342	4,413	8,353	6,402
Jun-14	21,579	7,289	14,290	10,071	4,219	7,944	6,346
Jul-14	16,503	2,187	14,316	10,108	4,208	7,927	6,389
Aug-14	18,138	3,707	14,431	10,122	4,309	7,882	6,549
Sep-14	17,119	2,849	14,270	10,015	4,255	7,805	6,465
Oct-14	18,060	3,808	14,252	9,992	4,260	7,709	6,543
Nov-14	16,907	2,658	14,249	10,131	4,118	7,777	6,472
Dec-14	16,612	2,406	14,206	10,160	4,046	7,624	6,582
Jan-15	44,315	30,632	13,683	9,926	3,757	7,079	6,604
Feb-15	16,425	2,538	13,887	9,996	3,891	6,973	6,914
Mar-15	16,757	2,955	13,802	9,962	3,840	6,915	6,887
Apr-15	17,764	3,669	14,095	10,155	3,940	7,069	7,026

	Social Care Debt						
	Total Due Debt (Social Care & Sundry Debt)	Sundry Debt	Total Social Care Due Debt	Debt Over 6 months	Debt Under 6 months	Secured	Unsecured
	£000s	£000s	£000s	£000s	£000s	£000s	£000s
May-15	19,391	5,534	13,857	9,994	3,863	7,009	6,848
Jun-15	60,443	* 46,885	13,558	9,837	3,721	6,885	6,673
Jul-15	56,795	* 43,741	13,054	9,366	3,688	6,417	6,637
Aug-15	41,514	* 28,648	12,866	9,090	3,776	6,075	6,791
Sep-15	17,391	4,794	12,597	8,854	3,743	5,913	6,684
Oct-15							
Nov-15							
Dec-15							
Jan-16							
Feb-16							
Mar-16							

* incl. BCF debt of £42,867k
 * incl. BCF debt of £39,295k
 * incl. BCF debt of £25,006k
 From Sept 15, the remaining BCF debt has been moved onto a payment plan and will only show in these figures if a monthly instalment is not received on time.





With regard to Social Care debt, the tables below show the current breakdown and movement since last month of secured, unsecured and health debt, together with a breakdown of unsecured debt by client group.

Social Care debt by Customer Credit Status	August £000s	September £000s	Movement £000s
Secured	6,075	5,913	-162
Unsecured - Deceased/Terminated Service	1,830	1,782	-48
Unsecured - Ongoing	4,914	4,859	-55
Caution/Restriction (Unsecured)	42	41	-1
Health (Unsecured)	5	2	-3
TOTAL	12,866	12,597	-269

Unsecured debt by Client Group	August £000s	September £000s	Movement £000s
Older People/Physical Disability	6,318	6,241	-77
Learning Disability	344	315	-29
Mental Health	129	128	-1
TOTAL	6,791	6,684	-107

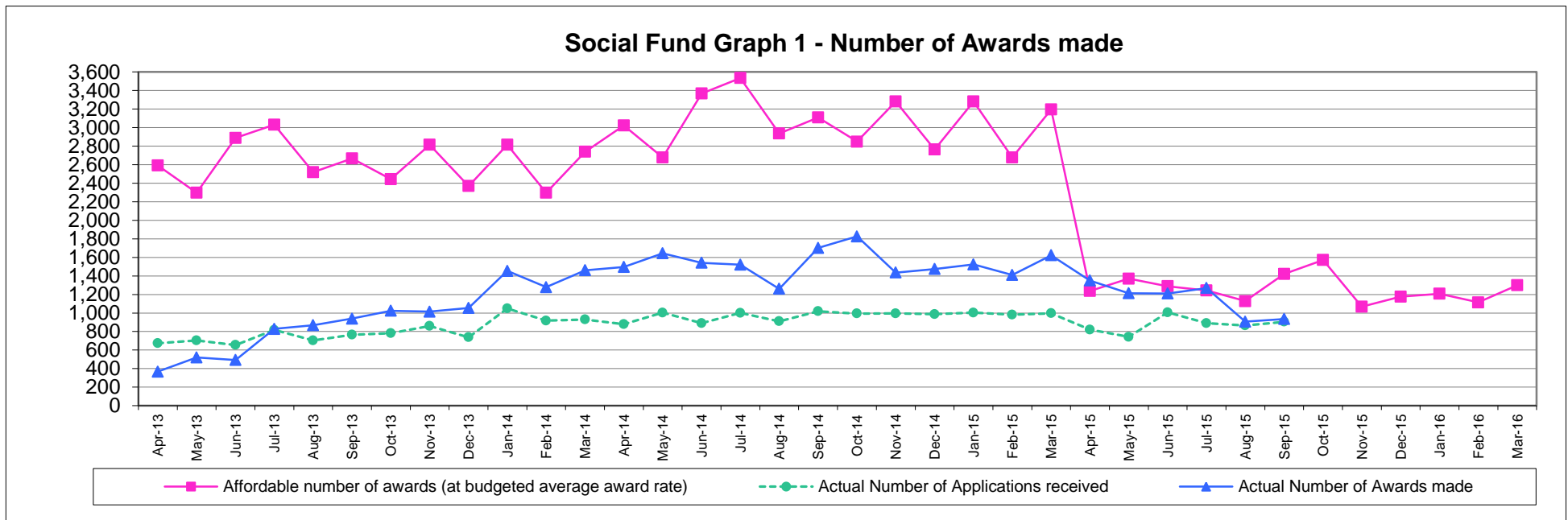
2.13 Number and Value of Social Fund awards made

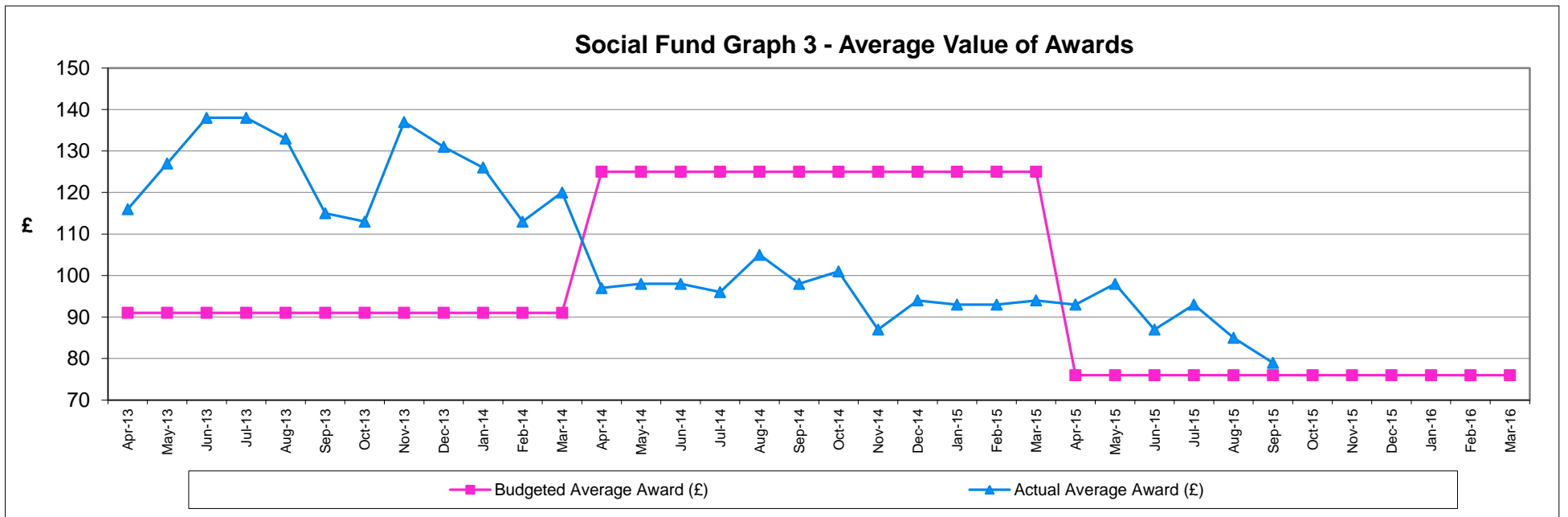
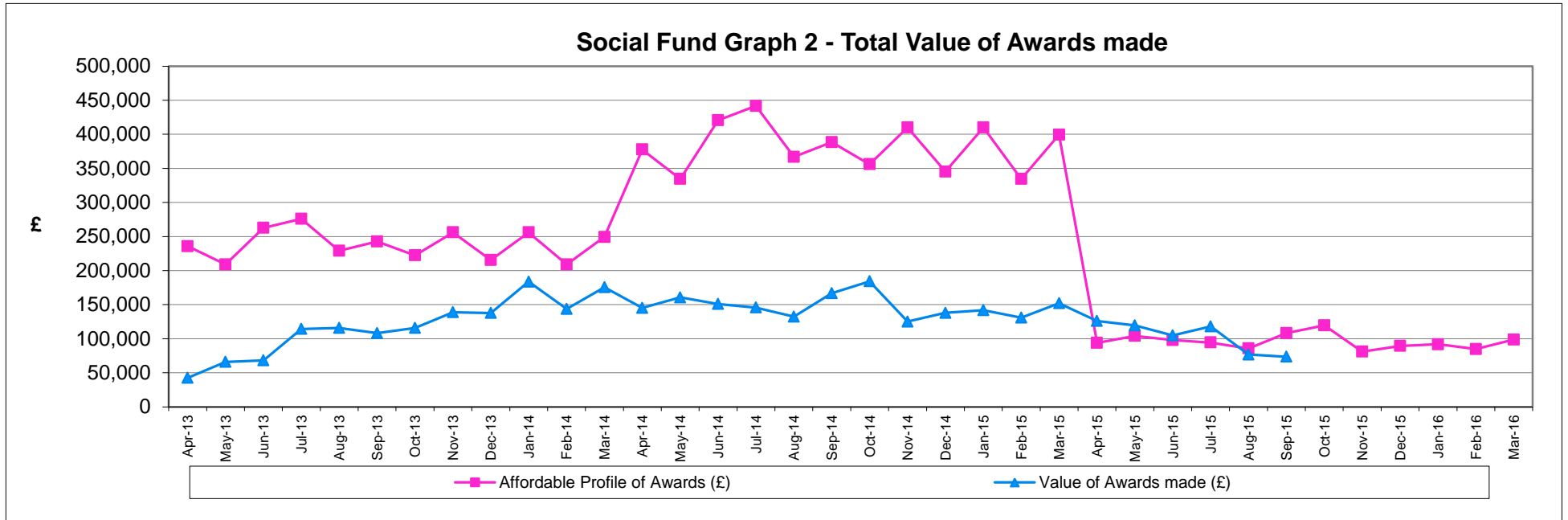
		(a) *	(b)	(c)	(d) *	(e)	(d) / (a)	(e) / (c)
		Affordable number of awards (at budgeted average award rate)	Actual number of applications received	Actual number of awards made	Affordable profile of awards (£)	Value of awards made (£)	Budgeted average award (£)	Actual average award (£)
2013-14	Apr	2,591	673	368	235,800	42,620	91	116
	May	2,296	704	520	208,900	65,907	91	127
	Jun	2,887	655	494	262,700	68,201	91	138
	Jul	3,031	818	828	275,800	114,188	91	138
	Aug	2,518	704	869	229,100	115,811	91	133
	Sep	2,666	766	939	242,600	108,237	91	115
	Oct	2,443	783	1,025	222,300	115,778	91	113
	Nov	2,813	861	1,015	256,000	138,738	91	137
	Dec	2,369	738	1,054	215,600	137,748	91	131
	Jan	2,813	1,050	1,453	256,000	183,774	91	126
	Feb	2,296	918	1,278	208,900	143,813	91	113
	Mar	2,739	930	1,460	249,300	175,416	91	120
			31,462	9,600	11,303	2,863,000	1,410,231	91
2014-15	Apr	3,021	880	1,496	377,600	145,043	125	97
	May	2,677	1,003	1,644	334,600	160,674	125	98
	Jun	3,366	891	1,541	420,700	151,071	125	98
	Jul	3,534	1,001	1,520	441,700	145,708	125	96
	Aug	2,935	911	1,261	366,900	132,206	125	105
	Sep	3,108	1,018	1,701	388,500	166,819	125	98
	Oct	2,848	994	1,826	356,000	184,200	125	101
	Nov	3,280	996	1,436	410,000	125,165	125	87
	Dec	2,762	988	1,474	345,300	137,907	125	94
	Jan	3,280	1,004	1,523	410,000	141,708	125	93
	Feb	2,677	981	1,410	334,600	130,743	125	93
	Mar	3,194	997	1,622	399,300	152,114	125	94
			36,682	11,664	18,454	4,585,200	1,773,358	125

* Columns (a) and (d) are based on available funding which has been profiled by month and type of award (excluding cash awards) in the same ratio as the previous DWP scheme. As the criteria and awards for the scheme differ to the DWP scheme, this does not represent the anticipated demand for the scheme, but represents the maximum affordable level should sufficient applications be received which meet the criteria. *Please note as the data for 2013-14, the first year of our pilot scheme, includes increasing levels of activity as the service commenced, it is not considered to represent a typical year.*

One application may result in more than one award, e.g. an award for food & clothing and an award for utilities, hence the number of awards in column (c) may exceed the number of applications in column (b).

	(a) *	(b)	(c)	(d) *	(e)	(d) / (a)	(e) / (c)
	Affordable number of awards (at budgeted average award rate)	Actual number of applications received	Actual number of awards made	Affordable profile of awards (£)	Value of awards made (£)	Budgeted average award (£)	Actual average award (£)
2015-16	Apr	1,237	821	1,350	94,000	125,979	76
	May	1,370	742	1,214	104,100	119,356	76
	Jun	1,288	1,007	1,210	97,900	104,865	76
	Jul	1,242	891	1,269	94,400	117,923	76
	Aug	1,128	865	907	85,700	76,786	76
	Sep	1,422	905	936	108,100	73,593	76
	Oct	1,571			119,400		76
	Nov	1,067			81,100		76
	Dec	1,176			89,400		76
	Jan	1,208			91,800		76
	Feb	1,114			84,700		76
	Mar	1,299			98,700		76
		15,122	5,231	6,886	1,149,300	618,502	76





Comments:

- The pilot scheme commenced in Kent on 1 April 2013 and differed from the previous cash-based Social Fund scheme, previously administered by DWP. The Kent Local Welfare Scheme offers emergency help to those experiencing a crisis; a disaster; or who are in need of help to make the transition into or remain within the local community. This scheme offers 4 types of award including food & clothing, furniture & white goods, energy vouchers and advice & guidance. In addition, all applicants, regardless of whether they receive an award or not, are signposted to the appropriate service to address any causal or underlying needs. This is an emergency fund and is targeted towards the most vulnerable in society. The figures provided in the table and represented in the graphs above reflect a combined average of these 4 types of award.
- All applications are immediately prioritised with the intention that high priority applications should receive the award within 24 hours. Medium and low priority applications are assessed within a longer timeframe e.g. applications for furniture from low risk households. Therefore, actual awards made in any month can exceed the number of applications for the month, either due to the processing of low priority cases from previous months, or as a result of individual applications resulting in multiple awards being granted, as referred to above.
- From April 2013 to March 2015, the scheme was funded from a Government grant. Due to uncertainty about both future levels of demand and government funding, the funding for awards in 2013-14 was ring-fenced and rolled forward to 2014-15 to provide some stability to the service and this roll forward is reflected in the 2014-15 affordable level as shown in the table above. Following the Government announcement to incorporate the Local Welfare Assistance Grant within the Revenue Support Grant (RSG) from 2015-16, the budget for this service as shown in table 1 is now £1,481.5k, in line with the amount identified by Government as being included within our RSG for welfare provision. Within this £332.2k is the cost of administering the scheme, including signposting applicants to alternative appropriate services, and £1,149.3k is available to award where appropriate (column d in the table above).
- **Graph 1** above represents the number of individual awards granted, (there could be multiple awards arising from an individual application), compared to (i) the number of applications received and (ii) the affordable number of awards, as calculated using the budgeted average award rate, which is the maximum number of awards that can be afforded, not the anticipated level of demand. In the early months of 2013-14 the number of applications received was higher than the number of awards made, which predominately reflected that applications for cash awards were being received in line with the old DWP scheme, but this type of award is not generally offered as part of the Kent Local Welfare Scheme. Initially there were also a number of inappropriate referrals being made whereby the applicant did not qualify. However, the number of awards made is now higher than the number of applications received illustrating that a greater proportion of relevant applications are being received along with some applications resulting in more than one award e.g. an award for food and clothing and an award for energy vouchers.

- **Graph 2** represents the value of awards made against the maximum profiled funding available. In the first 4 months of the year, the value of the awards made has been higher than the affordable level, as the service adjusts to the reduction in budget. However in the past two months this trend has reversed, and is likely to be in part due to the recently agreed changes to the scheme aimed at reducing the overall value of individual awards. The graph illustrates the rise in total monthly award values as the scheme matured during the first year and as the service has successfully signposted applicants to support and advice in their own communities. Changes to welfare reform may impact on the number and overall value of awards in future months. The number and value of awards shown in the table above represents the number and value of awards approved. Although awards are approved for individuals in dire need, not all approved awards are taken up for a variety of reasons. The financial outturn will reflect the value of awards actually paid, therefore will not necessarily match the value of awards approved as shown in the table above.
- **Graph 3** compares the budgeted average award value, based on the anticipated mix and value of awards, to the actual average award. Using DWP data, and excluding cash awards, it was anticipated that the majority of awards for this scheme would be for food & clothing, high volume & low value, and therefore the budgeted average award for 2013-14 was set with this in mind at £91. The affordable average award value was revised for 2014-15 to match the actual average award value for 2013-14 of £125. This increase in the budgeted average award value from £91 to £125 reflected a higher than expected number of awards in 2013-14 for furniture & equipment which have a higher award value. In line with the revised funding arrangement from 2015-16 the overall cash limit for awards has been reduced to £1,149.3k. Accordingly, the affordable average award value has been reduced to £76 (from the previously reported figure of £96 included in the Outturn report presented to Cabinet in July) to reflect recently agreed changes to the scheme aimed at reducing the overall value of individual awards.

To the end of September 2015, 39% of the number of awards have been for food & clothing representing 36% of the value of awards (the percentages were 36% and 32% respectively in 2014-15). Whilst, Furniture & equipment (incl white goods) accounts for 38% of the number of awards but 54% of the value of awards (the percentages were 39% and 57% respectively in 2014-15). These ratios are largely unchanged from the same period in 2014. The reduction in average award value from £93 in July 2015 to £79 in September 2015 is a reflection of the recently agreed changes to the scheme. The forecast for this service assumes the level of activity experienced in August and September 2015 will be maintained for the remainder of the year resulting in a balanced position currently being forecast for this service, as reflected in table 1. However, this will be reviewed in future months to assess the full impact of the recent changes to the scheme.

The awards figures across the Christmas periods include the impact of both energy and food awards being issued for 14 days rather than the normal 7 days to ensure continuity of provision. The scheme has also responded to peaks in demand from civil emergencies such as the floods in December 2013 and more recently the Canterbury fire in July 2015.

3. CAPITAL

3.1 The Social Care, Health and Wellbeing Directorate - Adult Services has a working budget for 2015-16 of £51,070k (£13,292k excluding PFI). The forecast outturn against the 2015-16 budget is £10,932k (£7,189k excluding PFI) giving a variance of -£40,138k (-£6,103k excluding PFI).

3.2 **Table 2** below details the SCH&W - Adult Services Capital Position by Budget Book line.

Budget Book Heading	2015-16 cash limit per budget book (£000)	2015-16 Working Budget (£000)	2015-16 Variance (£000)	Variance Break-down (£000)	Rephasing / Real Variance and Funding Stream	Explanation of In-Year Variance >£100k	Project Status ¹	Explanation of Project Status	Actions
Rolling Programmes									
Home Support Fund & Equipment	3,120	3,957	-341	-341	Real: revenue	Reflects the lower than anticipated demand for telecare equipment resulting in a reduced revenue contribution to capital.	Green		
Individual Projects									
Kent Strategy for Services for Older People (OP):									
Think Autism	0	2	0	0			Green		

Budget Book Heading	2015-16 cash limit per budget book (£000)	2015-16 Working Budget (£000)	2015-16 Variance (£000)	Variance Break-down (£000)	Rephasing / Real Variance and Funding Stream	Explanation of In-Year Variance >£100k	Project Status ¹	Explanation of Project Status	Actions
OP Strategy - Specialist Care Facilities	4,089	3,162	-3,162	-3,162	Rephasing	The Accommodation Strategy has identified a need to incentivise the market in Swale and Sandwich alongside the consultation of the future of the KCC care homes in those areas. Market engagement has commenced in Swale and will commence on the Sandwich project in the next six months which will inform what capital investment is needed. However, a formal procurement exercise will be required for both projects. Therefore the budget is being rephased into 2016-17.	Green	Rephasing to 2016-17 previously reported.	

Budget Book Heading	2015-16 cash limit per budget book (£000)	2015-16 Working Budget (£000)	2015-16 Variance (£000)	Variance Break-down (£000)	Rephasing / Real Variance and Funding Stream	Explanation of In-Year Variance >£100k	Project Status ¹	Explanation of Project Status	Actions
Kent Strategy for Services for People with Learning Difficulties/Physical Disabilities:									
Learning Disability Good Day Programme-Community Hubs	0	1,443	-715	-715	Rephasing	The KCC Asset Management Strategy stipulates a requirement to review all KCC	Amber		
Learning Disability Good Day Programme-Community Initiatives	0	651	-463	-463	Rephasing	properties when looking for alternative accommodation. In order to meet this requirement some projects are being rephased into next year.	Amber		
Active Care / Active Lives Strategy:									
PFI - Excellent Homes for All - Development of new Social Housing for vulnerable people in Kent	19,071	37,778	-34,035	-34,035	Rephasing	Unforeseen contamination of sites in the form of asbestos has impacted on the start of construction of the new buildings as the sites needed to be cleared and decontaminated. The asset will be recognised on Balance Sheet once construction is complete.	Amber	Five out of the seven sites are scheduled for completion next financial year.	

Budget Book Heading	2015-16 cash limit per budget book (£000)	2015-16 Working Budget (£000)	2015-16 Variance (£000)	Variance Break-down (£000)	Rephasing / Real Variance and Funding Stream	Explanation of In-Year Variance >£100k	Project Status ¹	Explanation of Project Status	Actions
Developing Innovative and Modernising Services:									
Information Technology Projects	0	300	-43	-43			Green		
Lowfield St (formerly Trinity Centre, Dartford)	968	976	0	0			Amber	Project on hold due to development of site not progressing. In further negotiations with all parties on how to proceed.	
Care Act ICT Implementation	1,312	1,312	-1,312	-1,312	Rephasing	System reviews will start next month to ascertain what developments are required to support the Care Act implementation and changes to business processes. Extended Government deadlines have allowed more time to scope this project.	Amber	Budget to be rephased to 2016-17 in line with extended deadlines.	
Wheelchair Accessible Housing	600	600	-67	-67	Real: developer contributions		Green		
Developer Funded Community Schemes	889	889	0	0			Green		
Total	30,049	51,070	-40,138	-40,138					

1. Status:

Green – on time and within budget

Amber – either delayed completion date or over budget

Red – both delayed completion and over budget

SOCIAL CARE, HEALTH & WELLBEING DIRECTORATE
PUBLIC HEALTH
SEPTEMBER 2015-16 MONITORING REPORT

1. REVENUE

1.1	Cash Limit	Variance Before transfer to Public Health Reserve	Transfer to Public Health Reserve	Net Variance after transfer to Public Health Reserve
Total (£k)	-193	-4,543	+510	-

- 1.2.1 As reported to Cabinet on 6 July in the first monitoring report for 2015-16, the Government announced that £200m of in year savings from the Department of Health are to come from public health budgets devolved to local authorities. National consultation setting out possible options on reducing Local Authority (LA) public health allocations ran from 31 July to 28 August. The options included:
- (1) take a larger share from LAs that are significantly above their target allocation;
 - (2) take a larger share of the savings from LAs that carried forward unspent PH reserves into 2015-16;
 - (3) apply a flat rate percentage reduction to all LAs allocations;
 - (4) apply a standard percentage reduction to every LA unless an authority can show that this would result in particular hardship.
- The Department of Health's stated preferred option was to apply a 6.2% reduction across the board (option 3 above), which for Kent equates to a cut in funding of £4.033m. On this basis, the service has identified options for dealing with an in-year 2015-16 budget reduction of this level, but a reduction of this size requires cuts to service levels.
- Our response to the consultation was that option 1 was our preferred option. Kent is currently below our target allocation.
- On 4 November, the DoH announced that, despite their preferred option only being backed by a quarter of respondents to the consultation, on balance this remains their preference as it is the option most consistent with the underpinning principles for managing the saving that the DoH has set out: it delivers the £200 million, it is the least disruptive to services and it is compliant with the Public Sector Equality Duty and the health inequality duty. The saving will be implemented through a reduction to the fourth quarterly instalment of the PH grant. Table 1 identifies the services we are proposing to reduce as a result of this in year grant cut (as shown in green font in the variances column) and has been agreed in conjunction with the Cabinet Member for Adult Social Care & Public Health. **Cabinet is asked to agree** these proposals so that the cash limits can be reduced and reflected accordingly in future reports.

1.2.2 Table 1 below details the revenue position by A-Z budget:

Budget Book Heading	Cash Limit			Variance	Explanation		Management Action/ Impact on MTFP/Budget Build
	Gross	Income	Net	Net			
	£'000	£'000	£'000	£'000	£'000		
Social Care, Health & Wellbeing - Public Health							
Strategic Management & Directorate Support Budgets	1,095.0	-1,095.0	0.0	-22	-22	Public health grant variance: Other minor variances.	
Public Health:							
- Children's Public Health Programmes: 0-5 year olds Health Visiting Service	11,894.0	-11,894.0	0.0	0			
- Other Children's Public Health Programmes	9,403.6	-9,403.6	0.0	-137	-137	Reduction in services required as a result of the in year cut in Public Health grant.	
- Drug & Alcohol Services	15,948.3	-15,948.3	0.0	-698	-698	Reduction in services required as a result of the in year cut in Public Health grant.	
- Obesity & Physical Activity	2,536.7	-2,536.7	0.0	-189	-189	Reduction in services required as a result of the in year cut in Public Health grant.	
- Public Health - Mental Health Adults	2,546.2	-2,546.2	0.0	-145	-145	Reduction in services required as a result of the in year cut in Public Health grant.	
- Public Health Staffing, Advice & Monitoring	4,221.3	-4,221.3	0.0	-1,081	-156	Public health grant variance: Staffing underspend due to vacancies.	
					-925	Reduction in services required as a result of the in year cut in Public Health grant.	
- Sexual Health Services	13,750.1	-13,750.1	0.0	-292	-180	Public health grant variance: Reduction in revenue contribution to capital due to re-phasing of the Community Sexual Health Services capital scheme to 2016-17.	
					-112	Public health grant variance: reduced forecast in activity based contract following reconciliation of quarter 1 activity data.	

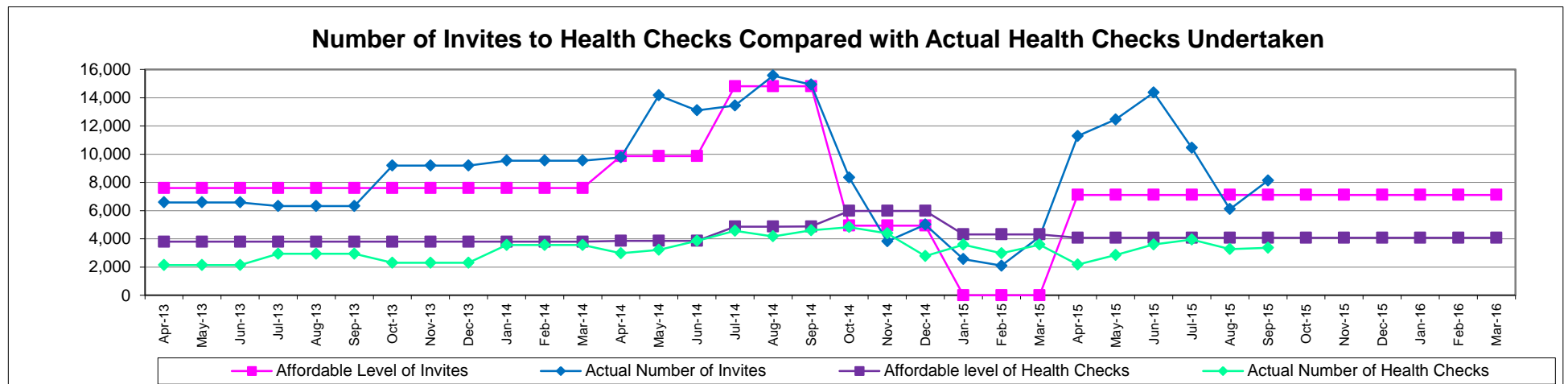
Budget Book Heading	Cash Limit			Variance	Explanation		Management Action/ Impact on MTFP/Budget Build
	Gross	Income	Net	Net	£'000		
	£'000	£'000	£'000	£'000	£'000		
- Targeting Health Inequalities	6,533.4	-6,726.6	-193.2	-1,505	-40	<i>Public health grant variance: reduced forecast in activity based contract following reconciliation of quarter 1 activity data.</i>	
					-1,465	<i>Reduction in services required as a result of the in year cut in Public Health grant.</i>	
- Tobacco Control & Stop Smoking Services	3,450.0	-3,450.0	0.0	-474	-474	<i>Reduction in services required as a result of the in year cut in Public Health grant.</i>	
	71,378.6	-71,571.8	-193.2	-4,543			
- <i>trf to(+)/from(-) Public Health reserve</i>				+510	+510	<i>Net transfer to the Public Health reserve to offset the public health variances of -£832k shown above.</i>	
- <i>reduction in Public Health gross cash limits as a result of the in year government funding cut, still to be actioned</i>				+4,033	+4,033	<i>Cabinet is asked to agree to the reductions in cash limits against the individual A-Z service lines as identified by the savings shown in green above</i>	
Total SCH&W (Public Health)	71,378.6	-71,571.8	-193.2	0			

2. KEY ACTIVITY INDICATORS AND BUDGET RISK ASSESSMENT MONITORING

2.1 Number of Health Check invites compared to number of Health Checks undertaken

	2013-14				2014-15				2015-16			
	Invites		Checks		Invites		Checks		Invites		Checks	
	Budget level	actual	Budget level	actual	Budget level	actual	Budget level	actual	Budget level	actual	Budget level	actual
Apr					9,877	9,776	3,860	2,984	7,121	11,287	4,074	2,189
May	22,810	19,761	11,405	6,455	9,877	14,169	3,860	3,225	7,120	12,464	4,075	2,855
Jun					9,878	13,108	3,862	3,865	7,120	14,363	4,074	3,601
Jul					14,816	13,457	4,874	4,572	7,120	10,463	4,075	3,948
Aug	22,810	18,996	11,405	8,836	14,816	15,577	4,875	4,179	7,120	6,117	4,074	3,279
Sep					14,816	14,933	4,876	4,613	7,120	8,127	4,075	3,372
Oct					4,939	8,345	5,987	4,837	7,120		4,074	
Nov	22,810	27,608	11,405	6,924	4,939	3,831	5,988	4,389	7,120		4,075	
Dec					4,938	5,014	5,989	2,782	7,120		4,074	
Jan					0	2,568	4,324	3,594	7,120		4,075	
Feb	22,811	28,639	11,406	10,709	0	2,099	4,325	2,988	7,120		4,074	
Mar					0	4,153	4,325	3,595	7,120		4,074	
TOTAL	91,241	95,004	45,621	32,924	88,896	107,030	57,145	45,623	85,441	62,821	48,893	19,244

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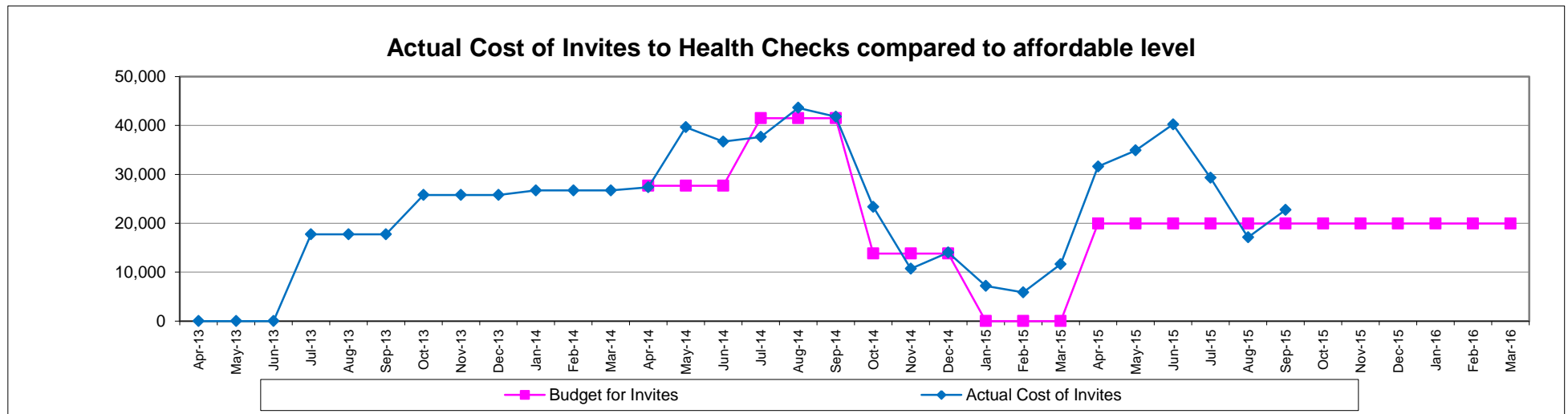
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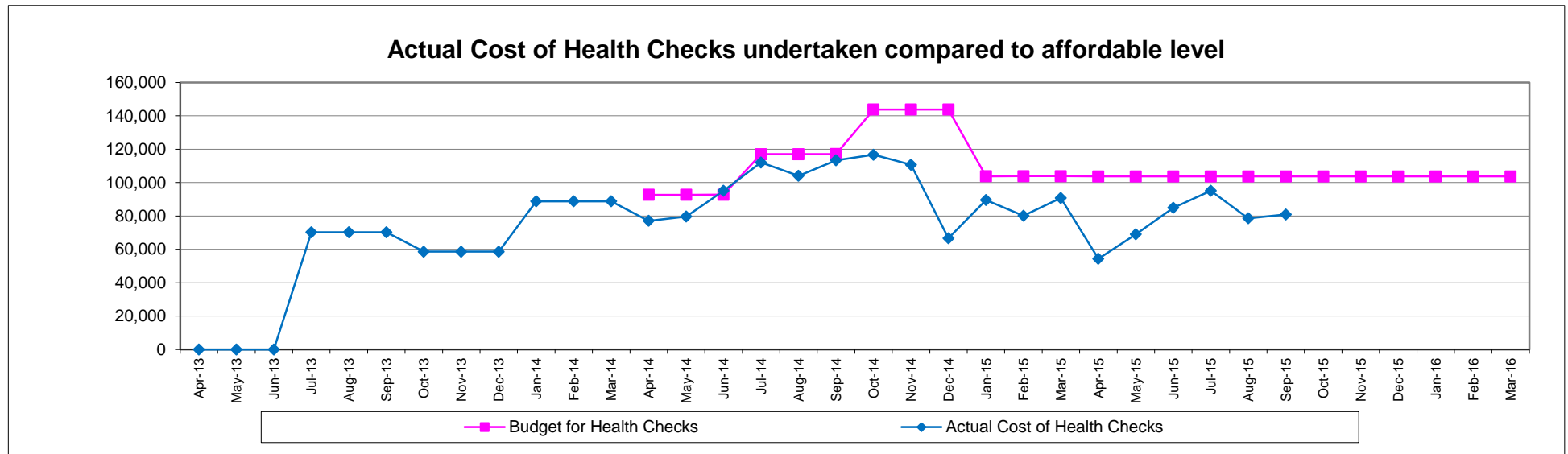
- As can be seen from the difference in total budgeted activity for invites and checks, not all people invited for a health check attend a check and there is often a delay between the invite and the health check taking place.
- In 2014-15, the invites planned activity was weighted towards the early part of the year to give time for the follow-up process to maximise the number of people attending a health check.
- The planned number of invites for 2014-15 was based on 20% of eligible population (as it is a 5 year programme) and was based on DoH estimates, but more recent GP data showed an increase in the eligible population. In 2014-15, this activity was therefore above budget for the year by 18,134 invites, as shown in the table above.
- For 2015-16 the budgeted level of invites and checks has been profiled equally across the months to give a more consistent approach and to reflect that this is a rolling programme across financial years, therefore invites sent out in March may result in checks being taken up in the following financial year. This revised approach will also enable the service to more accurately track progress against targets.
- The planned number of invites is lower than 2014-15 (and lower than the 91,000 invites stated in the 2015-16 budget book) because the eligible population based on the GP registered population is lower this year than last. The population can fluctuate because although everyone between the ages of 40 and 74 will be invited (once every five years) to have a check to assess their risk of heart disease, stroke, kidney disease and diabetes, individuals already diagnosed with any of these conditions become ineligible for a general invite. Also some residents are screened outside of their expected year due to targeted outreach programmes and therefore are removed from the invite list in their year.
- The affordable checks have increased from the figure of 45,000 in the budget book because some standard checks will now be carried out by Kent Community Health NHS Foundation Trust staff, rather than through GPs/Pharmacies, who are able to provide this service cheaper than GPs/Pharmacies.
- Although the actual number of invites is 20,100 above the budgeted level for April to September, the service expect activity to even out over the remaining months to stay within the overall budgeted level for the year, but any financial pressure, should there be one, will be more than offset by a lower than budgeted number of checks, which is currently below the budgeted level for the year to date by 5,203 checks. The current forecast is a small underspend of -£40k, as reflected in table 1 of section 1.2.2, as the expectation is that activity levels for health checks will increase in the second half of the financial year.

2.2 Cost of Health Check invites and Health Checks undertaken compared to budget

	2013-14 *		2014-15				2015-16			
	Invites	Checks	Invites		Checks		Invites		Checks	
	actual cost (£)	actual cost (£)	Budget (£)	actual cost (£)	Budget (£)	actual cost (£)	Budget (£)	actual cost (£)	Budget (£)	actual cost (£)
Apr			27,656	27,373	92,700	77,081	19,939	31,604	103,720	54,397
May	0	0	27,656	39,673	92,700	79,696	19,936	34,899	103,745	69,061
Jun			27,658	36,702	92,748	95,130	19,936	40,216	103,720	84,985
Jul			41,485	37,680	117,052	112,119	19,936	29,296	103,745	95,124
Aug	53,189	210,746	41,485	43,616	117,076	104,137	19,936	17,128	103,720	78,668
Sep			41,485	41,812	117,100	113,424	19,936	22,756	103,745	80,851
Oct			13,829	23,366	143,781	116,768	19,936		103,720	
Nov	77,302	175,920	13,829	10,727	143,805	110,779	19,936		103,745	
Dec			13,826	14,039	143,829	66,666	19,936		103,720	
Jan			0	7,190	103,843	89,540	19,936		103,745	
Feb	80,189	266,524	0	5,877	103,869	80,140	19,936		103,720	
Mar			0	11,628	103,869	90,829	19,936		103,720	
TOTAL	210,680	653,190	248,909	299,683	1,372,372	1,136,309	239,235	175,899	1,244,765	463,086

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Comments:

- * In 2013-14 the service was initially commissioned on a block contract basis. From the second quarter this was amended to a performance basis, with specific activity budgets set for the year, with payments being related to the level of activity provided.
- The 2014-15 budget for Health Checks was made up of a fixed cost element £465,756 and a performance element £1,621,281. The performance element is shown in the activity data above, with a budget of £248,909 for invites and £1,372,372 for health checks (totalling £1,621,281).
- The budgeted activity level for invites is based on the eligible population. The budgeted activity level for health checks was higher in 2014-15 than 2013-14 as the provider was expected to make up for the underperformance in the previous year. The number of health check invites was greater than budgeted in 2014-15 due to an increase in eligible population. The resulting pressure of £50,774 was more than offset by a saving on checks of £236,063 leaving an underspend of £185,289 within the Targeting Health Inequalities budget in 2014-15.
- The 2015-16 budget for Health Checks is made up of a fixed cost element £456,912 and a performance element £1,484,000. The performance element is shown in the activity data above, with a budget of £239,235 for invites and £1,244,765 for health checks (totalling £1,484,000).
- The increased invites to September have generated a pressure of +£56,280 but this is more than offset by an underspend on checks in the same period of -£159,309. The pattern is similar to last year suggesting an overall underspend by the end of the financial year on the combined invites & checks activity, however the service expects that activity will even out over the remaining months and are therefore only forecasting a small underspend of £40k at this stage. This position will be monitored carefully and updates provided in future monitoring reports.

3. CAPITAL

3.1 The Social Care, Health and Wellbeing Directorate - Public Health has a working budget for 2015-16 of £360k. The forecast outturn against the 2015-16 budget is £180k giving a variance of £180k.

3.2 **Table 2** below details the Public Health Capital Position by Budget Book line.

Budget Book Heading	2015-16 cash limit per budget book (£000)	2015-16 Working Budget (£000)	2015-16 Variance (£000)	Variance Break-down (£000)	Rephasing / Real Variance and Funding Stream	Explanation of In-Year Variance >£100k	Project Status ¹	Explanation of Project Status	Actions
Community Sexual Health Services	0	360	-180	-180	Rephasing	Work is ongoing to identify suitable premises for community sexual health services that are commissioned by KCC but delivered by external providers. KCC has recently undertaken a wide ranging public consultation about the location and availability of sexual health services across Kent. The outcome of the consultation will inform the plans for the remaining capital budget which is being rephased to 2016-17.	Amber		
Total	0	360	-180	-180					

1. Status:

Green – on time and within budget

Amber – either delayed completion date or over budget

Red – both delayed completion and over budget

**GROWTH, ENVIRONMENT & TRANSPORT DIRECTORATE
SEPTEMBER 2015-16 MONITORING REPORT**

1. REVENUE

1.1	Directorate Total (£k)	Cash Limit	Variance Before Mgmt Action	Mgmt Action	Net Variance after Mgmt Action	Roll forwards		Variance after Mgmt Action & Roll Fwd
		+173,894	-37	-	-37	committed	uncommitted	-37
						-	-	

1.2 **Table 1** below details the revenue position by A-Z budget:

Budget Book Heading	Cash Limit			Variance	Explanation	Management Action/ Impact on MTFP/Budget Build
	Gross	Income	Net	Net		
	£'000	£'000	£'000	£'000	£'000	
Growth, Environment & Transport						
Strategic Management & Directorate Support budgets	4,179.6	-93.6	4,086.0	-300	-197	<i>This is expected to be ongoing and will be reflected in the 2016-19 MTFP.</i>
					-103	Other minor variances each less than £100k in value.
<u>Children's Services - Education & Personal</u>						
- 14 - 24 year olds (Kent Foundation)	111.9	-59.3	52.6	0		
<u>Community Services:</u>						
- Arts Development (incl. grant to Turner Contemporary)	2,042.3	0.0	2,042.3	-25		
- Gypsies & Travellers	563.0	-424.4	138.6	-2		
- Libraries, Registration & Archives	17,668.5	-5,500.3	12,168.2	-182	-150	Second and final rebate received in respect of costs incurred in prior years related to the cash management system.
					-162	Additional registration income, mostly from ceremonies.
					+150	Unachievable saving on rates
					-20	Other minor variances.
						This is expected to be ongoing and will be reflected in the 2016-19 MTFP.
						This is expected to be ongoing and will be reflected in the 2016-19 MTFP.

Budget Book Heading	Cash Limit			Variance	Explanation		Management Action/ Impact on MTFP/Budget Build
	Gross	Income	Net	Net			
	£'000	£'000	£'000	£'000	£'000		
- Sports Development	1,733.1	-1,094.0	639.1	-1			
	22,006.9	-7,018.7	14,988.2	-210			
<u>Environment:</u>							
- Country Parks & Countryside Access	2,431.8	-1,801.6	630.2	-22			
- Environmental Management (incl Coastal Protection)	3,299.6	-1,855.3	1,444.3	-14			
- Public Rights of Way	1,731.2	-89.0	1,642.2	+2			
	7,462.6	-3,745.9	3,716.7	-34			
<u>Highways:</u>							
- Highways Maintenance							
- Adverse Weather	3,230.8	0.0	3,230.8	0			
- Bridges & Other Structures	2,252.5	-221.9	2,030.6	-59			
- General maintenance & emergency response	12,081.3	-475.8	11,605.5	+206	+104	Traffic management costs at junctions on high speed roads where additional grass cutting and weed control has been required.	
					+102	Other minor variances each less than £100k in value.	
- Highway drainage	2,983.1	0.0	2,983.1	+81			
- Streetlight maintenance	3,353.4	-154.0	3,199.4	+338	+196	Ongoing review of old balance sheet balances resulting in a net write-back to revenue.	
					+142	Minor variances each less than £100k in value.	
	23,901.1	-851.7	23,049.4	+566			
- Highways Management:							
- Development Planning	2,142.8	-2,135.2	7.6	-73			
- Highways Improvements	1,601.3	-33.3	1,568.0	-39			
- Road Safety	2,814.8	-2,140.2	674.6	-59			
- Streetlight energy	6,007.7	0.0	6,007.7	-531	-410	Lower than budgeted impact of electricity price increase.	<i>This is expected to be ongoing and will be reflected in the 2016-19 MTFP.</i>
					-142	Rebate from LASER following price reconciliation of Winter 2014-15 usage.	
					+21	Other minor variances.	

Budget Book Heading	Cash Limit			Variance	Explanation		Management Action/ Impact on MTFP/Budget Build
	Gross	Income	Net	Net			
	£'000	£'000	£'000	£'000	£'000		
- Traffic management	5,290.1	-3,363.2	1,926.9	-63			
- Tree maintenance, grass cutting & weed control	3,253.1	0.0	3,253.1	+45			
	21,109.8	-7,671.9	13,437.9	-720			
<u>Planning & Transport Strategy:</u>							
- Planning & Transport Policy	1,321.6	0.0	1,321.6	-17			
- Planning Applications	1,112.7	-650.0	462.7	+3			
	2,434.3	-650.0	1,784.3	-14			
<u>Public Protection</u>							
- Community Safety (incl Community Wardens)	2,436.8	-68.8	2,368.0	-16			
- Coroners	3,737.0	-985.7	2,751.3	+93	+93	Pressure on staffing costs resulting from: backfilling long-term sickness absences, extra staff to deal with a back log of cases, and additional supervision and staffing required following transfer of Coroners Officers from Police to deal with current levels of activity.	Part of this pressure is expected to be ongoing and will need to be addressed in the 2016-19 MTFP.
- Emergency Response & Resilience (incl Flood Risk Management)	1,397.6	-180.7	1,216.9	+46			
- Trading Standards (incl. Kent Scientific Services)	3,817.4	-1,014.8	2,802.6	-44	-224	Staffing saving resulting from early implementation of, and holding vacancies pending, Trading Standards restructure.	
					+136	Expected shortfall in Proceeds of Crime income target based on known court cases.	
					+44	Other minor variances.	
	11,388.8	-2,250.0	9,138.8	+79			
<u>Regeneration & Economic</u>							
- Regeneration & Economic Development Services	5,416.4	-1,578.1	3,838.3	+72			
<u>Schools Services</u>							
- Other Schools Services (road crossing patrols)	453.3	0.0	453.3	-7			

Budget Book Heading	Cash Limit			Variance	Explanation		Management Action/ Impact on MTFP/Budget Build
	Gross	Income	Net	Net			
	£'000	£'000	£'000	£'000	£'000		
<u>Transport Services:</u>							
- Concessionary Fares	16,206.0	-27.0	16,179.0	+403	+403	Increased bus operator costs due to fare increases and journeys being taken are above the affordable level.	This pressure will need to be addressed in the 2016-19 MTFP.
- Subsidised Socially Necessary Bus Services (incl Kent Karrier)	9,318.1	-2,348.8	6,969.3	-1			
- Transport Operations	1,502.7	-77.5	1,425.2	0			
- Transport Planning	1,257.3	-918.8	338.5	-40			
- Young Person's Travel Pass	14,393.1	-5,595.6	8,797.5	0		This breakeven position reflects the impact of the price increase of £50 from September (from £200 to £250). Gross and income cash limits have been realigned to reflect this increase.	Gross and income budgets will need to be increased in the 2016-17 budget build to reflect the impact of the £50 increased charge per pass.
	42,677.2	-8,967.7	33,709.5	+362			
<u>Waste Management</u>							
- Waste Compliance, Commissioning & Contract Management	916.9	0.0	916.9	-39			
- Partnership & development	726.9	-114.2	612.7	-46			
- Closed Landfill Sites	758.6	-16.0	742.6	-138	-177	Underspend as works have been delayed until next financial year.	
					+39	Other minor variances.	
- Waste Processing							
- Landfill Tax	4,745.3	0.0	4,745.3	+140	+96	An additional +1,200 tonnes of residual waste sent to landfill.	The pressure resulting from increased tonnage needs to be addressed in the 2016-19 MTFP
					+44	Budgeted price increase is below actual requirements	This will need to be addressed in the 2016-17 budget build.

Budget Book Heading	Cash Limit			Variance	Explanation	Management Action/ Impact on MTFP/Budget Build	
	Gross	Income	Net	Net			
	£'000	£'000	£'000	£'000	£'000		
- Operation of Waste Facilities	16,893.7	-746.4	16,147.3	-939	-780	Management fees at waste facilities sites.	This saving is expected to be ongoing and will be reflected in the 2016-19 MTFP The pressure resulting from increased tonnage needs to be addressed in the 2016-19 MTFP
					-94	Contract changes at household waste recycling centres and transfer stations.	
					+29	Shortfall in income resulting from a reduction in the volume of waste metal which is recycled.	
					+16	Pressure resulting from increased volume of waste.	
					-110	Other minor variances, each below £100k in value.	
- Payments to Waste Collection Authorities (District Councils)	6,178.9	0.0	6,178.9	-1	+13	An additional 200 tonnes of waste on which recycling credits are paid.	
					-14	Other minor variances.	
- Recycling Contracts & Composting	7,211.6	-1,149.9	6,061.7	-391	+79	Volume variance resulting from +3,600 tonnes of additional waste.	The net pressure resulting from increased tonnage needs to be addressed in the 2016-19 MTFP. This underspend is ongoing and will be reflected in the 2016-19 MTFP.
					-376	Price paid is below budgeted estimate; this relates primarily to in-vessel composting.	
					-107	Additional income as the price received for recyclables, especially for paper and card, is greater than budgeted.	
					+13	Other minor variances.	
- Treatment & Disposal of Residual Waste	30,713.3	-480.2	30,233.1	+1,583	+1,624	An additional +16,200 tonnes of residual waste dealt with at Allington Waste to Energy plant.	The pressure resulting from increased tonnage needs to be addressed in the 2016-19 MTFP This saving is expected to be ongoing and will need to be addressed in the 2016-17 budget build.
					-245	Price variance on Waste to Energy tonnage.	

Budget Book Heading	Cash Limit			Variance	Explanation	Management Action/ Impact on MTFP/Budget Build	
	Gross £'000	Income £'000	Net £'000	Net £'000			
					£'000		
					+54	An additional +1,200 tonnes of residual waste sent to landfill.	The pressure resulting from increased tonnage needs to be addressed in the 2016-19 MTFP
					+20	Budgeted price increase for landfill tax is below actual requirements	This will need to be addressed in the 2016-17 budget build.
					+105	Shortfall in trade waste income	
					+25	Other minor variances	
	68,145.2	-2,506.7	65,638.5	+169			
Total GE&T	209,287.1	-35,393.6	173,893.5	-37			
Assumed Mgmt Action							
Total Forecast <u>after</u> mgmt action	209,287.1	-35,393.6	173,893.5	-37			

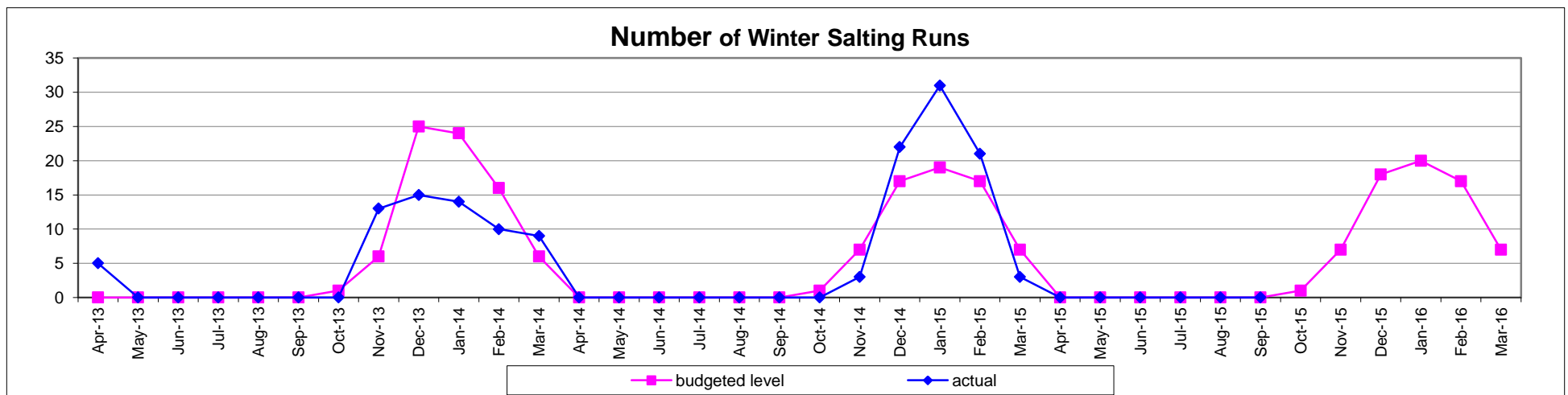
2. KEY ACTIVITY INDICATORS AND BUDGET RISK ASSESSMENT MONITORING

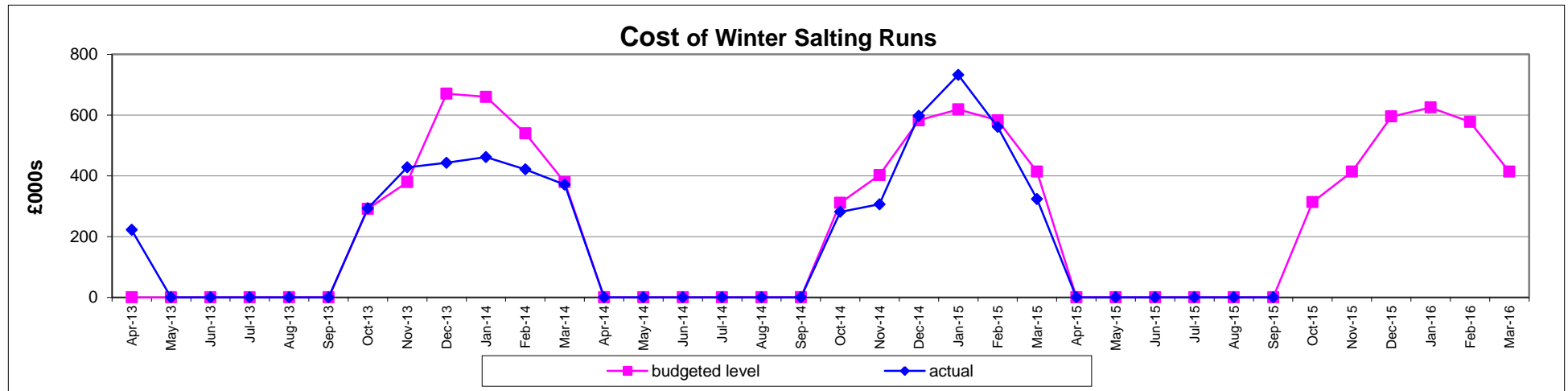
2.1 Number and Cost of winter salting runs

	2013-14				2014-15				2015-16			
	No. of salting runs		Cost of salting runs		No. of salting runs		Cost of salting runs		No. of salting runs		Cost of salting runs	
	Budgeted level	Actual	Budgeted level £'000	Actual £'000	Budgeted level	Actual	Budgeted level £'000	Actual £'000	Budgeted level	Actual	Budgeted level £'000	Actual £'000
Apr	-	5	-	222	-	-	-	-	-	-	-	-
May	-	-	-	-	-	-	-	-	-	-	-	-
Jun	-	-	-	-	-	-	-	-	-	-	-	-
Jul	-	-	-	-	-	-	-	-	-	-	-	-
Aug	-	-	-	-	-	-	-	-	-	-	-	-
Sep	-	-	-	-	-	-	-	-	-	-	-	-
Oct	1	-	291	293	1	-	311	281	1	-	314	-
Nov	6	13	379	428	7	3	402	306	7	-	413	-
Dec	25	15	670	443	17	22	583	597	18	-	595	-
Jan	24	14	660	462	19	31	619	732	20	-	625	-
Feb	16	10	540	421	17	21	583	561	17	-	578	-
Mar	6	9	379	371	7	3	414	324	7	-	413	-
	78	66	2,919	2,639	68	80	2,911	2,801	70	-	2,938	-

The budgeted number of salting runs assumes county wide coverage but in some cases, the actual number includes salting runs for which only part county coverage was required.

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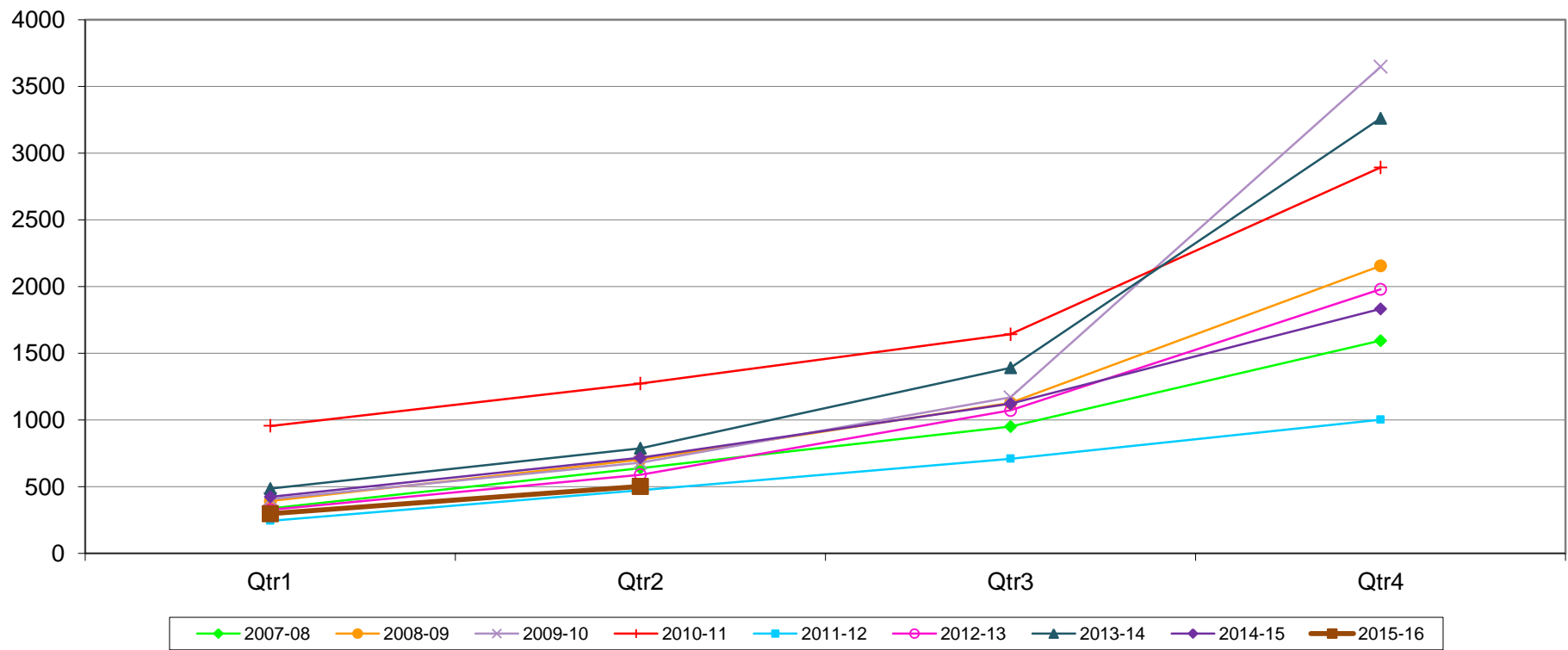
Comments:

- As a result of the prolonged hard winter in 2012-13 which extended into April 2013, unbudgeted salting runs were required at the start of 2013-14 resulting in additional expenditure of £222k. However the actual number of salting runs was below budgeted levels due to the mild winter of 2013-14. Overall there was a net underspend of -£176k on the adverse weather budget in 2013-14 which was due to an underspend of -£280k on winter salting runs (as shown in the table above), an overspend of £146k due to insufficient provision being made for 2012-13 salting costs and an underspend of £42k on other costs associated with adverse weather, not directly attributed to salting runs. The 2014-15 and 2015-16 budgeted number of salting runs look low in comparison with the 2013-14 budgeted level, despite the budgeted costs being similar; this is due to a greater proportion of fixed cost to the total cost per run, which results in fewer overall runs being affordable.
- The final activity for 2014-15 was 12 salting runs above the affordable level but £110k below budget. Many of the runs required a lower spread of salt than assumed in the budget and also on a number of occasions the whole county had not been treated, which again resulted in reduced costs. Together, this resulted in the costs of salting runs not being as high as the number of runs may suggest. Overall there was a net underspend of -£309k on the adverse weather budget in 2014-15 due to an underspend on salting runs of £110k, as reflected in the activity table above, together with an underspend of £199k on other costs associated with adverse weather, not directly attributed to salting runs, such as supply and maintenance of salt bins.

2.2 Number of insurance claims arising related to Highways

	2007-08	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15	2015-16
	Cumulative no. of claims	Cumulative no. of claims	Cumulative no. of claims	Cumulative no. of claims	Cumulative no. of claims	Cumulative no. of claims	Cumulative no. of claims	Cumulative no. of claims	Cumulative no. of claims
Apr to Jun	337	393	408	956	245	327	487	424	298
Jul to Sep	640	704	680	1,273	473	590	788	717	502
Oct to Dec	950	1,128	1,170	1,643	710	1,072	1,391	1,122	
Jan to Mar	1,595	2,155	3,647	2,893	1,003	1,979	3,260	1,833	

Cumulative Number of insurance claims relating to Highways



Comments:

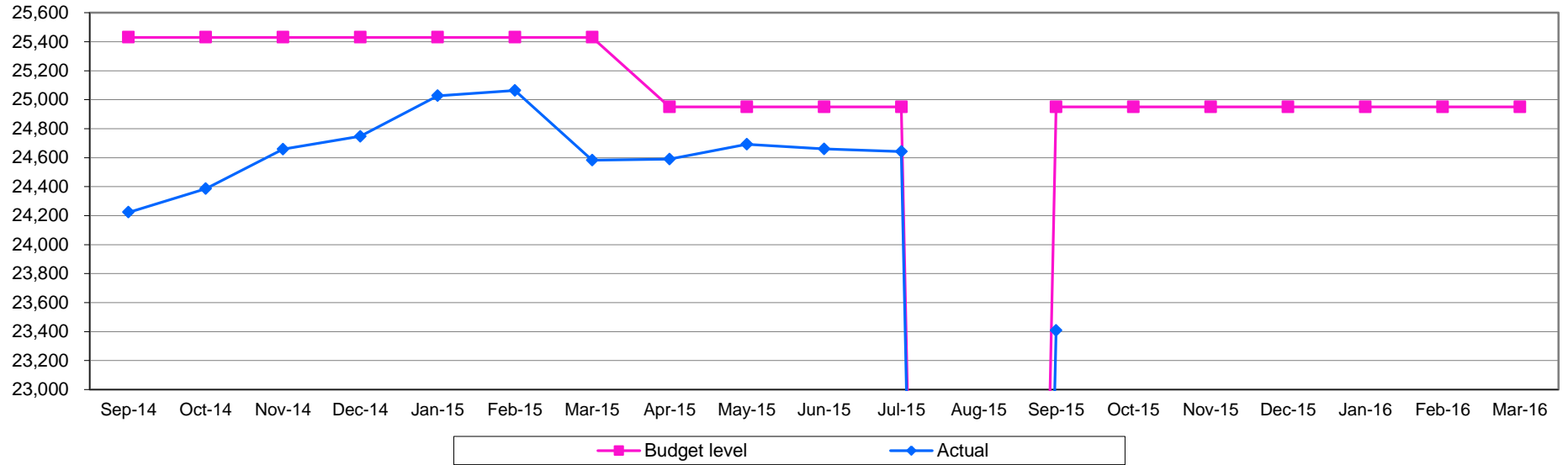
- Numbers of claims will continually change as new claims are received relating to incidents occurring in previous quarters. Claimants have three years to pursue an injury claim and six years for damage claims. The data previously reported has been updated to reflect claims logged with Insurance as at 30 September 2015.
- Claims were high in each of the years 2008-09 to 2010-11 largely due to the particularly adverse weather conditions and the consequent damage to the highway along with some possible effect from the economic downturn. Claim numbers for 2009-10 and 2010-11 could still increase further if more claims are received for incidents which occurred during the period of the bad weather.
- Claims were lower in 2011-12 which could have been due to many factors including: an improved state of the highway following the find and fix programmes of repair, an increased rejection rate on claims, and a mild winter. However, claim numbers increased again in 2012-13, which was likely to be due to the prolonged hard winter and the consequent damage to the highway, but claim numbers did not increase to the levels experienced during 2008-09 to 2010-11, probably due to the continuation of the find and fix programmes of repair. Claim numbers were again high in 2013-14, probably due to the particularly adverse wet weather conditions and the consequent damage to the highway. Additional funding was made available from the severe weather recovery funding to address this.
- Claims were lower again in 2014-15, probably due to the reasonably mild winter and a continuation of the find and fix programmes of repair and repairs to the highway funded from the severe weather recovery funding referred to above, although claims continue to be received relating to this period.
- The Insurance section continues to work closely with Highways to try to reduce the number of claims and currently the Authority is managing to achieve a rejection rate on claims received over the past 12 months where it is considered that we do not have any liability, of about 89%.

2.3 Young Person's Travel Pass - Number of Passes in Issue

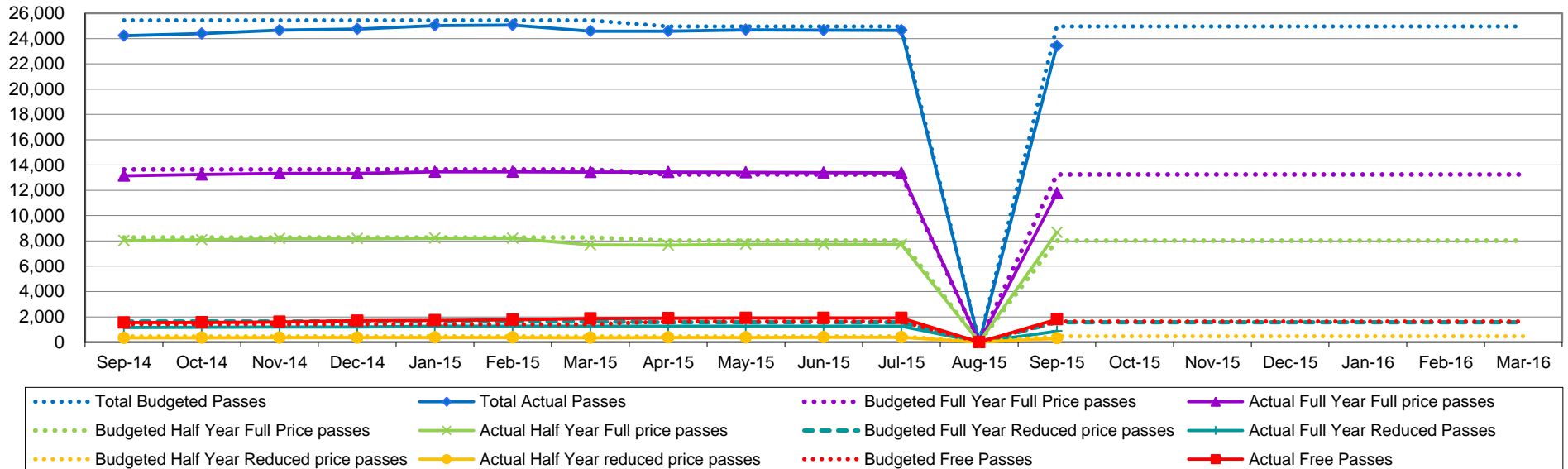
		Full Year, Full price passes		Half Year, Full price passes		Full Year, Reduced price passes		Half Year, Reduced price passes		Free passes		TOTAL passes	
		Budget	Actual	Budget	Actual	Budget	Actual	Budget	Actual	Budget	Actual	Budget	Actual
2014-15	Sept	13,662	13,159	8,268	8,023	1,630	1,159	470	333	1,400	1,549	25,430	24,223
	Oct	13,662	13,248	8,268	8,077	1,630	1,167	470	335	1,400	1,559	25,430	24,386
	Nov	13,662	13,336	8,268	8,175	1,630	1,194	470	352	1,400	1,601	25,430	24,658
	Dec	13,662	13,336	8,268	8,175	1,630	1,194	470	352	1,400	1,690	25,430	24,747
	Jan	13,662	13,454	8,268	8,214	1,630	1,263	470	368	1,400	1,728	25,430	25,027
	Feb	13,662	13,457	8,268	8,208	1,630	1,267	470	366	1,400	1,766	25,430	25,064
	Mar	13,662	13,438	8,268	7,675	1,630	1,263	470	346	1,400	1,861	25,430	24,583
2015-16	Apr	13,262	13,434	8,025	7,657	1,578	1,263	455	356	1,630	1,879	24,950	24,589
	May	13,262	13,430	8,025	7,737	1,578	1,263	455	366	1,630	1,897	24,950	24,693
	Jun	13,262	13,391	8,025	7,730	1,578	1,259	455	374	1,630	1,906	24,950	24,660
	Jul	13,262	13,382	8,025	7,725	1,578	1,257	455	374	1,630	1,904	24,950	24,642
	Aug	0	0	0	0	0	0	0	0	0	0	0	0
	Sept	13,262	11,771	8,025	8,666	1,578	863	455	296	1,630	1,812	24,950	23,408
	Oct	13,262		8,025		1,578		455		1,630		24,950	
	Nov	13,262		8,025		1,578		455		1,630		24,950	
	Dec	13,262		8,025		1,578		455		1,630		24,950	
	Jan	13,262		8,025		1,578		455		1,630		24,950	
Feb	13,262		8,025		1,578		455		1,630		24,950		
Mar	13,262		8,025		1,578		455		1,630		24,950		

- Pass numbers are shown on a monthly basis from September 2014 when the new Young Person's Travel Pass (YPTP) scheme was introduced.
- As the academic year runs from September to July and passes are no longer valid during the school summer holidays, no passes are recorded for August.
- 2014-15:** YPTP pass numbers remained short of budgeted levels: 24,223 new passes were issued as at 30 September 2014 for the 2014-15 academic year; this increased to 24,747 as at 31 December 2014, but the figure as at 31 March 2015 reduced to 24,583. This reduction was as a result of a number of half year passes not being renewed for the second half of the academic year.
- 2015-16:** 23,408 passes have been issued for the new academic year. This compares with an affordable level of 24,950 and 24,642 passes in issue at the end of the last academic year. This reduction in passes from September is likely to be in part due to the impact of the price increase from £200 to £250 referred to above, but it is likely that further applications will be received and so the number of passes in issue is expected to increase.

Total Number of Young Person's Travel Passes in issue



Number of Young Person's Travel Passes in issue by type



Comments:

- Passes can either be purchased for the academic year (£250 September 2015 to July 2016) or half yearly (£125 for terms 1-3 or 4-6). Reduced price passes for young people in receipt of free school meals are available (£100 for the full year or £50 for terms 1-3 or 4-6). Passes are free for young carers, young people in care or care leavers. Additional passes are also free for households applying for more than two full cost passes.

- The cost per pass in calculating the 2014-15 affordable level was £537, the fee for a pass was £200, meaning that on average KCC was subsidising the cost of each pass by £337.
The 2015-16 budgeted number of passes of 22,900, as reported to Cabinet in July, was originally based on the number that could be afforded within the budget at the latest cost to KCC per pass of £581 (a subsidy per pass of £381). However, on 1 June 2015 Cabinet approved a reduction in subsidy of £50, raising the price of a standard pass to the user by £50, from £200 to £250, with effect from September 2015. As a result of this additional income, the affordable number of passes has increased to a level more in line with actual demand and this is reflected in the table above. Gross and income cash limits have been realigned within table 1 of section 1.2 of this report, to reflect this increased charge.

- The above figures show that the current number of passes in issue remains below the budgeted number. Although the reconciliation of journeys travelled between July and September is not yet available from our external provider MCL Transport Services, the forecast continues to assume a higher than budgeted number of journeys being travelled, as happened between April and June (see section 2.4 below), so a balanced position overall is currently forecast for YPTP in Table 1. This will be reviewed once we have the information on journey numbers for the second quarter.

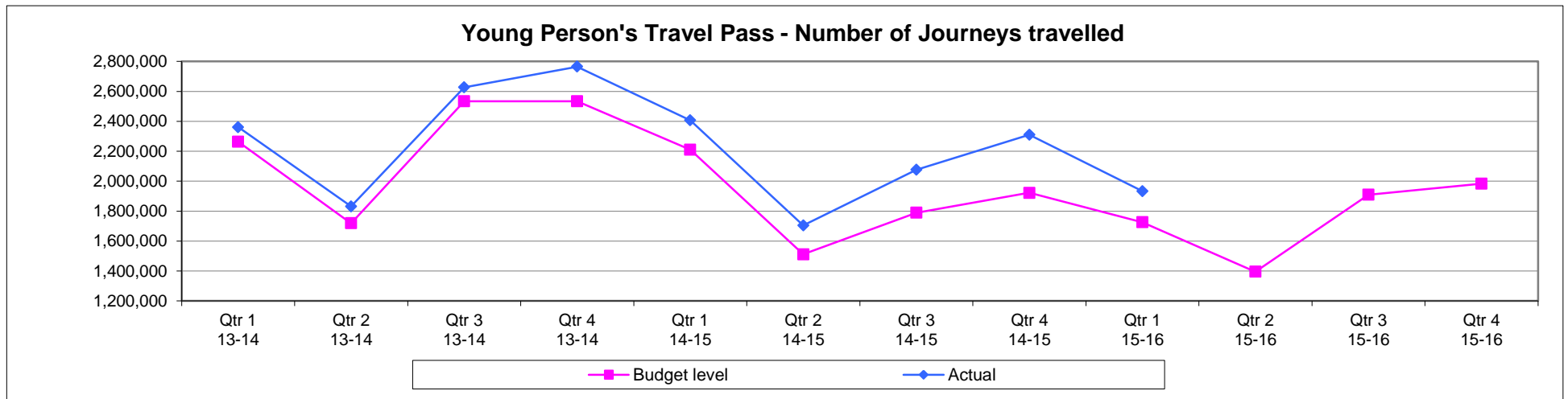
2.4 Young Person's Travel Pass (formerly Freedom Pass until September 2014) - Number of Journeys Travelled

	2013-14		2014-15		2015-16	
	Budget level (000's)	Actual (000's)	Budget level (000's)	Actual (000's)	Budget level (000's)	Actual (000's)
Qtr 1	2,263	2,361	2,210	2,407	1,726	1,933
Qtr 2	1,719	1,832	1,512	1,705	1,395	
Qtr 3	2,534	2,627	1,789	2,076	1,910	
Qtr 4	2,534	2,765	1,922	2,311	1,983	
	9,050	9,585	7,433	8,499	7,014	1,933

The data for this activity indicator is only provided on a quarterly basis by our external provider MCL Transport Services once they have reconciled data from the bus operators. The 2015-16 Quarter 2 reconciliation is not yet available.

The figures for actual journeys travelled are reviewed quarterly and updated as further information is received from the bus companies, so may be subject to change.

Budgeted journey numbers are lower in quarter 2 of 2015-16 as, since September 2014, the pass is no longer valid during the school summer holidays.



Comments:

- The reduction in the budgeted number of journeys for 2014-15 was as a result of the introduction of the Young Persons Travel Pass, agreed by County Council in February 2014, restricting travel to between the hours of 6am and 7pm, Monday to Friday, between 1 September and 31 July, meaning the pass is no longer valid during the school summer holidays or at weekends.
- The additional funding resulting from the increase in income from September 2015 referred to in section 2.3 above resulted in the affordable number of journeys increasing from 6,569,000 to 7,014,000.
- Journey numbers in quarter 1 2015-16 were in excess of the budgeted level but any potential variance is offset as the number of passes in issue is currently below the budget level. Quarter 2 journey numbers are not yet available from MCL Transport Services.
- This data does not include journeys travelled relating to free home to school transport as these costs are met from the Education & Young People Directorate budget and not from the Young Persons Travel Pass budget.

2.5 Concessionary Fares (English National Concessionary Travel Scheme - ENCTS) - Number of Passes in Issue

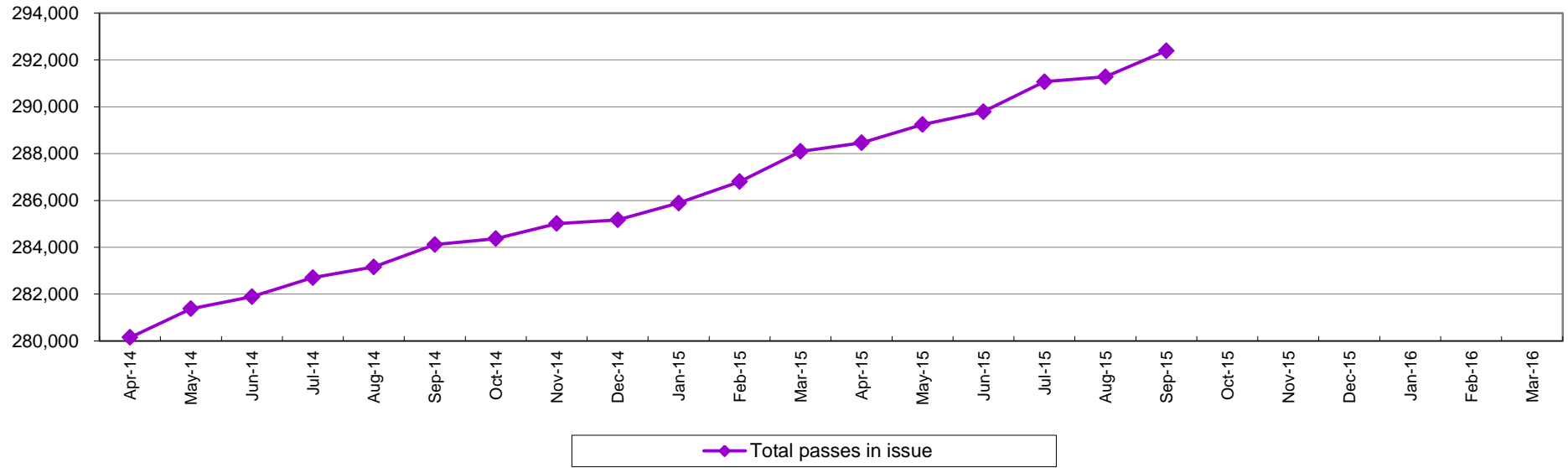
		Senior Citizen's bus passes	Disabled person's bus passes	Disabled Person Companion bus passes	TOTAL passes
		Actual	Actual	Actual	Actual
2014-15	April	258,342	17,961	3,849	280,152
	May	259,299	18,102	3,978	281,379
	June	259,623	18,212	4,055	281,890
	July	260,263	18,352	4,084	282,699
	Aug	260,558	18,438	4,164	283,160
	Sept	261,284	18,586	4,248	284,118
	Oct	261,352	18,701	4,313	284,366
	Nov	261,826	18,800	4,387	285,013
	Dec	261,879	18,868	4,427	285,174
	Jan	262,434	18,964	4,490	285,888
	Feb	263,062	19,176	4,564	286,802
	Mar	264,108	19,341	4,645	288,094
2015-16	April	264,314	19,459	4,692	288,465
	May	264,856	19,594	4,792	289,242
	June	265,180	19,715	4,894	289,789
	July	266,023	20,020	5,028	291,071
	Aug	266,078	20,134	5,069	291,281
	Sept	266,949	20,312	5,133	292,394
	Oct				
	Nov				
	Dec				
	Jan				
	Feb				
	Mar				

- The number of affordable passes is not calculated because the primary driver of cost is the number of journeys people travel.
- Also a passholder in England and Wales can use the pass anywhere in those two countries. The Transport Co-ordinating Authority for that area picks up the cost of any ENCTS pass used for boarding a bus, within its area. Therefore KCC will not only be reimbursing passes for Kent residents but also any Medway holders boarding in Kent or in fact any ENCTS visitor to Kent using a bus.

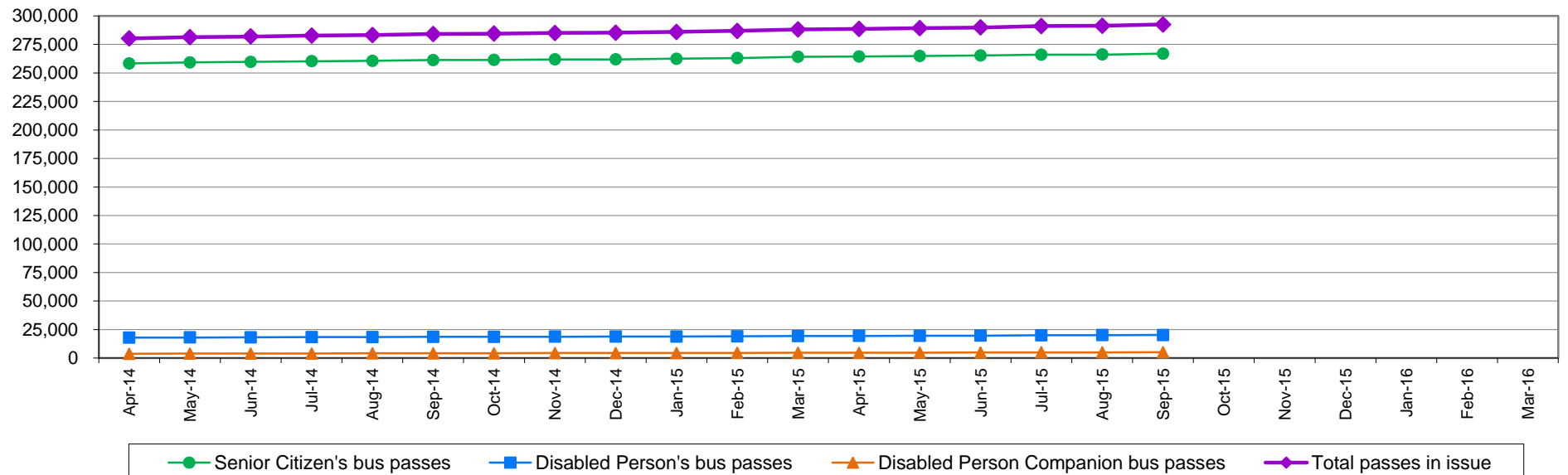
There are three types of passes available to Kent residents:

- A Senior Citizen's bus pass if you are of state pension age or older.
- A Disabled Person's bus pass for people with certain disabilities, for example for people who are blind or partially sighted, profoundly or severely deaf, or have a learning disability. There is no age restriction for the disabled person's bus pass.
- A Disabled Person Companion bus pass is available in cases where a Disabled Person bus pass user is unable to travel alone.

Total Number of Concessionary Bus Passes in issue



Number of Concessionary Bus Passes in issue by type

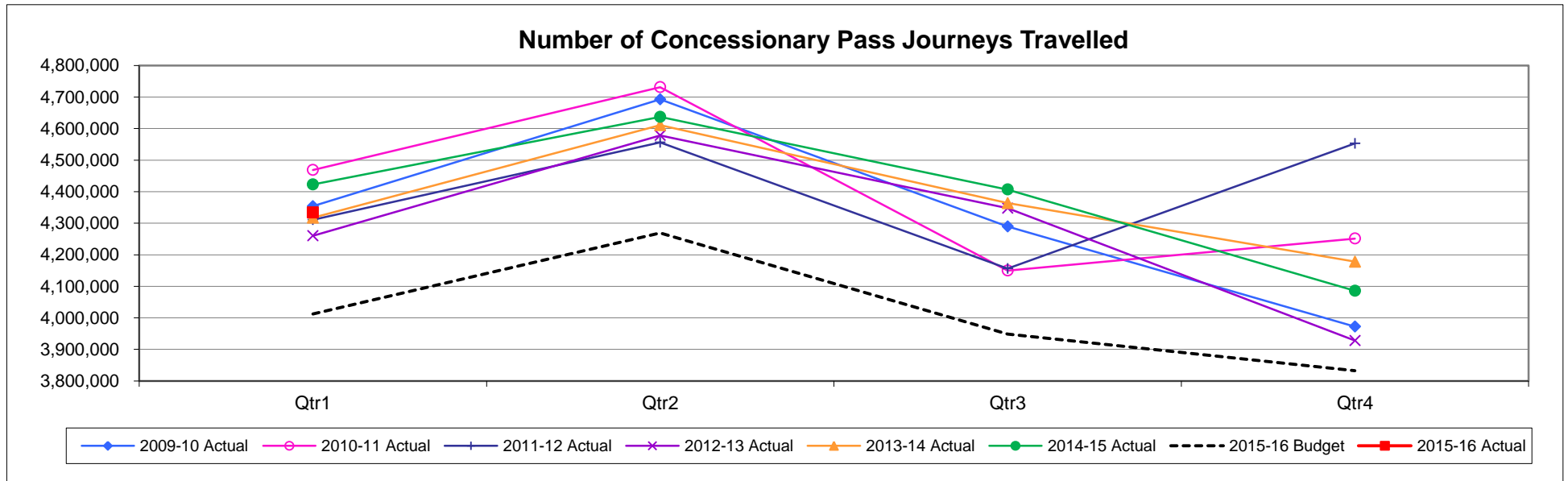


2.6 Concessionary Fares (English National Concessionary Travel Scheme - ENCTS) - Number of Journeys Travelled

	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15	2015-16	
	Actual (000's)	Actual (000's)	Actual (000's)	Actual (000's)	Actual (000's)	Actual (000's)	Budget level (000's)	Actual (000's)
Qtr 1	4,354	4,469	4,311	4,260	4,317	4,423	4,012	4,334
Qtr 2	4,693	4,731	4,557	4,578	4,611	4,637	4,270	
Qtr 3	4,289	4,150	4,157	4,348	4,364	4,407	3,949	
Qtr 4	3,972	4,251	4,553	3,928	4,178	4,086	3,833	
	17,308	17,601	17,578	17,114	17,470	17,553	16,064	4,334

The data for this activity indicator is only provided on a quarterly basis by our external provider MCL Transport Services once they have reconciled data from the bus operators. The 2015-16 Quarter 2 reconciliation is not yet available.

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- As with the Young Persons Travel Pass the figures for actual concessionary journeys travelled are reviewed quarterly and updated as further information is received from the bus companies or our concessionary travel consultant, MCL Transport Services, so may be subject to change.
- Journey numbers for quarter 1, as reconciled by MCL Transport Services, are in excess of the budgeted level and as a result a financial pressure of +£403k is being forecast, as reflected in Table 1. The quarter 2 reconciliation of journey numbers is not yet available.

2.7 Waste Tonnage

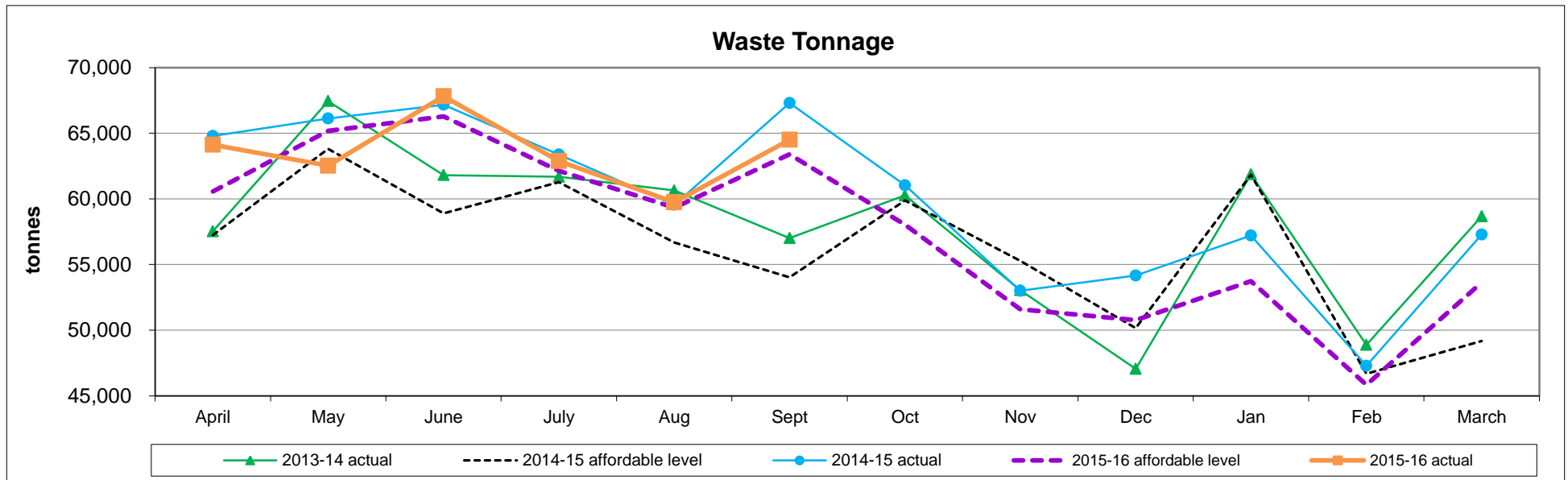
	2013-14	2014-15		2015-16	
	Waste Tonnage	Affordable Level	Waste Tonnage	Affordable Level	* Waste Tonnage
Apr	57,538	57,246	64,792	60,559	64,123
May	67,448	63,802	66,119	65,181	62,525
Jun	61,813	58,899	67,164	66,290	67,820
Jul	61,687	61,282	63,374	62,147	62,882
Aug	60,643	56,684	59,554	59,324	59,738
Sep	57,013	54,032	67,300	63,391	64,500
Oct	60,264	59,881	61,043	58,037	
Nov	53,050	55,294	53,000	51,585	
Dec	47,063	50,167	54,159	50,768	
Jan	61,869	61,844	57,212	53,742	
Feb	48,892	46,682	47,292	45,841	
Mar	58,672	49,187	57,287	53,635	
	695,952	675,000	718,296	690,500	381,588

* Note: waste tonnages are subject to slight variations between reports as figures are refined and confirmed with Districts.

These waste tonnage figures include recycled waste, composting and residual waste processed either through Allington Waste to Energy plant or landfill.

Waste tonnages have been restated in this report to include Trade Waste activity, which was previously excluded in error.

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Comments:

General

- From 2013-14 Waste tonnage data is based on waste outputs from transfer stations rather than waste inputs to our facilities. This is necessary due to the changes in how waste is being presented to KCC by the waste collection authorities, where several material streams are now being collected by one refuse collection vehicle utilising split body compaction. These vehicles are only weighed in once at our facilities, where they tip all of the various waste streams into the separate bays, and then the vehicle is weighed out when empty. The separate waste streams are stored separately at our transfer stations, where these materials are bulked up for onward transfer to various processing plants/facilities. The bulked loads are weighed out, providing data for haulage fees and then are weighed in at the relevant processing plant, providing data for processing fees. All the data presented in the table above has been restated on this output basis in order to enable comparison. The data has also been restated to include Trade Waste activity.

2013-14

- The overall volume of waste managed in 2013-14 was 695,952 tonnes, which was 19,048 tonnes below the affordable level and equated to a saving of £2.155m. However this saving on waste volumes was offset by other pressures within the service, giving an overall saving against the waste management budget of £0.778m.
- The actual tonnage in 2013-14 of 695,952 tonnes was far higher than the forecast figure of 676,900 tonnes based on actuals to January and reported to Cabinet in April. This unexpected increase in volume in the final quarter of 2013-14 continued into 2014-15, with actual tonnage for 2014-15 ending up at 43,296 tonnes more than the affordable level for the year, as the 2014-15 affordable level was based on the actual activity of the first three quarters of 2013-14. These increased volumes are also continuing into 2015-16.

2014-15

- The actual waste tonnage in 2014-15 of 718,296 tonnes was 43,296 tonnes above the affordable level and equated to a pressure of £2.972m. However with the advent of the new contracts, some of the tonnage, primarily soil and hardcore, does not attract an incremental cost as it is processed as part of a fixed management fee irrespective of the volume of waste, therefore an increase in waste tonnage may not always result in an increased pressure on the waste budget. The pressure on waste volumes was largely offset by other savings within the service giving an overall net pressure against the waste management budget for 2014-15 of +£0.543m. The service believes that the increase in waste tonnage experienced over much of 2014 can be mostly explained by two separate issues. Firstly, climatic: the extraordinarily mild and moist winter of 2013-14 and spring 2014, as well as a markedly high water table, which led to a very favourable and advanced growing season, resulting in high levels of organic waste. In addition, large volumes of broken fence panels etc were evident in the early part of the financial year as a result of repairs to winter storm damage. Secondly, the growth in the UK economy led to increased waste arising across the UK, but particularly in the south east, where economic activity is greatest, in particular in house purchases and renovations. The overall volume of waste was 3.2% higher in 2014-15 than 2013-14.

2015-16

- Based on the actual waste tonnage for April to August and forecasts for September to March, the overall volume of waste to be managed this financial year is expected to be approximately 711,700 tonnes, which is 21,200 tonnes above the affordable level and equates to a pressure of £1.911m. The vast majority (c.£1.7m) of this results from residual waste that cannot be recycled and ends up in landfill or burned to generate electricity at the Allington Waste to Energy plant. The pressure on waste volumes is partially offset by favourable price variances and other savings within the service, as detailed in table 1, giving an overall pressure against the waste management budget of £0.169m.
- The figures in Table 1 of section 1.2 are based on actual activity for April to August, with estimates for the remaining months.
- Overall waste volumes are currently 1.7% lower for the first six months when compared with the same period for last year.
- Waste volumes, both in Kent and nationally, are impacted upon by changes in the economy and the improving economic climate continues to result in higher levels of waste.

3. CAPITAL

3.1 The Growth, Environment and Transport Directorate has a working budget for 2015-16 of £125,205k. The forecast against the 2015-16 budget is £109,561k giving a variance of -£15,644k.

3.2 **Table 2** below details the GET Capital Position by Budget Book line.

Budget Book Heading	2015-16 cash limit per budget book (£000)	2015-16 Working Budget (£000)	2015-16 Variance (£000)	Variance Break-down (£000)	Rephasing / Real Variance and Funding Stream	Explanation of In-Year Variance >£100k	Project Status ¹	Explanation of Project Status	Actions
Rolling Programmes									
Country Parks Access and Development	60	84	-38	-38	Rephasing		Green	Rolling Programme	
Library Modernisation Programme	0	136	-136	-136	Real: -£41k Prudential, -£95k Capital Receipt	-£136k underspend to cover overspend on Tunbridge Wells Library.	Green	Rolling Programme	
Management and Modernisation of Assets - Vehicles	110	223	-223	-223	Real	There is no current need in this financial year to replace existing vehicles.	Green		
Public Rights of Way	915	1,238	0	0			Green	Rolling Programme	
Public Sports Facilities Improvement - Capital Grant	100	110	0	0			Green	Rolling Programme	

Budget Book Heading	2015-16 cash limit per budget book (£000)	2015-16 Working Budget (£000)	2015-16 Variance (£000)	Variance Break-down (£000)	Rephasing / Real Variance and Funding Stream	Explanation of In-Year Variance >£100k	Project Status ¹	Explanation of Project Status	Actions
Village Halls and Community Centres - Capital Grants	300	446	0	0			Green	Rolling Programme	
Highway Major Enhancement / Other Capital Enhancement / Bridge Assessment and Strengthening	26,661	28,501	792	792	Real: -£50k grant, +£790k Developer Contributions,+ £52k External Other	Additional footway scheme funded by £290k developer contributions for Bank Street. -£50k transfer of grant for Footways works within Tonbridge Town Centre Project. £500k developer contributions for enhancement of Star Lane, Thanet. +£52k external income for additional drainage works.	Green	Rolling Programme	

Budget Book Heading	2015-16 cash limit per budget book (£000)	2015-16 Working Budget (£000)	2015-16 Variance (£000)	Variance Break-down (£000)	Rephasing / Real Variance and Funding Stream	Explanation of In-Year Variance >£100k	Project Status ¹	Explanation of Project Status	Actions
Integrated Transport Schemes under £1 million	3,968	4,682	-674	-674	Rephasing: -£674k Developer Contributions	-£250k rephasing as works at the Bat & Ball junction have been rephased to summer 2016-17 due to utility companies working in this area this summer, £130k rephasing following ongoing designs for a scheme at Polehill, £80k rephasing for a scheme at Thistle Hill due to design issues, £79k rephasing as a scheme at St Johns Road has been postponed pending designs for a Tunbridge Wells LGF scheme. Plus £135k rephasing across various minor schemes.	Green	Rolling Programme	
Member Highway Fund	0	169	0	0			Green	Rolling Programme	
Land compensation and Part 1 claims arising from completed projects	0	265	0	0			Green	Rolling Programme	
Major Schemes - Preliminary Design Fees	100	779	0	0			Green	Rolling Programme	

Budget Book Heading	2015-16 cash limit per budget book (£000)	2015-16 Working Budget (£000)	2015-16 Variance (£000)	Variance Break-down (£000)	Rephasing / Real Variance and Funding Stream	Explanation of In-Year Variance >£100k	Project Status ¹	Explanation of Project Status	Actions
Individual Projects									
Dartford Library Plus	434	434	0	0	Real: Prudential - £120k, Dev Cons +£120k.	Approved virement of £120k prudential to Swanley Gateway, substituted by banked developer contributions.	Green	Timing and final costs still to be agreed.	
Tunbridge Wells Library	0	30	151	151	Real: Capital Receipt +£95k, Prudential +£41k, Dev Cons +£15k.	Overspend due to additional works required to conform to Building Control regulations and to settle final account. To be funded from underspend on Library modernisation, additional external contribution from TWBC and additional banked developer contributions.	Red	Project completion has been delayed and final scheme costs being agreed with the contractor.	
New Community Facilities at Edenbridge	0	31	0	0			Green		
Southborough Hub	250	390	-115	-115	Rephasing: -£115k	Rephasing of £115k to 2016-17 for further progression of project.	Amber	Scope of scheme under review.	
Tunbridge Wells Cultural Hub	0	0	0	0				Project to commence in later years but feasibility works currently being undertaken with revenue.	

Budget Book Heading	2015-16 cash limit per budget book (£000)	2015-16 Working Budget (£000)	2015-16 Variance (£000)	Variance Break-down (£000)	Rephasing / Real Variance and Funding Stream	Explanation of In-Year Variance >£100k	Project Status ¹	Explanation of Project Status	Actions
Sustainable Access to Maidstone Employment Areas	820	805	0	0			Green		
Sustainable access to Education & employment	200	187	0	0			Green		
Broadband	9,763	13,075	16	16	Real: grant	Additional grant expected for the Broadband Voucher scheme.	Green		
Superfast Extension Programme (SEP)	0	0	0	0				Project to commence in later years.	
Cyclopark	0	3	77	77	Real: prudential	From underspend on Swale Parklands and Incubator Development.	Green		
Empty Property Initiative	2,500	3,868	-1,268	-1,268	Rephasing: External other	Spend has been re-aligned to match expected loan repayments.	Green	This has no effect on the completion date of the project.	
Eurokent Road (East Kent)	62	68	0	0			Green		
Folkestone Heritage Quarter	680	948	0	0			Green		
Incubator Development	0	902	-65	-65	Real: -£65k prudential	-£65k to cover spend on Cyclopark.	Green		
Marsh Million	0	517	23	23	Real: External other	Expected match funding from partners	Green		
No Use Empty - Rented Affordable Homes	442	34	-34	-34	Real: External other	Will be used within the Extension Programme below	Green		

Budget Book Heading	2015-16 cash limit per budget book (£000)	2015-16 Working Budget (£000)	2015-16 Variance (£000)	Variance Break-down (£000)	Rephasing / Real Variance and Funding Stream	Explanation of In-Year Variance >£100k	Project Status ¹	Explanation of Project Status	Actions
No Use Empty - Rented Affordable Homes - Extension	673	673	-239	-239	Real: +£34k External other and Rephasing: £98k External other and -£175k prudential	£34k from the original programme above. Rephasing reflecting expected loans taken up.	Green	This has no effect on the completion date of the project.	
Old Town Hall, Gravesend	0	27	0	0			Green		
Regeneration Fund Projects	0	212	0	0			Green		
Regional Growth Fund - Expansion East Kent	2,141	15,286	0	0			Green		
Regional Growth Fund - Journey Time Improvement (JTI)	3,577	3,554	0	0			Green		
Rural Broadband Demonstration Project	0	48	65	65	Real: +£65k prudential	Funding diverted from the Superfast Extension Programme to complete this project, original underspend from this project was used to fund SEP.	Amber		
Swale Parklands	0	12	-12	-12	Real: prudential	To cover overspend on Cyclopark	Green		
TIGER	2,522	1,699	0	0			Green		
Escalate	311	527	0	0			Green		
Rendezvous Hotel	0	0	0	0				Project to commence in later years.	

Budget Book Heading	2015-16 cash limit per budget book (£000)	2015-16 Working Budget (£000)	2015-16 Variance (£000)	Variance Break-down (£000)	Rephasing / Real Variance and Funding Stream	Explanation of In-Year Variance >£100k	Project Status ¹	Explanation of Project Status	Actions
Energy and Water Efficiency Investment Fund - External	185	278	0	0			Green		
Energy Reduction and Water Efficiency Investment - KCC	138	256	0	0			Green		
Sandwich Sea Defences	435	435	0	0			Green	Project complete.	
Coldharbour Gypsy site	0	0	0	0			Green	Project complete.	
Household Waste Recycling Centres (HWRCs) and Transfer Stations (TSs):									
Richborough Closed Landfill site- Emergency Works	200	400	0	0			Green		
Sturry Road Closed Landfill site- Emergency Works	150	199	0	0			Green		
TS/HWRC - Swale	2,780	3,050	0	0			Green		
Kent Highway Services:									
East Kent Access Phase 2 - Major Road Scheme	2,524	2,298	-799	-799	Rephasing: prudential revenue.	Rephasing to cover land compensation payments in future years.	Green	Scheme is complete.	

Budget Book Heading	2015-16 cash limit per budget book (£000)	2015-16 Working Budget (£000)	2015-16 Variance (£000)	Variance Break-down (£000)	Rephasing / Real Variance and Funding Stream	Explanation of In-Year Variance >£100k	Project Status ¹	Explanation of Project Status	Actions
Rathmore Road Link	1,530	2,034	-294	-294	Rephasing: grant	Start of contract works rephased to 2016-17 until formal approval of SELEP funding obtained.	Green*		
Kent Thameside Strategic Transport Programme	430	428	-228	-228	Rephasing: grant	Budget reprofiled as several schemes will not progress to detailed design until 2016-17.	Green	No impact on completion date.	
Lorry Park	1,990	2,000	0	0				Location, scope and costs are under review.	
North Farm Longfield Road, Tunbridge Wells	1,021	3,232	0	0			Green		
Rushenden Link (Sheppey) - major road scheme	609	700	-542	-542	Rephasing: prudential	Rephasing to cover land compensation payments in future years.	Green	Scheme is complete.	
Sandwich Highways Depot	0	0	0	0				Project to commence in later years.	
Sittingbourne Northern Relief Road - major road scheme	1,418	1,834	-1,000	-1,000	Rephasing: developer contributions	Rephasing to cover land compensation payments in future years.	Green	Scheme is complete.	
Street Lighting Column - Replacement Scheme	1,250	1,779	0	0			Green		
Street Lighting Timing - Invest to Save	0	0	0	0			Green	Project complete.	
Thanet Park Way	1,000	2,100	0	0			Green		

Budget Book Heading	2015-16 cash limit per budget book (£000)	2015-16 Working Budget (£000)	2015-16 Variance (£000)	Variance Break-down (£000)	Rephasing / Real Variance and Funding Stream	Explanation of In-Year Variance >£100k	Project Status ¹	Explanation of Project Status	Actions
Westwood Relief Strategy - Poorhole Lane Improvement	435	1,327	0	0			Green	Scheme completed 30/07/15 but awaiting final accounts.	
LED Conversion	4,000	4,000	-2,400	-2,400	Rephasing: loan	Rephasing of £2.4m to 2016-17 as tender invitation extended and therefore start of works delayed until March 16.	Green	No impact on completion date.	
Sittingbourne Town centre regeneration	4,500	2,500	-2,500	-2,500	Rephasing: grant	This scheme will be delivered by a third party (Spirit of Sittingbourne) in 2016-17. The £2.5m budget will be rephased to 2016-17 to reflect revised timescales following submission of the final business case to SELEP.	Green*		
Middle Deal Transport Improvements	1,500	1,500	-1,500	-1,500	Rephasing: grant and developer contributions	This scheme will be delivered by a third party in 2016-17 and the final business case is due to be submitted to SELEP in September 2015. The budget is being re-profiled to reflect revised timescales.	Green*		

Budget Book Heading	2015-16 cash limit per budget book (£000)	2015-16 Working Budget (£000)	2015-16 Variance (£000)	Variance Break-down (£000)	Rephasing / Real Variance and Funding Stream	Explanation of In-Year Variance >£100k	Project Status ¹	Explanation of Project Status	Actions
A28 Chart Road, Ashford	1,340	1,776	-380	-380	Rephasing: developer contributions	The budget has been reprofiled to reflect the anticipated work programme for 2015-16. The final business case is to be submitted to SELEP in late 2015-16.	Green*		
Victoria Way	0	484	0	0			Green		
Drovers Roundabout junction	0	154	0	0			Green		
M20 Junction 4 Eastern Over bridge	2,800	2,799	-2,090	-2,090	Rephasing: developer contributions	The original budget was profiled on the initial business case submitted to SELEP for LGF funding. The business case has now been formalised and the budget is being re-profiled accordingly. The main contract will start in spring 2016.	Green*		
A26 London Rd/Staplehurst Rd/Yew Tree Junction	1,200	1,192	-936	-936	Rephasing: grant	The original budget was profiled on the initial business case submitted to SELEP for LGF funding. The business case has now been formalised and the budget is being re-profiled accordingly.	Green*		

Budget Book Heading	2015-16 cash limit per budget book (£000)	2015-16 Working Budget (£000)	2015-16 Variance (£000)	Variance Break-down (£000)	Rephasing / Real Variance and Funding Stream	Explanation of In-Year Variance >£100k	Project Status ¹	Explanation of Project Status	Actions
A28 Sturry Rural Integrated Transport Package - Canterbury	520	537	-519	-519	Rephasing: -£269k grant. -£250k developer contributions	The original budget was profiled on the initial Business Case submitted to SELEP for LGF funding. The majority of spend will now be incurred in 2016-17 so the budget is being re-profiled accordingly.	Green*		
Maidstone Gyratory Bypass	500	416	260	260	Rephasing: grant	The original budget was profiled on the initial business case submitted to SELEP for LGF funding. The business case has now been formalised and the budget is therefore being re-profiled accordingly. Grant received in 2015-16 to cover expenditure.	Green		
Folkestone Seafront	500	490	0	0			Green		

Budget Book Heading	2015-16 cash limit per budget book (£000)	2015-16 Working Budget (£000)	2015-16 Variance (£000)	Variance Break-down (£000)	Rephasing / Real Variance and Funding Stream	Explanation of In-Year Variance >£100k	Project Status ¹	Explanation of Project Status	Actions
Tonbridge Town Centre Regeneration	2,220	2,181	-620	-620	Rephasing: -£670k grant Real: +£50k grant	+£50k Footways works funded by Highways Major Maintenance. -£670k rephasing as the original budget was profiled on the initial business case submitted to SELEP for LGF funding. The business case has now been formalised and the budget is therefore being re-profiled accordingly.	Green*		
Sturry Link Road-Canterbury	250	238	0	0			Green		
West Kent Local Sustainable Transport- Tackling Congestion	965	946	0	0			Green		
Kent Strategic Congestion Management	800	787	0	0			Green		
Kent Sustainable Intervention programme for growth	500	484	-106	-106	Rephasing: grant	The original budget was profiled on the initial business case submitted to SELEP. Some schemes will commence in 2016-17.	Green*		

Budget Book Heading	2015-16 cash limit per budget book (£000)	2015-16 Working Budget (£000)	2015-16 Variance (£000)	Variance Break-down (£000)	Rephasing / Real Variance and Funding Stream	Explanation of In-Year Variance >£100k	Project Status ¹	Explanation of Project Status	Actions
Kent Thameside LSTF	2,428	2,408	-310	-310	Rephasing: grant	The original budget was profiled on the initial business case submitted to SELEP for LGF funding. The business case has now been formalised and the budget is being re-profiled accordingly. Detailed design stage has resulted in £310k rephased to 2016-17.	Green*		
M20 Junction 10a	5,000	0	0	0				Project removed from programme as there is no longer a direct role for KCC in promoting an interim scheme.	
Total	101,707	125,205	-15,644	-15,644					

* SELEP scheme timeframes are dependent upon final business case submissions. These schemes are currently shown as green although some re-profiling is required in line with the final business cases.

1. Status:

Green – on time and within budget

Amber – either delayed completion date or over budget

Red – both delayed completion and over budget

STRATEGIC & CORPORATE SERVICES DIRECTORATE
SEPTEMBER 2015-16 MONITORING REPORT

1. REVENUE

1.1		Cash Limit	Variance Before Mgmt Action	Mgmt Action	Net Variance after Mgmt Action	Roll forwards		Variance after Mgmt Action & Roll Fwd
						committed	uncommitted	
	Total Directorate (£k)	+71,512	-177	-	-177	-	-	-177

1.2 **Table 1** below details the revenue position by A-Z budget:

Budget Book Heading	Cash Limit			Variance	Explanation	Management Action/ Impact on MTFP/Budget Build
	Gross	Income	Net	Net		
	£'000	£'000	£'000	£'000	£'000	
Strategic & Corporate Services						
Strategic Management & Directorate Support Budgets	3,059.7	-5,168.2	-2,108.5	-50		
<u>Community Services</u>						
- Contact Centre & Citizens Advice Help Line	2,421.5	-387.3	2,034.2	+233	+186 A continuation from 2014-15 of the increased number and duration of calls to the Contact Centre, resulting in a need to increase staffing levels to maintain performance and delaying the ability to fully deliver savings.	Management Action identified includes a change to the telephony infrastructure which will increase functionality and promote efficiencies. Additionally, the Customer Service Design Programme is working with directorates to implement process changes which will help reduce call volumes and duration.
					+148 Increased costs of Cloud telephony system and Workforce Management system	The costs of the Cloud telephony system will require addressing as part of the 2016- 17 budget process.
					-101 Other minor variances, each below £100k in value	

Budget Book Heading	Cash Limit			Variance	Explanation	Management Action/ Impact on MTFP/Budget Build	
	Gross	Income	Net	Net			
	£'000	£'000	£'000	£'000	£'000		
- Gateways & Customer Relationship	1,315.0	-35.0	1,280.0	+186	+274	Delivery of the 2015-16 saving of £0.390m has been delayed pending the restructure of the Engagement, Organisation Design & Development division.	Management action has already reduced the overall pressure. The proposed restructure of the division together with further management action is expected to address the residual pressure, so there should be no impact on 2016-17 budget.
					-88	Other minor variances	
	3,736.5	-422.3	3,314.2	+419			
<u>Local Democracy</u>							
- Community Engagement	328.0	0.0	328.0	+36			
- County Council Elections	570.0	0.0	570.0	0			
- Local Member Grants	2,704.4	0.0	2,704.4	0			
- Partnership arrangements with District Councils	2,163.2	0.0	2,163.2	0			
	5,765.6	0.0	5,765.6	+36			
<u>Support to Frontline Services</u>							
- Business Services Centre	40,993.6	-40,993.6	0.0	-345	-400	Staffing vacancies originally held pending the outcome of the back office procurement process	
					-142	Additional external income following increased demand for teacher recruitment	
					+197	Other minor variances including costs of project management, recruitment and legal fees, each below £100k in value	
- Business Strategy	3,216.3	-82.0	3,134.3	-27			
- Communications & Consultation	3,055.1	-531.0	2,524.1	-229	-94	Staffing vacancies held pending restructure of the Engagement, Organisation Design & Development division	
					-135	Other minor variances, each below £100k in value	
- Democratic & Members	3,793.1	-142.0	3,651.1	-26			

Budget Book Heading	Cash Limit			Variance	Explanation	Management Action/ Impact on MTFP/Budget Build
	Gross	Income	Net	Net		
	£'000	£'000	£'000	£'000	£'000	
- Finance & Procurement	18,525.7	-8,192.6	10,333.1	-42	+97	Staffing overspend, which includes the use of additional senior finance staff on the Back Office Procurement project. This overspend is offset by other savings on non staffing and additional income which are included in the minor variances below.
					-139	Other minor variances, each below £100k in value
- Human Resources	9,017.4	-1,301.9	7,715.5	-81		
- Information, Communications & Technology	16,847.4	-1,742.8	15,104.6	+420	+139	Increase in one-off Managed Print Service project implementation costs
					+158	Increased maintenance charge for data storage
					+123	Other minor variances, each below £100k in value
- Legal Services & Information Governance	8,688.5	-10,872.2	-2,183.7	0	+386	Increased use of agency staff due to a number of unexpected vacancies and to provide cover for legal staff working on Facing the Challenge, together with an increased demand for legal services.
					-499	Anticipated increase in internal income based upon last year's income levels together with increased demand for legal services
					+113	Other minor variances, each below £100k in value
- Property & Infrastructure Support	33,018.3	-8,756.3	24,262.0	-252		Minor variances relating to Corporate Landlord each below £100k in value

Budget Book Heading	Cash Limit			Variance	Explanation	Management Action/ Impact on MTFP/Budget Build
	Gross	Income	Net	Net		
	£'000	£'000	£'000	£'000	£'000	
- Transformation	0.0	0.0	0.0	0		see Financing Items (Annex 7) for details
	137,155.4	-72,614.4	64,541.0	-582		
Total S&CS	149,717.2	-78,204.9	71,512.3	-177		
Assumed Management Action						
Total S&CS Forecast <u>after</u> mgmt action	149,717.2	-78,204.9	71,512.3	-177		

2. KEY ACTIVITY INDICATORS AND BUDGET RISK ASSESSMENT MONITORING

2.1 Capital Receipts

The total forecast receipts expected to be banked during 2015-16 is **£15.030m**.

2.2 Capital Receipts Funding Capital Programme

	2015-16
	£'000
Banked capital receipts as at 31.03.15	21,974
Forecast receipts for 2015-16	15,030
Capital receipt funding required for capital programme in 2015-16	<u>22,118</u>
Potential Surplus / (Deficit) of Useable Capital Receipts	14,886

2.2.1 The total capital receipt funding required to fund projects in the capital programme per the latest forecasts for 2015-16 totals **£22.118m**.

Taking into account receipts banked in previous years which are available for use, the assumption that the forecast receipts are achieved in 2015-16 and the assumption that the capital receipt funding required for the capital programme does not change, there is a forecast surplus of useable capital receipts of **£14.886m** at the end of the year. Any surplus receipts are required to fund future capital expenditure.

3. CAPITAL

3.1 The Strategic and Corporate Services working budget for 2015-16 is £27,658k. The forecast against the 2015-16 budget is £27,302k giving a variance of -£356k.

3.2 **Table 2** below details the S&CS Directorate Capital Position by Budget Book line.

Budget Book Heading	2015-16 cash limit per budget book (£000)	2015-16 Working Budget (£000)	2015-16 Variance (£000)	Variance Break-down (£000)	Rephasing / Real Variance and Funding Stream	Explanation of In-Year Variance >£100k	Project Status ¹	Explanation of Project Status	Actions
Rolling Programmes									
Corporate Property Strategic Capital	2,650	2,530	-110	-110	Real: Grant	Budget adjustment to reflect use of grant within revenue.	Green		
Disposal Costs	250	250	400	400	Real: Capital receipts	Increased forecast reflects the capitalisation of security costs to protect the value of KCC assets.	Amber	Amber status reflects increased forecast.	
Modernisation of Assets	3,152	3,958	0	0			Green		
Individual Projects									
Building Information Modelling (BIM)	65	123	0	0			Green		
Connecting with Kent	0	97	0	0			Green		
Customer Relationship Management Solution	842	842	0	0			Amber	Amber until completion date agreed.	

Budget Book Heading	2015-16 cash limit per budget book (£000)	2015-16 Working Budget (£000)	2015-16 Variance (£000)	Variance Break-down (£000)	Rephasing / Real Variance and Funding Stream	Explanation of In-Year Variance >£100k	Project Status ¹	Explanation of Project Status	Actions
Electronic Document Management Solution (EDMS) (known as Electronic Document & Records Management (EDRM))	1,276	1,400	-1,200	-1,200	Rephasing: -£1,200k capital receipt	Phase 1 delivered & completed. Project Board proposed closure of current project and to use Phase 1 assets & knowledge to inform a re-scoped business requirement for a Phase 2 EDMS delivery which will take place next financial year.	Amber		
Enterprise Resource Programme	0	62	0	0			Green		
Herne Bay Gateway	427	476	0	0			Green		
HR System Development	60	59	0	0			Green		
Innovative Schemes Fund	0	242	-122	-122	Real: +£115k external funding and -£73k capital receipt Rephasing: -£164k Capital receipt	-£73k to be used to fund an overspend on the PAMS project below +£115k towards a software solution to monitor developer contributions across the authority. -£164k rephasing of remaining budget which will not now be required until next financial year.	Green		
LIVE Margate	4,032	5,125	0	0			Green		
New Ways of Working	4,200	8,627	0	0			Green		

Budget Book Heading	2015-16 cash limit per budget book (£000)	2015-16 Working Budget (£000)	2015-16 Variance (£000)	Variance Break-down (£000)	Rephasing / Real Variance and Funding Stream	Explanation of In-Year Variance >£100k	Project Status ¹	Explanation of Project Status	Actions
Property Asset Management System	0	54	73	73	Real: Capital receipts	£73k additional funding is required to complete phase 1 of this project. To be funded from the underspend on the Innovative Schemes Fund above.	Amber	The amber status reflects the need for additional funding which has had to be found from elsewhere within the S&CS capital programme. The revised completion date of 31st December 2015 has been previously reported.	
Property Investment & Acquisition Fund	3,000	3,000	600	600	Rephasing: Capital receipts	A strategic acquisition approved in October will now complete in 2015-16.	Green		
Swanley Gateway	308	502	124	124	Real: +£4k External other and +£120k prudential (virement from Dartford Library)	Additional monies for unforeseen roofing costs, asbestos removal and extra steel bracing.	Amber	Amber status reflects unforeseen additional costs.	Increase 2015-16 cash limit: £4k external other and £120k prudential
Web Redevelopment Programme	320	311	-121	-121	Rephasing: -£121k prudential revenue	The future of this project has an ambitious design, development & build programme causing some developments to be rephased into 2016-17.	Green	Revised completion date of 31st March 2017 has been previously reported.	
S&CS Directorate	20,582	27,658	-356	-356					

1. Status:

Green – on time and within budget

Amber – either delayed completion date or over budget

Red – both delayed completion and over budget

FINANCING ITEMS
SEPTEMBER 2015-16 MONITORING REPORT

1. REVENUE

1.1	Cash Limit	Variance Before Mgmt Action	Mgmt Action	Net Variance after Mgmt Action	Roll forwards		Variance after Mgmt Action & Roll Fwd
					committed	uncommitted	
Total (£k)	+128,895	-3,149	-	-3,149	-	-	-3,149

1.2 **Table 1** below details the revenue position by A-Z budget:

Budget Book Heading	Cash Limit			Variance	Explanation	Management Action/ Impact on MTFP/Budget Build	
	Gross £'000	Income £'000	Net £'000	Net £'000			
Financing Items							
Audit Fees	314.0	0.0	314.0	-157	-157	This reflects the agreed audit fees as notified by our external auditors	This saving is expected to be ongoing and will be reflected in the 2016-19 MTFP
Carbon Reduction Commitment Levy	800.0	0.0	800.0	0			
Commercial Services (net contribution)	0.0	-6,700.0	-6,700.0	0			
Contribution to IT Asset Maintenance Reserve	2,352.0	0.0	2,352.0	0			
Contribution to/from Reserves	6,305.2	0.0	6,305.2	+997	+997	Forecast transfer to Insurance reserve of surplus on Insurance Fund (see below)	
Insurance Fund	4,999.0	0.0	4,999.0	-997	-997	Forecast surplus on Insurance Fund as the overall claim reserves have reduced in the first half of the year, in part due to a review of claims in the early part of the year by the current insurers in preparation for this year's insurance tender. This trend is unlikely to continue due to the increase in excess applied to Employers Liability & Public Liability claims for the 2015 policy year and the likely increase in claims activity during the winter period.	

Budget Book Heading	Cash Limit			Variance	Explanation		Management Action/ Impact on MTFP/Budget Build
	Gross	Income	Net	Net			
	£'000	£'000	£'000	£'000	£'000		
Modernisation of the Council	2,941.9	0.0	2,941.9	0			
Net Debt Charges (incl Investment Income)	128,508.0	-8,178.0	120,330.0	-342	-342	Increased interest on cash balances as a result of higher cash balances, investing for longer durations and increased dividends.	
Other	939.0	-36.0	903.0	0			
Unallocated	649.9	0.0	649.9	-2,650	-1,350	Additional Business Rate compensation grant, above the budgeted level, relating to reimbursement for the impact of tax changes incurred under the business rates retention scheme that were introduced in the 2012, 2013 & 2014 Autumn Statements.	
					-1,000	Estimated retained levy as a result of being in a Business Rate pool with 10 of the Kent District Councils. We have only recently finalised the accounting treatment for this, via a sign off of the 2014-15 accounts, hence why this was not reflected in the 2015-16 budget build. The cash will not be received until 2016-17 but we need to accrue for the income this year. This is our best estimate, the final figure will not be known until year end.	If a business rate pool is agreed for 2016-17, we will need to reflect a retained levy in the 2016-17 budget build, but this will not be confirmed until the autumn.
					-300	Additional Education Services Grant as a result of the expected number of schools converting to academy status during the year being lower than assumed when the budget was set.	

Budget Book Heading	Cash Limit			Variance	Explanation	Management Action/ Impact on MTFP/Budget Build
	Gross £'000	Income £'000	Net £'000	Net £'000		
					£'000 +2,071 -2,071	The Procurement & Commissioning saving previously held within Finance & Procurement in the S&CS Directorate has now been transferred to be held centrally within Financing Items. The report from our project partner (KPMG) has now been finalised. There are a number of proposals for delivering these savings in future years but for the current year, the recommendation is that this is to be delivered from tactical savings across the authority, the impact of which is also being reported against the Financing Items budget.
Underspend rolled forward from previous years	-4,000.0	0.0	-4,000.0	0		
Support to frontline services - Transformation	0.0	0.0	0.0	0	+5,396 -5,396 +404 -404 +4,246 -4,246 +730	0-25 Children's Services Transformation implementation Drawdown from reserves to meet the costs of 0-25 Children's Services Transformation implementation Adults Social Care Transformation Phase 2 design Drawdown from reserves to meet the costs of Adults Social Care Transformation Phase 2 design Adults Social Care Transformation Phase 2 implementation Drawdown from reserves to meet the costs of Adults Social Care Transformation Phase 2 implementation Facing the Challenge costs in excess of the budget of £2,264.8k, to be met by further drawdown from reserves

Budget Book Heading	Cash Limit			Variance	Explanation	Management Action/ Impact on MTFP/Budget Build
	Gross	Income	Net	Net		
	£'000	£'000	£'000	£'000	£'000 -730	Drawdown from reserves to meet the costs of Facing the Challenge in excess of the budgeted amount of £2,264.8k
Total Financing Items	143,809.0	-14,914.0	128,895.0	-3,149		
Assumed Management Action				0		
Total Fin Items Forecast <u>after</u> mgmt action	143,809.0	-14,914.0	128,895.0	-3,149		

2. KEY ACTIVITY INDICATORS AND BUDGET RISK ASSESSMENT MONITORING

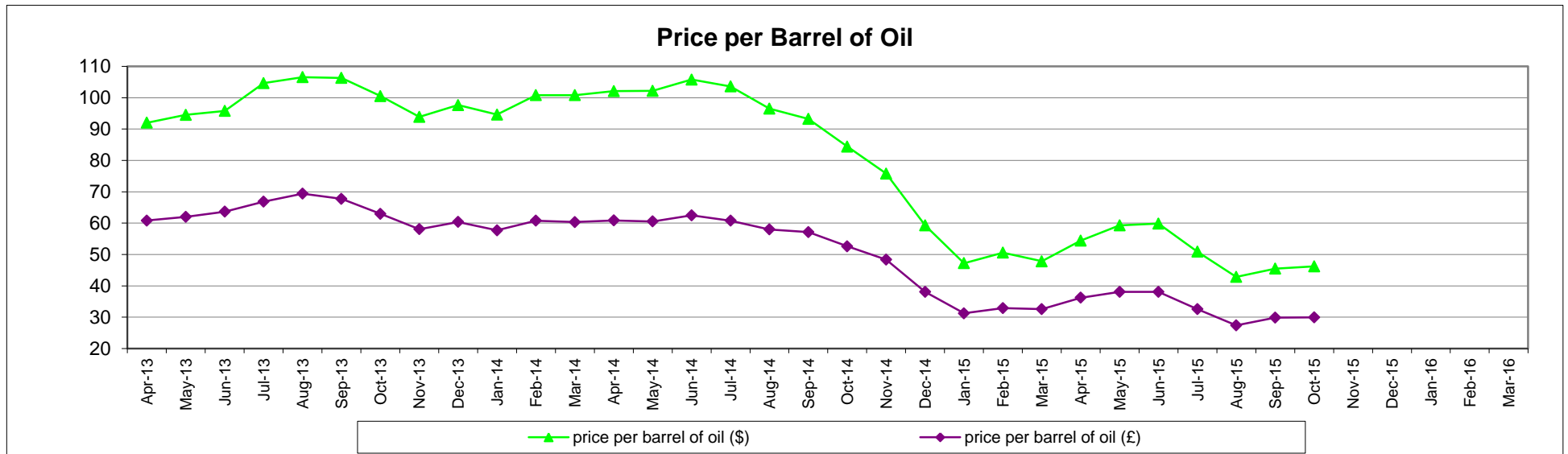
2.1 Price per Barrel of Oil - average monthly price in dollars:

	Price per Barrel of Oil		
	2013-14	2014-15	2015-16
	\$	\$	\$
Apr	92.02	102.07	54.45
May	94.51	102.18	59.26
Jun	95.77	105.79	59.82
Jul	104.67	103.59	50.90
Aug	106.57	96.54	42.87
Sep	106.29	93.21	45.48
Oct	100.54	84.40	46.22
Nov	93.86	75.79	
Dec	97.63	59.29	
Jan	94.62	47.22	
Feb	100.82	50.58	
Mar	100.80	47.82	

Comments:

- The figures quoted are the West Texas Intermediate Spot Price in dollars per barrel, monthly average price.
- The dollar price has been converted to a sterling price using exchange rates obtained from the HMRC UK trade info website.
- Fluctuations in oil prices affect many other costs such as heating, travel, and therefore transportation costs of all food, goods and services, and this will have an impact on all services provided by the Council.

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From: Paul Carter, Leader
 John Simmonds, Cabinet Member for Finance & Procurement
 and Deputy Leader
 Andy Wood, Corporate Director of Finance & Procurement

Subject: **KCC Autumn Budget Statement**

Classification: **Unrestricted**

Summary: This report sets out KCC's fiscal assumptions underlying the forthcoming 2016/17 budget proposals and Medium Term Financial Plan (MTFP). The assumptions have been drawn up ahead of the Chancellor's Autumn Statement and 2015 Spending Review (both due to be announced on 25th November). A verbal update on these key announcements and their impact on our assumptions will be made at the meeting although the local government finance settlement, which includes much of the detail, will not be announced until later in December (date yet to be confirmed). The updated assumptions from this report and subsequent announcements will be used as the basis of the national financial and economic context and budget strategy sections in the draft MTFP and draft 2016/17 budget due to be published on 11th January.

Recommendation(s):

Cabinet is asked to note the fiscal assumptions underpinning the forthcoming budget and MTFP and the potential impact of the Chancellor's announcements on 25th November.

Members are reminded that Section 106 of the Local Government Finance Act 1992 applies to any meeting where consideration is given to a matter relating to, or which might affect, the calculation of Council Tax.

Any Member of a Local Authority who is liable to pay Council Tax, and who has any unpaid Council Tax amount overdue for at least two months, even if there is an arrangement to pay off the arrears, must declare the fact that he/she is in arrears and must not cast their vote on anything related to KCC's Budget or Council Tax.

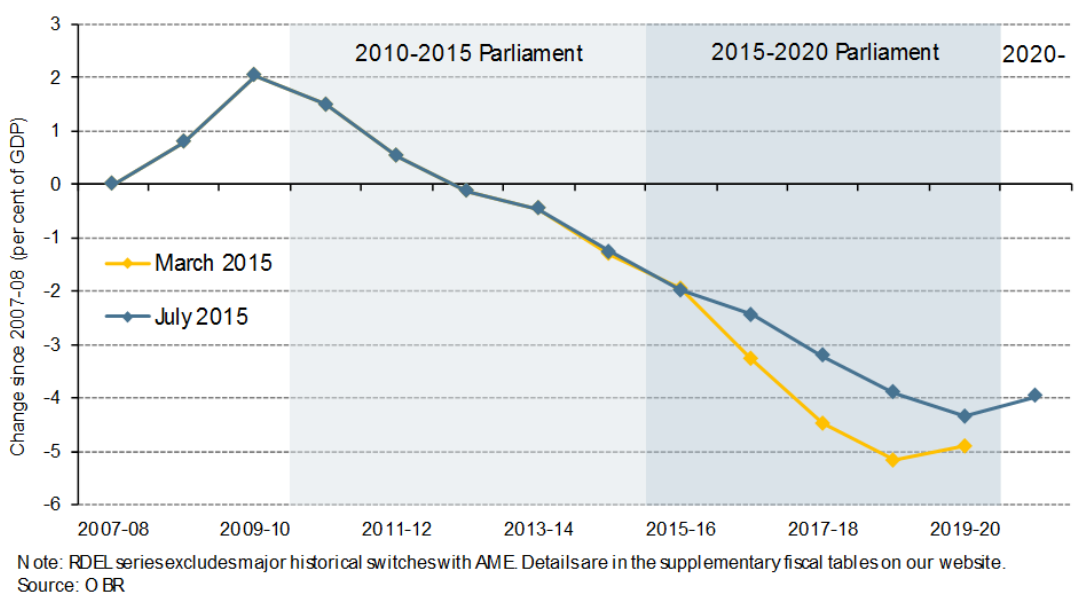
1. Introduction

1.1 Setting the Council's revenue and capital budgets continues to be exceptionally challenging due to increasing spending demands and reducing funding. 2016/17 looks likely to be the most difficult yet due to a number of other contributory factors (many of which have unknown consequences). The most significant of these factors is that we do not have any spending plans from central government beyond 2015/16, other than projections calculated by the Office for Budget Responsibility (OBR), which underpinned the Chancellor's summer budget statement.

1.2 Reproduced below is a chart from the OBR's latest "economic and fiscal outlook" which shows the predicted trend for Resource DEL if the government is to meet its deficit reduction target over the lifetime of the current parliament. Resource DEL represents the portion of public spending delegated to

government departments, this includes the grant funded elements for local government services i.e. the element funded out of un-ring-fenced grants¹ and ring-fenced specific grants e.g. Dedicated Schools Grant, Public Health Grant, grants to fund capital expenditure on roads and infrastructure, Asylum Grant, etc.² The other portion of public spend is Annually Managed Expenditure (AME) which principally includes welfare spend but also includes locally financed spending for local government services i.e. the element funded out of Council Tax and retained business rates .

Chart 1.6: Resource DEL as a share of GDP in successive Parliaments



- 1.3 The OBR forecast suggests reductions in spending as a % of Gross Domestic Product (GDP) are likely to be similar to those over the previous parliament. However, we will not know the impact for individual departments until after the Spending Review announcement. The Resource DEL is likely to be protected for some services (health, schools, defence, overseas aid), this means the reductions for unprotected departments (including grant funded local authority activity which is the largest unprotected budget) would be greater. The Institute for Fiscal Studies (IFS) has predicted the reduction could be as much as 12.6% in real terms for unprotected departments (excluding the impact of additional spending demands).
- 1.4 This report is not solely focussed on funding assumptions from central government. The report also includes analysis of funding assumptions from other sources i.e. Council Tax and Business Rates. This analysis includes an initial assessment of the Chancellor’s announcement about the future of business rates, although much of this is conjecture as the detail hasn’t been determined.
- 1.5 The report also considers the impact of additional spending demands on the budget in order to complete the picture on fiscal assumptions. During recent consultation we have been emphasising the reality that additional spending

¹ Reported as part of Resource DEL for the Department for Communities and Local Government (CLG)

² Reported under Resource DEL for the relevant department e.g. Department for Education (DfE), Department of Health (DoH), Department for Transport (DfT), Home Office, etc.

demands have been a bigger factor in contributing to the £433m savings we had to make since 2010 than funding reductions from central government. The fiscal assumptions suggest this trend will continue and if anything shift even further towards the need to find ways to fund additional spending demands.

2. Central Government Funding

2.1 The published MTFP for 2015/18 included our assumptions about the level of funding in the Local Government Finance Settlement for 2016/17 and 2017/18. These assumptions are shown in table 1 below. The settlement includes Revenue Support Grant (RSG) and Business Rate Baseline (BRB). It is worth noting that under the changes made in 2013/14 both RSG and BRB include a number of former separate grants³ as well as the previous Formula Grant (which itself included the transfer of various other grants in 2011/12). These transfers have been explained in full in previous versions of the MTFP and are summarised in Appendix 1 which sets out on the best possible like for like basis the impact of reductions and transfers over the last 5 years.

Table 1	2015/16	2016/17 Assumption		2017/18 Assumption	
	£m	£m	%	£m	%
Total Settlement	331.545	304.8	-8.2%	274.0	-10.0%
of which:					
Revenue Support Grant	161.005	130.0	-19.3%	95.0	-26.9%
Business Rate Baseline	170.540	174.8	2.5%	179.0	2.5%
of which:					
Top-up	122.939	126.0	2.5%	129.0	2.5%
Local Share (9%)	47.601	48.8	2.5%	50.0	2.5%

2.2 The assumptions have generally been rounded to the nearest £million as it would be pointless to show these to any greater degree of accuracy (on the basis this could imply a level of precision which is not merited). For 2016/17 we also assumed a further £5m of separate grants⁴ would be transferred into the RSG/BRB settlement, which effectively means the reduction is close to the 10% assumed for 2017/18. In preparing the MTFP for 2016/19 we are assuming a further 10% reduction in the overall settlement for 2018/19 reducing it from £274m in 2017/18 to £247m in 2018/19. These assumptions are within the 25% to 40% range departments were asked to consider in the Spending Review and will be updated following announcements of the Spending Review and provisional Local Government Finance Settlement.

2.3 Since we made the original assumptions in the published MTFP it is now likely that the uplift on BRB could well be less than the 2.5% we assumed. We will not know until the business rate multiplier is confirmed in December (this is usually based on September RPI, which this year was only 0.8%). We also have no indication whether the overall settlement will reflect a lower

³ Including Council Tax Freeze, Early Intervention Grant, Learning Disability Grant, Council Tax support, etc.

⁴ Business Rates Compensation, Extended Free Travel, Lead Local Flood, etc.

business rate multiplier, or whether there will be compensation via a lesser reduction in RSG than assumed.

2.4 Since the current arrangements were introduced in 2013/14 the individual grants within the settlement have not been recalculated and have simply been reduced pro rata. CLG have been criticised about this approach, in particular the National Audit Office (NAO) report “financial sustainability of local authorities” published in November 2014 concluded that authorities had faced a 37% reduction in central government funding in real terms⁵. The report also concluded (among other things):

- *CLG’s main indicator of the change to local authority income does not give it a measure of the scale of financial challenge facing local authorities over time – criticism of spending power calculation*
- *Authorities that depend most on government grants have been affected most by government funding reductions and reforms – criticism of pro rata reductions*
- *CLG expects local government to manage future funding reductions by transforming the way they deliver services but has limited understanding of the size and timing of resulting savings*
- *CLG used partial information to comment to HM Treasury on a proposed 10% reduction in the main component of government funding to local authorities in 2015/16 – criticism of input into previous Spending Review*
- *CLG does not monitor the impact of funding reductions on services in a coordinated way*

2.5 We endorse all of these NOA conclusions and that as a consequence there are real concerns about the financial sustainability of some local authorities. Our only issue is that the NAO did not also take into account in their report the additional spending demands which authorities have faced over the last 5 years. We are optimistic that CLG has had regard to these NAO conclusions and submissions made as part of current Spending Review leading to better targeted funding changes in future settlements. This gives us cause to be hopeful that settlements could be better than the 10% reduction per annum currently included in fiscal assumptions outlined in in table 1 and paragraph 2.2.

2.6 KCC has a standing policy that we must change ring-fenced spending in line with any changes in specific grants from CLG and other government departments. This ensures a fiscally neutral impact and that the council does not end up topping-up funds following specific grant reductions from the overall funding available through the settlement, Council Tax/Business rates, and any other un-ring-fenced grants which constitute the council’s net budget requirement. Specific grants usually get announced around the same time as the local government finance settlement although have also been known to follow some time later.

3. Other Sources of Funding

⁵ Compatible with the 30% reduction in cash terms shown in appendix 1 after taking into transfers

Council Tax

3.1 The county's share of Council Tax is the most significant source of funding. In 2015/16 Council Tax funded over 60% of the net budget requirement. The Council Tax assumptions comprise of 3 key elements:

- The tax base – largely governed by legislation with discretionary aspects determined by district councils
- The band D tax rate – determined by county/district/police/fire/parish for their particular areas
- Collection fund balance – calculated by districts

3.2 The tax base is calculated by district councils. We usually receive notification of provisional base calculations during December and the final tax base calculations have to be supplied by the end of January. The key elements of the tax base are the number of properties on the Valuation Office Agency (VOA) list, number of exemptions, single person's discount and impact of council tax reduction schemes. Other lesser issues which affect the tax base are empty property discounts, losses on collection and estimated new builds. Table 2 shows the composition of the 2015/16 tax base estimate.

Table 2	Number of Dwellings	Band D Equivalent
Total on VOA List	644,583	635,704.13
Exemptions	12,163	-10,952.78
Disabled Reductions	3,502	-569.65
Net Dwellings	632,420	624,181.70
25% Single Persons Discount (SPD)	208,872	-46,923.73
Council Tax Reduction Schemes (CTRS)	78,567	-65,188.45
Empty Properties	3,291	-2,594.15
Other Discounts & Premiums	2,021	-262.28
Estimated New Dwellings	2,235	2,520.85
Contributions in Lieu		512.67
Losses on Collection		-8,541.08
Net Collectable Tax Base	634,655	503,705.54

Note figures in italics are not included in the totals for number of dwellings

3.3 The tax base has been steadily increasing over a number of years, with annual growth typically around 0.7%, mainly due to increased number of properties on VOA list. We have traditionally taken a cautious approach to planning for tax base increases and allowed 0.5% per annum increase within the fiscal assumptions for future years.

- 3.4 In each of the last 2 years we have witnessed larger increases (1.7% per annum). The higher than usual increase between 2013/14 and 2014/15 was put down to the one-off impact of transitional arrangements for Council Tax Reduction Schemes (CTRS)⁶. Analysis of the change in the tax base between 2014/15 and 2015/16 shows that around half is due to increase in the number of dwellings, around a third is due to less support being provided through CTRS, and the remainder due to other changes in discounts/exemptions and collection rates. This indicates that issues around the level of CTRS discounts are having an ongoing impact on the tax base and increases from new dwellings are slightly higher than historical trends.
- 3.5 We have been working with district councils to develop common arrangements for the calculation tax base estimates. The aim is to provide better information about the underlying factors behind tax base changes (demography, economic factors, local policy choices, etc.) as well as providing a more robust estimate. In particular we need to develop a better understanding of how employment levels and welfare reforms impact on CTRS now that schemes are embedded.
- 3.6 In the published MTFP for 2015/18 we had allowed for the customary 0.5% increase for new dwellings, but at the time we did not have sufficient information to include any impact on CTRS. We are now satisfied that we can increase this assumption to 1% in the revised budget plans for 2016/17. This is less than the 1.7% we have seen in the last 2 years as there are still concerns that welfare reforms proposed for 2016/17 could result in an increase in CTRS claims and discounts. We have agreed with districts to undertake a fundamental review of CTRS for 2017/18, and pending the outcome we have left future assumptions of tax base growth at 0.5% for future years.
- 3.7 The fiscal assumption for the KCC band D rate is based on an annual increase which does not exceed the referendum threshold (currently 2%). The referendum threshold has to be approved by parliament each year. In our current fiscal model the only increased funding likely to be available to fund additional spending demands comes from increased tax base and increases in the band D rate. Over the period of the current MTFP (2015/18) and the proposed MTFP (2016/19) this increased funding is not sufficient to cover all the anticipated additional spending demands. This means that additional savings need to be found not only to compensate for the anticipated funding reductions from central government, but also to cover the shortfall between spending demands and locally raised taxation.
- 3.8 We have also seen the in-year collection fund surpluses increase in recent years. In 2013/14 KCC's share of the declared surplus from the previous year was £2.2m, in 2014/15 this rose to £4m, and in 2015/16 it was up to £7.1m. Whilst a surplus is better than a deficit we need to work with district councils to arrest this rising trend, particularly as we have no indication of the level of collection fund balances until very late in the budget cycle. One of the aims from developing common arrangements is to produce more robust tax base estimate on which the budget is set. This should ensure lower collection fund surpluses in future. Traditionally the fiscal assumptions in the MTFP are

⁶ Transitional protection limited the reduction in pensioner's benefits to 8.5% compared to the default scheme which replicated previous Council Tax Benefit arrangements

based on zero balance as any surplus/deficit is one-off funding with the ongoing impact factored into tax base calculation.

Business Rates

3.9 Currently KCC's share of the localised business rates is relatively small. In two tier areas the business rates proceeds are split 50:40:9:1 between central government/district councils/county council/fire authority. KCC's 9% share in the BRB is £47.6m (as identified in table 1) based on historical tax base. Our 9% share of the estimated yield for 2015/16 (as with Council Tax we rely on district council estimates of the business rate tax base) is £49.2m. The additional £1.6m represents KCC's share of the growth compared to historical base.

3.10 The fiscal assumption in the MTFP for the local share of business rates income includes the £1.6m from previous growth (as identified in paragraph 3.9) but no further growth assumptions for 2016/17 and beyond. The County Council's share of any future growth is sufficiently small to be considered as immaterial in the fiscal assumptions. We have entered into a pool with a number of Kent districts and the Fire authority. The pool has a number of benefits from partnership working and sharing of risks. The County Council receives a share of the additional income available to the pool arising from the pool's ability to retain a greater share of business rate growth. This additional income is factored into the fiscal assumptions, although as with the local share of business rates we have not included any estimate for future growth.

3.11 The business rate tax base is more volatile than the Council Tax base, not least due to the large number of outstanding appeals from the quinquennial review of rateable values. A safety net protects authorities from unmanageable reductions in business rate tax base. The safety net is calculated as 92.5% of the total BRB. This means that after taking account of the top-up arrangements KCC's local share of the business rate would have to fall to £34.8m before the safety net kicks in. A fall of this magnitude would have significant economic consequences far greater the £14m loss on funding to the County Council.

Other

3.12 Income from other sources e.g. charges for services, contributions from other agencies, etc., is used to net down expenditure and does not contribute towards the net budget requirement. Changes in this income are reflected in savings plans. The funding assumptions in the approved 2015/18 MTFP and the latest estimates for the draft 2016/19 plan are shown in table 3 below.

Table 3	2015/18 MTFP					2016/19 Draft MTFP					
	2015/16	2016/17		2017/18		2016/17		2017/18		2018/19	
	£m	£m	%	£m	%	£m	%	£m	%	£m	%
Council Tax											
Base	549.0	551.8	0.5%	565.6	0.5%	554.8	1.0%	568.6	0.5%	582.9	0.5%
Band D Rate		11.0	2.0%	11.3	2.0%	11.1	2.0%	11.4	2.0%	11.7	2.0%
Collection Fund	7.1	0.0		0.0		0.0		0.0		0.0	
Business Rates											
Baseline	47.6	48.8	2.5%	50.0	2.5%	48.8	2.5%	50.0	2.5%	51.0	2.0%
Share of Local Growth	1.6	1.6		1.6		1.6		1.6		1.6	
Collection Fund	0.5	0.0		0.0		0.0		0.0		0.0	
Pool Income	1.0	1.0				1.0		1.0		1.0	

4. Future Business Rates Retention

- 4.1 The Chancellor of the Exchequer has announced his intention to allow local authorities to retain all of the proceeds from business rates raised locally. We have very little information how this arrangement will work and CLG has already said that it expects detailed and inclusive consultation with local government throughout 2016. CLG expects the necessary legislation to be drafted at the earliest opportunity (although this will not include much of the detail which would follow in regulations) and new arrangements to be implemented by the end of the current Parliament.
- 4.2 The announcement included ending the current grants funded from business rates (principally RSG), whilst retaining the existing principle of redistribution as a core part of the system. The current redistribution ensures that funds from areas with a high business rate yield (and low resident population needs) are redistributed to areas with high resident population needs (and low business rate yield). This redistribution under the new system is likely to be based on enhanced system of tariffs and top-ups. KCC has previously supported the concept of redistribution (even though the business rate yield in the county is higher than the amounts returned through the existing grant mechanisms and tariffs/top-ups). The announcement also indicated the abolition of current levy arrangements but retention of some sort of safety net protection from reductions in business rate income.
- 4.3 The announcement was clear that local government would continue to contribute to the programme of “fiscal consolidation” during the period of the forthcoming Spending Review. It was also clear that the new arrangements would be fiscally neutral. In other words we can expect to continue to see further reductions in RSG prior to the introduction of new arrangements and the new arrangements would come with additional responsibilities commensurate with the additional business rate income to be retained by authorities.
- 4.4 The announcement also included the ability for local authorities to be able to reduce business rates that individual businesses are asked to pay (but no detail how this power might work). It also included the ability for elected mayors to increase the rate in £ by 2p to fund infrastructure investment (although no detail how this differs from the existing power for upper tier authorities to levy supplementary business rates for economic development purposes).
- 4.5 The announcement is welcome, especially as it will allow authorities to retain a greater share of business rate growth (and thus an added incentive to promote growth). However, it is clear it will not be a panacea for the budget challenge over the next 2 to 3 years and much of the detail has not yet been considered let alone resolved. The combination of this announcement and the Spending Review carries a risk that RSG and other grants could reduce at a faster rate than our current fiscal assumptions outlined in this report.

5. Spending Demands

- 5.1 As well as estimates of future funding the MTFP also includes fiscal assumptions about future spending demands. As identified in paragraph 3.7, the additional funding estimated from Council Tax is generally not sufficient to cover all these demands. The estimated pressures include annual demands for reward payments for staff in the Kent scheme, pay increases for staff in other pay schemes, price increases on contracts, demands on services arising from demographic trends and the impact of financing additional borrowing within capital programme.
- 5.2 The spending demands also include any known issues from legislative changes and service strategy and improvement issues for individual services. In recent years we have also had to include the pressure to replace the use of one-off funding from reserves and underspends used to fund ongoing activity within the current year's budget. For the later years we have traditionally included a provision for emerging pressures.
- 5.3 Since 2014/15 the fiscal assumptions for both spending demands and funding in the later years of the MTFP have been set out in a high level summary showing the overall amount under each heading but no detail. Previously the MTFP had detailed plans for individual directorate/portfolios for three years, however, experience proved that the estimates for later years were unreliable and underwent substantial alteration as the plan was rolled out.
- 5.4 Detailed plans are published for the first year of the MTFP providing much more information about the assumptions underpinning the forthcoming budget. Even so experience has taught us that the allocation of some of the spending demands cannot be finalised in time for the publication of the draft budget and MTFP in January e.g. the impact of Kent scheme pay rewards, as full information is not available. The overall amount is a robust estimate, but the allocation cannot always be finalised prior to publishing the final budget in March after County Council approval.
- 5.5 The recent budget consultation included an update of the spending demands for 2016/17 and 2017/18 from those published in the approved MTFP for 2015/18. The consultation identified revised demands totalling £58.3m for 2016/17 and £41m for 2017/18 (compared to £56.4m and £38.1m in the approved MTFP). The new draft MTFP for 2016/19 is scheduled to be published on 11th January and will include further revised updates to take account of latest activity levels from the second quarter's monitoring reported elsewhere on this Cabinet agenda, latest inflation forecasts, and any other updates to ensure budget estimates are as robust as possible.
- 5.6 There are two significant risks which have not been included in the spending demand estimates to date, pending confirmation of funding arrangements in the Spending Review/Autumn Statement/local government finance settlement:
- Introduction of National Living Wage
 - Unaccompanied Asylum Seeker Grant
- 5.7 In the Summer Budget the Chancellor of the Exchequer announced the introduction on new National Living Wage (NLW) to replace the Minimum Wage. He announced that the rate outside London would be £7.20 from April

2016 (compared to a Minimum Wage of £6.50 per hour rising to £6.70 per hour from October 2015). The NLW is to be paid to all employees aged 25 and over, and is set to rise to 60% of median earnings (estimated £9 an hour) by 2020. The Budget Statement did not give any indication how the new policy would be funded either for the public sector settlement or the whole economy through taxation measures (unusually there was no mention of the cost of this announcement in the Budget Policy Decisions section of the report).

- 5.8 There is no immediate impact of NLW on Kent scheme employees as the bottom rate of KR2 scale is already more than £7.20 an hour. There will be an impact over time as this bottom rate would have to be accelerated at a faster rate than we have been able to pay in the last 2 years (which has included a minimum increase for the lowest paid staff at a higher percentage than the rewards for higher graded staff as part of KCC's long term aspiration of paying the rate recommended by the Living Wage Foundation).
- 5.9 There is much greater potential impact of NLW on contracted services, particularly social care contracts where many employers pay minimum wage. We are conscious that NLW will be a significant burden for these employers (as well as a number of other cost pressure issues) and contracts will have to be renegotiated. However, until we have a clearer idea whether (and if so, how) this government policy is to be funded it's difficult to make much headway on renegotiation, or include a figure in budget plans. This will need to be resolved before draft budget is published in January.
- 5.10 In the quarter 2 budget monitoring report we have identified a forecast overspend of £2.2m on support for unaccompanied asylum seekers. The grant arrangements for unaccompanied asylum seekers were changed this year, with a daily rate paid for those aged under 16 and those aged 16/17 (£114 and £91 respectively), and a weekly rate (£150) for those leaving care aged 18 plus. We have been given assurances that the influx of migrants over the summer will be fully funded and we have recently received notification of enhanced rates for 2015/16 (as reported in the monitoring report which has reduced the forecast overspend) but these have not yet been confirmed for 2016/17. Therefore, at this stage the fiscal assumptions presume that additional grant will be forthcoming and there will be no need to top-up asylum funding (or transfer costs of asylum as an added additional spending burden to be funded out of the net budget requirement).

6. Financial Implications

- 6.1 Table 4 shows the combined impact of our latest fiscal assumptions for central government grant, Council Tax and business rates leading to a forecast 5.6% cash reduction in the net budget requirement over the three years of the 2016/19 MTFP. Extending this trend over a fourth year gets close to the 12.6% reduction in real terms predicted by IFS (real terms reduction measures cash reduction against growing GDP and thus is inflated) although we have no detail how the IFS prediction has been calculated.

Table 4	2015/16		2016/17		2017/18		2018/19	
	£m	£m	%	£m	%	£m	%	
Local Taxation								
Council Tax (incl. Collection Fund)	556.113	565.9	1.7%	580.0	2.5%	594.5	2.5%	
Business Rates Local Share (excl. Pool)	49.678	50.4	1.4%	51.6	2.4%	52.6	1.9%	
Un-ring-fenced grants								
RSG	161.005	130.0	-23.9%	95.0	-26.9%	64.0	-32.6%	
Business Rate Top-up	122.939	126.0	2.5%	129.0	2.5%	132.0	2.0%	
Other	26.744	21.8	-22.7%	21.8	0.0%	21.8	0.0%	
Net Budget Requirement	916.478	894.1	-2.5%	877.4	-1.9%	864.9	-1.4%	

6.2 The combination of the fiscal funding assumptions (net £22.4m reduction) and spending demands (£58.3m increase in 2016/17) leads to the need for £80.7m of savings in 2016/17 (estimated £190m over the 2016/19 MTFP).

7. Conclusions

- 7.1 As indicated at the start of this report setting the budget is increasingly more challenging. The pattern of rising spending demands and reduced funding looks set to continue over the next 3 years; funding remains uncertain pending the Spending Review and local government finance settlement; and increasingly there are some big risks and/or unknown factors influencing the budget. The up-shot is that although we are planning for a modest Council Tax increase and the Council Tax base is growing faster than we had assumed, we still need to find substantial savings each year to balance the budget of an unprecedented scale.
- 7.2 Our scope for finding savings of this magnitude becomes increasingly more difficult as there is only so much which can be delivered through efficiencies and transformation. Inevitably this means we will have to look at other ways to balance the budget including reducing demand or managing down demand for services.
- 7.3 We have refocused budget consultation with a greater emphasis on communication campaign on the scale of the challenge and on the spending demands rather than funding reductions. This change in emphasis is consistent with the demand management approach which will be needed. As part and parcel of this members and managers throughout the organisation need to constantly challenge any additional spending and seek out alternative funding sources or delivery arrangements to ensure there is no impact on the net budget for the council.

8. Recommendations

- 8.1 Cabinet is asked to note the fiscal assumptions underpinning the forthcoming budget and MTFP and the potential impact of the Chancellor's announcements on 25th November.

9. Contact details

Report Author

- Dave Shipton, Head of Financial Strategy
- 01622 694597
- Dave.shipton@kent.gov.uk

Relevant Director:

- Andy Wood, Corporate Director Finance & Procurement
- 01622 694622
- Andy.wood@kent.gov.uk

Glossary

AME – Annually Managed Expenditure
BRB – Business Rate Baseline
CLG – Department for Communities and Local Government
CTRS – Council Tax Reduction Schemes
DfE – Department for Education
DfT – Department for Transport
DoH – Department of Health
GDP – Gross Domestic Product
IFS – Institute for Fiscal Studies
MTFP – Medium Term Financial Plan
OBR – Office for Budget Responsibility
NAO – National Audit Office
NLW – National Living Wage
RPI – Retail Prices Index
RSG – Revenue Support Grant
SPD – Single Person’s Discount
VOA – Valuation Office Agency

	2006/07 £m	2007/08 £m	2008/09 £m	2009/10 £m	2010/11 £m	2010/11 Adj £m	2011/12 £m	2011/12 Adj £m	2012/13 £m	2012/13 Adj £m	2013/14 £m	2014/15 £m	2015/16 £m
Kent													
Returned Business Rates	189.6	195.8	227.7	217.1	240.8	240.8	241.4	241.4	297.7	297.7			
Revenue Support Grant	36.6	32.9	31.7	50.1	35.0	35.0	74.6	74.6	5.8	5.8			
Added In						85.4		14.3		128.0			
New Business Rate Baseline											164.1	167.3	170.5
New Revenue Support Grant											246.7	213.1	161.0
Total	226.2	228.7	259.4	267.2	275.7	361.1	316.0	330.3	303.4	431.4	410.9	380.4	331.5
		1.1%	13.4%	3.0%	3.2%		-12.5%		-8.1%		-4.8%	-7.4%	-12.9%
Shire Counties													
Returned Business Rates	2,589.1	2,723.6	3,242.4	3,121.8	3,486.6	3,486.6	3,473.0	3,473.0	4,280.5	4,280.5			
Revenue Support Grant	499.8	457.1	451.4	720.6	506.3	506.3	1,073.5	1,073.5	83.0	83.0			
Added In						1,212.1		216.0		1,786.7			
New Business Rate Baseline											2,329.5	2,374.9	2,420.3
New Revenue Support Grant											3,501.6	3,033.0	2,350.7
Total	3,088.9	3,180.6	3,693.8	3,842.4	3,992.9	5,205.0	4,546.5	4,762.6	4,363.4	6,150.2	5,831.2	5,407.9	4,771.0
England													
Returned Business Rates	17,500.0	18,500.0	20,500.0	19,500.0	21,500.0	21,500.0	19,000.0	19,000.0	23,119.0	23,119.0			
Revenue Support Grant	3,378.1	3,104.7	2,853.8	4,500.9	3,122.0	3,122.0	5,873.0	5,873.0	448.2	448.2			
Added In						3,659.1		652.2		6,832.7			
Police (removed)										-3,213.2			
New Business Rate Baseline											10,898.6	11,110.9	11,323.2
New Revenue Support Grant											15,175.4	12,674.8	9,509.4
Total	20,878.1	21,604.7	23,353.8	24,000.9	24,622.0	28,281.1	24,873.0	25,525.1	23,567.2	27,186.7	26,074.0	23,785.6	20,832.5
Notes													
Funding for 2010/11, 2011/12 and 2012/13 is adjusted to reflect the transfer into the main settlement of previous separate grants e.g. Area Based Grant, Council Tax Freeze Grant, Council Tax Support, etc. to allow valid year on year comparisons													
Adjusted 2010/11 includes in-year reductions in some grants transferring into main settlement in 2011/12 and thus does not reflect full impact of reductions													
Reductions in 2011/12 and 2013/14 do not include impact of Early Intervention Grant (EIG) or Local Authority Central Share Equivalent Grant (LACSEG) which compound reductions in RSG													
Shire counties between 2006/07 to 2008/09 exclude the seven counties which adopted unitary status in 2009 for consistency of presentation													

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From: Paul Carter – Leader and Cabinet Member for Business Strategy, Audit and Transformation
David Cockburn – Corporate Director, Strategic and Corporate Services

To: Cabinet – 30 November 2015

Subject: **Quarterly Performance Report, Quarter 2, 2015/16**

Classification: Unrestricted

Summary: The purpose of the Quarterly Performance Report is to inform Cabinet about the key areas of performance for the authority.

Recommendation(s):

Cabinet is asked to note the Quarter 2, 2015/16 Performance Report.

1. Introduction

- 1.1. The KCC Quarterly Performance Report for Quarter 2, 2015/16 is attached at Appendix
- 1.2. The Quarterly Performance Report (QPR) is a key mechanism within the Performance Management Framework for the Council.
- 1.3. The report includes 39 Key Performance Indicators (KPIs) where results are assessed against Targets set out in Directorate Business Plans at the start of the year.

2. Quarter 2 Performance

- 2.1. Results against Target for KPIs are assessed using a Red/Amber/Green (RAG) status.
- 2.2. Of the 39 Key Performance Indicators included in the report, the latest RAG status are as follows:
 - 23 are rated Green - target achieved or exceeded,
 - 15 are rated Amber – below target but above minimum floor standard
 - 1 has no reporting this quarter.
- 2.3. There were 10 changes of RAG status, six of which were positive movements with four improving from Amber to Green and two from Red to Amber. There were four negative movements, with indicators reducing from Green to Amber.
- 2.4. Net Direction of Travel was positive with eighteen (18) indicators improving and sixteen (16) showing a fall in performance.

3. Recommendation(s)

Recommendation(s):

Cabinet is asked to note the Quarter 2, 2015/16 Performance Report.

4. Contact details

Report Author: Richard Fitzgerald
Business Intelligence Manager - Performance
Strategic Business Development & Intelligence
03000 416091
richard.fitzgerald@kent.gov.uk

Relevant Director: Emma Mitchell
Director of Strategic Business Development & Intelligence
03000 421995
Emma.mitchell@kent.gov.uk

Kent County Council

Quarterly Performance Report

Quarter 2

2015/16

Produced by: KCC Strategic Business Development and Intelligence
E-mail: performance@kent.gov.uk
Phone: 03000 416091



Key to KPI Ratings used

This report includes 39 Key Performance Indicators (KPIs), where progress is assessed against Targets which are set at the start of the financial year through the Council's Directorate Business Plans. Progress against Target is assessed by RAG (Red/Amber/Green) ratings. Progress is also assessed in terms of Direction of Travel (DoT) through use of arrows.

GREEN	Target has been achieved or exceeded
AMBER	Performance at acceptable level, below Target but above Floor
RED	Performance is below a pre-defined Floor Standard *
↑	Performance has improved
↓	Performance has worsened
↔	Performance has remained the same
N/A	Not available

* Floor Standards represent the minimum level of acceptable performance.

Key to Activity Indicator Graphs

Alongside the Key Performance Indicators this report includes a number of Activity Indicators which present demand levels for services or other contextual information.

Graphs for activity indicators are shown either with national benchmarks or in many cases with Upper and Lower Thresholds which represent the range we expect activity to fall within. Thresholds are based on past trends and other benchmark information.

If activity falls outside of the Thresholds, this is an indication that demand has risen above or below expectations and this may have consequences for the council in terms of additional or reduced costs.

Activity is closely monitored as part of the overall management information to ensure the council reacts appropriately to changing levels of demand.

Data quality note

All data included in this report for the current financial year is provisional unaudited data and is categorised as management information. All current in-year results may therefore be subject to later revision.

Executive Summary (1)

Customer Services and Contact

KPI Summary	GREEN	AMBER	RED
Customer Services and Contact	2	2	

Performance for the percentage of calls answered by Contact Point (KCC's call centre) remained above target during the quarter and caller satisfaction with Contact Point advisors also remained at a high level. Performance for complaints handled in timescale slipped below target and user satisfaction with the KCC web-site also declined slightly to below target.

Call volumes handled by Contact Point showed the usual seasonal fluctuation in the quarter and were 7.4% higher than last quarter and 1% less than the same time last year. Overall call volumes handled in the last 12 months were 0.5% lower than the previous year. The average call handling time has remained at 3 minutes 10 seconds for the last two quarters.

The number of visits to the KCC web-site increased in the quarter and is within the expected range for this quarter.

Top three Services for calls to Contact Point

Figures in thousands of telephone calls	Yr to Sep 2014	Yr to Sep 2015
Adult Social Care	145	162
Specialist Children's Services	102	111
Highway Services	124	107

Top three Transactions completed online

	Transactions last 12 mths	Online/Digital Jul-Sep 15
Renew a library book (count of books renewed)	755,039	95%
Report a Highways Fault	95,461	28%
Apply for a Young Person's Travel Pass	39,795	60%

Executive Summary (2)

Growth, Environment and Transport

KPI Summary	GREEN	AMBER	RED
Economic Development	1	1	
Highways and Transportation	4		
Waste Management	2		
Environment, Planning and Enforcement	1		
TOTAL	8	1	

Economic Development: A total of 2,513 Full Time Equivalent jobs had been created or safeguarded by the Regional Growth Fund schemes in Kent up to the end of September 2015, providing a strong boost to the Kent economy, and completing delivery of 45% of the overall target of 5,600 jobs to be created or safeguarded by these schemes by 2019. There were 131 long term empty properties returned to use through the NUE programme in the current quarter. The cumulative total of long term empty properties returned since the inception of NUE in 2005 stands at 4,157.

Highways and Transportation: Performance is above target on all four measures. Customer demand in the quarter was in line with expectations and whilst open enquiry work in progress has increased, this is within our expected range for this time of year.

Waste Management: Performance for diversion of waste from landfill was above target at 91%, which is 3% higher than a year ago. Performance for recycling and composting at Household Waste Recycling Centres declined by 0.4%, due to more recycling options now available at the kerbside from the Waste Collection Authorities, and this is less of a decline than expected, so is above target. Waste arisings in the last 12 months were 709,000 tonnes, down from 717,000 in the 12 months to September 2014.

Environment, Planning and Enforcement: The Division continues to deliver on a wide range of projects including work with partner agencies in seeking a more effective solution for Operation Stack. Data for the Carbon Dioxide emissions indicator shows that we continue to be ahead of target with strong performance across all areas of energy and fuel use.

Libraries, Registration and Archives: There continues to be a decline in the number of visits to libraries and the number of book issues which generally follows the national trend. However, this quarter the decline in book issues has slowed, this may be related to the fact that we now offer free reservations to customers as these have increased since April when this was introduced. The recent award of an Arts Council grant to install wi-fi in the 66 Kent libraries which do not yet have it, is likely to have a positive impact on the number of visits. Initial responses to customer surveys in the Registration Service are showing high levels of satisfaction.

Executive Summary (3)

Education and Young People's Services

KPI Summary	GREEN	AMBER	RED
Education Quality and Standards	1	2	
Education Planning and Access		1	
Early Help and Preventative Services	3	1	
TOTAL	4	4	

Education Quality and Standards: The percentage of schools that are Good or Outstanding is 82% which is on target, and in line with the national average. The percentage of Early Years settings which are Good or Outstanding at 88% is ahead of the national average although below the ambitious target of 92%. The percentage of 16-18 year olds who are NEET was behind target at the end of June and a September figure is not reported as with the start of the new academic year it will take a few months to correctly identify changes in status for young people. Apprenticeship starts for 16-18 year olds increased during the last academic year and reached a new high after two years of stable numbers. The percentage of young people aged 18 to 24 claiming Job Seekers Allowance was at 2.4% at the end of September, down considerably from the peak of 7.5% in March 2012.

Education Planning and Access: The September 2014 Children and Families Act saw the introduction of Education, Health and Care Plans (EHCPs) which replaced the previous Statements of SEN. The percentage of EHCPs issued within 20 weeks was 87% in the quarter to September, an improvement on the previous quarter but below the target of 90%, with continuing additional demands to convert existing SEN Statements to EHCPs. Kent continues to maintain an ambitious pace to achieve all its conversions earlier than the April 2018 deadline. Annual increases in the number of Reception year children continues, with this trend now also being seen in Year 7, as the previous Primary increases feed into Secondary stage education.

Early Help and Preventative Services: The percentage of Early Help cases closed with a positive outcome increased last quarter from 74% to 78%. There was a time-limited targeted piece of work in the quarter focusing on closing cases open for a significant length of time in order to ensure the caseload is accurate and current. Throughput remains high and is a positive indicator of success for the new ways of working. The 'step down' of Children in Need cases to Early Help Preventative Services at 24% remains above target. For permanent exclusions, the rolling 12 months total rose in the quarter to 108, with performance continuing to be better than national average. The number of first time entrants to the Youth Justice system has shown further reduction ahead of target. The percentage of the targeted population, those living in the most 30% deprived LSOAs, who are registered at Children's Centres, remains around 78% and the improvement plan for Children's Centres will ensure further focused work around engagement with target groups.

Executive Summary (4)

Social Care, Health and Well Being

KPI Summary	GREEN	AMBER	RED
Children's Safeguarding	1	2	
Corporate Parenting	1	2	
Adult Social Care	5	2	
Public Health	2	2	
TOTAL	9	8	

Children's Safeguarding: The percentage of case holding Social Worker posts held by permanent qualified staff was 76% at the quarter end. The percentage of children becoming subject to a child protection plan for the second or subsequent time increased to 10% which was just at the target level. The number of case files rated good or outstanding has improved and was almost on target for the latest quarter. At 7,295 the number of Initial Contacts in the last quarter was above expectations, due to a high number of Unaccompanied Asylum Seeker Children arriving in Kent. The number of children in need cases decreased by 11, and there was a reduction of 136 in the number of children with child protection plans.

Corporate Parenting: The average number of days from coming into care and moving in with an adoptive family has been 549 days so far this year, which is slightly longer than the average for last year. Placement stability for children in care, at 74% in the same placement for 2 or more years was above target. The percentage of children in KCC foster care or with family at 81% was below target. The number of indigenous children in care has reduced by 98 in the last 12 months and is now at 1,435. However there has been a large increase in Unaccompanied Asylum Seeker Children, up 300 in the quarter with an associated increase in use of independent foster agency placements, up 60 to 275. The number of children in care placed in Kent by other Local Authorities continues to be higher than last year.

Adult Social Care: The percentage of contacts resolved at first point of contact continues to improve and is now above target. The number of referrals to enablement reduced in the quarter and was below target. The number of clients receiving a Telecare service continues to exceed target. The number of Promoting Independence Reviews completed exceeded the new target level. The number of Admissions to residential care has been increasing in the last two quarters but is lower (better) than target and significantly below numbers seen last year. Clients still independent after enablement recovered in the quarter returning to previous level ahead of target. The proportion of delayed discharges from hospital where KCC was responsible reduced in the quarter but remains high with continuing pressure in this area since December.

Public Health: The proportion of people choosing to have an NHS Health Check in the twelve months to September 2015 fell slightly below the 50% target. Smoking quit rates also fell in the quarter and narrowly missed the target of 52%. Access to urgent appointments for sexual health services remained at 100%, and Kent continues to perform above the national average for opiate users completing treatment.

Executive Summary (5)

Corporate Risks

The table below shows the number of Corporate Risks in each risk level (based on the risk score). The Target risk level is the expected risk level following management action. Those with a High Risk level are detailed below.

	Low Risk	Medium Risk	High Risk
Current risk level	0	7	6
Target risk level	2	11	0

New Risk – Increase in Unaccompanied Asylum Seeking Children

The significant increase in numbers of Unaccompanied Asylum Seeking Children (UASC) arriving in Kent requiring KCC support presents risks including sufficiency of accommodation and pressures on social work assessment capacity.

Revised Risk – Future Operating Environment for Local Government

This risk now reflects the increasingly complex and challenging environment that we operate within and this risk will be reviewed in January 2016 in light of implications from the Local Government settlement.

Split and Revised Risks – Safeguarding of vulnerable adults and children

These risks have been split to reflect the potential different drivers of risk. The interpretation of safeguarding has been widened to reflect important considerations such as Child Sexual Exploitation and recent duties on Local Authorities to prevent vulnerable people from radicalisation.

Management of Adult Social Care demand: Adult Social Care services across the country are facing growing pressures, particularly with factors such as increasing numbers of young adults with long-term complex needs, increases in Deprivation of Liberty Safeguards Assessments.

Management of demand on Early Help and Specialist Children’s Services: A programme to deliver integrated Early Help and Preventative Services for 0-25 year olds and their families is underway and being rolled out across the county. Phase 1 of the children’s transformation programme has been completed in south and west Kent and implementation has begun in the east of the county.

Customer Services - Overview	
Cabinet Member	Bryan Sweetland
Director	Amanda Beer

Performance for the percentage of calls answered by Contact Point (KCC's call centre) remained above target during the quarter and caller satisfaction with Contact Point advisors also remained at a high level. Performance for complaints handled in timescale dropped below target. User satisfaction with the KCC web-site declined and was below the target which was set with expectations of continual improvement.

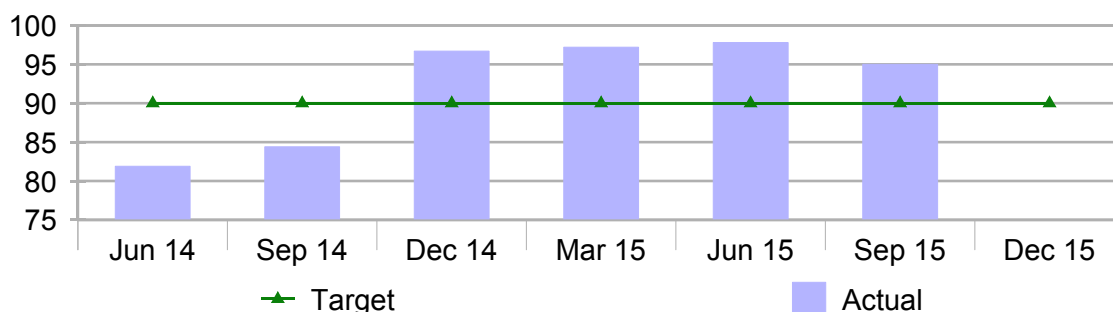
Indicator Description	Previous Status	Current Status	DOT
Percentage of phone calls to Contact Point which were answered	GREEN	GREEN	↓
Caller satisfaction with Contact Point advisors	GREEN	GREEN	↔
Percentage of complaints responded to within timescale	GREEN	AMBER	↓
Percentage satisfaction with KCC web-site	GREEN	AMBER	↓

Call volumes handled by Contact Point showed the usual seasonal fluctuation in the quarter and were 1% lower than the same period last year. Overall call volumes handled in the last 12 months were 0.5% lower than the previous year. The average call handling time remains slightly above the 3 minute level. The number of complaints received in the quarter showed a 6.4% decrease on the previous quarter, but was higher than the corresponding quarter last year. Visits to the KCC web-site have increased and are now at a similar level to the same period last year.

Following a rigorous procurement process, a contract award has been made to Agilisys to run the council's Digital Services team and Contact Point from December 2015 for at least six years. Agilisys have clearly demonstrated their expertise in the transformation and delivery of end-to-end customer contact services, enabled by its market-leading Digital and Engage platforms, which will simplify and extend Kent's digital channels. The new partnership between the authority's Customer Services and Digital teams and Agilisys will offer an enhanced experience for citizens across the Kent region.

Customer Services – KPIs

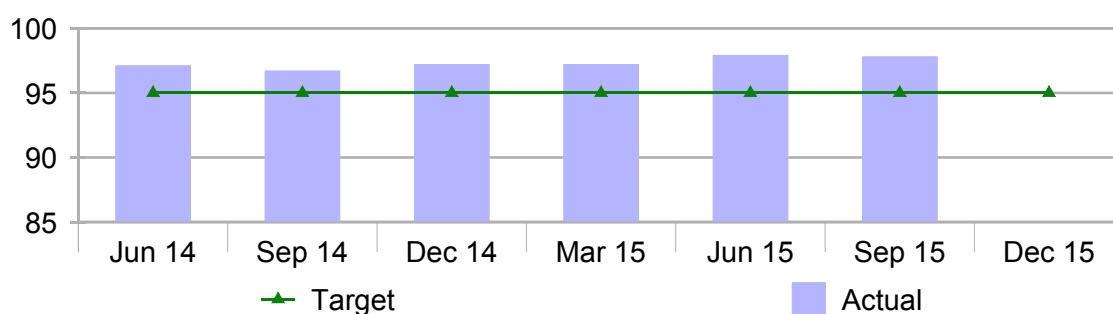
Percentage of phone calls to Contact Point which were answered

GREEN
↓

	Jun 14	Sep 14	Dec 14	Mar 15	Jun 15	Sep 15	Dec 15
Actual	82%	85%	97%	97%	98%	95%	
Target	90%	90%	90%	90%	90%	90%	90%

Performance in call answering at Contact Point remained above target in the quarter. There is continuing high demand for adult social care and children's social services.

Percentage of callers to Contact Point who rated the advisor who dealt with their call as good

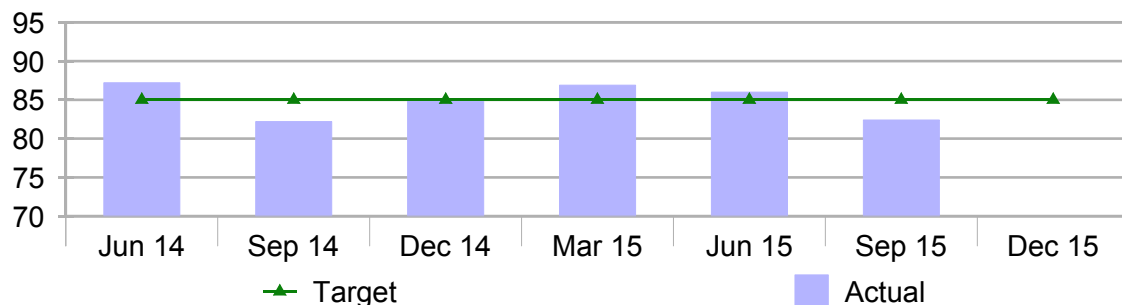
GREEN
↔

	Jun 14	Sep 14	Dec 14	Mar 15	Jun 15	Sep 15	Dec 15
Actual	97%	97%	97%	97%	98%	98%	
Target	95%	95%	95%	95%	95%	95%	95%

Customer satisfaction with Contact Point Advisors remains very high. There has been a great deal of feedback relating to the excellence of the Advisors for their customer service skills and knowledge of Council services.

Customer Services - KPIs

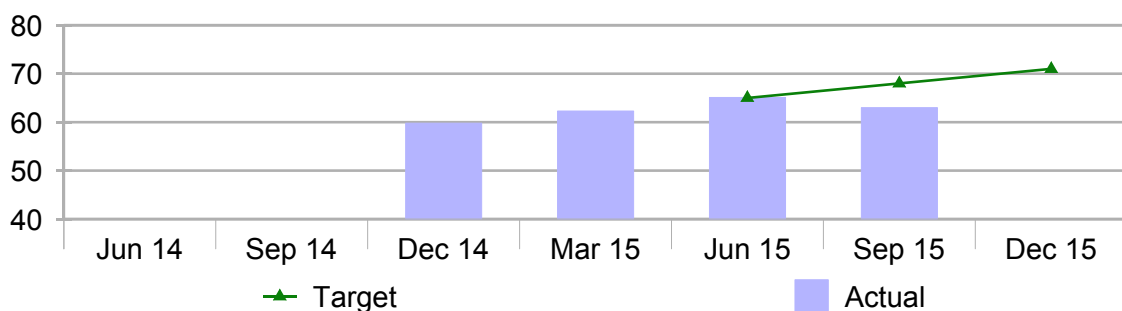
Percentage of complaints responded to within timescale

AMBER
↓

	Jun 14	Sep 14	Dec 14	Mar 15	Jun 15	Sep 15	Dec 15
Actual	87%	82%	85%	87%	86%	82%	
Target	85%	85%	85%	85%	85%	85%	85%

Performance for timely completion of complaints slipped in the quarter and is expected to improve again for the next quarter.

Percentage satisfaction with KCC web-site

AMBER
↓

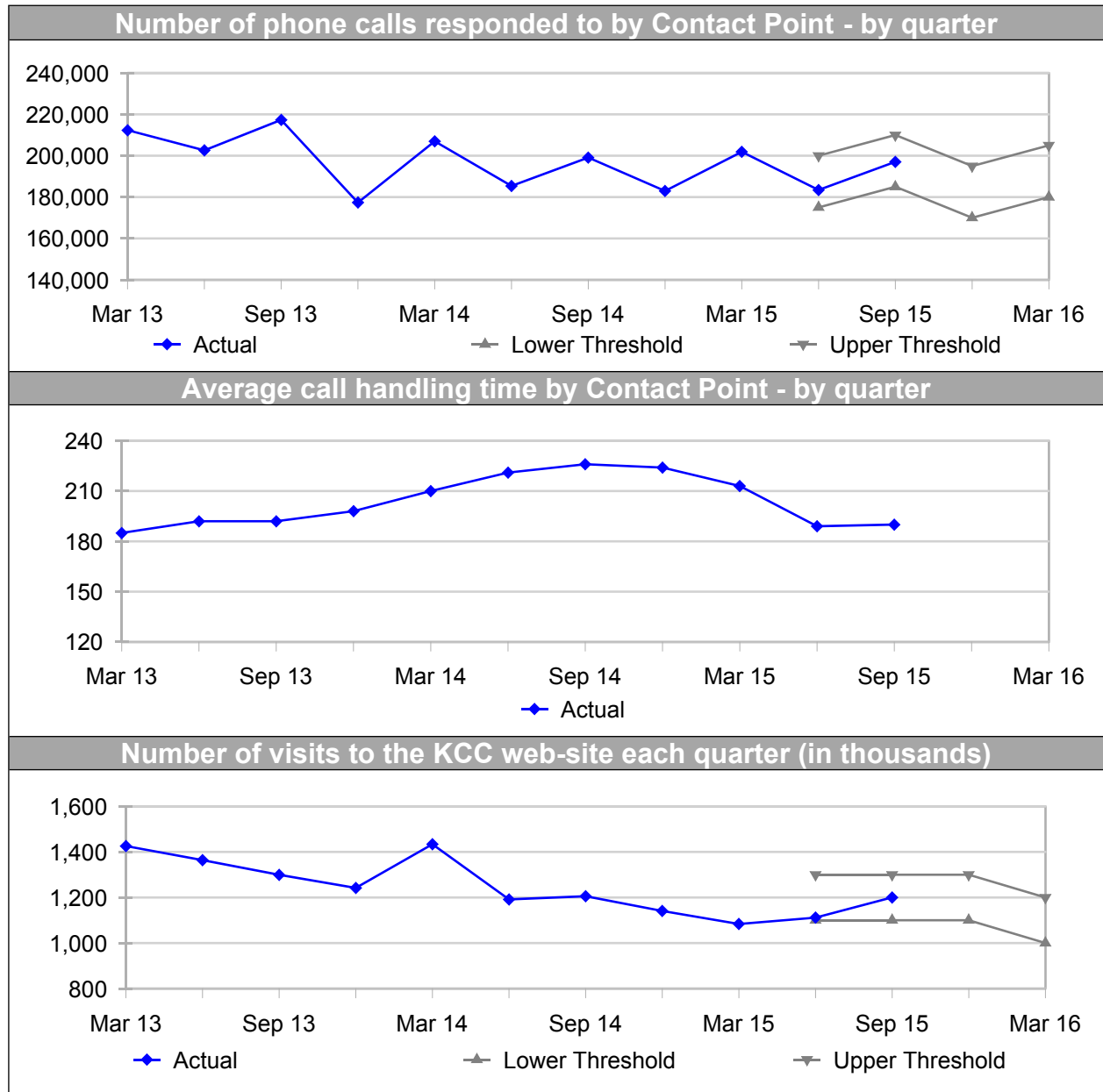
	Jun 14	Sep 14	Dec 14	Mar 15	Jun 15	Sep 15	Dec 15
Actual			60%	62%	65%	63%	
Target					65%	68%	71%

Web-site satisfaction is highest for the “education and children” and “leisure and community” sections of the web-site. For individual tasks the highest satisfaction was for using online library services and finding a household waste recycling centre, and the lowest was for reporting a problem on the road or pavement. Work is underway to improve those parts of the website which have the lowest satisfaction ratings.

Customer Services – Contact Activity

Call volumes handled by Contact Point showed the usual seasonal fluctuation in the quarter and were 7.4% higher than last quarter and 1% less than the same time last year. Overall call volumes handled in the last 12 months were 0.5% lower than the previous year. The average call handling time has remained at 3 minute 10 seconds for the last two quarters.

The number of visits to the KCC web-site increased in the quarter and is within the expected range for this quarter.



Customer Services– Contact Activity

Number of phone calls and e-mails responded to by Contact Point (thousands)

Contact Point dealt with 6.6% more enquiries than the previous quarter, and the same amount for the same period last year. The 12 months to September 2015 saw 1.6% less contacts responded to than the year to September 2014.

Whilst many services are experiencing reduced telephone volumes year on year, there are two major exceptions. Adult Social Care and Specialist Children's Services both continue to show an increase in volume.

Service area	Oct – Dec	Jan - Mar	Apr – Jun	Jul - Sep	Yr to Sep 15	Yr to Sep 14
Adult Social Care	37	46	40	39	162	145
Specialist Children's Services	26	30	27	27	111	102
Highways	30	27	23	26	107	124
Schools and Early Years	13	15	16	16	60	58
Main Enquiry Line	12	15	18	15	60	57
Libraries and Archives	10	12	11	12	46	45
Blue Badges	11	11	10	13	44	39
Registrations	10	12	10	9	42	52
Transport Services	7	9	7	15	37	35
Adult Education	7	9	6	10	32	29
Speed Awareness	8	7	6	6	27	33
Other Services	9	6	5	5	26	33
Waste and Recycling	3	3	4	3	13	15
Total Calls (thousands)	183	202	183	197	765	769
e-mails handled	17	18	19	20	73	87
Postal applications	10	12	11	11	44	41
Total Contacts (thousands)	210	232	213	227	882	897

Numbers are shown in the 000's, and will not add exactly due to rounding.

Phone calls for the Social Fund (KSAS) are not included in the above figures.

Out of hours calls are allocated 75% to Specialist Children Services, 15% for Highways and 10% Other.

Postal volumes mainly relate to Blue Badges and Concessionary Fares correspondence.

Customer Services – Digital Take-up

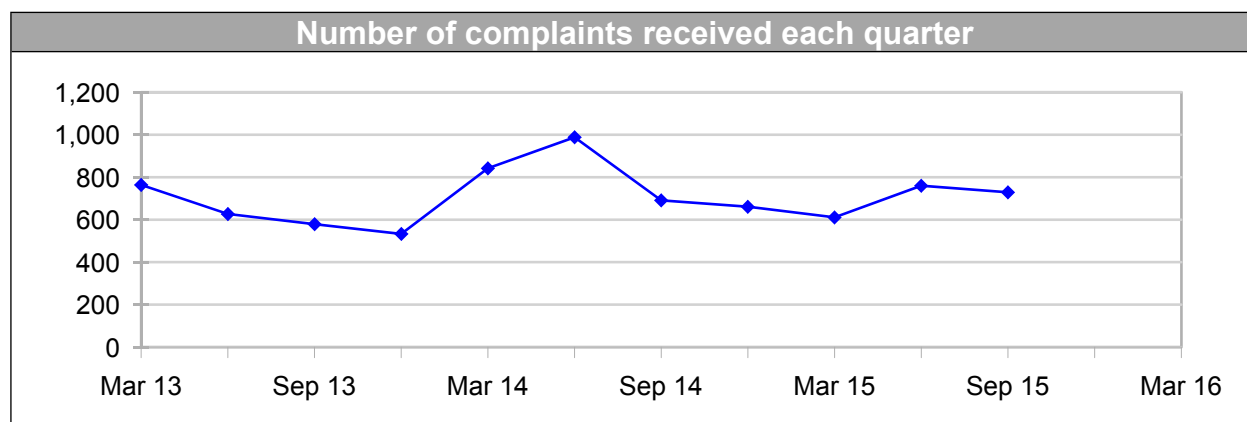
The table below shows the digital/online transaction completions for Key Service Areas so far this financial year.

Transaction type	Online Oct 14 – Dec 14	Online Jan 15 – Mar 15	Online Apr 15 – Jun 15	Online Jul 15 – Sep 15	Total Transactions Last 12 Months
Renew a library book*	97%	97%	96%	95%	755,039
Report a Highways Fault	36%	41%	33%	28%	95,461
Apply for a Young Person's Travel Pass	76%	78%	3%	60%	39,795
Book a Birth/Death Registration appointment	48%	50%	55%	53%	36,752
Book a Speed Awareness Course	66%	70%	74%	77%	34,651
Apply for a Concessionary Bus Pass	10%	7%	9%	10%	32,128
Apply for or renew a Blue Badge	16%	21%	29%	30%	32,053
Report a Public Right of Way Fault	35%	50%	40%	0%	6,613
Highways Licence applications	48%	61%	62%	56%	5,075
Apply for a HWRC recycling voucher	90%	90%	92%	96%	3,418

* Library issue renewals transaction data is based on individual loan items and not count of borrowers.

Customer Services – Complaints monitoring

The number of complaints received in the quarter showed a 6.4% decrease on the previous quarter, but was higher than the corresponding quarter last year.



On a rolling 12 month basis, for the year to September 2015 the number of complaints showed a 9.5% decrease on the year to September 2014.

Service	12 mths to Sep 14	12 mths to Sep 15	Quarter to Jun 15	Quarter to Sep 15
Highways, Transportation and Waste Management	1,482	1,064	221	234
Adult Social Services	542	590	198	164
Finance and Procurement	246	356	144	102
Specialist Children's Services	262	233	57	62
Libraries, Registrations and Archives	200	172	20	65
Other Strategic and Corporate Services	84	98	72	43
Environment, Planning and Enforcement	83	84	19	25
Education Services	44	83	24	26
Adult Education	95	81	23	8
Other Services	16	4	1	0
Total Complaints	3,054	2,765	779	729

Economic Development - Overview	
Cabinet Member	Mark Dance
Director	David Smith

A total of 2,513 Full Time Equivalent jobs had been created or safeguarded by the Regional Growth Fund schemes in Kent up to the end of September 2015, providing a strong boost to the Kent economy, and completing delivery of 45% of the overall target of 5,600 jobs to be created or safeguarded by these schemes by 2019.

There were 131 long term empty properties returned to use through the No Use Empty programme in the current quarter. The cumulative total of long term empty properties returned since 2005 stands at 4,157.

Indicator Description	Previous Status	Current Status	DOT
Actual jobs created/safeguarded through RGF	AMBER	AMBER	↑
Number of homes brought back to market through No Use Empty	AMBER	GREEN	↑

Developer Contributions

Seven agreements for developer contributions have been secured so far this year covering 969 housing units with a contribution value to KCC of £1.56 million.

External Funding

KCC has an overall target of securing €100 million (£70 million) in EU funding across Kent from 2014-20 to support the delivery of Corporate Outcomes. At the end of June 2015, twenty KCC projects, seeking a total of £11.8 million in EU grant, had progressed through the initial stage of the two-stage application process launched in February and March. They included, for example, the Boost4Health (£197k) project aimed at boosting Kent's business, trade and inward investment by helping Kent's life science companies to internationalise, the DWELL (£525k) project promoting Kent residents' health and well-being by enabling patients to control their diabetes and ADAPT (£1.2 million) which will provide innovative technological solutions for promoting independence, mobility and social inclusion.

The European Commission confirmed on 10 July 2015 that a grant award of £1.9 million would be made available for new signalling at Ashford International Station from The EU's Connecting Europe Facility (CEF) to enable new international trains to continue to stop at Ashford. The CEF has also awarded a total of £43 million for maritime and civil works at the Port of Dover aimed at creating additional freight vehicle capacity and refrigerated cargo facilities.

With first round bidding to the new South East LEP 'ESIF' programme having closed at the end of May, further results are due to be reported in the next quarter.

Economic Development - Overview	
Cabinet Member	Mark Dance
Director	David Smith

Support to Business

A range of activity within the division provides support for business start-ups and business expansion. The Kent Foundation focuses on developing young entrepreneurs within the county through mentoring, advice and networking opportunities. The Kent Big Society Fund provides small loans to new and existing social enterprises and the Kent Film Office, by attracting high-value activity into the county, increases job opportunities in a range of supporting sectors.

Sector-specific support to business is commissioned through contracts with Locate in Kent, Visit Kent and Produced in Kent. The Hospitality Guild has been established to encourage more people to consider a rewarding career in the hospitality, tourism and travel sector.

Projects such as the Old Rectory, Kings Hill and East Kent Opportunities increase employment opportunities by providing managed work space or bringing forward sites for employment, community and residential development. Rural business and infrastructure is supported indirectly through KCC funding to Action for Communities in Rural Kent, Village Halls grants and the Kent Association of Rural Retailers

Infrastructure for jobs and homes

Through the BDUK Phase 1 Project over 110,000 homes and businesses have been connected to superfast broadband, in areas which would not have been able to gain access to superfast broadband services through commercial upgrade programmes, as these areas were assessed as “areas of market failure”. The project remains on track and is due to complete by the end of 2015 when 91% of homes and businesses across Kent will have access to superfast broadband service of at least 24mbps.

Phase 2 of the project which will start in January 2016 and run through to late 2018 aims to extend the availability of superfast broadband services to 95.7% of homes and businesses. BT Openreach has just completed the high level planning for the new project. This will be a more challenging project to deliver as it will be working in harder-to-reach areas which are more technically challenging, as well as being more expensive to upgrade.

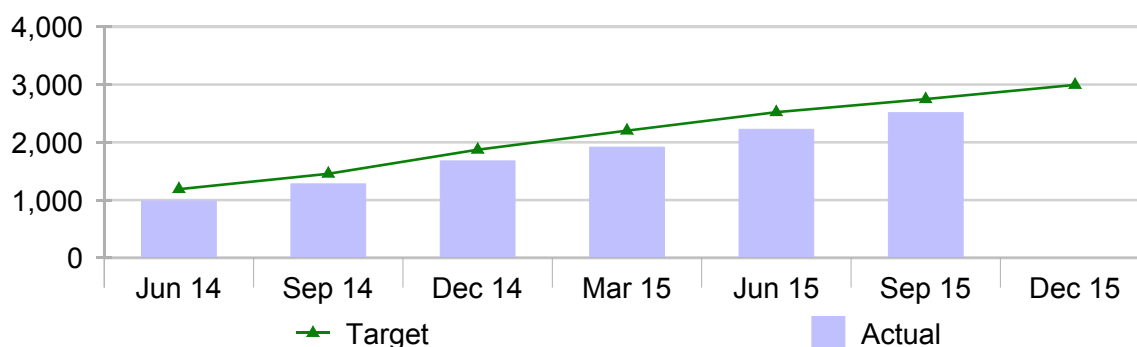
A new scheme Kent Towns Connection Vouchers was launched at the beginning of July to help small and medium size businesses, in eligible areas, with financial support towards the costs of installing superfast broadband of up to £3,000. The scheme is funded from the BDUK cities’ programme. KCC made a successful business case to BDUK earlier this year for Kent’s urban areas to be categorised as a ‘virtual city’.

Take-up of this scheme is now outperforming some of the longer-standing schemes and over 130 businesses have already benefited. The £40 million national fund, however, has now been fully committed and the scheme is now closed to new applications.

Economic Development – KPIs

Full time equivalent jobs created/safeguarded through Regional Growth Fund loan schemes (East Kent Expansion, TIGER and Escalate)

AMBER
↑

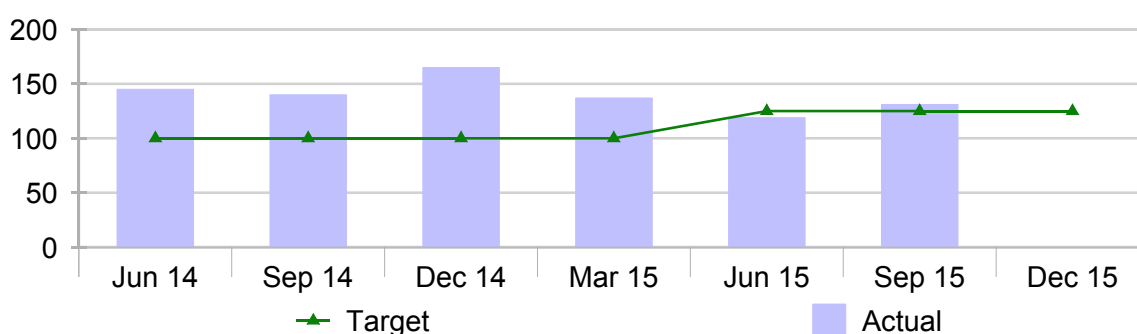


	Jun 14	Sep 14	Dec 14	Mar 15	Jun 15	Sep 15	Dec 15
Actual	983	1,281	1,678	1,916	2,225	2,513	
Target	1,188	1,455	1,872	2,202	2,522	2,748	2,995

Interest free loans, grants and equity investments of £55 million to Kent businesses from the Regional Growth Fund loan schemes are expected to create and safeguard over 5,600 jobs between 2013 and 2019. Good progress in being made in the confirmed delivery of these jobs with 2,513 of the jobs already delivered. The project is over a third of the way into the delivery timeframe. The target represents the committed jobs based on the original contract agreement with a slight re-phasing to account for a reasonable delay factor, which is inevitable in the delivery of some projects.

Number of homes brought back to market through No Use Empty (NUE)

GREEN
↑



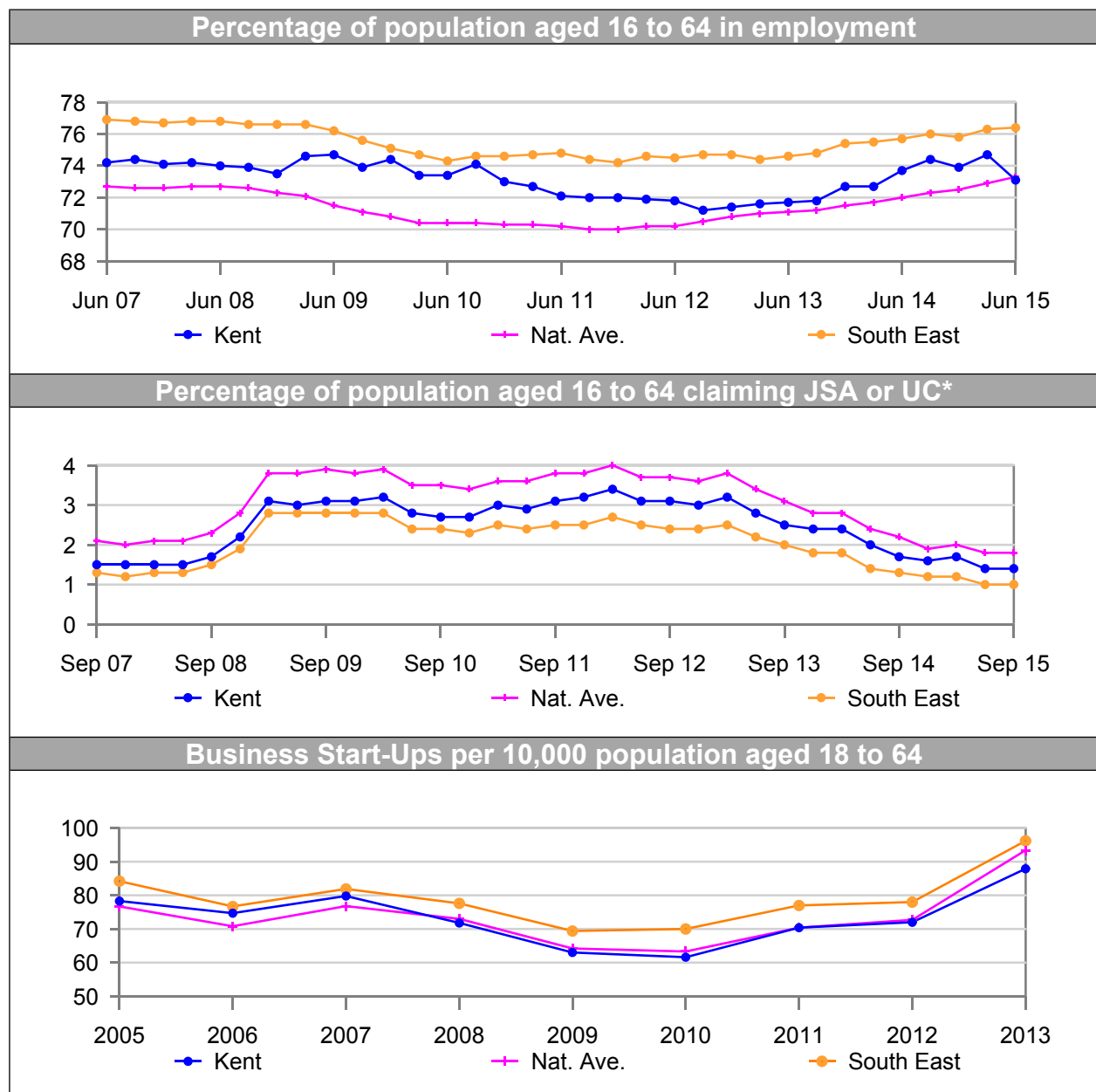
	Jun 14	Sep 14	Dec 14	Mar 15	Jun 15	Sep 15	Dec 15
Actual	145	140	165	137	119	131	
Target	100	100	100	100	125	125	125

The project is on target to delivery 500 properties returned to use this year. The largest project undertaken by NUE in Dover to return 20 units completed in the last quarter. The No Use Empty programme is delivered in partnership with district councils and has been very successful over the years in delivering a downward trend in Kent's overall vacant dwellings, with the number of long term vacant dwellings in Kent having declined for six consecutive years.

Economic Development – Activity Indicators

The following indicators provide information on the general state of the Kent economy in comparison to the regional and national averages.

Employment rates in Kent have shown a drop in the latest survey which may be due to one-off factors in the sampling methodology as this is out of line with the improving national trend. JSA and Universal Credit without employment claimant counts have shown significant reduction over the last 21 month, though now show signs of levelling off. There was strong growth in 2013 for new business start-ups (2014 data will be available in November).



* UC – Universal Credit claimants without employment

Source: Office for National Statistics

Highways and Transportation – Overview	
Cabinet Member	Matthew Balfour
Director	Roger Wilkin

Performance is above target on all four measures. Customer demand in the quarter was in line with expectations and whilst our open enquiry work in progress has increased, this is within our expected range for this time of year.

Indicator Description	Previous Status	Current Status	DOT
Percentage of routine potholes repaired in 28 days	GREEN	GREEN	↑
Percentage of routine highway repairs reported by residents completed within 28 days	GREEN	GREEN	↑
Percentage of satisfied callers for Kent Highways 100 call back survey	GREEN	GREEN	↔
Resident satisfaction with completed Highways schemes (survey)	GREEN	GREEN	↓

In the last quarter 17 projects from our 2015/16 business plan were due for delivery including the approval of this year's Winter Service policy. With a budget of £3.2 million, 66 salting routes identified on primary roads and salt bins/bags delivered to the community, we are ready to keep Kent moving this winter. In addition we introduced a new fleet of hybrid vehicles for Fastrack, completed the review of schools contracts and provided our response to the DfT's Incentive Fund.

New initiatives for the next quarter include a review of the Kent Permit and Lane Rental Schemes and improving the tendering process for socially necessary and home to school transport contracts. The implementation of our Service Re-design will commence from November and this will deliver staff budget savings of over £760,000 over the coming three years.

The proposal to convert all streetlights to LED is on target with an anticipated award of contract by the end of November, with work starting in early 2016. The programme will take around 38 months with residential areas converted first (70,000 lamps), followed by main routes (40,000 lamps) and Town Centres (10,000 lamps). The project includes a review of the streetlighting policy and a consultation on this ran through to October 2015, so that changes can be implemented as part of the LED delivery programme.

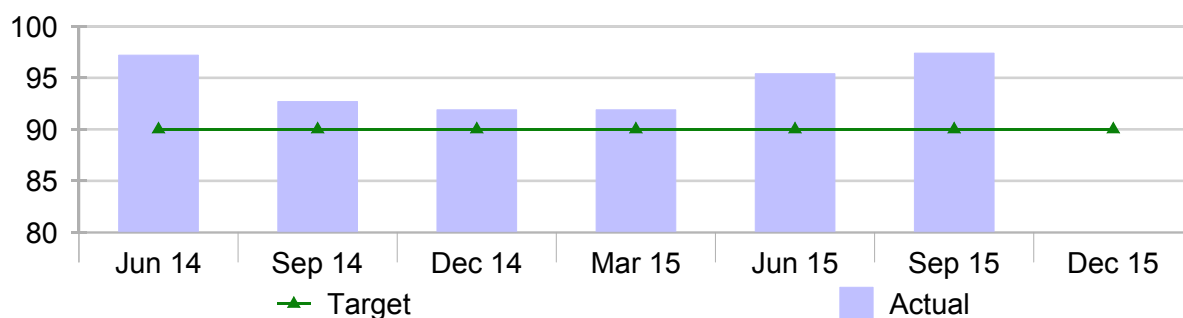
In terms of our major capital programme, the Local Pinch Point Scheme at Poorhole Lane, Thanet was successfully completed on programme and within budget (£4.8 million) and North Farm, Tunbridge Wells is due to complete at the end of October 2015 within budget (£7.35 million). For our Local Growth Fund programme we have fully secured £20 million so far after submission of full business cases. The programme is progressing well with an estimated spend of circa £15m in 2015/16. Some notable milestones are:

- Maidstone Gyrotory (£5.75m) will start on site Spring 2016
- Rathmore Road, Gravesend (£9.5m) will start on site Spring 2016
- M20 J4 at Leybourne (West Malling) (£4.8m) will start on site Spring 2016
- Folkestone Seafront resurfacing and Tontine Street improvements (£0.65m) are underway on site
- Tonbridge Town Centre Regeneration (£2.65m) is underway on site

Highways and Transportation – KPIs

Percentage of routine pothole repairs within 28 days

GREEN
↑

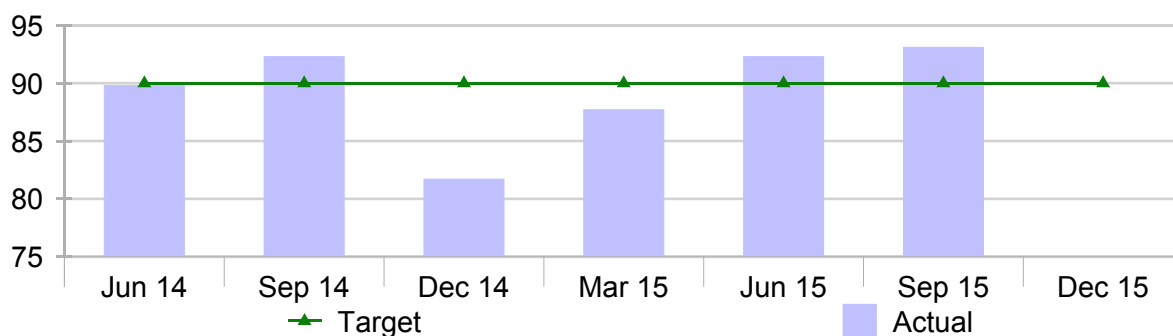


	Jun 14	Sep 14	Dec 14	Mar 15	Jun 15	Sep 15	Dec 15
Actual	97%	93%	92%	92%	95%	97%	
Target	90%	90%	90%	90%	90%	90%	90%

Performance remains above target. The larger programme of pothole and patching repairs, surface dressing and surface treatment for the year is now completed, and we are keeping the network safe with the remainder of the routine repair budget. Should there be a long cold winter this will put pressure on both the network and our budgets.

Percentage of routine highway repairs reported by residents completed within 28 days

GREEN
↑



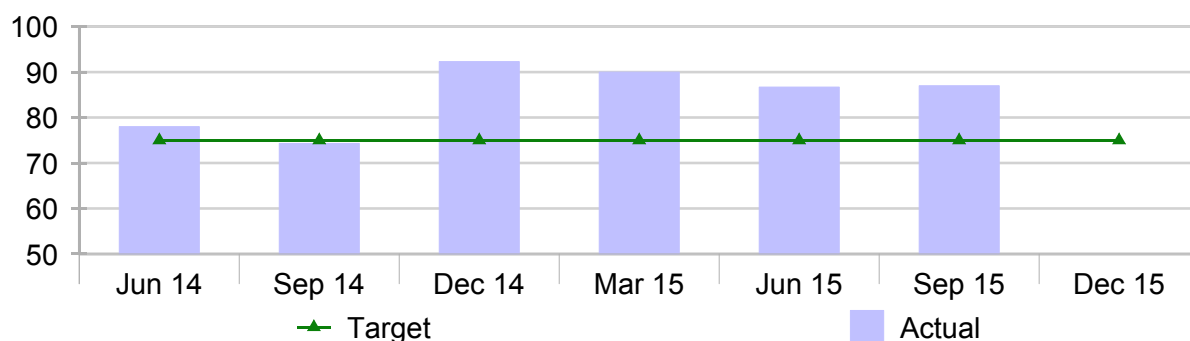
	Jun 14	Sep 14	Dec 14	Mar 15	Jun 15	Sep 15	Dec 15
Actual	90%	92%	82%	88%	92%	93%	
Target	90%	90%	90%	90%	90%	90%	90%

Performance has been maintained just above our customer standard again for this quarter. The oncoming winter is expected to result in increased demand and as shown by last year's performance this will be challenging to respond to. We are working hard to manage customer expectation and speak to customers where their fault does not meet our intervention levels and will not be repaired.

Highways and Transportation – KPIs

Percentage of satisfied callers for Kent Highways and Transportation, 100 call back survey

GREEN
↔

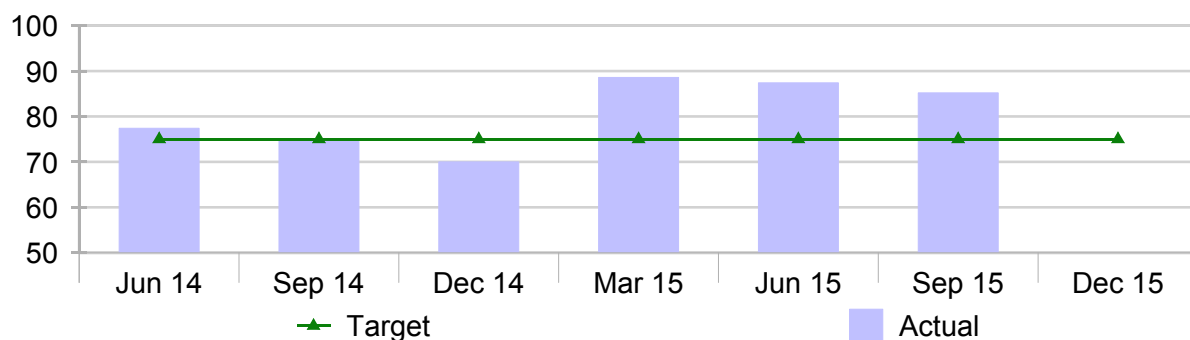


	Jun 14	Sep 14	Dec 14	Mar 15	Jun 15	Sep 15	Dec 15
Actual	78%	75%	92%	90%	87%	87%	
Target	75%	75%	75%	75%	75%	75%	75%

Performance continued to be above target in the last quarter although with tighter budgets we are now seeing more customers concerned that we are only focussing on those repairs that are below intervention level, and within budget limits, rather than repairing all that the customer wants to be done when we visit site. The 100 call back survey provides useful monthly insight on how customers view the service we deliver and covers a range of seasonal customer reported faults such as potholes, soft landscape, streetlighting and drainage.

Resident satisfaction with completed Highways schemes (survey)

GREEN
↓



	Jun 14	Sep 14	Dec 14	Mar 15	Jun 15	Sep 15	Dec 15
Actual	77%	75%	70%	89%	87%	85%	
Responses	53	1,321	610	149	231	169	

Satisfaction continues to be above our customer standard for completed works. This quarter results included a range of work from footway repairs and improvement schemes. The feedback we receive from customers on the information we provided in advance of the work, the speed with which we completed the repairs and the final product we have delivered, is invaluable in shaping our customer service approach to future schemes. We do not always get it right but we endeavour to learn from customers comments.

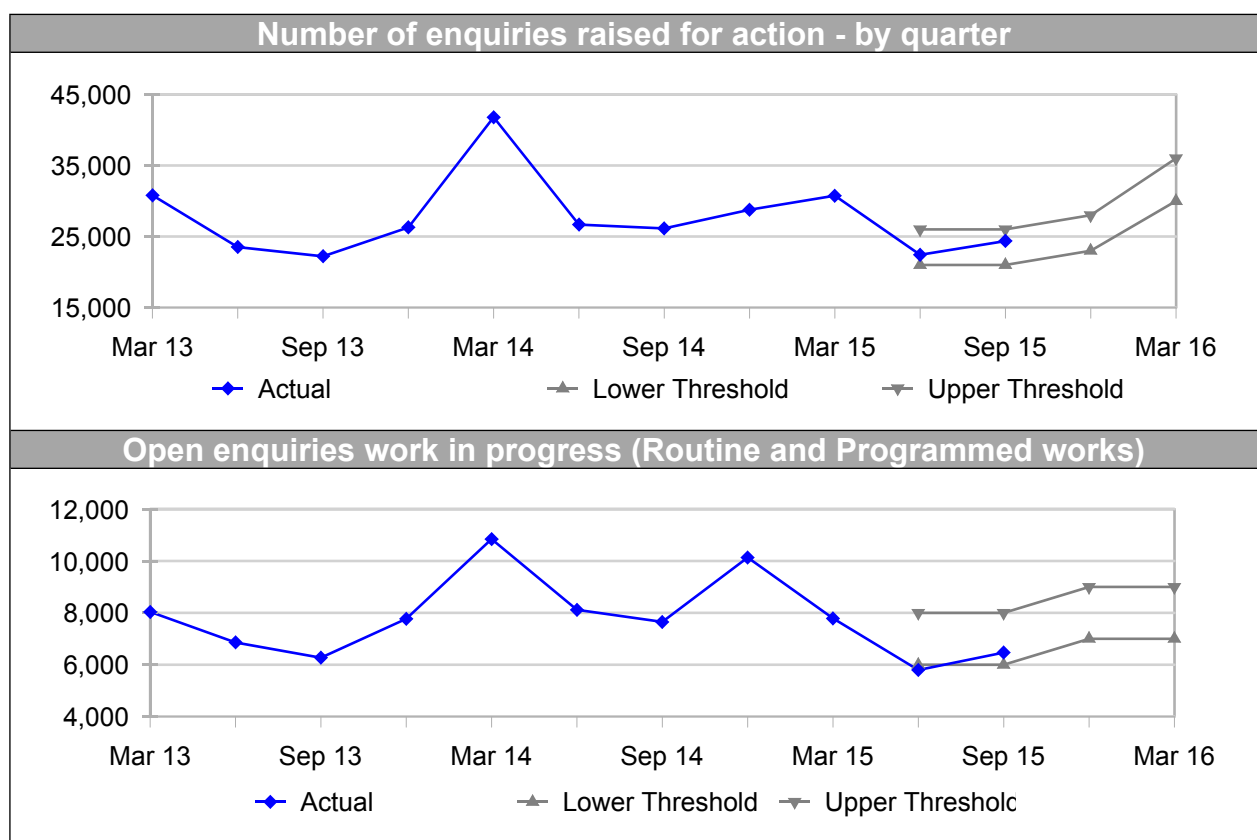
Highways and Transportation – Activity Indicators

Customer demand in the last quarter was in line with expectations with 24,369 new enquiries raised for action and this was up on the previous quarter (although a little lower than the 25,158 enquiries in the same quarter last year).

Enquiry demand in the last quarter was mainly due to seasonal soft landscape issues, street-lighting and potholes. Enquiries from customers about potholes fell to under 150 per week in the dry summer periods but by the end of the quarter, with periods of wetter weather, we saw this increase to peak at over 250 per week. In September this totalled 864 customer enquiries about potholes, the highest it has been in this month for the last four years.

Work in progress increased in the quarter to 6,470 jobs, up from 5,797 and this is within the expected range for this time of year. Ensuring we meet our customer standard response times as well as delivering good quality repairs remains a key focus for all staff.

As we move into the autumn season the main customer demand will continue to be potholes with streetlight faults increasing.



Waste Management - Overview	
Cabinet Member	Matthew Balfour
Director	Roger Wilkin

Performance for diversion of waste from landfill is on target at 91% which is 3% higher than a year ago and above target. Performance for recycling and composting at Household Waste Recycling Centres has declined by 0.4%, due to more recycling options now available at the kerbside from the Waste Collection Authorities, and this is less of a decline than expected so is above target.

Waste arisings in the last 12 months were 709,000 tonnes, down from 717,000 in the 12 months to September 2014. The budget is based upon 690,000 tonnes.

Indicator Description	Previous Status	Current Status	DOT
Percentage of municipal waste recycled or converted to energy and not taken to landfill	GREEN	GREEN	↑
Percentage of waste recycled and composted at Household Waste Recycling Centres	GREEN	GREEN	↓

The trend for reducing waste to landfill has now slowed, further improvement is dependent upon finding alternative methods to treat waste previously sent to landfill. We are procuring a new Waste Treatment and Final Disposal contract to help reach the EU target of no more than 5% of household waste to landfill by 2020. It is hoped that the positive responses to this new contract will further help the service to recycle more of the bulky waste disposed at Transfer Stations and HWRCs.

The new contract for Transfer Stations and Household Waste Recycling Centres is now fully mobilised across twelve sites, public demand on HWRC's remains high, particularly as the economy has recovered and strengthens. Keeping vehicle turnaround times reduced and waste moving within the limited infrastructure remains an operational pressure. It is anticipated that bringing new suppliers and infrastructure through the Waste Treatment and Final Disposal contracts may create some capacity.

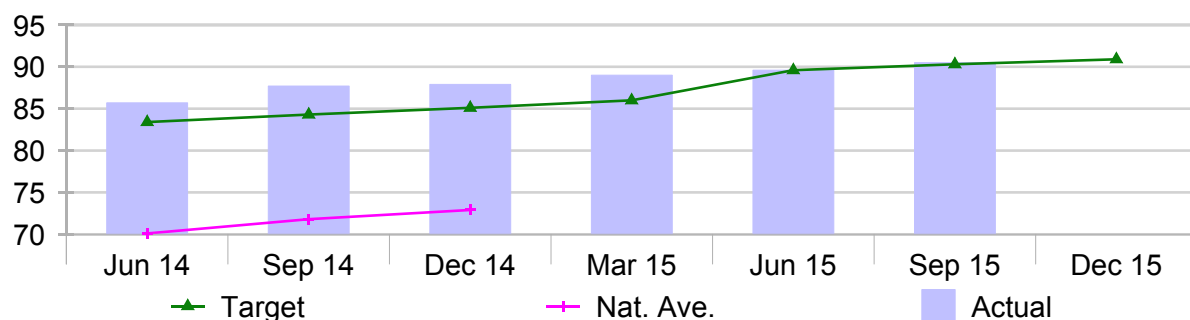
Re-procurement and commissioning of waste services continues to be a primary focus with an emphasis on identifying market value and reduced cost. The contract for bulk haulage of waste in Canterbury and Thanet is due to be awarded and the clinical waste tenders are going through final evaluation stage.

Our capital projects are progressing. The outline design is now completed for the HWRC facilities at Church Marshes, to improve the services available to the residents of Sittingbourne and the surrounding area. The bridge works are completed at Richborough that will allow the remediation works to commence at the closed landfill site.

Waste Management – KPIs

Percentage of municipal waste recycled or converted to energy and not taken to landfill - Rolling 12 months

GREEN
↑

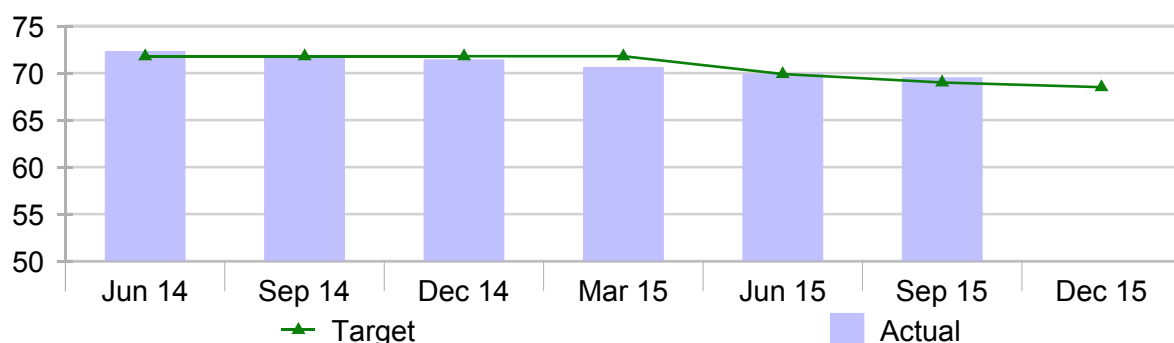


	Jun 14	Sep 14	Dec 14	Mar 15	Jun 15	Sep 15	Dec 15
Actual	86%	88%	88%	89%	90%	91%	
Target	83%	84%	85%	86%	90%	90%	91%

The current target has been met with continuous improvement over the last year. Operational performance at the Allington waste to energy plant has remained stable and at good levels. District Council recycling collections, including those in East and Mid Kent, which benefit from recycling support funding from KCC perform reasonably well, although contamination of recycled domestic waste needs continual focus from all partners within the Kent Resource Partnership. Highway mechanical street sweepings are now being recycled by Biffa from Church Marshes and Ashford, and this will be extended to other sites during the next quarter.

Percentage of waste recycled and composted at Household Waste Recycling Centres (HWRC) – Rolling 12 months

GREEN
↓

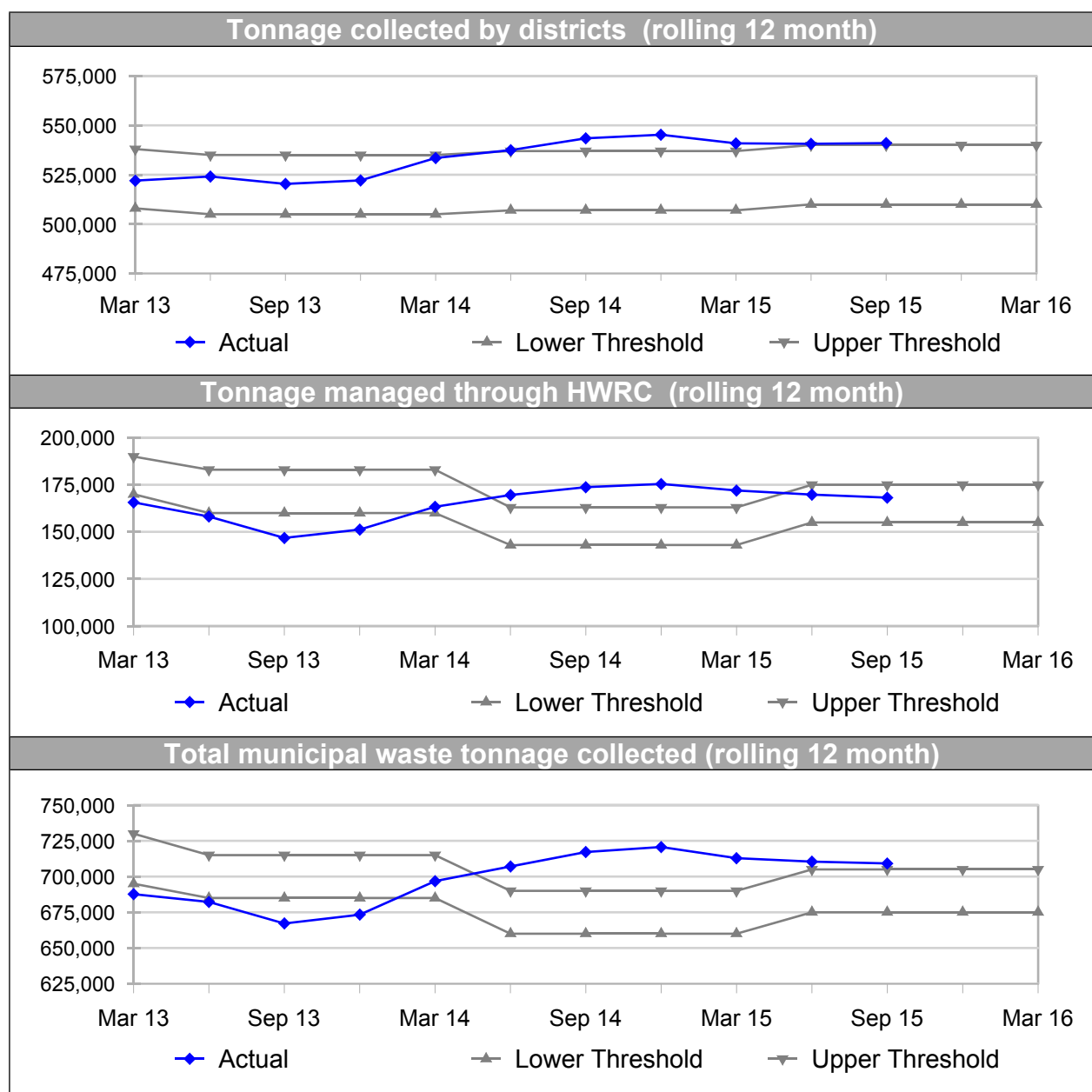


	Jun 14	Sep 14	Dec 14	Mar 15	Jun 15	Sep 15	Dec 15
Actual	72.3%	71.8%	71.4%	70.6%	69.9%	69.5%	
Target	71.8%	71.8%	71.8%	71.8%	69.9%	69.0%	68.5%

Waste at HWRCs represents 24% of the overall waste dealt with by KCC as the Waste Disposal Authority. Recycling performance is just above target. The reduction in performance over the last year was seen across the county irrespective of the site provider. Districts now offer an improved collection service, which enable residents to recycle on their doorstep, meaning less recyclable waste is being disposed at HWRC's. The Waste Management service continues to work hard with Providers and Districts to reduce contamination of recycled waste.

Waste Management – Activity Indicators

Waste tonnage has decreased to 709,000 tonnes in the 12 months to September 2015, slightly down from the 717,000 in the 12 months to September 2014. Although lower contract prices were procured by Waste Management in 2014/15 and a higher level of recycling has reduced average final disposal costs, the market prices have reduced and volumes are above that budgeted. The total cost this year is currently forecast to be marginally above budget, and management action continues to prioritise reducing costs within year to deliver against the budget. The collection volumes by district councils and at HWRCs are close to the upper reporting thresholds, with the mid-point between thresholds equivalent to the budgeted level.



Environment, Planning and Enforcement - Overview	
Cabinet Member	Matthew Balfour, Mike Hill and Bryan Sweetland
Director	Katie Stewart

The Growth and Infrastructure Framework for Kent and Medway (GIF) has now been finalised, following local stakeholder engagement. The GIF will be published and promoted over the coming months with key audiences, including central Government. Execution of an action plan included within the Executive Summary of the final GIF has begun. Work to develop a regular refresh of the GIF is also underway.

Work continues with partner agencies to find a more effective solution for Operation Stack, which has been in place on several occasions over the last few months. Highways England, as the organisation responsible for the motorway and trunk road network, is now leading on delivery of a lorry holding area and a consultation on potential options is expected imminently. Kent County Council and other key stakeholders are involved in this process. During the implementation of Operation Stack the Kent Resilience and Emergency Planning teams have been working to ensure appropriate facilities are available to lorry drivers affected by the recent disruptions, including distribution of food and bottled water.

Following the Examination Hearings held by an Inspector appointed by the Secretary of State, the modifications to the Mineral and Waste Local Plan are out to public consultation (August to October 2015). Any responses will be considered by the Inspector and taken into account in drafting his report recommending whether the Plan complies with planning legislation and can be adopted by the County Council. Once adopted, the Plan will form the basis for the determination of mineral and waste management planning applications.

The Kent Environment Strategy consultation has now finished. There were over 100 responses, 50% from organisations and 50% from individuals. 78-81% of respondents either agreed or strongly agreed with the priorities in the strategy. Amendments are being made and the strategy will be agreed in December 2015. An action plan will be developed by February 2016.

Market testing for alternative providers of the nine principal Kent Country Parks was launched in July, with Expressions of Interest coupled with Previous Experience detail due in mid-October. The Council's Sport and Physical Activity Service has been peer reviewed with 16 other local areas as part of its Alternative Service Delivery Model review, which will be presented to Directorate Portfolio Board in December.

The Community Safety team are now working alongside Kent Fire & Rescue and Kent Police as part of a new multi-agency Kent Community Safety Team based at Maidstone Fire Station. This will enable greater collaboration and joint working.

Environment, Planning and Enforcement - Overview	
Cabinet Member	Matthew Balfour, Mike Hill and Bryan Sweetland
Director	Katie Stewart

The online system to report faults on the public rights of way network has an ongoing issue which is being investigated and is yet to be resolved. This fault is impacting on the performance indicator data, which is currently showing 0% of faults being reported online.

Finally, all services within the EPE Division have now worked through KCC's organisational design framework and action plans have been produced. Key actions are included in the EPE Action Plan.

Indicator Description	Previous Status	Current Status	DOT
KCC Carbon Dioxide emissions (excluding schools)	GREEN	GREEN	↑

The Carbon Dioxide emissions indicator is a KCC-wide indicator and the position at the first quarter of 2015/16 was a decrease of 9% compared with the same time the previous year.

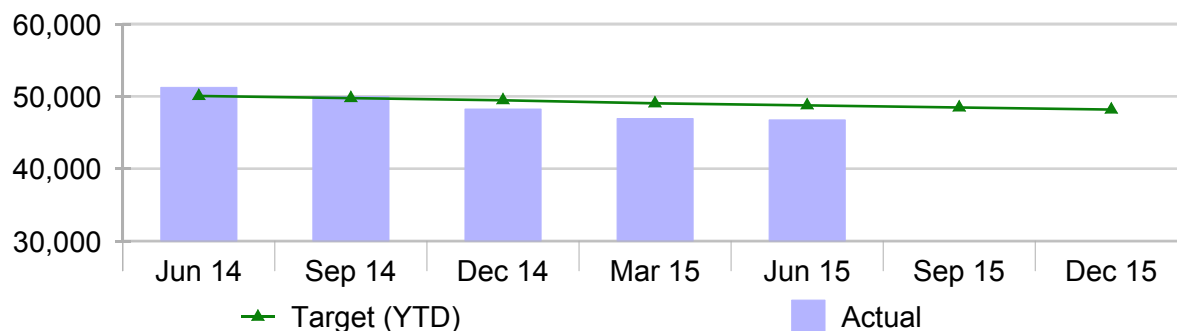
There continues to be strong reductions in energy use and the associated carbon dioxide emissions across buildings, street lighting and travel. Energy reduction opportunities are now coming forward from the Total Facilities Management contractors and despite the planned reductions in the Government's incentive payments for renewables, selected projects are still moving forward with a positive business case. Continued scrutiny of travel is in place across all KCC services, with good reductions seen in the last quarter.

Due to continued strong interest from schools in LED lighting projects, we have recently secured £250k of additional funding (0% finance) from Salix, which will deliver a further 11 school LED projects this year, taking the total to 35 projects.

Environment, Planning and Enforcement – KPIs

Carbon Dioxide emissions from KCC estate (excluding schools) in tonnes – rolling 12 months

GREEN
↑



	Jun 14	Sep 14	Dec 14	Mar 15	Jun 15	Sep 15	Dec 15
Actual	51,245	49,984	48,251	46,936	46,748		
Target	50,050	49,755	49,459	49,037	48,749	48,461	48,173

Targets are based on a 2.6% annual reduction from a 2010/11 baseline.

Opportunities to reduce energy use across the corporate estate continue to be assessed and implemented, including renewable energy projects and scrutiny of business travel across all KCC services.

The Council continues to meet the ISO14001 standard for environmental management, confirmed by a very positive external assessment in September.

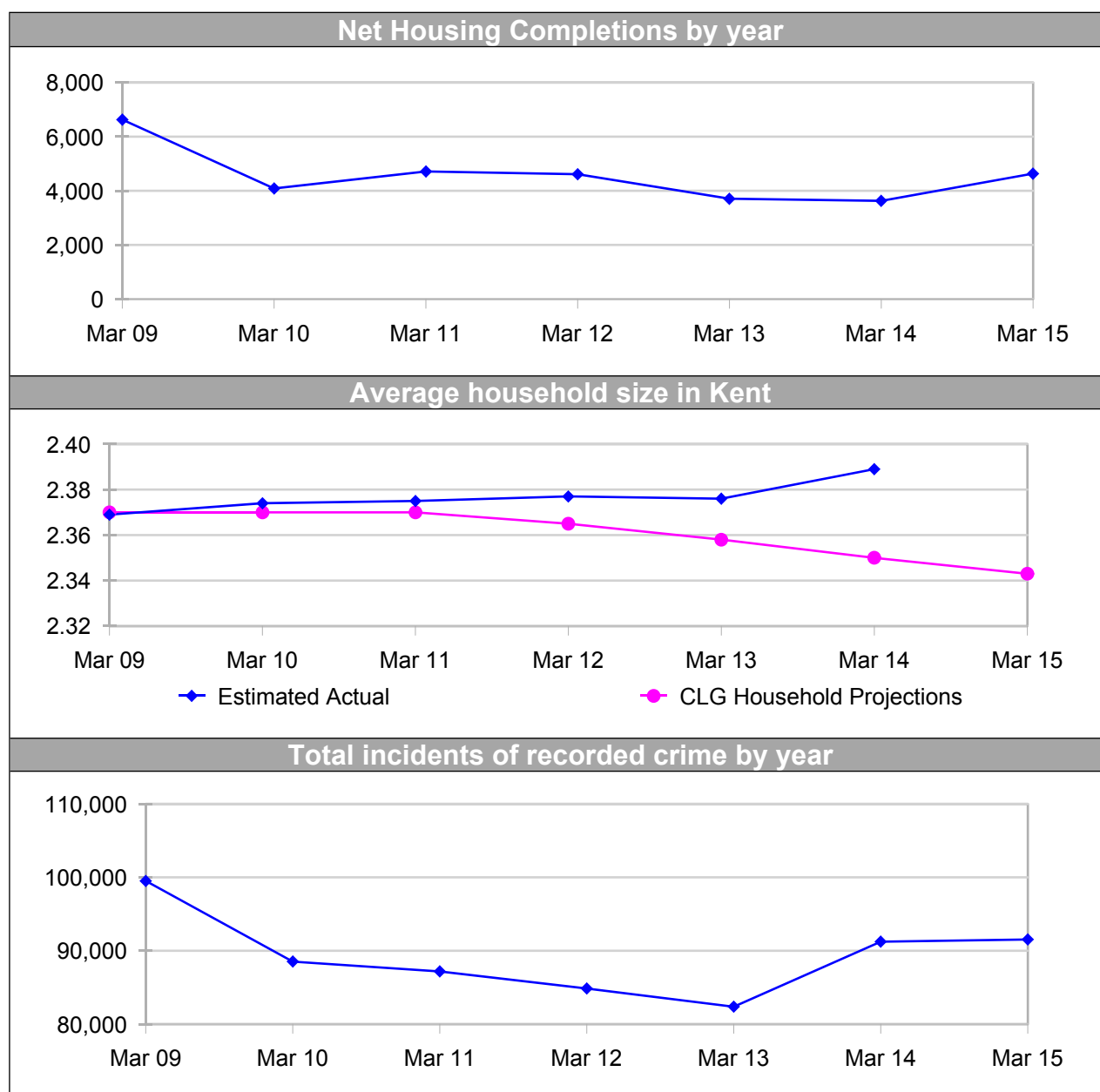
Environment, Planning and Enforcement – Activity Indicators

The following indicators provide information on some of the external context and factors within which the Division operates.

The number of annual housing completions remains below pre-recession levels with 3,628 net completions in 2013/14 and a provisional number of 4,635 for 2014/15. The 2014/15 number is a 28% increase on the previous year and there are positive signs that housing construction is now starting to recover.

With continued natural population growth combined with continued inward migration, the average household size in Kent has been increasing.

Total incidents of recorded crime in the last year were at a similar level to the previous year.



Libraries, Registrations and Archives (LRA) - Overview	
Cabinet Member	Mike Hill
Head of Service	Andrew Stephens

Following the public consultation which ran earlier in the year the formal decision was made on the 1st June 2015 to transfer the service into a Charitable Trust. This transfer to a Trust has been deferred and is dependent on a change to legislation to enable the Registration Service to be part of the Trust model. However we continue to focus on the transformation of the service through the development of an internally commissioned model of delivery that will result in the service being accountable for driving change and improving the offer to our customers in a more efficient and cost effective way. Work on developing a service specification against which KCC will hold the Service to account is underway.

The LRA transformation programme aims to achieve a more commercially focussed and streamlined service and will lay the foundation for a future transfer to a Trust model. With a greater focus on customer and staff engagement and on local community partnerships we aim to create an environment for innovation and a more dynamic use of the LRA estate to deliver a service which meets our customers' needs.

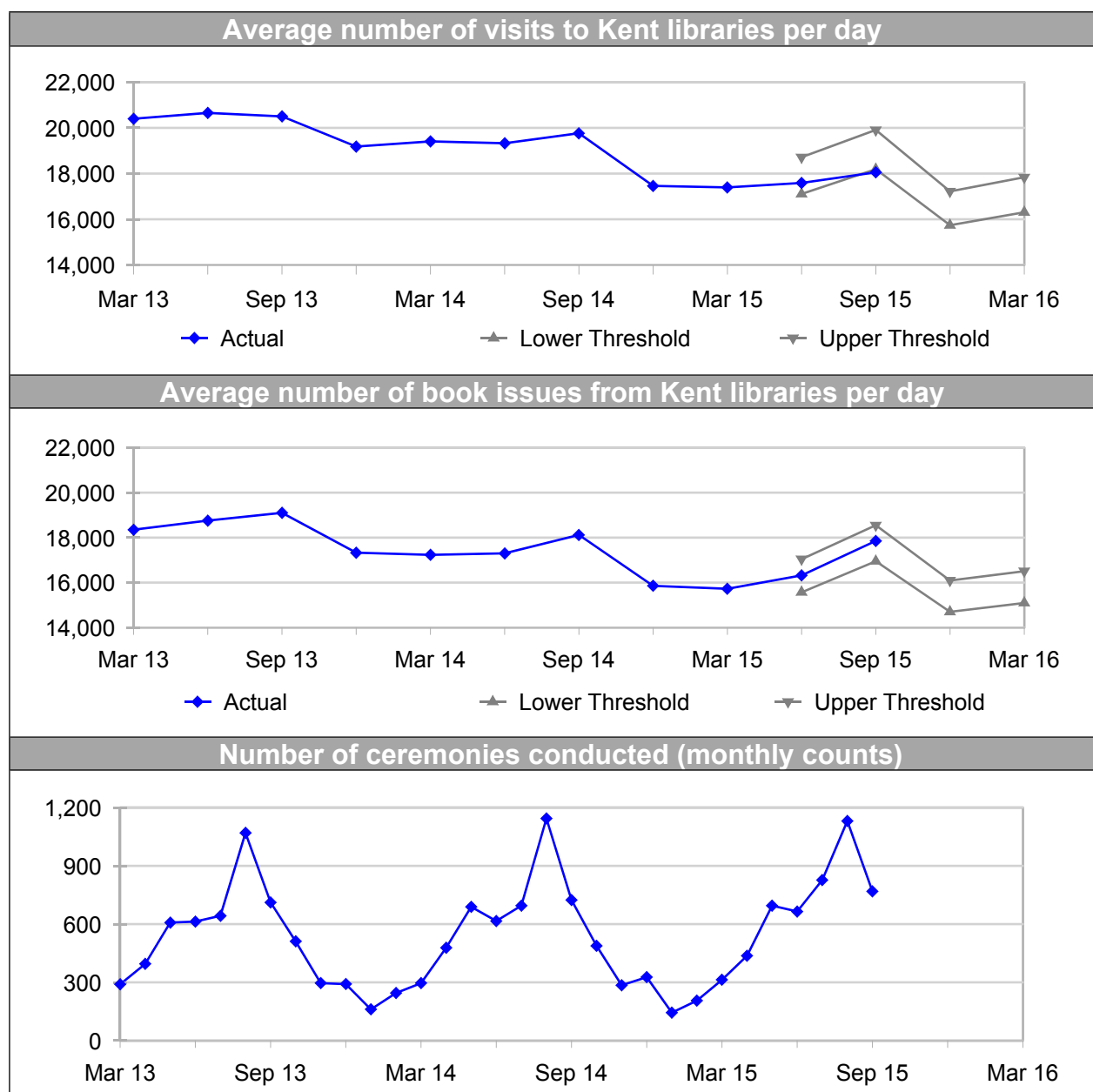
The service continues to focus on performance and recognises the need to address the decline in the number of visits to libraries and archives and the number of book issues, with the pattern in Kent generally following the national trend. Customers have been slow to return to use public PCs following the unavailability of the resource during system upgrades, although this is improving and the take up of our wifi service has increased for users with personal mobile devices. The success of our bid to the Arts Council for funding to wifi-enable the remaining 66 libraries is likely to see this positive trend continue.

Analysis of our Library and Archives customer survey has now been carried out and will inform actions to improve access and usability. Customer satisfaction surveys relating to birth and death registrations and ceremonies have been updated and are now being sent to customers. To date we have had 204 responses and satisfaction rates are 98% and 97% respectively. We need more responses to achieve a satisfactory sample set and quarter 3 figures should enable this. We are conducting a CIPFA email survey of customers who use the distance enquiry service for Archives. The analysis of these results should be available in March.

Libraries, Registrations and Archives – Activity Indicators

As mentioned above the trend in Kent for issues and visits are generally in line with the national trend. Visitor figures have been affected by the slow return of Public PC users who have not returned following the technical problems in previous quarters. The decline in book issues has reduced this quarter with more reservations being made by customers since the charge for the service was removed in April and a good response to the Summer Reading Challenge which encourages children to continue reading during the summer break.

The number of ceremonies conducted in the quarter to September is 6.4% higher than the same period last year with an increase in approved premises and a slight decrease in Kent register offices.



Education Quality and Standards - Overview	
Cabinet Member	Roger Gough
Director	Gillian Cawley

The percentage of schools which are Good or Outstanding remains at 82% which is on target and in line with the national average. The percentage of Early Years settings which are Good or Outstanding at 88% is ahead of the national average but below the ambitious target of 92%. The percentage of 16-18 year olds who are NEET is not reported for September due to the need to re-refresh status information with the start of the academic year. Apprenticeship starts for 16-18 year olds have increased this academic year, based on provisional data. The percentage of young people aged 18 to 24 claiming Job Seekers Allowance was at 2.4% at the end of September, down considerably from the peak of 7.5% in March 2012.

.Indicator Description	Previous Status	Current Status	DOT
Percentage of all schools with Good or Outstanding Ofsted inspection judgements	GREEN	GREEN	↔
Percentage of Early Years settings with Good or Outstanding Ofsted inspection judgements	AMBER	AMBER	↓
Percentage of 16-18 years olds not in education, employment or training (NEETs)	AMBER	N/a	
Apprenticeship starts for 16-18 year olds	AMBER	AMBER	↑

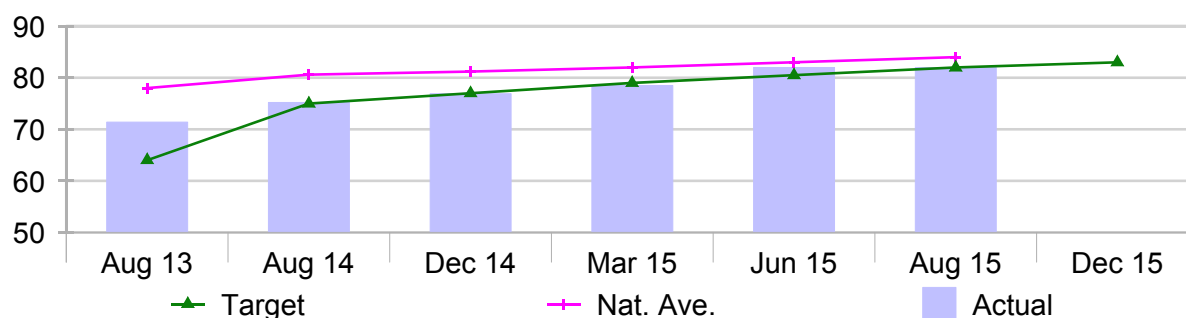
The Standards and School Improvement Team continue to work with Kent Association of Headteachers (KAH) area boards to broker school to school support, to further strengthen the work of collaboratives and to identify and encourage the sharing of best practice across collaborative groups. 85% of Kent schools are now involved in collaborative partnerships with other schools, supporting school improvement.

A key priority for the Early Years and Childcare Service (working with Children's Centres) is to increase the take up of free childcare places by eligible two years olds and to continue to ensure that sufficient high quality places for these two years olds are available. Other priorities are to increase the number of children achieving a Good Level of Development at the end of the Early Years Foundation Stage, to narrow achievement gaps, to increase the percentage of settings judged as Good or Outstanding, and to increase the number of early years settings working as part of a collaboration.

The Skills and Employability Service has been coordinating the cross-directorate NEET Strategy. It is anticipated that this will have a significant impact on reducing the number of young people, especially from vulnerable groups, recorded as Not Knowns and NEETs. The local Employability Offer has been introduced and developed, with the aim of re-engaging learners in education and supporting them to develop employability skills, including mathematics and English, whilst providing progression pathways to higher levels of study or into employment, traineeships and Apprenticeships.

Education Quality and Standards - KPIs

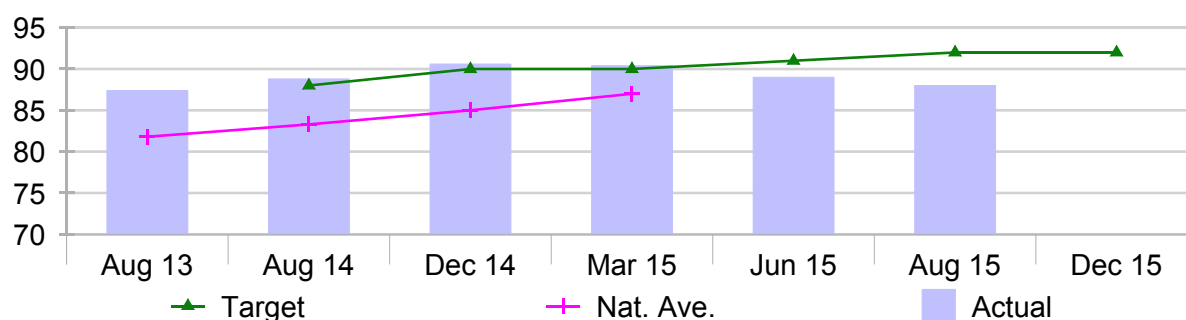
Percentage of all schools with Good or Outstanding Ofsted inspection judgements

GREEN
↔


	Aug 13	Aug 14	Dec 14	Mar 15	Jun 15	Aug 15	Dec 15
Actual	71%	75%	77%	79%	82%	82%	
Target	64%	75%	77%	79%	80.5%	82%	83%

Performance in this area continues to remain high. At the start of the new academic year in September 2015, 458 of the 672 schools in Kent were Good or Outstanding and 83% of pupils are now attending a Good or Outstanding school compared to 78% at the same time last year. This means that 11,355 more children are receiving a better education than at this point last year. 12 Kent schools (9 primary and 3 secondary) are currently judged as inadequate by Ofsted which is less than half of the total in September 2014 which represents a significant improvement.

Percentage of Early Years settings with Good or Outstanding Ofsted inspection judgements (childcare on non-domestic premises)

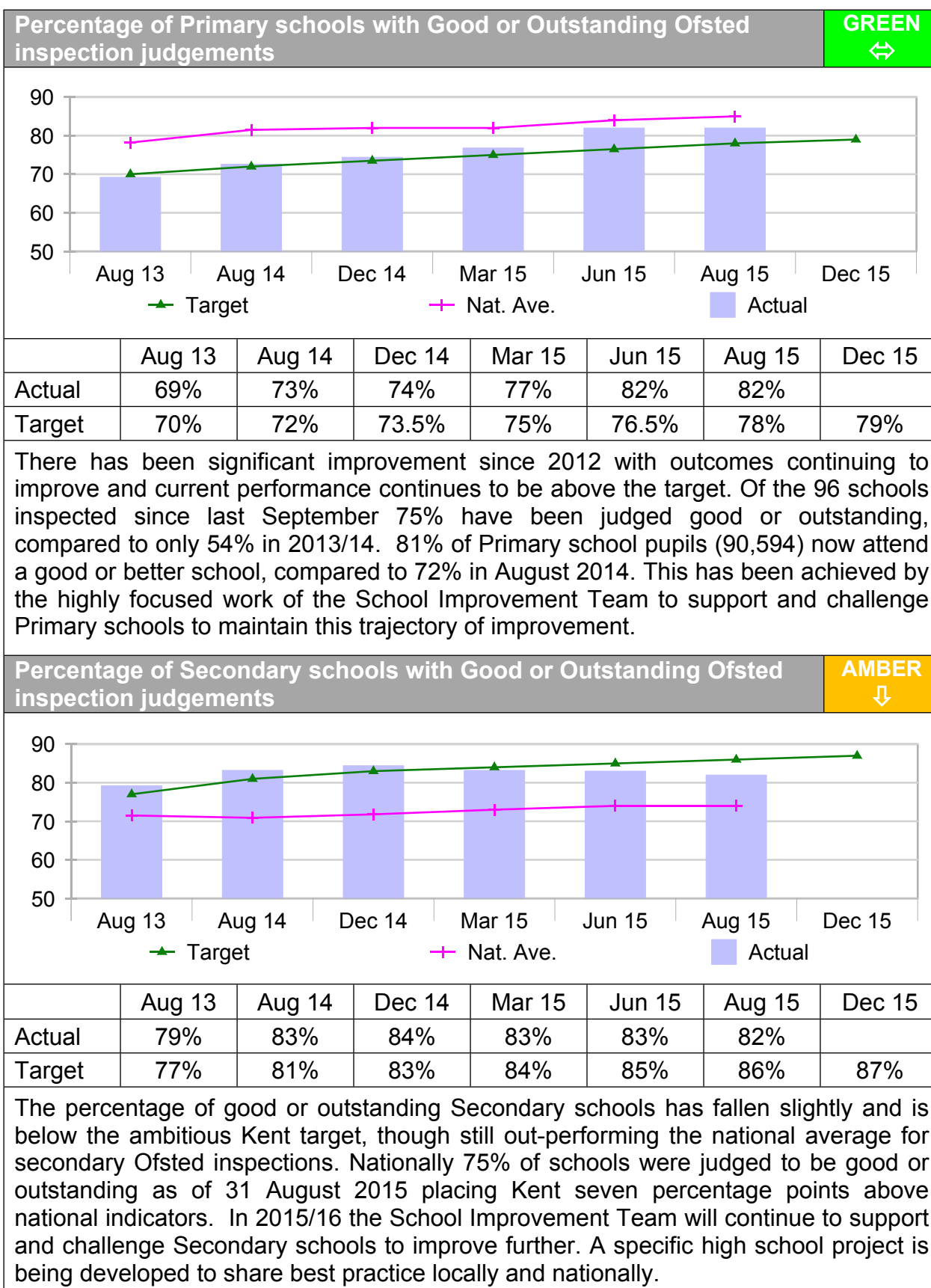
AMBER
↓


	Aug 13	Aug 14	Dec 14	Mar 15	Jun 15	Aug 15	Dec 15
Actual	87%	89%	91%	90%	89%	88%	
Target		88%	90%	90%	91%	92%	92%

88% of early years settings were judged Good or Outstanding in August 2015, slightly below the level as at August 2014, below the challenging target of 92% but above the national average of 86%. A significant number of settings requiring Improvement are not accessing support services available to them. In order to address this issue the team will introduce a non-traded 'Annual Conversation' for all settings. They will also continue with the Ofsted readiness Health Checks, continue to make high quality CPD available, and encourage and support collaborative working in order to share best practice and enable best use of resources.

Education Quality and Standards - KPIs

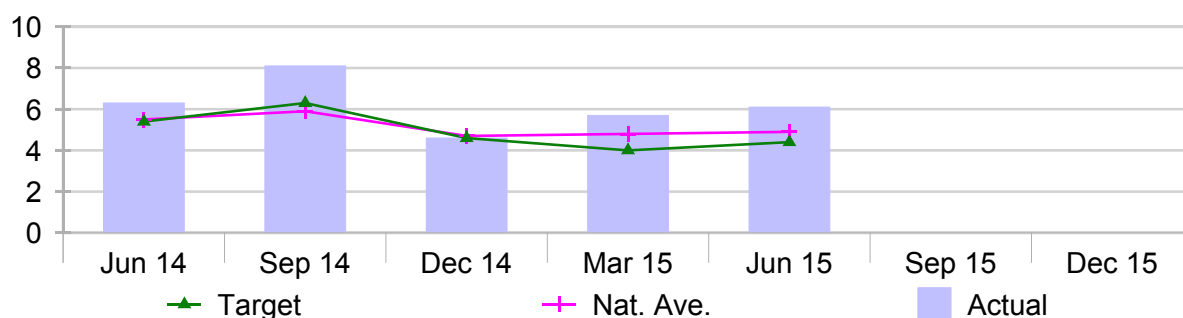
This page shows a breakdown of the previous indicator for Ofsted inspections for all schools and shows results separately for Primary and Secondary schools.



Education Quality and Standards – KPIs

Percentage of 16-18 years olds not in education, employment or training (NEETs)

N/a

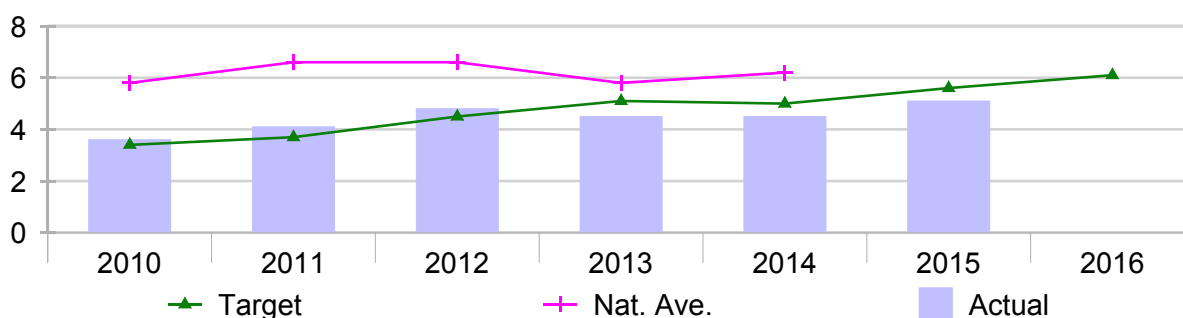


	Jun 14	Sep 14	Dec 14	Mar 15	Jun 15	Sep 15	Dec 15
Actual	6.3%	8.1%	4.6%	5.7%	6.1%		
Target	5.4%	6.3%	4.6%	4.0%	4.4%		

There are seasonal fluctuations in the NEET cohort, and data is not reported for September due to the need to refresh information with the start of the new academic year. Current projections are that the NEET percentage will be less than 5% by January 2016. Working in partnership with schools, colleges, training providers, local agencies and employers, a new NEETs Strategy and detailed action plan has been developed which will ensure an integrated and targeted approach to reducing NEETs. Focused interventions are in place to support vulnerable groups such as Children in Care and SEND learners.

Percentage of 16-18 year olds who start an apprenticeship

AMBER
↑



	2010	2011	2012	2013	2014	2015*	2016
Actual	3.6%	4.1%	4.8%	4.5%	4.5%	5.1%	
Target			4.5%	5.1%	5.0%	5.6%	6.1%

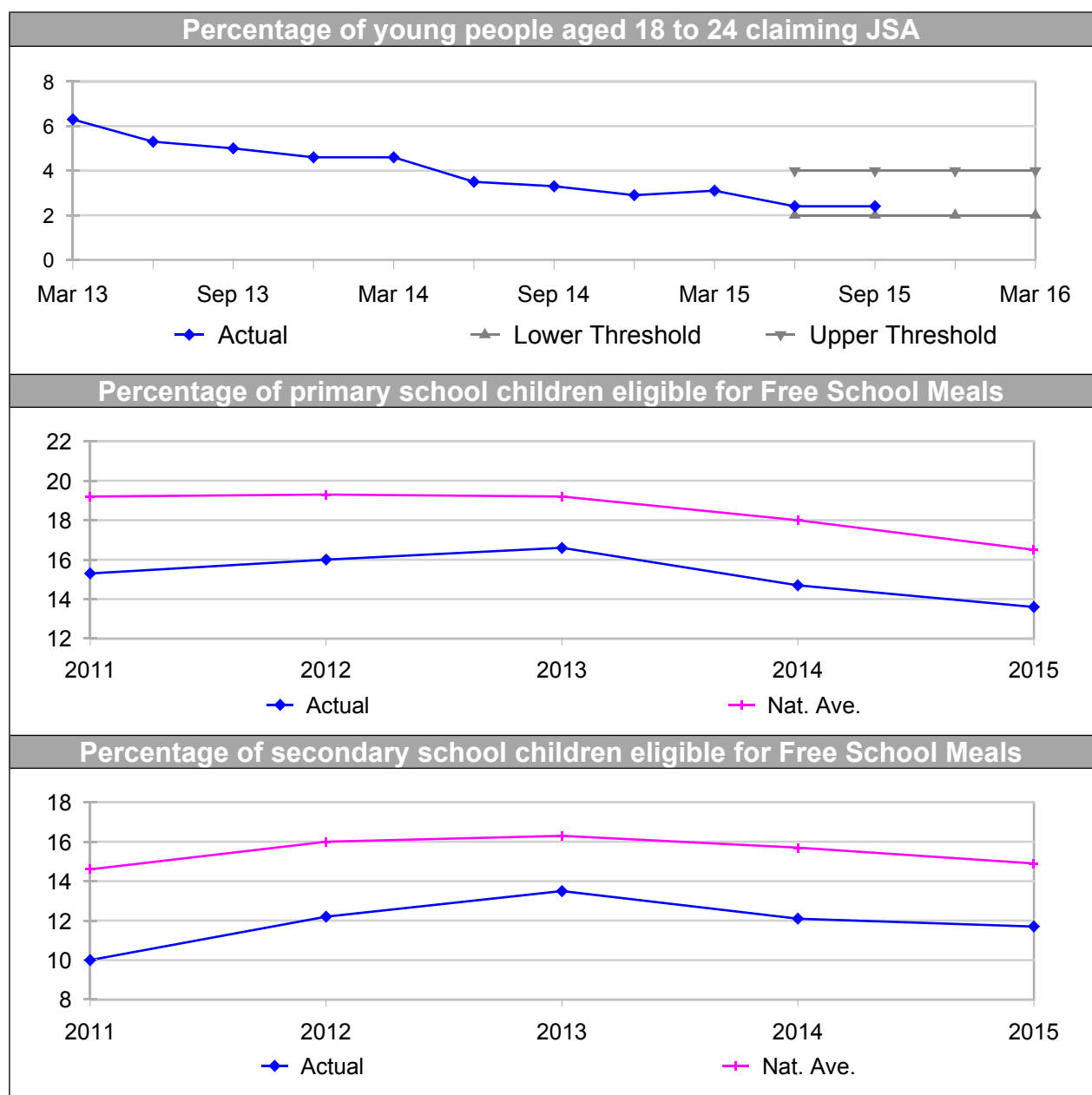
Apprenticeship starts for the current academic year show an increase on the previous year, based on provisional data. The Skills and Employability Service are working very closely with schools, KAFEC and KATO to increase the awareness of apprenticeship options across the county. A new version of the Kent Employment Programme has been created to offer 100 apprentices mainly aimed at our 16 – 18 cohort. Final figures for 2015 are not available until the end of November.

(*Estimate based on first three quarters)

Education Quality and Standards – Activity Indicators

The percentage of young people aged 18 to 24 claiming Job Seekers Allowance has shown a good reduction, at 2.4% in September 2015 compared to the peak of 7.5% seen in March 2012.

The 2015 January school census data shows that Primary schools in Kent had 13.7% of pupils eligible for Free School Meals down from 14.7% last year. Nationally the Primary figure was 16.5%. At Secondary school level 11.7% of pupils in Kent are eligible for Free School Meals down from 12.1% last year. Nationally the Secondary figure was 14.9%.



Education Planning and Access - Overview	
Cabinet Member	Roger Gough
Director	Keith Abbott

The September 2014 Children and Families Act saw the introduction of Education, Health and Care Plans (EHCPs) which replaced the previous Statements of SEN. The percentage of EHCPs issued within 20 weeks in the last quarter increased to 87% which was below the target of 90% but a good improvement on the previous quarter. Performance is behind target because of the demands of converting existing SEN Statements to EHCPs, originally only 16 weeks was given but the DfE increased this to 20 weeks as of September 2015. Kent continues to maintain an ambitious pace to achieve all its conversions earlier than the April 2018 government deadline.

Indicator Description	Previous Status	Current Status	DOT
Percentage of EHCPs issued within 20 weeks	RED	AMBER	↑

Kent launched its SEN and Disability (SEND) Strategy in January 2014, which forms the County Council's policy for SEND and its strategy to deliver the special educational need requirements of the Children and Families Act, which came into force from September 2014. Since launching the Strategy, KCC has made good progress in improving performance in completing SEN statutory assessments in 26 weeks, reaching 92% in Kent compared to 82% nationally. However from September 2014, the new assessment process requires completion in 20 weeks and it is evident from data published by the DfE in May 2015 that the impact of dual systems and preparation for statutory changes has reduced performance nationally.

The strategy sets out a vision of a well-planned continuum of provision, from birth to age 25 with three overarching aims:

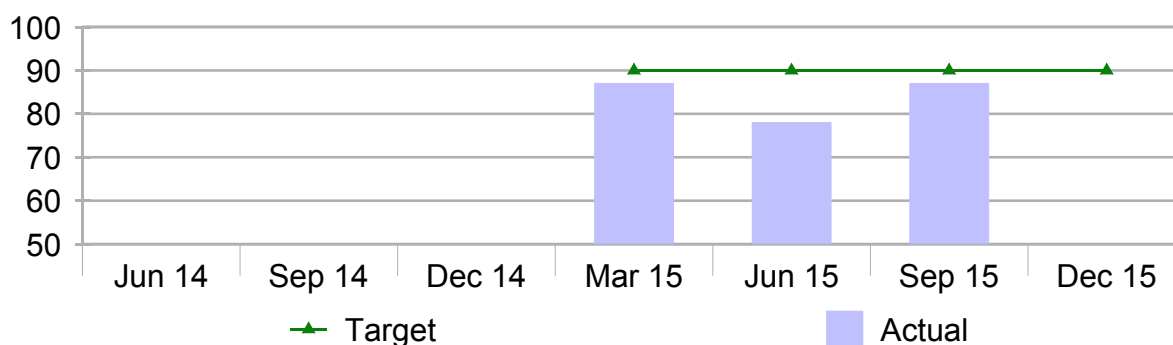
- 1) Improve the educational, health and emotional wellbeing outcomes for Kent's children and young people with SEN and disabilities,
- 2) Ensure Kent delivers the statutory changes (required by the Children and Families Act 2014),
- 3) Address the gaps in provision for children and young people with SEN and disabilities, improve the quality of provision, develop the broadest range of providers, and encourage a mixed economy of provision.

The number of Reception Year pupils within Kent schools increased by 6.1% to 17,598 children in the three years to January 2015. For Year 7, pupil numbers were decreasing up to 2012/13 but have started to increase as the previous years of Primary school increases now start to move into Secondary schools. Total Secondary school numbers will start to increase from 2016. The Area Education Officers and the Fair Access team have ensured that every Kent child has been offered a school place for September 2015. There have been unanticipated levels of inward migration into Kent over the last year which has reduced the surplus of school places to below the recognised operating surplus of 5% in four of the twelve Kent Districts for Reception Year admissions. Additional school places have been created for September 2015 to ensure that there are sufficient places.

Education Planning and Access - KPIs

Percentage of Education, Health and Care Plans (EHCPs) issued within 20 weeks

AMBER
↑



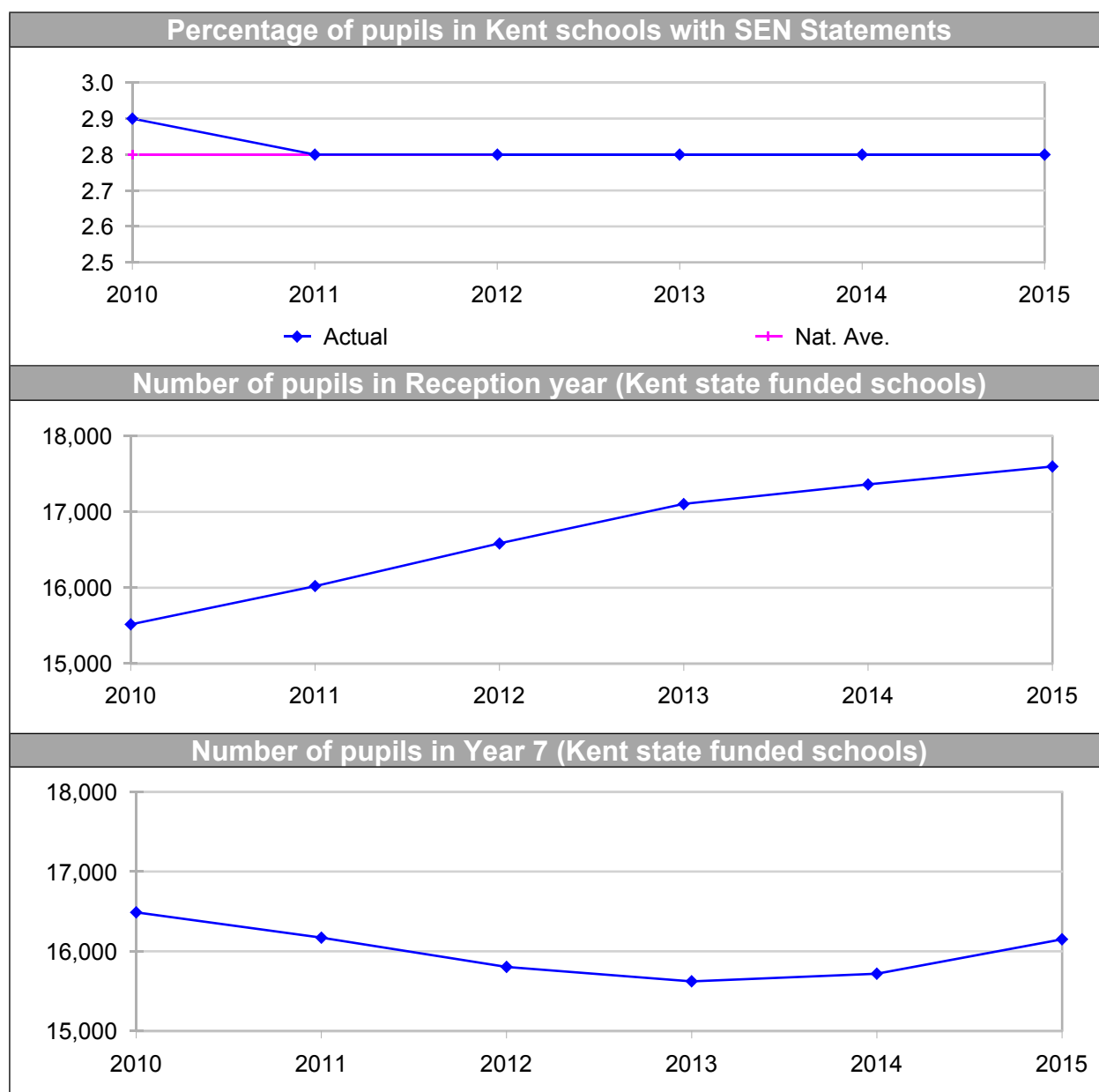
	Jun 14	Sep 14	Dec 14	Mar 15	Jun 15	Sep 15	Dec 15
Actual				87%	78%	87%	
Target				90%	90%	90%	90%

The percentage for the latest quarter completed on time was 87% with 151 plans out of 174 issued within 20 weeks. Additional resources were put in place during the quarter to increase capacity and we are anticipating that the impact of these will improve result further for the next quarter. The DfE has recognised the impact of the duty to convert existing Statements to EHCP on delivery of the statutory timescales, and has extended the time allowed for conversions from 16 to 20 weeks from September. Kent continues to maintain an ambitious pace to achieve all its conversions earlier than the April 2018 deadline.

Education Planning and Access – Activity Indicators

Kent schools have the same proportion of pupils with statements of SEN as the national average, which has been a consistent 2.8% for several years.

The number of Reception Year pupils has been on a steady increase since 2007, with 17,598 pupils in January 2015, a 13.4% increase since 2010. The number of Year 7 pupils has been increasing since 2014, with 16,150 pupils in January 2015, a 3.4% increase since 2011. Larger increases are expected in future years as the previous trend of increases in Primary schools starts to move into Secondary schools and total Secondary school numbers are forecast to begin increasing in 2016.



Early Help and Preventative Services - Overview	
Cabinet Member	Peter Oakford/Mike Hill
Director	Florence Kroll

The percentage of Early Help cases closed with a positive outcome increased last quarter from 74% to 78% and was above the target. In the quarter a time-limited targeted piece of work was completed focusing on closing cases open for a significant length of time in order to ensure the caseload is accurate and current. Throughput remains high and is a positive indicator of success for the new ways of working. The 'step down' of Children in Need cases to Early Help and Preventative Services at 24% remained above the target of 22%. For permanent exclusions, the rolling 12 months total rose in the quarter to 108. The number of first time entrants to the Youth Justice system has shown further reduction ahead of target. The percentage of the targeted population, those living in the 30% most deprived LSOAs who are registered at Children's Centres, remains around 78% and the improvement plan for Children's Centres will ensure further focused work around engagement with target groups.

Indicator Description	Previous Status	Current Status	DOT
Percentage of Early Help cases closed with a positive outcome	GREEN	GREEN	↑
Percentage of children in need cases stepped down to preventative services	GREEN	GREEN	↓
Percentage of pupils permanently excluded from school	AMBER	AMBER	↓
Number of first time entrants to youth justice system	GREEN	GREEN	↑

The new Early Help and Preventative Services structure is in place to ensure that every child and young person and their family, who needs Early Help services, will receive them in a timely and responsive way in order to ensure children and young people in Kent get the best start in life. The roll-out of the 0-25 Transformation Programme has taken place in West and South Kent, and is now underway in North and East Kent.

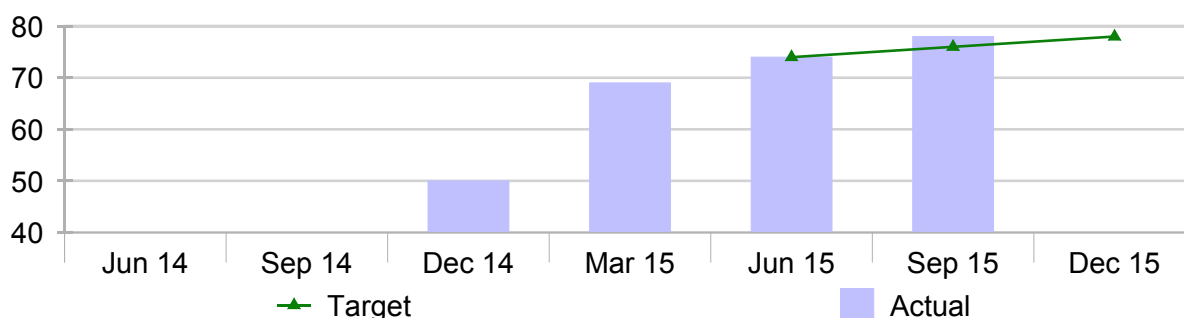
The priorities and developments within Early Help and Preventative Services are set out in the Three Year Plan, which is currently being finalised. There is a robust approach to threshold application and addressing demand, supported by Triage now being co-located with Specialist Children's Services Central Duty Team as part of the Central Referral Unit. The notification, assessment, case planning and review processes have been reviewed and amended in order to provide a clear outcomes-focused approach to working with children, young people and their families. These new processes have been launched and staff are being trained on their use as part of the roll-out of the Transformation Programme. A new case management system is due to be launched in late 2015 and this will further embed this work.

A series of reviews of Children's Centres and Youth Hubs have taken place and the results of these are shaping planning to continue the improvement journey for open access centres in Kent and to ensure greater consistency across districts.

Early Help and Preventative Services - KPIs

Percentage of Early Help cases closed with a positive outcome

GREEN
↑

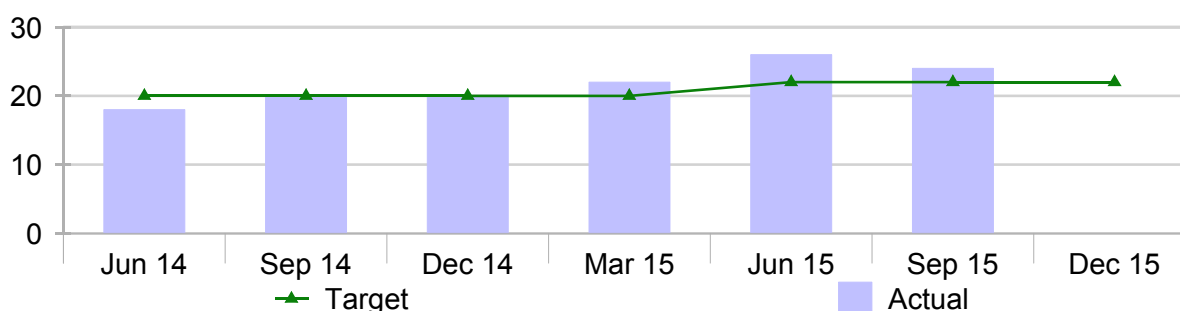


	Jun 14	Sep 14	Dec 14	Mar 15	Jun 15	Sep 15	Dec 15
Actual			50%	69%	74%	78%	
Target					74%	76%	78%

The percentage of Early Help cases closed with a positive outcome was 78% in September 2015 compared to 74% in June 2015. There was a time-limited targeted piece of work completed in the quarter focusing on closing cases open for a significant length of time in order to ensure the caseload is accurate and current. Throughput remains high and is a positive indicator of success for the new ways of working. Staff and managers monitor their caseloads, case progress, closures and throughput on a weekly basis to ensure work is appropriately focused and progressing well to avoid case drift, to ensure the best possible outcomes are achieved.

Percentage of children in need cases stepped down to Early Help & Preventative Services

GREEN
↓



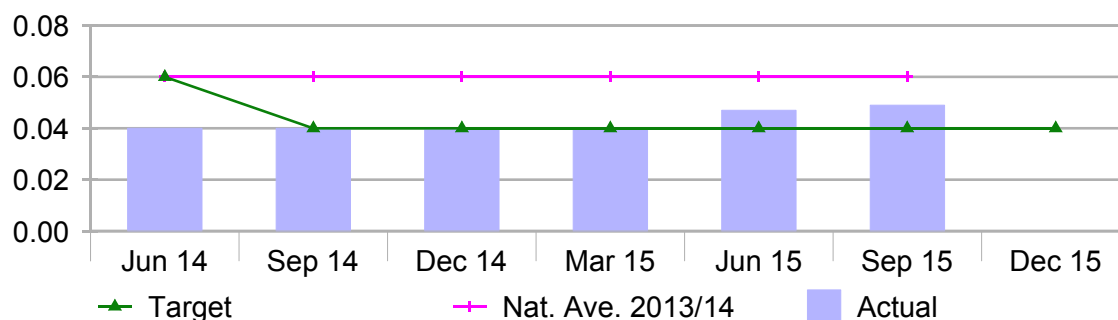
	Jun 14	Sep 14	Dec 14	Mar 15	Jun 15	Sep 15	Dec 15
Actual	18%	19%	20%	22%	26%	24%	
Target	20%	20%	20%	20%	22%	22%	22%

Provisional data for the last quarter shows the percentage of cases closed in Specialist Children's Services that were stepped down to Early Help and Preventative Services was above target. There were 967 step downs in the latest quarter compared to 965 in the previous quarter. This figure is expected to increase further over the next year as transformation embeds across both services. Step-down panels are now established in every district and support the joint approach to decision-making between Specialist Children's Services and Early Help.

Early Help and Preventative Services - KPIs

**Percentage of pupils permanently excluded from school
(rolling 12 month total)**

AMBER
↓

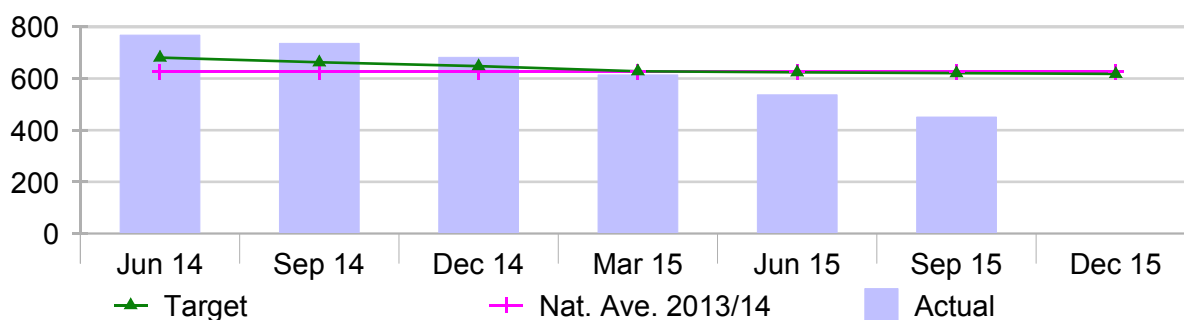


	Jun 14	Sep 14	Dec 14	Mar 15	Jun 15	Sep 15	Dec 15
Number	95	87	93	98	104	108	
Actual	0.04%	0.04%	0.04%	0.04%	0.05%	0.05%	
Target	0.06%	0.04%	0.04%	0.04%	0.04%	0.04%	0.04%

There has been a small increase in permanent exclusions to 108. In percentage terms at 0.05%, performance continues to be better than the latest national average of 0.06%. Maidstone was the highest overall excluding district with 17, and exclusion rates have risen most in Primary schools. A number of Primary School improvement projects are being implemented to address this issue. Primary exclusions range from 13 in Thanet to 1 in Gravesham and Tunbridge Wells. Secondary exclusions range from 14 in Maidstone to none in Ashford, Dover, Canterbury, Swale and Thanet.

**Number of first time entrants to youth justice system
(rolling 12 month total)**

GREEN
↑



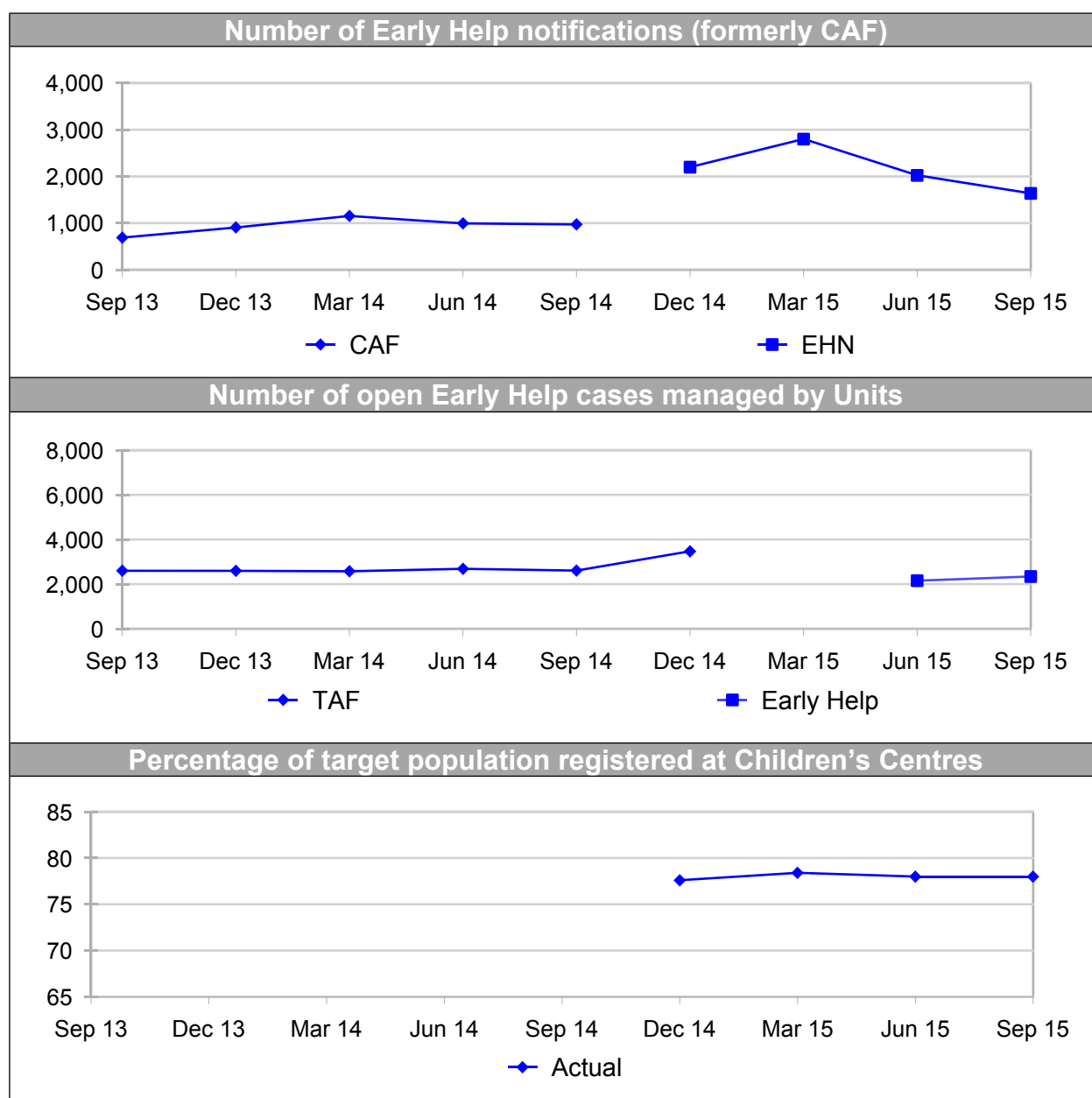
	Jun 14	Sep 14	Dec 14	Mar 15	Jun 15	Sep 15	Dec 15
Actual	768	736	682	614	539	451	
Target	681	663	648	628	624	621	618

The provisional figure for the last 12 months shows a continued downward trend ahead of target. In the last 12 months the number of first time entrants has reduced by 40%. Kent Police have maintained their commitment to the diversion of children and young people from the youth justice system via an increasing use of Community Resolutions and restorative justice processes. Results for the last quarter are subject to change due to the delay in notifications from the Police.

Early Help and Preventative Services – Activity Indicators

There were 656 Early Help Notifications received into Triage in September 2015, compared with 749 in June 2015. Over the quarter 1,637 notifications were received by Triage. This figure is lower than the previous quarter due to the impact of the summer break at schools, the largest source of Early Help Notifications. There were 2,340 open cases held by Early Help Units by the end of September 2015, compared with 2,153 as at the end of June. Non-unit caseloads as at the end of September were 3,235 showing the key role played across the service in providing Early Help to those families in need.

Significant numbers of children and young people on the SCS Caseload are being supported by Early Help services, with 75% of the 0-5 aged SCS caseload registered with Children's Centres, 35% of the youth justice caseload known to SCS, and 14% of families in the Troubled Families programme with at least one child who is known to SCS. The percentage of the targeted population, those living in the most 30% deprived LSOAs, who are registered at Children's Centres, remains around 78%.



Children's Safeguarding - Overview	
Cabinet Member	Peter Oakford
Director	Philip Segurola

The percentage of case holding social worker posts held by permanent qualified social workers increased in the quarter to September 2015 to 75.7%, with 20.4% of posts being filled by Agency staff. Recruitment activity continues. The percentage of children becoming subject to a child protection plan for the second or subsequent time (rolling 12 month basis) was within the banding set for optimum performance. There was an increase in the number of case files rated good or outstanding.

At 7,295, the number of Initial Contacts in the last quarter increased and was 6% higher than the same time last year. The number of children in need cases decreased by 11 and was within the expected range. There were 1,135 children with child protection plans at the end of September 2015, which was a significant decrease on the previous quarter.

Indicator Description	Previous Status	Current Status	DOT
Case holding posts filled by permanent qualified social workers	AMBER	AMBER	↑
Children subject to a child protection plan for the second or subsequent time within 24 months	GREEN	GREEN	↓
Percentage of on-line Case File Audits judged as Good or Outstanding	AMBER	AMBER	↑

The Children's Transformation Programme implementation phase continues to roll out across the county. West Kent and South Kent have now successfully completed the process with East and North Kent going live in October and November 2015.

Work within the fostering service has also been completed. We are seeing strong evidence of programme benefit with overall workloads and caseloads reducing in line with the target for county average. The theoretical model Signs of Safety continues to embed in everyday practice and has been well received by both staff and families. Used in tandem with case progression meetings this is allowing for a stronger focus on analysis of issues and stronger planning enabling more effective intervention.

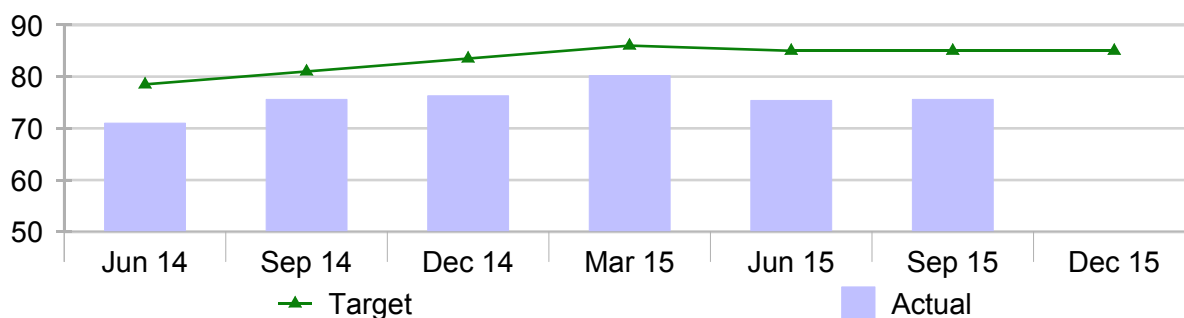
We are also seeing a beneficial impact on the quality of work within the service. Audit outcomes for the year-to-date to September graded 52 percent of cases as good or outstanding meaning, with 58 percent in the quarter to September so that for the first time the majority of cases now fall into these categories.

The Area team deep dive management review process is continuing with a current theme on placement permanence and an extended deep dive in South Kent has been looking at practice in more detail.

Children's Safeguarding - KPIs

Percentage of case holding posts filled by permanent qualified social workers

AMBER
↑

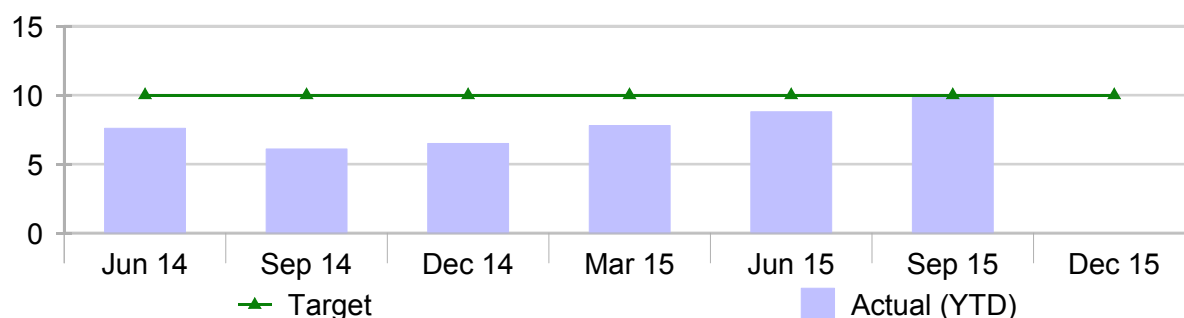


	Jun 14	Sep 14	Dec 14	Mar 15	Jun 15	Sep 15	Dec 15
Actual	71%	76%	76%	80%	75%	76%	
Target	79%	81%	84%	86%	85%	85%	85%

Performance in this area has been affected in part by changes to the reporting process and the impact of transformation which is yet to be reflected in a revised establishment figure. The volume of external applications has been low. A new media campaign commenced in May which includes social media messages, bus rears and online advertising. The initial application process has been simplified and an analysis of those staff leaving KCC is being undertaken. 43 NQSWs have been recruited to start from September/October 2015 which will have a positive effect.

Percentage of children becoming subject to a child protection plan for the second or subsequent time within 24 months (rolling 12 months)

GREEN
↓

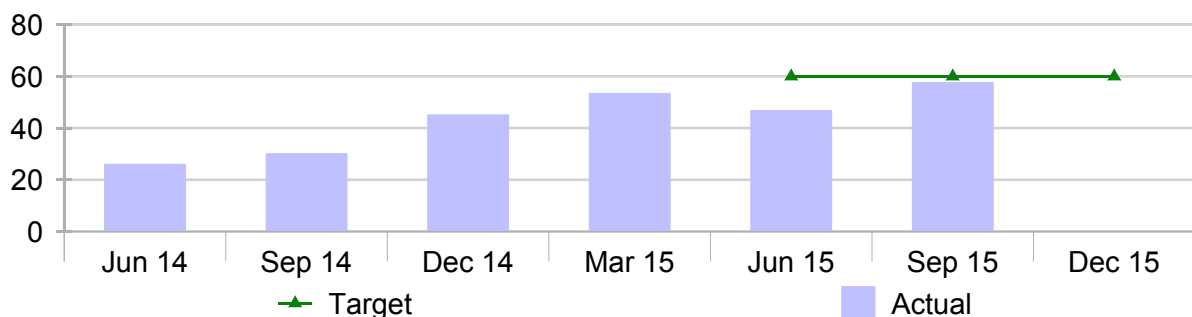


	Jun 14	Sep 14	Dec 14	Mar 15	Jun 15	Sep 15	Dec 15
R12m	7.6%	6.0%	6.5%	7.8%	8.8%	10.0%	
Target	10%	10%	10%	10%	10%	10%	10%

Between July and September 2015, 674 children became subject to a Child Protection Plan and 74 of these had been subject to a Child Protection Plan within the previous 24 months. A number of large sibling groups (4 and above) has had an impact on performance. Figures for September reflect an increase in returns for children into child protection, although performance was just within target. As part of the quality assurance processes within Specialist Children's Services the cases for children who have been the subject of second or subsequent child protection plans are reviewed by the Safeguarding Unit.

Children’s Safeguarding - KPIs

Percentage of on-line Case File Audits rated as Good or outstanding **AMBER**
↑



	Jun 14	Sep 14	Dec 14	Mar 14	Jun 15	Sep 15	Dec 15
Actual	25%	29%	41%	52%	47%	58%	
Target					60%	60%	60%

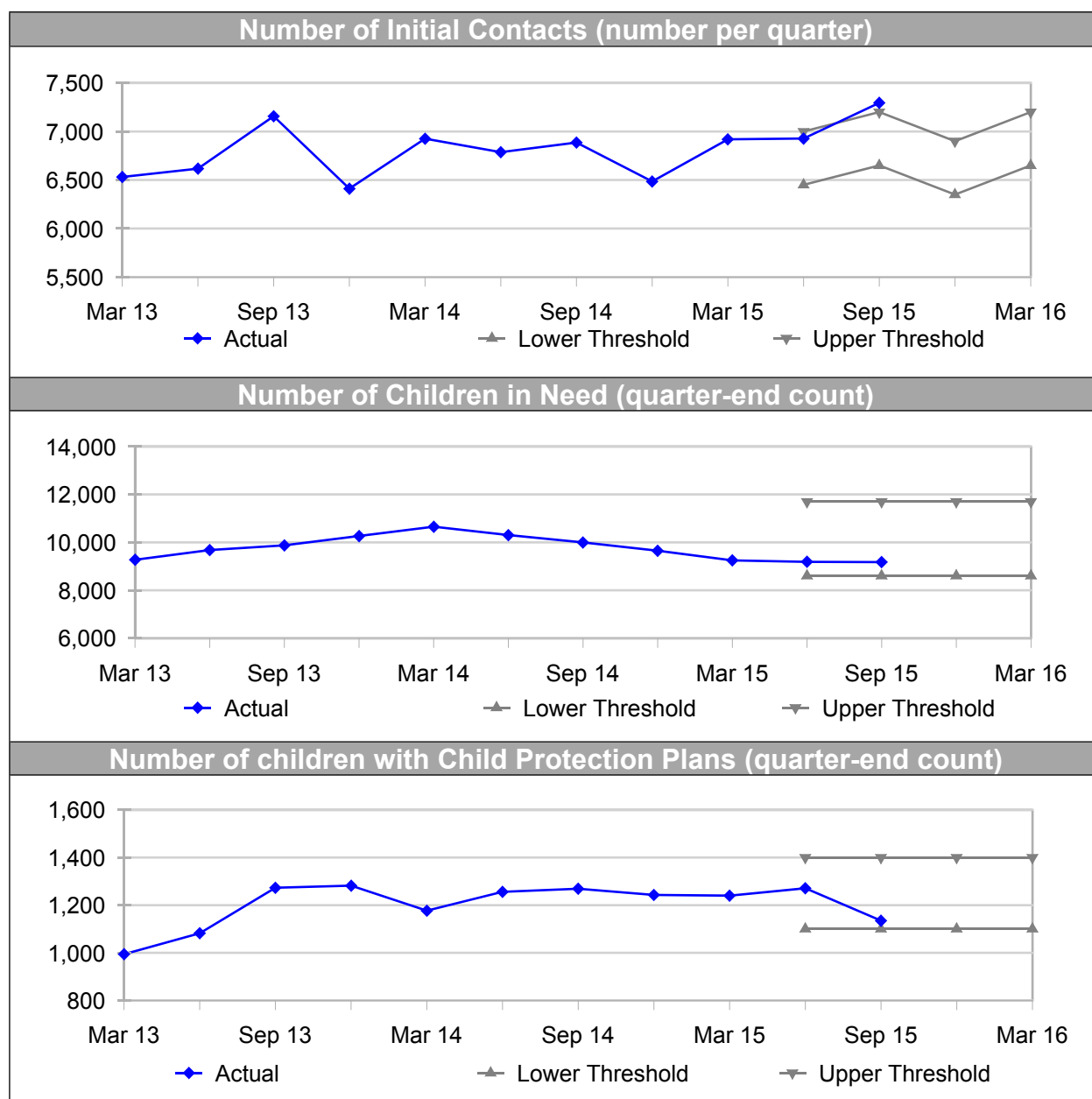
This performance measure demonstrates that there has been a steady increases in the number of online case file audits rated as Good or Outstanding.

Children's Safeguarding – Activity Indicators

The number of initial contacts at 7,295 was above the expected range and continues to show an increasing trend.

The number of children in need has continued to decrease and was 9,176 at the end of September 2015. This figure includes care leavers who are over the age of 18 who have been included in the figure to match the definitions used by the DfE in their publication of national data. They are included here so that comparative rates can be used as the guide. Kent's current rate has remained within the guide range.

The number of children with Child Protection Plans decreased to 1,135 at the end of September and remains within the expected range.



Corporate Parenting - Overview	
Cabinet Member	Peter Oakford
Director	Philip Segurola

For children who were adopted in the second quarter the average number of days between coming into care and moving in with their adoptive family was 549 days which compares to 532 days for children adopted during 2014/15. Stability of children in care who have been in the same placement for the last two years, at 73.5%, remained above target. The percentage of children in KCC foster care or with family, at 80.8% has shown a decrease due to the number of unaccompanied asylum seeking children who have been placed with Independent Fostering Agencies in the last quarter.

The number of indigenous children in care has continued to reduce and at the end of September there were 1,435, which is a decrease of 98 children from the September 2014 position of 1,533. The number of children in care placed with Independent Fostering Agencies has increased in the quarter due to a large increase in the number of accompanied asylum seeker children arriving in Kent during the quarter. The number of children in care placed in Kent by other Local Authorities continues to be higher than last year and was 1,254 at the end of September 2015.

Indicator Description	Previous Status	Current Status	DOT
Average number of days between becoming looked after and adoption	AMBER	AMBER	↓
Children in Care in same placement for the last 2 last years	GREEN	GREEN	↑
Percentage of children in foster care placed in-house or with family and friends	AMBER	AMBER	↓

Specialist Children's Services has seen an unprecedented rate of arrivals of Unaccompanied Asylum Seeking Children (UASC), which has far exceeded previous years. The number of UASC in care at the end of September 2015 was 771, an increase of 403 from March 2015. Additional social workers and staff within the Virtual School Kent have been recruited to ensure service standards are maintained.

The Kent Pledge to Children in Care was recently redesigned and new wording agreed. New Promise Cards will be available in October 2015.

The Sufficiency, Placements and Commissioning Strategy 2015-2018 has been published. This strategy sets out the Corporate Parenting ambitions for providing sufficient, high quality accommodation for Children in Care and Care Leavers in Kent, whilst also providing placements that support children and young people to have the stability to achieve positive outcomes.

Results of the follow up LILAC (Leading Improvements for Looked After Children) Assessment are expected to be released in October 2015. The review earlier in 2015 found that KCC was achieving four of the seven standards. An action plan was put in place following the assessment which has been robustly monitored by the Virtual School and the Assistant Director for Corporate Parenting.

Corporate Parenting – Our Children

Our Children in Care (including Unaccompanied Asylum seeking children)

Age Profile

Age Group	Mar 14	Mar 15	Sep 15
0 to 4	318	205	168
5 to 9	351	320	310
10 to 15	657	708	824
16 to 17	679	637	904
Total	1,842	1,870	2,206

Gender

	Mar 14	Mar 15	Sep 15
Male	1,124	1,162	1,500
Female	718	708	706

Ethnicity

	Mar 14	Mar 15	Sep 15
White	1,543	1,404	1,334
Mixed	79	85	86
Asian	10	16	45
Black	50	104	376
Other	160	261	365

Kent or Unaccompanied Asylum Seekers (UASC)

Status	Mar 14	Mar 15	Sep 15
Local	1,624	1,502	1,435
UASC	218	368	771

Corporate Parenting – Views of children and young people

Children and young people's views

The Participation and Engagement of children in care and care leavers is a key area of development within Specialist Children's Services (SCS). An Interim Assistant Director for Corporate Parenting will hand over to a permanent appointment early next year. The post has the Strategic Lead for Participation and Engagement and responsibility for driving through further improvements and developments. A new permanent appointment, Gemma O'Grady, Participation Co-ordinator starts on 16th November and will work to the Assistant Director. Gemma's focus will be to develop participation and engagement practice in Specialist Children's Services.

Two Participation Workers have been appointed within the Virtual School Kent (VSK) and their role is to support the VSK Participation and Engagement work stream, working alongside our apprentices. This work will include developing further feedback mechanisms for all children in care and care leavers.

A new Participation Strategy sets the agenda for a Working Group, including compiling a register of participation, engagement, involvement, and consultation activities and initiatives, for children in need and children subject to Child Protection plans, as well as children in care.

The work of the Children and Young People's Council continues to increase membership and have greater representation by establishing local and more specialist groups, including a group for Care Leavers.

Each of the area Service Managers oversees a programme of participation events.

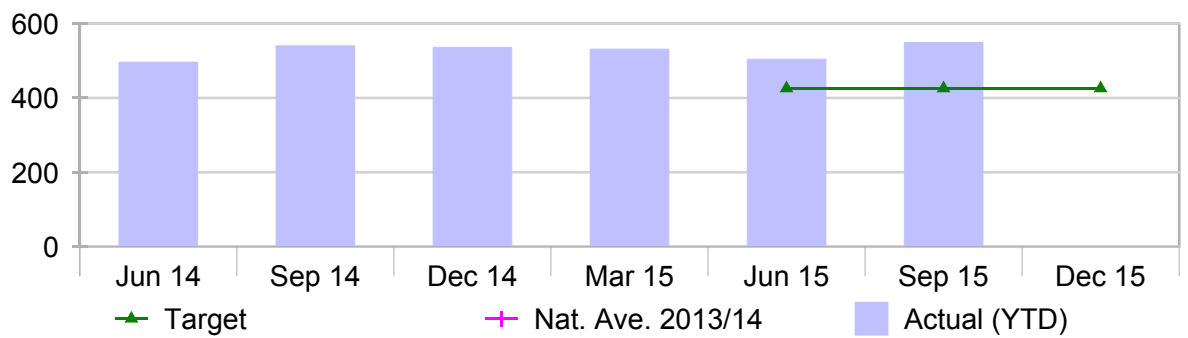
Last year a Leading Improvements for Looked After Children' (LILAC) Assessment took place. LILAC has been developed by National Voice as a way of involving young people with experience of the care system to carry out an assessment of how well services delivered by the local authority are enabling children in care and care leavers to participate, both at an individual level, and in the development of policies and services that support them. The assessment focused on seven standards:

1. Shared values
2. Style of Leadership
3. Structures
4. Staff
5. Recruitment and Selection
6. Care Planning and Review
7. Complaints and Advocacy

KCC achieved four of the seven standards and National Voice representatives returned in September to assess the three standards not yet achieved: Style of Leadership, Structures, and Staff. We are waiting to hear the results.

Corporate Parenting - KPIs

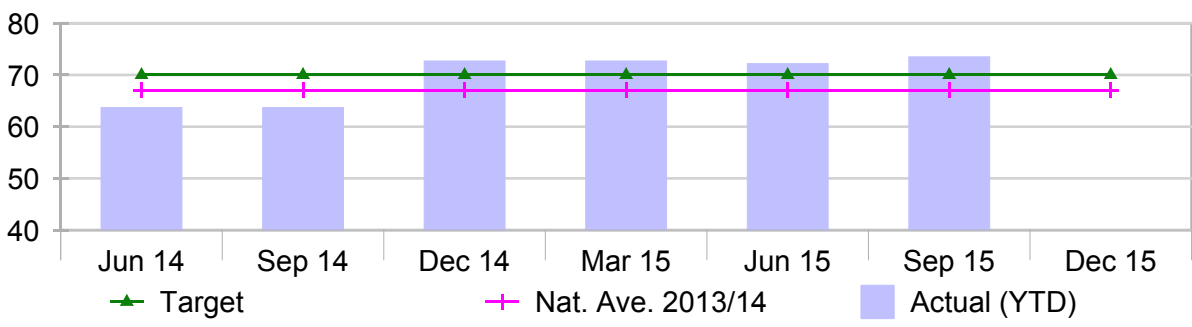
Average number of days between becoming a child in care and moving in with an adoptive family **AMBER**
↓



	Jun 14	Sep 14	Dec 14	Mar 15	Jun 15	Sep 15	Dec 15
YTD	496	540	536	531	504	549	
Target					426	426	426

The average length of time between a child coming into care and moving in with their adoptive family has increased over the last quarter from 504 to 549 days. For the 58 children adopted so far in 2015/16, 29 exceeded this timescale although for some this delay was in the best interests of the children and resulted in a positive outcome of adoption.

Children in Care in same placement for the last 2 last years (for those in care for 2 and half years or more) **GREEN**
↑

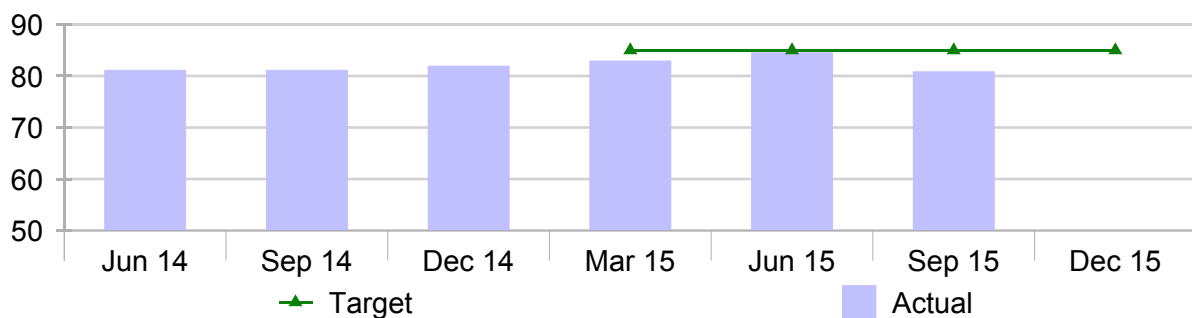


	Jun 14	Sep 14	Dec 14	Mar 15	Jun 15	Sep 15	Dec 15
YTD	64%	64%	73%	73%	72%	74%	
Target	70%	70%	70%	70%	70%	70%	70%

This indicator is a measure of placement stability for those that have been in care for at least two and a half years, and have been in the same placement for at least two years. Placement stability has remained fairly static over the last four quarters and has remained above target. The highest range of stability is in the 9-12 age groups, and stability decreases for those aged 13 and above. Some placement moves are planned and improved data collection for 2015/16 will allow for greater understanding of reasons for placement changes.

Corporate Parenting - KPIs

Percentage children in foster care placed in house or with family and friends (excludes care leaving service) **AMBER**
↓



	Jun 14	Sep 14	Dec 14	Mar 15	Jun 15	Sep 15	Dec 15
Actual	81%	81%	82%	83%	85%	81%	
Target	85%	85%	85%	85%	85%	85%	85%

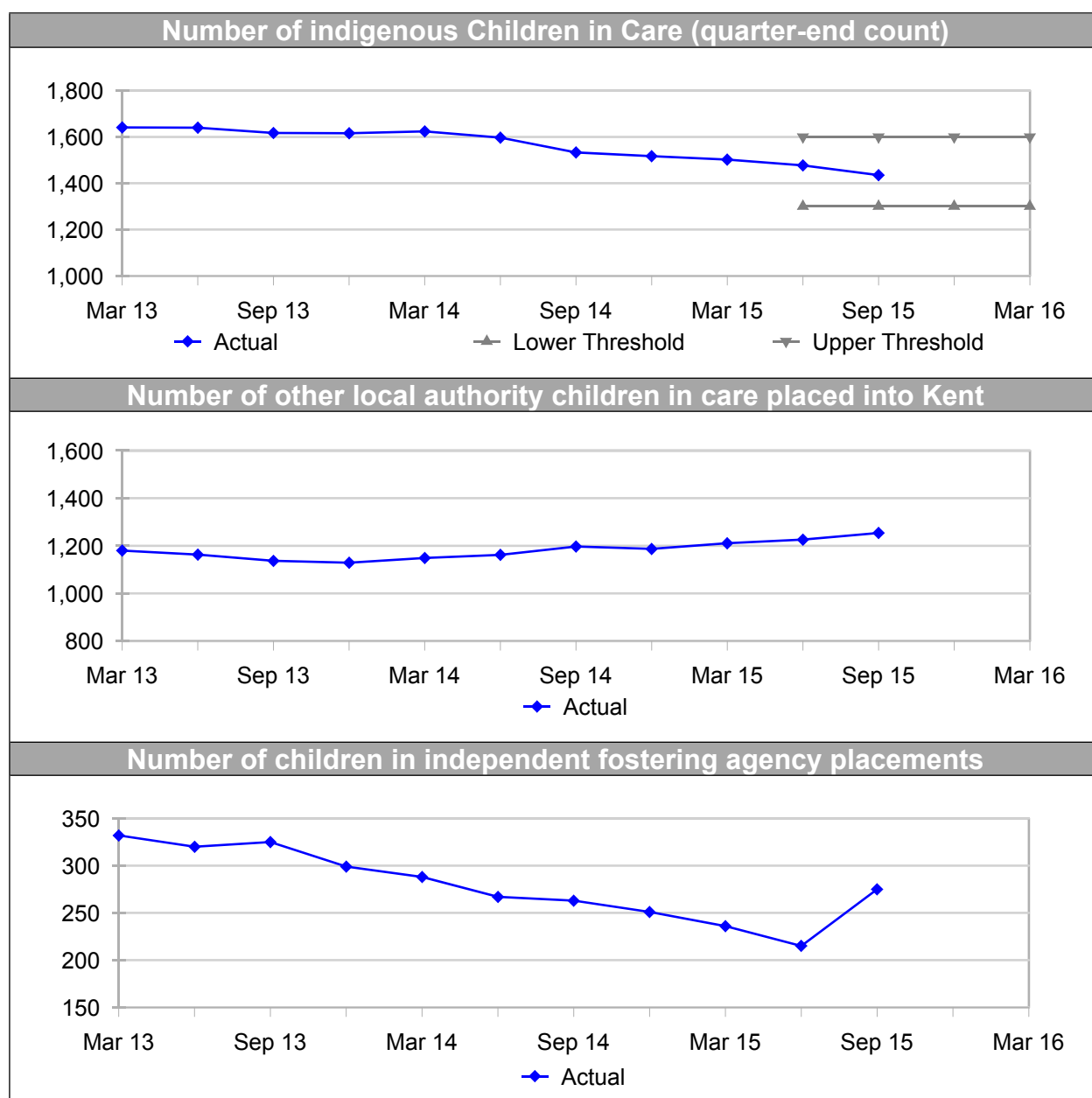
One of the strategic priorities for Specialist Children’s Services is to find permanence and stability for children in care via in-house foster care. This performance measure has shown a decrease in performance over the last quarter due to the increased number of unaccompanied asylum seeing children who, due to pressures on demand, have been placed with Independent Fostering Agencies.

Corporate Parenting – Activity Indicators

The number of indigenous Children in Care has decreased in the last quarter to 1,435. This is the lowest number since February 2012.

The number of Children in Care placed in Kent by other Local Authorities continues to increase.

There were 275 children placed with Independent Fostering Agencies (IFAs) at the end of September 2015. This represents a rise of 60 since June 2015. This increase is a result of the rising numbers of unaccompanied asylum seeking children. The number of indigenous children placed in IFAs continues to decrease.



Adult Social Care - Overview	
Cabinet Member	Graham Gibbens
Corporate Director	Andrew Ireland

The percentage of contacts resolved at first point of contact continues to improve and is now above target. The number of referrals to enablement reduced in the quarter and was below target. The number of clients receiving a Telecare service continues to exceed target. The number of Promoting Independence Reviews completed exceeded the new target level. The number of Admissions to residential care has been increasing in the last two quarters but is lower (better) than target and significantly below numbers seen last year. Clients still independent after enablement recovered in the quarter returning to previous level ahead of target. The proportion of delayed discharges from hospital where KCC was responsible reduced in the quarter but remains high with continuing pressure in this area since December.

Indicator Description	Previous Status	Current Status	DOT
Percentage of initial contacts resolved at first point of contact	AMBER	GREEN	↑
Number of new clients referred to an enablement service	GREEN	AMBER	↓
Number of clients receiving a Telecare service	GREEN	GREEN	↑
Number of Promoting Independence Reviews completed	AMBER	GREEN	↑
Number of admissions to permanent residential or nursing care for older people	GREEN	GREEN	↓
Clients still independent after enablement	AMBER	GREEN	↑
Delayed Discharges with Adult Social Care responsible	RED	AMBER	↑

The Phase 2 Transformation Programme for Adult Social Care is now underway, with a focus on Health and Social Care integration and improving outcomes for clients with a Learning Disability.

The previous Phase 1 Transformation Programme, which is now complete, focussed on the Older People and Physical Disability division to better use existing systems and embed the culture of promoting service user independence, whilst establishing the foundations for future transformation. The work of the KCC and Newton Europe partnership on the 'sandbox optimisation project' was highly commended for 'Innovation in Social Care' at the 2014 Municipal Journal awards.

Adult Social Care – Service User Feedback

All local authorities carry out a survey with their adult social care services users on an annual basis, as set out by Department of Health guidance.

A sample of service users are chosen from all ages, all client groups and all services. The last survey in 2014/15 had responses from 550 service users.

The results of some of the key areas are found below. **National averages are shown in brackets.**

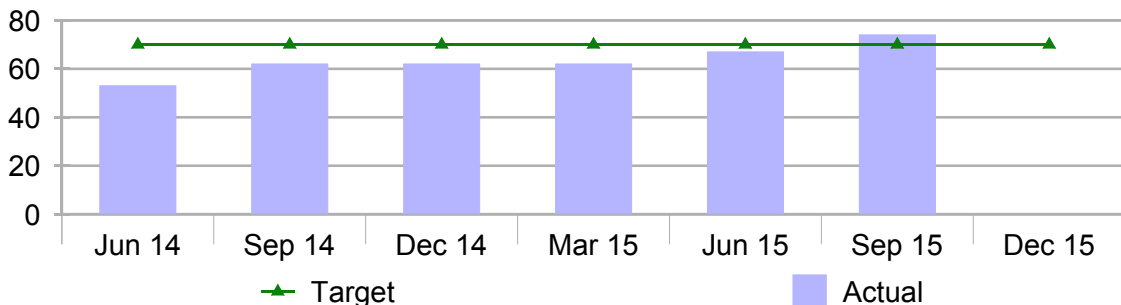
	2012/13	2013/14	2014/15
Service users who are extremely or very satisfied with their care and support	67% (64%)	66% (65%)	70% (62%)
Service users who have adequate or better control over their daily life	79% (76%)	78% (77%)	84% (77%)
Service users who find it easy to find information about services	76% (74%)	70% (75%)	78% (74%)
Service users who say they feel safe as they want	65% (65%)	65% (66%)	73% (69%)
Service users who say that the services they receive help them feel safe and secure	79% (78%)	76% (79%)	84% (85%)

The Directorate Management Team have considered the results and the information gathered from the survey is being used together with further feedback from people that have volunteered to take part in additional surveys to understand how we can make improvements to the services we deliver.

In 2014/15 Kent was above the national average for most indicators.

Adult Social Care - KPIs

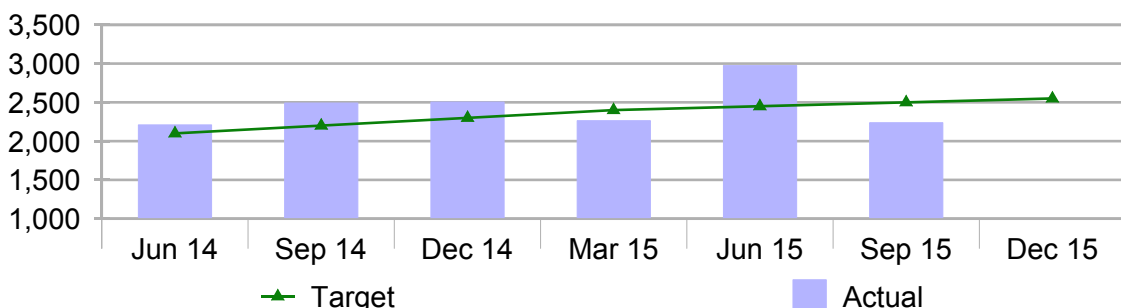
Percentage of initial contacts resolved at first point of contact GREEN
↑



	Jun 14	Sep 14	Dec 14	Mar 15	Jun 15	Sep 15	Dec 15
Actual	53%	62%	62%	62%	67%	74%	
Target	70%	70%	70%	70%	70%	70%	70%

Performance continues to improve and now exceeds target. It is a key priority for Adult Social Care to respond to more people’s needs at the point of contact, through better information, advice and guidance, or provision of equipment where appropriate. This will continue to be a focus as we move into Phase 2 of Transformation. In addition we will be improving joint working with hospitals to ensure that we support the discharge process more efficiently.

Number of new clients referred to an enablement service AMBER
↓



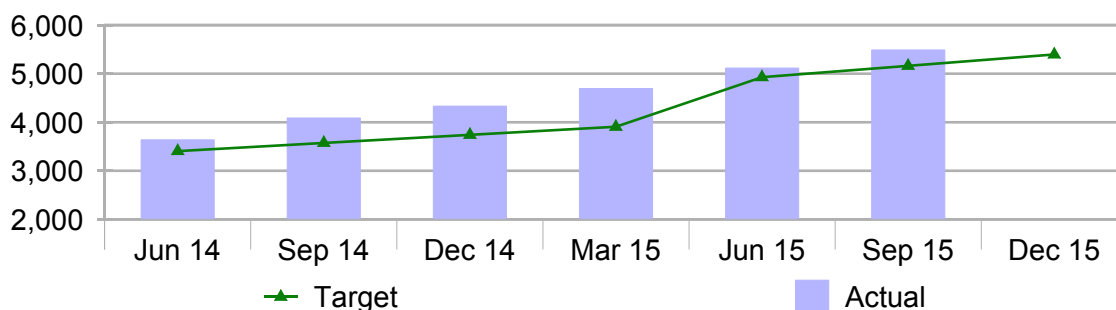
	Jun 14	Sep 14	Dec 14	Mar 15	Jun 15	Sep 15	Dec 15
Actual	2,209	2,492	2,504	2,263	2,974	2,237	
Target	2,100	2,200	2,300	2,400	2,450	2,500	2,550

The number of new clients referred to enablement was below target in the last quarter. Performance has been affected by pressures from hospitals, but also pressures within the homecare market. Referring more clients through enablement is a key priority for Adult Social Care, with a stronger focus on short term interventions, to reduce the need to provide long term care packages.

Adult Social Care - KPIs

Number of clients receiving a Telecare service

GREEN
↑

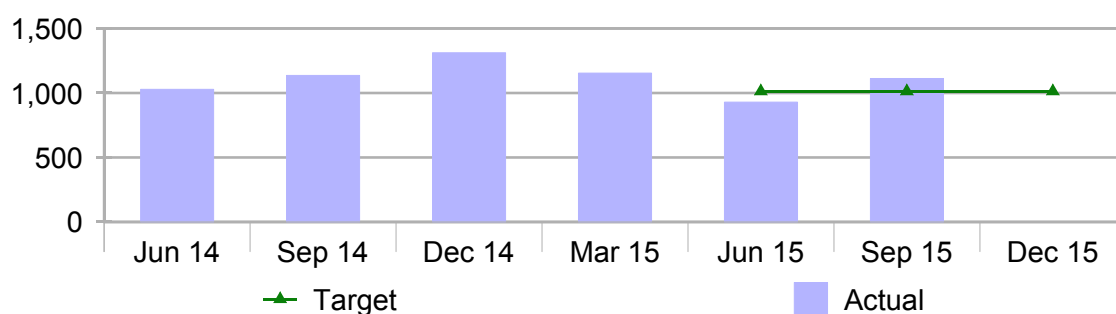


	Jun 14	Sep 14	Dec 14	Mar 15	Jun 15	Sep 15	Dec 15
Actual	3,637	4,088	4,332	4,694	5,116	5,489	
Target	3,405	3,573	3,740	3,907	4,928	5,162	5,396

The number of people in receipt of a Telecare service continues to increase ahead of target. Telecare is being promoted as a key mechanism for supporting people to live independently at home, included within Personal Budgets. The availability of new monitoring devices (for dementia for instance) is expected to increase the usage and benefits of Telecare. Awareness training continues to be delivered to staff to ensure we optimise the opportunities for supporting people with more complex and enabling tele-technology solutions.

Number of Promoting Independence Reviews completed

GREEN
↑



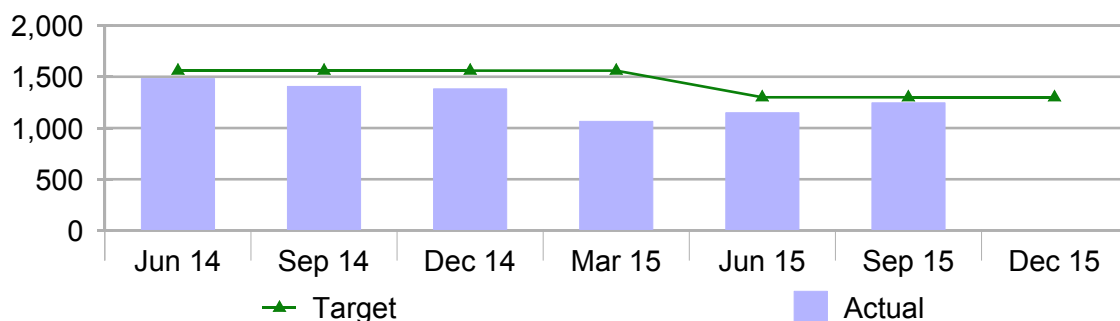
	Jun 14	Sep 14	Dec 14	Mar 15	Jun 15	Sep 15	Dec 15
Actual	1,028	1,136	1,312	1,154	929	1,112	
Target					1,013	1,013	1,013

The number of Promoting Independence Reviews completed exceeded the revised target, which has been based on current optimum performance for 2015/16. Management continue to monitor progress on a regular basis to ensure that any operational issues are identified and resolved so further progress can be made. There will be a significant drive to increase the number and effectiveness of reviews as we move into the next six months.

Adult Social Care - KPIs

Number of admissions to permanent residential and nursing care for older people (rolling 12 month totals)

GREEN
↓

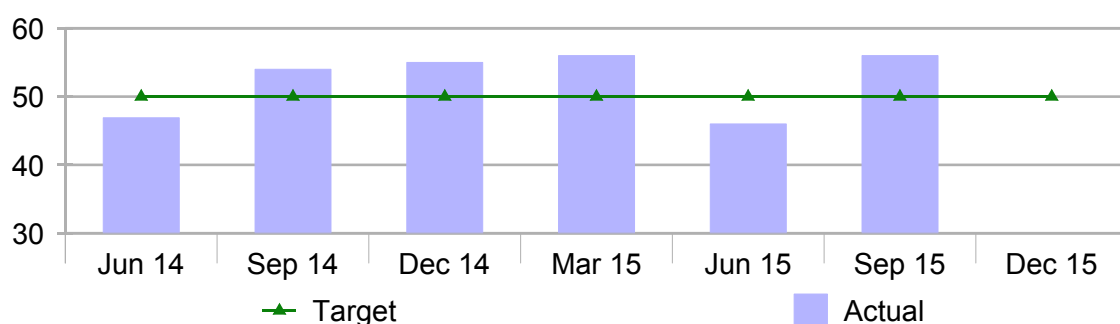


	Jun 14	Sep 14	Dec 14	Mar 15	Jun 15	Sep 15	Dec 15
Actual	1,482	1,386	1,377	1,065	1,149	1,246	
Target	1,560	1,560	1,560	1,560	1,300	1,300	1,300

There has been a slight increase in the number of new admissions to both residential and nursing care for people aged 65, although the number is significantly lower than the previous year and below the target level set. These lower levels help demonstrate the success of improving advice and guidance (contacts resolved at first point of contact) and the increased use of enablement services (helping people stay independent and living in their own home).

Clients still independent after receiving an enablement service

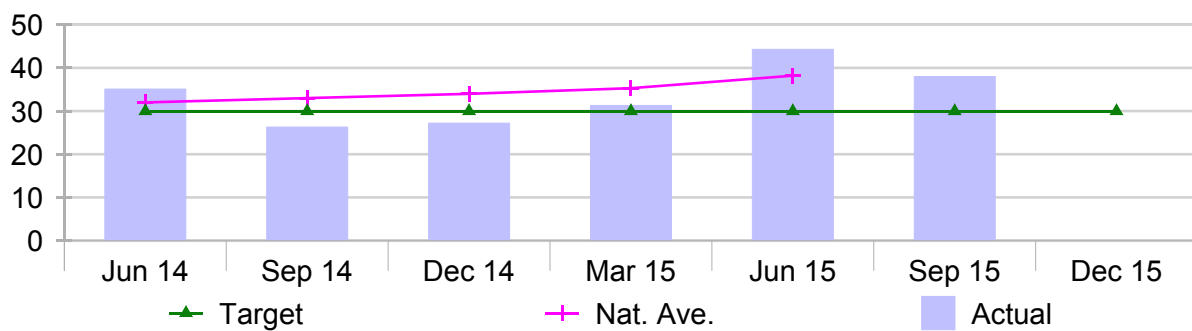
GREEN
↑



	Jun 14	Sep 14	Dec 14	Mar 15	Jun 15	Sep 15	Dec 15
Actual	47%	54%	55%	56%	46%	56%	
Target	50%	50%	50%	50%	50%	50%	50%

Performance in the latest quarter exceeded the target and returned to a similar level to that seen during last year. This indicator supports the evaluation of the effectiveness of the Enablement service in supporting independence, by preventing or reducing the need for more expensive services in the future.

Percentage of Delayed Discharges from hospital with Adult Social Care responsible (quarter-end snapshot) **AMBER**
↑



	Jun 14	Sep 14	Dec 14	Mar 15	Jun 15	Sep 15	Dec 15
Actual	35%	26%	27%	31%	44%	38%	
Target	30%	30%	30%	30%	30%	30%	30%
Total DD	77	80	81	160	140	80	

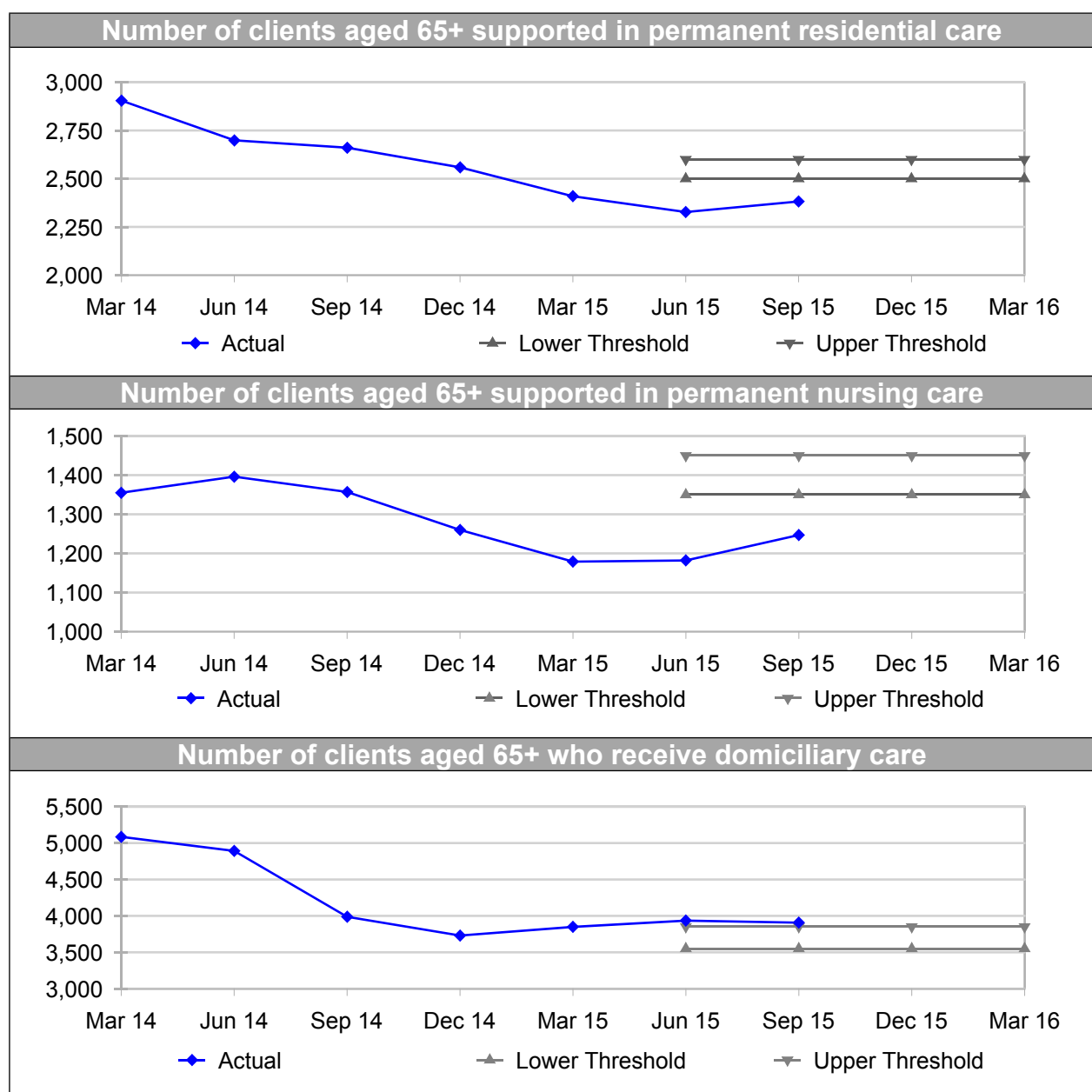
This indicator shows the number of patients with a Delayed Transfer of Care at midnight on the last Thursday of the reporting period for both Acute and Non-Acute Care.

Despite there being increasing pressures on the Directorate as it deals with increasing demand within the current financial pressures, schemes such as enablement and discharging home to assess are having a positive impact.

Adult Social Care – Activity Indicators

The general trend over the last 6 years both nationally and locally has been for reduced levels of local authority funded residential and nursing care placements. Continuing to reduce the number of these placements is a priority and will be achieved by supporting more people to live independently through use of enablement services and independence reviews. Although there has been a slight increase in the last quarter, the trend over the last 12 months shows further reductions to the level of residential and nursing care placements for older people and a stable position for adults with learning disability.

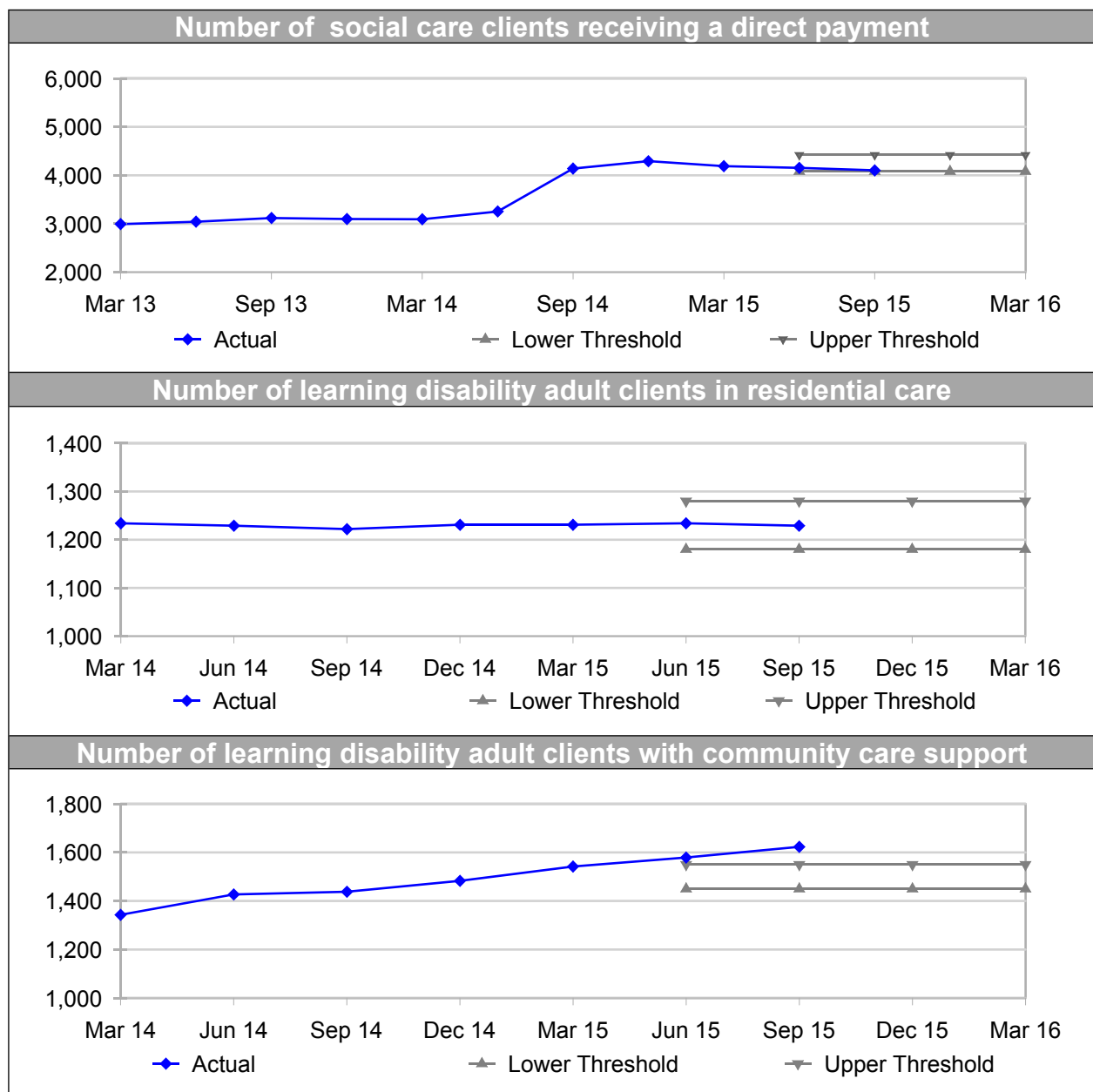
The domiciliary services contracts were re-let in March 2014 and subsequent to this we have seen a significant reduction in domiciliary hours provided with a related increase in people choosing to take a direct payment. Provision of enablement services, promoting independence reviews and Telecare services are being used to help reduce the demand levels for domiciliary care.



Adult Social Care – Activity Indicators

The number of clients with direct payments is currently in line with expectations.

The number of clients with learning disability supported in residential care continues to be very stable over time, with increasing numbers supported in community based settings. More young people with disability are progressing into adulthood and overall number of clients supported with learning disability continues to increase, representing a significant future pressure on council budgets.



Public Health - Overview	
Cabinet Member	Graham Gibbens
Director	Andrew Scott-Clark

The proportion of people choosing to have an NHS Health Check in the twelve months to September 2015 fell slightly below the 50% target. Public Health is working with the commissioned service provider to drive up the number of checks completed in the second half of 2015/16 in order to meet 50% target for the year.

Smoking quit rates also fell in the latest quarter and narrowly missed the target of 52%. Access to urgent appointments for sexual health services remained at 100%. Kent also continued to perform above the national average for opiate users completing treatment.

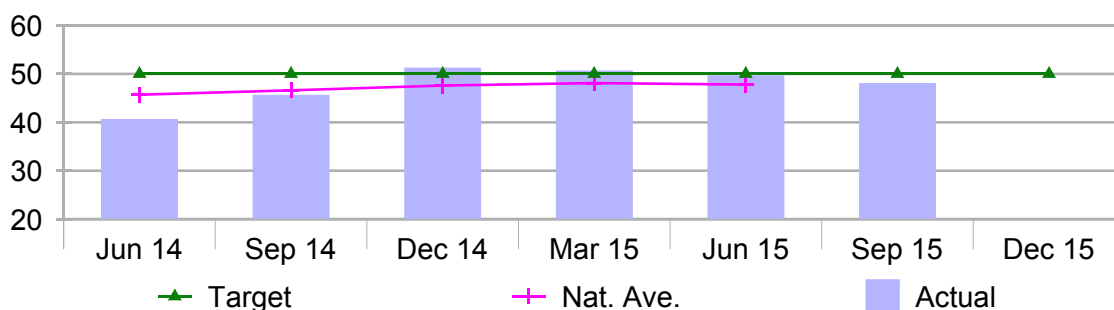
Indicator Description	Previous Status	Current Status	DOT
Percentage completion of NHS health checks for target population aged 40 to 74	GREEN	AMBER	↓
Number of smokers successfully quitting, having set a quit date	GREEN	AMBER	↓
Proportion of clients accessing GUM offered an appointment to be seen within 48 hours	GREEN	GREEN	↔
Opiate users in treatment who left treatment and did not return to treatment within 6 months	GREEN	GREEN	↓

Public Health continues to progress with its transformation programme including engagement with local health and wellbeing boards and other key stakeholders. This has indicated a good deal of support for the concept of an integrated health improvement service. Public Health is due to begin a public consultation on this proposal and undertake some customer insight work to analyse the needs and inform the planning phase of the commissioning process.

Close work was undertaken with NHS England prior to the transfer of commissioning responsibility into the local authority of the Health Visiting and Family Nurse Partnership services. The one year contract started on October 1st with performance analysis beginning before the transfer. The service will be offering five mandated checks and there is a clear improvement plan against this activity in place. Baseline data is being reviewed and will be used to measure performance going forward.

Public Health – KPIs

Percentage of annual target population with completed NHS Health Checks (rolling 12 month basis)

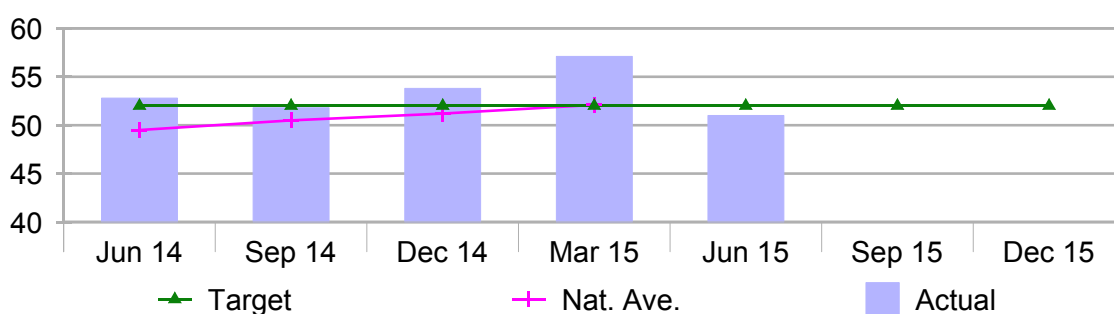
AMBER
↓

	Jun 14	Sep 14	Dec 14	Mar 15	Jun 15	Sep 15	Dec 15
Actual	41%	46%	51%	51%	50%	48%	
Target	50%	50%	50%	50%	50%	50%	50%

The rolling 12-month rate of uptake has fallen slightly in the last quarter although it remains higher than the same period for the previous year.

In the last quarter, 24,707 eligible Kent residents were invited to receive a NHS health check and 10,481 people received a check. In the twelve months to the end of September 2015, 88,831 people were invited to attend their NHS Health Check and 41,328 received a check.

Number of smokers successfully quitting, having set a quit date

AMBER
↓

	Jun 14	Sep 14	Dec 14	Mar 15	Jun 15	Sep 15	Dec 15
Actual	53%	52%	54%	57%	51%		
Target	52%	52%	52%	52%	52%	52%	52%

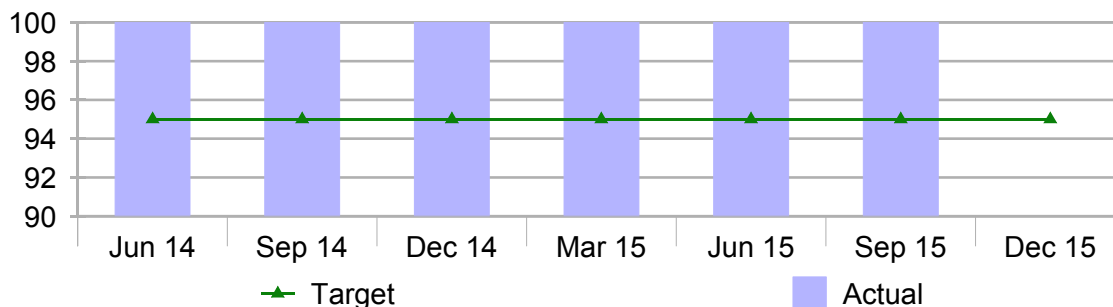
The Stop Smoking Service quit rate fell to 51% for the quarter to June (latest available data) which narrowly missed the target of 52%

Of the 737 Kent residents successfully quitting in the first quarter of 2015/16, 10 were pregnant females; 71 had never worked or had been unemployed for over 1 year; 48 were sick/disabled and unable to return to work; 199 were in routine and manual occupations.

Public Health – KPIs

Proportion of clients accessing GUM offered an appointment to be seen within 48 hours

GREEN
↔



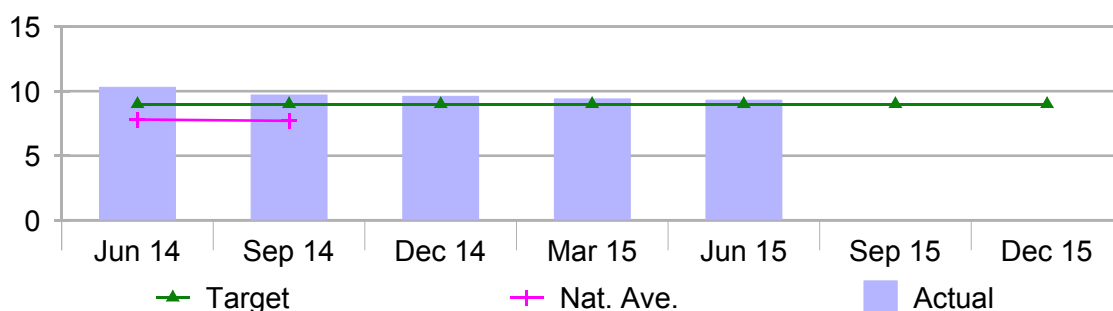
	Jun 14	Sep 14	Dec 14	Mar 15	Jun 15	Sep 15	Dec 15
Actual	100%	100%	100%	100%	100%	100%	
Target	95%	95%	95%	95%	95%	95%	95%

In the quarter to September 2015, over 5,000 Kent residents contacted community sexual health services in Kent and were offered an appointment within 48 hours.

The sexual health services have recently undergone a period of re-tendering and mobilisation with access to services remaining open throughout this period as demonstrated in the figures.

Percentage of all opiate users in treatment who left treatment and did not return to treatment within 6 months (rolling 12 month figures)

GREEN
↓



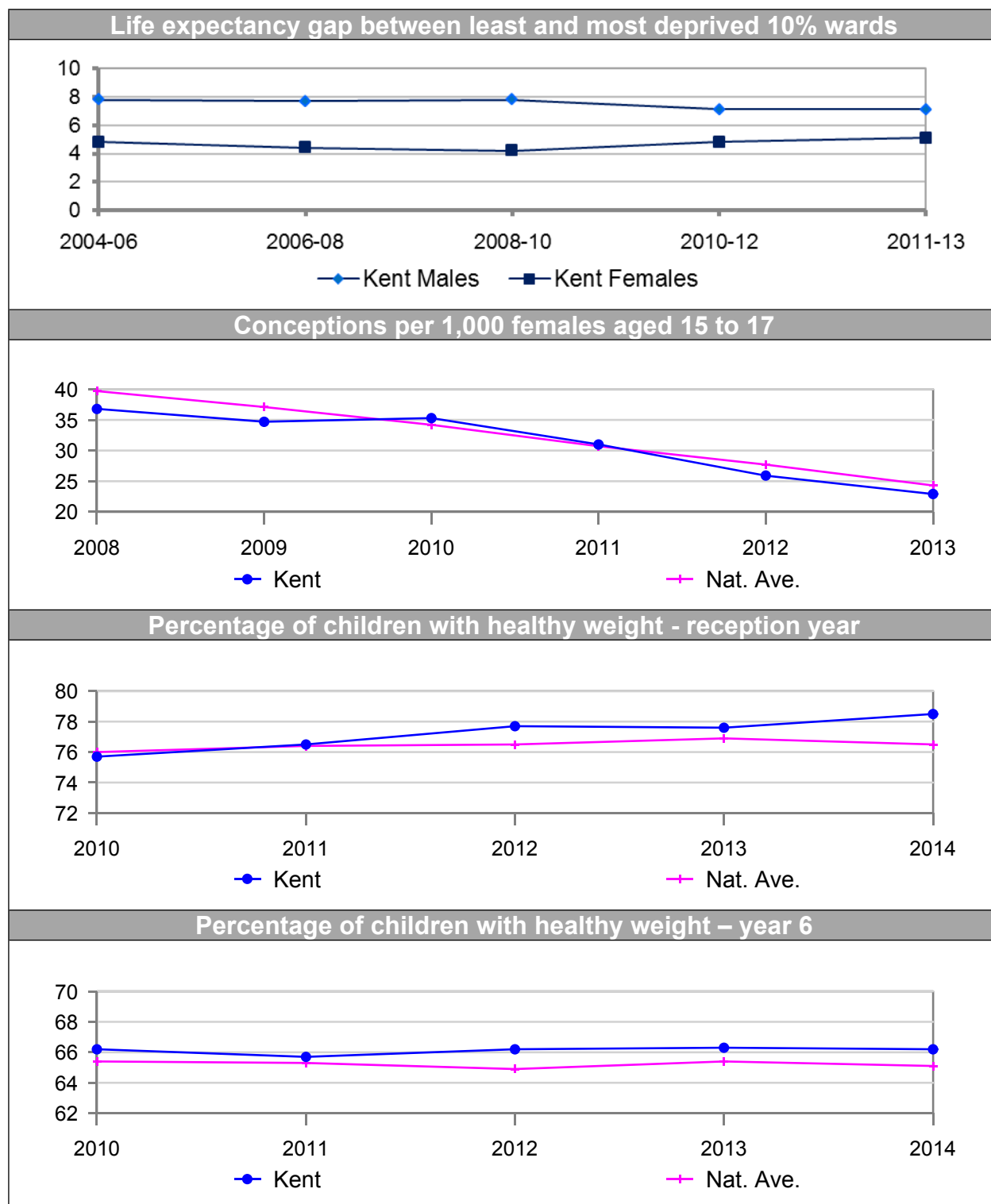
	Jun 14	Sep 14	Dec 14	Mar 15	Jun 15	Sep 15	Dec 15
Actual	10.3%	9.7%	9.6%	9.4%	9.3%		
Target	9.0%	9.0%	9.0%	9.0%	9.0%	9.0%	9.0%

There has been a slight decrease in the proportion of opiate users in treatment who completed treatment free from dependence on drugs or alcohol. Kent's performance remains above the national average and above the target of 9%.

Note: this indicator is calculated as a percentage of all users in treatment at the time and not as a percentage of those leaving treatment.

Public Health – Activity Indicators

In recent years there has been a decrease in the gap for male life expectancy between the most affluent and more deprived wards, but an increase in the gap for females. The under-18 year old conception rate has been decreasing over time and the proportion of children within the healthy weight range (both Reception and Year 6) is higher in Kent than nationally.



Corporate Risk Register - Overview

Risk No.	Risk Title	Current Rating	Change in current level	Target Rating
CRR 1	Data and Information Management	9		9
CRR 2a	Safeguarding – protecting vulnerable children	16	Risk split	9
CRR 2b	Safeguarding – protecting vulnerable adults	16	Risk split	9
CRR 3	Access to resources to aid economic growth and enabling infrastructure	12		8
CRR 4	Civil Contingencies and Resilience	12		8
CRR 9	Health & Social Care integration	12		9
CRR 10(a)	Management of Adult Social Care Demand	20		12
CRR 10(b)	Management of Demand – Early Help and Specialist Children’s Services	20		12
CRR 12	Welfare Reform & Work Bill	12		9
CRR 14	Managing and embedding change effectively			
CRR 17	Future operating environment for local government	20	Risk revised	10
CRR 18	Public Services Network – Implications of compliance with Code of Connection security standards	6	Risk closed	4
CRR 19	Implications of the Care Act 2014	15	Risk Closed	6
CRR 20	Banking Reform Act	8	Risk Closed	4
CRR 21	Delivery of 2015/16 Savings	12		2
CRR 22	Increase in Unaccompanied Asylum Seeking Children (UASC)	16	New Risk	9
CRR 23	National Living Wage	TBC	New Risk	TBC
CRR 24	Managing and embedding change effectively	TBC	New Risk	TBC

Low Risk	Medium Risk	High Risk
Rating = 1 to 6	Rating = 8 to 15	Rating = 16 to 25

Corporate Risk Register – Mitigating Actions (1)

Updates have been provided for 11 actions listed to mitigate elements of Corporate Risks that were due for completion or review up to the end of September 2015, together with updates for 4 actions due for completion or review by October 2015.

Due Date for Completion	Actions Completed	Actions Outstanding	Regular Review
July to September 2015	7	0	4
October 2015	0	2	2

CRR1 – Data and Information Management

Completed: Information Governance Training is now required to be completed every 2 years as recommended by the Information Commissioners Office (ICO). A briefing has been sent to Directors and a communication plan has been agreed to advise staff that if IG training has been completed more than 2 years ago they now need to complete it again as a refresher.

CRR2 - Safeguarding

Regular Review: The Kent Safeguarding Children Board (KSCB) / Child Sexual Exploitation (CSE) work plan is reviewed at the trafficking and KSCB CSE subgroup to ensure actions are being progressed. A dedicated operational multi-agency expert team will be operational by mid-November and a dedicated preventative CSE programme is being rolled out to Kent foster carers. KCC have been granted permission to use the Metropolitan Police and London SCB's 'Make safe - say something' campaign to raise awareness and encourage reporting of CSE concerns.

Regular Review: Implementation of the transformation programme for Children's Services – Implementation phase in South and West Kent is now complete. East Kent implementation has begun. A sustainability matrix is being developed to support and measure continued improvement.

Outstanding: - Capability Training Framework Pilot in Adult Social Care – An Organisational Development Adviser has been appointed who will focus on the continued implementation of a Safeguarding, Mental Capacity Act and Deprivation of Liberty Capability Framework. Learning to meet this will be developed ready for launch in April 2016. Multi-agency training for 2016/17 reviewed.

Corporate Risk Register – Mitigating Actions (2)

Summary of progress against mitigating actions (continued).

CRR3 – Access to resources to aid economic growth and enabling infrastructure

Completed: - Growth and Infrastructure Framework for Kent and Medway - The final report was discussed and accepted at Kent Leaders on 23rd September. Work is now commencing to start taking forward the 10 actions identified within the document.

CRR4 – Civil Contingencies and Resilience

Outstanding: A total of 1,235 participants have undertaken the Emergency Planning e-learning training. KCC Managers are being urged to undertake the training and promote uptake amongst staff that they have line management responsibility for.

CRR10a - Management of Adult Social Care Demand

Regular Review: A Deprivation of Liberty (DoL) Project has been agreed by the Directorate Management Team. A project planning officer has been appointed together with a Best Interest Assessment (BIA) Team manager and 7 BI Assessors to take forward the development of the service. A Section 12 Doctor tender has been awarded and work has begun to address the backlog of cases.

Completed - Adults Transformation Phase 2 Design – A detailed implementation plan has been developed and implementation is underway.

CRR10b - Management of Demand – Specialist Children’s Services

Regular Review: - In-house fostering capacity – The foster service continues to grow. The emphasis is moving on to supporting and developing current carers to enable them to look after older young children and to recruit carers who can also care for Unaccompanied Asylum-Seeking Children.

CRR12 – Welfare Reform Changes

Completed: - Local Welfare Assistance Scheme: Future options were discussed at cabinet committee in July and agreement was given to extend the current arrangements until March 2017. Future design, commissioning and provision of any revised model for local welfare provision will be co-ordinated and integrated with the health and social care transformation projects.

CRR14 – Development of strategic commissioning authority governance arrangements

Completed: Customer Service Policy development - consultation on the Customer Service Policy took place between March and May 2015. Outcomes of the consultation were presented to Members of the Policy & Resources Cabinet Committee in September.

Corporate Risk Register – Mitigating Actions (3)

Summary of progress against mitigating actions (continued).

CRR14 – Development of strategic commissioning authority governance arrangements contd.

Regular Review: - KCC's position against the Commissioning Framework principles has been assessed. Implementation of the Framework continues through the use of the commissioning toolkit and supported by the Commissioning Network

CRR17 - Future Operating & Financial Environment for Local Government

Regular Review: Roll-out of the project and programme management training - A bespoke blended learning programme for Risk Management has been developed together with an HM Treasury accredited course to improve scrutiny of business cases. Critical success factor workshops will follow through the coming months.

CRR18 – Public Sector Network (PSN) – Implications of compliance with Code of Connection Security Standards

Completed: PSN compliance was awarded and KCC is now accredited until September 2016.

CRR19 – Implications of the Care Act 2014

Completed: Provision of necessary IT developments - SWIFT/AIS v29.1. The upgrade was successfully completed during the summer and the project is now complete.

Organisational Development	
Cabinet Member	Gary Cooke
Director	Amanda Beer

Indicator Summary

Employee numbers remain stable in the September quarter at 7,830 (full-time equivalent) which is lower than the same period last year. Turnover decreased slightly to 15.2%. Other key indicators are the same as or close to the last quarter with the percentage of employees aged 25 or under at 7.8%, and the average sickness per full-time employee at 7.1 days.

Skills development

Workforce Development programmes are available on demand through the A-Z course finder, covering key areas to deliver our transformation agenda and strategic ambition to become a commissioning authority including; commissioning skills, project management skills, commercial and business acumen, analytical skills, quality assurance, customer service, delivering outcomes. The A-Z course finder received 11,731 hits this quarter with a total of 341 development opportunities available for staff to access across the strategic development frameworks.

A revised programme of mandatory training has been developed to support professional development across the council and meet our statutory requirements. There continues to be an increase in staff accessing e-learning with approximately 2000 e-learning courses completed each month. Engagement with the staff e-Induction continues to increase and manager evaluation is being conducted every 6 months. The approach to manager induction has been reviewed and a new manager e-Induction is currently under development.

Resourcing, resilience and retention

Following a review of workforce planning across KCC for 2014/15 a new Workforce Planning Strategy and Action Plan has been developed. The strategy focuses on identifying critical roles, succession planning and talent management on a service basis within each directorate.

For all new joiners in 2014 the New Joiners Survey has been completed and there has been an excellent response rate of 60%. The results from the survey will be used to inform the evaluation of business effectiveness in bringing new people into the organisation, and the findings will help inform future priorities.

Organisation Design and Culture

A range of resources have been developed to support and empower staff moving on within the organisation and leaving KCC. These resources are hosted on Knet and include access to the South East Coaching Network, e-learning packages, and information on how to transition into a teaching career, health and wellbeing advice, pensions and retirement information and much more.

Following the integration of culture into the organisation design canvas, we are continuing to work towards developing the culture of KCC through service redesign work. This quarter culture development activity has been delivered within Early Help and Preventative Services to 350 staff.

Leadership and management development

The accredited Kent Manager Standard has now been completed by 673 Kent Managers. To date the third pilot cohort of the Future Manager programme for talented high performing high potential staff is underway with a total of 90 delegates currently undertaking the development.

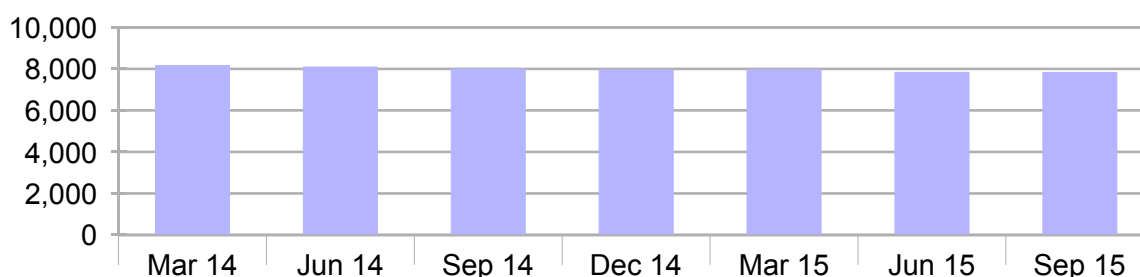
KCC's first peer audit pilot has begun with 10 Managers allocated to work alongside the Internal Audit team and transfer their learning back into the workplace.

The second phase of the LGA evaluation into high performing managers has been commissioned and will be undertaken in the Environment Planning and Enforcement and Early Help and Preventative Services divisions.

The Leadership and Management development offer has been enhanced to include Business and Commercial Acumen, Commercial Finance, Persuasion and Influence and developing the strategic mind set.

Organisational Development - Indicators

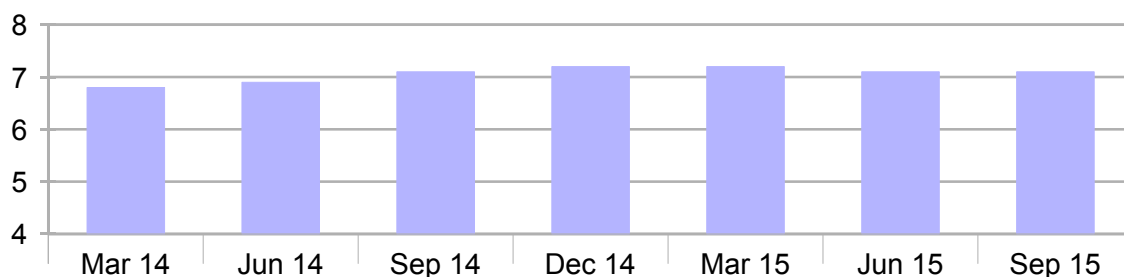
Number of full time equivalent (FTE) staff employed



	Mar 14	Jun 14	Sep 14	Dec 14	Mar 15	Jun 15	Sep 15
Actual	8,162	8,089	7,995	7,951	7,973	7,832	7,830

The staffing level decreased in Quarter 2, by 2.0 FTE. Data is reported as a count at each quarter end. Casual Relief, Sessional and Supply (CRSS) staff are not included. Schools staff are not included.

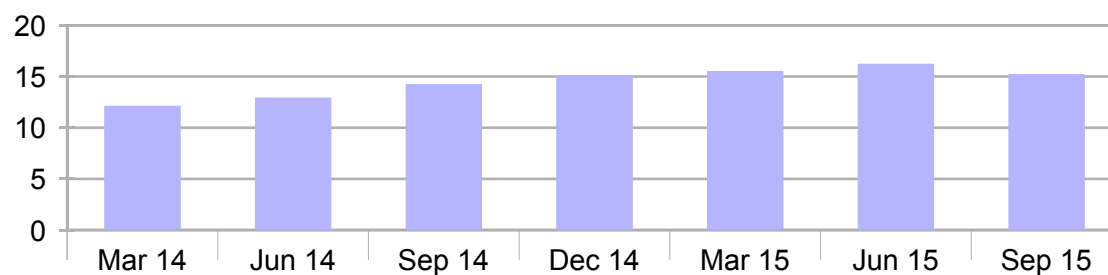
Average number of days of sickness per FTE (rolling 12 month figures)



	Mar 14	Jun 14	Sep 14	Dec 14	Mar 15	Jun 15	Sep 15
Actual	6.8	6.9	7.1	7.2	7.2	7.1	7.1

Average number of sickness days remained at 7.1 this quarter, and was the same as at this point last year. Sickness relating to CRSS staff is included in the count of days lost.

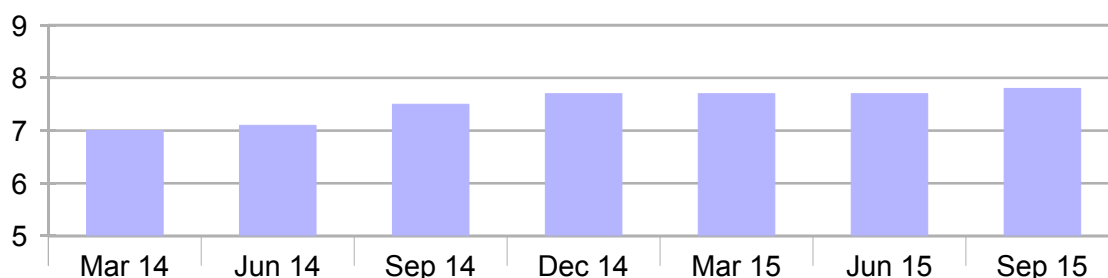
Turnover - percentage of staff leaving as a percentage of headcount



	Mar 14	Jun 14	Sep 14	Dec 14	Mar 15	Jun 15	Sep 15
Actual	12.1%	12.9%	14.2%	15.1%	15.5%	16.2%	15.2%

Following a decline during 2013/14, turnover increased last year. The quarter to September 2015 showed another fall to bring it closer to the level in December 2014. Data is reported as a rolling 12 month rate. Casual Relief, Sessional and Supply (CRSS) staff, and school staff are not included.

Percentage of staff (headcount basis) aged 25 or under



	Mar 14	Jun 14	Sep 14	Dec 14	Mar 15	Jun 15	Sep 15
Actual	7.0%	7.1%	7.5%	7.7%	7.7%	7.7%	7.8%

The percentage of staff aged 25 or under is fairly stable. The figure has risen slightly to 7.8% after the previous three quarters had been maintained at 7.7%.

**Disciplinarys, Grievances/Staff Complaints and Employment Tribunals
(currently active)**

Trend Data – snapshot	Sept 14	Dec 14	Mar 15	Jun 15	Sep 15
Disciplinarys	28	29	27	16	24
Resolutions*	8	8	3	5	10
Resolutions – Harassment**	4	4	1	0	0
Performance & Capability					
- Performance	13	7	11	9	11
- Ill Health	44	35	51	55	45
Employment Tribunals	8	4	3	3	2
TOTAL CASES	105	87	96	88	92

Data Notes: Data is reported as the number of open cases being dealt with at quarter end.

* Previously Grievances/Staff complaints

**Previously Harassment

Health and Safety Incidents

Trend Data	Previous Years			Current Financial Year			
	Mar 13	Mar 14	Mar 15	Jun 15	Sep 15	Dec 15	Mar 16
Incidents reported	1,620	1,591	915	244	206		
Days lost	943	676	276	94	64		

Data Notes: Schools staff are included. Data is reported as quarter totals for current year and full year counts for previous years.

**Reporting of Injuries, Diseases and Dangerous Occurrences Regulations
(RIDDOR)**

Trend Data	Previous Years			Current Financial Year			
	Mar 13	Mar 14	Mar 15	Jun 15	Sep 15	Dec 15	Mar 16
Specified injury incidents	5	3	7	0	1		
Over 7 day injuries	25	24	17	5	1		

Data Notes: Data is reported as quarter totals for current year and full year counts for previous years.

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By: **Paul Carter, Leader and Cabinet Member for Business Strategy, Audit & Transformation**

David Cockburn, Corporate Director for Strategic & Corporate Services

To: **Cabinet – 30th November 2015**

Subject: **Corporate Risk Register**

Classification: **Unrestricted**

Past Pathway of Paper: N/A

Future Pathway of Paper: N/A

Electoral Division: All

Summary

This paper presents the latest version of the Corporate Risk Register for the Authority.

Cabinet Members are asked to NOTE the report

1. Corporate Risk Register

1.1 The latest version of the Corporate Risk Register is attached at appendix 1. It has been refreshed to reflect key themes arising from meetings with individual Corporate Management Team, Cabinet Members and Directorate Management Teams during the autumn. Comments arising from presentation of corporate risks to Cabinet Committees and the Governance & Audit Committee during the year have also been taken into account.

1.2 The majority of risks highlighted during the refresh process are already captured on strategic risk registers at corporate or directorate level, which would indicate that the risk identification process is robust, although there is the continuing need to be alert to new or emerging risks.

1.3 The Corporate Risk Register is a 'living' document, and is subject to a more formal refresh process each autumn. The main changes since presented last year are:

- CRR 22 (New) – Implications of increased numbers of Unaccompanied Asylum Seeking Children (UASC). The significant increase in numbers of Unaccompanied Asylum Seeking Children arriving in Kent requiring KCC support presents risks including sufficiency of accommodation and pressures on social work assessment capacity. It is also important that the full costs of UASC are met by Government. Consequently this risk has been added to

the corporate register. The Council is making representations to Government for reimbursement, and is pursuing the concept of a National Dispersal Scheme with the Home Office. This risk is currently rated as 'high'.

- CRR 17 – Future Operating Environment for Local Government. Risk rated as 'high'. This risk has been revised to reflect the increasingly complex and challenging environment that presents both risks and opportunities for the Council. The context includes the prospect of further medium-term reductions in Government funding, next steps for the Government's devolution agenda and business rate retention plans. This risk will be reviewed again in January 2016 in light of implications from the Local Government funding settlement (due to be announced in late December 2015).
- CRR 23 (New) – Managing and embedding sustainable change – it is important that as the Council implements change, it continues to build internal capacity and capability to ensure that change is effectively embedded and sustainable, enabling both financial and non-financial benefits to be realised. Furthermore, as we adopt a strategic commissioning approach, the right 'client-side' arrangements need to be developed to oversee commissioned services (external or internal). The risk is rated as 'medium'.
- CRR 2 – Safeguarding – split into adults and children. These risks have been split to reflect the potential different drivers of risk. The scope of these risks has been widened to reflect important considerations such as Child Sexual Exploitation and recent duties on Local Authorities to prevent vulnerable people from radicalisation (the 'Prevent' Duty). Both risks are rated as 'high'.
- CRR 9 – Health & Social Care Integration. This risk was previously focused on the Better Care Fund and has now broadened in scope to acknowledge the need to utilise opportunities for integration in a difficult climate for the health & social care system.

1.3.1 In addition to the new / revised risks above, several risks have been closed:

- CRR 18 – Implications of compliance with Code of Connection public sector network security standards. KCC accreditation against these standards was awarded for the second consecutive year in September and the Council is now accredited until September 2016. Positive discussions have taken place with the Cabinet Office regarding a sensible risk-based approach to achievement of ongoing compliance.
- CRR 19 – Implementation of the Care Act. The requirements for 'phase 1' of the Care Act have been implemented and are being embedded. Key aspects of change due for implementation in April 2016 have been delayed to 2020; therefore this risk has been removed for now.
- CRR 20 – Banking Reform Act. From July 2015, local authority depositors with unsecured deposits in a bank have been exposed to a higher proportional loss should that bank fail. Consequently, the Council's Treasury Management Strategy has been revised to take

into account and mitigate as far as practicable the potential risks posed by key changes to the Act.

1.4 In addition to the 'high' risk areas already outlined above, there are two other areas of risk currently rated as 'high' on the register. These relate to demand pressures on adult and children's social care:

- CRR 10(a) - Management of adult social care demand: Adult social care services across the country are facing growing pressures, particularly with factors such as increasing numbers of young adults with long-term complex needs, increases in Deprivation of Liberty Safeguards Assessments and signs that a greater number of older people are requiring more intensive, "double-handed" support. The adult social care transformation programme aims to respond to these challenges – the implementation of 'phase 2' is currently in progress. A project is also being developed to explore a systemic approach to demand management.
- CRR 10(b) - Management of demand on early help and specialist children's services: A programme to deliver integrated Early Help and Preventative Services for 0-25s and their families is underway. As part of the changes, commissioning intentions for early help and preventative services have been endorsed, with existing high-level outcomes currently being developed in more detail. Diagnostic work has been conducted with the aid of an efficiency partner, aiming to ensure an improved and measurable impact of Early Help Services on Specialist Children's Services demand.

1.5 Further details of these risks, including controls and mitigating actions, are contained in appendix 1.

2. Monitoring & Review

2.1 While the Corporate Risk Register is formally refreshed annually, it is a 'living' document and is reviewed and updated regularly by Corporate Management Team and Cabinet Members in-year to reflect any significant new risks or changes in risk exposure.

2.2 The corporate risks led by each Corporate Director are presented to the relevant Cabinet Committees annually, alongside existing arrangements for presentation of directorate risk registers.

2.3 The corporate register is also presented to Governance & Audit Committee twice yearly for assurance purposes, and the Internal Audit function uses the register as one source of information to inform its audit plan for the coming year.

2.4 There is a particular focus on ensuring that key mitigating actions are identified and progress monitored. The risks within the Corporate Risk Register, their current risk level and progress against mitigating actions are reported to Cabinet quarterly via the Quarterly Performance Report. This includes commentary against high risks.

3. Recommendations

Cabinet is asked to:

- a) NOTE and COMMENT on the refreshed Corporate Risk Register.

Contact Officers:

Report Author

Mark Scrivener, Corporate Risk Manager

Mark.scrivener@kent.gov.uk 03000 416660

Relevant Director:

David Whittle, Director Strategy, Policy, Relationships and Corporate Assurance

David.whittle@kent.gov.uk 03000 416833



KCC Corporate Risk Register

NOVEMBER 2015

For Presentation to Cabinet – 30th November 2015

Corporate Risk Register - Summary Risk Profile

Low = 1-6
Medium = 8-15
High =16-25

Risk No.*	Risk Title	Current Risk Rating	Target Risk Rating	Direction of Travel
CRR 1	Data and Information Management	9	9	↔
CRR 2(a)	Safeguarding – protecting vulnerable children	16	9	Risk split
CRR 2(b)	Safeguarding – protecting vulnerable adults	16	9	
CRR 3	Access to resources to aid economic growth and enabling infrastructure	12	8	↔
CRR 4	Civil Contingencies and Resilience	12	8	↔
CRR 9	Health & Social Care Integration (inc. Better Care Fund)	12	9	↔
CRR 10(a)	Management of Adult Social Care Demand	20	12	↔
CRR 10(b)	Management of Demand – Early Help and Specialist Children’s Services	20	12	↔
CRR 12	Welfare Reform changes	12	9	↔
CRR 17	Future operating environment for local government	20	12	↔
CRR 18	PSN – Implications of compliance with Code of Connection security standards	Risk Closed		
CRR 19	Implications of the Care Act 2014	Risk Closed		
CRR 20	Banking Reform Act	Risk Closed		
CRR 21	Delivery of 2015/16 savings	12	2	↔
CRR 22	Implications of increased numbers of Unaccompanied Asylum Seeking Children (UASC)	20	12	New
CRR 23	Managing and embedding sustainable change	12	6	New

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*Each risk is allocated a unique code, which is retained even if a risk is transferred off the Corporate Register. Therefore there will be some ‘gaps’ between risk IDs.

NB: Current & Target risk ratings: The ‘current’ risk rating refers to the current level of risk taking into account any mitigating controls already in place. The ‘target residual’ rating represents what is deemed to be a realistic level of risk to be achieved once any additional actions have been put in place. On some occasions the aim will be to contain risk at current level.

Current Risk Profile		Target Risk Profile	
1	Data and Information Management	10(b)	Management of Demand – Early Help and Specialist Children’s Services
2a	Safeguarding – Protecting Vulnerable Children	12	Welfare Reform Changes
2b	Safeguarding – Protecting Vulnerable Adults	17	Future Operating & Financial Environment for Local Government
3	Access to Resources to aid Economic Growth and Enabling Infrastructure	21	Delivery of 2015/16 Savings
4	Civil Contingencies and Resilience	22	Implications of increased numbers of Unaccompanied Asylum Seeking Children (UASC)
9	Health & Social Care Integration (inc. Better Care Fund)	23	Managing and embedding sustainable change
10(a)	Management of Adult Social Care Demand		

Risk ID	CRR1	Risk Title	Data and Information Management				
		<p>Source / Cause of risk</p> <p>The Council is reliant on vast amounts of good quality data and information to determine sound decisions and plans, conduct operations and deliver services. It is also required by the Data Protection Act and Government's Code of Connection (CoCo) to maintain confidentiality, integrity and proper use of the data. With the Government's 'Open' agenda, increased flexible working patterns of staff, and increased partnership working and use of multiple information repositories, controls on data management and "cyber" security have become complex and important.</p>	<p>Risk Event</p> <p>Information security incidents resulting in loss of personal data or breach of privacy/confidentiality Data Subject complaint upheld by Information Commissioners Office (ICO) Failure to achieve either annual PSN or NHS Information Governance certification</p>	<p>Consequence</p> <p>ICO sanction (e.g. undertaking, assessment, improvement, enforcement or monetary penalty notice) issued against the Authority. Reputational damage. Damages claims. Cost of remediation. Access to PSN and/or NHS connected services revoked or restricted resulting in significant interruption to services.</p>	<p>Risk Owner</p> <p>On behalf of CMT: Geoff Wild, Director Governance & Law Rebecca Spore, Director Infrastructure</p> <p>Responsible Cabinet Member(s):</p> <p>Gary Cooke, Corporate & Democratic Services</p>	<p>Current Likelihood</p> <p>Possible (3)</p> <p>Target Residual Likelihood</p> <p>Possible (3)</p>	<p>Current Impact</p> <p>Significant (3)</p> <p>Target Residual Impact</p> <p>Significant (3)</p>
		Control Title	Control Owner				
		Senior Information Risk Officer supported by Information Governance cross-directorate group.	David Cockburn, Corporate Director Strategic and Corporate Services				
		SIRO IG Action Plan and Information Risk Register in place and regularly reviewed	Geoff Wild, Director Governance & Law				
		Information Governance policies and procedures in place and monitored.	Geoff Wild, Director Governance & Law				
		Information Governance Management Framework in place	Geoff Wild, Director Governance & Law				

Information Resilience and Transparency team providing business information governance support	Caroline Dodge, Team Leader- Information Resilience & Transparency team
Information Assurance maturity monitoring procedure in place.	Geoff Wild, Director Governance & Law/Paul Day, Interim Head of Profession for ICT
Contractor information assurance procedure in place	Mark Lobban, Director Commissioning SCHWB
Corporate Director Social Care Health & Wellbeing is KCC Caldicott Guardian, protecting confidentiality of service user information and enabling appropriate information sharing. Caldicott Guardian Support Officers nominated in relevant services	Andrew Ireland, Corporate Director SCHWB
County wide protocols in place for information sharing between agencies and governed by Kent & Medway Information Governance Partnership Board. Information Sharing Designated Officers nominated in relevant services.	Charlie Beaumont, Education & Young People Services
ICT Security and Service Transition Team operational.	Paul Day, Interim Head of Profession for ICT
Electronic Communications User Policy, Virus reporting procedure and social media guidelines in place	Paul Day, Interim Head of Profession for ICT
Information Governance training completed by significant number of employees, contractors and temporary staff. Specialist training needs identified and training plan in place. Information Governance training plan in place and monitored.	Geoff Wild, Director Governance & Law
Discussions in place with Government regarding requirements of the Code of Connection (cross reference to CRR 18)	Paul Day, Interim Head of Profession for ICT
Corporate Information Asset Register established and risk assessments in progress.	Geoff Wild, Director Governance & Law
Information risk assessments completed for systems processing personal data and for new/change projects	Geoff Wild, Director Governance & Law
Information Security & Information Risk Management supporting procedures and processes are monitored to ensure realisation of benefits	Andrew Ireland, Corporate Director SCHWB/Geoff Wild, Director Governance & Law/ Paul Day, Interim Head of

		Profession for ICT
Public Service Network (PSN) code of compliance information security standard achieved		Paul Day, Interim Head of Profession for ICT
NHS Information Governance Toolkit 'satisfactory' rating achieved		Paul Day, Interim Head of Profession for ICT
Information Governance Training re-launched. Training to be completed every 2 years		Geoff Wild, Director Governance & Law
Action Title	Action Owner	Planned Completion Date
Ensure all staff complete mandatory e-learning Data Protection training	Geoff Wild, Director Governance & Law	December 2015
Ensure that risks associated with key information assets are regularly reviewed and followed by management action where required	Corporate Directors (Information Asset Owners)	January 2016 (review)
Implement recommendations arising from the Information Commissioner's Office (ICO) audit	Geoff Wild, Director Governance & Law	March 2016 (review)
Continuous development of cyber-security monitoring and response processes	Kathy Stevens, ICT Security and Service Manager	February 2016

Risk ID	CRR2(a)	Risk Title	Safeguarding – protecting vulnerable children			
	<p>Source / Cause of risk</p> <p>The Council must fulfil its statutory obligations to effectively safeguard vulnerable children.</p> <p>In addition, the Government's "Prevent Duty" requires the Local Authority to act to prevent people from being drawn into terrorism, with a focus on the need to safeguard children at risk of being drawn into terrorism.</p>	<p>Risk Event</p> <p>Its ability to fulfil this obligation could be affected by the adequacy of its controls, management and operational practices or if demand for its services exceeded its capacity and capability.</p> <p>Failure to meet the requirements of the new "Prevent Duty" placed on Local Authorities.</p>	<p>Consequence</p> <p>Serious impact on vulnerable people</p> <p>Serious impact on ability to recruit the quality of staff critical to service delivery.</p> <p>Serious operational and financial consequences</p> <p>Attract possible intervention from a national regulator for failure to discharge corporate and executive responsibilities</p> <p>Incident of serious harm or death of a vulnerable adult or child</p>	<p>Risk Owner</p> <p>On behalf of CMT: Andrew Ireland, Corporate Director SCHWB</p> <p>Responsible Cabinet Member(s):</p> <p>Peter Oakford Specialist Children's Services</p> <p>Mike Hill (Lead Member for PREVENT)</p>	<p>Current Likelihood</p> <p>Likely (4)</p> <p>Target Residual Likelihood</p> <p>Possible (3)</p>	<p>Current Impact</p> <p>Serious (4)</p> <p>Target Residual Impact</p> <p>Significant (3)</p>
Control Title			Control Owner			
Consistent scrutiny and performance monitoring through Divisional Management Team, District 'Deep Dives' and audit activity			Andrew Ireland, Corporate Director SCHWB / Philip Segurola, Director Specialist Children's Services			
Independent scrutiny by Kent Safeguarding Children Board			Independent Chair Kent Safeguarding Children Board			
Manageable caseloads per social worker and robust caseload monitoring			Philip Segurola, Director Specialist Children's Services			

SCHWB management team monitors social work vacancies and agrees strategies for urgent situations	Andrew Ireland, Corporate Director SCHWB
Active strategy in place to attract, recruit <i>and retain</i> social workers through a variety of routes with particular emphasis on experienced social workers. Detailed programme of training	Philip Segurola, Director Specialist Children's Services / Amanda Beer, Corporate Director Engagement, Organisational Design & Development
Multi-agency public protection arrangements in place	Andrew Ireland, Corporate Director, Social Care, Health & Wellbeing
Extensive staff training – Specialist Children's Services and Early Help and Preventative services are adopting the 'Signs of Safety' model of intervention, a standardised child-focused model of risk analysis, risk management and safety planning.	Philip Segurola, Director of Specialist Children's Services
Regular reporting on safeguarding takes place quarterly for Directors and Cabinet Members, with an annual report for elected Members, to allow for scrutiny of progress.	Andrew Ireland, Corporate Director Social Care, Health and Wellbeing
KCC has led a multi-agency review of existing arrangements in light of the new Prevent Duty	Nick Wilkinson, Head of Youth Justice and Safer Kent
Prevent Duty Delivery Board established to oversee the activity of the Kent Channel Panel, co-ordinate Prevent activity across the County and report to other relevant strategic bodies in the county (including reporting route to the Kent Safeguarding Children Board)	Andrew Ireland, Corporate Director Social Care, Health & Wellbeing
Kent Channel panel (early intervention mechanism providing tailored support to people who have been identified as at risk of being drawn into terrorism) established.	Nick Wilkinson, Head of Youth Justice and Safer Young Kent
Awareness of the responsibility for schools to be alert to signs of radicalisation has been raised (e.g. via education e-bulletin with links to online training materials and specific contacts for information and advice	Patrick Leeson, Corporate Director EYPS
Safeguarding and Quality Assurance Unit has been restructured to include additional child protection and Independent Reviewing Officer capacity	Philip Segurola, Director of Specialist Children's Services
Education Safeguarding Team in place	Gillian Cawley, Director Education Quality & Standards
Children's Development Plan, jointly owned by Specialist Children's Services, Early Help and Preventative Services and Children's	Philip Segurola, Director

Commissioning team, in place and updated to address recommendations arising from Child Sexual Exploitation (CSE) themed inspection and actions identified during a recent external review.	Specialist Children's Services	
Multi-agency Crime and Sexual Exploitation Panel (MACSE) established to provide a strategic, county-wide, cross-agency response to CSE.	Andrew Ireland, Corporate Director Social Care Health & Wellbeing (KCC lead)	
Action Title	Action Owner	Planned Completion Date
Ongoing development of further strategies and campaigns to support recruitment so that we attract and retain high calibre social workers and managers. Use of competent agency social workers and managers on temporary basis to fill vacancies	Andrew Ireland, Corporate Director SCHWB / Amanda Beer, Corporate Director Engagement, Organisational Design & Development	January 2016 (review)
Implementation of transformation programme for children's services, including Social Work Contract Programme	Philip Segurola, Director Specialist Children's Services	February 2016 (review)
Delivery of key actions to tackle Children's Sexual Exploitation (CSE) and Trafficking as part of the Children's Development Plan	Philip Segurola, Director Specialist Children's Services	January 2016 (review)
Specialist Children's Services Audit procedures being reviewed to strengthen the existing online audit to include a qualitative element	Philip Segurola, Director Specialist Children's Services	December 2015
Ensure any necessary training and procedures to support professionals working with children where there are concerns regarding their vulnerability to radicalisation are embedded as part of existing safeguarding arrangements	Patricia Denney, Assistant Director Children's Safeguarding and Quality Assurance	January 2016
Awareness-raising 'Prevent' training for identified key staff and specific training for those working with people directly at risk	Nick Wilkinson, Head of Youth Justice and Safer Kent	February 2016

Risk ID	CRR 2(b)	Risk Title	Safeguarding – protecting vulnerable adults			
	<p>Source / Cause of risk</p> <p>The Council must fulfil its statutory obligations to effectively safeguard vulnerable adults.</p> <p>In addition, the Government's "Prevent Duty" requires the Local Authority to act to prevent people from being drawn into terrorism</p>	<p>Risk Event</p> <p>Its ability to fulfil this obligation could be affected by the adequacy of its controls, management and operational practices or if demand for its services exceeded its capacity and capability.</p> <p>Failure to meet the requirements of the new "Prevent Duty" placed on Local Authorities.</p>	<p>Consequence</p> <p>Serious impact on vulnerable people</p> <p>Serious impact on ability to recruit the quality of staff critical to service delivery.</p> <p>Serious operational and financial consequences</p> <p>Attract possible intervention from a national regulator for failure to discharge corporate and executive responsibilities</p> <p>Incident of serious harm or death of a vulnerable adult or child</p>	<p>Risk Owner</p> <p>On behalf of CMT:</p> <p>Andrew Ireland, Corporate Director SCHWB</p> <p>Responsible Cabinet Member:</p> <p>Graham Gibbens, Adult Social Care & Public Health</p> <p>Mike Hill (Lead Member for PREVENT)</p>	<p>Current Likelihood</p> <p>Likely (4)</p> <p>Target Residual Likelihood</p> <p>Possible (3)</p>	<p>Current Impact</p> <p>Serious (4)</p> <p>Target Residual Impact</p> <p>Significant (3)</p>
Control Title		Control Owner				
Multi agency public protection arrangements in place		Andrew Ireland, Corporate Director Social Care, Health & Wellbeing				
Safeguarding Vulnerable Adults Board in place with key agencies. The Board is now on a statutory footing following implementation of the Care Act.		Andrew Ireland, Corporate Director Social Care, Health and Wellbeing				
Consistent scrutiny and performance monitoring through divisional management teams, 'deep dives' and audit activity.		Divisional Directors / Head of Adult Safeguarding				

Regular reporting on safeguarding takes place quarterly for Directors and Cabinet Members, with an annual report for elected Members, to allow for scrutiny of progress.	Andrew Ireland, Corporate Director Social Care, Health & Wellbeing	
In Kent as joint Winterbourne Steering Group has been established to learn lessons from Winterbourne and is working to an action plan	Penny Southern, Director Disabled Children, Adults with Learning Disabilities / Mental Health	
Safeguarding improvement plan in place for Older People and Physical Disability service	Anne Tidmarsh, Director OPPD	
Prevent Duty Delivery Board established to oversee the activity of the Kent Channel Panel, co-ordinate Prevent activity across the County and report to other relevant strategic bodies in the county	Andrew Ireland, Corporate Director, Social Care Health & Wellbeing	
KCC has led a multi-agency review of existing arrangements in light of the new Prevent Duty	Nick Wilkinson, Head of Youth Justice and Safer Kent	
Kent Channel panel (early intervention mechanism providing tailored support to people who have been identified as at risk of being drawn into terrorism) established at district and borough level.	Nick Wilkinson, Head of Youth Justice and Safer Kent	
Capability framework for safeguarding and the mental capacity act introduced	Mark Lobban, Director of Commissioning / Nick Sherlock, Head of Adult Safeguarding	
Action Title	Action Owner	Planned Completion Date
Develop and roll-out a new package of multi-agency training ensuring it reflects Care Act changes	Nick Sherlock, Head of Adult Safeguarding	December 2015
Implement actions arising from recent internal audit – actions included in Safeguarding Action Plans	Nick Sherlock, Head of Adult Safeguarding	January 2016
Ensure capacity to deliver safeguarding responsibilities is maintained through OPPD optimisation and transformation work.	Anne Tidmarsh, Director OPPD	December 2015 (review)
Ensure any necessary training and procedures to support professionals working with vulnerable adults where there are concerns regarding their vulnerability to radicalisation are embedded within existing safeguarding arrangements	Nick Sherlock Head of Adult Safeguarding	January 2016

Awareness-raising 'Prevent' training for identified key staff and specific training for those working with people directly at risk

Nick Wilkinson, Head of Youth Justice and Safer Kent

February 2016 (review)

Risk ID	CRR3	Risk Title	Access to resources to aid economic growth and enabling infrastructure				
		Source / Cause of Risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
		<p>The Council seeks access to resources to develop the enabling infrastructure for economic growth and regeneration.</p> <p>However, in parts of Kent, there is a significant gap between the costs of the infrastructure required to support growth and the Council's ability to secure sufficient funds through s106 contributions, Community Infrastructure Levy and other growth levers to pay for it. This is especially the case in the east of the county.</p> <p>At the same time, Government funding for infrastructure (for example via the Local Growth Fund) is limited and competitive and increasingly linked with the delivery of housing and employment outputs. Several local transport schemes proposed will require preparatory work without knowledge of funding allocation in order to deliver on time. Additionally, the Department of Business, Innovation and Skills allocated £55m to KCC for three schemes that provide funds for companies with investment plans that will lead to job creation.</p>	<p>Inability to secure sufficient contributions from development to support growth.</p> <p>Failure to attract sufficient funding via the Local Growth Fund and other public funds to both support the cost of infrastructure and aid economic growth and regeneration.</p> <p>Insufficient return on investment from Regional Growth Fund schemes or significant level of default on loans.</p>	<p>Key opportunities for growth missed.</p> <p>The Council finds it increasingly difficult to fund KCC services across Kent (e.g. schools) and deal with the impact of growth on communities.</p> <p>Kent becomes a less attractive location for inward investment and business.</p> <p>Our ability to deliver an enabling infrastructure becomes constrained.</p> <p>Reputational risk</p>	<p>Barbara Cooper, Corporate Director Growth, Environment and Transport</p> <p>Responsible Cabinet Member(s):</p> <p>Mark Dance, Economic Development</p>	<p>Possible (3)</p> <p>Target Residual Likelihood</p> <p>Unlikely (2)</p>	<p>Serious (4)</p> <p>Target Residual Impact</p> <p>Serious (4)</p>

Control Title	Control Owner
<i>Unlocking the Potential</i> prepared as Kent and Medway growth strategy to secure future Government infrastructure funds	David Smith, Director Economic Development
KCC's 20 year transport delivery plan, <i>Growth without Gridlock</i> sets out the key transport drivers for change which will help to facilitate and stimulate economic growth in the County. Implementation plan in place and regularly monitored	Katie Stewart, Director Environment Planning & Enforcement
Key infrastructure is identified and planned for as part of District Local Plans and Infrastructure Delivery Plans, plus work has been commissioned to develop a Growth and Infrastructure Framework for Kent and Medway	Katie Stewart, Director Environment Planning & Enforcement
Environment Planning & Enforcement and Economic Development teams working with each individual District on composition of infrastructure plans including priorities for the CIL and Section 106 contributions, from which gaps can be identified	David Smith, Director Economic Development / Katie Stewart, Director Environment Planning & Enforcement
Coordinated approach in place between Development Investment Team and service directorates	David Smith, Director Economic Development
Dedicated team in Economic Development in place, working with other KCC directorates, to lead on major sites across Kent.	David Smith, Director Economic Development
Economic Development SMT review of "critical" programmes/projects and review of KPIs to ensure continued appropriateness and relevance	David Smith, Director Economic Development
Infrastructure Funding Group established and receives regular performance reports, potential issues for resolution and highlights funding gaps etc.	Barbara Cooper, Corporate Director, Growth, Environment and Transport
Strong engagement of private sector through Kent and Medway Economic Partnership (KMEP), Business Advisory Board and Kent Developer' Group	David Smith, Director Economic Development
Growth Deal allocation announced, July 2014, allocating funds for specific identified schemes in Kent and Medway	Ross Gill, Economic Strategy & Policy Manager
Monitoring framework in place for Regional Growth Fund (RGF) programmes covering the issuing and management of contract agreements with regular reports reviewed by Growth, Economic Development & Communities Cabinet Committee.	Jacqui Ward, Regional Growth Fund Programme Manager
KCC Internal Audit and external Auditor commissioned on an annual basis to conduct audits on the compliance of the RGF process and administration of the schemes, including governance, decision making	Jacqui Ward, Regional Growth Fund Programme Manager

and outcomes

Continued coordinated dialogue with developers, Districts and KCC service directorates

Nigel Smith, Head of Development

Action Title

Action Owner

Planned Completion Date

Produce Kent's Local Transport Plan 4 – the next iteration of 'Growth without Gridlock'

Tom Marchant, Head of Strategic Planning & Policy

June 2016

Growth & Infrastructure Framework – progress the key actions arising from the framework

Tom Marchant, Head of Strategic Planning & Policy

July 2016 (review)

Influencing local plans and major applications – coordinating KCC's response to and providing expert advice around developments e.g. Ebbsfleet Development Corporation and Paramount Park

Tom Marchant, Head of Strategic Planning & Policy

June 2016 (review)

Progress proposals for a more consistent and comprehensive approach to early engagement and provision of advice for developers on major development proposals, involving a single point of contact at senior County Council officer level.

Nigel Smith, Head of Development

February 2016

Risk ID	CRR4	Risk Title	Civil Contingencies and Resilience				
		<p>Source / Cause of Risk</p> <p>The Council, along with other Category 1 Responders in the County, has a legal duty to establish and deliver containment actions and contingency plans to reduce the likelihood, and impact, of high impact incidents and emergencies.</p> <p>The Director of Public Health has a legal duty to gain assurance from the National Health Service and Public Health England that plans are in place to mitigate risks to the health of the public including outbreaks of communicable diseases e.g. Pandemic Influenza</p>	<p>Risk Event</p> <p>Failure to deliver suitable planning measures, respond to and manage these events when they occur.</p> <p>Critical services are unprepared or have ineffective emergency and business continuity plans and associated activities.</p>	<p>Consequence</p> <p>Potential increased harm or loss of life if response is not effective.</p> <p>Serious threat to delivery of critical services.</p> <p>Increased financial cost in terms of damage control and insurance costs.</p> <p>Adverse effect on local businesses and the Kent economy.</p> <p>Possible public unrest and significant reputational damage</p> <p>Legal actions and intervention for failure to fulfill KCC's obligations under the Civil Contingencies Act or other associated legislation.</p>	<p>Risk Owner</p> <p>On behalf of CMT</p> <p>Barbara Cooper, Corporate Director Growth, Environment & Transport</p> <p>Responsible Cabinet Member(s):</p> <p>Mike Hill, Community Services</p>	<p>Current Likelihood</p> <p>Possible (3)</p> <p>Target Residual Likelihood</p> <p>Unlikely (2)</p>	<p>Current Impact</p> <p>Serious (4)</p> <p>Target Residual Impact</p> <p>Serious (4)</p>
Control Title		Control Owner					
<p>Legally required multi-agency Kent Resilience Forum in place, with work driven by risk and impact based on Kent's Community Risk Register. Key roles of group include:</p> <ul style="list-style-type: none"> • Intelligence gathering and forecasting; • Regular training exercises and tests; • Task & Finish groups addressing key issues. • Plan writing 		<p>Mike Overbeke, Head of Public Protection (for Kent Resilience Team Activity)</p>					

<ul style="list-style-type: none"> • Capability building 	
Kent Resilience Forum has a Health sub-group to ensure coordinated health services and Public Health England planning and response is in place	Andrew Scott-Clark, Director of Public Health
Critical functions identified across KCC as a basis for effective Business Continuity Management (BCM).	Tony Harwood, Resilience and Emergencies Manager
The Director of Public Health works through local resilience fora to ensure effective and tested plans are in place for the wider health sector to protect the local population from risks to public health.	Andy Scott-Clark, Director of Public Health
Management of financial impact to include Bellwin scheme	Dave Shipton, Head of Financial Strategy
Maintenance & delivery of emergency procedures, plans and capabilities in place to respond to a broad range of challenges.	Tony Harwood, Resilience and Emergencies Manager
System in place for ongoing monitoring of severe weather events (SWIMS)	Carolyn McKenzie, Head of Sustainable Business and Communities
Implementation of Kent's Climate Adaptation Action Plan	Carolyn McKenzie, Head of Sustainable Business and Communities
Local multi-agency flood response plans in place for each district / borough in Kent, in addition to overarching flood response plan for Kent	Mike Overbeke, Head of Public Protection
Winter Resilience Planning Group & action plan in place.	Mike Overbeke, Head of Public Protection
ICT resilience improvements made to underlying data storage, data centre capability and network resilience.	Paul Day, Interim Head of Profession for ICT
Business Continuity Management Plan in place to improve overall resilience for Contact Point	Christopher Smith, Operations Manager Contact Point
On-going programme of review relating to ICT Disaster Recovery and Business Continuity	Paul Day, Interim Head of Profession for ICT
Kent Resilience Team in place bringing together personnel from KCC, Kent Police and Kent Fire and Rescue Service in an integrated and co-located team to deliver enhanced emergency planning and business continuity in Kent	Mike Overbeke, Head of Public Protection

Multi-Agency recovery structures are in place at the Strategic and Tactical levels & working effectively.	Katie Stewart, Director Environment Planning & Enforcement
KCC Community Wardens trained as Incident Liaison Officers	Mike Overbeke, Head of Public Protection
Pan-Kent Flood Group established to oversee implementation of multi-agency recommendations arising from lessons learnt from Christmas and New Year floods 2013/14	Katie Stewart, Director Environment Planning & Enforcement
KCC and local Kent Resilience Forum partners have tested preparedness for chemical, biological, radiological, nuclear and explosives (CBRNE) incidents and communicable disease outbreaks in line with national requirements. The Director of Public Health has additionally sought and gained assurance from the local Public Health England office and the NHS on preparedness and maintaining business continuity.	Andrew Scott-Clark, Director Public Health
KCC jointly with Medway Council Public Health dept. maintain an on-call rota on behalf and with Public Health England to ensure preparedness for implementing the Scientific, Technical Advisory Cell (STAC) in the event of a major incident with implications for the health of the public	Andrew Scott-Clark, Director of Public Health
'Introduction to Emergency Planning' e-learning package available to all staff	Tony Harwood, Resilience and Emergencies Manager
Emergency planning training rolled out at strategic, tactical and operational levels	Katie Stewart, Director Environment Planning & Enforcement
Exercises regularly conducted to test different elements of KCC emergency and business continuity arrangements with partners (e.g. 'Fort Invicta') November 2015	Tony Harwood, Resilience & Emergencies Manager
Senior Management on-call rota devised and agreed	Katie Stewart, Director Environment Planning & Enforcement
Emergency Reservists have been recruited to aid emergency responses	Katie Stewart, Director Environment Planning & Enforcement

Action Title	Action Owner	Planned Completion Date
Implement recommendations from internal and external debriefs into the Christmas/New Year 2013 -14 storms and floods and other recent emergencies.	Katie Stewart, Director Environment Planning & Enforcement	March 2016 (review)
Ensure staff complete mandatory eLearning Emergency Planning Training	Corporate Management Team	December 2015
Reporting arrangements being reviewed to include appropriate elected Member oversight of KCC Business Continuity arrangements.	Katie Stewart, Director of Environment, Planning & Enforcement	January 2016

Risk ID	CRR9	Risk Title	Health & Social Care Integration (inc. Better Care Fund)				
		Source / Cause of Risk The health & social care 'system' is under extreme pressure to cope with increasing levels of demand and financial constraints. Consequently, there is an urgent need to develop integrated health & social care services to meet these challenges. The integration agenda presents local authorities with both opportunities and risks.	Risk Event Pressures within the health sector have repercussions for social care. Insufficient Better Care Fund monies to support preventative services, which means plans to reduce hospital admissions are destabilised Failure to maximise opportunities presented for health & social care integration, and ensure changes achieve maximum impact.	Consequence Additional budget pressures. Gaps between services or in some instances duplication of services or inefficient use of the available joint resources.	Risk Owner Andrew Ireland, Corporate Director SCHWB Responsible Cabinet Member(s): Roger Gough, Education & Health Reform Graham Gibbens, Adult Social Care & Public Health	Current Likelihood Likely (4) Target Residual Likelihood Possible (3)	Current Impact Significant (3) Target Residual Impact Significant (3)
Control Title					Control Owner		
KCC has designated Cabinet Portfolio Holders for Public Health and Health Reform, who have assumed central roles at strategic level					Paul Carter, Leader of the Council		
Health & Wellbeing Board and CCG-level Health & Wellbeing Board sub-committees established					Roger Gough, Cabinet Member Education & Health Reform		
Joint Commissioning Board Strategy & Commissioning plans established with Clinical Commissioning Groups					Mark Lobban, Director Commissioning SCHWB		
Joint Strategic Needs Assessment helps to support joint health & social care commissioning activity					Andrew Ireland, Corporate Director Social Care, Health & Wellbeing		
Kent chosen as one of 25 pioneers of health & social care integration in the UK, which is giving renewed impetus to the integration programme in Kent. An Integration Pioneer Steering Group is in place with other 20 stakeholder members to provide strategic direction and oversee successful delivery of health & social care in Kent.					Anne Tidmarsh, Director Older People & Physical Disability(KCC lead)		

Detailed delivery plans being developed with CCG areas	Andrew Ireland, Corporate Director SCHWB	
Joint Area Team, CCG and KCC group established	Andrew Ireland, Corporate Director SCHWB	
Reporting arrangements are in place to support integrated working, including reports to Health & Wellbeing Boards, Clinical Commissioning Groups and Vanguard Groups.	Anne Tidmarsh, Director Older People & Physical Disability	
KCC has developed an understanding of, and is well placed to implement, the NHS 'Five Year Forward View'	Andrew Ireland, Corporate Director SCHWB	
The Better Care Fund will help the integration programme and the development of joined up working and commissioning	Anne Tidmarsh, Director Older People & Physical Disability	
BCF Finance and Performance Group established, consisting of CCG/KCC Chief Finance Officers as well as a BCF Internal Assurance Group	Andy Wood, Corporate Director Finance & Procurement/Andrew Ireland, Corporate Director SCHWB	
Programme management arrangements in place for integration, with a programme plan and associated local action plans. Activity coordinated by a programme manager.	Anne Tidmarsh, Director Older People & Physical Disability.	
Action Title	Action Owner	Planned Completion Date
Implementation of local Better Care Fund (BCF) action plans by BCF delivery groups	Anne Tidmarsh, Director Older People & Physical Disability	January 2016 (review)
Conduct further work to develop and take forward the integration programme and wider Pioneer work	Anne Tidmarsh, Director Older People & Physical Disability	April 2016
Work towards greater connectivity of information systems via a shared integration plan	Anne Tidmarsh, Director Older People & Physical Disability	January 2016 (review)
Ensure adherence to the Continuing Healthcare (CHC) framework and monitor joint working arrangements to prevent cost shunting	Mark Lobban, Director Commissioning / Penny Southern, Director CDLDMH / Anne Tidmarsh, Director OPPD	March 2016 (review)

Risk ID	CRR10(a)	Risk Title	Management of Adult Social Care Demand			
	<p>Source / Cause of risk</p> <p>Adult social care services across the country are facing growing pressures. Overall demand for adult social care services in Kent continues to increase due to factors such as increasing numbers of young adults with long-term complex care needs and Ordinary Residence issues.</p> <p>This is all to be managed against a backdrop of reductions in Government funding, implications arising from the implementation of the Care Act, a recent Supreme Court ruling that may lead to increases in Deprivation of Liberty Assessments and longer term demographic pressures.</p>	<p>Risk Event</p> <p>Council is unable to manage and resource to future demand and its services consequently do not meet future statutory obligations and/or customer expectations.</p>	<p>Consequence</p> <p>Customer dissatisfaction with service provision.</p> <p>Increased and unplanned pressure on resources.</p> <p>Decline in performance.</p> <p>Legal challenge resulting in adverse reputational damage to the Council.</p> <p>Financial pressures on other council services.</p>	<p>Risk Owner</p> <p>Andrew Ireland, Corporate Director SCHWB</p> <p>Responsible Cabinet Member(s):</p> <p>Graham Gibbens, Adult Social Care & Public Health</p>	<p>Current Likelihood</p> <p>Likely (4)</p> <p>Target Residual Likelihood</p> <p>Possible (3)</p>	<p>Current Impact</p> <p>Major (5)</p> <p>Target Residual Impact</p> <p>Serious (4)</p>
Control Title		Control Owner				
Regular analysis and refreshing of forecasts to maintain the level of understanding which feeds into the relevant areas of the MTFP and the business planning process		Andrew Ireland, Corporate Director SCHWB/ Mark Lobban, Director Commissioning SCHWB				
Implementation of Adults Transformation partnership programme progressing including: Care Pathways, Commissioning & Procurement and Optimisation		Mark Lobban, Director Commissioning SCHWB/Anne Tidmarsh, Director Older People & Physical Disability/Penny Southern, Director Disabled Children Adult Learning Disability & Mental Health				

Monitoring, vigilance and challenge regarding the placement of Adults into Kent by other local authorities.	Mark Lobban, Director Commissioning SCHWB
Legal Services are engaged where required to support KCC when challenging other Authorities to accept Ordinary Residence re: responsibilities	Penny Southern, Director Disabled Children Adult Learning Disability & Mental Health
Joint commissioning of services with health, in particular for people with dementia, long term conditions and for carers (links to <i>Health & Social Care Integration agenda</i> – see Risk CRR9).	Mark Lobban, Director Commissioning SCHWB/ Anne Tidmarsh, Director Older People & Physical Disability
Continued drive to maximise the use of Telecare as part of the mainstream community care services	Anne Tidmarsh, Director Older People & Physical Disability and Penny Southern, Director Disabled Children Adult Learning Disability & Mental Health
Maintain the use of appropriate tools to obtain value for money in relation to the commissioning of expensive specialist residential accommodation	Mark Lobban, Director Commissioning SCHWB
Health & Social Care Integration Programme in place with a strategic objective of proactively tackling demand for health & social care services	Anne Tidmarsh, Director Older People & Physical Disability
Risk stratification tools devised. Now being used by GPs	Anne Tidmarsh, Director Older People & Physical Disability
Continued support for investment in preventative services through voluntary sector partners	Mark Lobban, Director Commissioning SCHWB
Public Health & Social Care ensures effective provision of information, advice and guidance to all potential and existing service users, promoting self-management to reduce dependency	Andrew Scott-Clark, Director Public Health/ Anne Tidmarsh, Director Older People and Physical Disability Services
Best Interest Assessments (BIA) training package in place to be delivered as part of a rolling programme twice yearly	Mark Lobban, Director Commissioning, SCHWB

Action Title	Action Owner	Planned Completion Date
Continual review and monitoring of demand in relation to Deprivation of Liberty Assessments	Mark Lobban, Director Commissioning, SCHWB	October 2015 (review)
Implementation of Adults Transformation Phase 2 Design <ul style="list-style-type: none"> • Implementation activities complete in all areas for Phase 2 projects in OPPD – • Your Life Your Home trial completed • Implementation activities complete in all areas for Kent Pathway Service project 	Mark Lobban, Director Commissioning SCHWB	February 2016 January 2016 March 2016
Development of a project to explore a systemic approach to Demand Management.	David Whittle, Director Strategy, Policy & Assurance	February 2016 (review)

Risk ID	CRR10(b)	Risk Title	Management of Demand – Early Help and Specialist Children’s Services			
	<p>Source / Cause of risk</p> <p>Local Authorities continue to face increasing demand for specialist children’s services due to a variety of factors, including consequences of highly publicised child protection incidents and serious case reviews, and policy/legislative changes.</p> <p>At a local level KCC is faced with additional demand challenges such as those associated with significant numbers of Unaccompanied Asylum Seeking Children (UASC) There are also particular ‘pressure points’ in several districts.</p> <p>These challenges need to be met as specialist children’s services face increasingly difficult financial circumstances and operational challenges such as recruitment and retention of permanent qualified social workers.</p>	<p>Risk Event</p> <p>High volumes of work flow into early help and specialist children’s services leading to unsustainable pressure being exerted on them.</p>	<p>Consequence</p> <p>Children’s services performance declines as demands become unmanageable.</p> <p>Failure to deliver statutory obligations and duties or achieve social value.</p> <p>Additional financial pressures placed on other parts of the Authority at a time of severely diminishing resources.</p> <p>Ultimately an impact on outcomes for children, young people and their families.</p>	<p>Risk Owner</p> <p>Andrew Ireland, Corporate Director SCHWB</p> <p>Patrick Leeson, Corporate Director EYPS</p> <p>Responsible Cabinet Member(s): Peter Oakford, Specialist Children’s Services</p>	<p>Current Likelihood</p> <p>Likely (4)</p> <p>Target Residual Likelihood</p> <p>Possible (3)</p>	<p>Current Impact</p> <p>Major (5)</p> <p>Target Residual Impact</p> <p>Serious (4)</p>
	Control Title				Control Owner	
	Analysis and refreshing of forecasts to maintain the level of understanding which feeds into the relevant areas of the MTFP and the business planning process				Andrew Ireland, Corporate Director SCHWB / Philip Segurola, Director Specialist Children’s Services	
	The Early Help and Preventative Services Programme is working to ensure that vulnerable families can access the right support through open access services or through targeted casework.				Florence Kroll, Director of Early Help and Preventative Services	

Plans developed to appropriately manage the number of children in care (subject to continual monitoring)	Philip Segurola, Director Specialist Children's Services	
Intensive focus on ensuring early help to reduce the need for specialist children's support services.	Patrick Leeson, Corporate Director EYPS / Andrew Ireland, Corporate Director SCHWB	
Continued support for investment in preventative services through voluntary sector partners	Mark Lobban, Director Commissioning SCHWB	
Maintain the use of appropriate tools to obtain value for money in relation to the commissioning of expensive specialist residential and independent fostering accommodation	Mark Lobban, Director Commissioning SCHWB	
Scoping of diagnostic work for children's services with aid of efficiency partner has been completed	Philip Segurola, Director Specialist Children's Services	
Early Help & Preventative Services have outlined priorities for service development and change, including ambitious targets to improve outcomes for children, young people and families	Florence Kroll, Director of Early Help & Preventative Services	
New and innovative service design concepts tested in 'sandbox' to inform the business case and associated projections	Patrick Leeson, Corporate Director, Education & Young People's Services/Andrew Ireland, Corporate Director SCHWB	
Weekly Management Information reports track key children in care milestones	Philip Segurola, Director Specialist Children's Services	
Action Title	Action Owner	Planned Completion Date
In-house fostering capacity to be developed and assertive monitoring of all children in care performance milestones	Philip Segurola, Director Specialist Children's Services	March 2016 (review)
Implementation of Unified 0-25 programme with projects targeted within Specialist Children's Services, Early Help and Prevention and External Spend	Patrick Leeson, Corporate Director, Education & Young People's Services/Andrew Ireland, Corporate Director SCHWB	December 2015

Risk ID	CRR 12	Risk Title	Welfare Reform changes			
Source / Cause of Risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
The Welfare Reform Act 2012 put into law many of the proposals set out in the 2010 white paper <i>Universal Credit: Welfare that Works</i> . It aims to bring about a major overhaul of the benefits system and the transference of significant centralised responsibilities to local authorities. KCC needs to be prepared to manage the uncertain affects and outcomes that the changes may have on the people of Kent. This now includes assessment of potential impacts of the Welfare Reform & Work Bill.	The impact of the reforms in regions outside of Kent could trigger the influx of significant numbers of 'Welfare' dependent peoples to Kent. Failure to plan appropriately to deal with potential consequences.	An increase in households falling below poverty thresholds with vulnerable people becoming exposed to greater risk. Additional pressure on KCC services e.g. demand for adults and children's social care Increasing deprivation leads to increase in social unrest and criminal activity.	Andrew Ireland, Corporate Director SCHWB Responsible Cabinet Member(s): Graham Gibbens, Adult Social Care & Public Health	Possible (3) Possible (3)	Serious (4) Significant (3)	
Control Title				Control Owner		
Ongoing analysis and tracking of impacts conducted by Strategy, Policy & Assurance and Strategic Business Intelligence & Development teams plus external partners to give an indication of scale of implications of reforms. Mechanism developed to track benefit migration into Kent.				Emma Mitchell, Director Strategic Business Development & Intelligence /David Whittle, Director Strategy, Policy, Relationships and Corporate Assurance		
Policy & research updates produced periodically to aid monitoring of potential impacts				David Whittle, Director Strategy, Policy, Relationships and Corporate Assurance/Emma Mitchell, Director Strategic Business Development & Intelligence		

Kent Support and Assistance Service operating as the County's local welfare assistance scheme		Graham Gibbens, Cabinet Member Adult Social Care & Public Health
Action Title	Action Owner	Planned Completion Date
Review of local welfare assistance scheme	Mark Lobban, Director of Commissioning	September 2016
Policy and research update to review potential impacts of welfare reform changes, including potential implications of Welfare Reform and Work Bill	David Whittle, Director Strategy, Policy, Relationships and Assurance / Emma Mitchell, Director Strategic Business Development & Intelligence	January 2016

Risk ID	CRR 17	Risk Title	Future operating environment for Local Government			
Source / Cause of risk	Risk Event	Consequence	Risk Owner (s)	Current Likelihood	Current Impact	
The operating environment for local government will continue to change during the coming years, presenting both opportunities and risks for the Council and its partners / service providers.	Continued public sector austerity measures threaten financial sustainability of KCC, its partners and service providers.	Unsustainable financial situation.	All Corporate Directors	Likely (4)	Major (5)	
	Increase in the National Living Wage could severely impact on local markets.	Potential for partner or provider failure – including sufficiency gaps in provision.	Responsible Cabinet Member (s):	Target Residual Likelihood	Target Residual Impact	
For example, the upcoming Comprehensive Spending Review and associated Local Government settlement is expected to require a further 30% of savings in real terms during the next 4 years, which could threaten delivery of local services across the country, while the Govt's devolution agenda and other legislation such as business rates retention may present opportunities for the Council.	Quality of KCC commissioned / delivered services suffers as financial situation continues to worsen.	Reduction in resident satisfaction and reputational damage.	All Cabinet Members	Possible (3)	Serious (4)	
A National Living Wage is due to be introduced from April 2016 and Govt has developed proposals to combine Local Authority pension funds.	Failure to capitalise on opportunities presented by the Government's devolution agenda.					
Control Title			Control Owner			
Robust budgeting and financial planning in place via Medium Term Financial Planning (MTFP) process, including stakeholder consultation.			Andy Wood, Corporate Director Finance & Procurement			
Processes in place for monitoring delivery of savings and budget as a whole.			Andy Wood, Corporate Director Finance & Procurement			

KCC Strategic Statement 2015-2020 and annual report outline key strategic outcomes that the Authority aims to achieve during this period.	Leader of the Council	
KCC Commissioning Framework promotes commissioner understanding of markets and potential signs of provider stress.	Emma Mitchell, Director Strategic Business Development and Intelligence	
KCC Quarterly Performance Report monitors key performance and activity information for KCC commissioned or delivered services. Regularly reported to Cabinet.	Richard Fitzgerald, Business Intelligence Manager - Performance	
Ongoing oversight of implications relating to proposed Local Authority pension fund changes	Nick Vickers, Head of Financial Services	
Action Title	Action Owner	Planned Completion Date
Financial analysis of medium term Kent public sector / provider landscape post- Comprehensive Spending Review	Dave Shipton, Head of Financial Strategy	January 2016
Support the Leader of the County Council in his role as Chair of the County Councils Network in order to help shape the future of the local government operating environment.	David Whittle, Director Strategy, Policy, Relationships and Corporate Assurance	March 2016 (review)
Work proactively with Government regarding how the new business rate retention scheme can be most effectively implemented	Dave Shipton, Head of Financial Strategy	June 2016 (review)
Use all avenues to lobby Government to meet costs associated with introduction of National Living Wage	Andy Wood, Corporate Director Finance & Procurement	March 2016
Develop initial prospectus and ongoing engagement regarding devolution between KCC, District Councils, other partners and Government	David Whittle, Director Strategy, Policy, Relationships and Corporate Assurance	March 2016 (review)

Risk ID	CRR21	Risk Title	Delivery of 2015/16 savings			
Source / Cause of Risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
The ongoing difficult economic climate has led to significant reductions in funding to the public sector and Local Government in particular. KCC has already made significant cost savings and still needs to make ongoing year-on-year savings in order to "balance its books."	The required savings from key programmes or efficiency initiatives are not achieved.	Urgent alternative savings need to be found which could have an adverse impact on service users and/or residents of Kent Potential adverse impact on whole-council transformation plans. Reputational damage to the council.	On behalf of CMT: Andy Wood, Corporate Director Finance & Procurement Responsible Cabinet Member(s): John Simmonds, Finance & Procurement	Possible (3)	Serious (4)	
				Target Residual Likelihood	Target Residual Impact	
				Very unlikely (1)	Moderate (2)	
Control Title			Control Owner			
Robust budgeting and financial planning in place via Medium Term Financial Planning (MTFP) process			Andy Wood, Corporate Director Finance & Procurement			
Process for monitoring delivery of savings is in place, including a Budget Programme Board to scrutinise progress.			Andy Wood, Corporate Director Finance & Procurement			
Robust monitoring and forecasting of arrangements in place relating to the KCC budget as a whole			Andy Wood, Corporate Director Finance & Procurement			
Procedures for appropriate consultation in place when decisions relating to changes in services are being considered			Diane Trollope, Head of Engagement & Consultation/			
Arrangements for localisation of council tax agreed with District Councils (cross reference to Risk 12 Welfare Reform)			Dave Shipton, Head of Financial Strategy			
Controls and mechanisms remain robust			Andy Wood, Corporate Director Finance & Procurement			

Outline savings plans received for all significant budget savings	Corporate Directors and Director Group	
Six monthly update reports on progress against budgeted savings presented to Governance & Audit Committee	Corporate Directors and Director Group	
Action Title	Action Owner	Planned Completion Date
Discussions with the Home Office to ensure their Asylum grant regime reflects the unique position of Kent in responding to the numbers of Unaccompanied Asylum Seeking Children	Philip Segurola, Director Specialist Children's Services	December 2015
Ensure that contingency plans are adequate to cover any forecast overspending in-year, to avoid a significant overspend at year-end'	Andy Wood, Corporate Director Finance & Procurement	January 2016

Risk ID	CRR22	Risk Title	Implications of increased numbers of Unaccompanied Asylum seeking children (UASC)			
Source / Cause of risk		Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
Since May 2015 there has been an unprecedented increase in the numbers of UASC arriving in Kent, which places increased pressure on all aspects of specialist children's services delivery. This issue is the source of a number of risks.		There is a risk that there will be insufficient accommodation, social work assessment capacity and support for UASC.	The Council would be unable to fulfil its statutory duties effectively.	Andrew Ireland, Corporate Director, Social Care, Health & Wellbeing	Very Likely (5)	Serious (4)
		Shortfall in funding the full cost associated with fulfilling the Council's statutory duties.	Additional budget pressures on the Authority if UASC costs are not fully funded by Govt.	Responsible Cabinet Member(s): Peter Oakford, Specialist Children's Services	Target Residual Likelihood Possible (3)	Target Residual Impact Serious (4)
Control Title					Control Owner	
Two additional temporary reception centres have opened to help cope with demand					Philip Segurola. Director of Specialist Children's Services	
Staffing capacity has been increased, particularly the asylum duty team, Independent Reviewing Officer (IRO) service and District teams					Philip Segurola, Director of Specialist Children's Services	
Daily updates – senior management are reviewing arrival rates, capacity and accommodation and support requirements with management action taken as required.					Philip Segurola, Director of Specialist Children's Services	
Action Title			Action Owner		Planned Completion Date	
Continue to make representations to Government for reimbursement of the full costs of fulfilling our statutory duties for UASC.			Andrew Ireland, Corporate Director Social Care, Health & Wellbeing		December 2015	

Pursue the option of a National Dispersal Scheme with the Home Office	Andrew Ireland, Corporate Director Social Care, Health & Wellbeing (with full elected Member support)	December 2015
Explore any necessary alternative options to meet the full cost of UASC provision e.g. how this money is refunded at a national level or potentially raised at local level	Andrew Ireland, Corporate Director Social Care, Health & Wellbeing	January 2016

Risk ID	CRR23	Risk Title	Managing and embedding sustainable change			
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
To respond to continuing public sector austerity and an increasingly complex future operating environment for local government, the Authority will continue to evolve and change to meet the challenges ahead.	Insufficient programme control on key change activity	Potential to fall short of achieving financial and non-financial benefits if changes introduced are not fully embedded	All Corporate Directors	Likely (4)	Significant (3)	
	Insufficient management capacity and / or capability in key skill areas to support sustained change.	Disproportionate effort could be spent on areas of change that do not provide the greatest return on investment	Responsible Cabinet Member:	Target Residual Likelihood	Target Residual Impact	
	'Client-side' commissioner arrangements not developed in time to drive effective relationships with, and performance management of, suppliers.	Potential implications for staff wellbeing, morale and engagement	Paul Carter, Leader of the Council	Unlikely (2)	Significant (3)	
Control Title				Control Owner		
Corporate Directors are providing managerial leadership for the change agenda and ensuring resources for delivering change are adequate and appropriate to ensure successful delivery and meeting regularly to ensure effective oversight and co-ordination of officer level programme management.				Corporate Directors		
Corporate Assurance function and devolved Portfolio Delivery Manager / Portfolio Management Office arrangements in place charged with managing dependencies and improving support for key programmes and projects				Elizabeth Sanderson, Corporate Assurance Manager / Change Portfolio Delivery Managers		
Project and Programme Managers network established to support development of key project and programme management skills and knowledge and sharing of good practice. Programme and project toolkit re-launched.				Jan Hawkes, Senior Organisation Development Advisor / Diane Trollope, Head of Engagement & Consultation		
Workforce planning strategy 2015-2020 and annual report outlines how the Council is planning for the future in terms of skills development, role definitions and employee mind-set. Includes action plan.				Amanda Beer, Corporate Director Engagement,		

		Organisation Development and Design
Staff development and Leadership & Management Frameworks established to further develop key skills, including commercial acumen, project management and contract management, across the organisation as an essential enabler of change.		Amanda Beer, Corporate Director Engagement, Organisation Design & Development
A suite of performance information is regularly reviewed and monitored to identify potential issues arising regarding staff recruitment, retention, health and engagement		Amanda Beer, Corporate Director Engagement, Organisation Design and Development
Strategic Business Development & Intelligence function brings together activities which support effective commissioning and leads on the management of KCC's large contracts.		Emma Mitchell, Director Strategic Business Development & Intelligence
Commissioning network and toolkit in place to support development of key commissioning knowledge and skills and sharing of good practice		Olivia Crill, Transformation Manager
Procedures for appropriate consultation in place when decisions relating to changes in services are being considered		Diane Trollope, Head of Engagement & Consultation
Workforce and succession planning tools available to aid managers		Julie Cudmore, Head of Organisation Development
Skills transfer stipulations built into contracts of external efficiency partners / consultants to ensure internal staff develop relevant skills and build capability		Emma Mitchell, Director Strategic Business Development & Intelligence
Action Title	Action Owner	Planned Completion Date
Embed nationally recognised standards for development of effective business cases in KCC programme / project management practice.	Elizabeth Sanderson, Corporate Assurance Manager / Portfolio Delivery Managers	January 2016
Introduce programme and project management training for key stakeholders (other than programme / project managers) to promote awareness of their respective roles & responsibilities e.g. Senior Responsible Officers and those responsible for benefits realisation.	Jan Hawkes, Senior Organisation Development Advisor	February 2016
Improve mapping of dependencies and impacts across major change programmes and projects, including impacts on 'business as usual' activity.	Elizabeth Sanderson, Corporate Assurance Manager	March 2016 (review)

	/ Change Portfolio Delivery Managers	
Review governance arrangements to clarify Member roles and responsibilities around becoming a strategic commissioning authority e.g. Transformation Advisory Group, Commissioning Advisory Board, Cabinet Committees etc.	David Whittle, Director Strategy, Policy, Relationships and Corporate Assurance	December 2015
Clarify roles and responsibilities for officers charged with the strategic commissioning of services and those responsible for operational delivery of services	David Whittle, Director Strategy, Policy, Relationships and Corporate Assurance	December 2015

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