



## AGENDA

## CABINET

**Monday, 3rd December, 2018, at 10.00 am**  
**Darent Room - Sessions House**

Ask for: **Denise Fitch**  
Telephone **Tel: 03000 416090,**  
: **denise.fitch@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. Declaration of Interests by Member in Items on the Agenda for this meeting
3. Minutes of the Meeting held on 24 September 2018 (Pages 3 - 8)
4. Revenue and Capital Budget Monitoring - September 2018-19 (Pages 9 - 52)
5. Quarterly Performance Report - Q2 2018/19 (Pages 53 - 104)
6. Delayed Transfers of Care (Pages 105 - 120)
7. Corporate Risk Register (Pages 121 - 172)

### **EXEMPT ITEMS**

*(At the time of preparing the agenda there were no exempt items. During any such items which may arise the meeting is likely NOT to be open to the public)*

Benjamin Watts  
General Counsel  
03000 416814

**Friday, 23 November 2018**

*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**

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**CABINET**

MINUTES of a meeting of the Cabinet held in the Darent Room - Sessions House on Monday, 24 September 2018.

PRESENT: Mr P B Carter, CBE, Miss S J Carey, Mr M C Dance, Mr G K Gibbens, Mr R W Gough, Mr P M Hill, OBE, Mr E E C Hotson, Mr P J Oakford, Miss C Rankin and Mr M Whiting

IN ATTENDANCE: Mrs A Beer (Corporate Director Engagement, Organisation Design & Development), Mr D Cockburn (Corporate Director Strategic & Corporate Services), Mrs B Cooper (Corporate Director of Growth, Environment and Transport), Dr A Duggal (Deputy Director of Public Health), Mr M Dunkley CBE (Corporate Director for Children Young People and Education), Mrs C Head (Acting Deputy S151 Officer and Head of Finance Operations), Mrs A Tidmarsh (Director, Older People and Physical Disability) and Mr B Watts (General Counsel)

**UNRESTRICTED ITEMS****76. Minutes of the Meeting held on 16 July 2018**

*(Item 4)*

RESOLVED that the minutes of the meeting held on 16 July 2018 are correctly recorded and that they be signed by the Chairman.

**77. Revenue and Capital Budget Monitoring - July 2018**

*(Item 5)*

1. Mr Oakford (Deputy Leader and Cabinet Member for Finance and Traded Services) introduced this report which set out the budget monitoring position up to 30 July 2018-19 for both revenue and capital budgets.
2. The forecast revenue position was £6.726m including roll forwards which was an improvement on position at the same time last year.
3. Mr Oakford referred to Table 1b at 3.3 within the agenda papers. This showed the building pressure on the Children, Young People and Education Directorate, part of this pressure related to the Asylum service.
4. Ms Head explained that the authority was in a considerably better position this year than this time last year and initial monitoring for next month suggests this should continue.
5. The Leader invited each Cabinet Member and Corporate Director to give a brief overview of the improved position.
6. Children, Young People and Education:
  - overspend in this area was a national phenomenon.

- Asylum was a material factor with the bulk being the gap relating to care leavers and costs associated with the reception centre.
- SEN related expenditure and educational psychology were large areas of overspend.
- Home to School Transport and Special Educational Needs or Disabilities (SEND) and High Needs represent the two largest financial risks to the County Council.

#### Adult Social Care

- Pressure in learning disabilities, this was mirrored nationally.
- Mental Health, whilst majority of expenditure incurred by NHS this was an important issue and KCC continued to ensure that it protected voluntary organisations.
- Adult Social Care balanced budget was looking achievable. There were significant risks around transfers of care.
- Increased residential nursing placements – this would be monitored.
- Planning for the winter; joint working with NHS.

#### Growth Environment and Transport

- MRs Cooper was confident that the budget would be balanced, the biggest variables were waste tonnage and the effects of the weather. Mr Whiting explained that the service remained vigilant about the waste situation.

#### Strategic and Corporate Services

- There were significant pressures mainly relating to property, infrastructure and the contact centre and there was confidence that the budget would be balanced.

#### Public Health

- Public Health was forecasting an underspend and this reflected the good work that was being done. The big issue was the Public Health Grant which had been reduced

RESOLVED that Cabinet:

- Note** the forecast revenue budget monitoring position for 2018-19 and capital budget monitoring position for 2018-19 to 2020-21, and that the forecast pressure on the revenue budget needs to be eliminated as we progress through the year.

### **78. Quarterly Performance Report, Quarter 1, 2018/19**

*(Item 6)*

*Richard Fitzgerald (Business Intelligence Manager – Performance) was in attendance for this item.*

- 1) Miss Carey introduced this report which set out the key areas of performance for the authority. The strength of this report was that the Key Performance Indicators (KPIs) had been measured consistently over a long period. The report brought together an overview of the Council with just 34 KPIs. Each Cabinet Committee looked in more detail at their own directorate.
- 2) Mr Fitzgerald set out the highlights of the report, it was the Quarter 1 report with results up to the end of June 2018. Performance was generally good for the

quarter with the majority of indicators rated as green. He drew out important information for Members as follows:

**a. Customer Services**

- i. Good performance was maintained for caller satisfaction although call volumes were up.

**b. Economic Development**

- i. Jobs created and safeguarded from the Regional Growth Fund (RGF) stood at 4192 jobs.

**c. Environment and Transport**

- i. Following the bad weather in early 2018 outstanding works were high at the end of June, the pot hole blitz continued over the summer and so it was hoped that figures in the next report should be lower.
- ii. Waste Management performance was maintained with only 1% of waste going to landfill.

**d. Children, Young People and Education**

- i. The provision primary attainment results were above the national average
- ii. Percentage of schools good or outstanding 91%
- iii. Apprenticeship starts have not shown the levels expected but the numbers should improve as we move into the new financial year.
- iv. There continued to be pressure on the completion of Education, Health and Care Plans and this was significantly off target. There were high levels of demand and this was expected to continue.

**e. Integrated Children's Services**

- i. Early help closed with outcomes achieved was ahead of target,
- ii. Number of children in care remained stable.

**f. Adult Social Care**

- i. Contacts resolved at first point of contact remained above target.
- ii. Admissions to residential nursing care were higher than expected and number of people experiencing delayed transfer of care continued to be a pressure

**g. Public Health**

- i. Health Checks completed in year was below target but this was a temporary issue relating to IT systems.
- ii. Number of universal checks completed by the health visitor continued to be ahead of target.

3) In conclusion there were many positive results, areas where performance was lower than expected were being monitored and were subject to management action.

4) The Leader commented on the rising number of placements into nursing care, it was important to ensure that health partners were paying their fair contribution.

Regarding young people in care, it was thought that there should be a report on those leaving care with an additional column to monitor this.

- 5) Mr Whiting (Cabinet Member for Planning, Highways, Transport and Waste) explained that his portfolio was above target for all indicators. He drew Members attention to the 100,000 LED lights which was part of the largest programme in the country delivering £5million savings to the authority. He paid tribute to the contractors and staff who had brought that about. Referring to Brexit the service continued to work with partners to secure plans for all scenarios from deal to no deal. One waste management it was necessary to be vigilant but less than 1% waste was being sent to landfill, half of the remaining 99% was made into energy and the remainder was being recycled in other ways.
- 6) Mr Gibbens (Cabinet Member for Adult Social Care and Public Health) referred to delayed transfers of care, this was a significant issue and a report would be brought to Cabinet in December. Regarding safeguarding, initial contacts had increased, people were encouraged to bring enquiries forward to be investigated.
- 7) Mr Gibbens referred to life expectancy and health inequalities which was widening in Kent. This was a national trend but was nothing to be proud of and it should be addressed, relevant reports would be requested for the Cabinet Committees.
- 8) Mr Gough (Cabinet Member for Children, Young People and Education) referred to the growth in Education Health Care Plans (EHCPs) per 1000 school age population. There had been a dramatic increase since 2016 and this was the main red indicator which was being focussed on. Many other indicators were positive with a good level of development such as KS2 outcomes, school places and ofsted judgements.
- 9) Miss Carey referred to the risk register and specifically safeguarding, there would be further independent audits of case files to complement existing internal reviews and audits taking place in March 2019. The risk register was not just about identifying risks it was about mitigating them. Risks could also be marked down and raised as appropriate, depending on how the mitigating actions progressed.
- 10) The Leader stated that a report was due to Policy and Resources Cabinet Committee on the benefit changes on migration out of London, the indicators a year ago suggested there was not the impact that was first expected but this report was awaited.

RESOLVED that Cabinet note the Quarter 1 Performance Report.

**79. Motion to Exclude the Press and Public**  
(Item 7)

RESOLVED: That under Section 100A of the Local Government Act 1972 the press and public be excluded from the meeting for the following business on the grounds that it involves the likely disclosure of exempt information as defined in paragraph 3 of part 1 of Schedule 12A of the Act.

**80. Exempt Minute of the meeting held on 16 July 2018**  
(Item 8)

RESOLVED that the exempt minute of the meeting held on 16 July is correctly recorded and that it be signed by the Chairman.

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By: Deputy Leader and Cabinet Member for Finance and Traded Services,  
Peter Oakford  
Interim Corporate Directors of Finance, Cath Head and Dave Shipton  
Corporate Directors

To: CABINET – 3 December 2018

Subject: **REVENUE & CAPITAL BUDGET MONITORING - SEPTEMBER 2018-19**

Classification: Unrestricted

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## 1. SUMMARY

- 1.1 This report provides the budget monitoring position up to 30 September 2018-19 for both revenue and capital budgets.
- 1.2 The format of this report is:
- This covering summary report which provides a high level financial summary and highlights only the most significant issues, as determined by Corporate Directors.
  - Appendix 1 – a high level breakdown of the directorate monitoring positions;
  - Appendix 2 – activity information for our highest risk budgets;
  - Appendix 3 – details of the Asylum service forecast and key activity information including grant rates compared to actual forecast unit costs;
  - Appendix 4 – details of the movement in Reserves;
- 1.3 Cabinet is asked to note the forecast revenue and capital monitoring position. It is essential that a balanced revenue position is achieved in 2018-19, as any residual pressures rolled forward into 2019-20 will only compound an already challenging 2019-20 budget position. The forecast revenue pressure is £3.886m (including Corporate Director adjustments) increasing to £5.870m including roll forwards and this needs to be managed down to at least a balanced position. The forecast has decreased by -£0.137m (excluding roll forward requests) and -£0.042m (including roll forward requests) from the previous month's position.
- 1.4 Although this forecast revenue pressure is an improvement compared to the position at the same point last year, we cannot be complacent and any savings that can be made which address future years pressures will help meet the 2019-20 gap and subsequent years.
- 1.5 £2.067m of the forecast pressure relates to the Asylum service and negotiations continue with the Home Office to seek full reimbursement of the costs of supporting unaccompanied asylum seekers and care leavers.
- 1.6 There is a reported variance of -£65.792m on the 2018-19 capital budget (excluding schools and PFI). This is a movement of -£27.254m from the previous report and is made up of +£2.778m real movement and -£30.032m rephasing movement.

## 2. RECOMMENDATIONS

- 2.1 **Note** the forecast revenue budget monitoring position for 2018-19 and capital budget monitoring position for 2018-19 to 2020-21, and that the forecast pressure on the revenue budget needs to be eliminated as we progress through the year.
- 2.2 **Agree** that any additional Business Rate receipts received under the 100% retention pilot over and above the 2018-19 budgeted amount, are transferred to the local taxation equalisation reserve to smooth future fluctuations in the business rates baseline and collection fund. The Quarter 1 monitoring from Maidstone Borough Council who undertake the overall monitoring for the pool shows the position is broadly on track with our assumptions.
- 2.3 **Approve** the capital cash limit adjustment proposed in section 5.
- 2.4 **Note** the half year position of the Revenue Reserves at Appendix 4.

## 3. SUMMARISED REVENUE MONITORING POSITION

- 3.1 Overall the net projected revenue variance for the Council as reported by budget managers is a pressure of £3.886m. After allowing for roll forwards the position increases to £5.870m. This forecast position, after roll forward requirements, represents a movement of -£0.042m. The main reasons for the movement this month are provided in section 3.3 below.

In total, this position reflects that we are on track to deliver the majority of the £50.2m of savings included in the approved budget for this year, but further work is urgently required to identify options to eliminate the residual £5.870m forecast pressure. The position by directorate, together with the movement from the last report, is shown in table 1a & 1b below.

3.2 Table 1: Directorate revenue position

Directorate	Budget	Net Forecast Variance *	Corporate Director Adjustment	Revised Net Variance	Last Reported Position	Movement
	£m	£m	£m	£m	£m	£m
<b>Adult Social Care &amp; Health</b>						
Strategic Management & Directorate Budgets (ASCH)	32.938	-3.514	0	-3.514	-3.499	-0.015
Disabled Children, Adult Learning Disability & Mental Health	231.668	3.344	0	3.344	3.437	-0.093
Older People & Physical Disability	153.563	-0.099		-0.099	-1.233	1.134
<i>Total Adult Social Care &amp; Health</i>	<i>418.169</i>	<i>-0.269</i>	<i>0.000</i>	<i>-0.269</i>	<i>-1.295</i>	<i>1.026</i>
<b>Children, Young People &amp; Education</b>						
Strategic Management & Directorate Budgets (CYPE)	2.270	1.898	0.110	2.008	1.057	0.951
Education Services, Planning & Resources	39.462	4.577	-0.998	3.579	4.378	-0.799
Quality & Standards	1.239	0.000		0.000	0.000	0.000
Early Help & Preventative Services	18.060	-0.964		-0.964	-0.998	0.034
Specialist Children's Services	125.027	2.192		2.192	2.479	-0.287
<i>Total Children, Young People &amp; Education</i>	<i>186.058</i>	<i>7.703</i>	<i>-0.888</i>	<i>6.815</i>	<i>6.915</i>	<i>-0.100</i>
<b>Growth, Environment &amp; Transport</b>						
Strategic Management & Directorate Budgets (GET)	0.662	0.582		0.582	0.570	0.012
Economic Development	4.635	-0.060		-0.060	-0.050	-0.010
Highways, Transportation & Waste	140.859	-0.533		-0.533	-0.534	0.001
Environment, Planning & Enforcement	14.609	0.533		0.533	0.557	-0.024
Libraries, Registration & Archives	9.413	-0.299		-0.299	-0.243	-0.056
<i>Total Growth, Environment &amp; Transport</i>	<i>170.178</i>	<i>0.223</i>		<i>0.223</i>	<i>0.301</i>	<i>-0.077</i>
<b>Strategic &amp; Corporate Services</b>						
Strategic Management & Directorate Budgets (S&CS)	-2.151	-0.017		-0.017	-0.015	-0.002
Engagement, Organisation Design & Development	15.520	0.501		0.501	0.537	-0.036
Finance	11.092	-0.116		-0.116	-0.131	0.015
General Counsel	5.013	-0.003		-0.003	0.000	-0.003
Infrastructure	38.707	0.720		0.720	0.693	0.027
Strategic Commissioning including Public Health	8.098	-0.013		-0.013	-0.006	-0.007
Strategy, Policy, Relationships & Corporate Assurance	1.773	0.071		0.071	0.075	-0.004
Business Services Centre	-3.304	0.000		0.000	0.000	0.000
<i>Sub Total Strategic &amp; Corporate Services</i>	<i>74.748</i>	<i>1.143</i>	<i>0</i>	<i>1.143</i>	<i>1.153</i>	<i>-0.010</i>
<b>Financing Items &amp; Unallocated</b>	<b>114.782</b>	<b>-3.226</b>	<b>-0.800</b>	<b>-4.026</b>	<b>-3.050</b>	<b>-0.976</b>
<b>TOTAL (Excl Schools)</b>	<b>963.935</b>	<b>5.574</b>	<b>-1.688</b>	<b>3.886</b>	<b>4.024</b>	<b>-0.137</b>
<i>Schools (CYPE Directorate)</i>	<i>0</i>	<i>9.999</i>		<i>9.999</i>	<i>9.011</i>	<i>0.988</i>
<b>TOTAL</b>	<b>963.935</b>	<b>15.573</b>	<b>-1.688</b>	<b>13.885</b>	<b>13.035</b>	<b>0.851</b>

Directorate		Budget	Net Forecast Variance *	Corporate Director Adjustment	Revised Net Variance	Last Reported Position	Movement
		£m	£m	£m	£m	£m	£m
<b>Variance from above (excl Schools)</b>					<b>3.886</b>	<b>4.024</b>	<b>-0.138</b>
Roll Forwards	- committed						0.000
	- re-phased				1.984	1.888	0.096
	- bids						0.000
Total Roll Forward Requirements					1.984	1.888	0.096
<b>(-ve) Uncommitted balance / (+ve) Deficit</b>					<b>5.870</b>	<b>5.912</b>	<b>-0.042</b>

\* the variances reflected in appendix 1 will feature in this column

### 3.3 Table 1b: Provisional Directorate **revenue** position after roll forwards:

Directorate	Variance £m	Roll Forwards			Revised Variance £m
		Committed £m	Re-phased £m	Bids £m	
Adult Social Care & Health	-0.269		1.043		0.774
Children, Young People & Education	6.815		0.941		7.756
Growth, Environment & Transport	0.223				0.223
Strategic & Corporate Services	1.143				1.143
Financing Items & Unallocated	-4.026				-4.026
<b>TOTAL (Excl Schools)</b>	<b>3.886</b>	<b>0.000</b>	<b>1.984</b>	<b>0.000</b>	<b>5.870</b>

3.3.1 The main reasons for the movement of -£0.137m before roll forwards and -£0.042m after roll forwards are:

3.3.2 Adult Social Care and Health:

The overall movement for the Directorate forecast variance since the August position is an increase of +£1.026m. An explanation of significant movements is detailed below.

3.3.2.1 Strategic Management and Directorate Budgets – Adults

The pressure within Strategic Management and Directorate has decreased since August by -£0.015m.

This movement relates to several offsetting movements across various service lines. The largest of these is within 'Strategic Management & Directorate Support' key service line. Additional project officer support has been recruited to continue work on the Directorate's Transformation agenda which is funded by offsetting underspends within 'Budget & Saving Plans to be allocated' and 'Community Based Preventative Services - Other Adults'.

3.3.2.2 Disabled Children, Adult Learning Disability and Mental Health

The pressure within 'Disabled Children, Adult Learning Disability & Mental Health' has decreased by -£0.093m since August. In addition, savings forecasts totalling -£0.418m previously held within 'Budget & Saving Plans to be allocated (LDMH)' have now been

assigned to the appropriate services in line with the Directorate's ongoing Transformation Plan; +£0.171m to 'Adult Learning & Physical Disability Pathway - Community Based Services' and +£0.247m to 'Adult Mental Health - Community Based Service'.

A decrease in the pressure against Learning Disability Residential Care services has been reported of -£0.125m. This is primarily due to a decrease in the estimated costs associated with a home closure. In addition, the forecast for transport of clients to Day Care services has been reduced by -£0.100m based on spend to date. Mental Health Supported Living has reported a decrease in pressure of -£0.083m due to the release of unrealised creditors.

These decreases are offset by an increase of +£0.240m within Looked After Children's Services. Residential services for children with a disability (0-18) have increased by +£0.170m due an increase in activity and a change in placement for an existing client. Children & young people social care staffing has increased by +£0.080m due to maternity leave cover and staff retention payments.

#### 3.3.2.4 Older People and Physical Disability

The pressure on 'Older People & Physical Disability' has increased since August by +£1.134m.

+£1.538m relates to Residential and Nursing Care Services across both client categories, which is indicative of increased service usage. Some of this increase is associated with the beginning of seasonal winter pressures. There is also a slight under-recovery of client income. It is anticipated that pressures will increase within this service area over the winter period.

Supporting Independence Services for clients aged eighteen to sixty-four have experienced an increase in pressure of +£0.326m from the August position. This is in line with increased activity.

These increases are partially offset by a decrease in Assistive and Adaptive Technology of -£0.200m, due to reduced activity in the Telecare service. The pressure against 'Older People & Physical Disability Assessment Services' has decreased by -£0.436m, primarily due to a delay in recruitment following the Assessment Service redesign project.

#### 3.3.3 Children, Young People and Education Directorate:

The forecast for Children, Young People and Education Directorate indicates an overall pressure of £6.815m (after Corporate Director adjustments of -£0.888m and before the Tackling Troubled Families roll forward request – see 3.4.2). £2.067m of this pressure relates to the Asylum service. This variance has moved by -£0.100m from August monitoring.

This small reduction in the forecast position is comprised of a number of compensating movements across the Children, Young People and Education Directorate. The most significant are described below.

##### 3.3.3.1 Strategic Management & Directorate Budgets (CYPE)

The Strategic Management & Directorate Budgets (CYPE) forecast has increased by +£0.951m after Corporate Director adjustments. Previous monitoring reports have identified a risk in the deliverability of the integration savings in 2018-19 due to the delay in the recruitment of senior posts; the Directorate are now reporting compensating one-off savings to set against +£1.270m of the delayed integration savings reported against this budget line

(see below). In addition, the number of early retirements was lower than expected (-£0.319m).

### 3.3.3.2 Education Services, Planning & Resources

The pressure on Home to School/College Transport Services has increased by +£0.446m based on the initial pupil numbers for the 2018-19 academic year.

### 3.3.3.3 Quality & Standards

There has been a reduction in the forecast position of -£0.975m due to the removal of funding set aside in respect of The Education People (TEP). Along with an additional -£0.295m one-off pension saving from the delayed launch of the company by five months.

### 3.3.3.4 Specialist Children's Services - Asylum

The Asylum service has seen a reduction in forecast of -£0.270m due to higher income received for Care Leavers in 2017-18 than previously assumed.

### 3.3.4 Growth, Environment & Transport:

The current position is a forecast pressure of +£0.223m, which is a net improvement of -£0.078m from last month. The residual pressure will continue to be reviewed over the coming months, with a view to achieving a balanced position by the year-end, other things remaining equal.

### 3.3.5 Strategic & Corporate Services:

The overall forecast for the Strategic and Corporate Services Directorate is almost unchanged since the August monitoring report with a net movement of just -£0.010m.

Included within the Directorate budget is Public Health expenditure which is funded from a ring-fenced grant. The current forecast outturn is an underspend of -£0.580m which is a reduction of -£0.340m from the position reported to Cabinet last month. Within this is a decrease in "Public Health - Sexual Health" of -£0.224m, resulting from a reduction in prescribing costs relating to long acting reversible contraception and activity. The "Public Health - Healthy Lifestyles" forecast is down by -£0.102m following reductions in the number of Health checks/invites and Stop Smoking prescribing costs. Other minor changes make up the balance of the movement of -£0.014m.

### 3.3.6 Financing Items

The underspend has increased by £0.976m this month, of which £0.800m relates to a Corporate Director adjustment due to the release of half of the non specific price provision based on expected requirements. The remaining movement relates to the net impact of recent debt restructuring.

### 3.4 Revenue budget monitoring headlines (please refer to Appendix 1)

#### 3.4.1 Adult Social Care and Health

The overall forecast variance for the Directorate is an underspend of -£0.3m and an explanation of significant variances are detailed in the paragraphs below.

This variance position reflects activity data to date in the 2018-19 financial year and we will continue to refine the forecast alongside activity trends over the remaining months. No Corporate Director Adjustments have been proposed;

The Directorate is requesting to roll forward £1.0m for the dedicated piece of work to clear the Deprivation of Liberty Safeguarding (DoLS) backlog (see 3.4.1.1). This will bring the position down to an overspend of +£0.8m.

##### 3.4.1.1 Strategic Management and Directorate Budgets – Adults

The forecast variance for 'Strategic Management & Directorate Budgets - Adults' is -£3.5m.

- This variance relates mainly to centrally held funds still to be allocated which cover pressures already recognised within the forecast position. It includes a -£1.7m underspend against sustainability funding, which partially offsets pressures from unachievable in year savings of +£0.4m.
- There is an underspend of -£1.1m within Safeguarding Adults. This underspend primarily relates to a planned underspend of -£1.0m on the dedicated piece of work to clear the DOLS' backlog, as the contract did not commence until August and is funded with one off budget, a request is being made to roll forward the underspend to 2019-20.
- An underspend of -£1.1m against 'Strategic Management & Directorate Support' primarily relates to 'Housing Related Support' services commissioned for clients with Learning Disabilities, where contracts with several providers have come to an end. Support for these clients is being provided through 'Learning Disability Community Based Services' such as 'Supporting Independent Living' services.

##### 3.4.1.2 Disabled Children, Adult Learning Disability and Mental Health

Disabled Children, Adult Learning Disability and Mental Health Services are forecasting a net pressure of +£3.3m.

- +£1.8m of this pressure relates to Learning Disability Community Based Services (26+) where there is increasing activity within the Supporting Independent Living Service. The cost of growing complexity and increasing client numbers is creating a pressure. Additional pressure has been created by clients previously supported under the Housing Related Support contracts. These clients are now receiving Learning Disability Community Services. This will be partially offset by the allocation of centrally held funds in the Strategic Management and Directorate Budgets (see 3.4.1.1).
- There is an additional pressure of +£0.5m related to Mental Health Services. This reflects increased complexity of needs within this client group.
- A forecast pressure of +£0.8m is reported within services for children with a disability (0-18). This relates to an increase in cost of complex residential placements for young children and is reflecting the full year effect of increases in both activity and the cost of care packages in the final quarter of the previous financial year (+£1.1m). This pressure is partially offset by underspends in day care and direct payment services of -£0.3m.

- There is a further +£0.2m pressure on children & young people social care staffing which reflects the need for the service to maintain low numbers of vacancies and the use of agency to meet the current demands for the service. The pressures on this service are expected to continue and will need to be reflected in the 2019-22 MTFP.

#### 3.4.1.3 Older People and Physical Disability

Older People and Physical Disability services are forecasting a net underspend of -£0.1m, which includes several offsetting variances. The most significant variances are detailed below.

- Older People (65+) Residential Services is reporting an overspend of +£1.8m. This is indicative of increased service usage. It is anticipated that pressures will increase within this service area over the winter period.
- Older People (65+) Community Services is reporting an overspend of +£1.2m. This position reflects current activity trends in combination with an adjustment built into the position for projected future demographic growth.
- The pressure in Older People (65+) Community Services is offset by a variance of -£0.9m against Adaptive & Assistive Technology (as efficiencies within the procurement and running of this service come into full effect in 2018-19), and an underspend of -£0.7m against Carers Support.
- There is also an underspend forecast of -£1.4m against Assessment Staffing. This is due to staff vacancies in combination with a slippage in recruitment following the Assessment Service redesign project.
- The Older People and Physical Disability forecast assumes that there will be also be some increased activity over the winter months.

#### 3.4.2 Children, Young People and Education Directorate

The forecast for Children, Young People and Education Directorate indicates an overall pressure of £6.8m (after Corporate Director adjustments of -£0.9m), of which £2.1m relates to the Asylum service.

Tackling Troubled Families has achieved additional income of -£0.9m as a result of more successful Payment By Results submissions to the MHCLG and is requesting roll forward of this surplus into the next financial year in order to ensure there is sufficient funding to maintain this programme in 2019-20. This roll forward increases the forecast pressure to £7.8m.

##### 3.4.2.1 Strategic Management & Directorate Budgets (CYPE)

£2.3m of the pressure relates to the integration savings target that is not expected to be made due to a delay in the appointment of senior posts. Short term compensating savings are being reported below and any further savings specifically related to integration will be reflected against the relevant budget lines as and when agreed. The wider impact of integration is being developed to deliver the full saving in 2019-20 through the Change for Kent Children Programme. This pressure is partially offset by the one-off reduction in early retirement costs from 2017-18 of -£0.3m.



### 3.4.2.1 Education Services, Planning & Resources

There are a number of pressures from 2017-18 which are continuing into 2018-19, including:

- ongoing school security costs of +£0.4m;
- the installation, hire, and removal of mobile classrooms to support the Basic Need programme of +£0.8m;
- +£0.4m revenue maintenance costs associated with schools are expected to be more than the grant available. This covers both planned maintenance agreements and subsequent resultant work which falls under the Total Facilities Management contracts.

There are also emerging pressures on:

- The Education Psychology Service of +£0.6m, due to increasing statutory workloads which is resulting in the continual use of agency staff to cover staff vacancies and the need to offer enhanced salary packages to attract and retain permanent staff. In addition, as the service focused on meeting its statutory responsibilities, it has had to reduce traded activities which led to a shortfall in income;
- +£0.9m pressure in home to school and college transport. Early indications, based on the September pupil numbers, suggest a pressure of +£1.2m on SEN home to school transport offset by -£0.3m underspend on mainstream transport service. More detailed work is underway to understand the rise in demand and confirmation of the October pupil numbers (to be reported to Cabinet in January 2019) will provide further clarity on this forecast;
- +£1.5m support of children with Special Education Needs (SEN). The pressure is resulting from the increasing provision of therapy services, home tuition and higher demand for statutory assessments, along with additional payments to reflect the greater complexity of needs of the pupils placed in our special schools and specialist resource provision.
- +£0.2m shortfall in traded income relating to emergency planning due to more limited market requirement.

Where the demands and subsequent financial pressures are expected to continue into 2019-20, this is being highlighted in the medium-term plan submission.

The pressures above are partially offset by removing funding set aside in respect of The Education People (TEP). In addition, due to the delay in the launch of the company there is also a -£0.3m one-off pension saving.

### 3.4.2.2 Specialist Children's Services (excluding Asylum)

The Specialist Children's Service is forecasting a +£0.1m pressure which is formed from a number of compensating variances. The Care Leavers Service is forecasting a pressure of +£0.6m resulting from the need to recruit additional staff and the use of agency staff to meet the current demand of supporting children. This also includes the anticipated impact of new legislation requiring local authorities to continue to offer support to young people up to the age of 25. The impact of this new legislation is expected to be ongoing and will increase in future years.

A pressure of +£0.4m is forecast for Looked after Children placement costs, pressures on the cost of legal services (+£0.8m) and residential care (+£0.4m) and are partially offset by underspends on fostering services (-£0.7m of which -£0.3m is one-off) and secure accommodation (-£0.1m). This reflects the ongoing pressure resulting from the service

supporting increasingly complex children requiring more specialist placements (at a higher cost) rather than an increase in the overall number of looked after children. Children Social Work is also seeing a significant rise in the overall cost for legal proceedings even though the number of proceedings has remained constant. Work is ongoing with Invicta Law to understand the underlying causes and results will be reported in future monitoring reports and reflected in the MTFP as required.

These pressures are largely offset by anticipated underspends on the safeguarding service (-£0.1m) and unit costs across adoption & special guardianship orders (-£0.8m) partially resulting from the full year effect of the means-testing which was introduced in 2017-18.

### 3.4.2.3 Specialist Children's Services – Asylum Seekers:

The pressure on the Asylum Service is expected to continue, with an estimate of +£2.1m shortfall in grant income based on a number of assumptions. The Home Office confirmed in a letter to the Leader (dated 18 July 2018) that there has been a delay in completing their review of Local Authority funding rates. As such the Home Office have confirmed that whilst the review is ongoing, the current rates we receive will continue to be paid.

Negotiations continue with the Home Office to recover the shortfall in funding for this service over recent years.

The main variances for the Asylum service are:

- -£0.4m surplus in grant income from supporting under 16 year olds. This is in line with previous years and is normally used to offset any shortfalls in grant relating to 16-17 year olds and 18+ care leavers.
- +£0.2m shortfall in grant income for supporting 16-17 year olds. There is still a number of children placed in higher cost placements that arrived before the age of 16, which have chosen to remain in their current placements. Attempts to move any individual who is settled in their placement is likely to result in legal challenge. This pressure is less than the previous year as it is assumed new 16-17 year olds will be placed in lower cost supported accommodation settings.
- +£0.7m shortfall in grant income to support the National Transfer Scheme Reception Centre. The pressure on this service has increased since 2017-18 as the number of new UASC arrivals has reduced leading to a reduction in the total grant received to run this service and therefore a greater overall shortfall in funding.
- +£1.1m shortfall in grant income for supporting care leavers (18+). Historically, the grant rate has not been sufficient to recover the costs associated with supporting this age group. Work is progressing to ensure care leavers are applying for both job seekers allowance and housing benefit where eligible to do so.
- -£0.2m surplus as the final 2017-18 Home Office grant received for Care Leavers was higher than previously expected.
- +£0.4m placement costs associated with children who are presented to us as Asylum Children that are deemed not to be eligible for the Home Office Grant (referred to as ineligible children).

### 3.4.3 Growth, Environment and Transport

3.4.3.1 The overall position for the Directorate is a forecast variance of +£0.2m, with +£2.8m of pressures being mostly offset by forecast underspends of -£2.6m. The latter includes a number of one-off initiatives that have been implemented to try and bring the budget into balance. A number of the pressures will likely continue into 2019-20 and will need accounting for as part of the budget build to ensure sufficient resource is available.

#### 3.4.3.2 Strategic Management & Directorate Budgets

The Directorate is showing a pressure of +£0.7m against the “Budget & Savings Plans to be allocated” key service line. Offsetting management action is shown against individual key services including -£0.1m against the Strategic Management & Directorate Budget. Permanent solutions to these saving allocations are being sought but for the current year, a number of one-off initiatives have been implemented.

#### 3.4.3.3 Highways, Transportation and Waste

There is an overall pressure within Waste Facilities & Recycling Centres of +£0.9m, despite the forecast volume of waste being -16,626 tonnes below budgeted levels.

Increases in Materials Recycling Facilities (MRF) costs since the budget was set has led to a pressure of +£0.6m. Reduced paper and card waste income (-5,877 tonnes), as well as a significant drop in the price we receive, has left an income shortfall of +£0.7m, whilst additional composted waste of +4,834 tonnes has added a further +£0.4m to the forecast meaning a total pressure of +£1.7m.

These pressures have been partially offset by a reduction of -4,535 tonnes (-£0.3m) of recycling credits; the insurance settlement for North Farm -£0.2m; as well as -£0.8m of forecast underspend due to the current mix of waste types (each with their own disposal cost) forecast to cost less than budgeted levels means total savings/underspends of -£1.3m.

The net +£0.4m pressure referred to above, along with other minor aggregated variances of +£0.5m, reconcile back to the +£0.9m overall pressure. Further details on activity can be found in Appendix 2.15.

The above pressures are almost completely offset as Residual Waste is forecasting a significant underspend of -£0.8m. This is due to two primary reasons, firstly -£0.4m of predicted volume variance of -4,481 tonnes across Waste to Energy and Waste Treatment Final Disposal contracts (see Appendix 2.14) and secondly, an additional -£0.4m of trade waste income.

Highway Asset Management (Roads and Footways) is now forecasting a pressure of +£0.3m, the majority of which relates to non-recoverable works, i.e. damage to highway assets where a claim to recover costs from a third party is no longer possible. These are unfunded and therefore represent a pressure. However, this pressure is offset by an underspend of -£0.7m within Highway Asset Management (Other) through additional income for street permits, as well as other savings including streetlight works and energy.

The rest of the division is reporting an underspend of -£0.2m, including -£0.1m against Subsidised Buses and Community Transport and which leaves Highways, Transportation & Waste with an underspend of -£0.5m.

#### 3.4.3.4 Environmental, Planning & Enforcement

Public Protection is forecasting a pressure of +£0.8m relating primarily to the Coroner's service +£0.7m but also within Community Wardens +£0.2m, primarily due to a forecast shortfall in funding. Other savings (-£0.1m) account for the difference.

Within the Coroner Service forecast is a contractual pressure of some +£0.4m (full year effect £0.6m) relating to body removals, where costs have increased considerably following the end of the old contracts and whereby the market was only willing to continue with the service at full cost recovery. Options to mitigate this pressure, or deliver the service in a different way, are currently being explored but all future options are likely to cost in excess of the previous arrangements whereby funeral directors provided this service at a subsidised rate and which is no longer commercially viable. This will need to be right-sized at budget build.

The remaining Coroner's pressures relate to increasing pathology, post mortem, toxicology and body storage costs due to both a rising population/level of activity, and legislative changes partially offset by an increased contribution from Medway, as well as anticipated costs from within the Medical Examiner budget not being required in the current year as this new pilot/service has been delayed.

The above pressures are partially offset by a number of small savings within Environment & Planning budgets (-£0.3m) to leave an overall pressure of +£0.5m.

3.4.3.5 The Libraries, Registration & Archives underspend of -£0.3m includes -£0.1m additional release in a renewals reserve (RFID replacement was re-procured at beneficial rates and final costs are now confirmed), plus minor savings in other areas.

3.4.3.6 Other small variances make up the balance of -£0.1m.

3.4.3.7 The improved position has been achieved primarily through one-off savings meaning that a permanent solution to the £0.7m of unallocated savings plans is yet to be found. This will need to be resolved during the budget build process to ensure the directorate does not move into 2019-20 with unfunded pressures.

The Directorate remains committed to achieving a balanced position by the year-end, with further areas for management action being identified in the coming months. The Directorate does, however, have a significant number of activity-led budgets and therefore the potential for further adverse movements in the remainder of the year cannot be ignored.

#### 3.4.4 Strategic and Corporate Services

The overall variance reflected in appendix 1 for the directorate is an overspend of +£1.1m which includes variances of +£0.5m for EODD, -£0.1m for Finance and +£0.7m for Infrastructure.

##### 3.4.4.1 Engagement, Organisation Design and Development (EODD)

The +£0.5m pressure in EODD is made up of +£0.3m relating to the Contact Centre & Digital Web Services budget set in 2015 using a transformation plan suggested by Agilisys, predicting that the number of calls and average call duration would fall significantly. Although the call volumes and times have reduced, this is not in line with the original budgeted plan, hence resulting in a budget pressure. The commissioners of this service, together with Agilisys, are working with directorate services to get these figures reduced further. Strategic

Commissioning and Agilisys are also working together on changes to the contract which will further mitigate the position before the end of the financial year. The remainder of the divisional variance of +£0.2m relates to staffing overspends due to re-phased plans for restructuring. The Division is currently working on management action to mitigate this position.

#### 3.4.4.2 Finance

The variance for the Finance division of -£0.1m is due in the main to staffing budget vacancy management.

#### 3.4.4.3 Infrastructure

For the Infrastructure budgets the variance of +£0.7m is largely due to Property related services, within which the largest single variance is a forecast overspend of +£0.3m for Oakwood House where income is expected to be below budget. The service is working on potential strategies to be included in a decision paper shortly. There is a variance of +£0.1m on Education legal fees, where a change in accounting treatment relating to the use of capital grant funding on this demand led budget has created this pressure, this budget will be rightsized in the MTFP for 2019-20. The Corporate Landlord variance is +£0.3m of which +£0.2m relates to the withdrawal of Commercial Services from the Aylesford Depot, this budget will be rightsized in the MTFP for 2019-20. The remainder is made up of smaller variances. The commissioner and Gen2 are looking at ways of delivering mitigating savings to compensate for this position.

#### 3.4.4.4 Strategic Commissioning including Public Health

Public Health Grant funded expenditure is recorded in Strategic Commissioning. Overall Public Health is forecasting an underspend of -£0.6m which will be transferred to the ring-fenced reserve. Several key service budget lines are showing variances of more than £0.1m which require explanation.

“Public Health - Children's Programme” is forecasting a pressure of +£0.4m. This results primarily from school health continence costs (+£0.1m), infant feeding (+£0.1m), and oral health (+£0.1m). The last is offset by an underspend within “Public Health - Advice and Other Staffing” as the budget for oral health remains on that line. Other minor variances make up the remaining balance of +£0.1m.

Public Health - Mental Health, Substance Misuse & Community Safety is now forecasting a pressure of +£0.1m due to increased prescribing costs for Substance Misuse.

The “Public Health - Sexual Health” budget is reporting an underspend of -£0.1m with increased contraceptive costs (+£0.3m) largely offset by reductions in current year activity (-£0.2m). In addition, actual invoices received for 2017/18 activity, that was estimated and accounted for last year, are below the original cost estimates; this has resulted in an underspend this year (-£0.2m).

A -£0.4m underspend against “Public Health - Healthy Lifestyles” results from lower prescribing costs from 2017/18 (-£0.1m), reductions in the number of Health checks/invites (-£0.2m), and other small variances (-£0.1m).

“Public Health - Advice and Other Staffing” is showing an underspend of -£0.6m; in part this relates to oral health as stated above (-£0.1m) as well as underspends against campaigns (-£0.3m) and workforce development (-£0.1m).

Other Divisions within the Directorate have variances, all of which are under £0.1m.

### 3.4.5 Financing Items

An underspend of £4.0m is forecast reflecting additional Extended Rights to Free Travel grant notified by Government since the 2018-19 budget was set (£0.3m); underspending against the net debt costs budget as a result of higher dividends and interest receipts and the net impact of debt restructuring (£0.6m); additional retained Business Rates levy for 2017-18 above the debtor raised (£0.8m) and additional S31 Business Rate Compensation Grant (£1.4m) following the reconciliation of unaudited figures for 2017-18 - final audited figures will not be available until later in the year.

The underspend also includes a -£0.8m Corporate Director adjustment reflecting the release of half of the non specific price provision based on expected requirements.

Cabinet is also asked to agree that any additional Business Rate receipts received under the 100% retention pilot over and above the 2018-19 budgeted amount, are transferred to the local taxation equalisation reserve to smooth future fluctuations in the business rates baseline and collection fund. The Quarter 1 monitoring from Maidstone Borough Council who undertake the overall monitoring for the pool shows the position is broadly on track with our assumptions.

### 3.5 Schools delegated budgets:

The schools delegated budget reserves are currently forecast to end the financial year in surplus by £20.0m, compared to £30.0m at the start of the financial year. This is made up of a forecast surplus of £31.9m on individual maintained school balances, a surplus of £0.9m on the schools apprenticeship levy reserve and a deficit on the central schools reserve of £12.7m. The table below provides the detailed movements on each reserve:

	Individual School Reserves (£m)	Central Schools Reserve (£m)	Apprenticeship Levy Reserve (£m)	Total School Reserves (£m)
<b>Balance b fwd</b>	31.315	(2.155)	0.855	30.015
<b>Forecast movement in reserves:</b>				
Academy conversions and closing school deficits	0.580	(1.145)		(0.565)
Contribution to capital broadband		(1.000)		(1.000)
School Growth		4.096		4.096
High Needs		(11.007)		(11.007)
Various		0.369		0.369
Overspend on Central DSG budgets		(1.891)		(1.891)
<b>Forecast reserve balance</b>	<b>31.895</b>	<b>(12.734)</b>	<b>0.855</b>	<b>20.016</b>

Note: a negative figure indicates a draw down from reserves/deficit

The Schools' delegated budget is currently showing a pressure of £10.0m.

### 3.6 Table 2: Performance of our wholly owned companies

Dividends/Contributions (£m)	Budget	Forecast	From trading surplus	from reserves
Commercial Services	4.400	4.400	4.400	
GEN2	0.983	0.983	0.983	

## 4. REVENUE BUDGET VIREMENTS/CHANGES TO BUDGETS

4.1 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 the allocation of grants and previously unallocated budgets where further information regarding allocations and spending plans has become available since the budget setting process.

## 5. SUMMARISED CAPITAL MONITORING POSITION

5.1 There is a reported variance of -£65.792m on the 2018-19 capital budget (excluding schools and PFI). This is a movement of -£27.254m from the previous report and is made up of +£2.778m real movement and -£30.032m rephasing movement. Headline movements are detailed below by Directorate.

5.2 Table 3: Directorate **capital** position

Directorate	2018-19 Working Budget £m	2018-19 Variance £m	Real variance £m	Re-phasing variance £m	Last reported position		Movement	
					Real £m	Rephasing £m	Real £m	Rephasing £m
Children, Young People & Education	91.055	-17.775	6.377	-24.152	2.872	0.280	3.505	-24.432
Adult, Social Care & Health	9.375	-3.718	-0.530	-3.188	-0.239	-0.793	-0.291	-2.395
Growth, Environment & Transport	156.588	-42.355	2.242	-44.597	2.577	-41.586	-0.335	-3.011
Strategic & Corporate Services	27.148	-1.944	-0.394	-1.550	-0.293	-1.356	-0.101	-0.194
<b>TOTAL</b>	<b>284.166</b>	<b>-65.792</b>	<b>7.695</b>	<b>-73.487</b>	<b>4.917</b>	<b>-43.455</b>	<b>2.778</b>	<b>-30.032</b>

## 5.3 Capital budget monitoring headlines

The real variances over £0.100m and rephasing variances over £1.000m are as follows:

### 5.3.1 Children, Young People and Education

- Basic Need Programme: Real movement of +£3.450m and rephasing movement of -£13.455m. The £3.450m real movement is due to Priority School Build Programme (PSBP) work being undertaken at Mayfield and Wilmington Grammar school, for which additional Education and Skills Funding Agency (ESFA) grant will be received (see table of cash limits changes below). The rephasing is due to several major schemes (special school, satellite split site, all through school, secondary expansion), that have been rephased due to issues with seeking the necessary approval for land matters, or financial approval which has meant a later construction start date.

- Basic Need Pressure: Rephasing movement of -£6.719m. Following a review of the initial 2018 Kent Commissioning Plan (KCP) draft, the programme has been rephased as a result of changes to some schemes, particularly a new secondary school in Swale, secondary expansions in Tonbridge & Malling and two primary school expansions in East Kent.
- PSBP: Rephasing movement of -£2.996m. This programme is managed by the ESFA. The ESFA have experienced significant delays in delivering a school replacement in Gravesham. Two other schemes are being delivered at a local level; one has full business case approval, the contractor is appointed and works have commenced. The other scheme has seen delays by the ESFA approving the business case and has rephased accordingly.

### **5.3.2 Adult, Social Care & Health**

- Older Persons Strategy: Rephasing movement of -£1.000m. A business case is currently being drawn up for future development in Sheppey.
- Learning Disability Good Day Programme: Rephasing movement of -£1.313m. Despite best efforts from the service, progress on projects is slower than planned. The service continues to work with colleagues in Gen2 to try and push these projects through feasibility, planning and works starting on site.

### **5.3.3 Growth, Environment & Transport**

#### 5.3.3.1 Highways, Transportation & Waste

- Highway Major Enhancement: Real movement of +£0.142m due to works resulting from winter damage. This overspend will be balanced off against other capital income/budgets before the end of the year.
- Rathmore Road Link: Real movement of -£0.104m. The forecast underspend is due to some of the key risks not materialising; the land cost was less than estimated and the inflation allowance was not required. Any underspend of the grant must be paid back to the Kent Thameside Strategic Transport Programme.
- A28 Sturry Rural Integrated Transport Package: Real movement of £0.364m, based on forecast capital spend versus 2018-19 cash limit.

#### 5.3.3.2 Environment, Planning and Enforcement and Libraries, Registration and Archives

There are no movements to report over £0.100m on real or over £1.0m on rephasing.

#### 5.3.3.3 Economic Development

There are no movements to report over £0.100m on real or over £1.0m on rephasing.

### **5.3.4 Strategic & Corporate Services**

There are no movements to report over £0.100m on real or over £1.0m on rephasing.



## 5.4 Cash Limit Adjustments

### To Note

Directorate	Project	Year	Amount £m	Reason
CYPE	Basic Need Programme	2018-19	+£3.450m	Additional grant relating to PSBP works.
CYPE	Children's Portal	2018-19	+£0.055m	Additional grant.

### For Approval (from August report)

Directorate	Project	Year	Amount £m	Reason
CYPE	Priority School Build Programme (PSBP)	2018-19	+0.050	Grant transfer from Basic Need Programme
CYPE	Basic Need Programme	2018-19	-0.050	Transfer grant to PSBP
GET	No Use Empty	2018-19	+0.159	Spend transferred from Extension Project
GET	Non Use Empty – Extension	2018-19	-0.159	Spend transferred to No Use Empty

## 6. CONCLUSIONS

- 6.1 It is not unusual at this point in the financial year for the revenue position to show an overspend. However, the forecasts show the majority of the £50.2m savings are on track to be delivered and the intention remains that where delivery proves to be unlikely, equivalent savings elsewhere within the relevant Directorate will be made as appropriate. It is clear that plans still need to be put in place to reduce the forecast pressure. Considering there is still a forecast pressure of £5.870m (including roll forwards), of which the majority falls within the Children, Young People and Education directorate, there will need to be a range of potential mitigations in order to reduce and then eliminate this forecast pressure. We cannot, under any circumstances, afford to enter 2019-20 with an underlying problem.

## 7. RECOMMENDATIONS

**Cabinet** is asked to:

- 7.1 **Note** the forecast revenue budget monitoring position for 2018-19 and capital budget monitoring position for 2018-19 to 2020-21, and that the forecast pressure on the revenue budget needs to be eliminated as we progress through the year.

- 7.2 **Agree** that any additional Business Rate receipts received under the 100% retention pilot over and above the 2018-19 budgeted amount, are transferred to the local taxation equalisation reserve to smooth future fluctuations in the business rates baseline and collection fund. The Quarter 1 monitoring from Maidstone Borough Council who undertake the overall monitoring for the pool shows the position is broadly on track with our assumptions.
- 7.3 **Approve** the capital cash limit adjustment requests detailed in Section 5.
- 7.4 **Note** the half year position of the Revenue Reserves at Appendix 4.

**8. CONTACT DETAILS**

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## Breakdown of Directorate Monitoring Position

Adult Social Care & Health							
	Cash Limit			Variance	CD Adj	Revised Variance	Movement
	Gross	Income	Net	Net	Net	Net	Net
	£m	£m	£m	£m	£m	£m	£m
<b>Strategic Management &amp; Directorate Budgets - Adults</b>							
Additional Adult Social Care Allocation	6.1	0.0	6.1	0.0	0.0	0.0	0.0
Budgets and Savings Plans to be allocated	-3.4	-0.5	-3.9	-1.3	0.0	-1.3	-0.1
Safeguarding Adults	3.9	-0.2	3.7	-1.1	0.0	-1.1	0.0
Community Based Preventative Services - Other Adults	0.6	-0.6	0.0	-0.1	0.0	-0.1	-0.3
Housing Related Support - Other Adults	0.2	-0.2	0.0	0.0	0.0	0.0	0.0
Strategic Management & Directorate Support	31.7	-4.6	27.1	-1.1	0.0	-1.1	0.3
<b>Total - Strategic Management &amp; Directorate Budgets (ASCH)</b>	<b>39.1</b>	<b>-6.1</b>	<b>32.9</b>	<b>-3.5</b>	<b>0.0</b>	<b>-3.5</b>	<b>0.0</b>
	Cash Limit			Variance	CD Adj	Revised Variance	Movement
	Gross	Income	Net	Net	Net	Net	Net
	£m	£m	£m	£m	£m	£m	£m
<b>Disabled Children, Adult Learning Disability &amp; Mental Health</b>							
Adult Learning & Physical Disability Pathway - Residential Care Services	77.5	-6.3	71.2	-0.5	0.0	-0.5	-0.1
Adult Learning & Physical Disability Pathway - Community Based Services	100.3	-7.6	92.7	3.3	0.0	3.3	0.1
Adult Learning Disability - Assessment Service	5.5	-0.2	5.3	-0.2	0.0	-0.2	-0.1
Adult Mental Health - Residential Care Services	12.7	-0.8	11.9	0.9	0.0	0.9	0.1
Adult Mental Health - Community Based Services	6.4	-0.7	5.7	-0.1	0.0	-0.1	0.1
Adult Mental Health - Assessment Services	9.9	-0.4	9.5	-0.3	0.0	-0.3	0.0
Community Based Preventative Services - Learning Disability & Mental Health	6.0	-3.5	2.5	-0.3	0.0	-0.3	-0.1
Carers Support (Learning Disability & Mental Health)	2.8	-0.2	2.7	-0.3	0.0	-0.3	0.0
Housing Related Support (Learning Disability & Mental Health)	2.3	0.0	2.3	-0.3	0.0	-0.3	0.0
Looked After Children (with Disability) - Care & Support	12.0	-2.5	9.5	1.4	0.0	1.4	0.2
Children in Need (Disability) - Care & Support	6.9	-0.1	6.9	-0.4	0.0	-0.4	0.0
Disabled Children & Young People Service (0-25 LD & Complex PD) - Assessment Service	6.0	0.0	6.0	0.2	0.0	0.2	0.1
Divisional & Directorate Support	5.9	-0.3	5.7	-0.1	0.0	-0.1	0.0
Budgets and Savings Plans to be allocated	0.0	0.0	0.0	0.0	0.0	0.0	-0.4
<b>Total - Disabled Children, Adult Learning Disability &amp; Mental Health</b>	<b>254.1</b>	<b>-22.5</b>	<b>231.7</b>	<b>3.3</b>	<b>0.0</b>	<b>3.3</b>	<b>-0.1</b>
	Cash Limit			Variance	CD Adj	Revised Variance	Movement
	Gross	Income	Net	Net	Net	Net	Net
	£m	£m	£m	£m	£m	£m	£m
<b>Older People &amp; Physical Disability</b>							
Adult Physical Disability - Residential Care Services	15.5	-2.3	13.2	0.0	0.0	0.0	0.3
Adult Physical Disability - Community Based Services	24.8	-3.5	21.3	0.1	0.0	0.1	0.3
Older People - Residential Care Services	113.0	-56.7	56.3	1.8	0.0	1.8	1.3
Older People - Community Based Services	67.1	-36.2	30.9	1.2	0.0	1.2	-0.1
Community Based Preventative Services - Older People & Physical Disability	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Adaptive & Assistive Technology	10.8	-6.7	4.1	-0.9	0.0	-0.9	-0.2
Carers Support (Older People & Physical Disability)	2.1	-1.3	0.8	-0.7	0.0	-0.7	0.1
Housing Related Support (Older People & Physical Disability)	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Older People & Physical Disability Assessment Services	29.0	-2.4	26.6	-1.3	0.0	-1.3	-0.4
Children in Need (Disability) - Assessment Services	0.4	0.0	0.4	-0.1	0.0	-0.1	0.0
Divisional Management & Support Costs (including savings yet to be allocated)	0.6	-0.1	0.5	0.0	0.0	0.0	0.0
Budgets and Savings Plans to be allocated	-0.4	0.0	-0.4	-0.3	0.0	-0.3	-0.1
<b>Total - Older People &amp; Physical Disability</b>	<b>262.8</b>	<b>-109.2</b>	<b>153.6</b>	<b>-0.1</b>	<b>0.0</b>	<b>-0.1</b>	<b>1.1</b>
<b>Total - Adult Social Care &amp; Health</b>	<b>556.0</b>	<b>-137.8</b>	<b>418.2</b>	<b>-0.3</b>	<b>0.0</b>	<b>-0.3</b>	<b>1.0</b>

Children, Young People & Education							
	Cash Limit			Variance	CD Adj	Revised Variance	Movement
	Gross	Income	Net	Net	Net	Net	Net
	£m	£m	£m	£m	£m	£m	£m
<b>Strategic Management &amp; Directorate Budgets - CYPE</b>							
Strategic Management & Directorate Budgets	8.2	-3.6	4.5	-0.4	0.1	-0.3	-0.3
Budget & Saving Plans to be allocated (CYPE)	-2.3	0.0	-2.3	2.3	0.0	2.3	1.3
<b>Total - Strategic Management &amp; Directorate Budgets (CYPE)</b>	<b>5.9</b>	<b>-3.6</b>	<b>2.3</b>	<b>1.9</b>	<b>0.1</b>	<b>2.0</b>	<b>0.9</b>
	Cash Limit			Variance	CD Adj	Revised Variance	Movement
	Gross	Income	Net	Net	Net	Net	Net
	£m	£m	£m	£m	£m	£m	£m
<b>Education Services Planning &amp; Resources</b>							
Special Educational Needs & Psychology Services	67.1	-64.1	2.9	2.1	0.1	2.2	0.0
Early Years Education	69.3	-69.3	0.0	0.0	0.0	0.0	0.0
Home to School & College Transport	39.6	-3.7	35.9	0.9	0.0	0.9	0.4
Fair Access & Planning Services	2.9	-2.9	0.0	0.0	0.0	0.0	0.0
Education Services to be provided by the Education Services Company	6.2	-3.5	2.7	-1.0	0.0	-1.0	-1.0
Community Learning & Skills (CLS)	12.6	-13.8	-1.2	0.0	0.0	0.0	0.0
Education Services & Planning Resources Management & Divisional Support	2.0	-1.0	1.0	-0.2	0.0	-0.2	-0.3
Other School Services	38.4	-40.3	-1.9	2.8	-1.1	1.7	0.0
<b>Total - Education Services Planning &amp; Resources</b>	<b>238.0</b>	<b>-198.6</b>	<b>39.5</b>	<b>4.6</b>	<b>-1.0</b>	<b>3.6</b>	<b>-0.8</b>
	Cash Limit			Variance	CD Adj	Revised Variance	Movement
	Gross	Income	Net	Net	Net	Net	Net
	£m	£m	£m	£m	£m	£m	£m
<b>Quality &amp; Standards</b>							
Education Services to be provided by the Education Services Company	7.6	-6.3	1.2	0.0	0.0	0.0	0.0
<b>Total - Quality &amp; Standards</b>	<b>7.6</b>	<b>-6.3</b>	<b>1.2</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>
	Cash Limit			Variance	CD Adj	Revised Variance	Movement
	Gross	Income	Net	Net	Net	Net	Net
	£m	£m	£m	£m	£m	£m	£m
<b>Early Help &amp; Preventative Services</b>							
Early Help & Preventative Services	20.9	-12.0	8.9	-0.9	0.0	-0.9	0.2
Children's Centres	7.6	-3.7	3.8	0.1	0.0	0.1	0.1
Youth Services	6.6	-2.5	4.0	0.1	0.0	0.1	0.0
Pupil Referral Units & Inclusion	4.7	-4.7	0.0	0.0	0.0	0.0	0.0
Early Help & Preventative Services Management & Directorate Support	3.7	-2.4	1.3	-0.2	0.0	-0.2	-0.2
<b>Total - Early Help &amp; Preventative Services</b>	<b>43.5</b>	<b>-25.5</b>	<b>18.1</b>	<b>-1.0</b>	<b>0.0</b>	<b>-1.0</b>	<b>0.0</b>
	Cash Limit			Variance	CD Adj	Revised Variance	Movement
	Gross	Income	Net	Net	Net	Net	Net
	£m	£m	£m	£m	£m	£m	£m
<b>Specialist Children's Services</b>							
Looked After Children - Care & Support	59.4	-5.0	54.3	0.4	0.0	0.4	0.1
Children in Need - Care & Support	2.5	-0.2	2.3	0.1	0.0	0.1	0.0
Specialist Children's Service - Assessment & Safeguarding Service	50.9	-3.5	47.4	-0.1	0.0	-0.1	0.0
Adoption Service & Permanency Arrangements	14.8	-0.1	14.7	-0.9	0.0	-0.9	-0.1
Care Leavers Service	6.6	-3.5	3.1	0.6	0.0	0.6	0.0
Asylum	17.9	-17.9	0.0	2.1	0.0	2.1	-0.3
Specialist Children's Service - Management & Support Costs	3.5	-0.3	3.2	0.0	0.0	0.0	0.0
Budgets and Savings Plans to be allocated (SCS)	0.0	0.0	0.0	0.0	0.0	0.0	0.0
<b>Total - Specialist Children's Services</b>	<b>155.5</b>	<b>-30.4</b>	<b>125.0</b>	<b>2.2</b>	<b>0.0</b>	<b>2.2</b>	<b>-0.3</b>
<b>Total - Children, Young People &amp; Education</b>	<b>450.5</b>	<b>-264.4</b>	<b>186.1</b>	<b>7.7</b>	<b>-0.9</b>	<b>6.8</b>	<b>-0.1</b>

Growth, Environment & Transport							
	Cash Limit			Variance	CD Adj	Revised Variance	Movement
	Gross	Income	Net	Net	Net	Net	Net
	£m	£m	£m	£m	£m	£m	£m
<b>Strategic Management &amp; Directorate Budgets</b>							
Strategic Management & Directorate Budgets	1.4	-0.1	1.4	-0.1	0.0	-0.1	0.0
Budget & Savings Plans to be allocated (GET)	-0.7	0.0	-0.7	0.7	0.0	0.7	0.0
<b>Total - Strategic Management &amp; Directorate Budgets (GET)</b>	<b>0.7</b>	<b>-0.1</b>	<b>0.7</b>	<b>0.6</b>	<b>0.0</b>	<b>0.6</b>	<b>0.0</b>
	Cash Limit			Variance	CD Adj	Revised Variance	Movement
	Gross	Income	Net	Net	Net	Net	Net
	£m	£m	£m	£m	£m	£m	£m
<b>Economic Development</b>							
Economic Development	6.4	-3.6	2.8	0.0	0.0	0.0	0.0
Arts	1.8	0.0	1.8	0.0	0.0	0.0	0.0
<b>Total - Economic Development</b>	<b>8.2</b>	<b>-3.6</b>	<b>4.6</b>	<b>-0.1</b>	<b>0.0</b>	<b>-0.1</b>	<b>0.0</b>
	Cash Limit			Variance	CD Adj	Revised Variance	Movement
	Gross	Income	Net	Net	Net	Net	Net
	£m	£m	£m	£m	£m	£m	£m
<b>Highways, Transportation &amp; Waste</b>							
Highway Transportation (including School Crossing Patrols)	7.7	-2.3	5.3	0.0	0.0	0.0	0.2
Highway Asset Management (Roads and Footways)	12.3	0.0	12.3	0.3	0.0	0.3	0.0
Highway Asset Management (Other)	21.9	-4.1	17.8	-0.8	0.0	-0.8	-0.1
Subsidised Buses & Community Transport	8.1	-2.1	6.0	-0.1	0.0	-0.1	0.0
Concessionary Fares	17.2	0.0	17.2	0.1	0.0	0.1	0.0
Young Person's Travel Pass	15.1	-6.3	8.7	-0.1	0.0	-0.1	0.0
Residual Waste	39.4	-0.1	39.3	-0.8	0.0	-0.8	0.0
Waste Facilities & Recycling Centres	31.6	-1.9	29.7	0.9	0.0	0.9	0.0
Highways, Transport & Waste Management Costs and Commercial Operations	7.8	-3.2	4.6	-0.1	0.0	-0.1	-0.1
<b>Total - Highways, Transportation &amp; Waste</b>	<b>161.0</b>	<b>-20.1</b>	<b>140.9</b>	<b>-0.5</b>	<b>0.0</b>	<b>-0.5</b>	<b>0.0</b>
	Cash Limit			Variance	CD Adj	Revised Variance	Movement
	Gross	Income	Net	Net	Net	Net	Net
	£m	£m	£m	£m	£m	£m	£m
<b>Environment, Planning &amp; Enforcement</b>							
Public Protection (Enforcement)	13.2	-3.5	9.7	0.8	0.0	0.8	0.0
Environment & Planning	18.3	-14.1	4.2	-0.2	0.0	-0.2	0.0
Environment, Planning & Enforcement Management Costs	0.7	0.0	0.6	0.0	0.0	0.0	0.0
<b>Total - Environment, Planning &amp; Enforcement</b>	<b>32.2</b>	<b>-17.6</b>	<b>14.6</b>	<b>0.5</b>	<b>0.0</b>	<b>0.5</b>	<b>0.0</b>
	Cash Limit			Variance	CD Adj	Revised Variance	Movement
	Gross	Income	Net	Net	Net	Net	Net
	£m	£m	£m	£m	£m	£m	£m
<b>Libraries, Registration &amp; Archives</b>							
Libraries, Registration & Archives	15.9	-6.5	9.4	-0.3	0.0	-0.3	-0.1
<b>Total - Growth, Environment &amp; Transport</b>	<b>218.0</b>	<b>-47.9</b>	<b>170.2</b>	<b>0.2</b>	<b>0.0</b>	<b>0.2</b>	<b>-0.1</b>

Strategic & Corporate Services							
	Cash Limit			Variance	CD Adj	Revised Variance	Movement
	Gross	Income	Net	Net	Net	Net	Net
	£m	£m	£m	£m	£m	£m	£m
<b>Strategic &amp; Corporate Services</b>							
Strategic Management & Directorate Budgets (S&CS)	2.8	-4.9	-2.2	0.0	0.0	0.0	0.0
Budgets and Savings Plans to be allocated (S&CS)	0.0	0.0	0.0	0.0	0.0	0.0	0.0
<b>Total - Strategic &amp; Corporate Services (excluding Public Health &amp; BSC)</b>	<b>2.8</b>	<b>-4.9</b>	<b>-2.2</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>
	Cash Limit			Variance	CD Adj	Revised Variance	Movement
	Gross	Income	Net	Net	Net	Net	Net
	£m	£m	£m	£m	£m	£m	£m
<b>Engagement, Organisation Design &amp; Development</b>							
Human Resources Related Services	8.5	-1.1	7.4	0.0	0.0	0.0	0.0
Customer Contact, Communications & Consultations	6.3	-0.8	5.5	0.5	0.0	0.5	0.0
Local Member Grants	2.6	0.0	2.6	0.0	0.0	0.0	0.0
<b>Total - Engagement, Organisation Design &amp; Development</b>	<b>17.4</b>	<b>-1.8</b>	<b>15.5</b>	<b>0.5</b>	<b>0.0</b>	<b>0.5</b>	<b>0.0</b>
	Cash Limit			Variance	CD Adj	Revised Variance	Movement
	Gross	Income	Net	Net	Net	Net	Net
	£m	£m	£m	£m	£m	£m	£m
<b>Finance</b>	<b>17.4</b>	<b>-6.3</b>	<b>11.1</b>	<b>-0.1</b>	<b>0.0</b>	<b>-0.1</b>	<b>0.0</b>
	Cash Limit			Variance	CD Adj	Revised Variance	Movement
	Gross	Income	Net	Net	Net	Net	Net
	£m	£m	£m	£m	£m	£m	£m
<b>General Counsel</b>	<b>5.2</b>	<b>-0.2</b>	<b>5.0</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>
	Cash Limit			Variance	CD Adj	Revised Variance	Movement
	Gross	Income	Net	Net	Net	Net	Net
	£m	£m	£m	£m	£m	£m	£m
<b>Infrastructure</b>							
Property Related Services	35.4	-12.6	22.7	0.8	0.0	0.8	0.0
ICT Related Services	18.6	-2.6	16.0	0.0	0.0	0.0	0.0
<b>Total - Infrastructure</b>	<b>54.0</b>	<b>-15.3</b>	<b>38.7</b>	<b>0.7</b>	<b>0.0</b>	<b>0.7</b>	<b>0.0</b>
	Cash Limit			Variance	CD Adj	Revised Variance	Movement
	Gross	Income	Net	Net	Net	Net	Net
	£m	£m	£m	£m	£m	£m	£m
<b>Strategic Commissioning including Public Health</b>							
Strategic Commissioning	11.9	-3.8	8.1	0.0	0.0	0.0	0.0
Public Health - Children's Programme	31.5	-31.5	0.0	0.0	0.0	0.0	0.0
Public Health - Mental Health, Substance Misuse & Community Safety	16.7	-16.7	0.0	0.0	0.0	0.0	0.0
Public Health - Sexual Health	12.6	-12.6	0.0	0.0	0.0	0.0	0.0
Public Health - Healthy Lifestyles	8.8	-8.8	0.0	0.0	0.0	0.0	0.0
Public Health - Advice & Other Staffing	4.4	-4.4	0.0	0.0	0.0	0.0	0.0
<b>Total - Strategic Commissioning including Public Health</b>	<b>85.9</b>	<b>-77.8</b>	<b>8.1</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>
	Cash Limit			Variance	CD Adj	Revised Variance	Movement
	Gross	Income	Net	Net	Net	Net	Net
	£m	£m	£m	£m	£m	£m	£m
<b>Strategy, Policy, Relationships &amp; Corporate Assurance</b>	<b>2.2</b>	<b>-0.4</b>	<b>1.8</b>	<b>0.1</b>	<b>0.0</b>	<b>0.1</b>	<b>0.0</b>
	Cash Limit			Variance	CD Adj	Revised Variance	Movement
	Gross	Income	Net	Net	Net	Net	Net
	£m	£m	£m	£m	£m	£m	£m
<b>Business Services Centre</b>	<b>23.9</b>	<b>-27.2</b>	<b>-3.3</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>
<b>Total - Strategic &amp; Corporate Services</b>	<b>208.8</b>	<b>-134.0</b>	<b>74.7</b>	<b>1.1</b>	<b>0.0</b>	<b>1.1</b>	<b>0.0</b>

## Appendix 1

Financing Items							
	Cash Limit			Variance	CD Adj	Revised Variance	Movement
	Gross	Income	Net	Net	Net	Net	Net
	£m	£m	£m	£m	£m	£m	£m
<b>Financing Items &amp; Unallocated</b>	<b>130.4</b>	<b>-15.6</b>	<b>114.8</b>	<b>-3.2</b>	<b>-0.8</b>	<b>-4.0</b>	<b>-1.0</b>
<b>TOTAL BUDGET (excluding Schools' Delegated Budgets)</b>	<b>1,563.6</b>	<b>-599.7</b>	<b>963.9</b>	<b>5.6</b>	<b>-1.7</b>	<b>3.9</b>	<b>-0.1</b>
<b>Schools' Delegated Budgets</b>	<b>632.9</b>	<b>-632.9</b>	<b>0.0</b>	<b>10.0</b>	<b>0.0</b>	<b>10.0</b>	<b>1.0</b>
<b>TOTAL BUDGET</b>	<b>2,196.6</b>	<b>-1,232.6</b>	<b>963.9</b>	<b>15.6</b>	<b>-1.7</b>	<b>13.9</b>	<b>0.9</b>

*Please note that budgets are held in the financial system to the nearest £100 and hence the figures in the table above may not add through exactly due to issues caused by rounding the figures for this report.*

## Appendix 2.1: Nursing & Residential Care - Learning Disability (aged 18+)

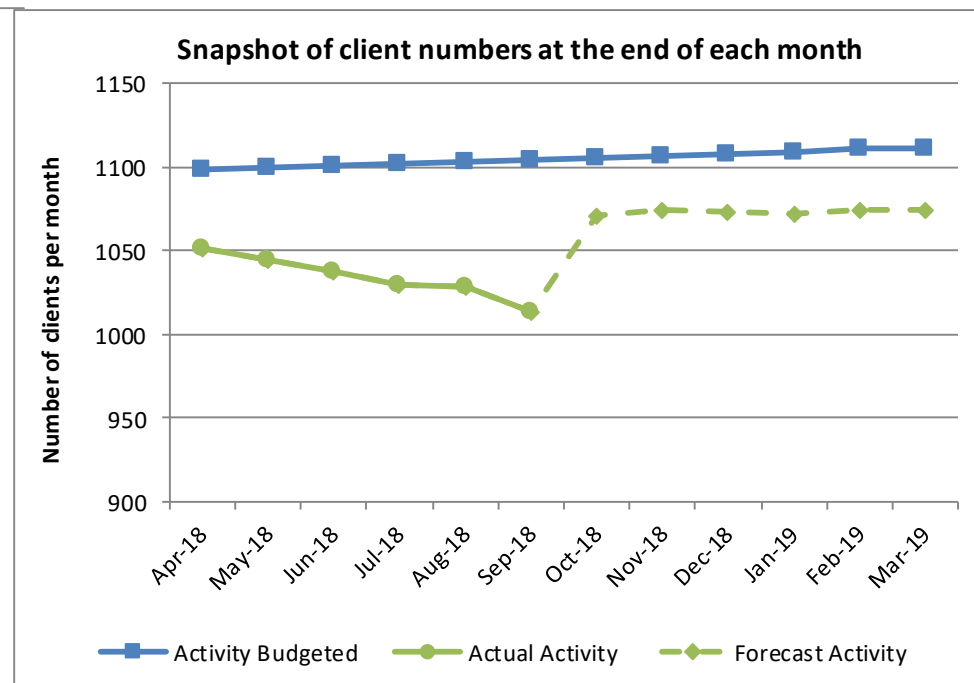
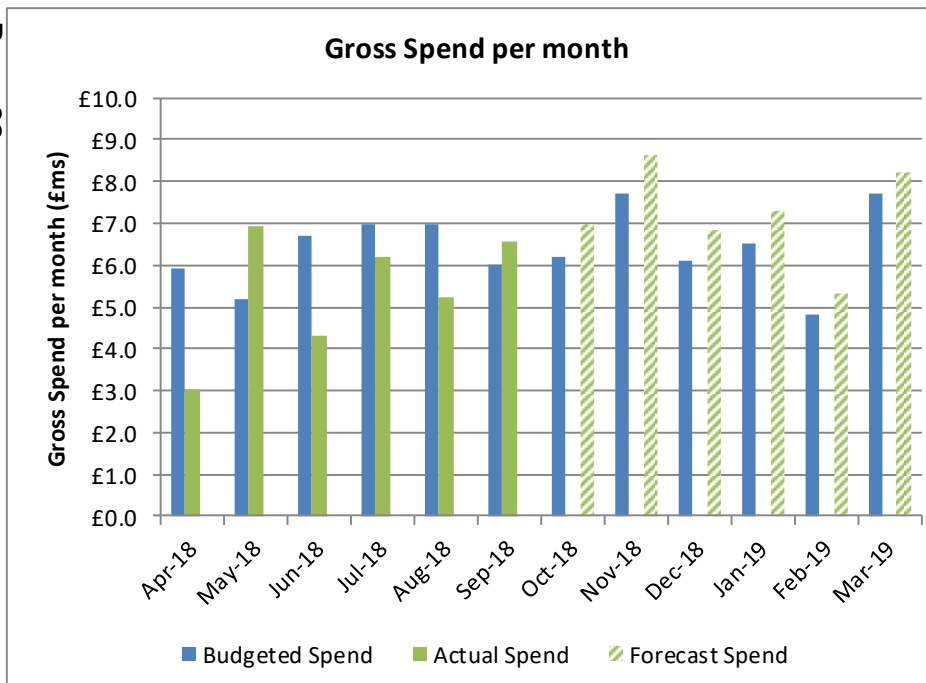
	Gross £m	Income £m	Net £m	Client Number as at 31/03/2019
<b>2018-19</b>				
Budget	£76.8	£-6.3	£70.5	1,100
Forecast	£75.6	£-5.7	£70.0	1,074
Variance	£-1.2	£0.6	£-0.6	-26

	Gross £m	Client Number as at 30/09/2018
<b>Position as at 30th September 2018</b>		
Budget: Spend/Activity Year to Date	£37.8	1,104
Actual: Spend/Activity Year to Date	£32.3	1,014
Variance as at 30th September 2018	£-5.5	-90

### MAIN REASONS FOR VARIANCE:

The gross forecast underspend of £-1.2m is due to lower than anticipated demand (£-1.3m) higher unit cost (+£0.7m), along with an additional variance of £-0.5m predominately due to predicted net old year spend. This forecast underspend is partly offset by lower than expected income of +£0.6m. This leads to a net forecast pressure of £-0.6m.

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## Appendix 2.2: Supported Living - Learning Disability (aged 18+) - Other Commissioned Supported Living arrangements

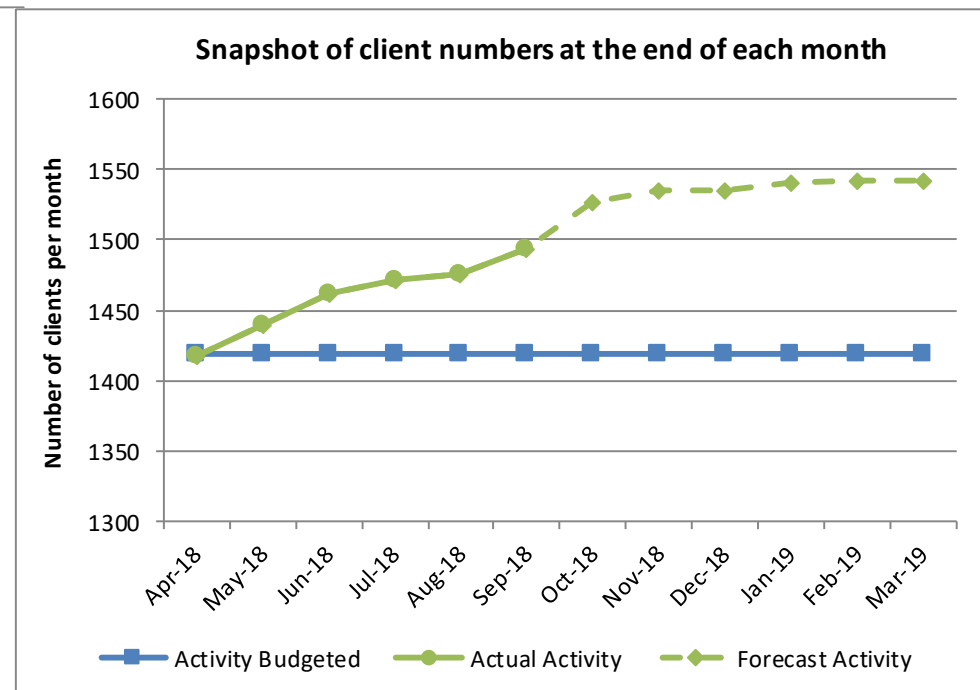
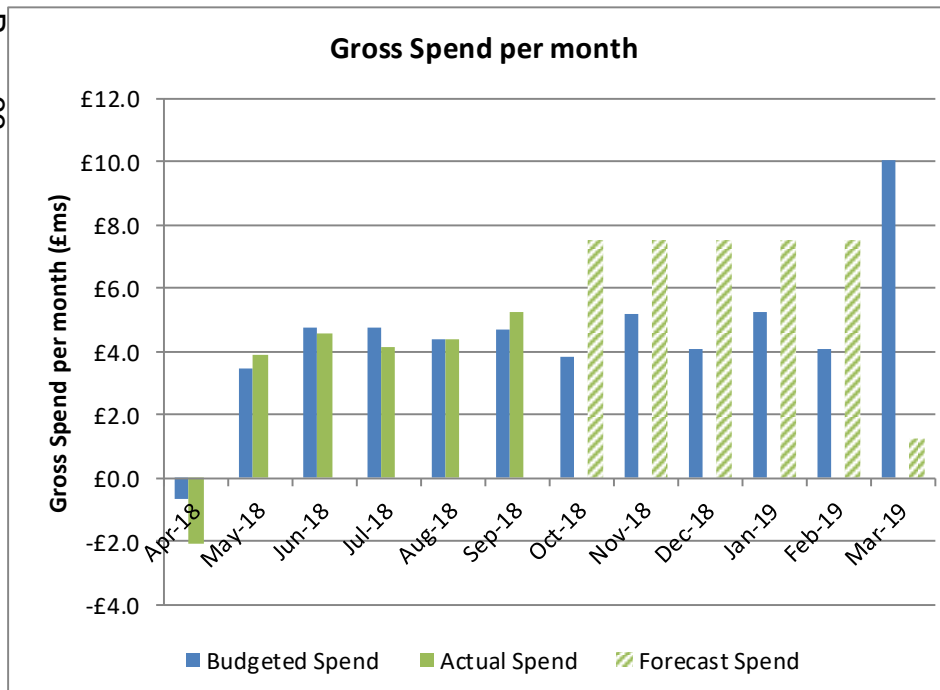
<b>2018-19</b>	Gross	Income	Net	Client Number
<b>Outturn</b>	£m	£m	£m	as at 31/03/2019
Budget	£53.8	-£0.2	£53.6	1,419
Outturn	£59.1	-£0.2	£58.9	1,542
Variance	£5.3	£0.0	£5.3	123

<b>Position as at 30th September 2018</b>	Gross	Client Number
	£m	as at 30/09/2018
Budget: Spend/Activity Year to Date	£21.3	1,419
Actual: Spend/Activity Year to Date	£20.1	1,493
Variance as at 30th September 2018	-£1.2	74

### **MAIN REASONS FOR VARIANCE:**

The gross forecast pressure of +£5.3m is due to higher than anticipated demand in hours (+£4.7m) and higher unit cost (+£1.8m), along with an additional variance of -£1.2m predominately due to the release of unrealised creditors. This leads to a net forecast pressure of +£5.3m.

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### Appendix 2.3: Direct Payments - Learning Disability (aged 18+)

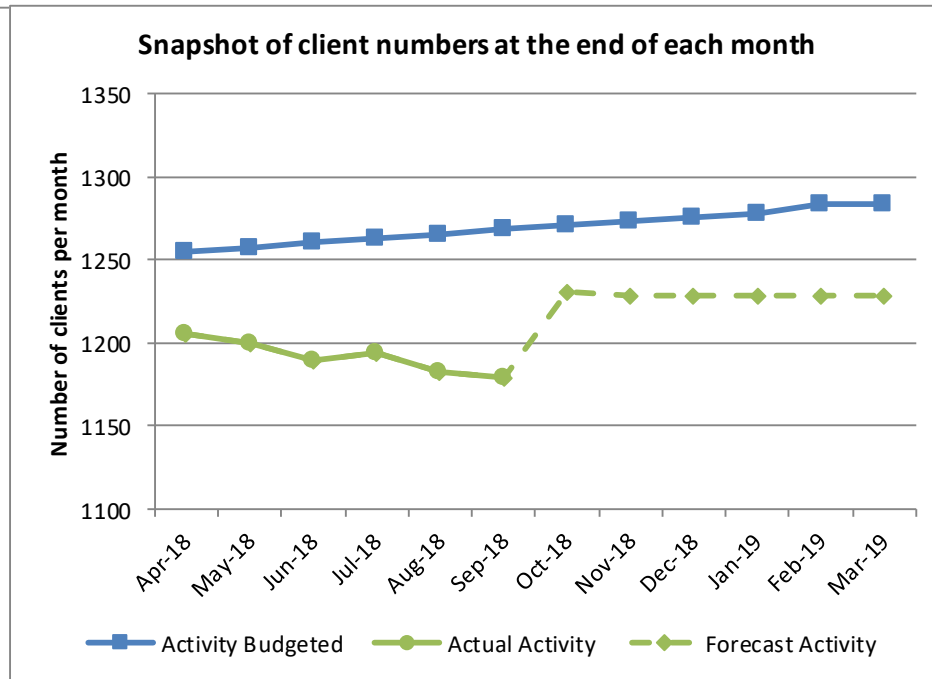
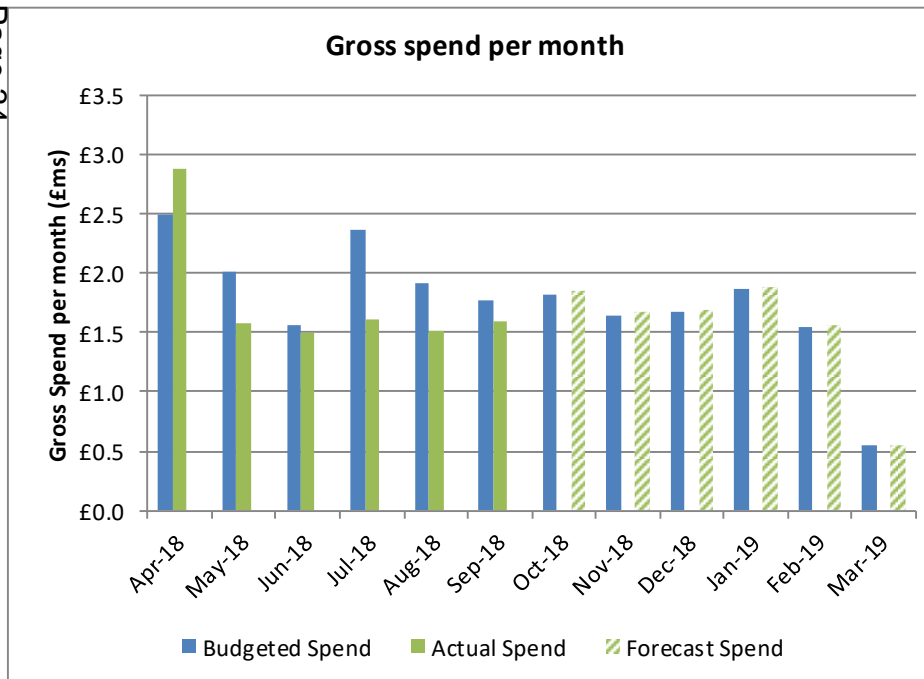
	Gross £m	Income £m	Net £m	Client Number as at 31/03/2019
<b>2018-19</b>				
Budget	£21.2	-£0.8	£20.4	1,283
Forecast	£19.8	-£0.8	£19.0	1,229
Variance	-£1.3	-£0.0	-£1.3	-54

<b>Position as at 30th September 2018</b>	Gross £m	Client Number as at 30/09/2018
Budget: Spend/Activity Year to Date	£12.1	1,268
Actual: Spend/Activity Year to Date	£10.7	1,179
Variance as at 30th September 2018	-£1.4	-89

#### **MAIN REASONS FOR VARIANCE:**

The gross underspend of -£1.3m is primarily due to lower than anticipated demand (-£0.6m) and a lower unit cost (-£0.6m). In addition to this there is a non activity variance of (-£0.1m) due to the value of Direct payment reclaims being greater than one-off payments.

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## Appendix 2.4: Nursing & Residential Care - Older People (aged 65+) - Residential - Commissioned service

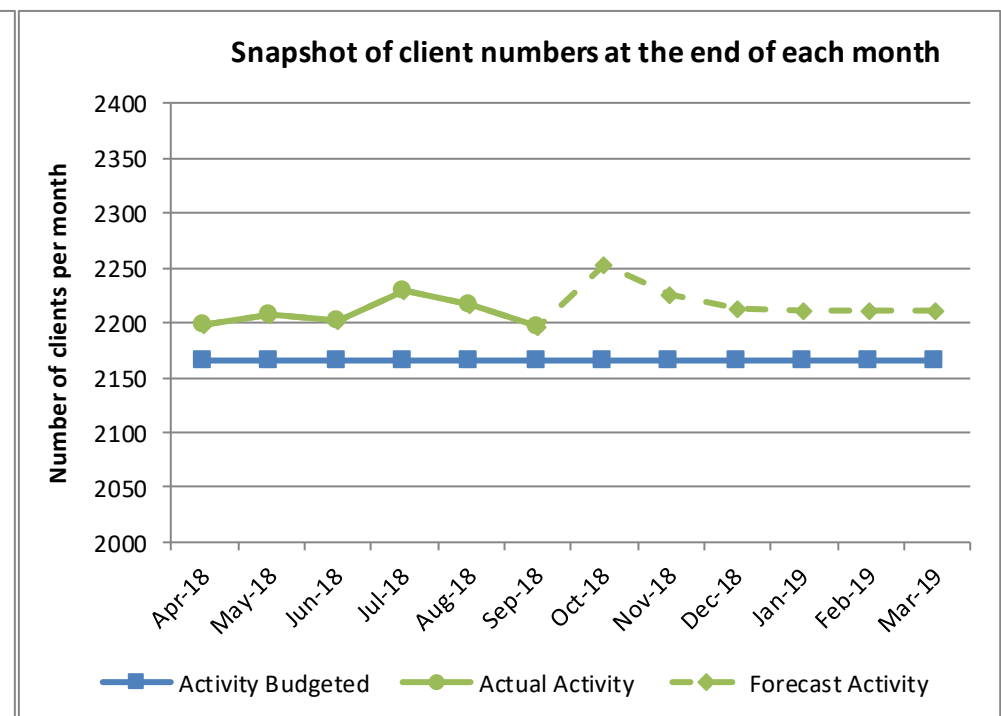
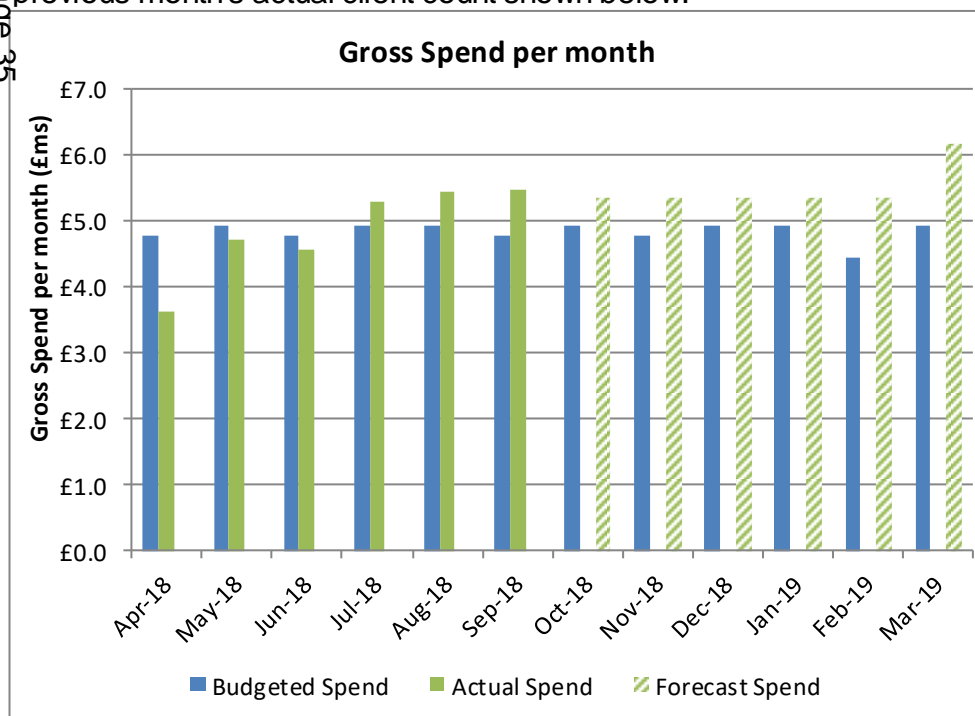
<b>2018-19 Forecast</b>	Gross £m	Income £m	Net £m	Client Number as at 31/03/2019
Budget	£58.1	-£33.2	£24.9	2,165
Forecast	£62.1	-£35.1	£27.0	2,211
Variance	£4.0	-£1.8	£2.2	46

<b>Position as at 30th September 2018</b>	Gross £m	Client Number as at 30/09/2018
Budget: Spend/Activity Year to Date	£29.1	2,165
Actual: Spend/Activity Year to Date	£29.1	2,197
Variance as at 30th September 2018	£0.0	32

### **MAIN REASONS FOR FORECAST VARIANCE:**

The gross forecast pressure of +£4.0m is due to higher than anticipated demand (+£1.7m) and a higher unit cost (+£1.7m), along with an additional variance of +£0.5m due to an increase in the provision for bad and doubtful debts. This pressure is partly offset by greater than expected income of -£1.8m due to higher than anticipated service user contributions linked to the higher demand (-£0.7m) and a higher average contribution per service user (-£1.1m). This leads to a net forecast overspend of +£2.2m. There is a slight time delay before clients are included in the actual client count as contract details are finalised, accounting for the difference between forecast client count and the previous month's actual client count shown below.

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## Appendix 2.5: Nursing & Residential Care - Older People (aged 65+) - Nursing

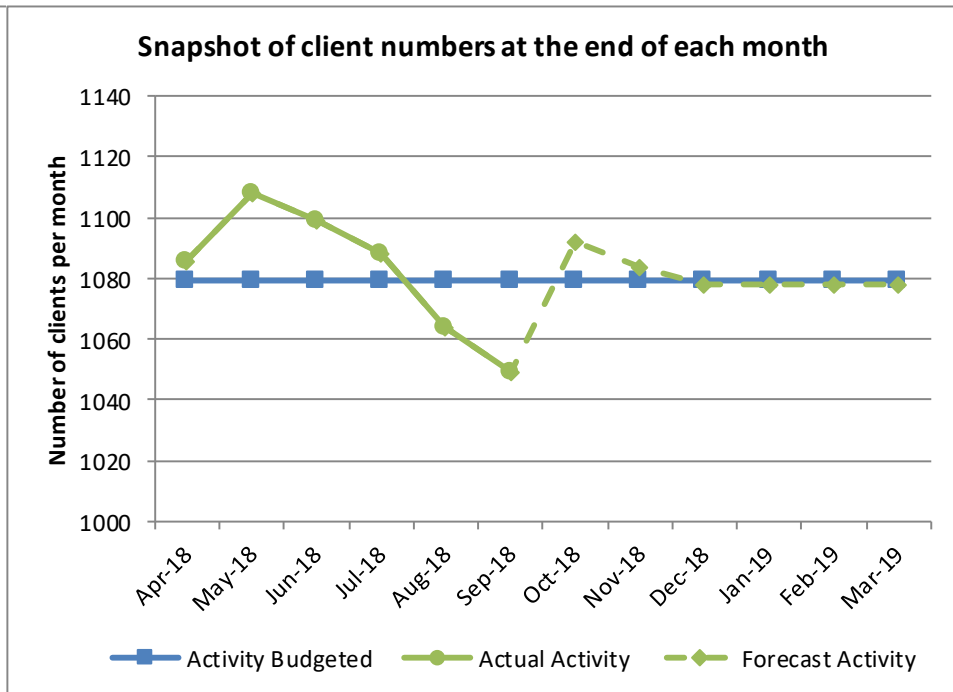
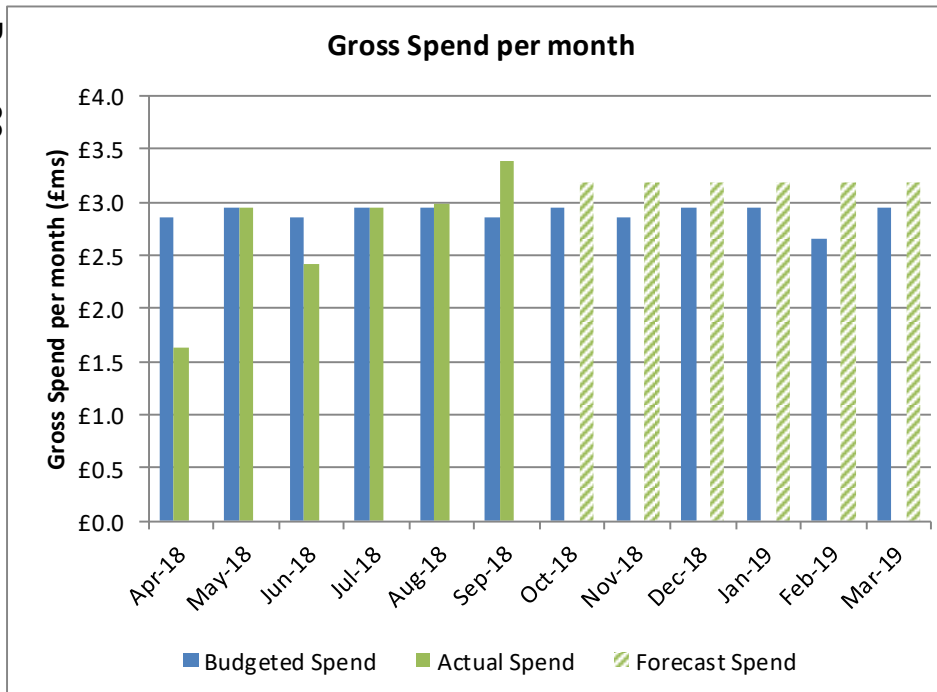
<b>2018-19 Forecast</b>	Gross £m	Income £m	Net £m	Client Number as at 31/03/2019
Budget	£34.7	-£17.5	£17.2	1,079
Forecast	£35.4	-£18.6	£16.8	1,078
Variance	£0.7	-£1.0	-£0.3	-1

<b>Position as at 30th September 2018</b>	Gross £m	Client Number as at 30/09/2018
Budget: Spend/Activity Year to Date	£17.4	1,079
Actual: Spend/Activity Year to Date	£16.3	1,049
Variance as at 30th September 2018	-£1.1	-30

### MAIN REASONS FOR FORECAST VARIANCE:

The gross forecast pressure of +£0.7m is due to higher than anticipated demand (+£0.1m) and higher unit cost (+£0.7m). This pressure is partly offset by greater than expected income of -£1.0m primarily due to shortfall in service user contributions linked to the lower demand (-£0.0m) and a higher average contribution per service user (-£1.0m). This leads to a net forecast of -£0.3m.

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**Appendix 2.6: Domiciliary Care - Older People (aged 65+) - Commissioned service**

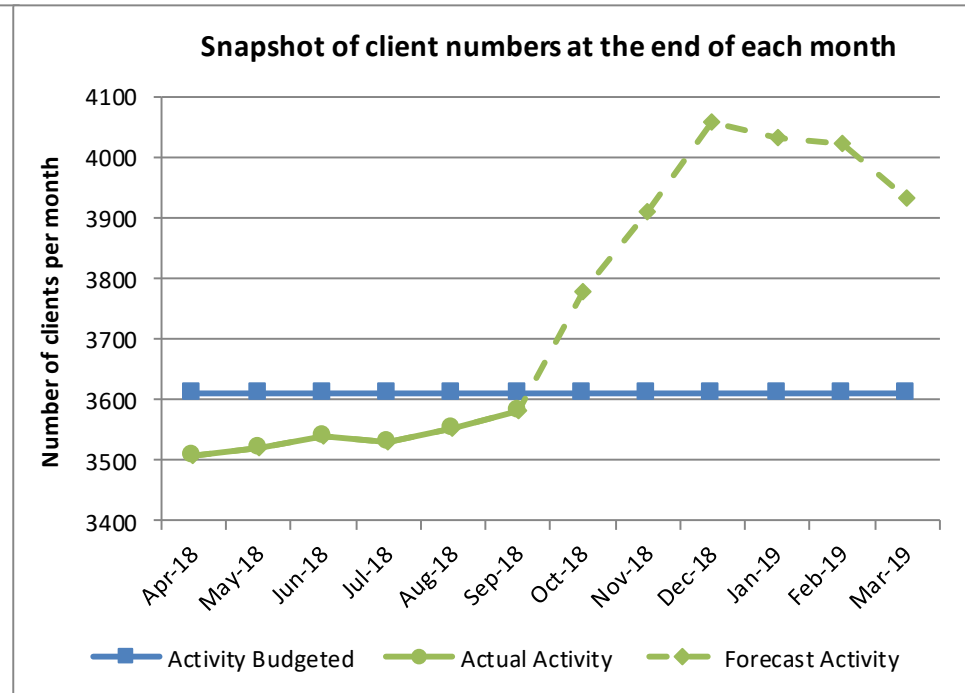
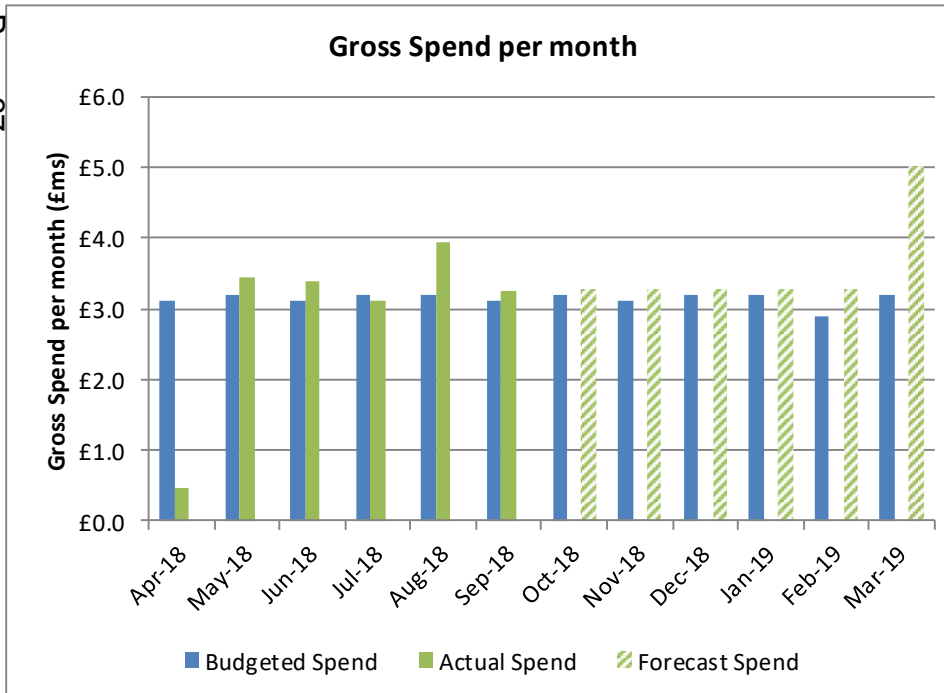
<b>2018-19 Forecast</b>	Gross £m	Income £m	Net £m	Client Number as at 31/03/2019
Budget	£37.7	-£5.8	£31.9	3,611
Forecast	£38.9	-£5.8	£33.1	3,931
Variance	£1.2	£0.0	£1.2	320

<b>Position as at 30th September 2018</b>	Gross £m	Client Number as at 30/09/2018
Budget: Spend/Activity Year to Date	£18.9	3,611
Actual: Spend/Activity Year to Date	£17.6	3,582
Variance as at 30th September 2018	-£1.3	-29

**MAIN REASONS FOR FORECAST VARIANCE:**

The gross forecast pressure of +£1.2m is due to lower than anticipated demand (-£1.7m) and higher unit cost (+£2.2m), along with an additional non activity variance of +£0.8m due to: +£0.9m due to an increase in the provision for bad and doubtful debts and -£0.1m due to a change in the contracts for the Discharge to Assess service. This leads to a net forecast variance of +£1.2m.

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## Appendix 2.7: Children in Care (Looked After) - Fostering - In house service

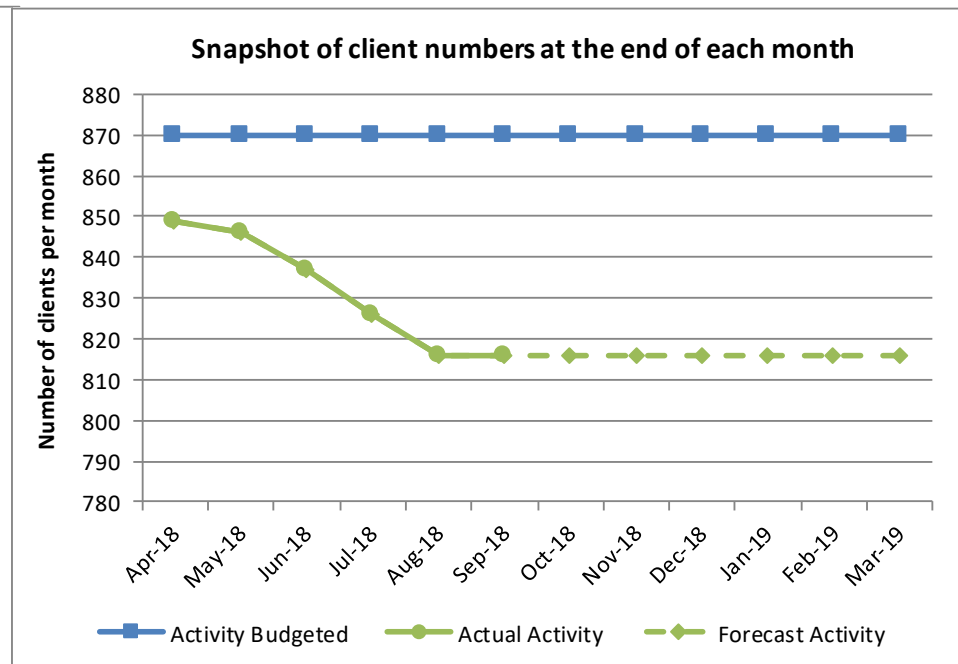
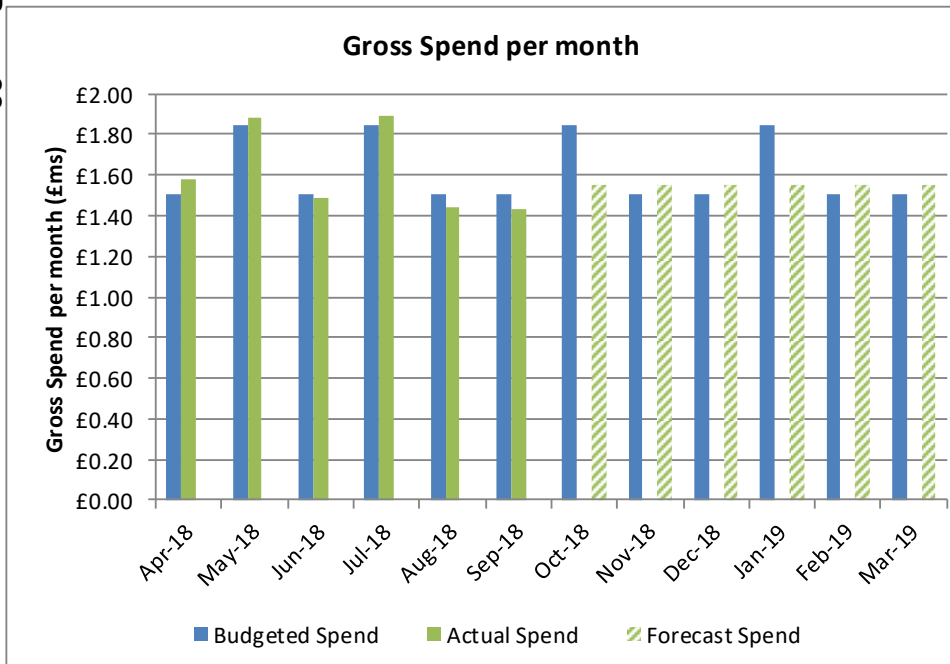
<b>2018-19 Forecast</b>	Gross £m	Income £m	Net £m	Client Number as at 31/03/2019
Budget	£19.4	£0.0	£19.4	870
Forecast	£19.0	£0.0	£19.0	816
Variance	-£0.4	£0.0	-£0.4	-54

<b>Position as at 30 Sep 18</b>	Gross £m	Client Number as at 30/09/2018
Budget: Spend/Activity Year to Date	£9.7	870
Actual: Spend/Activity Year to Date	£9.7	816
Variance as at 30th Sep 2018	£0.0	-54

### **MAIN REASONS FOR VARIANCE:**

The gross forecast underspend of -£0.4m is due to lower demand (-£1.1m) partially offset by a higher unit cost (+£0.7m).

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## Appendix 2.8: Children in Care (Looked After) - Fostering - Commissioned from Independent Fostering Agencies

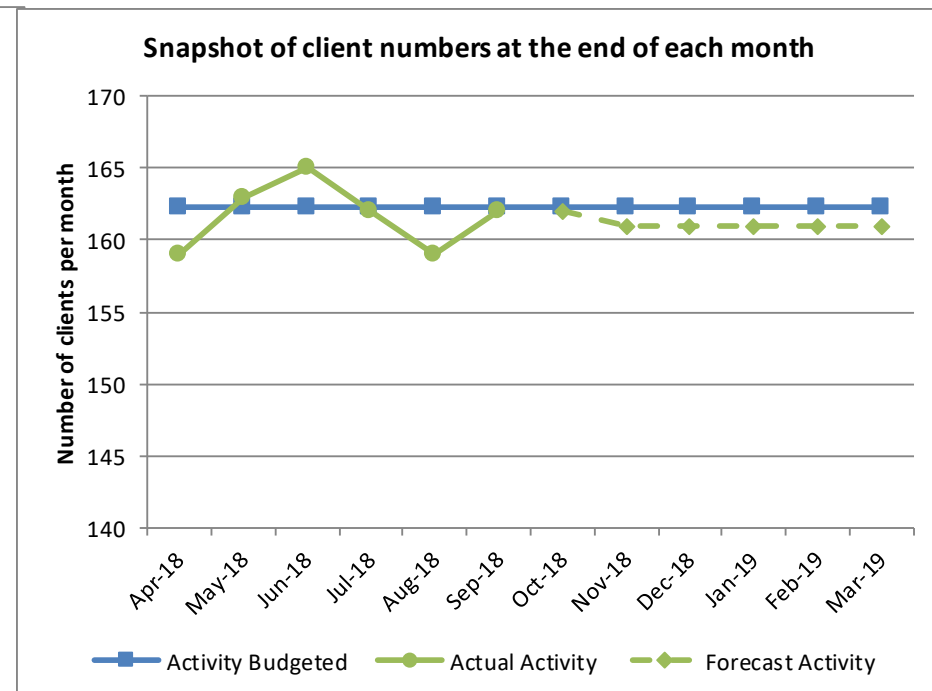
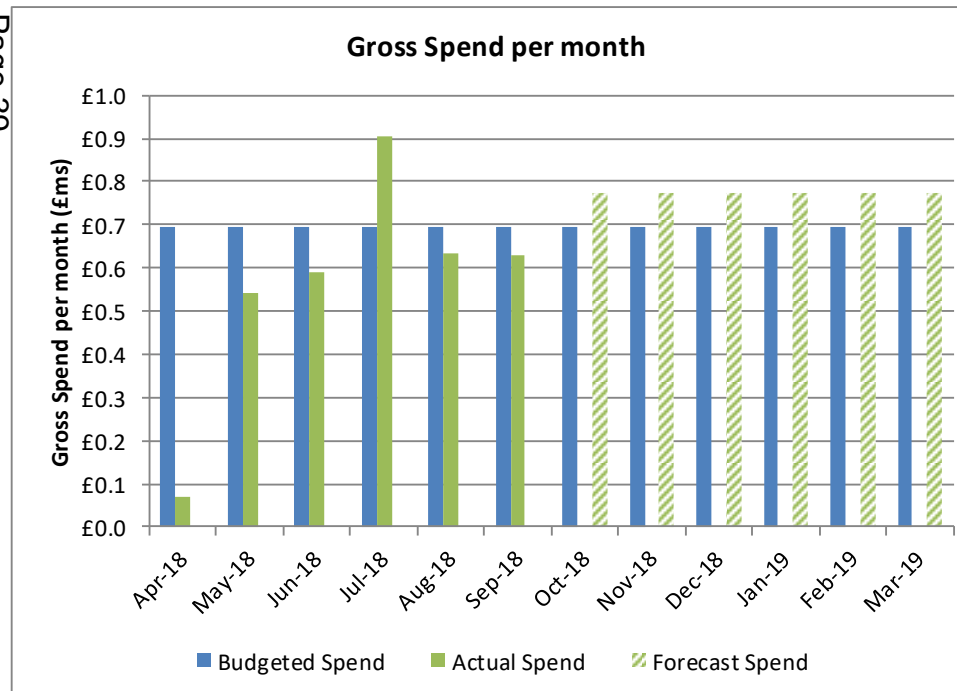
<b>2018-19 Forecast</b>	Gross £m	Income £m	Net £m	Client Number as at 31/03/2019
Budget	£8.3	£0.0	£8.3	162
Forecast	£8.0	£0.0	£8.0	161
Variance	-£0.3	£0.0	-£0.3	-1

<b>Position as at 30th Sep 2018</b>	Gross £m	Client Number as at 30/09/2018
Budget: Spend/Activity Year to Date	£4.2	162
Actual: Spend/Activity Year to Date	£3.4	162
Variance as at 30th Sep 2018	-£0.8	0

### **MAIN REASONS FOR VARIANCE:**

The gross forecast underspend of -£0.3m is due to lower than anticipated demand (-£0.1m) and lower unit cost (-£0.2m).

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## Appendix 2.9: Children in Care (Looked After) - Residential Children's Services - Commissioned from Independent Sector

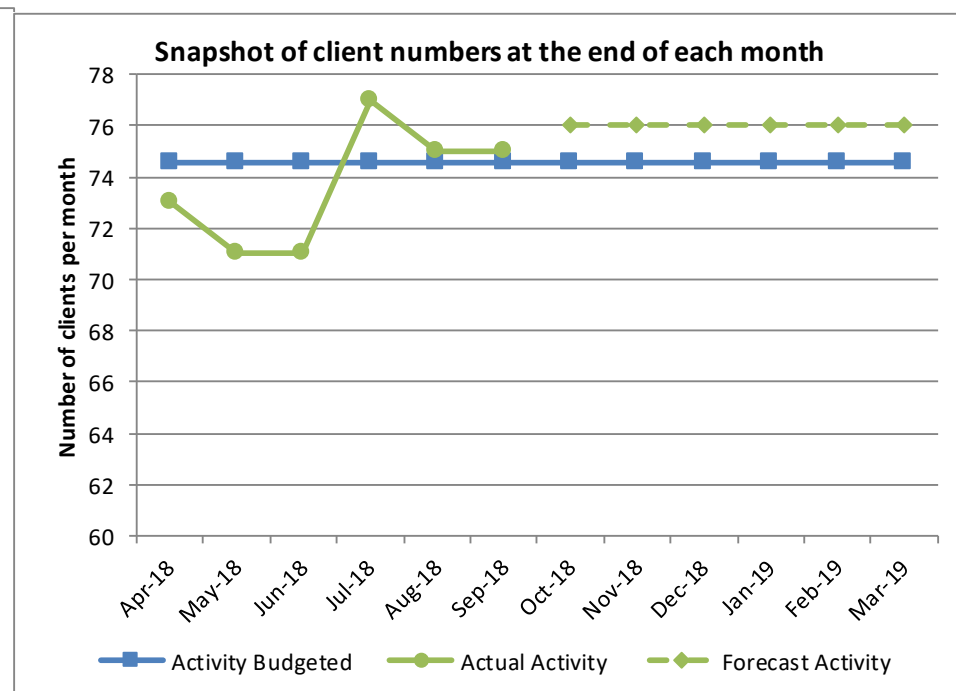
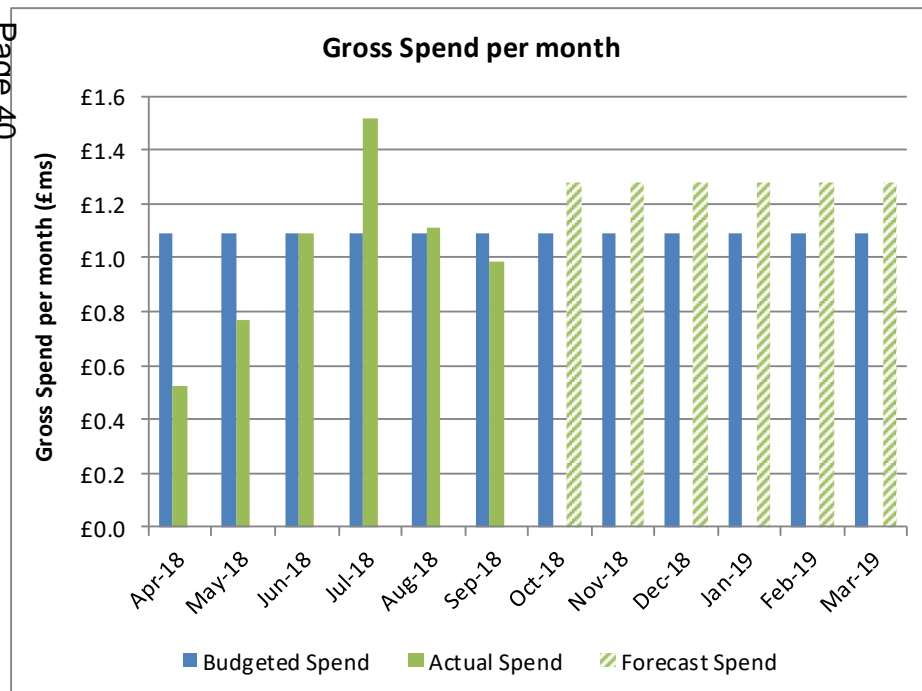
<b>2017-18 Forecast</b>	Gross £m	Income £m	Net £m	Client Number as at 31/03/2019
Budget	£13.1	-£0.8	£12.3	75
Forecast	£13.7	-£0.8	£12.9	76
Variance	£0.6	-£0.0	£0.6	1

<b>Position as at 30th Sep 2018</b>	Gross £m	Client Number as at 30/09/2018
Budget: Spend/Activity Year to Date	£6.5	75
Actual: Spend/Activity Year to Date	£6.0	75
Variance as at 30th Sep 2018	-£0.5	0

### MAIN REASONS FOR VARIANCE:

The gross forecast overspend of +£0.6m is due to a higher than anticipated unit cost. It is important to note, due to the high cost of these placements (£2,000 - £6,000 per week), a very relatively small change in numbers of placements can have a significant impact on the forecast.

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## Appendix 2.10: Assessment Services - Children's Social Care (CSC) staffing

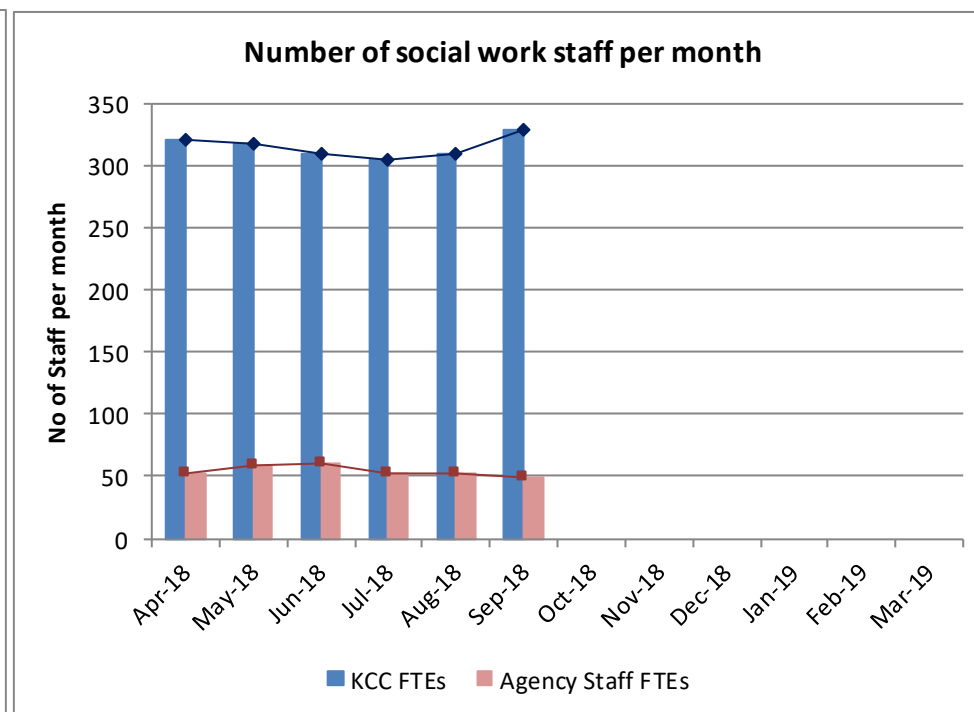
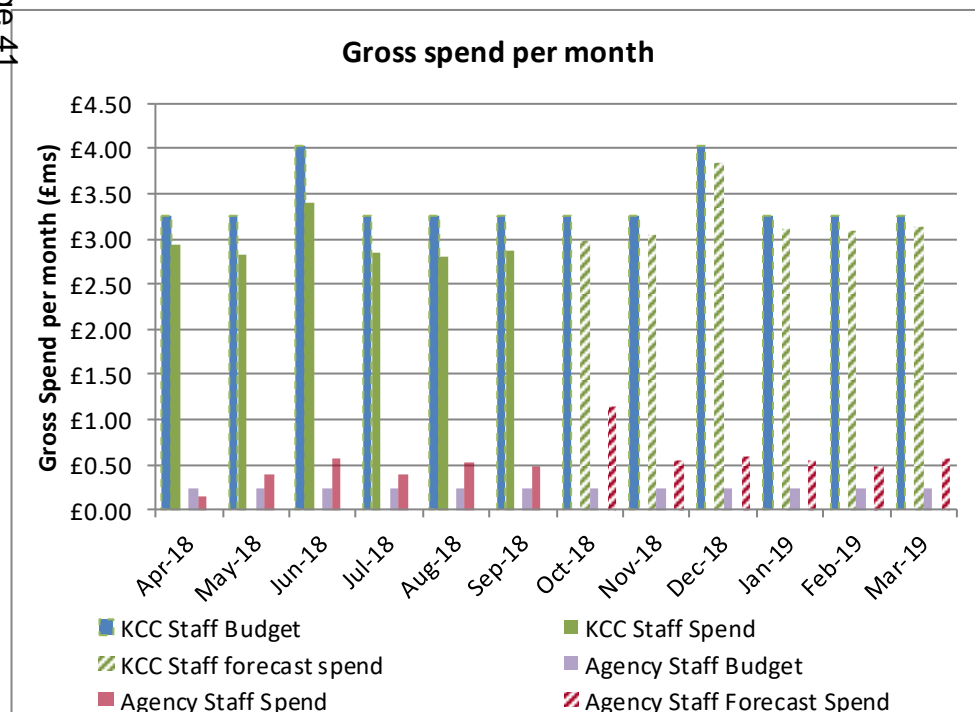
<b>2018-19 Forecast</b>	KCC £m	Agency £m	Gross £m
Budget	£40.6	£2.8	£43.3
Forecast	£36.9	£6.4	£43.3
Variance	-£3.7	£3.6	-£0.1

<b>Position as at 30/09/18</b>	KCC £m	Agency £m	Gross £m
YTD Budget	£20.3	£1.4	£21.7
YTD Spend	£17.7	£2.5	£20.2
YTD Variance	-£2.6	£1.1	-£1.5

<b>Staff numbers</b>	KCC FTEs	Agency Nos
as at 31/03/18	322.4	57.0
as at 30/09/18	328.1	49.0
YTD Movement	5.7	-8.0

### MAIN REASONS FOR VARIANCE:

This measure focuses on the level of social workers & senior practitioners rather than the overall staffing level within this budget. The budget assumes that CSC Staffing will be met using salaried workers and a small proportion of agency, so any additional agency workers (who are more expensive than salaried staff) would result in a pressure on this budget. This measure shows the extent of the vacancies within CSC that are currently covered by agency workers. At present a reduced number of salaried workers in excess of agency use is contributing to a -£0.1m underspend against Children's Social Work Services - Assessment & Safeguarding Service Budget. However minor overspends on other services leads to the overall forecast variance for this budget being break even.

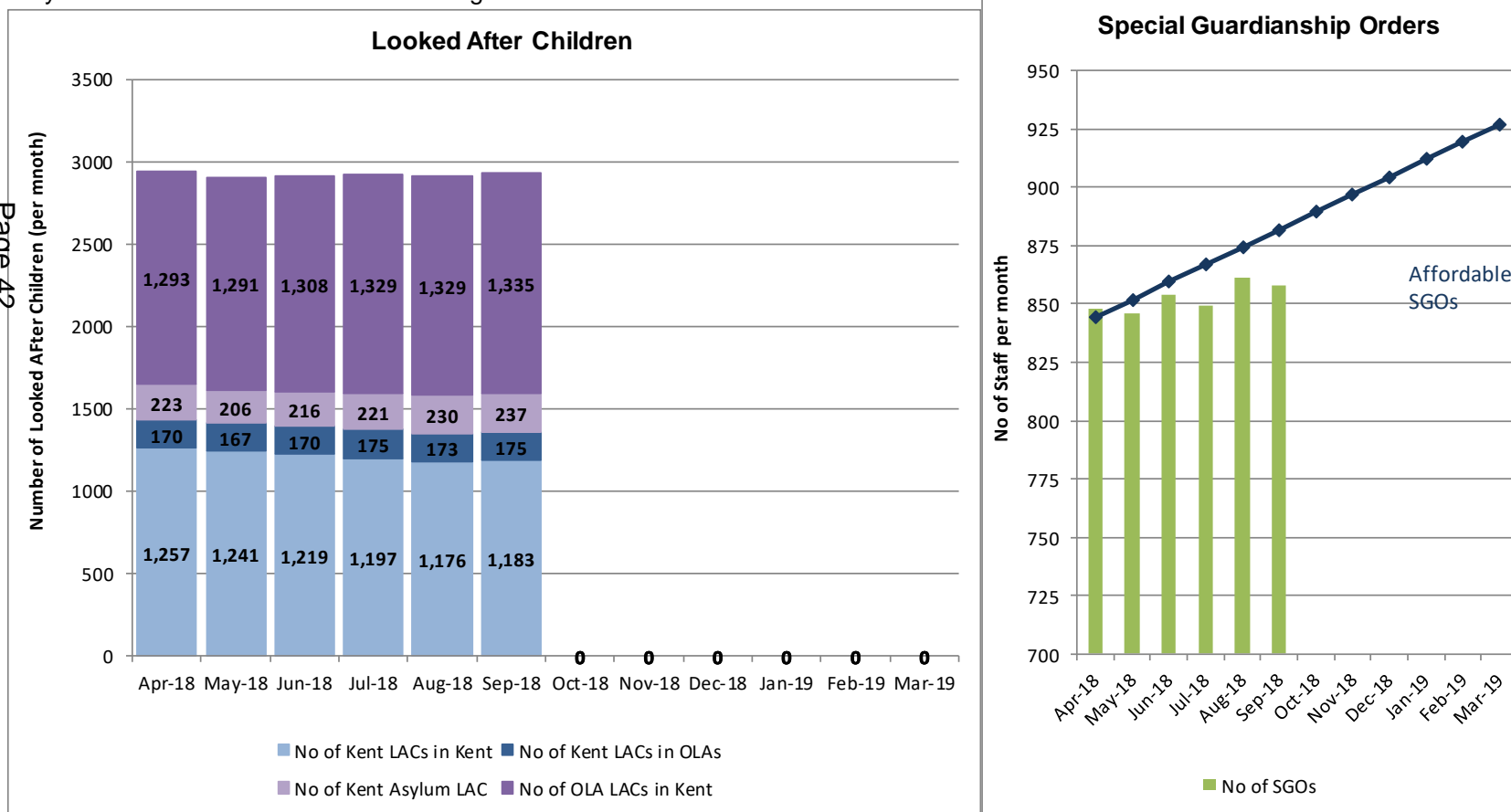


## Appendix 2.11: Number of Looked After Children and Number of Special Guardianship Orders (SGOs) with Costs

The left-hand graph shows a snapshot of the number of children designated as looked after at the end of each month (including those currently missing), it is not the total number of looked after children during the period. The OLA LAC information 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.

Overall the Specialist Children's Services is forecasting a £0.1m pressure, whilst Disabled Children's Services budget is forecasting a pressure of £1.0m of which a key part of this relates to the LAC heading in reference to those in residential care. Overall the number of LAC are reducing slightly, however due to the increasing complexity of children being placed, the overall cost of suitable placements is increasing. The right hand graph shows the number of SGOs incurring costs, which are approved by the courts. These children are either former LAC or may have become LAC if an SGO was not granted.

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## Appendix 2.12: Transport Services - Home to School / College Transport (Special Education Needs)

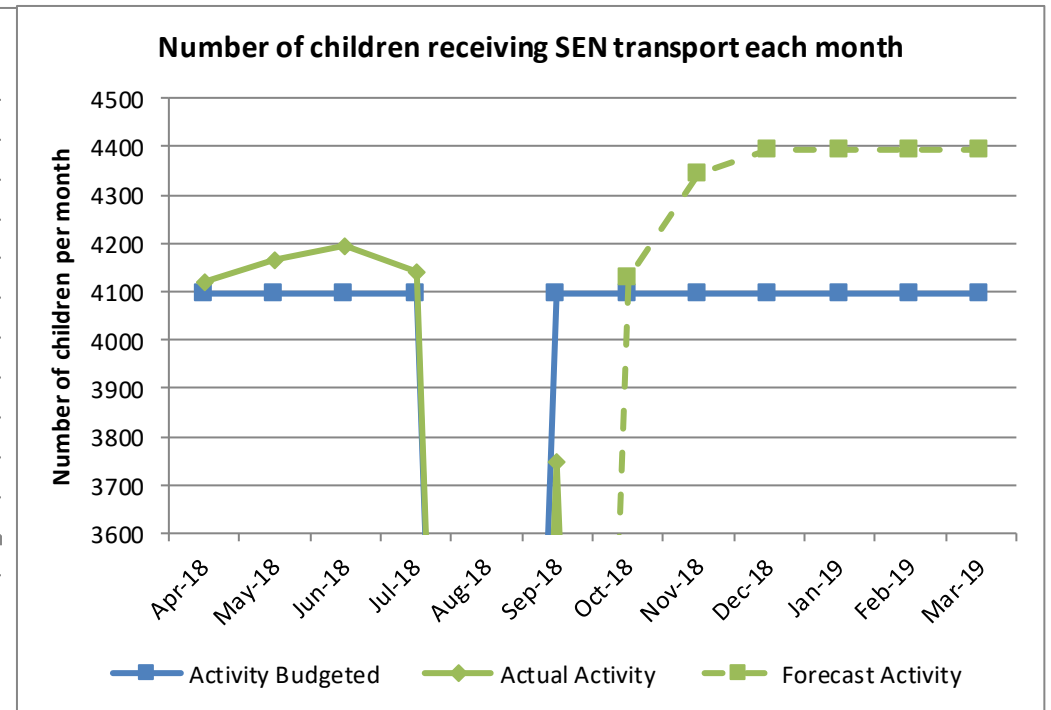
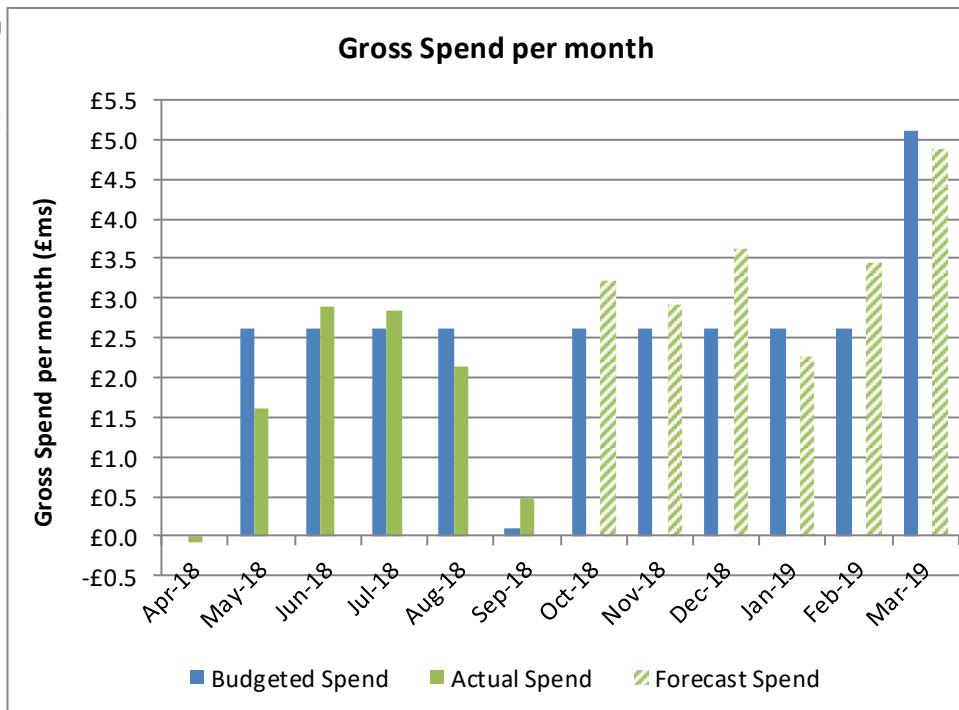
<b>2018-19 Forecast</b>	Gross £m	Income £m	Net £m	No of pupils as at 31/03/2019
Budget	£28.7	-£0.8	£27.9	4,096
Forecast	£30.2	-£1.0	£29.2	4,392
Variance	£1.6	-£0.2	£1.4	296

<b>YTD Position as at 30/09/2018</b>	Gross £m	No of pupils as at 30/09/2018
Budget: Spend/Activity Year to Date	£10.5	4,096
Actual: Spend/Activity Year to Date	£9.9	3,748
Variance as at 30th September 2018	-£0.7	-348

### MAIN REASONS FOR VARIANCE:

Early indications suggest there is a net pressure of £1.4m on the SEN transport services. This is based on the September pupil numbers. The pressure is predominantly due to higher than anticipated demand. Further work is underway to understand this increase in demand and there will be further clarity once the October pupil numbers are known.

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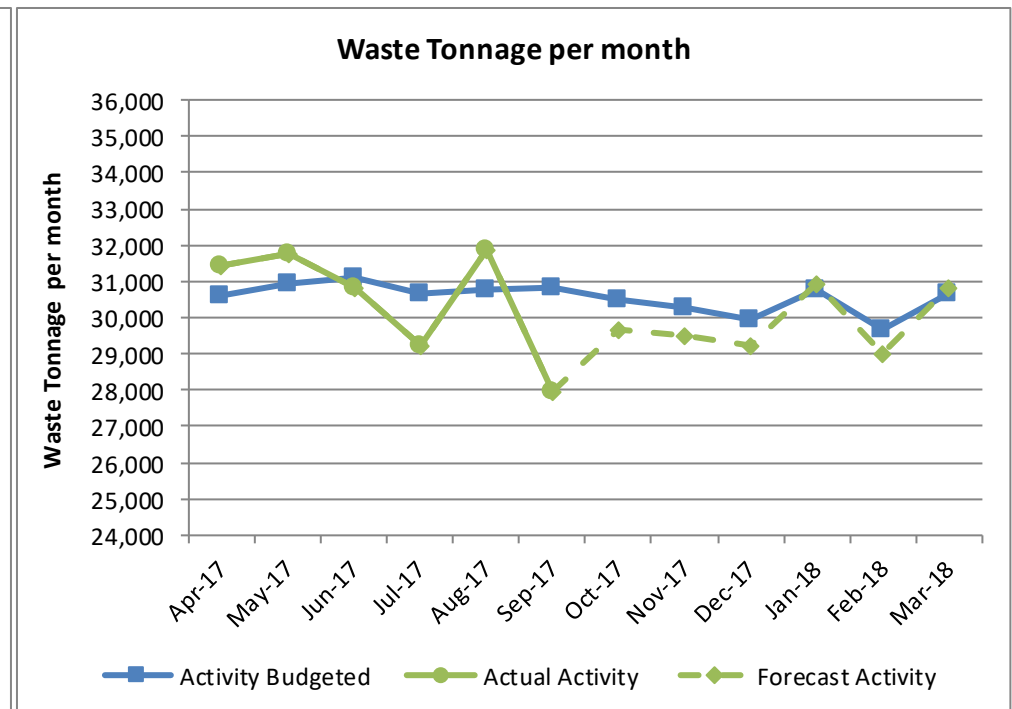
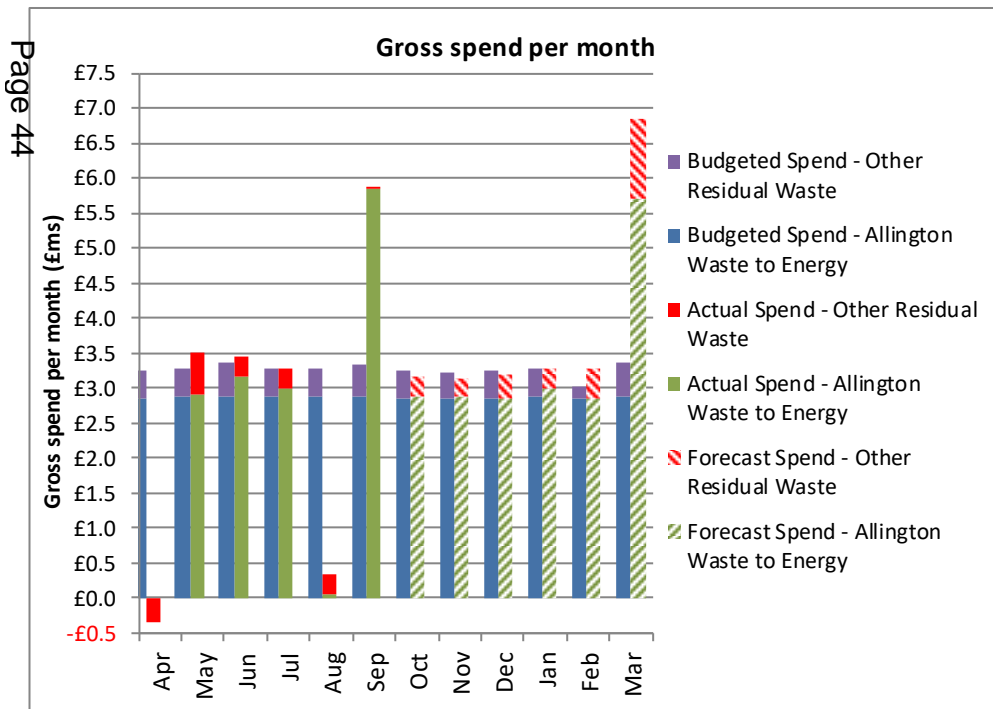
### Appendix 2.13: Treatment and disposal of residual waste

<b>2018-19 Forecast</b>	Gross £m	Income £m	Net £m	Waste Tonnage to 31/03/2019
Budget	£39.4	-£0.1	£39.3	366,772
Actual	£39.0	-£0.5	£38.5	362,291
Variance	-£0.4	-£0.4	-£0.8	-4,481

<b>Position as at 30th September 2018</b>	Gross £m	Waste Tonnage to 30/09/2018
Budget: Spend/Activity Year to Date	£19.8	184,932
Actual: Spend/Activity Year to Date	£16.1	183,081
Variance as at 30th September 2018	-£3.7	-1,851

#### **MAIN REASONS FOR FORECAST VARIANCE:**

The gross underspend of -£0.4m is due to a volume variance of -4,481 tonnes. Income from additional trade waste tonnes has further increased the underspend (-£0.4m) leading to a net saving of -£0.8m. The -£3.7m underspend to date shown in the table above is due to no monthly payment being made in April; this is forecast to catch up in March as shown in the chart below.



### Appendix 2.14: Waste Processing

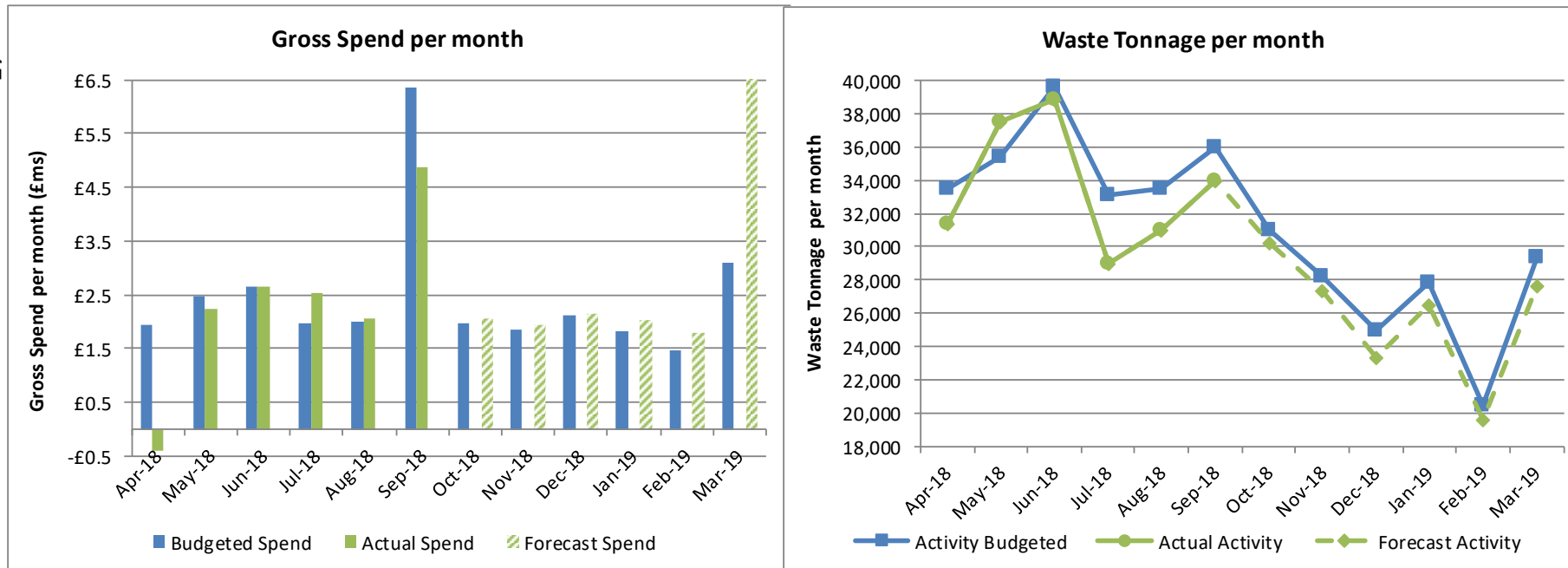
<b>2018-19 Forecast</b>	Gross £m	Income £m	Net £m	Waste Tonnage to 31/03/2018
Budget	£31.6	-£1.9	£29.7	373,013
Actual	£32.0	-£1.5	£30.6	356,387
Variance	£0.4	£0.5	£0.9	-16,626

<b>Position as at 30th September 2018</b>	Net £m	Waste Tonnage to 30/09/2018
Budget: Spend/Activity Year to Date	£17.4	211,139
Actual: Spend/Activity Year to Date	£13.9	201,754
Variance as at 30th September 2018	-£3.5	-9,385

#### MAIN REASONS FOR FORECAST VARIANCE:

Within Gross there is an overspend of +£0.4m. This is mainly due to a price variance of +£0.6m across all MRF contracts plus plus 4,834 tonnes of composted waste which add +£0.4m. This pressure is offset by reduced recycling credits (-4,535 tonnes/-£0.3m) as well as -£0.8m of savings due to actual waste types differing from the budgeted levels, with each waste type being disposed of in different ways, each with their own unit costs and indexation levels. Other gross variances add up to +£0.5m. There is a shortfall in income resulting from lower levels of paper and card waste (-5,877 tonnes/+£0.3m) and a reduction in tonnage price (+£0.4m) although this is offset as a result of North Farm fire insurance payment of -£0.2m. The -£3.5m underspend to date shown in the table above is due to no monthly management payments being made in April; this is forecast to catch up in March as shown in the chart below. Variations in tonnes may not always impact on the financial position as not all changes in waste types attract an additional cost.

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### Appendix 2.15: All Staffing Budgets (excluding schools)

<b>2018-19 Outturn</b>	KCC £m	Agency £m	Gross £m
Budget	£296.7	£5.6	£302.3
Outturn	£298.3	£17.0	£315.3
Variance	£1.7	£11.4	£13.0

<b>as at 30 September</b>	KCC £m	Agency £m	Gross £m
YTD Budget	£148.3	£2.8	£151.2
YTD Spend	£143.5	£8.2	£151.7
YTD Variance	-£4.9	£5.3	£0.5

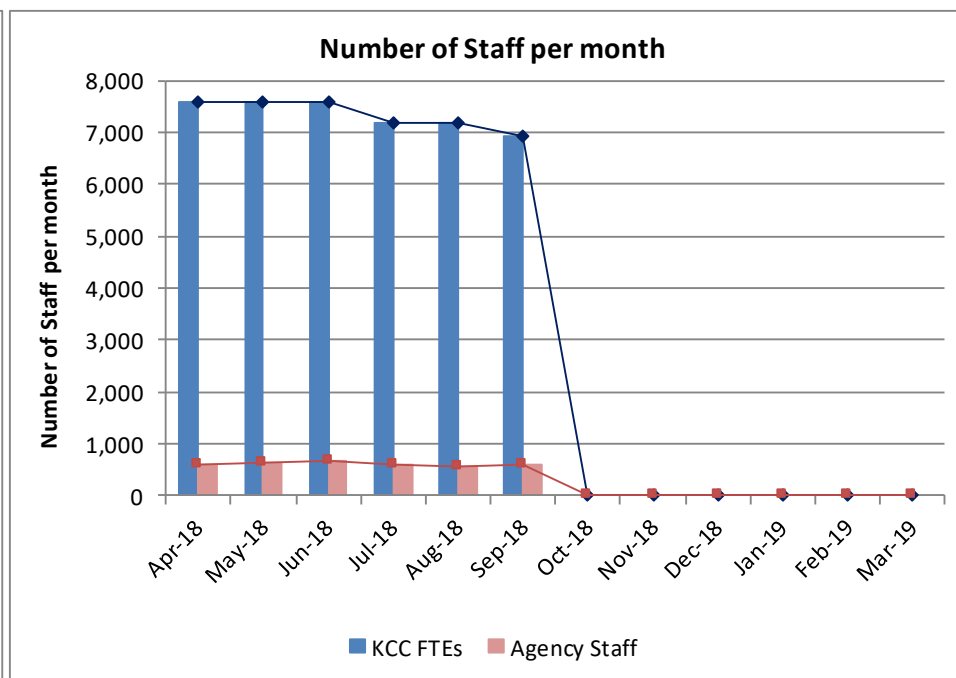
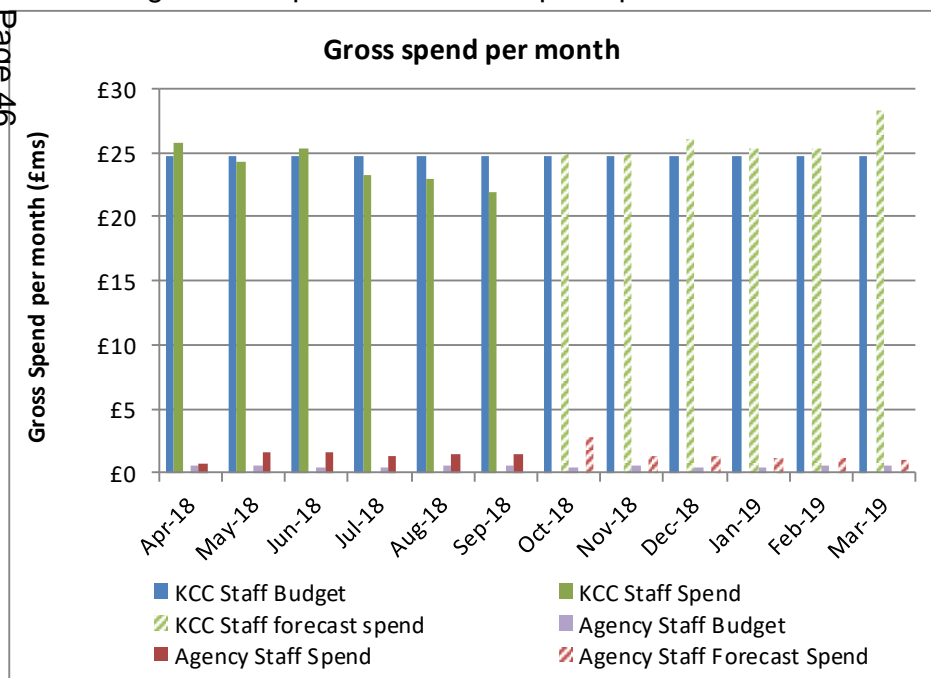
<b>Staff numbers</b>	KCC FTEs	Agency Nos
as at 31 Mar 2018	7,564.13	687
as at 30 September 2018	6,903.64	585
Annual Movement	-660.49	-102

#### **MAIN REASONS FOR VARIANCE:**

There is a small underspend against KCC staff budgets but this is being negated by an overspend on agency staff. The number of KCC staff has reduced by 660.49 FTE compared to the level of FTE as at 31 March 2018. This in the main is due to staff moving to Cantium Business Solutions Ltd and The Education People Ltd. Vacancies are being held pending the outcome of restructuring and the uncertainty around budget cuts, which is contributing to the underspend against the KCC staff budgets.

The staffing numbers provided are a snapshot position at the end of the month.

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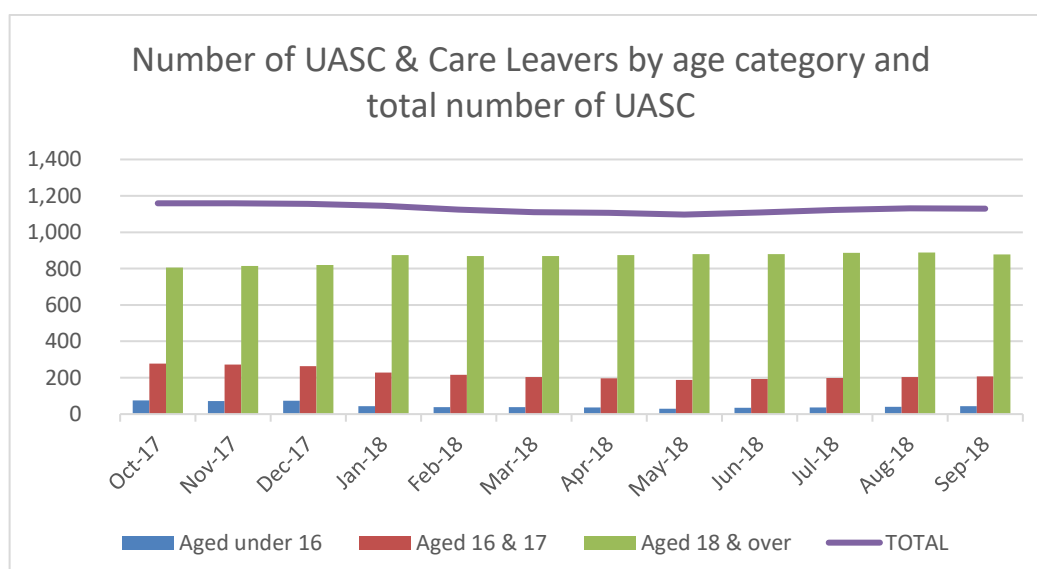
**Unaccompanied Asylum Seeking Children (UASC)****1. September 18-19 position compared to budget by age category**

The September 18-19 position is a pressure of £2.1m as detailed below:

Sept-18	Cash Limit			Forecast Variance		
	Gross	Income	Net	Gross	Income	Net
	£m	£m	£m	£m	£m	£m
Aged under 16	1.9	-1.9	0.0	1.5	-1.8	-0.3
Aged 16 & 17	8.1	-8.1	0.0	8.3	-7.3	1.0
Aged 18 & over (care leavers)	7.9	-7.9	0.0	9.6	-8.2	1.4
	<b>17.9</b>	<b>-17.9</b>	<b>0.0</b>	<b>19.5</b>	<b>-17.2</b>	<b>2.1</b>

**2. Number of UASC & Care Leavers by age category**

	Aged under 16	Aged 16 & 17	Aged 18 & over	TOTAL
Oct-17	76	277	806	<b>1,159</b>
Nov-17	72	272	815	<b>1,159</b>
Dec-17	74	263	819	<b>1,156</b>
Jan-18	43	228	875	<b>1,146</b>
Feb-18	39	216	869	<b>1,124</b>
Mar-18	39	203	869	<b>1,111</b>
Apr-18	37	196	874	<b>1,107</b>
May-18	30	188	879	<b>1,097</b>
Jun-18	34	194	880	<b>1,108</b>
Jul-18	37	199	887	<b>1,123</b>
Aug-18	40	203	888	<b>1,131</b>
Sep-18	44	207	878	<b>1,129</b>



The number of Asylum LAC shown in Appendix 2.11 (LAC numbers) is different to the total 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 number of UASC children is now around the minimum threshold of UASC for the authority as a % of population (231) meaning new arrivals are not being placed on the dispersal scheme. Under 18 arrivals may be expected to increase very slightly over the next few months to maintain the minimum threshold. The number of UASC Care Leavers over 18 years old is continuing to increase slightly due to the Legacy UASC from 2015/16 becoming 18 years old and the over 21's choosing to remain within the service.

**3. Number of Eligible & Ineligible Clients incl All Rights of appeal Exhausted (ARE) clients at the end of each month**

2018/19	Eligible Clients	of which AREs	Ineligible Clients	of which AREs	Total Clients	Total AREs
Outturn 2017/18	900	13	211	41	1,111	54
April	917	20	190	33	1,107	53
May	914	20	183	33	1,097	53
June	916	4	191	50	1,107	54
July	924	2	198	51	1,122	53
August	938	3	193	44	1,131	47
September	938	1	185	41	1,123	42
October						
November						
December						
January						
February						
March						

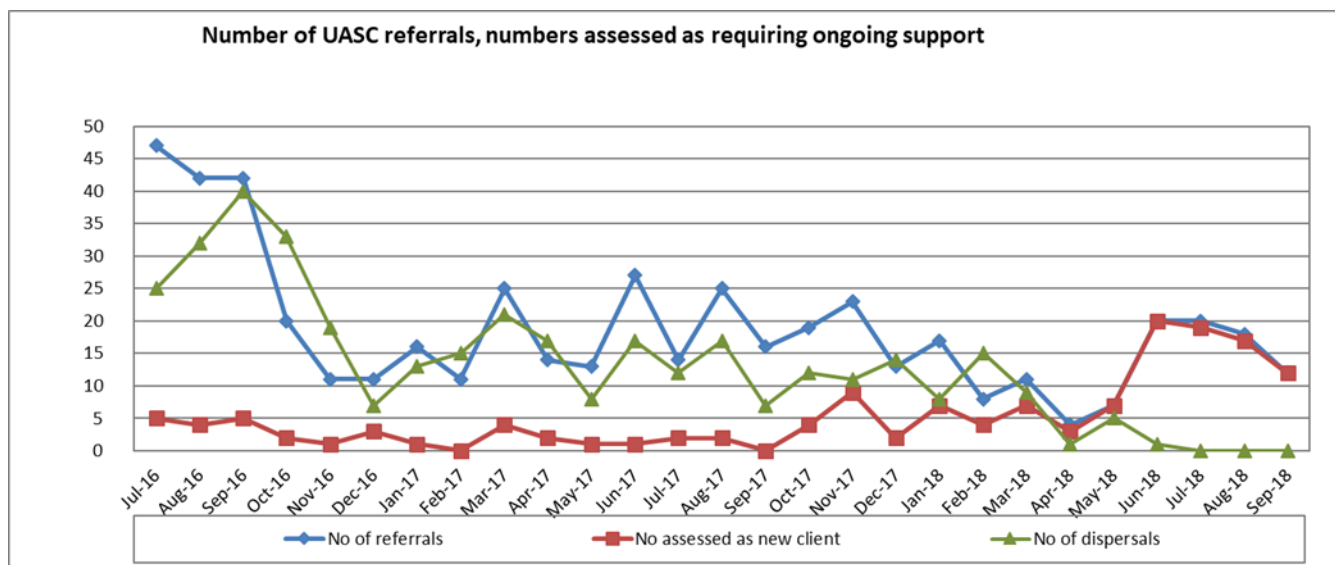
Eligible Clients are those who do meet the Home Office grant rules criteria. Appeal Rights Exhausted (ARE) clients are eligible for the first 13 weeks providing a human rights assessment is completed.

Ineligible clients are those who do not meet the Home Office grant rules criteria. For young people (under 18), this includes accompanied minors and long term absences (e.g. hospital or prison). For care leavers, there is an additional level of eligibility as the young person must have leave to remain or “continued in time” appeal applications to be classed as an eligible client.



#### 4. Numbers of UASC referrals, assessed as requiring ongoing support

	No of referrals	No assessed as new client	%	No of dispersals
Jul-16	47	5	11%	25
Aug-16	42	4	10%	32
Sep-16	42	5	12%	40
Oct-16	20	2	10%	33
Nov-16	11	1	9%	19
Dec-16	11	3	27%	7
Jan-17	16	1	6%	13
Feb-17	11	0	0%	15
Mar-17	25	4	16%	21
Apr-17	14	2	14%	17
May-17	13	1	8%	8
Jun-17	27	1	4%	17
Jul-17	14	2	14%	12
Aug-17	25	2	8%	17
Sep-17	16	0	0%	7
Oct-17	19	4	21%	12
Nov-17	23	9	39%	11
Dec-17	13	2	15%	14
Jan-18	17	7	41%	8
Feb-18	8	4	50%	15
Mar-18	11	7	64%	9
Apr-18	4	3	75%	1
May-18	7	7	100%	5
Jun-18	20	20	100%	1
Jul-18	20	19	95%	0
Aug-18	18	17	94%	0
Sep-18	12	12	100%	0



## 5. Total number of dispersals – new referrals & existing UASC

In total there have been 359 new arrivals that have been dispersed since July 2016. These are included within the referrals in table 4. This also includes arrivals since 01 July 16 dispersed to London Boroughs, who are not participating in the transfer scheme. As the threshold of 231 UASC's has now been reached, new arrivals have not been referred to the dispersal scheme since June 2018.

Duration	Arrivals who have been dispersed post new Government Transfer Scheme (w.e.f 01 July 16)*	Former Kent UASC who have been dispersed (entry prior to 01 July 16)	Total
Jul-16	14	11	25
Aug-16	31	1	32
Sep-16	30	10	40
Oct-16	33	0	33
Nov-16	17	2	19
Dec-16	7	0	7
Jan-17	8	5	13
Feb-17	15	0	15
Mar-17	16	5	21
Apr-17	14	3	17
May-17	7	1	8
Jun-17	16	1	17
Jul-17	12	0	12
Aug-17	17	0	17
Sep-17	6	1	7
Oct-17	12	0	12
Nov-17	11	0	11
Dec-17	14	0	14
Jan-18	8	0	8
Feb-18	15	0	15
Mar-18	9	0	9
Apr-18	1	0	1
May-18	5	0	5
Jun-18	1	0	1
Jul-18	0	0	0
Aug-18	0	0	0
Sep-18	0	0	0

**Monitoring of Revenue Reserves 2018-19 – half year position**

1. The table below shows the projected impact of the current forecast spend and activity for 2018-19 on our revenue reserves.

Account	Balance at 31/3/18	Projected balance at 31/3/19	Movement
	£m	£m	£m
General Fund balance	36.9	36.9	0.0
Earmarked Reserves	162.2	137.0	-25.2
Surplus on Trading Accounts	0.2	0.2	0.0
School Reserves	30.0	20.0	-10.0

The movement in earmarked reserves is due to the following:

- Planned drawdowns as agreed in the MTFP
- Planned contributions and drawdowns reflected in the base budget
- Funding of approved roll forwards from the rolling budget reserve.
- Additional funding for pot holes agreed at County Council in February.

Details of the reasons for the movement in schools reserves are provided in section 3.5 of the main report.

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From: Susan Carey – Cabinet Member for Customers, Communications and Performance  
David Cockburn – Corporate Director, Strategic and Corporate Services

To: Cabinet - 3 December 2018

Decision No: N/a

Subject: **Quarterly Performance Report, Quarter 2, 2018/19**

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 Performance Report.

## 1. Introduction

- 1.1. The KCC Quarterly Performance Report for Quarter 2, 2018/19 is attached at Appendix 1.
- 1.2. The Quarterly Performance Report (QPR) is a key mechanism within the Performance Management Framework for the Council.
- 1.3. The QPR includes thirty-five (35) 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 Report

- 2.1. Results against Target for KPIs are assessed using a Red/Amber/Green (RAG) status.
- 2.2. Of the 35 Key Performance Indicators included in the report, the latest RAG status are as follows:
  - 21 are rated Green - target achieved
  - 11 are rated Amber - floor standard achieved, target not achieved
  - 3 are rated Red – floor standard not achieved
- 2.3. During the quarter 16 indicators had improved results, six had no change and 13 showing a fall in performance.

### 3. Recommendation(s)

**Recommendation(s):**

**Cabinet** is asked to NOTE the Quarter 2 Performance Report.

### 4. Contact details

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Strategic Commissioning - Analytics  
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[Vincent.Godfrey@kent.gov.uk](mailto:Vincent.Godfrey@kent.gov.uk)

**Kent County Council**

**Quarterly Performance Report**

**Quarter 2**

**2018/19**

Produced by: KCC Strategic Commissioning - Analytics  
E-mail: [performance@kent.gov.uk](mailto:performance@kent.gov.uk)  
Phone: 03000 416091



## Key to KPI Ratings used

This report includes 34 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.

<b>GREEN</b>	Target has been achieved
<b>AMBER</b>	Floor Standard* achieved but Target has not been met
<b>RED</b>	Floor Standard* has not been achieved
↑	Performance has improved
↓	Performance has worsened
↔	Performance has remained the same

\*Floor Standards are set in Directorate Business Plans and if not achieved must result in management action.

## 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.



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## Executive Summary

A majority of indicators for Quarter 2 are rated as Green, on or ahead of target. 16 indicators were improving, with 13 showing a decline in performance.

	G	A	R	↑	↔	↓
Customer Services	3			2	1	
Economic Development & Communities	1	1		2		
Environment and Transport	6			4	1	1
Children, Young People and Education	4	8	2	5	3	6
Adult Social Care	4		1	3		2
Public Health	3	2			1	4
<b>TOTAL</b>	<b>21</b>	<b>11</b>	<b>3</b>	<b>16</b>	<b>6</b>	<b>13</b>

**Customer Services** - Satisfaction with Contact Point advisors was above target and the percentage of phone calls answered improved to above target. The percentage of complaints dealt with on time also improved to ahead target. Phone call volumes were 4.6% lower than the same time last year.

**Economic Development & Communities** – Jobs created and safeguarded from Regional Growth Fund loan schemes since 2012 were at 4,360 jobs at the end of September. The No Use Empty programme, which returns long term empty domestic properties into active use, continues to deliver ahead of target. Library visits and issues were within expectations in the quarter, with issues at the higher end. Economic indicators remain positive in historical terms. Housing delivery in the county continues to be around 7,000 new dwellings a year, now sustained at this level for three years.

**Environment and Transport** – Core service delivery for Highways maintenance was above target for all four indicators with demand for works still above expected levels for the time of year, due to the impact of the severe winter weather earlier in the year. The percentage of municipal waste diverted from landfill at 99% continues to exceed target. The council continues to reduce its Greenhouse gas emissions supported by programmes such as LED Streetlight conversions.

**Education** – The percentage of schools which are good or outstanding is at 92%, and for Early Years settings this is 96%. Provisional data for apprenticeship starts were below target for the completed academic year, following national trends and with the impact of the apprenticeship levy not yet felt. Completion of Education, Health and Care Plans (EHCPs) in timescale remains below floor standard reflecting continued increase in demand for assessments over the last year. The increase in demand for EHCP assessments is significant with a 55% increase in the last twelve months.

**Integrated Children's Services** - Outcomes achieved for Early Help cases was just below target. The number of pupil exclusions and first-time entrants to the youth justice system were both ahead of target. The percentage of case holding posts filled by permanent social workers increased in the quarter to be in line with target and repeat referrals to children's social care was also in line with target. Adoption timeliness remained ahead of target. The percentage of children in care with 3 or more placements, and foster care placements with KCC in-house fostering or relatives and friends, both improved but remained slightly behind target. The percentage of Care Leavers in education, employment and training reduced and narrowly missed target. Referrals for children's social care remains close to national average, and the number of children with child protection plans has declined to be below the national average with the rate of children in care reducing slightly. Other local authority children in care placed in Kent, and the number of Care Leavers, both increased.

**Adult Social Care** – Contacts resolved at first point of contact improved further ahead of target. The number of clients referred to enablement increased significantly to move above target with additional provision now commissioned across the county. The percentage of clients still independent after an enablement service continued to exceed target. However, the number of admissions to residential and nursing care has increased and was significantly higher than the target with the number of people experiencing a delay in transfer of care from hospital continuing to be an on-going pressure. Social care is responding well to the number of delayed transfers, achieving target for the social care share of the total delays, but the consequence of this has been an increase in residential care placements. The number of safeguarding concerns received increased in the quarter, but the number progressing to enquiries remained stable.

**Public Health** – The number of Health Checks completed over the last 12 months fell further below target with the provider putting an improvement action plan in place to address this. The number of universal checks delivered by the Health Visiting service remained above target and clients offered appointments to GUM services to be seen within 48 hours remained at 100%. Successful completions of drug and alcohol treatment decreased and was just below target. The percentage of Live Well clients who would recommend the service continued to be above target.

Customer Services	
<b>Cabinet Member</b>	Susan Carey
<b>Corporate Director</b>	Amanda Beer

KPI Summary	<b>GREEN</b>	<b>AMBER</b>	<b>RED</b>	↑	↔	↓
	<b>3</b>			<b>2</b>	<b>1</b>	

Customer contact through Contact Point (KCC's call centre) and digital channels is provided by our strategic partnership with Agilisys.

Satisfaction with Contact Point advisors remained high in the quarter and exceeded the target. Performance for the percentage of calls answered by Contact Point improved to be above target. Complaints responded to in timescale also improved to be above target.

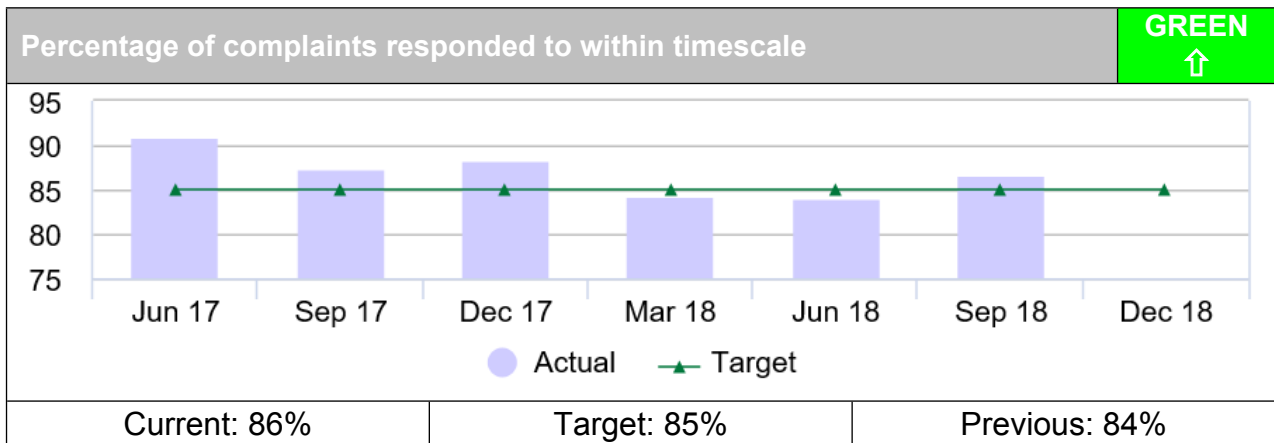
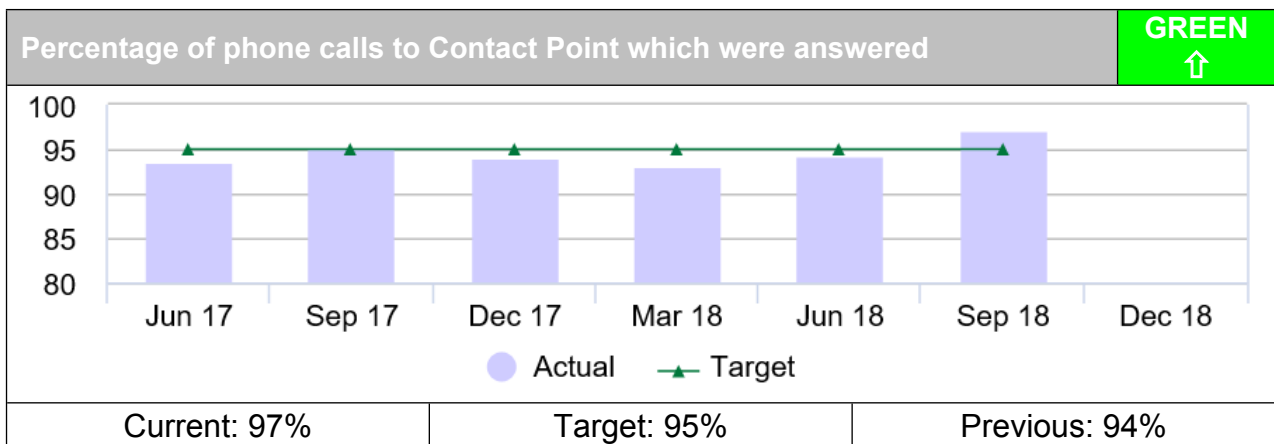
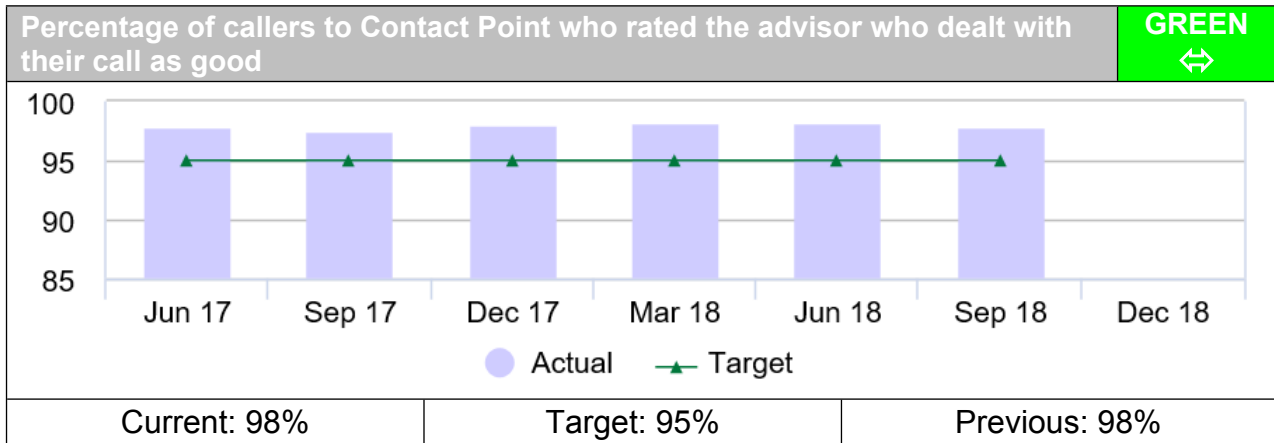
Overall call volumes handled by Contact Point were 2.4% higher than the previous quarter, but 4.6% lower than the same period last year.

Call volumes handled in the last 12 months were 3.8% lower than the previous year. Average call time has increased slightly to 4 minutes 31 seconds.

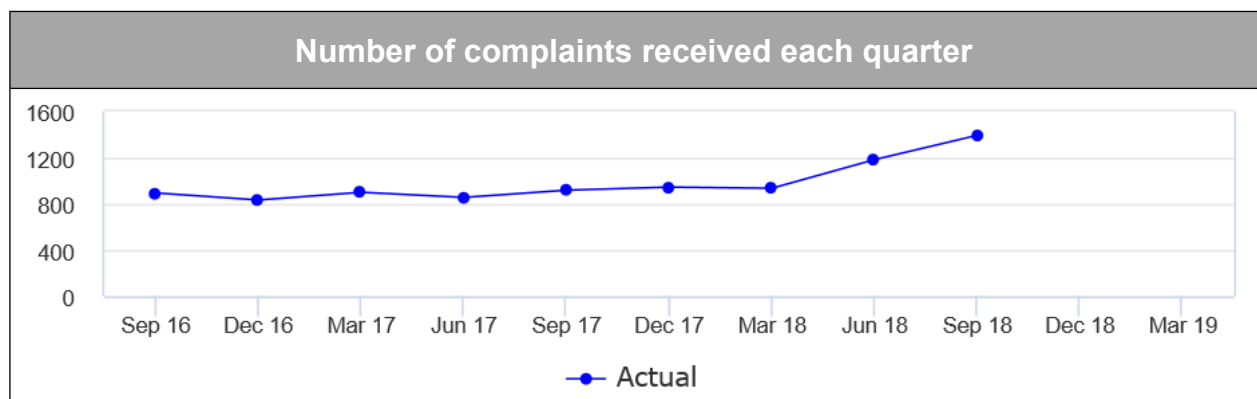
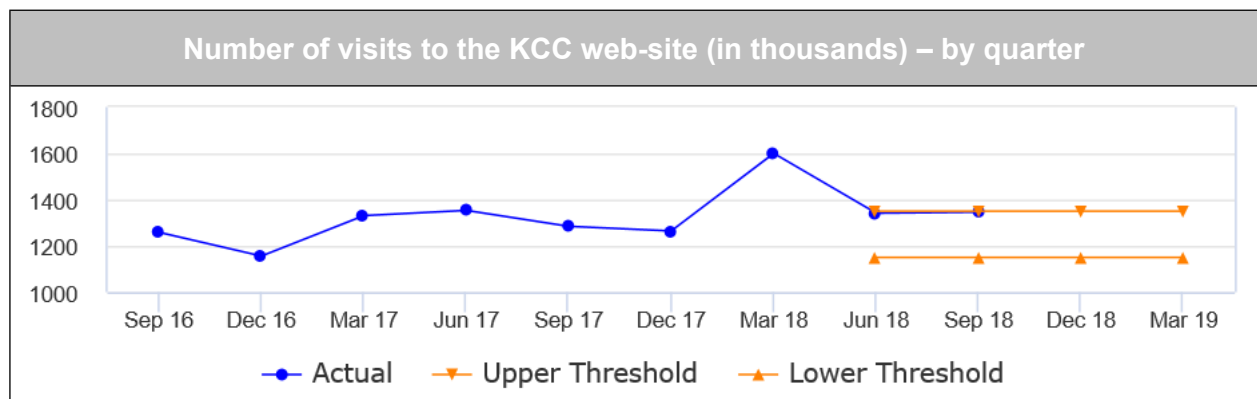
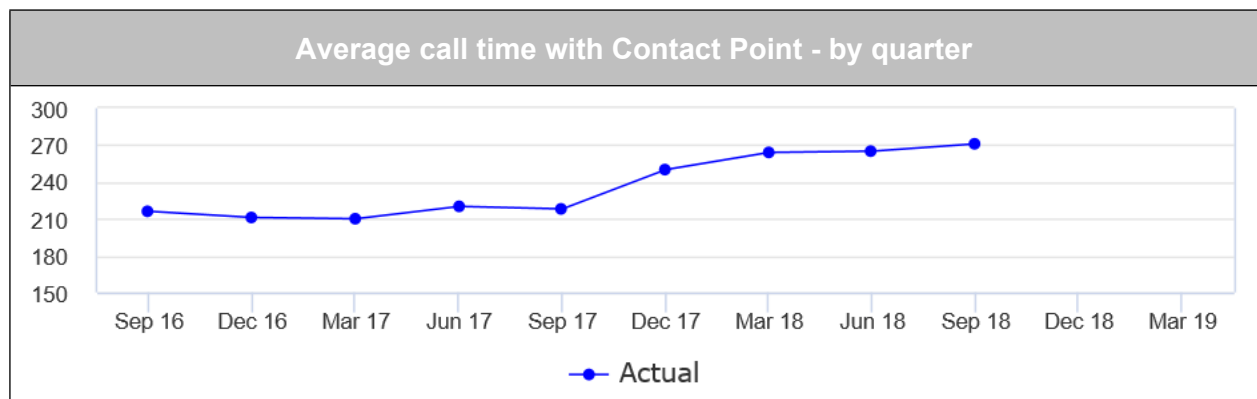
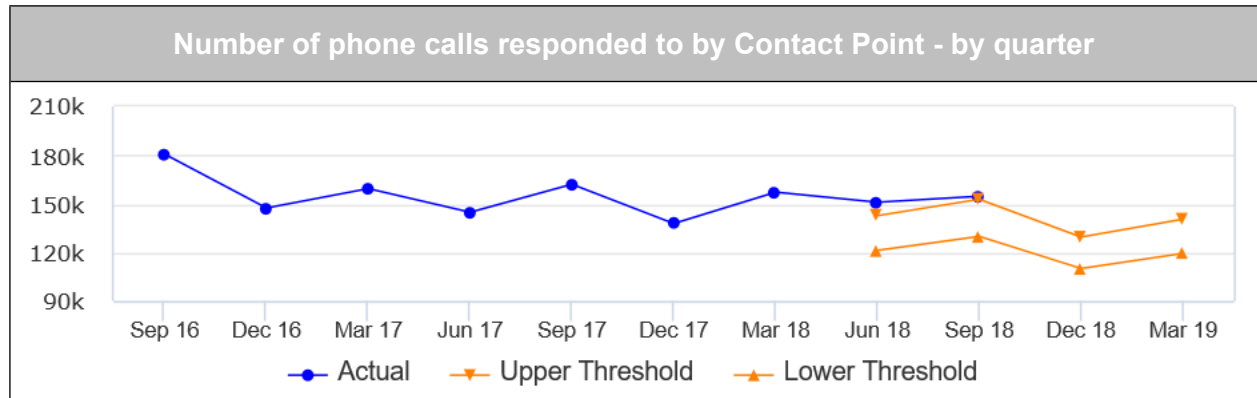
Completion of transactions on the KCC web-site were similar to last quarter, remaining at the higher end of expectations.

Complaints received has shown an increase, this may reflect how all services are now using the central feedback system. We have also made it easier for people to offer us their feedback online and training has been rolled out to help staff identify feedback appropriately. A significant increase in Libraries, Registrations and Archives complaints is largely related to changes in charges and fines.

## Key Performance Indicators



## Activity indicators



## Customer Services – Contact Activity

### Number of phone calls, e-mails and post responded to by Contact Point

Contact Point dealt with 2% more contacts than the previous quarter, but 3% fewer than for the same period last year. The 12 months to September 2018 saw 2% fewer contacts responded to than in the 12 months to September 2017.

Service area	Oct-Dec	Jan-Mar	Apr-Jun	Jul-Sep	Yr to Sep 18	Yr to Sep 17
Adult Social Care	31	33	32	31	129	137
Specialist Children's Services	22	22	23	24	89	89
Highways	18	23	23	21	86	91
Blue Badges	11	12	13	13	47	41
Schools and Early Years	11	10	11	12	45	51
Transport Services	7	13	10	11	39	31
Libraries and Archives	10	12	9	9	43	43
Registrations	8	9	8	8	35	37
Adult Education	5	5	5	7	23	27
Speed Awareness	7	5	5	6	24	21
Waste and Recycling	3	3	4	4	13	25
Other Services	3	3	4	3	14	14
Main line	2	3	3	4	13	14
KSAS*	2	2	2	2	8	11
<b>Total Calls (thousands)</b>	<b>138</b>	<b>157</b>	<b>151</b>	<b>155</b>	<b>608</b>	<b>632</b>
e-mails handled	7	10	9	8	34	27
Postal applications	8	9	9	9	33	32
<b>Total Contacts (thousands)</b>	<b>153</b>	<b>176</b>	<b>169</b>	<b>172</b>	<b>675</b>	<b>692</b>

\* Kent Support and Assistance Service

Numbers are shown in the 1,000's, and will not add exactly due to rounding. Calculations in commentary are based on unrounded numbers so will not precisely match changes in table.

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 – Complaints monitoring

The number of complaints received in the quarter showed a 18% increase on the previous quarter and was 52% higher than the corresponding quarter last year. Over the last 12 months there has been a 32% increase compared to the previous year.

The increase may reflect that all services are now using the central feedback system. We have also made it easier for people to offer us their feedback online and training has been rolled out to help staff identify feedback appropriately.

The increase in Libraries, Registrations and Archives complaints largely relate to the changes in charges and fines.

Service	12 mths to Sep 17	12 mths to Sep 18		Quarter to Jun 18	Quarter to Sep 18
Highways, Transportation and Waste Management	1,633	2,168		590	596
Adult Social Services	627	706		169	224
Specialist Children's Services	287	503		151	139
Education & Young People's Services	188	369		98	109
Libraries, Registrations and Archives	206	487		76	241
Strategic and Corporate Services	443	181		42	41
Environment, Planning and Enforcement & Economic Development	66	112		36	21
Adult Education	58	92		21	22
<b>Total Complaints</b>	<b>3,508</b>	<b>4,618</b>		<b>1,183</b>	<b>1,393</b>



## Customer Services – Digital Take-up

The table below shows the digital/online or automated transaction completions for Key Service Areas.

<b>Transaction type</b>	<b>Online Oct 17 – Dec 17</b>	<b>Online Jan 18 - Mar 18</b>	<b>Online Apr 18 - Jun 18</b>	<b>Online Jul 18 - Sep 18</b>	<b>Total Transactions Last 12 Months</b>
Renew a library book*	73%	75%	76%	77%	1,331,291
Report a Highways Fault	42%	51%	45%	42%	114,904
Book a Speed Awareness Course	78%	79%	78%	78%	37,790
Apply for a Young Person's Travel Pass	84%	91%	76%	77%	35,838
Apply for or renew a Blue Badge	50%	52%	63%	62%	35,523
Book a Birth Registration appointment	73%	71%	72%	73%	19,175
Apply for a Concessionary Bus Pass	17%	30%	25%	27%	13,432
Highways Licence applications	52%	73%	79%	81%	5,978
Report a Public Right of Way Fault	85%	95%	89%	63%	5,027
Apply for a HWRC recycling voucher	98%	97%	98%	97%	5,023

\* Library issue renewals transaction data is based on individual loan items and not count of borrowers.

Economic Development & Communities	
<b>Cabinet Members</b>	Mark Dance, Mike Hill
<b>Corporate Director</b>	Barbara Cooper

	<b>GREEN</b>	<b>AMBER</b>	<b>RED</b>	↑	↔	↓
KPI Summary	<b>1</b>	<b>1</b>		<b>2</b>		

### Support for business

Since April 2012, Kent's Regional Growth Fund (RGF) programmes, have committed £56.3 million to provide investments for Kent businesses. As a result, over 240 businesses in Kent and Medway have so far created 3,007 jobs and safeguarded 1,353 making a total of 4,360 jobs to the end of September 2018.

Round 3 of the Kent and Medway Business Fund (KMBF) was launched in August 2018 and closed for receiving applications on 1 October 2018. The scheme, along with the Kent Life Science Equity Fund was established to recycle loan funds from the original Regional Growth Fund loan programmes. Round 3 resulted in 53 pre-applications being received with requests for potential funding of £7.3m. Round 1 of KMBF has committed £1.4m to 11 businesses and Round 2 committed an additional £2m to 17 businesses.

The Kent Life Science Equity (£5m Fund) has invested £1.5m in 3 companies and is still open to receive applications.

### Converting derelict buildings for new housing

In the second quarter 137 long term empty properties were made fit for occupation through the No Use Empty (NUE) Programme, with 5,720 modernised since the Programme began in 2005. Total NUE investment currently stands at £52.9 million (£25 million from KCC recycled loans and £27.9 million from public/private sector leverage). Demand for the loan scheme remains strong in the coastal areas of Kent.

NUE were awarded an additional £1 million Growing Place Funds for use from 2018/19 to bring empty commercial space back into use as mixed commercial and residential accommodation, with £500k available for this financial year. So far £440k has been allocated to fund 4 projects in coastal towns which will yield 6 commercial and 16 new residential units.

The scheme continues to attract national attention with recent features in The Guardian and in a forthcoming BBC programme regarding empty homes.

### Infrastructure

Between 2015/16 and 2020/21, £147m of funding is being allocated to infrastructure projects in Kent by the South East Local Enterprise Partnership (SELEP), of which £123m is intended for transport schemes.

In this last quarter, the SELEP has approved the business cases and allocated Local Growth Funding for the following scheme:

- £2.349m to support the delivery of the Phase 1 of the Leigh Flood Storage Area and East Peckham Project.

## Broadband

Kent's Broadband Delivery UK (BDUK) programme has now brought superfast broadband to over 138,000 properties which would otherwise have had no or slow broadband connectivity. Superfast broadband services of at least 24mbps are now available to 95.9% of homes and businesses in Kent.

## Funding Infrastructure

KCC obtains financial contributions towards KCC services from developers of new housing sites. In the second quarter ending September 2018, 31 Section 106 agreements were completed and a total of £7.1m was secured.

### Section 106 developer contributions secured (£000s)

	Sep to Dec 2017	Jan to Mar 2018	Apr to Jun 2018	Jul to Sep 2018
Primary Education	2,328	9,265	8,176	3,376
Secondary Education	576	5,393	4,544	3,496
Adult Social Care	26	189	100	9
Libraries	42	426	201	188
Community Learning	42	108	74	14
Youth & Community	18	74	27	13
<b>Total</b>	<b>3,033</b>	<b>15,455</b>	<b>13,122</b>	<b>7,097</b>
Secured as % of Amount Sought	100%	100%	94%	99%

## Kent Film Office

In the second quarter of 2018/19, the Film Office handled 104 filming requests and 53 related enquiries. It is estimated that the 150 filming days logged resulted in additional spend of £500k across the county. The Film Office supported 6 work experience candidates.

Production highlights include television series The Rook, Catastrophe, Grand Designs, Call the Midwife, music videos for Rick Astley and Marie Claire, and commercials for H Samuel, Taylor Wimpey, The Voice, Ford, and Clearscore. Other highlights include feature films Zindabad, Bollywood Lakeside, and Summer of Rockets.

## Libraries, Registration and Archives (LRA)

The Kent Archives service was accredited by The National Archives in July, with this standard giving recognition of the excellent Archive service standards being provided to customers. This places the service amongst the top 6% of Archives services in the country which have achieved this accreditation standard.

The annual visit by the assessor for the Customer Service Excellence Award took place in September and the LRA service was successful in achieving the award again, with recognition of best practice in 4 new areas of work.

Temporary closures were put in place at Faversham and Herne Bay libraries during September. Faversham will be closed until mid-November for a refurbishment programme that will incorporate the Good Day programme and Herne Bay re-opened on 8 October following urgent building repairs.

The 3 Library Extra sites at Deal, Higham and Paddock Wood are now open to customers for additional unstaffed opening times. To date 189 customers across these sites have had their library card upgraded to allow entrance to the library out of hours.

Activity over the summer period was high, with this being the busiest part of the year for the service. During the quarter 2,799 ceremonies were conducted, 17,026 children registered for the Summer Reading Challenge with 57% reading all 6 books. The new Archive search room opening hours were implemented in July and since then use of the search room facilities has increased by 45% (1,871), with 969 distance enquiries compared to 767 for the same period last year, an increase of 28%.

The online offer continues to grow with an increase in e-issues on the same quarter last year of 25% for e-books (76,191), and 101% for e-magazines (18,644). There were over 53,000 issues of e-newspapers with this service launched in January this year. Online contacts increased by 74% with a 37% increase in visits to the website and 163% increase in social media activity (following the introduction of local district Facebook pages earlier in the year).

Changes to our fees and charges were implemented in August. This generated an increase in feedback from customers (241 comments and complaints). During the quarter we have experienced a decrease of 3.2% in issues and 10.8% in visits compared to the same period the previous year. The decline in visits may link to the very hot weather the UK experienced over the summer.

The annual email survey of Libraries and Archives customers will take place in November and will be reported in quarter 3. Regular satisfaction survey results available so far this year are as follows:

- |                                |     |              |
|--------------------------------|-----|--------------|
| • Birth and death registration | 95% | (target 95%) |
| • Wedding ceremonies           | 96% | (target 95%) |
| • Citizenship                  | 98% | (target 95%) |

### **Sport and Physical Activity**

The Sport and Physical Activity Service has been successful with a bid to Sport England to promote the Daily Mile in local schools. The Daily Mile is a social physical activity which aims to get children running or jogging for 15 minutes. The team will appoint a Daily Mile Activator, to work with local contacts and schools to encourage increased take-up of the scheme.

The Get Active Project, delivered in partnership with Golding Vision, a free sport and physical activity programme to encourage young people in Maidstone to get active, came second place and highly commended in the 2018 Kent Housing Group & Joint Policy and Planning Board Housing Excellence Awards, in the Excellent Community Project category.

### **Community Safety**

The Sevenoaks and Tunbridge Wells Community Warden Team received an award by the 2018 Kent Housing and Kent Joint Policy & Planning Board Housing Excellence Awards in the category of Excellent Community Project for the Wellfield Community Centre projects.

## **Resilience and Emergency Planning Service**

September saw the introduction of an expanded emergency Duty Director rota, including the introduction of an on call Recovery Director role, which was supported by bespoke training and new guidance. This KCC innovation delivers upon our commitment to ensure enhanced corporate preparedness and resilience ahead of the winter and Brexit transition periods.

A total of 58 alerts were received in this quarter by the 24/7 Duty Emergency Planning Officer compared to 59 for the same period in 2017. These incidents included several hoax threats to schools, pollution incidents at Ramsgate Harbour, Port of Dover and River Stour at Sandwich, discovery of a WWII munitions cache at Wickhambreaux primary school, a coach crash at M25 J3 and a warehouse fire at Enterprise Way, Margate.

The Service has been working alongside Highways colleagues with planning for Operation Fennel, which delivered effective multi-agency co-ordination throughout the summer holiday period, helping to ensure all Channel transport routes ran smoothly.

The publication of an updated National Planning Policy Framework in July, with its increased emphasis upon building resilient communities and a prevention agenda, has seen the Service engage proactively with a range of strategic planning consultations.

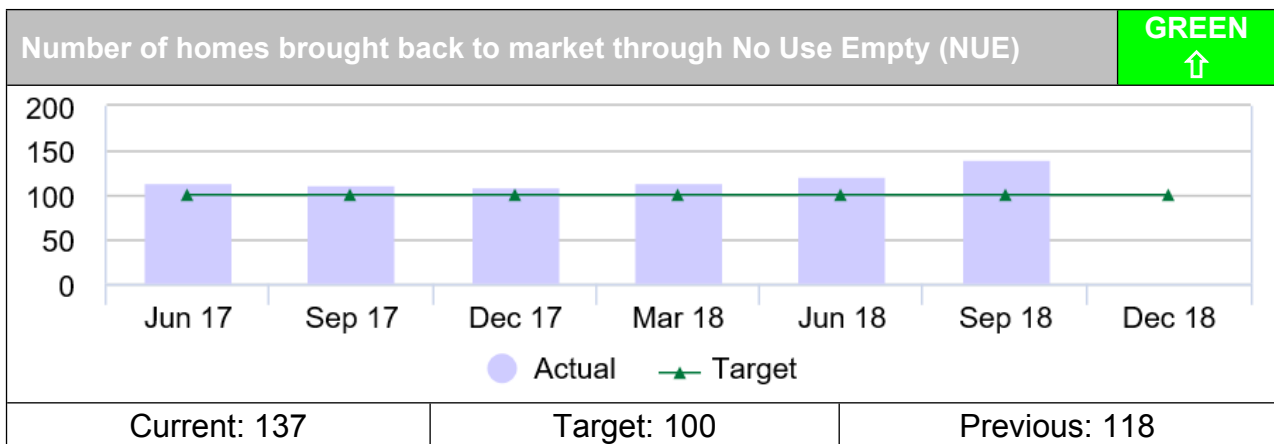
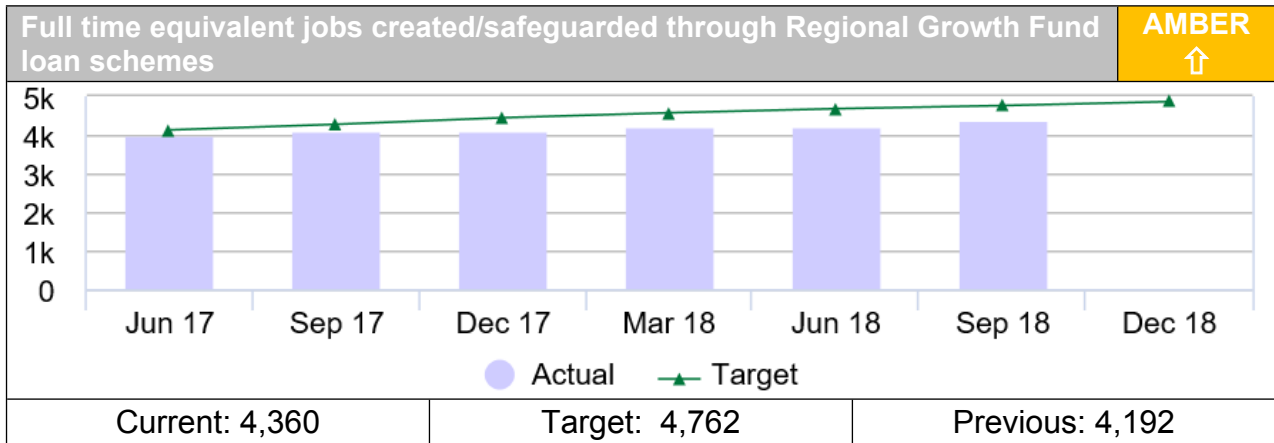
## **Country Parks**

Country Parks have retained all seven of their Green Flag Awards this year. These awards recognise well managed parks and green spaces, setting the benchmark standard for the management of recreational outdoor spaces across the United Kingdom and around the world.

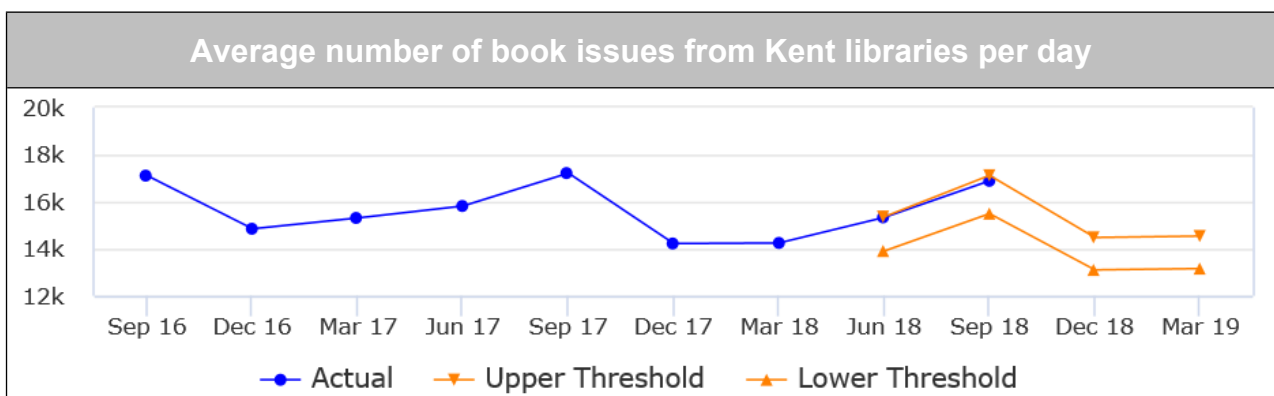
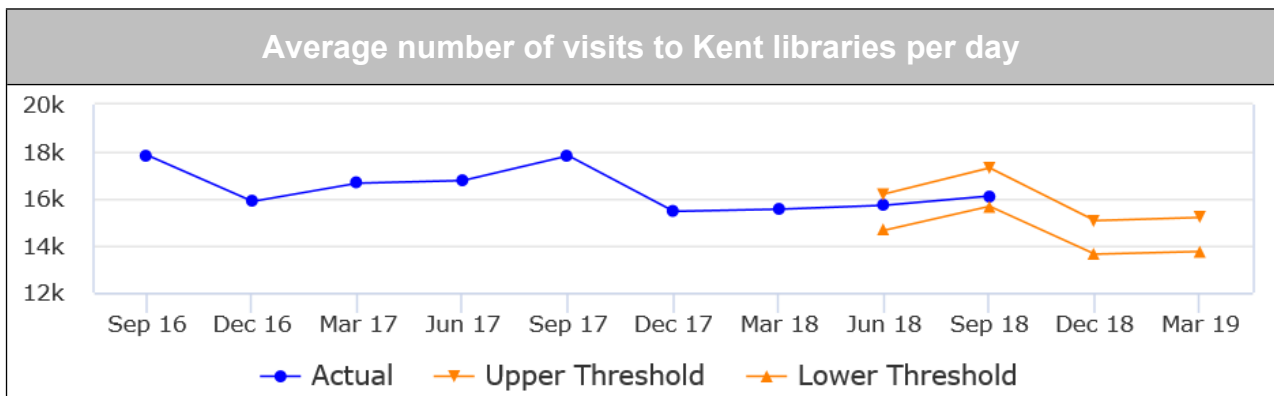
Three Gold Awards and one Silver Gilt Award were also won at the South and South East in Bloom ceremony with Brockhill Country Park winning the South and South East Country Park of the Year for 2018. Judge's comments on all of these awards have recognised the hard work and dedication of the team to achieve the highest possible environmental management standards.

In addition, Shorne Woods, Lullingstone and Brockhill have entered the Trip Advisor Hall of Fame by achieving certificates of Excellence for five years running.

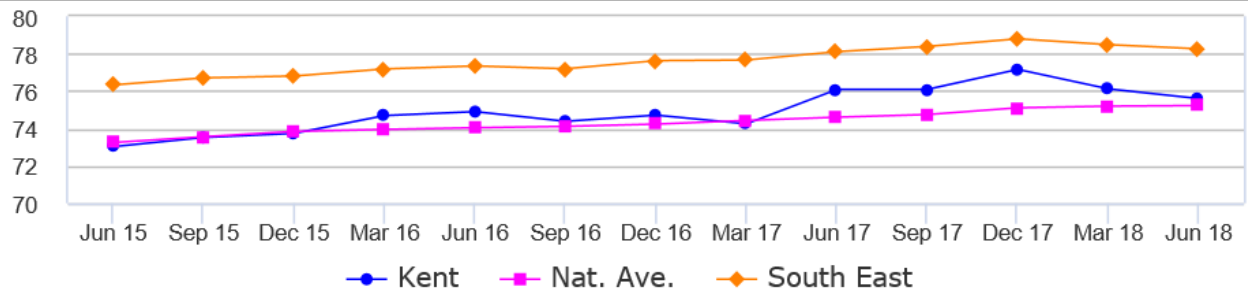
## Key Performance Indicators



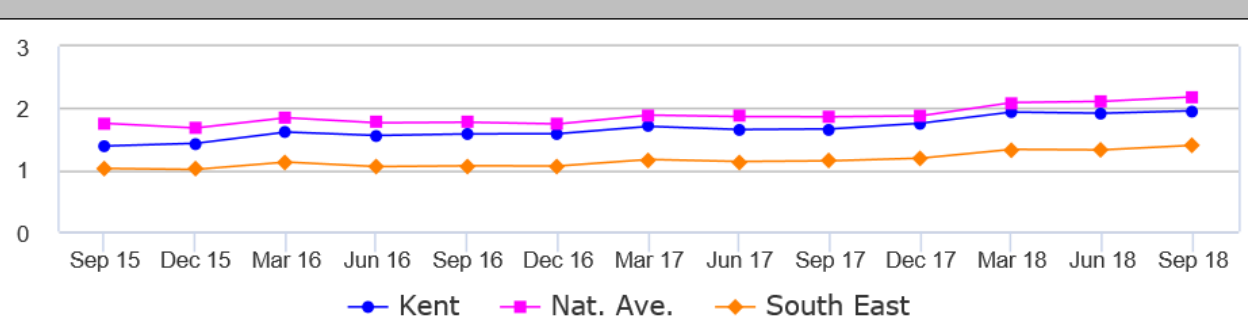
## Activity indicators



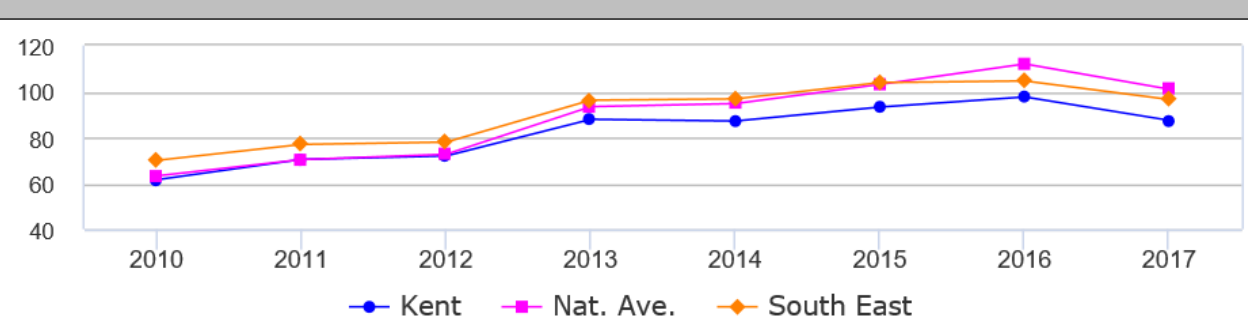
Percentage of population aged 16 to 64 in employment  
(from the Annual Population Survey)



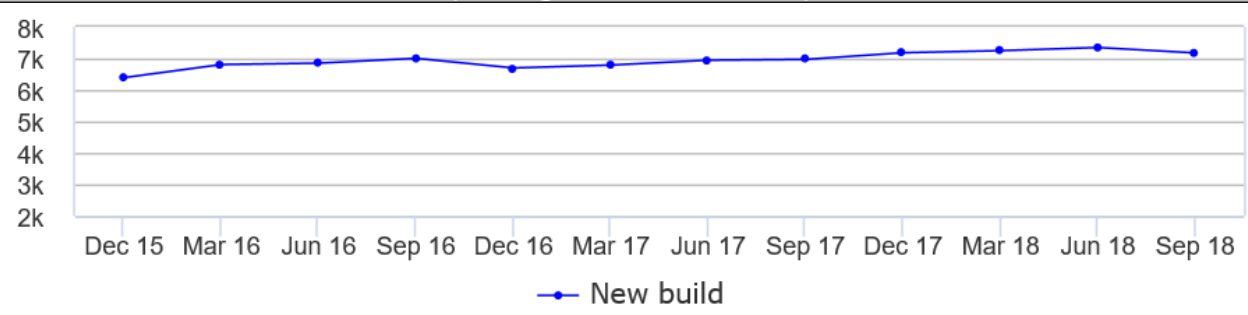
Percentage of population aged 16 to 64 claiming unemployment benefits



Business start-ups per 10,000 population aged 18 to 64



New Dwelling Completions based on energy performance certificates issued  
(rolling 12-month totals)



Environment and Transport	
<b>Cabinet Member</b>	Mike Whiting
<b>Corporate Director</b>	Barbara Cooper

KPI Summary	<b>GREEN</b>	<b>AMBER</b>	<b>RED</b>	↑	↔	↓
	<b>6</b>			<b>4</b>	<b>1</b>	<b>1</b>

## Highways

Performance for the quarter was above target for all four Highways KPIs.

New enquiries raised for action by customers (faults) were at the lower end of seasonal expectations at 21,708 compared to 23,704 for the same time last year. Open customer enquiries (work in progress) has decreased from last quarter but remains at the top of seasonal expectations at 7,411 jobs compared to 5,688 for the same time last year. This includes a number of open drainage enquiries requiring complex investigation and asset investment to resolve customer concerns.

In the quarter the council published its asset management approach for the 2,800 highway structures being managed. An annual review of the Winter Service Policy was undertaken along with the operational plan that supports it, with the review taking account of changes in national guidance and lessons learnt from the previous winter.

The schedule of remaining works for the streetlight LED conversion project has been made available, with the programme on target to complete the conversion of 118,000 KCC street lights to LED by May 2019.

## Transport Strategy

KCC's responded to Highways England's Public Information Exercise (PIE) on solutions to Operation Stack in the quarter.

The Thanet Parkway railway station planning application was submitted and validated on 26 June and has undergone a statutory planning consultation.

In partnership with Transport for London, the London Borough of Bexley, Dartford and Gravesham councils, the Strategic Outline Business Case for the Crossrail to Ebbsfleet extension (C2E) was submitted to the Treasury for funding to deliver the next stage of the business case for this essential project to deliver growth in North Kent.

## Managing Highway Infrastructure in Kent

Earlier in the year KCC adopted 'Developing Our Approach to Asset Management in Highways – 2018/19 to 2020/21', which has been used to support a Band 3 Incentive Fund rating from the Department for Transport (DfT) to maximise capital funding for 2018/19 and beyond. Updated asset management strategy documents are now being developed.

A strategy for implementing the national code of practice, a 'Well-managed Highway Infrastructure' has been adopted with detailed documentation of service standards and risk assessments now being prepared.



### **Crash Remedial Measures & Local Transport Plan Scheme**

Delivery of the 2018/19 Crash Remedial Measures and Local Transport Plan programme is now well established with around 45 live schemes county wide. In addition a series of externally funded schemes with a combined value of over £4 million are being designing and delivered.

We are working closely with a number of Parishes to help develop their prioritised 'Highway Improvement Plans' with 40 Parish led schemes currently being delivered.

Recently published road casualty figures for 2017 showed that killed and serious injuries (KSI) reduced by 76 (9%) compared to 2016, and slight casualties were down 5%.

In addition to our own programmes of safety education and engineering measures we continue to plan and deliver joint interventions following the National Police Chief's Council calendar and in this quarter there is a focus on teenage pedestrian safety, the "Be Bright Be Seen" project for primary school aged children, and the "Speak "Out" campaign for young person's passenger safety.

KCC's approach to road safety and to risk mapping routes follows the International Road Assessment Programme (iRAP) approach, which is the umbrella programme for Road Assessment Programmes worldwide that are working to save lives. Our engagement with this approach includes working with the European Road Assessment Programme (EuroRAP).

### **Journey time reliability/Congestion Strategy**

We continue to deliver a programme of schemes with Local Growth Funding to improve the reliability of localised journey times. Areas of less reliable journey times are identified and then assessed to determine if we can engineer improvements. Several projects are currently being progressed and identification work is underway to consider projects for 2019-21.

We continue to review the effect of the strategic network on the local road network and how we can co-ordinate roadside infrastructure. An example is the pilot A2/M2 connected corridor programme, delivered in partnership with DfT, Highways England, Transport for London, to establish infrastructure to facilitate connected vehicle technology along the corridor to Dover.

Engagement with Highways England is also key to congestion management in the short-term, given the significant volume of works and changes that Highways England are making to their network and we are active stakeholders in their Kent Corridor Co-ordination Group

### **Public Transport**

The 'Big Conversation' programme, to help sustainable rural bus services, is now focussing on the next stage which is to develop the options for pilots. A bus summit was held on the 30 October 2018 to discuss the emerging options, and pilots will now be developed for implementation by June 2019.

## Local Growth Fund Transport Capital Projects

Through the South East Local Enterprise Partnership (SELEP), we are looking after £123 million of Government funding from rounds 1, 2 and 3 of the Local Growth Fund (LGF), allocated for 28 Transport projects within Kent. The LGF money makes a contribution to the projects, with the total capital expenditure being £322 million.

One Transport project is for the M20 Junction 10a improvements which is managed by Highways England, with total cost of £104 million and a £20 million LGF contribution.

The table below shows the overall position for the other 27 transport projects in the programme with six now complete. The recently delivered Ashford Spurs scheme requires further work to rectify technical issues and is therefore rated as Amber while this work is being carried out. Twelve schemes are now substantially under construction including the A2500 Lower Road capacity improvement project in Swale.

There are four schemes currently rated as Red. The award of the A28 Chart Road scheme construction contract is delayed until a security bond is provided by the developer and further meetings are being held with all parties to try and resolve the funding issue. The Willington Street/Sutton Road Junction improvements scheme (part of the Maidstone ITP) is subject to a delay and the A28 Sturry ITP is under review following the increase in scheme cost, as well as concerns over the duration of the works and the proposed diversion route. A funding gaps still remains for the Thanet Parkway project and a further LGF bid to SELEP is being made as part of the LGF3B process.

LGF Spend Profile Year :	2015/16	2016/17	2017/18	2018/19	Total
Total Value (£m)	49.6	110.6	52.2	3.9	217.2
LGF funds (£m)	32.8	44.4	24.4	1.9	103.6
Projects	12	8	6	1	27
Complete	4	2	0	0	6
Green (on track)	5	1	3	1	10
Amber (some delay)	3	2	2	0	7
Red (at risk)	0	3	1	0	4

## Waste Management

Waste sent to landfill has slightly increased slightly over the summer due to the Refuse Derived Fuel (RDF) plants closing for their annual maintenance programme in Holland in July and August. Later in 2019, it is anticipated that this material will be fully treated in Kent, at the new waste to energy plant under construction at Kemsley. Performance for diversion from landfill remains better than the EU Landfill Directive target of less than 5% of waste going to landfill by 2020.

The Allington Waste to energy plant remains stable, with just above 50% of waste being converted to electricity, which is above the business plan target.

Recycling levels at HWRCs continue to be around 68%. Over the summer there was less garden waste deposited by residents than expected due to the very hot weather.

There has also been a lower volume of garden waste collected by the Waste Collection Authorities. Total county recycling at 49.1% for the last 12 months is down on a year ago (49.7%).

Ten of the twelve Districts have adopted alternate weekly collected residual waste, with a weekly food collection and recycling service which promotes higher levels of recycling.

Waste arisings collected in the last 12 months at 705,684 tonnes is below the expected 730,000 tonnes and below the 721,964 at the same time last year. This volume reduction has enabled the service to meet the increased costs for mixed dry recycling, which has been rising due to the import bans set by China. The Chinese import bans applies to plastics and paper & card, which has resulted in increased demand for the domestic market processors.

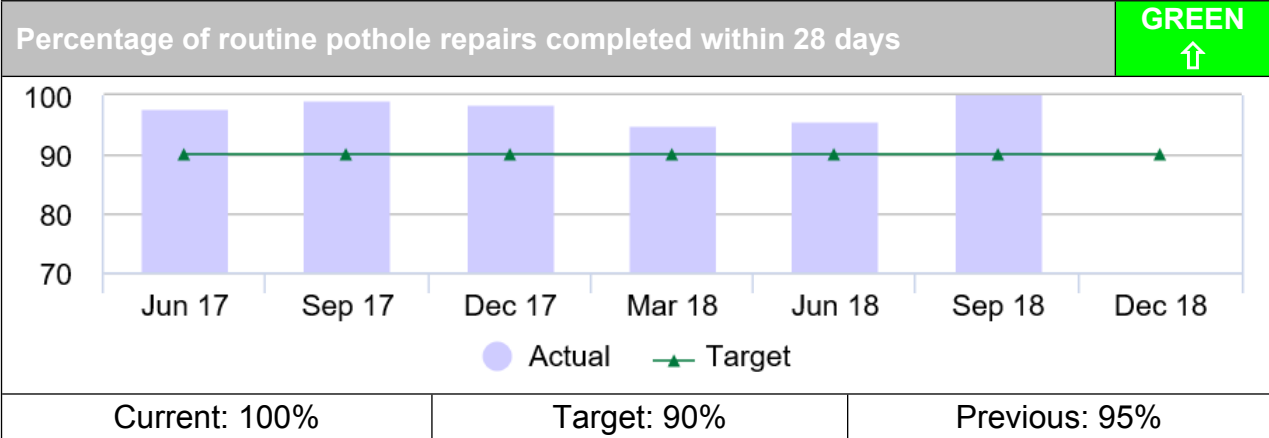
A public consultation in running until November 2018, seeking views on a proposal to charge for the disposal of non-household waste at the county’s Household Waste Recycling Centres (HWRCs).

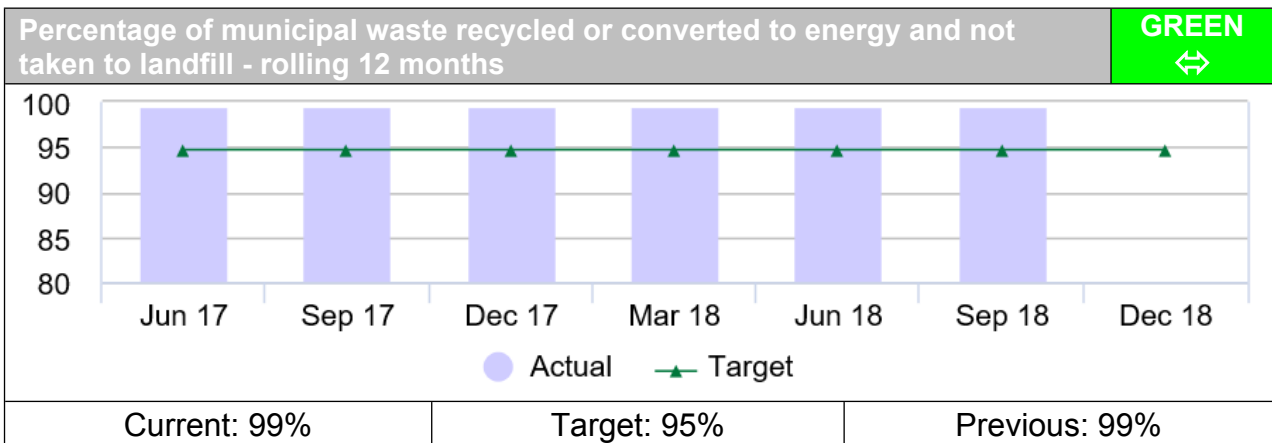
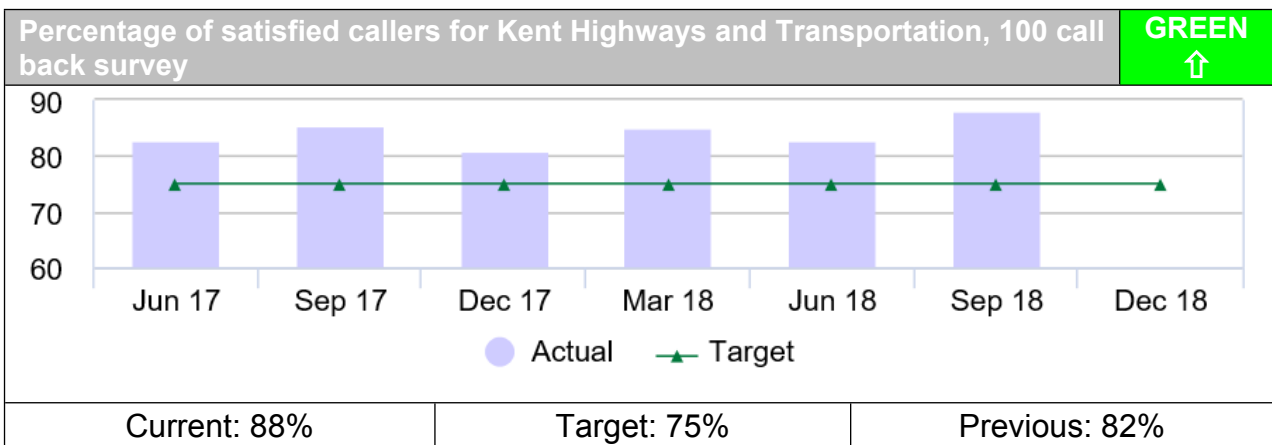
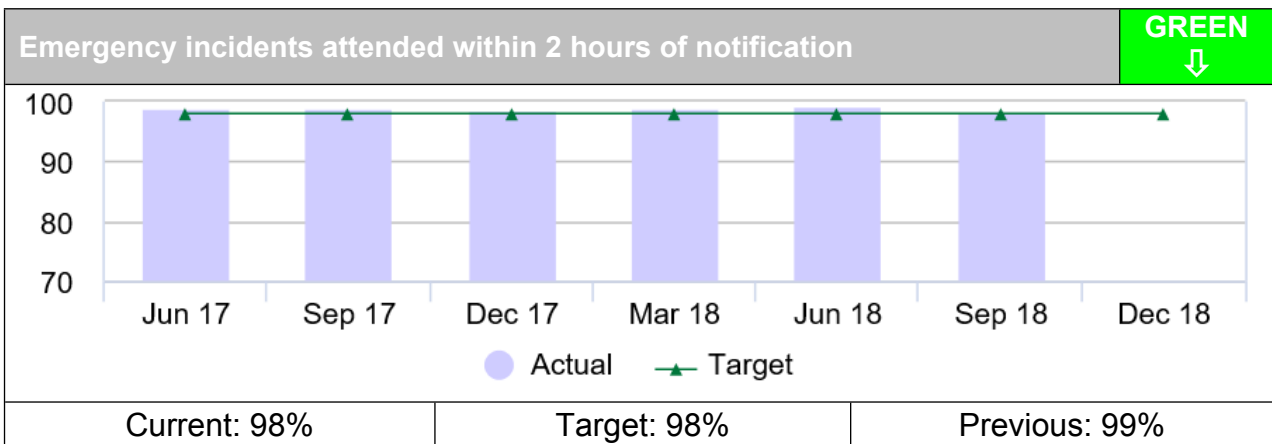
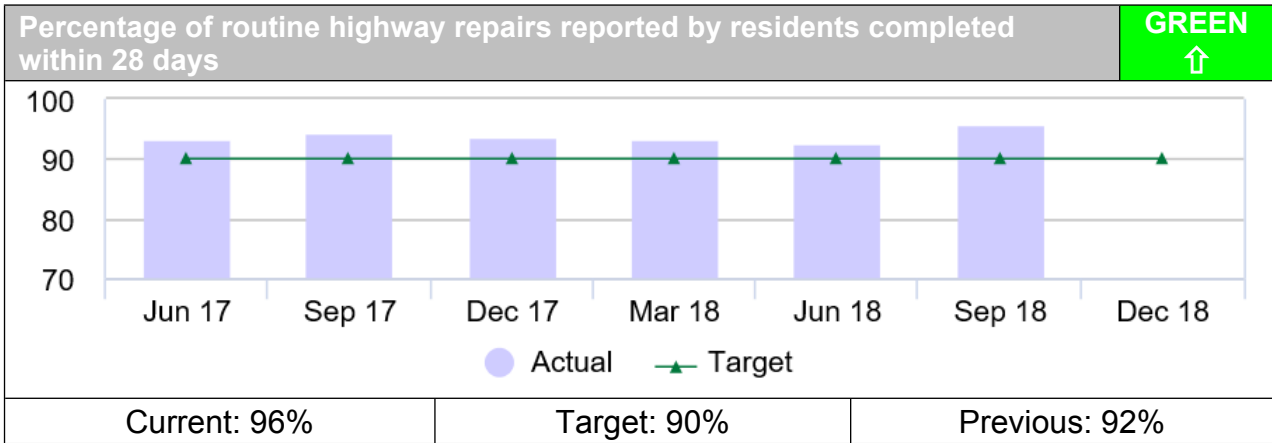
**Environment**

KCC estate Greenhouse Gas emissions is reducing ahead of target, with the LED street lighting programme being a primary contributor.

Sustainable Business & Communities have secured £595k EU grant funding to deliver 2 new projects, which facilitate climate change adaptation, one which addresses natural flood protection on land, and the other which addresses urban overheating risks.

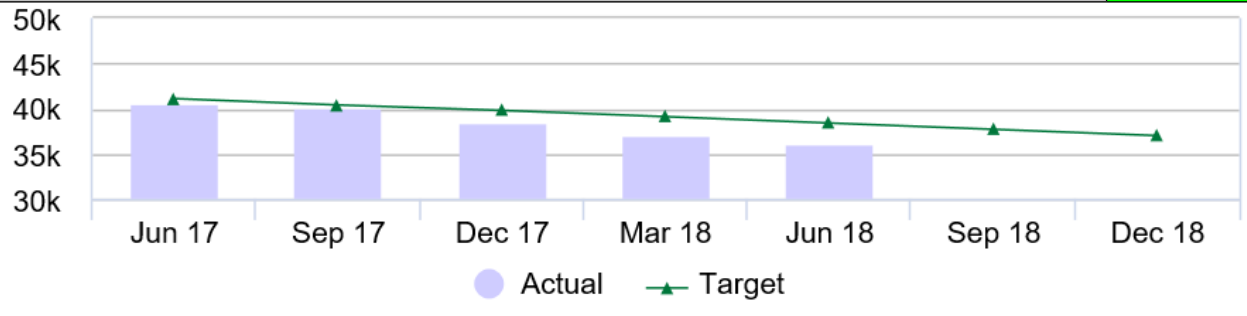
**Key Performance Indicators**





Greenhouse Gas emissions from KCC estate (excluding schools) in tonnes – rolling 12 months

**GREEN**  
↑



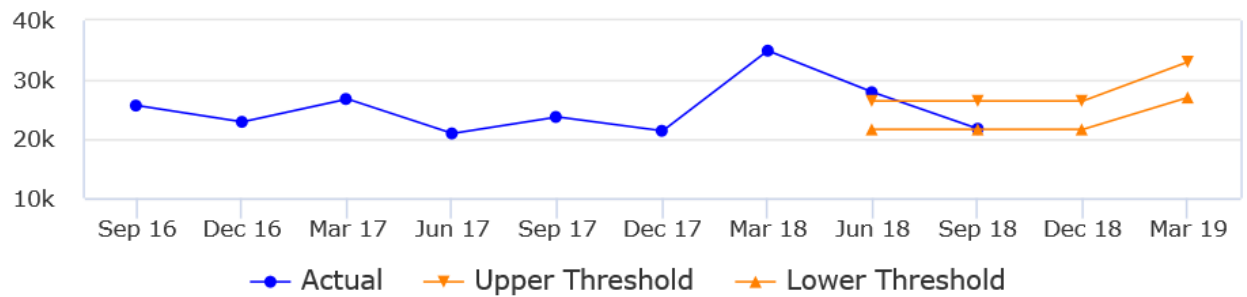
Current: 35,773

Target: 38,600

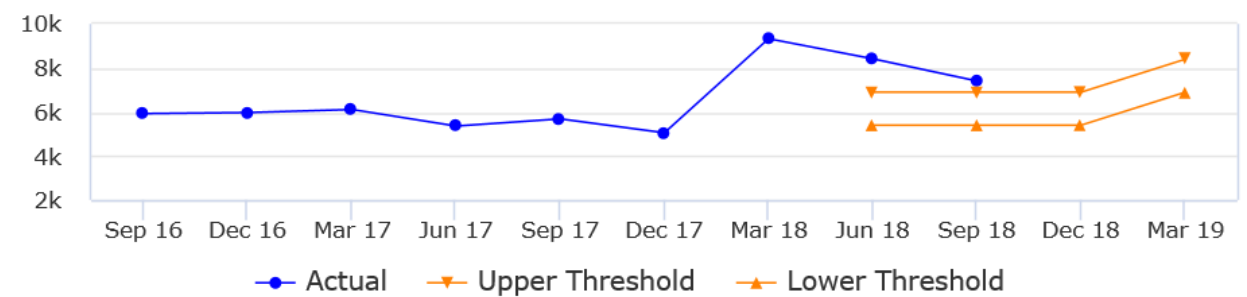
Previous: 36,885

**Activity indicators**

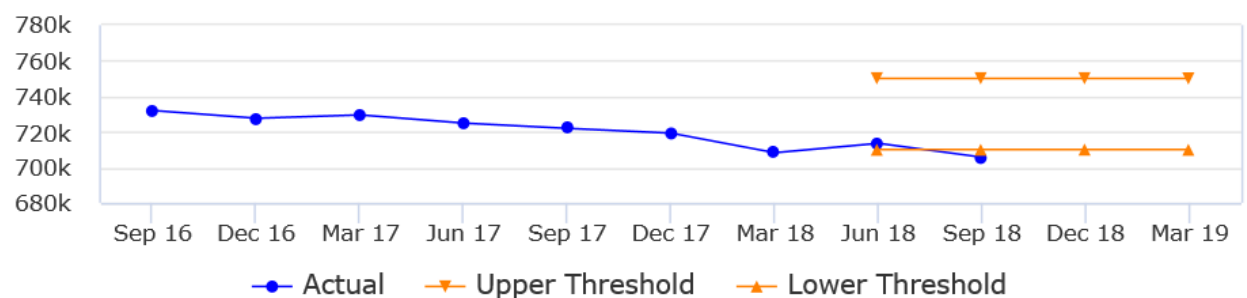
Number of Highways enquiries raised for action - by quarter



Highways Open enquiries work in progress (Routine and Programmed works)



Total municipal tonnage collected - rolling 12 months



Children, Young People and Education	
<b>Cabinet Member</b>	Roger Gough
<b>Corporate Director</b>	Matt Dunkley

KPI Summary	<b>GREEN</b>	<b>AMBER</b>	<b>RED</b>	↑	↔	↓
	<b>4</b>	<b>8</b>	<b>2</b>	<b>5</b>	<b>3</b>	<b>6</b>

## Schools

The results for Primary school attainment outcomes in summer 2018 were above the national average at all key stages. In the Early Years Foundation Stage 75.1% of children attending a school in Kent achieved a good level of development compared to the national figure of 71.5%. We had the second highest results when compared to our statistical neighbours (behind East Sussex with 76.5%).

At Key Stage 2, 66% of pupils achieved the expected standard in reading, writing and maths compared to the national figure of 64%. We had the second highest results when compared to our statistical neighbours (behind Warwickshire with 67%).

At Key Stage 4, the provisional Attainment 8 Score for Kent was 46.8 which was in line with the national figure of 46.5 (for all state funded schools). We had the third highest score when compared to our statistical neighbours (behind Warwickshire at 49.5 and Nottinghamshire at 47.1)

At the end of September, the percentage of Primary schools judged by Ofsted as good or outstanding was 93%, with 89% of Secondary schools and 91% of Special schools being good or outstanding.

Overall 505 of the 552 schools in Kent with a current inspection were good or outstanding, and 92% of pupils were attending good or outstanding schools.

We remain determined, working in partnership with schools to continue the positive trajectory seen in Kent. Improving outcomes and reducing the performance gaps are at the forefront of our work.

The priorities moving forward are to maintain the proportion of schools with a judgement of good or better, increase the number of schools graded as outstanding and move those who require improvement to become good as quickly as possible. Currently 22% of schools in Kent are judged to be outstanding.

## Early Years

The percentage of Early Years settings which were rated Good or Outstanding in September was 96%, two percentage point below the target. Sustaining this standard whilst also increasing the amount of outstanding provision remains a key priority for the Early Years and Childcare Service.

Other priorities include the ongoing delivery of 30 Hours of Free Childcare, working in partnership with Children's Centres to continue to increase the take up of Free Early Education places by eligible two-year-olds, increasing the number of children achieving a Good Level of Development at the end of the Early Years Foundation Stage,

narrowing achievement gaps, and increasing the number of Early Years settings working within a collaboration.

The take-up for the free childcare entitlement for eligible two years olds at the start of the Autumn 2018 term was 50%. This will increase as time goes on with an expected take up of 70% at the end of December 2018.

### **Skills and Employability**

The number of young people who are Not in Education, Employment or Training is not reported for September because there are annual fluctuations in the NEET cohort. The number of NEETs rises over the summer months due to school and college leavers and increases significantly in September as new data is processed and young people find new learning and training placements. The three-month average for last December used by the DfE to benchmark local authority performance, was 2.6% compared to the target of 2.5% and an improvement on the 2015/16 outturn of 3.0%.

The number of 16 to 18 year olds who started an apprenticeship was lower for academic year 2017/18 compared to the previous year, with this reduction also seen nationally. The introduction of the Apprenticeship Levy has not yet had the expected impact of increasing apprenticeship numbers, with delays bringing in the new required standards.

The Apprenticeship Levy has raised the quality of the standards and expectations for apprenticeship schemes, with many new standards designed to meet the expectation of employers. With new standards now in place it is expected that the number of apprentice starts will increase in the current academic year.

Through our Apprenticeship Action Plan we are promoting apprenticeships throughout Kent to raise awareness and increase the number of opportunities available. We continue to develop the offer available on the Apprenticeship Kent website and we are currently developing a supported Apprenticeship programme route for vulnerable learners with disabilities and disadvantages.

We are working collaboratively with schools, Further Education Colleges and Work Based Training providers to develop locally co-ordinated approaches to support apprenticeship take-up.

### **SEND (Special Educational Need and Disability)**

The percentage of new Education, Health and Care Plans (EHCPs) issued within the statutory 20 weeks based on the rolling 12 month average was 43% (759 out of 1,747) against a target of 90%. This is down from last quarter and also below national average. However the performance for the month of September is better at 52.1% (101 out of 194).

There has been a significant increase in demand for assessments for EHCPs which also require an Educational Psychology (EP) assessments, with numbers up 49% compared to the previous year. This has led to a backlog which is affecting the EP service's ability to meet demand.

There has been an overall increase of 55% in the total number of assessments for Education, Health and Care Plans (EHCPs) within the past 12-months. As well as the initial statutory assessment process, a child with an EHCP requires ongoing administration through Annual Reviews, and the increase in the number of

assessments and plans also increases ongoing caseloads for staff. The increase in the number of EHCPs has created placement pressures within our special schools and Specialist Resource Provision. This has resulted in a 25% increase in the number of placements in the independent sector resulting in increased pressure on the placement budget.

### **School Places and Admissions**

For admissions in September 2018, 80% of parents secured their first preference secondary school and 90% of families secured their first preference for primary school places. In September 2018 there are eight primary schools offering significant numbers of extra places, adding 225 Year R places between them. 27 secondary schools have made a further 996 Year 7 places available for this September. Additional places being offered will in some cases be temporary.

Across all Kent schools, the net change to the number of places being offered for September 2018 entry (compared with September 2017 entry) was an increase of 34 Year R places (17 schools increasing and 13 schools reducing) and an increase of 99 Year 7 places (16 schools increasing and 19 schools reducing). This is because some schools which have offered a temporary increase in their intake for one or more previous years, are unable to continue to do so and have reverted back to their (lower) determined admission numbers.

For 2017/18 across Kent as a whole, the target of maintaining at least 5% surplus capacity has been met at both primary and secondary phases. For primary schools, there are six districts with less than 5% surplus capacity compared to seven in 2016/17. For Reception year groups, all districts have at least 5% surplus capacity, a significant improvement from eight districts last year. For secondary schools, all but one district (Canterbury) have met the 5% surplus capacity target and for Year 7, four districts have missed the target, which is still an improvement on five last year, especially at a time of rising Year 7 roll numbers.

### **Children's Integrated Services**

The Children's Change Programme is continuing, and the two Directors of Integrated Children's Services have now been in post since August 2018. Having evaluated the integration pilot projects, we have now launched a series of workstreams to develop plans to inform the new model of integrated working to ensure we deliver our vision for children and young people in Kent.

The new integrated Front Door launched on the 1<sup>st</sup> October, combining the Children's Social Work Central Duty Team and the Early Help Triage team. This now provides a single route into support services at intensive level or higher, with a single 'request for services' form for schools and other agencies to complete.

### **Early Help**

There were 2,157 cases open to Early Help units, which equates to support for 4,824 children and young people aged 0 to 17. The percentage of Early Help cases closed with outcomes achieved decreased from 81% to 79% and was one percentage point below the target.

For Early Help unit cases initiated via an Early Help Notification 85% of cases are closed with outcomes achieved, which is above the 80% service standard. Since April a new process has been in place for Domestic Abuse Notifications referred to Early Help Services with an offer of support to families.



There were 51 permanent school exclusions in the last 12 months, a reduction from 69 for the previous year to September. Of these 22 were from primary schools and 29 from secondary schools. At 0.02% of the school population this was better than the target of 0.03% and the last published national average of 0.10%.

The number of first-time entrants to the Youth Justice system at 247 in the last 12 months was better than the target of 290, with numbers continuing to reduce each year.

### **Children's Social Work - Staffing and Quality of Practice**

The percentage of case holding social worker posts held by permanent qualified social workers increased in the quarter, from 80.7% to 84.9% only marginally behind the target of 85.0%. The percentage of social work posts filled by agency staff increased by 0.6% to 12.6% but remains lower than the latest published England average of 15.8%, taken from a snapshot as at 30th September 2017. The Kent figure for the same period was 14.1%.

Work continues to refine the programme of case file audits, with changes to both the process and system for recording the on-line audits. Information gathered from audit programmes is used to drive continuous service improvement and these additional changes will provide greater alignment between the analysis of data and audit findings, enabling improved measurement of any resulting changes to operational practice.

### **Children's Social Work Caseloads**

There was an increase in the number of referrals for children's social work services during the quarter, from 4,371 to 4,574. The referral numbers so far this year have been lower than for the same period in 2017/18 (8,945 for April to September 2018 compared to 10,226 for April to September 2017).

The rate of re-referrals within 12 months has shown a slight increase in the quarter, from 24.6% to 25.4%, to slightly above the target of 25%. This performance is in line with the latest published data for Kent's statistical neighbours and local authorities in the South East Region and is 2% above the national average rate for England.

The overall rate of Children in Need cases in Kent per 10,000 of the child population, at the end of the quarter was 297.5, which remains below the last published average rate for England, which was 330.4 (as at 31<sup>st</sup> March 2017).

At 21.5 cases the average caseload for Social Workers is above the target level and the reduction of caseloads remains a key priority for the service.

### **Child Protection**

There were 1,303 children with child protection plans at the end of September 2018, a reduction of 78 from the end of June 2018. The number of children starting a child protection plan in the quarter reduced from 317 to 295. The overall rate of children in Kent with a child protection plan, per 10,000 of the child population, at 39.1 is below the last published rate for England at 43.3.

The percentage of children becoming subject to a child protection plan for a second or subsequent time at 20.4% has shown little variance over the last year, and this compares to the last average for England of 19%. Plans for those children who have previously been subject to a Child Protection Plan are regularly reviewed by the Safeguarding and Quality Assurance Unit.

### **Children in Care**

The number of citizen children in care has continued to reduce over the last 12 months and was 1,358 at the end of September. The number placed with Independent Fostering Agencies at the end of the quarter was 168 which was a reduction of 6 from June. The percentage placed in KCC foster care or with family/friends has shown little variance in the quarter and was just below the target of 85%.

Performance against the placement stability measure of 3 or more placements in a 12-month period has reduced from 11.2% to 10.5% in the quarter, taking it close to the Target of 10% which was set to be in line with the average performance for England.

The number of children in care placed in Kent by other Local Authorities at the end of June 2018 was 1,335 which is an increase of 27 from the June 2018 figure of 1,308.

For children who were adopted in the last 12 months the average number of days between coming into care and moving in with their adoptive family was 349 days, which is an increase of 21 days compared to the previous quarter. Kent continues to outperform the nationally set target of 426 days.

### **Care Leavers**

The number of Care Leavers increased in the quarter from 1,603 to 1,629. The performance measure for Care Leavers who the Authority is in touch with who are in Education, Employment or Training is 64.7%, which was just below the 65.0% target.

### **Unaccompanied Asylum Seeking Children (UASC)**

The number of UASC in care at 237 was an increase of 21 since June, with 50 new UASC arrivals in Kent in the quarter. Kent County Council has remained below the threshold level for the authority of 235 which was set under the National Transfer Scheme and calculated to be 0.07% of the 0-17 child population, so there were no transfers to other local authorities in the last quarter. Up until June 2018, 315 young people had been transferred to the responsibility of other local authorities under the Scheme.

## Our Children in Care (including Unaccompanied Asylum Seeking Children)

### Age Profile

Age Group	Dec 17	Mar 18	Jun 18	Sep 18
0 to 4	194	182	167	151
5 to 9	240	239	235	220
10 to 15	734	695	698	707
16 to 17	577	539	505	517
<b>Total</b>	<b>1,745</b>	<b>1,655</b>	<b>1,605</b>	<b>1,595</b>

### Gender

	Dec 17	Mar 18	Jun 18	Sep 18
Male	1,114	1,019	974	969
Female	631	636	631	626

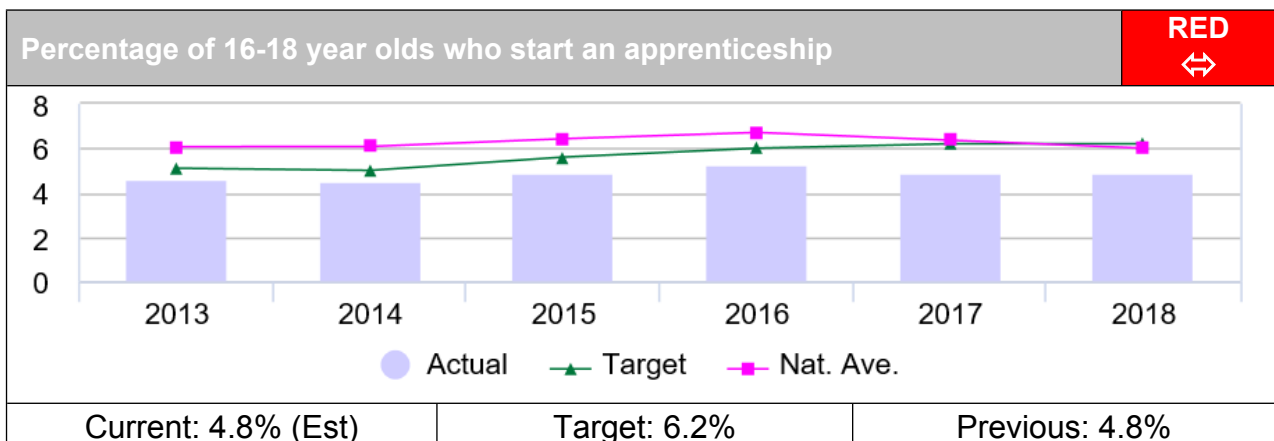
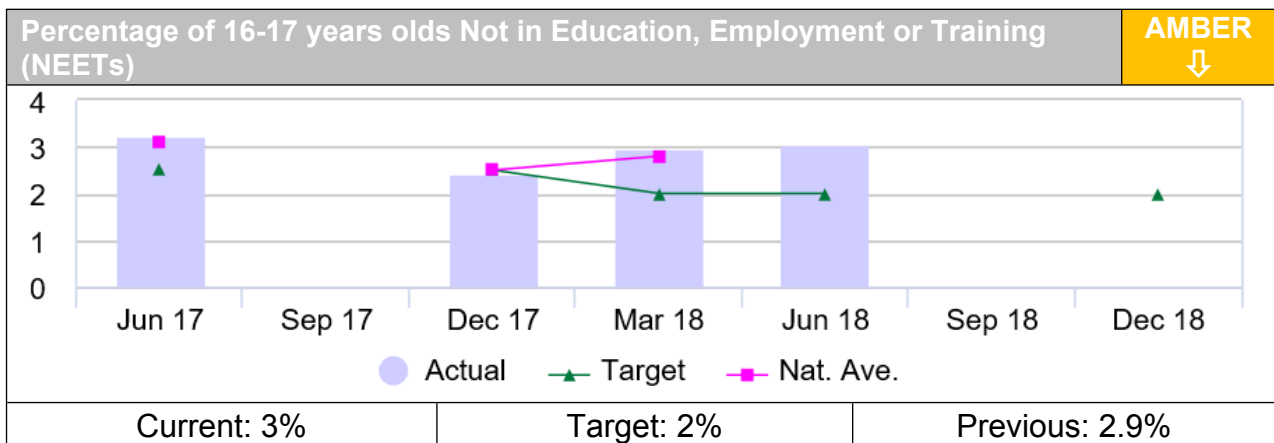
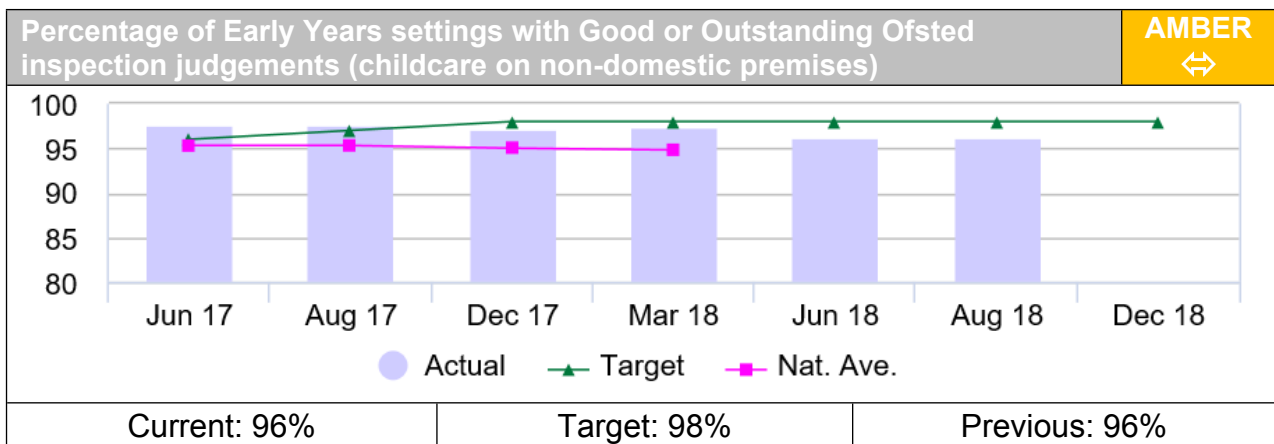
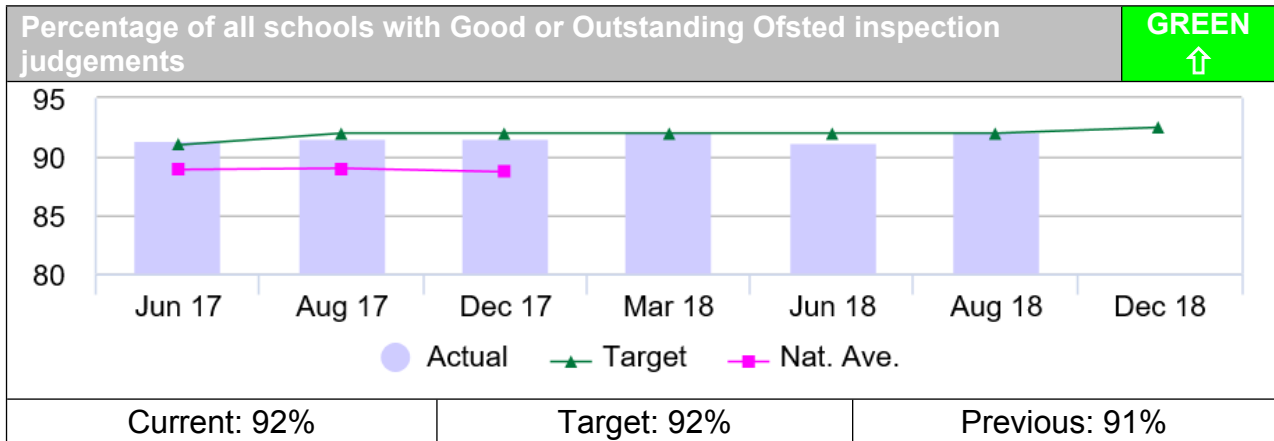
### Ethnicity

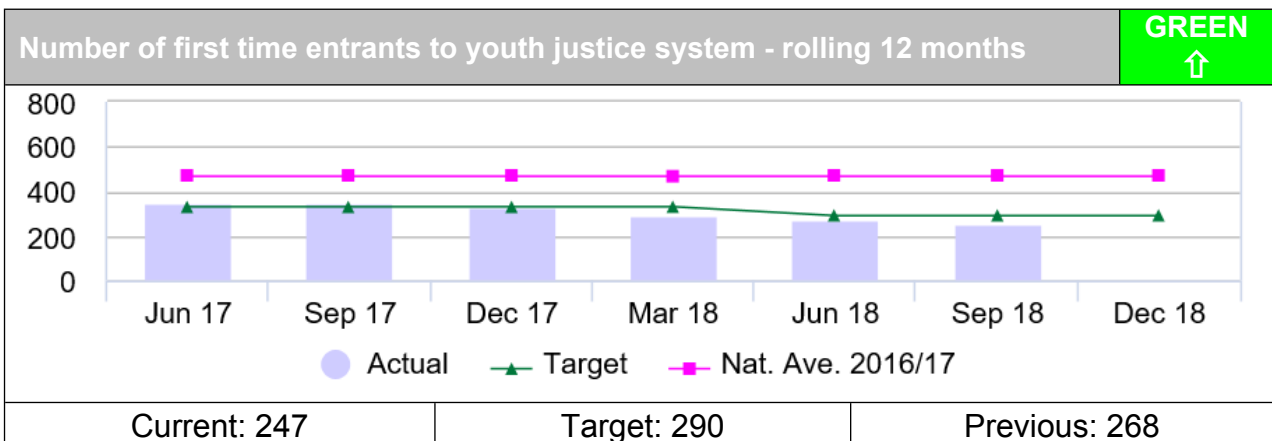
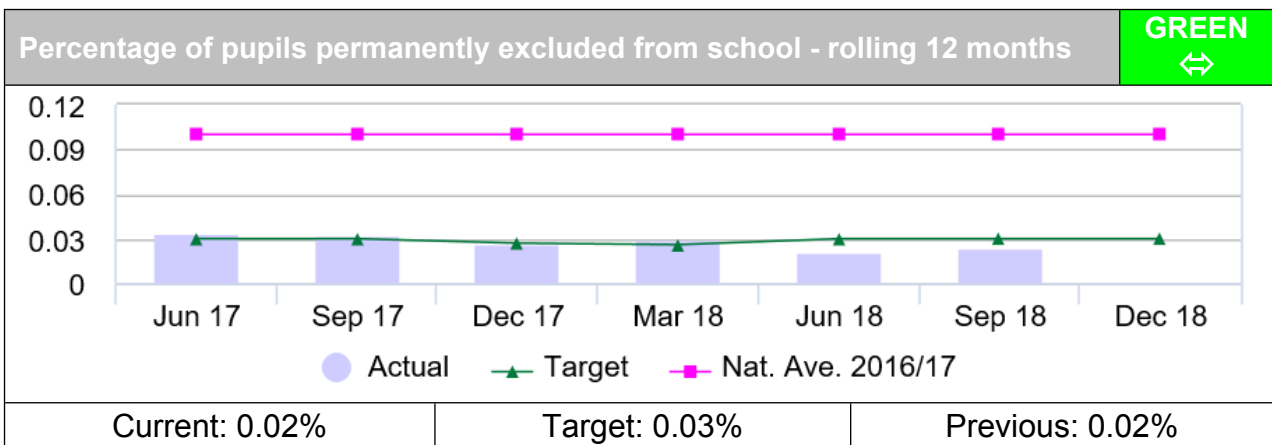
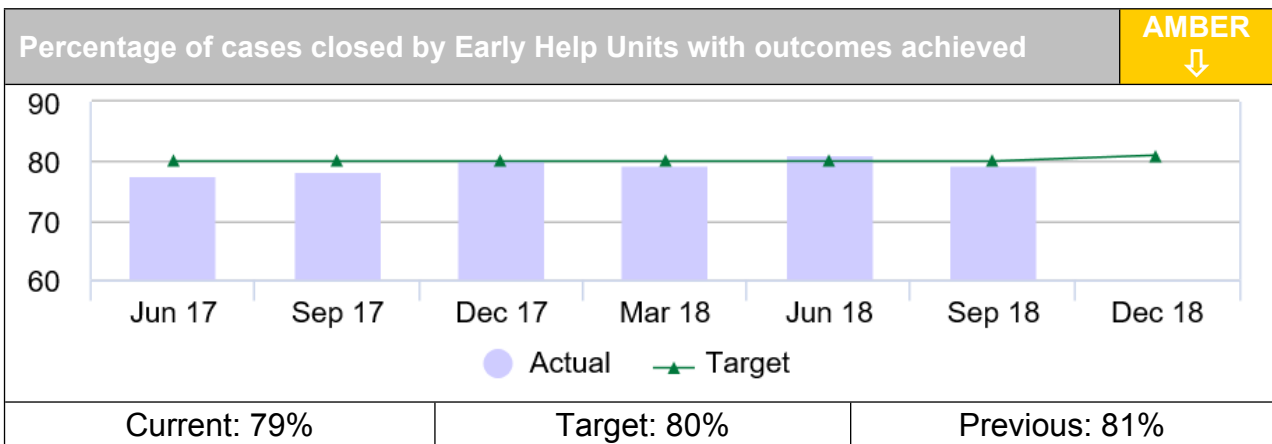
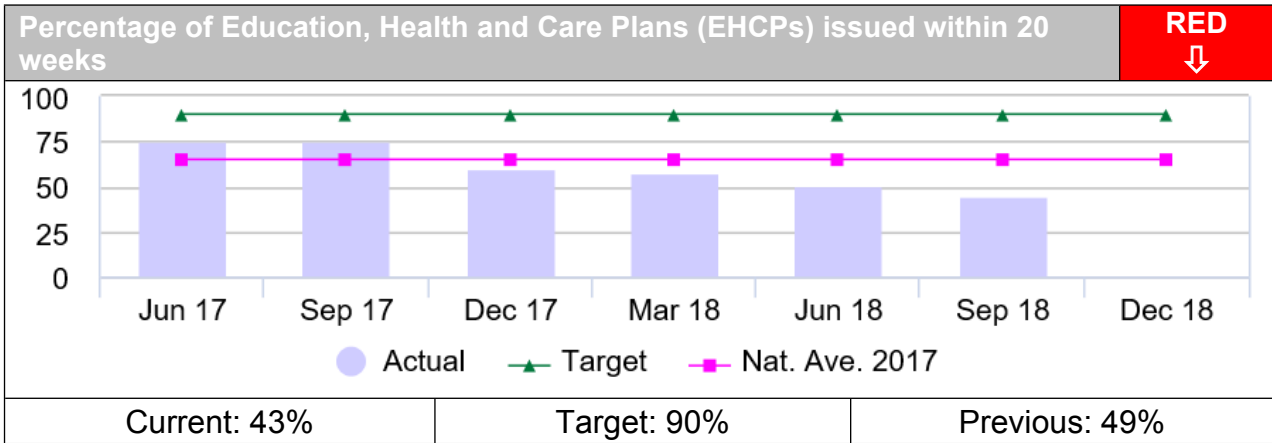
	Dec 17	Mar 18	Jun 18	Sep 18
White	1,306	1,306	1,268	1,247
Mixed	87	85	85	82
Asian	48	41	35	37
Black	107	93	88	100
Other	197	130	129	129

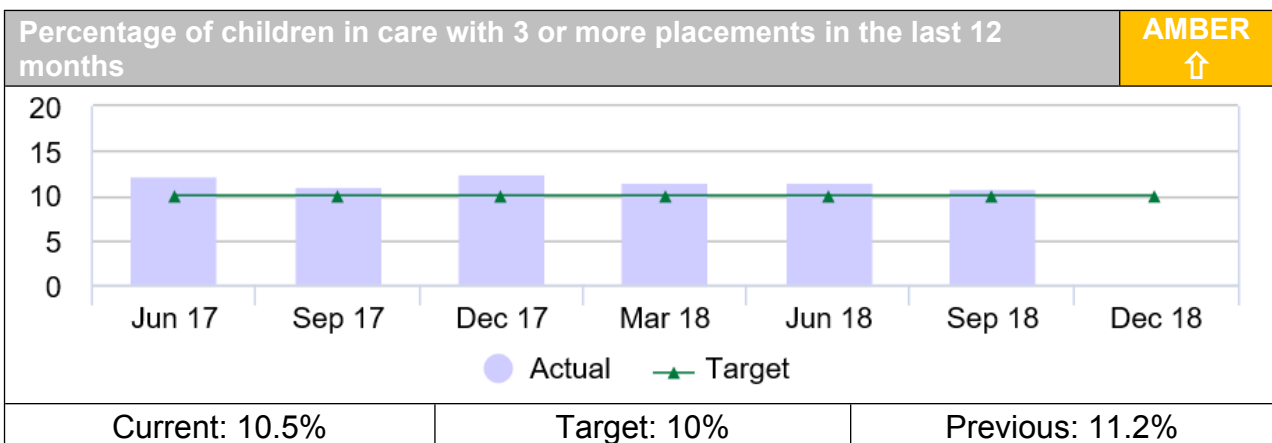
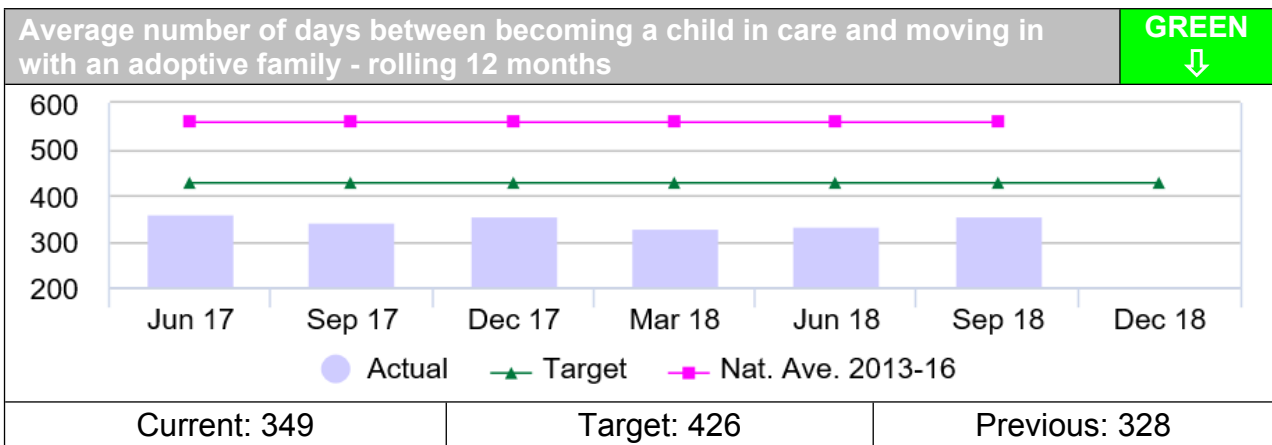
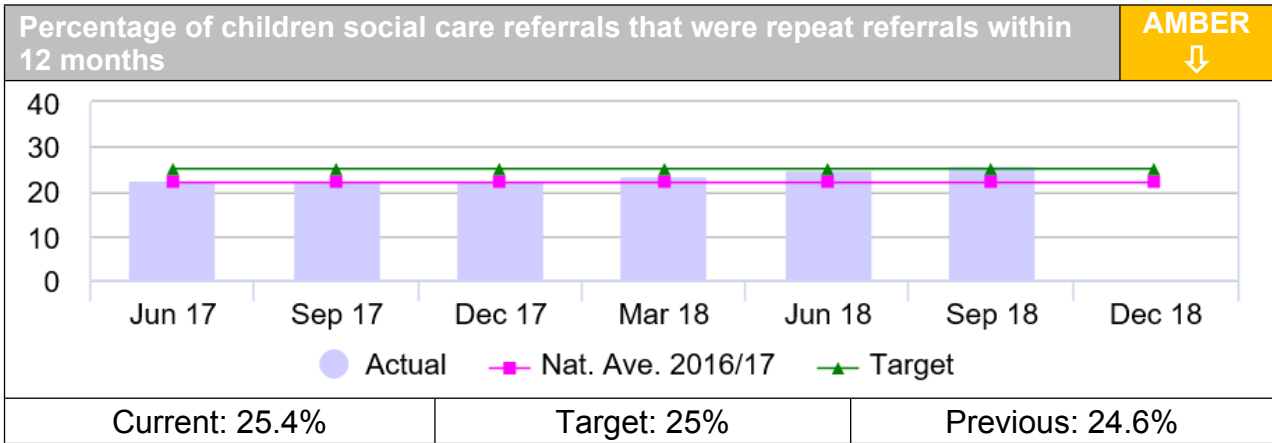
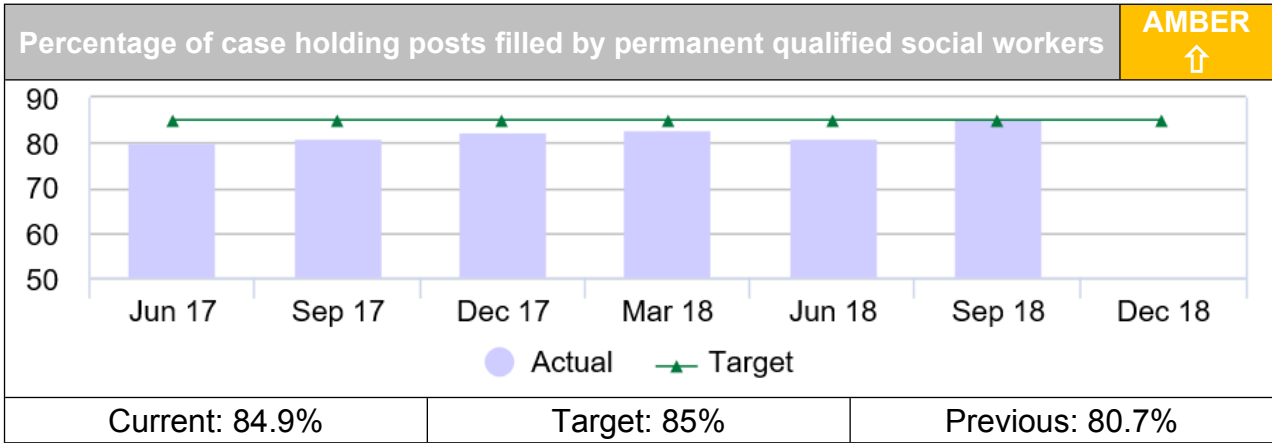
### Kent and Unaccompanied Asylum Seekers (UASC)

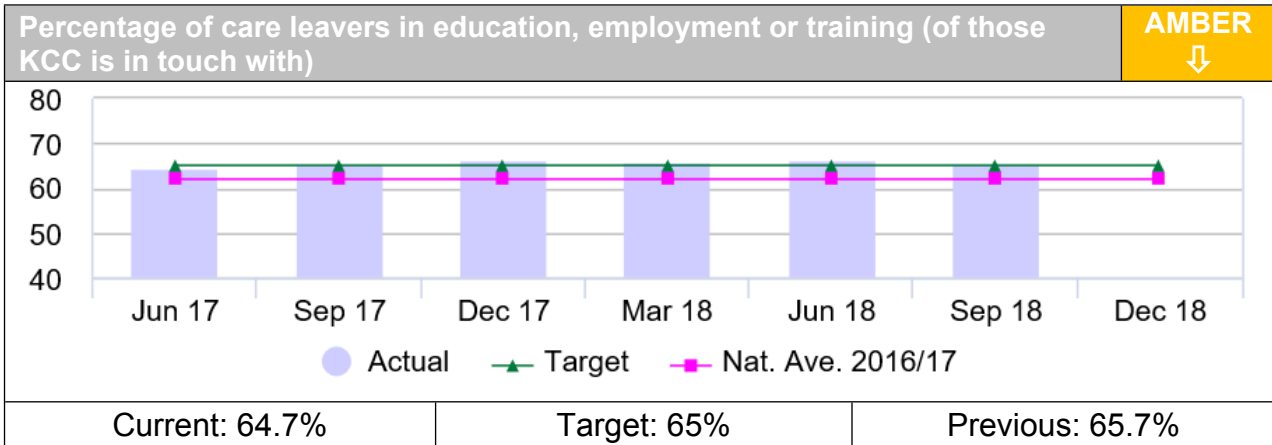
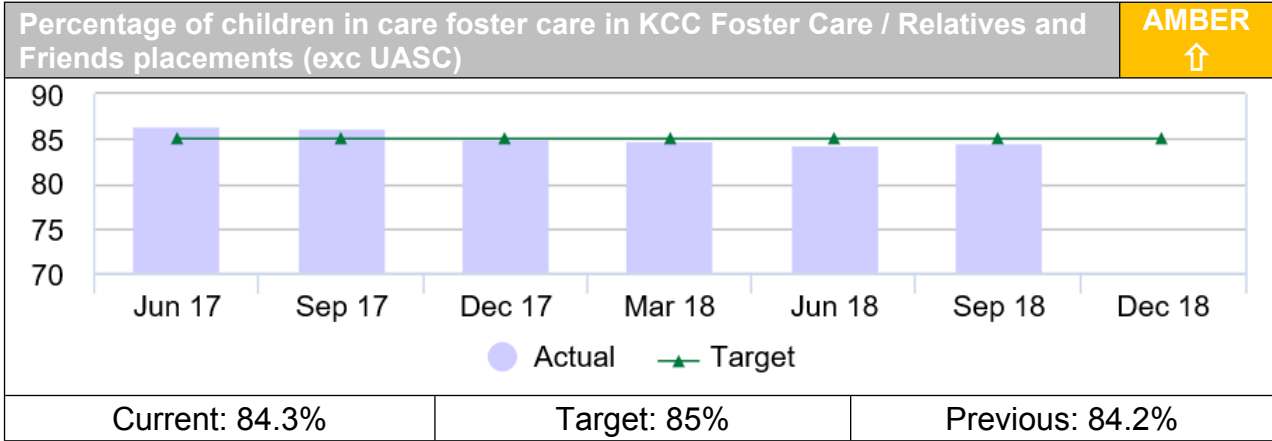
Status	Dec 17	Mar 18	Jun 18	Sep 18
Kent Indigenous	1,423	1,422	1,389	1,358
UASC	322	233	216	237

## Key Performance Indicators

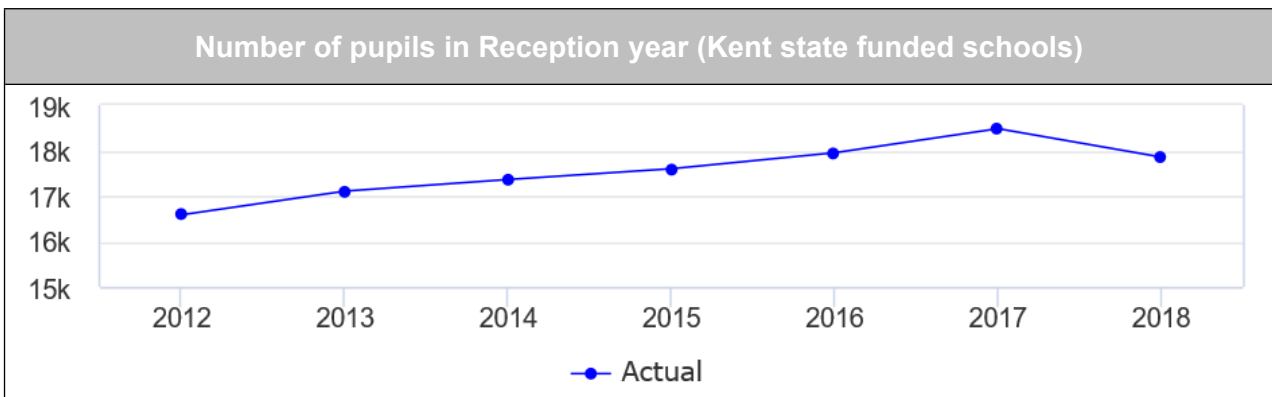
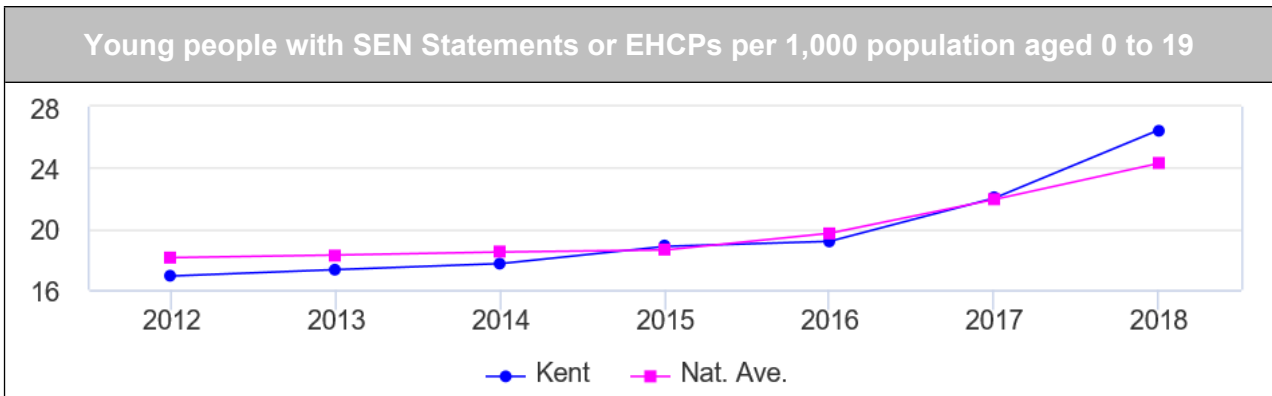




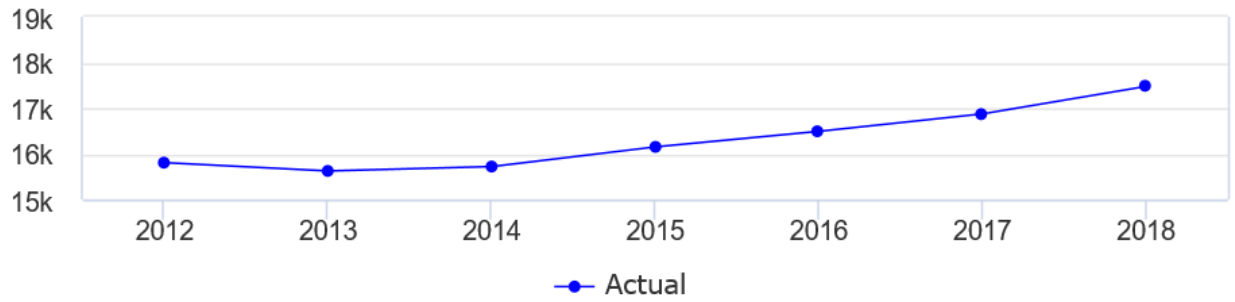




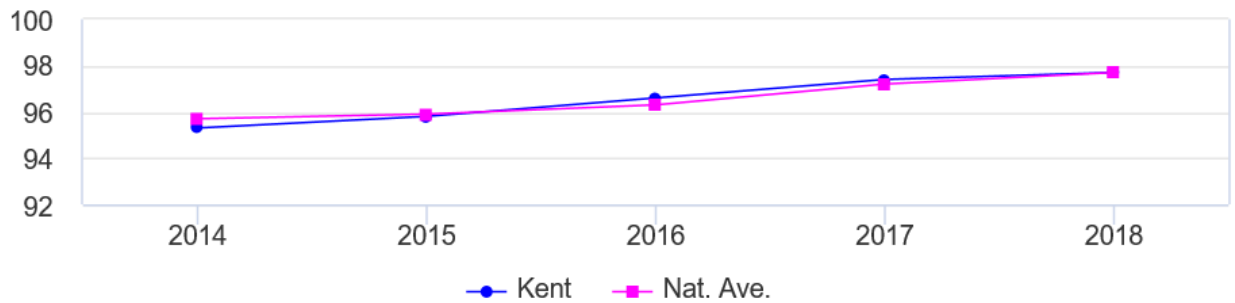
### Activity indicators



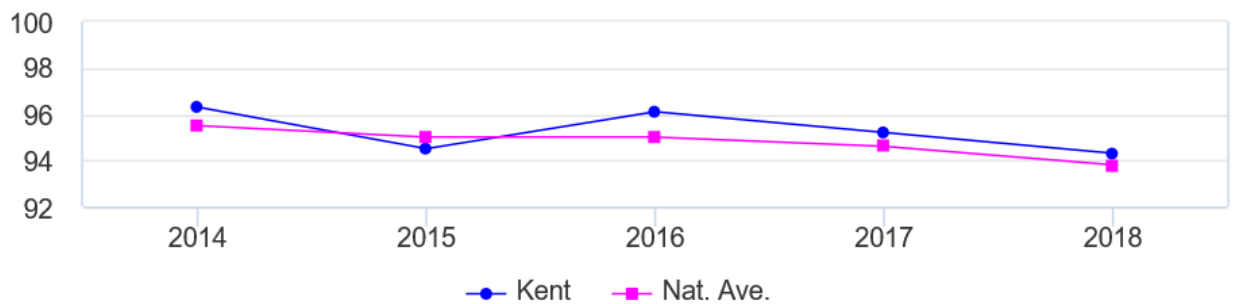
Number of pupils in Year 7 (Kent state funded schools)



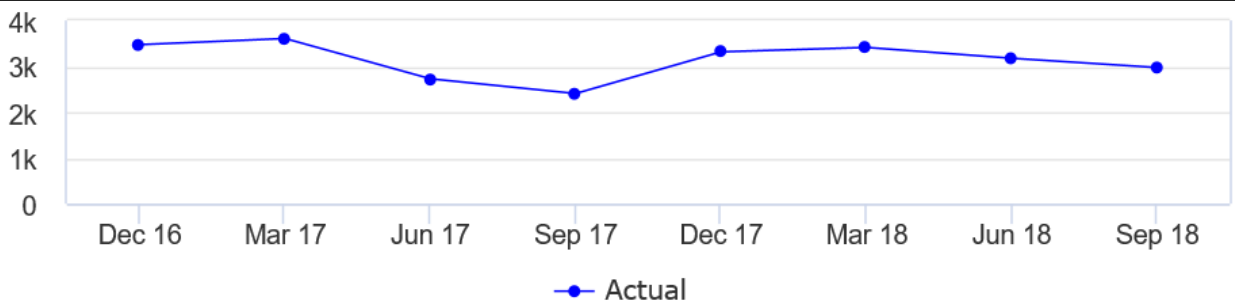
Percentage of Primary school applicants offered one of top three preferences



Percentage of Secondary school applicants offered one of top three preferences

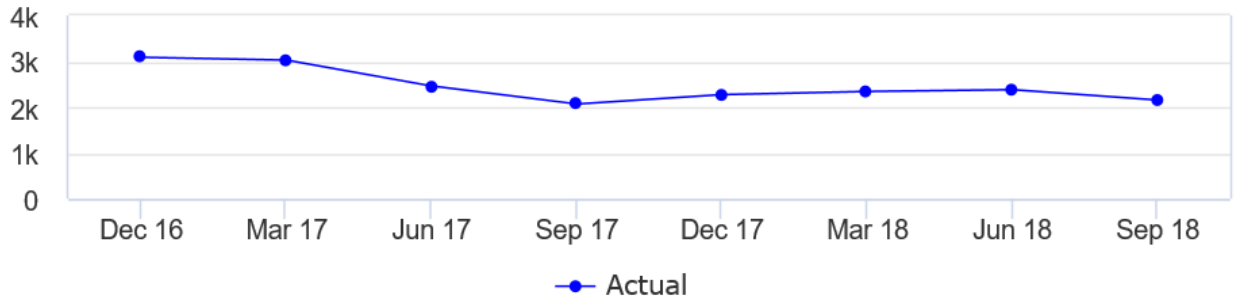


Number of Early Help notifications processed by the Single Front Door

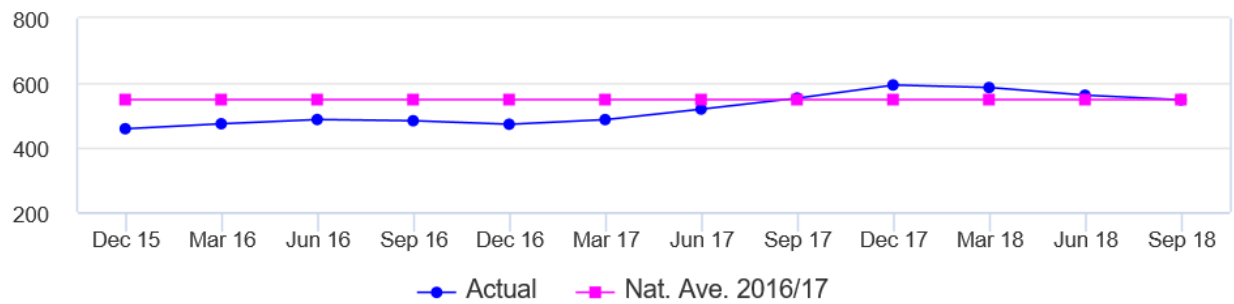




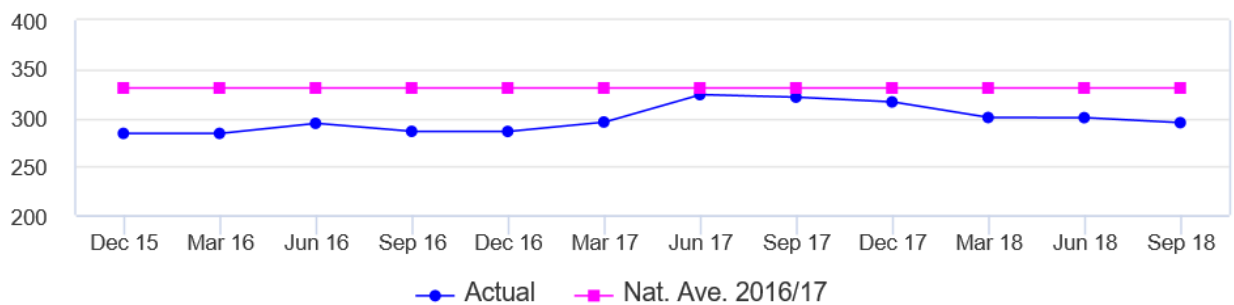
Number of open Early Help cases managed by Units



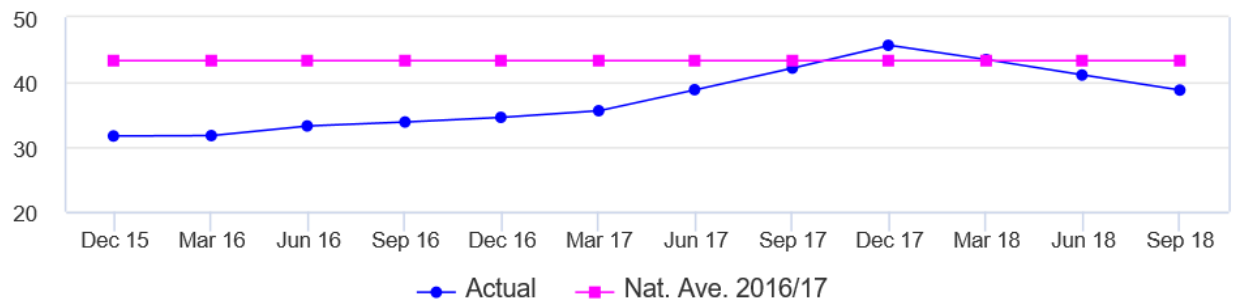
Rate of SCS referrals per 10,000 population aged under 18 – rolling 12 months



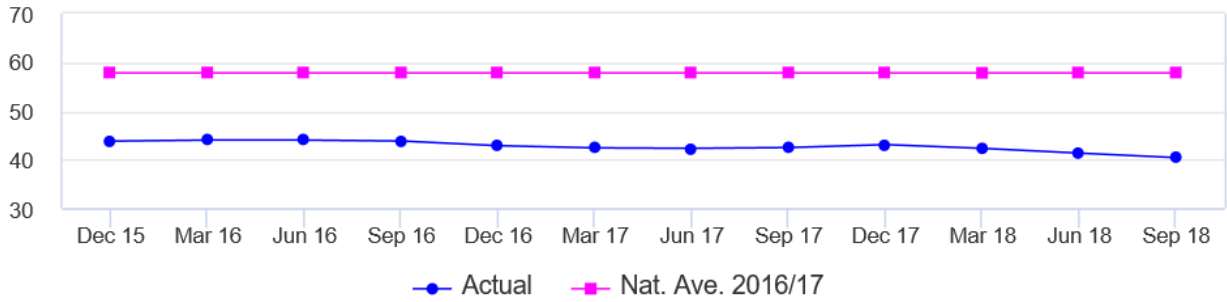
SCS caseload per 10,000 child population – snapshot at quarter end



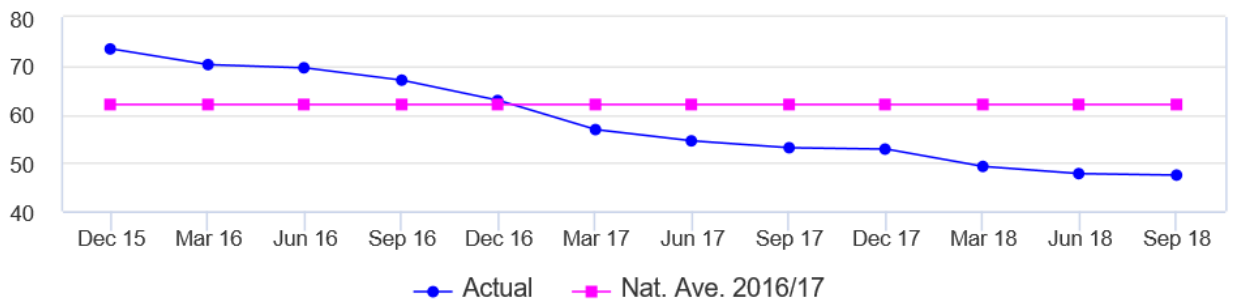
Rate of children with Child Protection Plans per 10,000 child population – snapshot at quarter end



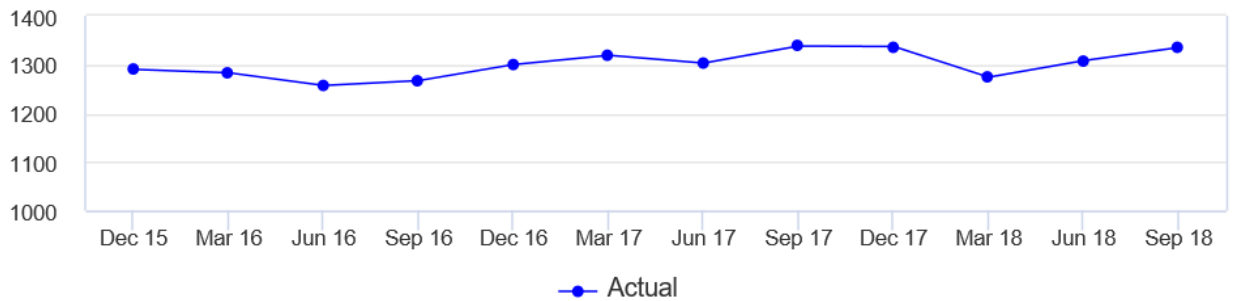
Rate of indigenous Children in Care per 10,000 child population – snapshot at quarter end



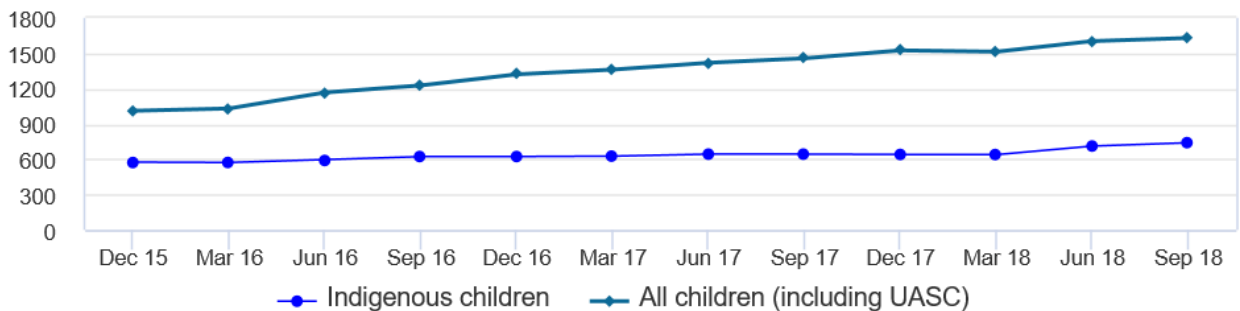
Rate of Children in Care (including UASC) per 10,000 child population – snapshot at quarter end



Number of other local authority children in care placed into Kent – snapshot at quarter end



Number of care leavers as at quarter end



Adult Social Care	
<b>Cabinet Member</b>	Graham Gibbens
<b>Corporate Director</b>	Penny Southern

KPI Summary	<b>GREEN</b>	<b>AMBER</b>	<b>RED</b>	↑	↔	↓
	<b>4</b>	<b>0</b>	<b>1</b>	<b>3</b>	<b>0</b>	<b>2</b>

### Your Life, your well-being

Our vision is to help people to improve or maintain their wellbeing and to live as independently as possible. 'Your life, your wellbeing' details Kent County Council's Vision for the future of adult social care over the next 5 years. As the demand for adult social care is increasing and finances are under pressure, expectations of adult social care are changing.

We continue to modernise our approach to the delivery of adult social care services, and during the last quarter implemented a new operating model for services for older people and physically disabled adults. The new model is aligned to health services within the emerging Local Care model, and aims to focus our approach on prevention, enablement, and maximising independence and choice.

All future support and services adhere to the following principles:

- Promoting Wellbeing - Services which aim to prevent, delay or avoid people's need for social care or health support, by helping people to manage their own health and wellbeing.
- Promoting Independence - Providing short-term support that aims to make the most of what people are able to do for themselves to reduce or delay their need for care and provide the best long-term outcome for people. They will have greater choice and control to lead healthier lives.
- Supporting Independence – Delivered through services for people who need ongoing support and aims to maintain wellbeing and self-sufficiency. The aim is to meet people's needs, keep them safe and help them to live in their own homes, stay connected to their communities and avoid unnecessary stays in hospitals or care homes. For those needing long term care in a care home ensuring it is good quality, promotes independence and is safe.

Within the new operating model for older people practitioners sit in one of several new functions aligned to The Vision, which are Promoting Wellbeing, Promoting Independence, Supporting Independence, Safeguarding, Quality Improvement and Social work. All functions continue to work together as part of one team in a locality and all work is managed via a local resource allocations process led by the senior manager in that locality.

A new Resource Management and Accountability (RMA) Function has been created to ensure that local service expenditure is well managed. This function is designed to undertake client finance related work, allowing frontline staff and managers to concentrate their efforts on what they are best skilled to do.

## **Performance Indicators**

Of the 5 indicators measured for Adult Social Care, 3 improved in the quarter and 2 declined with four being ahead of target.

The percentage of contacts resolved at first point of contact increased in the quarter and was ahead of target at 84%.

The number of referrals to enablement increased in the quarter. With an average of 245 starts per week during the quarter, activity is now 11.6% ahead of target. A total of 905 referrals were made to the externally commissioned provider Hilton equating to 28.4% of all referrals to enablement over the quarter.

The overall picture of people being supported through the full range of enabling services is quite positive with a number of schemes commissioned by KCC, and the NHS such as Home First, Hilton's Discharge to Assess, and Virgin Care. These schemes are delivering intermediate care and enabling services and have added additional capacity on top of the KCC in-house Kent Enablement at Home (KEaH) service.

The percentage of clients still independent after enablement remains ahead of target at 69%. The introduction of Occupational Therapists within KEaH has resulted in more people receiving either a smaller package of care or no care following their completion of enablement.

The number of admissions of older people aged 65 and over into residential and nursing home increased this quarter and remains higher than target by 25%. There are a number of factors affecting this, including assisting people out of hospital, with the number of people experiencing a delayed transfer of care from hospital continuing to be a significant pressure. We also anticipate additional pressure in the coming months with an increase in residential and nursing placements.

The proportion of delayed discharges from hospital where KCC was responsible in the last quarter was within the 30% target at 26.3%. There were 14,057 bed day delays of delayed transfer from hospital in the quarter, equivalent to 12.5 per 100,000 of the population per day.

## **Safeguarding**

In October 2015 the "Making Safeguarding Personal" approach was changed. This included changing Safeguarding Alerts to Safeguarding Enquiries. As a result of the changes we have seen a significant increase in the number of safeguarding concerns received with more activity now being captured. We expect to see the number of concerns raised level off as the new approach becomes embedded in practice.

Safeguarding improvement plans have been put in place to manage the increased cases activity and new cases are being dealt with more efficiently. Tighter controls of historic safeguarding cases open over 6 months have been put in place.

Although the Safeguarding concerns have increased in the quarter, the Safeguarding enquiries remain stable. Therefore the conversion rate from concerns to enquires is in decline. This was a feature of the OPPD realignment to deal with concerns quicker, to stop them progressing further if possible.

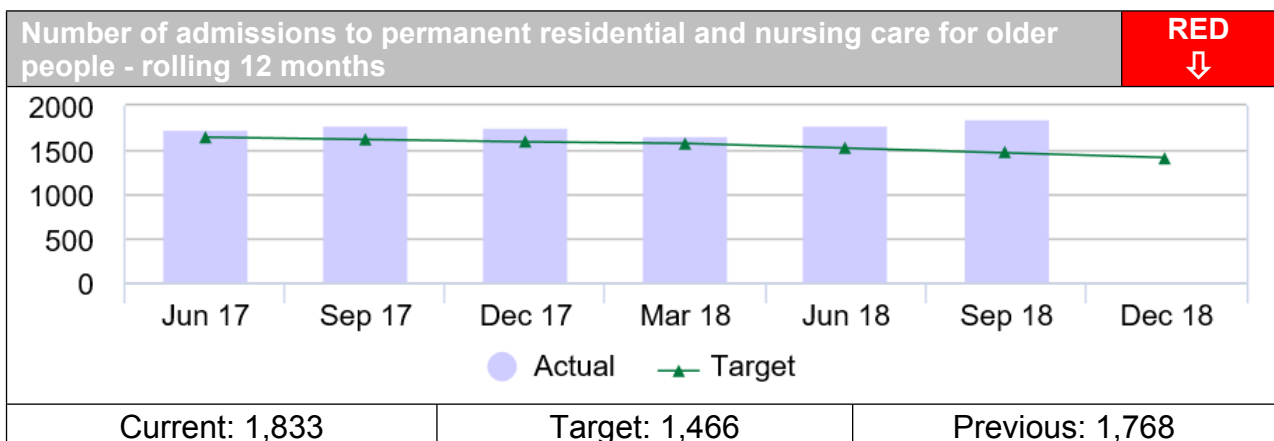
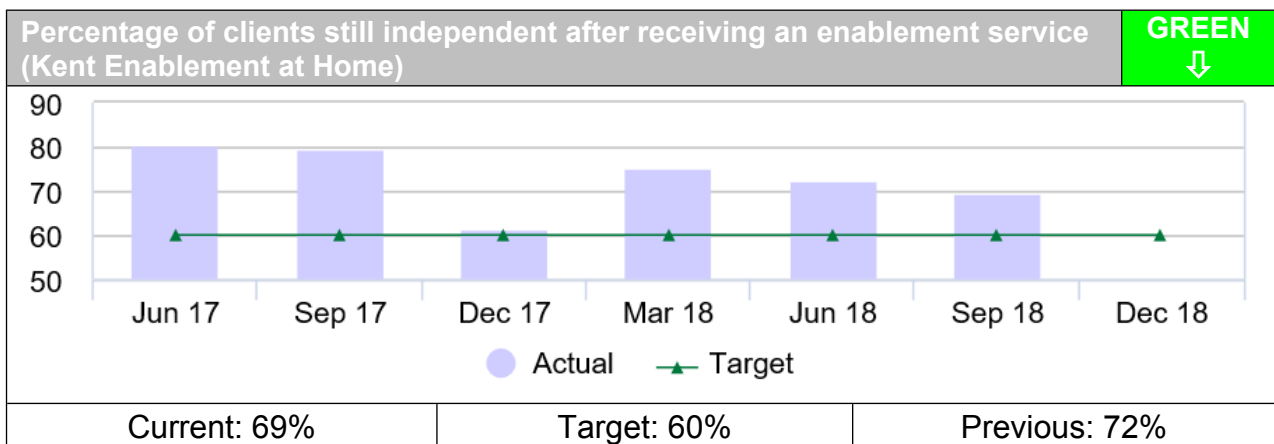
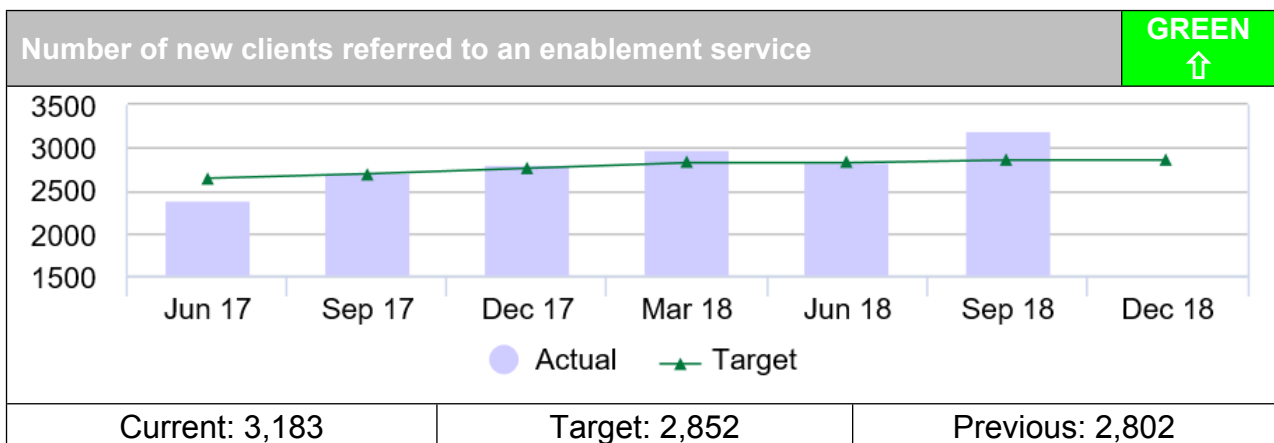
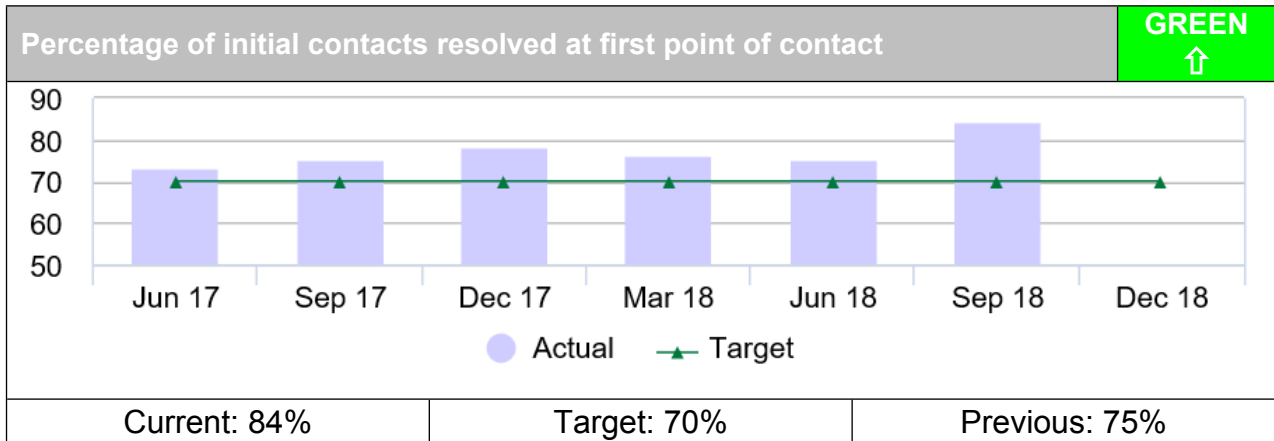
## Service User Feedback

All local authorities carry out surveys of adult social care service users on an annual basis, as set out by Department of Health guidance. The survey results are used, along with other feedback gathered, to understand how we can make improvements to services. Results of some of the key survey questions areas are shown below, with national averages shown in brackets (where available).

	2014-15	2015-16	2016-17	2017-18
Service users who are extremely or very satisfied with their care and support	70% (62%)	66% (64%)	66% (65%)	63.8% (65%)
Carers who are extremely or very satisfied with their care and support	41% (41%)	N/A*	35% (39%)	N/A*
Service users who have adequate or better control over their daily life	84% (77%)	80% (77%)	82% (78%)	79.6% (77.7%)
Service users who find it easy to find information about services	78% (74%)	75% (74%)	75% (74%)	73.7% (73.2%)
The proportion of carers who find it easy to find information about support	62% (66%)	N/A*	66% (64%)	N/A*
Service users who say they feel safe as they want	73% (69%)	71% (69%)	74% (70%)	68.8% (69.9%)
Service users who say that the services they receive help them feel safe and secure	84% (85%)	85% (85%)	82% (86%)	79.5% (86.3%)

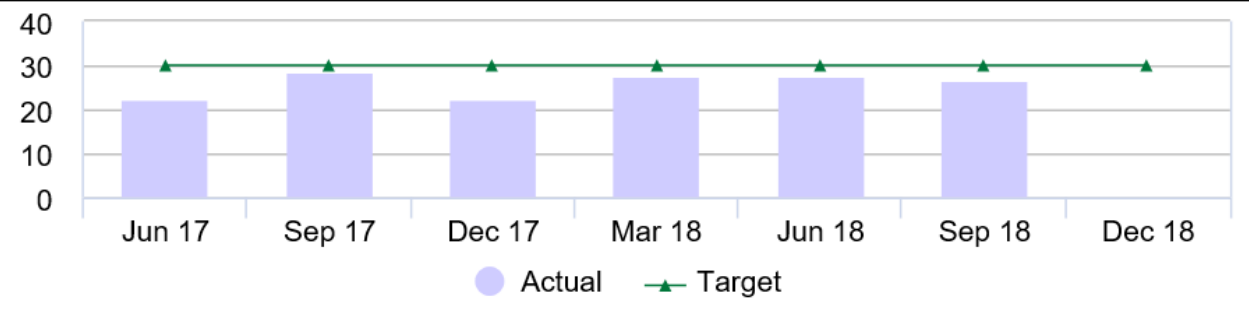
\* The Carers survey is undertaken every other year

## Key Performance Indicators



Percentage of Delayed Discharges from hospital with Adult Social Care responsible - weekly average (local data)

**GREEN**  
↑



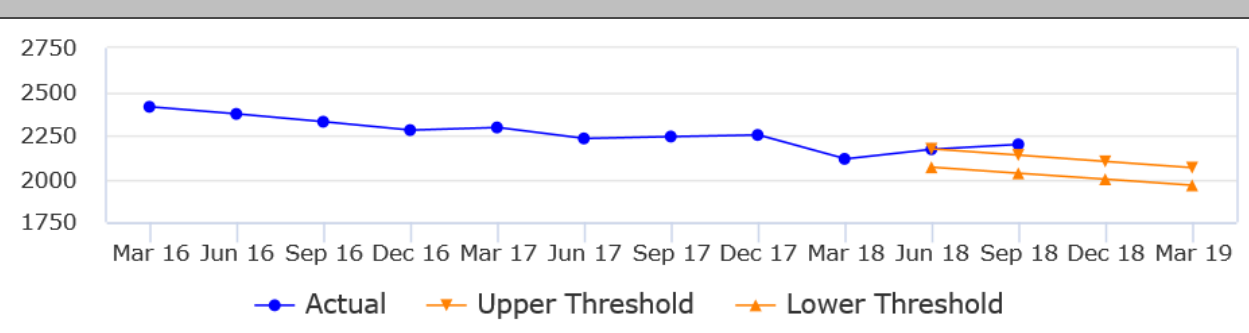
Current: 26%

Target: 30%

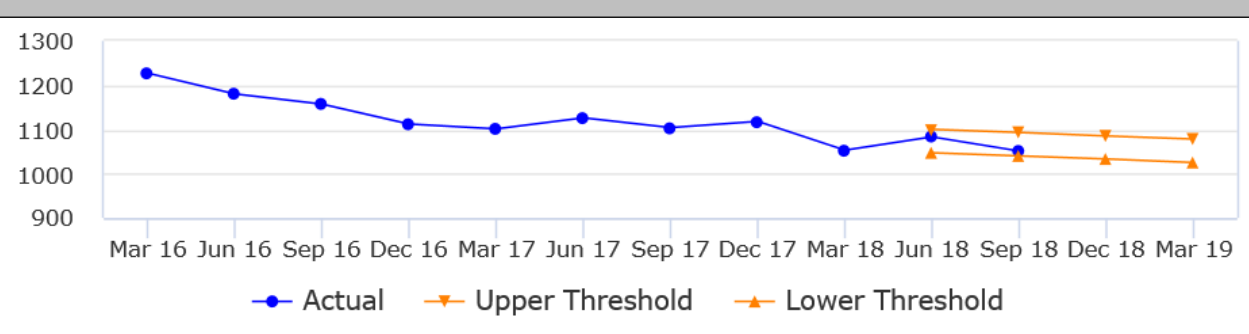
Previous: 27%

**Activity indicators**

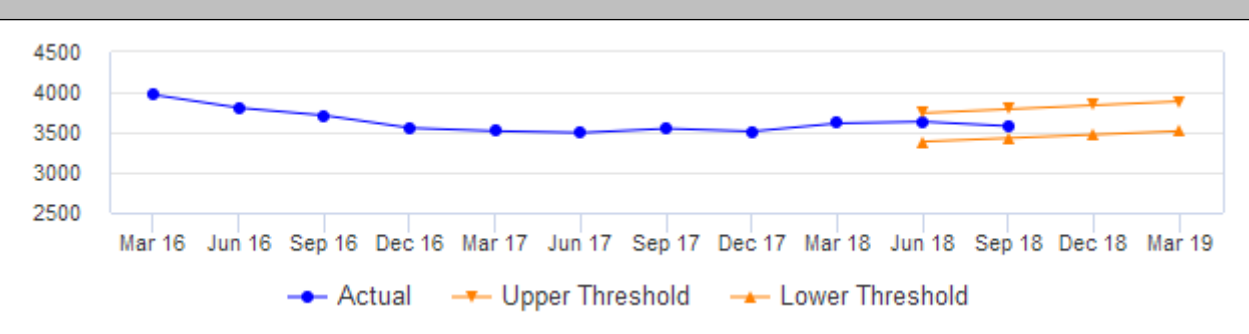
Number of older people supported in permanent residential care



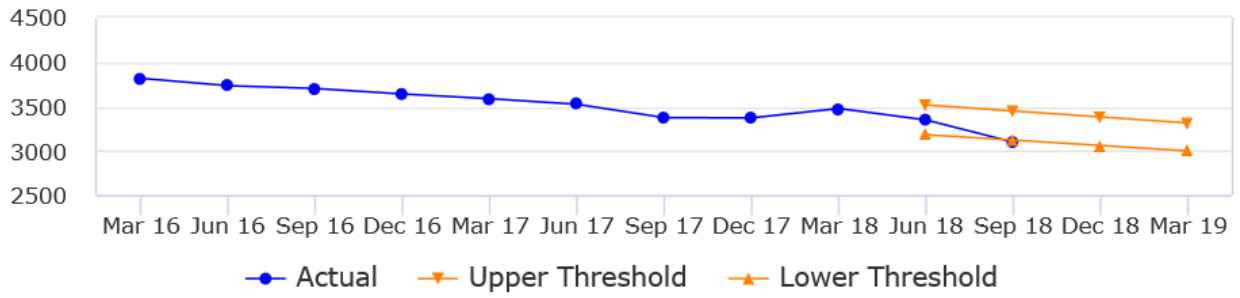
Number of older people supported in permanent nursing care



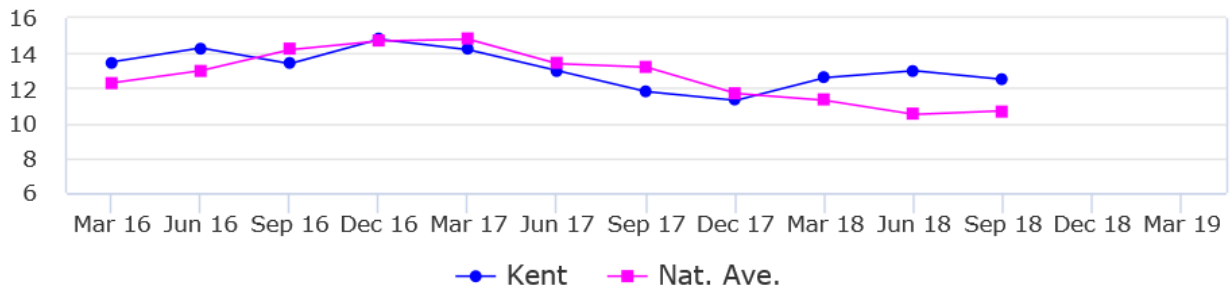
Number of older people who receive domiciliary care



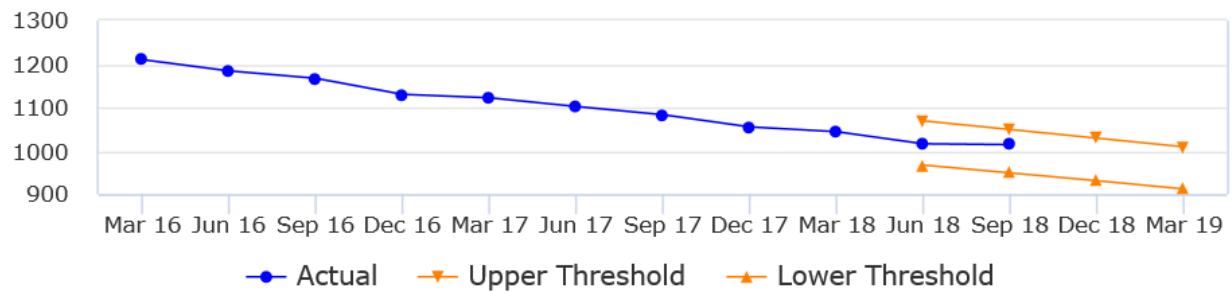
### Number of social care clients receiving a direct payment



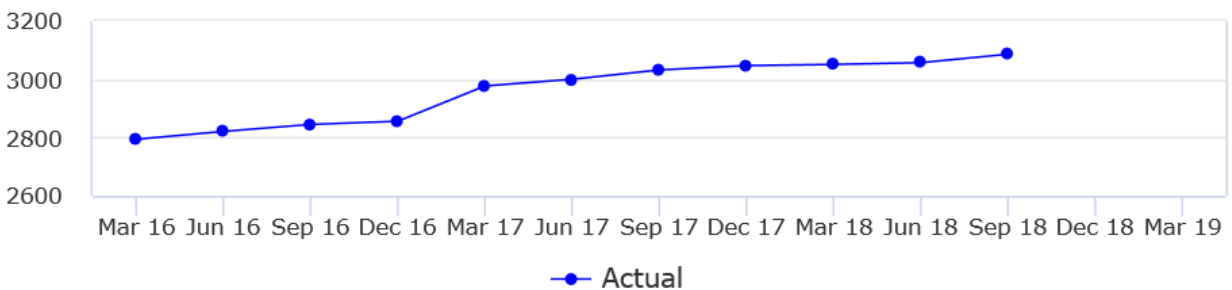
### Number of delayed transfers of care per 100,000 population age 18+, average per day (national data)



### Number of learning disability clients in residential care

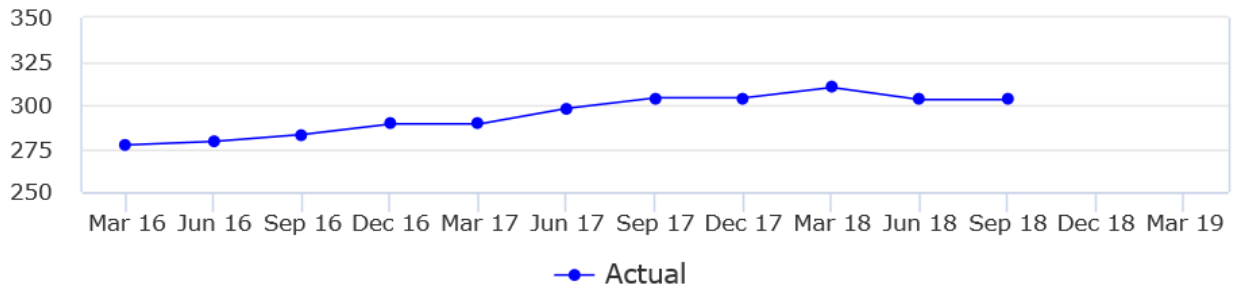


### Number of people with a learning disability receiving a community service

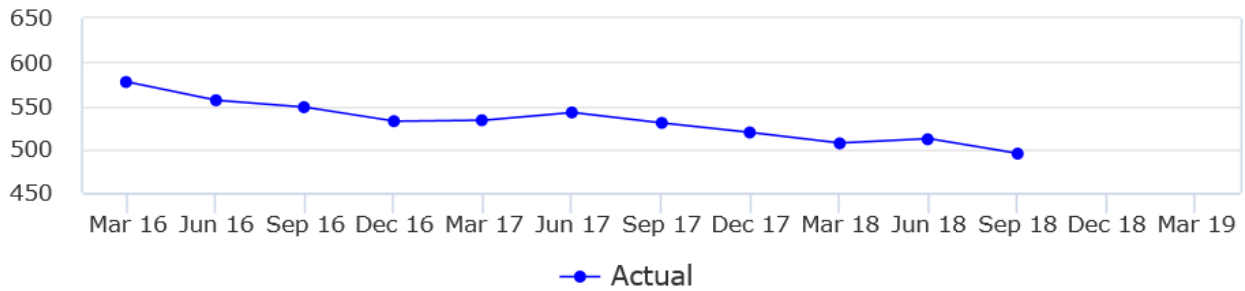




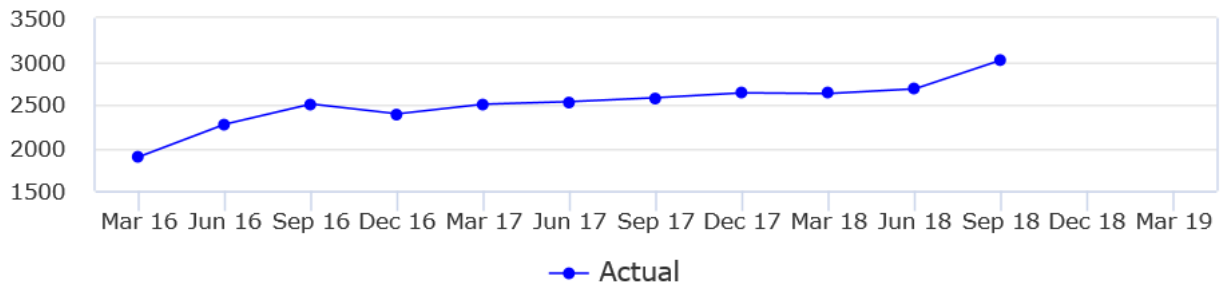
### Number of people with mental health needs in residential care



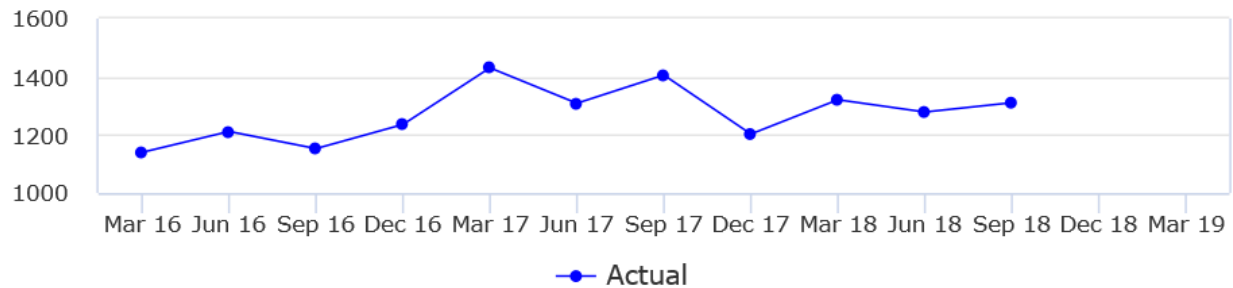
### Number of people with mental health needs receiving a community service



### Number of Safeguarding concerns (initial contacts)



### Number of Deprivation of Liberty Safeguards applications



Public Health	
<b>Cabinet Member</b>	Graham Gibbens
<b>Director</b>	Andrew Scott-Clark

KPI Summary	<b>GREEN</b>	<b>AMBER</b>	<b>RED</b>	↑	↔	↓
	<b>3</b>	<b>2</b>			<b>1</b>	<b>4</b>

The number of NHS Health Checks delivered in the 3 months to September 2018 increased compared to the previous 3 months. The delivery of checks over the 12 months to September 2018 have decreased, and performance remains below target. However, over 52,000 invites have been sent to eligible clients, and the provider is on track to issues invites to 100% of the 91,000 cohort.

Commissioners are working with the provider to implement an improvement action plan for Health Checks to improve levels of uptake. This includes a drive to improve take-up for males aged over 50 years, in line with the findings of the Health Equity audit and the provider will be working in Thanet and Swale, focussing on local pubs, during December and January.

The Health Visiting Service completed over 70,000 universal developmental reviews in the 12 months to September 2018 which was above target. In September 2018 the Service were awarded stage 2 UNICEF Baby Friendly Initiative accreditation. The Baby Friendly Initiative supports services to transform their care in line with nationally recognised best practice standards. The Health Visiting Service and Children's Centres are working in partnership towards achieving stage 3 Baby Friendly Initiative accreditation by 2020.

Health Visitors have been co-located with Children's Centre staff in The Willows and Bluebells Children's Centres from the beginning of November 2018. The benefits of this approach will be evaluated to assess co-location principles and practicalities.

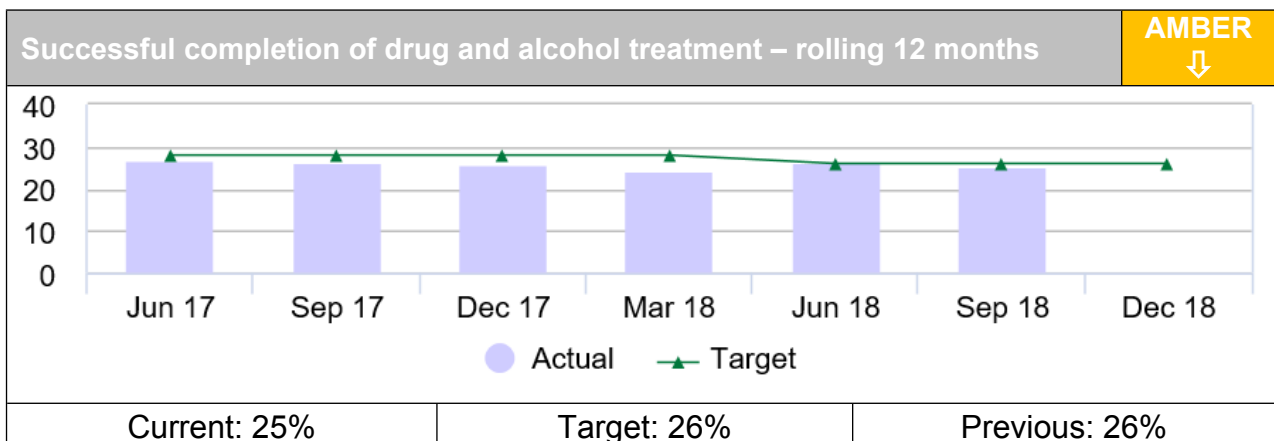
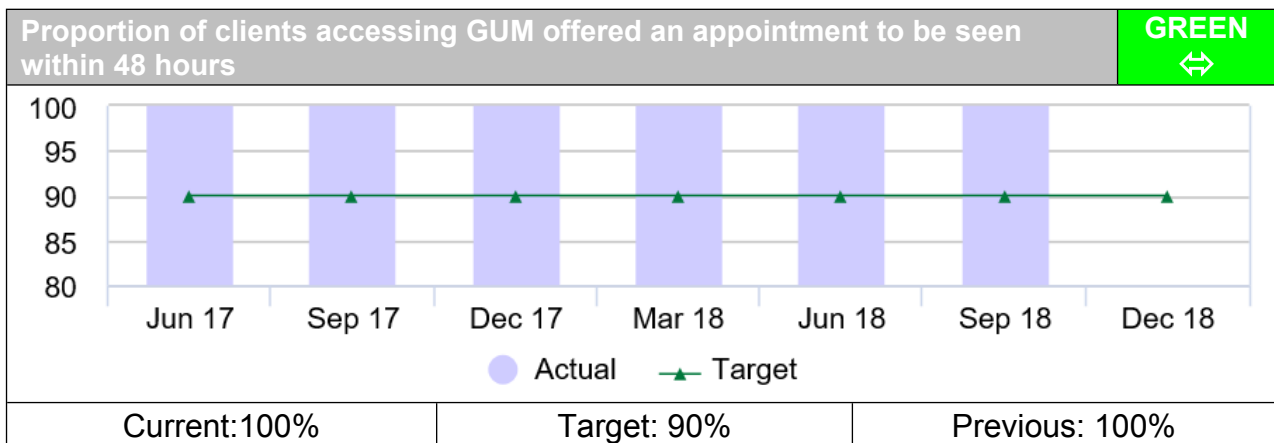
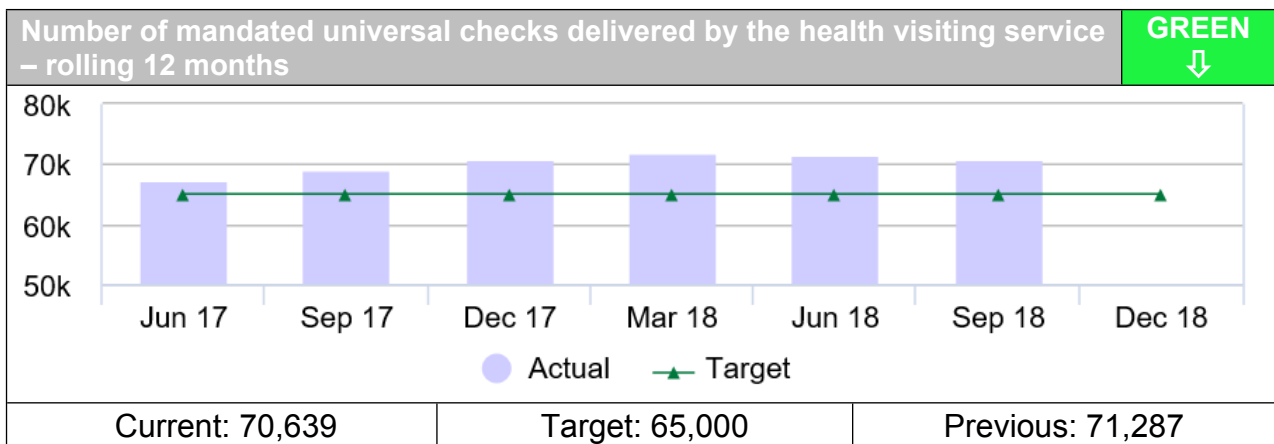
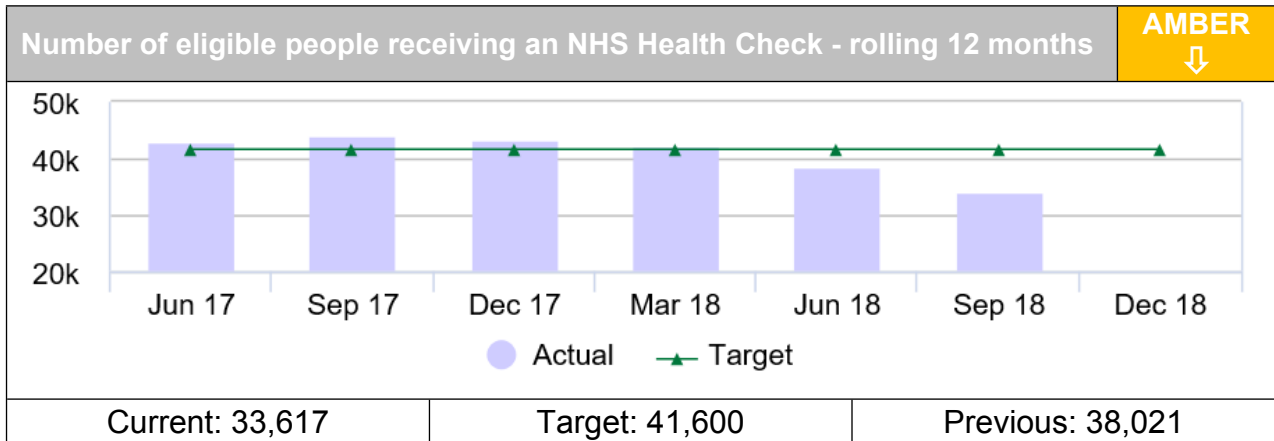
All appointments requiring an urgent Genito-urinary medicine (GUM) appointment in Kent were offered within 48 hours. The proposal for the transformation of Sexual Health Services has been approved and work has commenced to begin remodelling the services in line with the findings of the recent Kent Sexual Health Needs Assessment.

Successful completion of drug and alcohol treatment services fell by 1% below target in the quarter.

The Live Well Kent Services continue to perform above target against the key metric on levels of satisfaction, with 96% saying they would recommend the services to family, friends or someone in a similar situation.

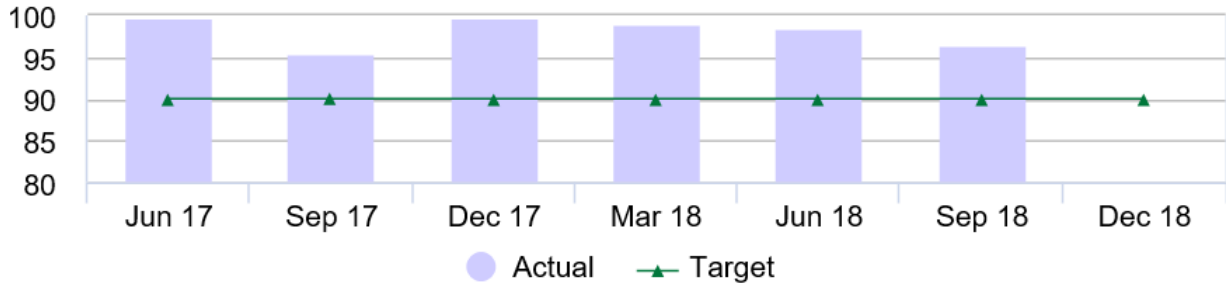
In the 3 months to September 2018 the One You Kent Campaign website received over 14,000 page views with 326 referrals to the 'How Are You' health quiz and 112 to the Know Your Score. The Release the Pressure campaign received over 3,000 page views and the Sexual Health pages received over 22,000 views.

## Key Performance Indicators



Percentage of Live Well clients who would recommend the service to family, friends or someone in a similar situation in the most deprived quintiles.

**GREEN**  
↓



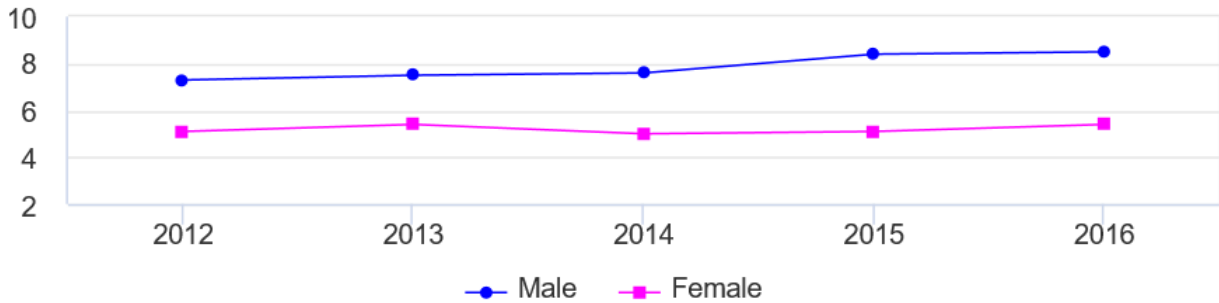
Current: 96%

Target: 90%

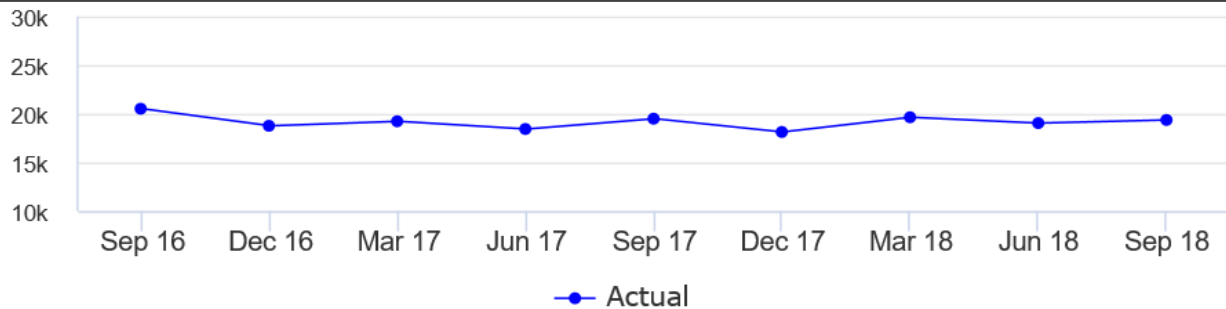
Previous: 98%

### Activity indicators

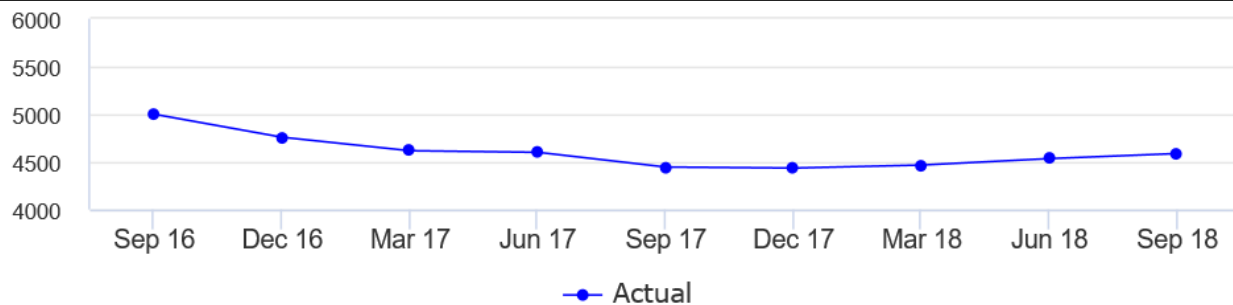
Life expectancy gap in years between least and most deprived areas



Number of attendances at KCC commissioned Sexual Health Clinics



Number of adults accessing structured Substance Misuse Treatment Services



## Corporate Risk Register – Overview

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 further management action. The corporate risk register has been undergoing its more formal annual refresh, which has led to 2 new risks being added and one removed.

	Low Risk	Medium Risk	High Risk
<b>Current risk level</b>	0	8	11
<b>Target risk level</b>	4	14	1

### NEW CORPORATE RISKS

High Needs Funding and adequacy of support for children with Special Educational Needs or Disabilities (SEND). This has been escalated from the Children, Young People and Education Directorate due to funding pressures and increased demand. A SEND action plan has been devised to mitigate the risk as far as possible within the available funding envelope.

Effectiveness of Governance in a Member-led Authority Over the past 12-18 months there have been numerous warnings from local authorities, auditors and professional bodies regarding the parlous state of local government finances, with the first section 114 notice in 20 years issued earlier this year. This brings into sharp focus the criticality of robust council governance and ensuring that existing internal controls remain robust.

### CLOSED CORPORATE RISK

Potential implications associated with significant migration into Kent. This risk concentrated on potential bulk placements of vulnerable households into the county, which can then have significant impacts in localities, including demand for KCC services. While the risk still exists, there have been no bulk placements since 2016, so it has been removed as a specific standalone risk and fed into the CYPE demand risk CRR0007. This action can be reversed if intelligence suggests that the level of risk is increasing again.

## MITIGATING ACTIONS

Updates have been provided for 17 actions to mitigate elements of Corporate Risks that were due for completion or review up to the end of September 2018, together with updates for 5 actions due for completion or review by beyond September 2018. These are summarised below.

Due Date for Completion	Actions Completed/ Closed	Actions Outstanding or Partially complete	Regular Review
September 2018	7	7	3
September 2018 and beyond	0	3	2

### Mitigating actions during this period are summarised below:

Safeguarding – protecting vulnerable adults - testing of the new safeguarding pathway has been rolled out from the pilot site to the rest of the Older People and Physical Disability service (OPPD). Formal evaluation is due to take place in December 2018.

Access to resources – KCC has contributed to the latest activity on refreshing the Strategic Economic Plan (SEP) through discussion and workshop attendance. A final draft of the SEP document will be presented to the South East Local Enterprise Partnership Strategic Board in due course.

Civil Contingencies and Resilience – Kent has contributed to the Kent Resilience Forum Local Authorities Emergency Planning Group's updating of mutual aid arrangements. The mutual aid document has been drafted and will be taken to the Local Authority Emergency Planning Group for consultation and then to Joint Chief Executives for agreement. This supports Kent's 'no deal' Brexit contingency planning. Following the audit of KCC's Business Continuity arrangements, two actions are being implemented relating to identification of interdependencies and development of an eLearning tool.

Kent and Medway STP – The NHS Strategic Commissioner for Kent and Medway is yet to be appointed. In the meantime, papers continue to be reported to the Health & Wellbeing Board on a quarterly basis.

Increasing Adult Social Care Need - ASCH continues to deliver the High Impact Changes as part of the integrated Better Care Fund (iBCF). This includes increasing resource in key areas such as Kent Enablement at Home (KEaH) and Discharge. Further work on the next stage of the BCF is in development.

Integration of Early Help and Preventative Services and Specialist Children's Services to improve outcomes and manage demand – Analysis and evaluation of integration pilots has informed several distinct workstreams highlighting key opportunities to develop integration in specific areas.

Front Door Integration Project – The Request for Support form has been developed and was launched in October 2018. This will ensure that referrals are directed to the most appropriate place. A revised staffing structure will be fully implemented in December 2018.

Potential implications associated with significant migration into Kent – There have been no further bulk placements into Kent and the roundtable meetings have been discontinued. Kent and Medway Public Health Observatory have undertaken some analysis, the findings have been reported to Kent Council Leaders in September 2018 and will be reported Policy & Resources Cabinet Committee in November. Regular reporting on the impacts of the implementation of the Homeless Reduction Act are reported through the Kent Housing Group.

Cyber-attack threats – Formal monthly security meetings with Cantium Business Solutions are now taking place to discuss vulnerabilities and remediation plans. The plans are shared with the Director of Infrastructure and the Senior Information Risk Owner (SIRO).

Information Governance – Introduction of General Data Protection Regulations (GDPR) – All policies, procedures and e-learning courses have been updated and launched on KNet and DELTA e-learning platform. Regular updates/reminders are sent to staff via KNet regarding compliance with the legislation/completion of mandatory training.

Post-Brexit border systems and infrastructure arrangements – KCC is in ongoing liaison with local and national partners to prepare for potential implications of a 'no-deal' Brexit situation.

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**By:** Graham Gibbens, Cabinet Member for Adult Social Care and Public Health  
Penny Southern, Corporate Director of Adult Social Care and Health

**To:** Cabinet – 3 December 2018

**Subject:** **DELAYED TRANSFERS OF CARE**

**Classification:** Unrestricted

**Previous Pathway of Paper:** None

**Future Pathway of Paper:** None

**Electoral Divisions:** All

**Summary:** This paper outlines the preparation plans and focused actions that the senior leadership of commissioners and providers across the health and social care system have in place to execute this winter to ensure continued focus on reducing Delayed Transfers of Care (DToC).

**Recommendations:** Cabinet is asked to:

- a) **COMMENT** and **NOTE** progress and the ongoing challenges since the last report;
- b) **COMMENT** and **NOTE** the whole system and partnership working that led to the development of the preparation and escalation plans;
- c) **AGREE** to accept the additional winter funding for 2018-19;
- d) **APPROVE** the schemes and activity response in Appendix 1 with any consequent detailed spending decisions for the winter funding to be taken by the Cabinet Member for Adult Social Care and Public Health.
- e) **NOTE** that a post-winter review report will be prepared for Cabinet in February/March 2019.

## 1. Introduction

- 1.1 The last time that Cabinet considered a report on this subject was 26 January 2018. That report focused on how the health and social care system adequately managed the pressures on the system during the winter months.
- 1.2 The purpose of this report is to inform Cabinet of progress and provide an update on the ongoing challenges in relation to DToC as well as provide Cabinet with an opportunity to consider the 'state of readiness' for managing DToC during the challenging winter months.
- 1.3 Delayed Transfers of Care (DToC) remains a top priority for the Government. This is reflected in the Government's mandate to NHS England for 2018 -19. The overall ambition states *"Working with NHS Improvement and local government partners, reduce NHS-related delayed transfers of care in support of a total reduction of delayed transfers of care to around 4,000 daily delays by*

September 2018". The requirement to make progress in this area is also reflected in the updated conditions for the Better Care Fund (BCF) for 2018-19. DToCs place a significant pressure on the whole system and NHS England, uses them as an indication of how the health and social care systems are operating together to produce the best outcomes for patients. Investment in services made possible by the new IBCF earmarked to support High Impact Changes (HIC) and Sustainability of the market. The recently announced winter money will continue to support these schemes and related activity to help with managing winter pressures.

- 1.4 KCC's Strategic Statement and Adult Social Care and Health service objectives mirror the national priority of DToC. The priority that KCC places on DToC and the achievements regarding this, was described in the *Increasing Opportunities, Improving Outcomes – Strategic Statement Annual Report 2018 – Progress* paper debated by the full Council on 18 October 2018.
- 1.5 KCC's System Resilience Plan for 2018/19, sets out the technical arrangements in place for the winter period for Major Incident Management, Capacity Demand Management. The Plan describes the governance and assurance process, operational management, communications and escalation mechanisms. There are arrangements in place for monitoring, data collection and reporting. The System Resilience Plan is fully aligned to the NHS Operational Pressures Escalation Level (OPEL) Framework and the NHS escalation process and the requirements of the Cold Weather Plan for England
- 1.6 The announcement of £240m to support winter pressures was made in October 2018 and Kent will receive an additional £6.16m in 2018-19. This additional funding is intended to enable further reductions in the number of patients that are medically ready to leave hospital but are delayed because they are waiting for adult social care services. The Government is clear that this money should be additional to current budgeted expenditure on adult social care. We will be closely monitoring delivery of additionality throughout winter. We expect the spending to be focused on reducing DToC, helping to reduce extended lengths of stay, improving weekend discharge arrangements so that patients are assessed and discharged earlier and speeding up the process of assessing and agreeing what social care is needed for patients in hospitals. We will expect health providers and local authorities to monitor improvements in these measures through local jointly agreed monitoring, comparing improvements in each of these areas of impact. We have yet to receive a formal grant determination letter, and a template to show what information we will be required to evidence to the Department of Health and Social Care that the grant has been appropriately. However, plans are being drawn up to target this additional funding to those areas who are already beginning to see the pressures growing and to invest in services which will assist in a timely discharge from hospital for those requiring their need to be met by social care. A high-level summary of the schemes and activity response, in preparation for the winter is set out in Appendix 1 to this report.
- 1.7 In the Chancellor's Budget of 29 October a further £650m was announced for local authorities to help relieve social care pressures in 2019-20. We have yet to receive confirmation of the amount available for Kent, albeit we are expecting

it to be distributed based on the same relative needs formula used for other recent allocations. It is likely that this will be made up of two separate grants, a repeat of the £240m for winter pressures as in 2018-19 and £410m being for the Social Care Support Grant, which has been made available in the last two years, albeit the amount for 2019-20 is more than in the last two years. In previous years this grant has been available to support both adult and children's social care. Cabinet is asked to note this position. Any authorisation to spend against these further allocations will be agreed through the formal budget setting process for 2019-20.

- 1.8 Cabinet is asked to agree to accept the additional funding as detailed in section 1.6 of this report. Cabinet is also asked to agree the schemes as outlined in Appendix 1 and delegate the final decision on precise spending plans for the winter funding to the Cabinet Member for Adult Social Care and Public Health.

## **2. Winter pressures system planning and response**

- 2.1 An important part of the system planning is the Capacity Demand Management, which relates directly to 'winter pressures' and the whole system response required to support acute hospital and community patient flow. Winter response plans are in place and operate at multiple levels – Kent and Medway wide, A&E Delivery Boards and local MDTs. Supporting the winter plans are System Escalation Plans which are intended to provide a consistent approach in times of pressure, specifically by:
  - Enabling local systems to maintain quality and patient safety;
  - Providing a nationally consistent set of escalation levels, triggers and protocols for local A&E Delivery Boards to align with their existing escalation processes;
  - Setting clear expectations around roles and responsibilities for all those involved in escalation in response to surge pressures at local level (providers, commissioners and local authorities), by Directors of Commissioning Operations (DCO) and NHS Improvement sub-regional team level, regional level and national level
  - Setting consistent terminology
- 2.2 There are also Clinical Commissioning Group (CCG) area plans, which include all partner and provider escalation responses. These are reflected on SHREWD – the Single Health Resilience Early Warning Database - which is used across Kent and Medway to provide online reporting to support decision-making and the operational management of the whole health and social care system.
- 2.3 Local A&E Delivery Boards have been in place and provide a whole system oversight and leadership to drive improvement in A&E performance and ensure high quality and urgent care pathways treatment for patients. Each Board includes representatives from Acute NHS Trusts, South East Coast Ambulance Service (SECAMB), Kent Community Health NHS Foundation Trust (KCHT), Virgin Care, Kent and Medway NHS and Social Care Partnership Trust (KMPT), Integrated Care 24 (IC24), NHS 111, patient transport, Clinical Commissioning Groups and local authorities. KCC is represented at each Local A&E Delivery Board by the Director of Partnerships, Assistant Director and the Service Manager Short Term Pathways.

- 2.4 The STP Clinical and Professional Board agreed an Urgent and Emergency Care model which will continue to be developed and will be implemented over the next 18 months. The Winter Briefing, which was presented at the Kent and Medway STP Programme Board on 8 November 2018 and sets out the strategy approach and next steps, is attached as a background document to this report.
- 2.5 As part of the preparedness for the winter, Multi Agency Discharge Events (MADE), task and finish groups, workshops and ‘Test the Plan’ days are held. KCC officers are actively involved in all of these across the county. The aim of these activities is primarily working collaboratively to support discharges from the acute and community setting thereby improving patient flow.

**Health and Social Care joint preparedness activities to date**

<b>Event</b>	<b>DGS</b>	<b>Medway</b>	<b>MTW</b>	<b>EKHUFT</b>
<b>MADE</b>	TBC	Jul/Oct/Jan/Feb	Dec/Jan	July/August
<b>DToC/LOS</b> (Length of stay)	Weekly	Weekly	Weekly	Weekly
<b>Test the Plan</b>	August/October	August/October	TBC	TBC
<b>Winter Planning</b>	Weekly	Weekly	Sept	3-4 weekly

- 2.6 New work being introduced via SHREWD is the development and test of a 7-day rolling indicators benchmarked against the previous year’s activity for each KCC team resulting in a daily risk management tool. All the short-term pathway provisions are then monitored daily and early warning will be established if we should fall behind or above the previous year’s activity. This will prompt immediate investigation and escalation if required. This has been shared with Medway Council who are keen and have started to complete the same activity mapping for their SHREWD Risk Management tool. Work is also on-going with the Performance Team to develop a predictor tool for capacity and demand, which we hope will be on SHREWD if not this winter then next winter.
- 2.7 There are existing services aimed at improving and supporting timely hospital discharge and free up capacity in hospitals. Other interventions facilitate the prevention of hospital admission by supporting people in their own homes with the right kind of wrap around care. The additional winter funding means the range and capacity of provision will be significantly enhanced.
- 2.8 Government confirmed the allocation of £240 million additional funding for councils to spend on adult social care in recognition of the severe pressures that councils face this winter. KCC’s share of the additional funding is £6.1 million.

2.9 The additional funding will be used to develop commissioning options and other service changes to help manage the winter pressures. We have engaged Clinical Commissioning Groups, NHS provider organisations, the social care sector and other relevant partnership groups to arrive at the schemes and activity response as set out in Appendix 1.

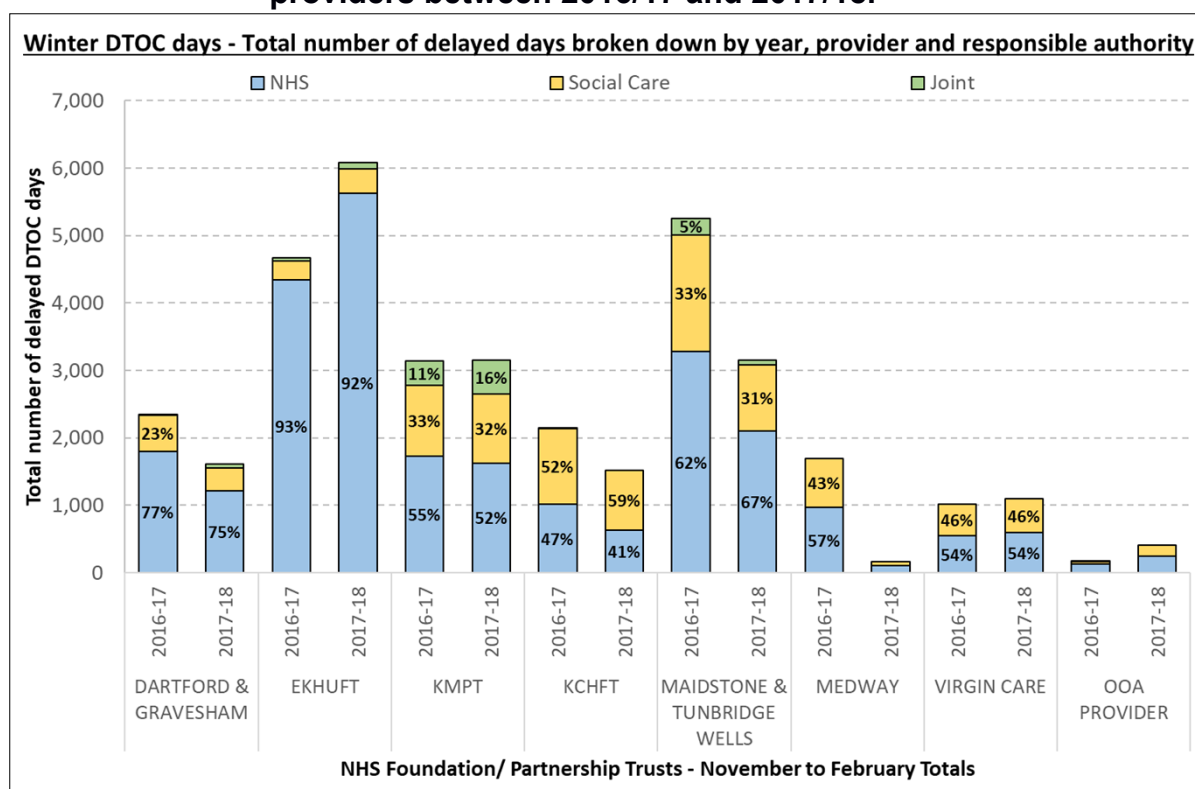
### **3. Progress since the last report to Cabinet**

3.1 A delayed transfer of care occurs when a patient is ready to be discharged or moved to other appropriate care settings, although the patient continues to occupy a hospital bed (acute, community or mental health), for reasons other than a clinical need. In clinical policy terms, a patient is ready for transfer when (a) clinical decision has been made that patient is ready for transfer and, (b) a multi-disciplinary team decision has been made that patient is ready for transfer and, (c) the patient is safe to discharge/transfer.

#### **3.2 How did the Kent system perform?**

3.2.1 In terms of how the local systems fared, all three areas (England, South East and Kent) saw a reduction in their total DToC rate in 2017/18 compared to the previous year's winter. Kent went from a rate of 14.1 to 11.7 (per 100,000 population per day) which means across the county delays were reduced by 27 a day compared to winter 2016/17. From a social care perspective, Kent performed better than England and the South East in the previous two winter periods with 29.1% in 2016/17 and then dropping to 25.1% in 2017/18; the England average was recorded at 33% and the South East at 31.6% in 2017/18.

The chart below shows the comparative breakdown of Kent NHS providers between 2016/17 and 2017/18.



3.2.2 East Kent Hospitals saw the largest increase in the number of delayed days however this is a result of more accurate reporting within the Trust rather than an actual decrease in performance on the three acute sites. EKHUFTs increase was balanced out by major decreases recorded at Dartford and Gravesham, KCHFT, Maidstone & Tunbridge Wells and Medway Foundation Trust. Medway and Maidstone & Tunbridge Wells Trusts managed to reduce their delays by 90% and 40% respectively. Another perspective of the changes is shown in the table below, expressed as a percentage change.

**Table showing the percentage change for Kent resident Delays in each of the Kent providers**

Provider	Nov to Feb Totals		Difference	% Change
	2016/17	2017/18		
DARTFORD & GRAVESHAM NHS TRUST	2,343	1,607	-736	-31%
EAST KENT HOSPITALS UNIVERSITY NHS FOUNDATION TRUST (EKHUFT)	4,666	6,084	1,418	30%
KENT & MEDWAY NHS & SOCIAL CARE PARTNERSHIP TRUST (KMPT)	3,136	3,156	20	1%
KENT COMMUNITY HEALTH NHS FOUNDATION TRUST (KCHFT)	2,145	1,513	-632	-29%
MAIDSTONE & TUNBRIDGE WELLS NHS TRUST	5,255	3,148	-2,107	-40%
MEDWAY NHS FOUNDATION TRUST	1,692	161	-1,531	-90%
VIRGIN CARE SERVICES LTD	1,014	1,095	81	8%
<b>Out of Area Provider</b>	<b>167</b>	<b>404</b>	<b>237</b>	<b>142%</b>
<b>KENT LA</b>	<b>20,418</b>	<b>17,168</b>	<b>-3,250</b>	<b>-16%</b>

3.2.3 It should be noted that although there was a 142% increase for delayed days recorded by Out of Area providers, between winter 2016/17 and 2017/18 this is mainly due to the 2016/17 figure being significantly low rather than a radical decrease in performance. More streamlined processes are currently being set up within KCC to reduce the number of delayed days recorded at these providers.

### 3.3 How do we compare to our nearest neighbour authorities in 2017/18?

3.3.1 The below shows Kent ranked 4<sup>th</sup> out of the 22 'Nearest Neighbour' authorities who are of a similar demographic, size and urban/rural split, therefore is useful for a more like-for-like comparison. The rankings only go up to 16 in the table because, some of the authorities share the same rank within the nearest neighbour group. In addition, the National Rank shows the positioning of each authority out of 150.

**Table showing Kent performance when compared to its nearest neighbours Nearest Neighbours group: Significant Rural**

National Rank	LA Name	Rank of Nearest Neighbours
38	Gloucestershire	1
46	Leicestershire	2
50	Essex	2
41	Bedford	3
68	Buckinghamshire	4
70	Kent	4
48	Bath and North East Somerset	5
52	Derbyshire	5
74	Nottinghamshire	7
77	West Berkshire	7
78	Warwickshire	7
82	Wakefield	8
91	Worcestershire	10
116	Redcar and Cleveland	12
119	West Sussex	12
122	Lancashire	13
130	Cheshire West and Chester	13
128	East Sussex	14
135	Staffordshire	14
114	Calderdale	15
142	Hampshire	16
147	Northamptonshire	16

### 3.4 Maintaining strategic and operational grip

3.4.1 KCC senior managers at both Director and Assistant Director level join their counterparts in health to examine and relentless drive delivery and ensure that the system works as one to achieve key targets. There is an Accident and Emergency (A&E) Delivery Board in each of the following areas - North Kent & Swale, Medway, West Kent and East Kent which focus on driving performance. The A&E Delivery Boards are assisted by operational groups tasked to deliver whole system plans and escalate issues that require decisions to be made at a higher-level. During times of pressure multi-agency teleconferences are instigated to support 'on the ground' issues providing a whole system approach to finding quick solutions to maximise flow and challenge services where necessary.

3.4.2 KCC is an active partner in the STP, contributing to the case for change and working with partners across the health and care system to develop and implement several work streams that will bring about the required change. Significant work is taking place within Local Care to develop integrated community-based services, built around multi-disciplinary teams at a local population level and linked to GP practices. Further work is beginning on



develop a model of Hubs across Kent, which will deliver out of hospital services such as developed in the Vanguard at Estuary View.

- 3.4.3 A monthly Delayed Transfers Situation Report (SitRep) return is produced based on daily recording and monitoring of activity. The focus of the return is to identify patients who are in the wrong care setting and how the NHS and local authorities should work together to minimise delayed discharges. This applies to both acute and non-acute patients, including community and mental health patients.
- 3.4.4 Integrated Discharge Teams (IDT) are in place across the county, except for North Kent, Darent Valley Hospital. KCC do have a social care team in Darent Valley Hospital who work closely with the acute hospital and the community trust provider Virgin Care to support discharges. Work continues to progress to an integrated option in this hospital. The teams in all the other hospitals are made up of professionals from both social care and health who are co-located and collaboratively work together to ensure the safe and timely discharge of patients.
- 3.4.5 KCC Occupational Therapists (OT) continue to fulfil a key role working in close partnership with district and borough councils to make the best use of enhanced Disabled Facilities Grant (DFG) money. Integrated projects are running across the county, where Occupational Therapists have been seconded from KCC to various districts councils to focus on assessment for DFGs. This has cleared the OT waiting lists for DFGs in such areas, and significantly increased appropriate use of the enhanced DFG money delivering more adaptations to people's homes to support their independent living.
- 3.4.6 The OTs are also supporting other integrated initiatives with housing and hospital care co-ordinators (funded by the Councils) which allow earlier intervention into someone's home, providing adaptations as an early intervention/prevention measure. The Home Improvement Agency has been able to provide additional care navigation support through funding from the local Disabled Facilities Grants monies, administered by the district councils. The Hospital and Housing Care Co-ordinators work directly with councils to provide housing support and advice and provide adaptations and home improvements. This intervention prevents unnecessary hospital admissions and timely discharge plans. In April 2018 we introduced OT support to an identified cohort of care homes. This entailed delivery of bespoke training to care staff in homes where more than 50% residents are funded by KCC.

#### **4. Ongoing challenges**

- 4.1 The main ongoing challenges relate to workforce issues, demand for services, DToC targets and pressures from health services changes. The care system continues to face recruitment and retention challenges that affect parts of the county differently. According to Skills for Care, the vacancy rate for the South East is 6.8% for all roles, 7.7% for direct care and 8.8% for regulated professional workers. We do not know how Brexit would affect the care home and homecare market which continues to face workforce challenges. The recruitment and retention challenges are compounded by the fact that

recruitment by the NHS is seen as more attractive to aspiring employees compared to work in the social care sector, because of a growing gap between the pay rates in health and social care. On a positive note, we are seeing an increase in recruitment since introduction of the new Adult Social Care operating model. This is in part due to the creation of dedicated roles for staff that can practice within their registered profession such as registered social workers. This has generated a lot of expression of interest from newly qualified social workers.

- 4.2 Adult Social Care and Health continues to deal with increasing demand for care and support because of the ageing population and the associated high number of people presenting with complex needs across all service user groups. Additionally, the challenge can be amplified in the face of market supply issues such as when providers struggle to meet unusual increase in demand or are unable to flex the resources available to them in certain parts of the county.
- 4.3 In addition, there continues to be ongoing pressures on demand because of managing delayed transfers of care. Whilst the delays that social care are responsible for remain consistent and are minimised, the health delays continue to fluctuate. This is something that we need to be mindful of as we enter Winter. Our current DToC performance – *total (health and social care) number of delayed days per 100,000 population*, compared to the nationally set target is as follows:

	Oct-17	Nov-17	Dec-17	Jan-18	Feb-18	Mar-18	Apr-18	May-18	Jun-18	Jul-18	Aug-18	Sep-18
Target	9.3	9.3	9.3	9.3	9.3	9.3	9.3	9.3	9.3	9.3	9.3	9.3
Percentage	11.27	11.00	11.71	12.33	11.91	13.15	13.83	12.73	12.42	13.03	12.91	11.00
RAG Rating	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED	RED

The percentage of delays that are social care responsibility is as follows:

	Oct-17	Nov-17	Dec-17	Jan-18	Feb-18	Mar-18	Apr-18	May-18	Jun-18	Jul-18	Aug-18	Sep-18
Target	30%	30%	30%	30%	30%	30%	30%	30%	30%	30%	30%	30%
Percentage	24.9%	21.5%	24.6%	25.8%	29.4%	30.5%	28.2%	24.2%	26.6%	21.1%	24.0%	26.3%
RAG Rating	GREEN	GREEN	GREEN	GREEN	GREEN	AMBER	GREEN	GREEN	GREEN	GREEN	GREEN	GREEN

- 4.4 We need to ensure that we are prepared for the demands of Winter in the context of the current position.
- 4.5 The impact of some acute trusts' activities focused on improving A&E performance and patient throughput, can also add to the overall challenges that adult social care must address. For example, the focus on stranded patients (people in hospital over seven days) and super stranded patients (people in hospital over 21 days) means people are leaving hospital requiring intense level of care and support from the local authority. This combined with other health service financial pressures indirectly adds to the pressures on adult social care. This makes it even more important we work as a whole system to design sustainable solutions
- 4.6 We are exploring with health colleagues how the potential adverse impact of NHS continuing healthcare changes on DToC could be moderated. This is

because there has been a move to discharging patients from acute care setting to other care settings to complete NHS Continuing Health Care assessments. We understand that where other local authorities have adopted a different model, such as the Norfolk model, this is centred on a five question test of acute care systems, it has had a positive impact on reducing DToC and we want to explore this alternative model with our health colleagues going forward.

## 5. Conclusion

- 5.1 DToC is an important barometer that Government as well as the independent regulator of health and social care use to judge the effectiveness of joint working between health and adult social care. Likewise, Cabinet consider it a measure that it regards as central to its assessment of how well the local system is functioning to improve outcomes for patients in acute, community and mental health care settings.
- 5.2 This report has focused on the DToC performance over the winter period and the information set out in this report has demonstrated that some progress has been made. However, there remain ongoing challenges which are being tackled. A tiered level of strategic and operational oversight arrangements is in place and primed to handle patient care this winter. It is intended to present a further report to Cabinet to account for how the system coped with the winter pressures in February or March 2019.

## 6. Recommendations

**6.1 Recommendation:** Cabinet is asked to:

- a) **COMMENT** and **NOTE** progress and the ongoing challenges since the last report;
- b) **COMMENT** and **NOTE** the whole system and partnership working that led to the development of the preparation and escalation plans;
- c) **AGREE** to accept the additional funding;
- d) **APPROVE** the schemes and activity response in Appendix 1 with any consequent detailed spending decisions for the winter funding to be taken by the Cabinet Member for Adult Social Care and Public Health; and
- e) **NOTE** that a post-winter review report will be prepared for Cabinet in February/March 2019.

## 7. Background Documents

Kent and Medway Urgent and Emergency Care Team Winter Briefing  
<https://democracy.kent.gov.uk/documents/s87899/Winter%20Briefing%202018-19.pdf>

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## Appendix 1 – Schemes and Activity

### 1. Improved Better Care Fund – 2017 - 2020

#### Additional funding to Local Authorities

New Monies were paid as Department for Communities and Local Government (DCLG) grant to local authorities. This complemented the previously announced Improved Better Care Fund (iBCF) which was already included in the 2017-20 settlement. The conditions published stated that the money must only be used for the purposes of meeting adult social care needs, reducing the pressures on the NHS and stabilising the social care provider market.

#### High Impact Change (HIC) schemes

HIC schemes across Kent are primarily focused on improving Kent's position regarding DToC to deliver against national targets and invest in Home First pathways and Discharge to Assess models.

<b>* Your Life Your Wellbeing Theme</b>	<b>Schemes and Activity</b>
<b>Promoting Wellbeing</b>	Preventing, delaying or avoiding people from entering into formal health and social care systems, by helping them managing their own health and wellbeing: <ul style="list-style-type: none"> <li>• Monitoring patient flow, web based integrated dashboard and DToC reporting spreadsheet.</li> <li>• Home to Settle service which is a voluntary support discharge service, this has been provided by British Red Cross in some areas.</li> </ul>
<b>Promoting Independence</b>	Short-term support to prevent or delay people's entry into formal the care system: <ul style="list-style-type: none"> <li>• Integrated Discharge teams</li> <li>• Home First/Discharge to Assess services supporting the three acute trusts in Kent. These services are short-term and offer reablement in people's homes where patients return home as the default pathway.</li> <li>• Additional staffing capacity to Kent Enablement at Home (KEaH) in Swale and to Kent Enablement and Recovery Service (KERS).</li> </ul>
<b>Supporting Independence</b>	Services for people who need ongoing support to maintain wellbeing and self-sufficiency: <ul style="list-style-type: none"> <li>• Early discharge planning to support admission avoidance</li> <li>• Enhancing health in care homes by offering joined-up health and care services like OT support to care homes.</li> <li>• Commissioned dementia beds to reduce DToC (for patients who typically experience a delayed period in hospital while long-term placements are sought)</li> </ul>
<b>Sustainability</b>	Providing stability and extra capacity in the care home and community sectors and commissioning services aimed at

sustaining the market and reduce DToC:

- Additional resource to meet demand and sustaining access in the residential sector.
- Additional capacity in community services such as infrastructure support to our housing related and supporting independence services.

## **2. Additional Winter Pressures Investment – 2018/2019**

Winter Pressures monies are to fund activities that support hospital beds being freed up through patients being discharged home and preventing hospital admissions by supporting people in their own homes, care home and nursing homes.

In Kent we are working with our health partners to support this work building on some of our existing HIC projects which will see Winter Pressures funding supplement and increase capacity in these schemes. We are also working with our providers to increase capacity or flex existing contracts or through new commissioning activity.

<b>* Your Life, Your Wellbeing Theme</b>	<b>Schemes and activity</b>
<b>Promoting Wellbeing</b>	<ul style="list-style-type: none"> <li>• Current investments include for those schemes focused on supporting carers, increasing the voluntary and community sector capacity in mental health to support with information, advice and guidance services.</li> <li>• Care Navigator offer to acute sites across Kent (increasing support to additional hours during week days and support with core hours provided at the weekend).</li> <li>• Build on Home to Settle with a focus on Trauma &amp; Orthopedics wards and across East Kent Hospitals University NHS Foundation Trust (EKHUFT).</li> </ul>
<b>Promoting Independence</b>	<ul style="list-style-type: none"> <li>• Extending HIC Occupational Therapy pilot (HIC OTs)</li> <li>• In Dartford, Gravesham and Swanley (DGS) enable additional capacity at the care coordination centre at Gravesham Place starting with integrated triage to enable referrals from community and acute settings.</li> <li>• Expand Home to Decide services including our 'sitting service' which will increase capacity for additional cases.</li> <li>• Additional capacity: OT, Enablement Support Worker (ESW) hours in KEaH, Discharge to Assess, Mental Health Early Discharge Team and enhancements to countywide capacity in KERS, Integrated Triage West Kent as part of Home First services and countywide weekend working with dedicated staff working weekends on some acute hospital sites.</li> </ul>
<b>Supporting Independence</b>	<ul style="list-style-type: none"> <li>• Expand home support for clients with dementia as part of rapid response support to A&amp;E,</li> <li>• Commissioning four additional high dementia beds for</li> </ul>

people who typically experience a delayed period in hospital while long-term placements are sought.

- Increasing staffing resources to build on the Continuing Health Care pathway which prevents long-term nursing placements through timely assessments.
- Mental health support to care homes to manage dementia clients
- Learning Disability and Sensory and Autism services schemes that prevent hospital admission and support timely discharge
- Mental Health and Learning Disability short term residential accommodation to facilitate discharge to assess for longer term community accommodation

**3. Winter Pressures Investment Summary - £6.1 m**

Promoting Wellbeing	Promoting Independence	Supporting Independence
£300k	£3.5m	£2.3m

\*Your Life, Your Wellbeing is the Adult Social Care Vision and Strategy for 2016-2021. The three key themes are Promoting Wellbeing, Promoting Independence and Supporting Independence to help people to improve or maintain their well-being and to live as independently as possible.

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**From: Susan Carey, Cabinet Member for Customers, Communication and Performance**

**David Cockburn, Corporate Director for Strategic & Corporate Services and Head of Paid Service**

**To: Cabinet – 3<sup>rd</sup> December 2018**

**Decision No: N/A**

**Subject: Corporate Risk Register**

**Classification: Unrestricted**

**Past Pathway of Paper: N/A**

**Future Pathway of Paper: Governance and Audit Committee – 23<sup>rd</sup> Jan 2019**

**Electoral Division: ALL**

**Summary:** This paper presents a ‘snapshot’ of the Corporate Risk Register for the Authority, summarising the main changes since last presented.

Cabinet Members are asked to NOTE the report.

## **1. Background**

1.1 The Corporate Risk Register is a ‘living document’ and is regularly reviewed and updated to reflect any significant new risks or changes in risk exposure that arise due to internal or external events; and to track progress against mitigating actions. It is subject to a more formal review each autumn.

## **2. Corporate Risk Register (appendix 1)**

2.1 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.

2.2 The meetings during the autumn demonstrated a strong consensus on what are seen as the main risks for KCC, both in relation to respective portfolios / directorates and wider KCC concerns. There remains a strong correlation between these views and risks already captured on directorate registers or the corporate risk register, which would indicate that the current risk

management process is robust. However, as always, the context of the risks continually changes, and as a result the corporate risk register has been revised to reflect the points made.

2.3 The main changes to the register since last presented to Cabinet are summarised below:

- CRR0004 Civil Contingencies and Resilience: The current risk rating has been increased due to the continued uncertainty surrounding potential implications of a 'no-deal' Brexit scenario and the potential for Brexit contingency planning to detract focus from other, more 'routine' exercising of controls.
- CRR0005 Implementation of Local Care and Prevention agenda in Kent: Previous concerns relating to broader governance have been addressed and it was felt that the focus of the risk should be narrowed to concentrate on the opportunity risks of implementing Local Care and the Prevention agenda with partners. The level of risk for this re-scoped risk has been assessed as 'medium' at this stage.
- CRR0007 Resourcing implications arising from children's services demand: The risk has been more specifically defined to relate to demand challenges, with further integration of services for children (the 'Change for Kent Children' programme) seen as part-mitigation for the risk.
- CRR0008 Potential implications associated with significant migration into Kent: This risk concentrated on potential bulk placements of vulnerable households into the county, which can then have significant impacts in localities, including increasing demand for KCC services. While the risk still exists, there have been no bulk placements since 2016, so it has been taken off as a specific standalone risk and fed into the CYPE demand risk CRR0007. This action can be reversed if intelligence suggests that the level of risk is increasing again.
- CRR0009 Future financial and operating environment for local government: The level of risk had previously been reduced slightly due to additional social care monies received from Government but has been revised back up from 16 to 20 as we await details of the Government's Spending Review in mid-2019 as well as the outcome of the fair-funding review.
- CRR0016 Delivery of new school places constrained by capital budget pressures and dependency of the Education and Skills Funding Agency: The current rating has reduced slightly as amendments to the Kent Commissioning Plan are made in response to issues arising and contingency arrangements are made as required in specific parts of the county, although it is still high.
- CRR0039 Information Governance: For the past 18 months the risk related to implementation of General Data Protection Regulations (GDPR). While

there will still need to be emphasis on embedding the relevant systems and processes, the risk has reverted to a general information governance one.

- CRR0041: Maintaining a healthy and effective workforce. The current level of risk has been raised, although this is largely on anecdotal evidence at this stage. Therefore, the level of risk will be reviewed again once results of the recent comprehensive staff survey have been analysed.
- NEW RISK - High Needs funding and Special Educational Needs and Disabilities (SEND). Concerns were raised on several occasions and consequently, this risk has been escalated from the CYPE directorate register due to its significance.
- NEW RISK – Effectiveness of governance within a Member-led Authority: Over the past 12-18 months there have been numerous warnings from local authorities, auditors and professional bodies regarding the parlous state of local government finances, with the first section 114 notice in 20 years issued earlier this year. This brings into sharp focus the criticality of robust council governance.

2.4 Potential upcoming risks: There is significant strain on the capital budget due to continuing demands for additional statutory and discretionary spend that are unaffordable without additional borrowing, which gears further potentially unsustainable pressure on the revenue budget. There is the potential for a corporate risk to be considered relating to this, and / or a treasury management risk should it be felt that our investment strategy requires further borrowing. These risks are being considered as budget discussions develop.

2.4.1 Challenges relating to management and maintenance of KCC's estate and community assets were raised on several occasions in the context of demands on the capital budget, although there are clearly other aspects to be considered such as health & safety. Further analysis of directorate and divisional risk registers is being undertaken to see whether there is cause to introduce a corporate risk based on aggregated exposure.

2.5 Conversations with Risk Owners have included discussion about 'target' residual levels of risk. In particular, how realistic several of them were considering the complex nature of some of the risks; what level of control it is possible for us as a council to exert due to dependencies on other stakeholders at a local and national level; and the cost of mitigation. As a result, the target residual risk rating has increased for several risks:

- CRR0006: Resourcing implications arising from increasing adult social care need.
- CRR0013: Delivery of in-year savings within agreed budgets.
- CRR0015: Managing and working with the social care market.
- CRR0042: Post-Brexit border systems, infrastructure and regulatory arrangements.

2.6 Risk Connectivity – linked to the point above, the refresh this year has again highlighted the connectivity between our corporate risks. For instance:

- CRR0009 (financial and operating outlook for local government) is the broad medium-term risk that underpins much of our corporate risk profile and limits options to mitigate by financial means.
- Our high risks relating to demand for children's services and adult social care are key factors to take into consideration in relation to our safeguarding risks.
- Our cyber-attack risk would have information governance and business continuity related implications.

2.7 As referred to above, several risks have also been updated as part of usual practice, to reflect contextual changes, new controls or new risk owners.

2.8 Further details of these risks, including controls and mitigating actions, are contained in appendix 1.

### **3. Monitoring and Review**

3.1 The corporate risks led by each Corporate Director are presented to the relevant Cabinet Committees annually, alongside existing arrangements for presentation of directorate risks.

3.2 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.

3.3 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.

### **4. Recommendation**

4.1 Cabinet is asked to NOTE the refreshed Corporate Risk Register.

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# KCC Corporate Risk Register

For presentation to Cabinet – 3<sup>rd</sup> December 2018

## 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 since July 2018
CRR0001	Safeguarding – protecting vulnerable children	15	15	↔
CRR0002	Safeguarding – protecting vulnerable adults	20	15	↔
CRR0003	Access to resources to aid economic growth and enabling infrastructure	16	12	↔
CRR0004	Civil Contingencies and Resilience	16	12	↑
CRR0005	Implementation of Local Care and Prevention with Health partners in Kent	12	8	**
CRR0006	Resourcing implications arising from increasing complex adult social care demand	20	15	↔ (target increased)
CRR0007	Resourcing implications arising from children’s services demand	20	12	↔
CRR0009	Future financial and operating environment for local government	20	12	↑
CRR0011	Embedding KCC’s strategic commissioning approach and consistency of commissioning standards	9	6	↔
CRR0013	Delivery of in-year savings within agreed budgets	9	4	↔ (target increased)
CRR0014	Cyber-attack threats and their implications	16	12	↔
CRR0015	Managing and working with the social care market	20	15	↔ (target increased)
CRR0016	Delivery of new school places is constrained by capital budget pressures and dependency on the Education and Skills Funding Agency	16	12	↓
CRR0039	Information Governance	12	8	↔
CRR0040	Opportunities and risks associated with KCC’s Local Authority Trading Companies	12	4	↔
CRR0041	Maintaining a healthy and effective workforce	12	8	↑
CRR0042	Post-Brexit border systems, infrastructure and regulatory arrangements	20	16	↔ (target increased)

CRR0044	High Needs Funding and adequacy of support for children with SEND	20	12	NEW
CRR0045	Effectiveness of governance within a Member-led authority	10	5	NEW

\*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.

\*\* Context of the risk has been changed, hence direct comparison of score not applicable.

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.

<b>Risk ID</b>	<b>CRR0001</b>	<b>Risk Title</b>	<b>Safeguarding – protecting vulnerable children</b>			
<b>Source / Cause of risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>	
The Council must fulfil its statutory obligations to effectively safeguard vulnerable children.  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.  This risk links to the demand for children's services risk (CRR0007).	Ability to fulfil statutory obligations affected by demand for services exceeding capacity and capability, or adequacy of management and operational practice.  Failure to recruit and retain suitably experienced and qualified permanent staff.  Failure to meet the requirements of the "Prevent Duty" placed on Local Authorities.	Serious impact on vulnerable people.  Impact on ability to recruit the quality of staff critical to service delivery.  Serious operational and financial consequences.  Attract possible intervention from a national regulator for failure to discharge corporate and executive responsibilities.  Incident of serious harm or death of a vulnerable child.	Matt Dunkley Corporate Director Children, Young People and Education (CYPE)  <b>Responsible Cabinet Member(s):</b>  Roger Gough Children, Young People and Education  Mike Hill (Lead Member for PREVENT)	Possible (3)  <b>Target Residual Likelihood</b> Possible (3)	Major (5)  <b>Target Residual Impact</b> Major (5)	
<b>Control Title</b>				<b>Control Owner</b>		
Consistent scrutiny and performance monitoring through Divisional Management Team, District 'Deep Dives' and audit activity.				Sarah Hammond, Director of Integrated Services (Children's Social Work Lead)		
Independent scrutiny by Kent Safeguarding Children Board.				Independent Chair Kent Safeguarding Children Board		
Manageable caseloads per social worker and robust caseload monitoring. Social work vacancies monitored with action taken to address as required.				Sarah Hammond, Director of Integrated Services (Children's Social Work Lead)		



Active strategy in place to attract, recruit and retain social workers through a variety of routes with particular emphasis on experienced social workers.	Sarah Hammond, Director of Integrated Services (Children's Social Work Lead)/ Amanda Beer, Corporate Director Engagement, Organisational Design & Development (EODD)
Multi-agency public protection arrangements in place.	Risthardh Hare, Interim Assistant Director Safeguarding and Quality Assurance
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.	Sarah Hammond, Director of Integrated Services (Children's Social Work Lead) / Stuart Collins, Director Integrated Services (Early Help and Preventative Services Lead)
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.	Matt Dunkley, Corporate Director, CYPE
Prevent Duty Delivery Board (chaired by KCC) oversees the activity of the Kent Channel Panel, co-ordinating Prevent activity across the County and reporting to other relevant strategic bodies in the county (including reporting route to the Kent Safeguarding Children Board).	Penny Southern, Corporate Director, Adult Social Care and Health (ASCH)
Kent Channel Panel (early intervention mechanism providing tailored support to people who have been identified as at risk of being drawn into terrorism) in place.	Nick Wilkinson, Prevent and Channel Strategic Manager
Multi-agency risks, threats and vulnerabilities group focuses on PREVENT, gangs, Modern slavery, human trafficking and online safeguarding matters.	Nick Wilkinson, Prevent and Channel Strategic Manager
Safeguarding and Quality Assurance Unit conducts audits, reviews of practice and provides challenge.	Sarah Hammond, Director of Integrated Services (Children's Social Work Lead)
Education Safeguarding Team in place.	Claire Ray, Principal Officer Education Safeguarding, The Education People
A revised Elective Home Education policy approved that includes interaction with children where there are	Keith Abbott, Director

welfare concerns and where other agencies have been involved with the family. Awareness raising taking place with other practitioners.	Education Planning & Access/ Scott Bagshaw, Head of Admissions & Transport	
Multi-function officer group helping to define key steps and approach to aid any future inquiries or investigations that may arise relating to alleged historical abuse.	Risthardh Hare, Interim Assistant Director Safeguarding and Quality Assurance	
Multi-agency Crime and Sexual Exploitation Panel (MACSE) provides a strategic, county-wide, cross-agency response to Child Sexual Exploitation.	Matt Dunkley Corporate Director, CYPE (KCC lead)	
Three year PREVENT training strategy being rolled out. Staff intranet site dedicated to Prevent. Information also available on KCC website.	Nick Wilkinson, Prevent and Channel Strategic Manager	
Integrated practice model in place.	Sarah Hammond, Director of Integrated Services (Children's Social Work Lead) / Stuart Collins, Director Integrated Services (Early Help and Preventative Services Lead)	
Detailed understanding of requirements for Joint Targeted Area Inspections.	Sarah Hammond, Director of Integrated Services (Children's Social Work Lead)	
Kent and Medway Gangs Strategy 2018-21 outlines the multi-agency approach to ending the criminal exploitation of vulnerable children and adults by gangs.	Stuart Collins, Director Integrated Services (Early Help and Preventative Services lead)	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Preparation for new multi-agency safeguarding arrangements in response to Children & Social Work Act requirements.	Matt Dunkley, Corporate Director CYPE / David Whittle, Director SPRCA	April 2019 (review)

<b>Risk ID</b>	<b>CRR0002</b>	<b>Risk Title</b>	<b>Safeguarding – protecting vulnerable adults</b>			
<b>Source / Cause of risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>	
The Council must fulfil its statutory obligations to effectively safeguard vulnerable adults.	Ability to fulfil statutory obligations affected by demand for services exceeding capacity and capability; adequacy of practice; or quality of care in the provider market.	Serious impact on vulnerable people.	Penny Southern, Corporate Director Adult Social Care and Health (ASCH)	Likely (4)	Major (5)	
The change from 'safeguarding alerts' to 'safeguarding enquiries' has led to a significant increase in the number of safeguarding concerns received. There has also been an increase in domestic abuse referrals.	Failure to meet the requirements of the "Prevent Duty" placed on Local Authorities.	Serious impact on ability to recruit the quality of staff critical to service delivery.		<b>Target Residual Likelihood</b>	<b>Target Residual Impact</b>	
In addition, the Government's "Prevent Duty" requires the Local Authority to act to prevent people from being drawn into terrorism.		Serious operational and financial consequences.	<b>Responsible Cabinet Member:</b>	Possible (3)	Major (5)	
This risk links to the demand risk (CRR0006).		Attract possible intervention from a national regulator for failure to discharge corporate and executive responsibilities.	Graham Gibbens, Adult Social Care and Public Health			
		Incident of serious harm or death of a vulnerable adult.	Mike Hill (Lead Member for PREVENT)			
<b>Control Title</b>			<b>Control Owner</b>			
Dedicated safeguarding team in place with countywide overview.			Annie Ho, Head of Adult Safeguarding			
Multi agency public protection arrangements in place.			Annie Ho, Head of Adult Safeguarding			
Kent & Medway Safeguarding Adults Board in place with key agencies. The Board is on a statutory footing following implementation of the Care Act.			Penny Southern, Corporate Director ASCH			
Consistent scrutiny and performance monitoring through divisional management teams, 'deep dives' and audit activity.			Divisional Directors / Annie Ho, Head of Adult Safeguarding			
Regular reporting on safeguarding takes place for Directors and elected Members to allow for scrutiny of			Penny Southern, Corporate			

progress.	Director ASCH	
Quarterly Safeguarding Directorate Management Team provides additional dedicated focus to the issue.	Penny Southern, Corporate Director ASCH	
Prevent Duty Delivery Board (chaired by KCC) oversees the activity of the Kent Channel Panel, co-ordinating Prevent activity across the County and reporting to other relevant strategic bodies in the county.	Penny Southern, Corporate Director ASCH	
Multi-agency risks, threats and vulnerabilities group focuses on PREVENT, gangs, modern slavery, human trafficking and online safeguarding matters.	Nick Wilkinson, Prevent and Channel Strategic Manager	
Kent Channel Panel (early intervention mechanism providing tailored support to people who have been identified as at risk of being drawn into terrorism) in place.	Nick Wilkinson, Prevent and Channel Strategic Manager	
Three year PREVENT training strategy approved by the Corporate Management Team.	Nick Wilkinson, Prevent and Channel Strategic Manager	
Capability framework for safeguarding and the mental capacity act introduced.	Annie Ho, Head of Adult Safeguarding	
Kent and Medway Safeguarding Adults Board Learning and Development Competence Framework is reviewed annually.	Annie Ho, Head of Adult Safeguarding	
New framework for safeguarding practice developed as part of the new ASCH operating model.	Annie Ho, Head of Adult Safeguarding / Divisional Directors	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Commission independent audits of case files across all client categories to complement internal reviews and audits.	Annie Ho, Head of Adult Safeguarding	March 2019

<b>Risk ID</b>	<b>CRR0003</b>	<b>Risk Title</b>	<b>Access to resources to aid economic growth and enabling infrastructure</b>			
<b>Source / Cause of Risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>	
The Council seeks access to resources to develop the enabling infrastructure for economic growth, regeneration and health.	Inability to secure sufficient contributions from development to support growth.	Key opportunities for growth missed.	Barbara Cooper, Corporate Director Growth, Environment and Transport (GET)	Likely (4)	Serious (4)	
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.	Funders do not recognise Kent priorities for investment.	The Council finds it increasingly difficult to fund KCC services across Kent (e.g. schools, waste services) and deal with the impact of growth on communities.		<b>Target Residual Likelihood</b>	<b>Target Residual Impact</b>	
At the same time, Government funding for infrastructure is limited and competitive and increasingly linked with the delivery of housing and employment outputs.	Lack of resources to continuously shape and determine bids.	Kent becomes a less attractive location for inward investment and business.	<b>Responsible Cabinet Member(s):</b> Mark Dance, Economic Development Mike Whiting, Planning, Highways, Transport & Waste	Possible (3)	Serious (4)	
A UK Shared Prosperity Fund will replace EU structural funds, with further clarity to be provided on how to access, and links with Local Enterprise Partnerships (also being reviewed) and the development of Local Industrial Strategies.		Our ability to deliver an enabling infrastructure becomes constrained. Reputational risk.				
<b>Control Title</b>				<b>Control Owner</b>		
Growth and Infrastructure Framework for Kent and Medway published, setting out the infrastructure needed to deliver planned growth.				Katie Stewart, Director Environment Planning & Enforcement (EPE)		

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 EPE	
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	
Strong engagement of private sector through Kent and Medway Economic Partnership (KMEP), Business Advisory Board and Kent Developer Group.	David Smith, Director Economic Development	
Strong engagement with South East LEP and with central Government to ensure that KCC is in a strong position to secure resources from future funding rounds.	Dave Hughes, Head of Business and Enterprise	
KCC is actively engaged in preparation of local plans across Kent and Medway, responding to all consultations.	Tom Marchant, Head of Strategic Planning & Policy	
Local Transport Plan 4 produced and approved by County Council.	Tom Marchant, Head of Strategic Planning & Policy	
Organisation Development plan is targeting gaps in resources to support bids.	GET Directorate Management Team	
KCC has responded to the Government's 'Strengthened Local Enterprise Partnerships' review.	David Smith, Director Economic Development	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Contribute to refresh of Strategic Economic Plan.	Barbara Cooper, Corporate Director Growth, Environment and Transport	January 2019
Engage with stakeholders to draw up an agreed Enterprise & Productivity Strategy 2018-2050.	David Smith, Director Economic Development	February 2019
Respond to consultation on Government's UK Shared Prosperity Fund.	David Smith, Director Economic Development	December 2018
Work with LEP partners to implement new LEP arrangements arising from the 'Strengthened Local Enterprise Partnerships' review as appropriate.	David Smith, Director Economic Development	April 2019

<b>Risk ID</b>	<b>CRR0004</b>	<b>Risk Title</b>	<b>Civil Contingencies and Resilience</b>			
<b>Source / Cause of Risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>	
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 major incidents and emergencies.	Failure to deliver suitable planning measures, respond to and manage these events when they occur.	Potential increased harm or loss of life if response is not effective.	On behalf of CMT:  Barbara Cooper, Corporate Director Growth, Environment & Transport (GET)	Likely (4)	Serious (4)	
This includes responses associated with the Government's Counter-terrorism Strategy (CONTEST) 2018.	Critical services are unprepared or have ineffective emergency and business continuity plans and associated activities.	Serious threat to delivery of critical services.		<b>Target Residual Likelihood</b>	<b>Target Residual Impact</b>	
Ensuring that the Council works effectively with partners to respond to, and recover from, emergencies and service interruption is becoming increasingly important in light of recent national and international security threats, severe weather incidents, threats of 'cyber attacks' and uncertainties around implication of a 'no-deal' Brexit.	Lack of resilience in the supply chain hampers effective response to incidents.	Increased financial cost in terms of damage control and insurance costs.	<b>Responsible Cabinet Member(s):</b>  Mike Hill, Community & Regulatory Services	Possible (3)	Serious (4)	
	Focus on 'no-deal' Brexit contingency planning means less opportunity to progress other aspects of emergencies and resilience agenda.	Adverse effect on local businesses and the Kent economy.				
		Possible public unrest and significant reputational damage.				
		Legal actions and intervention for failure to fulfill KCC's obligations under the Civil Contingencies Act or other associated legislation.				
<b>Control Title</b>			<b>Control Owner</b>			
Legally required multi-agency Kent Resilience Forum in place, with work driven by risk and impact based on Kent's Community Risk Register. Includes sub-groups relating to Health and Severe Weather.			Mike Overbeke, Head of Public Protection (for Kent Resilience Team Activity)			

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.	Cath Head, Head of Finance (Operations)
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.	Fiona Gaffney, Head of Resilience and Emergency Planning and Kent Resilience Team Manager (KCC)
On-going programme of review relating to ICT Disaster Recovery and Business Continuity arrangements. ICT resilience improvements are embedded as part of the ICT Transformation Programme.	Rebecca Spore, Director of Infrastructure
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 over the short term.	Katie Stewart, Director Environment Planning & Enforcement (EPE)
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.	Andrew Scott-Clark, Director Public Health
Emergency planning training rolled out at strategic, tactical and operational levels. KCC Resilience Programme in place to deliver further training opportunities and exercises regularly conducted to test different elements of KCC emergency and business continuity arrangements with partners.	Katie Stewart, Director EPE
Updated and expanded Duty and Recovery Director rota introduced.	Katie Stewart, Director EPE
KCC Business Continuity Management Policy and overarching Business Continuity Plan in place, underpinned by business continuity plans at service level.	Katie Stewart, Director EPE
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.	Penny Southern, Corporate Director ASCH



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, Prevent and Channel Strategic Manager	
Ongoing development of a counter-terrorism local profile.	Nick Wilkinson, Prevent and Channel Strategic Manager	
Quality Assurance approach introduced for business continuity plans to emphasise service accountability. This includes the testing of interdependencies between KCC business continuity plans and those of 3 <sup>rd</sup> parties.	Katie Stewart, Director EPE	
Fire Safety Guidance provided by KCC reviewed and updated.	Flavio Walker, Head of Health & Safety	
Local procedures have been and are being continually reviewed and refined for occasions the national threat level increases to critical. This includes an update of the Corporate Business Continuity Plan.	Katie Stewart, Director EPE	
New approach to Business Continuity Governance arrangements implemented, to enable increased focus on directorate Issues and complement KCC's cross-directorate Resilience group.	Fiona Gaffney, Head of Resilience and Emergency Planning and Kent Resilience Team Manager (KCC)	
Kent Resilience Forum Local Authorities Emergency Planning group's mutual aid arrangements with District Councils and other councils across the region undertaken.	Fiona Gaffney, Head of Resilience and Emergency Planning and Kent Resilience Team Manager (KCC)	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Exercise the procedures for a move in national threat level.	Katie Stewart, Director EPE	March 2019
Respond to any issues arising from most recent audit of KCC Business Continuity arrangements.	Corporate Management Team	February 2019
Building resilience into Multi-agency recovery structures for a longer time response.	Katie Stewart, Director EPE	March 2019
KCC services to review business continuity arrangements taking potential no-deal Brexit scenarios into consideration (cross-reference to CRR0042).	Service Managers	December 2018

Risk ID	CRR0005	Risk Title	Implementation of Local Care and Prevention with Health partners in Kent			
<b>Source / Cause of Risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>	
The health & social care 'system' is under extreme pressure to cope with increasing levels of demand and financial constraints.	Failure to maximise opportunities for appropriate health & social care integration and ensure changes achieve maximum benefit.	Further deterioration in the financial and service sustainability of Health and Social Care system in Kent and Medway.	Penny Southern, Corporate Director Adult Social Care & Health (ASCH)	Possible (3)	Serious (4)	
National government policy for integration of health and social care as part of how to meet these challenges.	Pressures within the acute health sector result in repercussions for social care and threaten successful implementation of joint working arrangements.	Additional budget pressures transferred to social care as system monies are used to close acute and primary care service gaps.	Vincent Godfrey, Strategic Commissioner	<b>Target Residual Likelihood</b>	<b>Target Residual Impact</b>	
NHS national policy is for health commissioners and providers to come together and develop place-based plans. KCC is part of the Kent and Medway Sustainability and Transformation Partnership (STP) and this partnership will evolve to form an integrated care system (ICS).	Improved Better Care Fund monies earmarked for social care geared to addressing pre-determined NHS targets and priorities.	Legal challenge/judicial review of decisions and decision-making framework for integrated decisions.	<b>Responsible Cabinet Member(s):</b> Paul Carter Leader of the Council	Unlikely (2)	Serious (4)	
Integration can only happen at local level around GP clusters. It is important that KCC understands the opportunities and challenges of an ICS and also the upcoming NHS 10-year plan and social care Green Paper.	Performance issues in the Health Sector have knock-on implications for KCC.	Social care and public health service priorities determined by NHS, not KCC.	Catherine Rankin Cabinet Member for Strategic Commissioning			
Care Quality Commission now conducts reviews of health and social care 'systems' to find out how services are working together to care for people aged 65 and over.	Failure to meet statutory duties around the sufficiency of the care market, care quality and safeguarding.	Capitated provider contracts dominated by NHS budgets and targets.	Graham Gibbens, Cabinet Member for Adult Social Care and Public Health			
	Opportunity cost from spending time and resources on STP and system design which is subject to change from NHS England.	Focus on STP and ACP workstreams prevents more local and agile improvements/joint working being				
	Lack of understanding within KCC of NHS policy and regulatory environment; and					

<p>vice versa, lack of understanding of local authority legislative, policy and democratic environment in NHS.</p>	<p>undertaken. Erosion of long-term working relationships between NHS and local government. Reputational damage to either KCC or NHS or both in Kent. Adverse outcome from CQC local system review.</p>
<b>Control Title</b>	<b>Control Owner</b>
KCC has a designated Cabinet Member Portfolio for Health Reform and Cabinet Member for Strategic Commissioning.	Paul Carter, Leader of the Council
Local Care Implementation Board in place.	Paul Carter, Leader of the Council
Regular internal STP co-ordination meetings chaired by the Leader.	Paul Carter, Leader of the Council
Establishment of a Health Reform and Public Health Cabinet Committee to provide non-executive member oversight and input of KCC involvement in the STP.	Ben Watts, General Counsel
Senior KCC political and officer representation on the STP Programme Board.	Penny Southern, Corporate Director ASCH
Senior KCC level officer representation on the East Kent ICS, and emerging West, North and Medway ICS.	Penny Southern, Corporate Director ASCH
Senior KCC level officer representation across STP workstreams.	Penny Southern, Corporate Director ASCH
KCC STP Secretariat established to manage and monitor ongoing engagement and activity.	Penny Southern, Corporate Director ASCH
County Council agreed framework for KCC engagement within the STP – ongoing monitoring and control taking place through STP Secretariat.	Penny Southern, Corporate Director ASCH

A joint KCC and Medway Health and Wellbeing Board for STP related matters/issues has been established.	David Whittle, Director SPRCA	
KCC has appointed an elected Member to the STP non-executive oversight group.	Paul Carter, Leader of the Council	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Engagement with the new NHS Strategic Commissioner for Kent and Medway and alignment of strategic commissioning intentions with KCC Strategic Commissioner.	Vincent Godfrey, Strategic Commissioner	January 2019 (review)
Delivery of the Adult Social Care and Health Local Care Implementation Plan.	Penny Southern, Corporate Director ASCH	March 2019 (review)
Assess NHS 10-year plan and impact on the STP.	David Whittle, Director SPRCA	January 2019

<b>Risk ID</b>	<b>CRR0006</b>	<b>Risk Title</b>	<b>Resourcing implications arising from increasing complex adult social care demand</b>			
<b>Source / Cause of risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>	
Adult social care services across the country are facing growing pressures. The cost of adult social care services in Kent continues to increase due to the complexity of presenting need, including increasing numbers of young adults with long-term complex care needs.	Council is unable to manage and resource to future demand and its services consequently do not meet future statutory obligations and/or customer expectations.	Customer dissatisfaction with service provision.  Increased and unplanned pressure on resources.  Decline in performance.	Penny Southern, Corporate Director Adult Social Care and Health (ASCH)	Likely (4)	Major (5)	
This is all to be managed against a backdrop of reductions in Government funding, implications arising from the implementation of the Care Act, increases in Deprivation of Liberty Assessments, impacts associated with reducing budgets of partner agencies and longer-term demographic pressures.		Legal challenge resulting in adverse reputational damage to the Council.  Financial pressures on other council services.	<b>Responsible Cabinet Member(s):</b>  Graham Gibbens, Adult Social Care and Public Health	<b>Target Residual Likelihood</b>  Possible (3)	<b>Target Residual Impact</b>  Major (5)	
Adult social care services are part of a complex system to meet needs, which requires the whole system to work cohesively.						
<b>Control Title</b>				<b>Control Owner</b>		
Regular analysis and refreshing of forecasts to maintain the level of understanding of volatility of demand, which feeds into the relevant areas of the MTFP and the business planning process.				Penny Southern, Corporate Director ASCH		
Continued support for investment in preventative services through voluntary sector partners.				Penny Southern, Corporate Director ASCH / Vincent Godfrey, Strategic Commissioner		
Public Health & Social Care ensures effective provision of information, advice and guidance to all potential				Andrew Scott-Clark, Director		

and existing service users, promoting self-management to reduce dependency.	Public Health/ ASCH Divisional Directors	
Best Interest Assessments (BIA) training package delivered as part of a rolling programme twice yearly.	Annie Ho, Head of Adult Safeguarding	
Continual review and monitoring of demand in relation to Deprivation of Liberty assessments (DoLs) with external resources brought in as necessary. Increased data cleansing has led to an improved overview of backlog cases.	Annie Ho, Head of Adult Safeguarding	
Targeted use of additional social care monies received from Government, investing in services which evidence suggests will have the greatest impact.	Penny Southern, Corporate Director ASCH	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Implementation of Kent Integration and Better Care Fund plan.	Penny Southern, Corporate Director ASCH	December 2018 (review)
Embedding of new operating model for Adult Social Care and Health, including Promoting Wellbeing approach to help manage demand.	Penny Southern, Corporate Director ASCH	April 2019 (review)
Agree approach for utilisation of additional social care monies for 2018/19.	Penny Southern, Corporate Director ASCH	January 2019

<b>Risk ID</b>	<b>CRR0007</b>	<b>Risk Title</b>	<b>Resourcing implications arising from Children's Services demand</b>			
<b>Source / Cause of risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>	
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, a marked increase in children with Special Educational Needs and Disabilities (SEND) and policy/legislative changes.	High volumes of work flow into early help and preventative services (EHPS) and specialist children's services (SCS) leading to unsustainable pressure being exerted on them (recognising seasonal spikes such as end of term).	Children's services performance declines as demands become unmanageable.	Matt Dunkley, Corporate Director CYPE	Likely (4)	Major (5)	
At a local level KCC is faced with particular 'pressure points' in several districts.	Failure to maximise opportunities offered by integration of EHPS and SCS where appropriate.	Failure to deliver statutory obligations and duties or achieve social value.	<b>Responsible Cabinet Member(s):</b> Roger Gough Children, Young People and Education	<b>Target Residual Likelihood</b>	<b>Target Residual Impact</b>	
These challenges need to be met as early help and preventative services and specialist children's services face increasingly difficult financial circumstances and operational challenges.		Additional financial pressures placed on other parts of the Authority at a time of severely diminishing resources.		Possible (3)	Serious (4)	
The Council needs to remain aware of London Boroughs, utilising higher per-capita funding and large capital/reserve budgets to procure sites in Kent to ease their overspends on housing/homelessness, due to potential demand implications.		Ultimately an impact on outcomes for children, young people and their families.				
<b>Control Title</b>			<b>Control Owner</b>			

The Early Help and Preventative Services Programme is working to ensure that vulnerable families can access the right support through intensive work in Early Help Units and Step Down Panels, open access services or through targeted casework.	Stuart Collins, Director Integrated Services (Early Help and Preventative Services Lead)	
Intensive focus on ensuring early help to reduce the need for specialist children's support services.	Matt Dunkley, Corporate Director CYPE	
Early Help & Preventative Services have outlined priorities for service development and change, including ambitious targets to improve outcomes for children, young people and families.	Stuart Collins, Director Integrated Services (Early Help and Preventative Services Lead)	
Kent Safeguarding Children Board 'threshold' document outlines the criteria required by partners when making a referral and have been working with partners to promote aid appropriate application.	Mark Janaway, Programme and Performance Manager	
The Specialist Children's Services budget has been increased to compensate for the additional demand.	Dave Shipton, Acting Section 151 Officer	
Relationships with London Councils which allow us to understand / test their intentions on an individual site basis.	David Whittle, Director SPRCA	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Implementation of Change for Children in Kent programme.	Matt Dunkley, Corporate Director, CYPE	April 2019
Implementation of Front Door Integration Project to better manage 'front door' referrals.	Sarah Hammond, Director of Integrated Services (Children's Social Work Lead)	December 2018



<b>Risk ID</b>	<b>CRR0009</b>	<b>Risk Title</b>	<b>Future financial and operating environment for Local Government</b>			
<b>Source / Cause of risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner (s)</b>	<b>Current Likelihood</b>	<b>Current Impact</b>	
<p>The operating environment for local government is likely to continue to change during the coming years, presenting both opportunities and risks for the Council and its partners / service providers.</p> <p>Government funding has continued to reduce, with a number of councils showing signs of financial stress and warning of moves toward a 'minimum service offer', including the issuing of the first section 114 notice for over 20 years.</p> <p>While KCC is not in this position, continuing budget challenges will necessitate difficult policy decisions being made regarding the future of services.</p> <p>The Government's Spending Review in 2019; the Social Care Green Paper; NHS 10-year plan; current uncertainties relating to implications of Brexit and ongoing challenges to secure funding for essential infrastructure to keep pace with housing growth will all affect the operating framework for the Council.</p> <p>Limits on our ability to levy additional council tax without a</p>	<p>Additional unfunded spending demands and continued real-terms funding reductions threaten the financial sustainability of KCC, its partners and service providers.</p> <p>In order to set a balanced budget the council is likely to have to continue to make significant year on year savings.</p> <p>Quality of KCC commissioned / delivered services suffers as financial situation continues to worsen.</p> <p>Insufficient Government Grant available to provide sufficient number of school places.</p>	<p>Unsustainable financial situation, ultimately resulting in s114 notice.</p> <p>Potential for partner or provider failure – including sufficiency gaps in provision.</p> <p>Reduction in resident satisfaction and reputational damage.</p>	<p>On behalf of CMT:</p> <p>Zena Cooke, Corporate Director Finance</p> <p><b>Responsible Cabinet Member (s):</b> All Cabinet Members</p>	<p>Likely (4)</p> <p><b>Target Residual Likelihood</b> Possible (3)</p>	<p>Major (5)</p> <p><b>Target Residual Impact</b> Serious (4)</p>	

referendum are still in place.		
<b>Control Title</b>	<b>Control Owner</b>	
Robust budgeting and financial planning in place via Medium Term Financial Planning (MTFP) process, including stakeholder consultation.	Dave Shipton, Acting Section 151 Officer	
Processes in place for monitoring delivery of savings and budget as a whole.	Dave Shipton, Acting Section 151 Officer	
KCC Strategic Statement 2015-2020 and annual report outline key strategic outcomes that the Authority aims to achieve during this period.	Paul Carter, Leader of the Council	
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, Business Partner (external funding)	
Support being provided to the Leader of KCC in his role as Chair of the County Councils Network (CCN).	David Whittle, Director SPRCA	
Financial analysis conducted after each budget statement.	Dave Shipton, Acting Section 151 Officer	
Engagement with CCN, other local authorities and Government of potential opportunities and issues around devolution and public reform.	David Whittle, Director SPRCA	
Continued engagement with Government for a fair Basic Need allocation to meet the demand for school places.	Keith Abbott, Director Education Planning and Access	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Work proactively with Government regarding how the new business rate retention scheme can be most effectively implemented.	Dave Shipton, Acting Section 151 Officer	January 2019 (review)
Engage with Government for a fair-funding needs formula for Grant distribution and tariffs/top ups under business rate retention.	Dave Shipton, Acting Section 151 Officer	January 2019 (review)

Assess implications of the NHS 10-year plan.	David Whittle, Director SPRCA	January 2019
Ensure appropriate response to Government Spending Review 2019.	Dave Shipton, Acting Section 151 Officer	June 2019
Assess impact of and respond to social care green paper.	Penny Southern, Corporate Director ASCH	January 2019

Risk ID	CRR0011	Risk Title	Embedding KCC's Strategic Commissioning approach and consistency of commissioning standards				
<b>Source / Cause of risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>	<b>Target Residual Likelihood</b>	<b>Target Residual Impact</b>
<p>The Authority has developed a strategic commissioning approach, which is a journey in changing the systems, culture and approach the organisation takes to achieving its strategic outcomes.</p> <p>The approach aims to meet the need for comprehensive, professional strategic commissioning advice to all directorates across the Authority and requires a whole council ethos, as well as clarity of responsibility and accountability.</p>	<p>Insufficient management capacity and / or capability in key skill areas to support sustained change.</p> <p>Lack of clarity over which activities can be defined as strategic commissioning as distinct from the specification of service outcomes.</p> <p>Lack of buy-in to whole-council ethos to support the changes required.</p>	<p>Potential to fall short of achieving benefits if changes introduced are not fully embedded.</p>	<p>In collaboration with CMT:</p> <p>Vincent Godfrey, Strategic Commissioner</p> <p><b>Responsible Cabinet Member:</b></p> <p>Catherine Rankin, Cabinet Member for Strategic Commissioning</p>	<p>Possible (3)</p> <p>Unlikely (2)</p>	<p>Significant (3)</p> <p>Significant (3)</p>		
<b>Control Title</b>				<b>Control Owner</b>			
Senior role of Strategic Commissioner appointed, reporting to the Head of Paid Service, to oversee the delivery of strategic commissioning expertise.				David Cockburn, Head of Paid Service			
Building capacity and capability in commissioning is a key area of KCC's Organisation Development action plan.				Julie Cudmore, Head of Organisation Development			
Cabinet Member role for Strategic Commissioning created.				Paul Carter, Leader of the Council			
Rolling programme of reviews of contract management arrangements for major contracts embedded into Business as Usual and reported on regularly.				Vincent Godfrey, Strategic Commissioner			
<i>Commissioning Success: A strategy to improve lives by ensuring every pound spent in Kent is delivering better outcomes for Kent's residents, communities and businesses through successful commissioning</i>				Vincent Godfrey, Strategic Commissioner			

developed as part of a co-design process.		
KCC has established a Strategic Commissioning Division to strengthen commissioning capability, and lead and shape commissioning activity, which has been restructured as a vehicle for achievement of business strategy.	Vincent Godfrey, Strategic Commissioner	
Commissioning Standards Framework Group provides strategic oversight and agreement by executive Members and senior professional officers of the proposed minimum standards for strategic commissioning activity throughout the life cycle which will make up the Commissioning Framework.	Catherine Rankin, Cabinet Member for Strategic Commissioning	
KCC informal Governance arrangements refreshed to include continued focus on improving quality of commissioning activity.	Vincent Godfrey, Strategic Commissioner	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Work towards Chartered Institute of Procurement and Supply (CIPS) Excellence accreditation for the organisation.	Vincent Godfrey, Strategic Commissioner	October 2019

<b>Risk ID</b>	<b>CRR0013</b>	<b>Risk Title</b>	<b>Delivery of in-year savings within agreed budgets</b>			
<b>Source / Cause of Risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>	
The ongoing difficult public financial situation and economic uncertainty continue to mean significant reductions in funding to the public sector and Local Government in particular, at a time when spending pressures on councils are increasing.	Robust plans to achieve the required savings are not developed in time to enable implementation and realisation of benefits.	Urgent alternative savings need to be found which could have an adverse impact on service users and/or residents of Kent.	On behalf of CMT: Zena Cooke, Corporate Director Finance	Possible (3)	Significant (3)	
KCC has already made significant cost savings and still needs to make significant ongoing year-on-year savings in order to “balance its books”.	Plans are not aligned with Cabinet Member priorities.	Potential adverse impact on council transformation plans. Depletion of the Council’s financial reserves. Reputational damage to the council.	<b>Responsible Cabinet Member(s):</b> Peter Oakford, Finance and Traded Services	<b>Target Residual Likelihood</b> Unlikely (2)	<b>Target Residual Impact</b> Minor (1)	
<b>Control Title</b>				<b>Control Owner</b>		
Robust budgeting and financial planning in place via Medium Term Financial Planning (MTFP) process.				Dave Shipton, Acting Section 151 Officer		
Process for monitoring delivery of savings is in place, including a Budget Delivery Group to scrutinise progress.				Dave Shipton, Acting Section 151 Officer		
Robust monitoring and forecasting of arrangements in place relating to the KCC budget as a whole.				Dave Shipton, Acting Section 151 Officer		
Procedures for appropriate consultation in place when decisions relating to changes in services are being considered.				Diane Trollope, Head of Engagement & Consultation		
Controls and mechanisms remain robust.				Dave Shipton, Acting Section 151 Officer		
Indicative cash limits and savings targets allocated to Corporate Directors to allow early planning.				Corporate Directors and Director Group		
Six monthly update reports on progress against budgeted savings presented to Governance & Audit				Corporate Directors and		

Committee.	Director Group
Continued engagement with the Home Office for a fair settlement for Unaccompanied Asylum-Seeking Children (UASC), particularly Care Leavers.	Matt Dunkley, Corporate Director, CYPE
<b>Action Title</b>	<b>Action Owner</b>
<b>Planned Completion Date</b>	
<b>NOTE: Level of risk is expected to decrease during the year by effective operation of existing controls.</b>	

<b>Risk ID</b>	<b>CRR0014</b>	<b>Risk Title</b>	<b>Cyber-attack threats and their implications</b>
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Source / Cause of Risk	Risk Event	Consequence	Risk Owner(s)	Current Likelihood	Current Impact
<p>The Council has a duty to protect personal and other sensitive data that it holds on its staff, service users and residents of Kent.</p> <p>KCC repels a high number of cyber-attacks on a daily basis, although organisations across all sectors are experiencing an increasing threat in recent times and must ensure that all reasonable methods are employed to mitigate them (within resource constraints), both in terms of prevention and preparedness of response in the event of any successful attack.</p> <p>KCC's ICT Strategy will move the Authority's technology to cloud based services. It is important to harness these new capabilities in terms of both IT security and resilience, whilst emerging threats are understood and managed.</p> <p>In information terms the other factor is human. Technology can only provide a level of protection. Our staff must have a strong awareness of their responsibilities in terms of IT and information security.</p>	<p>Successful cyber-attack (e.g. 'phishing' scam) leading to loss or unauthorised access to sensitive business data.</p> <p>Significant business interruption caused by a successful attack.</p>	<p>Data Protection breach and consequent Information Commissioner's Office (ICO) sanction.</p> <p>Damages claims.</p> <p>Reputational Damage.</p> <p>Potential significant impact on business interruption if systems require shutdown until magnitude of issue is investigated.</p>	<p>Rebecca Spore, Director Infrastructure</p> <p>Ben Watts, General Counsel and KCC Data Protection Officer</p> <p>Amanda Beer, Corporate Director Engagement, Organisational Design &amp; Development.</p> <p><b>Responsible Cabinet Member(s):</b> Eric Hotson, Corporate &amp; Democratic Services</p>	<p>Likely (4)</p> <p><b>Target Residual Likelihood</b> Possible (3)</p>	<p>Serious (4)</p> <p><b>Target Residual Impact</b> Serious (4)</p>
<b>Control Title</b>				<b>Control Owner</b>	
Systems are configured in line with best practice security controls proportionate to the business information				Kathy Stevens, ICT	



being handled. Systems are risk assessed and reviewed to ensure compliance is maintained.	Compliance and Risk Manager	
Staff are required to abide by IT policies that set out the required behaviour of staff in the use of the technology provided. These policies are reviewed on an annual basis for appropriateness.	Kathy Stevens, ICT Compliance and Risk Manager	
Continual awareness raising of key risks amongst the workforce and manager oversight.	Internal Communications function / Michael Lloyd, Head of Technology Commissioning and Strategy / / All Managers	
Electronic Communications User Policy, Virus reporting procedure and social media guidelines in place.	Rebecca Spore, Director Infrastructure	
External reviews of the Authority's security compliance are carried out to maintain accreditation and confirm best practice is applied.	Kathy Stevens, ICT Compliance and Risk Manager	
Persistent monitoring of threats, network behaviours and data transfers to seek out possible breaches and take necessary action.	Kathy Stevens, ICT Compliance and Risk Manager	
Data Protection and Information Governance training is mandatory and requires staff to refresh periodically. Progress rates monitored regularly.	Ben Watts, General Counsel	
Further training introduced relating to cyber-crime, cyber security and social engineering to raise staff awareness and knowledge.	Rebecca Spore, Director Infrastructure	
Messages to encourage increased awareness of information security amongst staff are to be communicated to align with key implementation milestones of the ICT Transformation Programme.	Diane Trollope, Head of Engagement and Consultation	
Procedures to address data breaches from KCC 'client side' perspective are covered within the Infrastructure business continuity plan.	Kathy Stevens, ICT Compliance and Risk Manager	
Monthly updated remediation plans produced for the Director of Infrastructure and Senior Information Risk Owner. Quarterly reporting to the Directorate Management Team.	Kathy Stevens, ICT Compliance and Risk Manager	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Implementation of ICT Transformation Programme includes actions to further strengthen ICT resilience, with systems and software compliance with various UK Standards.	Rebecca Spore Director of Infrastructure	March 2019
Liaise with service partners / providers to ensure clarity regarding support available and respective responsibilities to address data breaches should they occur.	Kathy Stevens, ICT Compliance and Risk Manager	December 2018

Develop a Cyber incident response policy which strengthens the responsibilities and accountabilities across the Authority.

Kathy Stevens, ICT  
Compliance and Risk Manager

December 2018

<b>Risk ID</b>	<b>CRR0015</b>	<b>Risk Title</b>	<b>Managing and working with the social care market</b>			
<b>Source / Cause of Risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>	
A significant proportion of adult social care is commissioned out to the private and voluntary sectors. This offers value for money but also means that KCC is dependent on a buoyant market to achieve best value and give service users optimal choice and control.	Care home and domiciliary care markets are not sustainable.	Gaps in the care market for certain types of care or in geographical areas meaning difficulty in placing some service users.	Penny Southern, Corporate Director ASCH, in collaboration with Vincent Godfrey, Strategic Commissioner	Likely (4)	Major (5)	
	Inability to obtain the right kind of provider supply at affordable prices.			<b>Target Residual Likelihood</b>	<b>Target Residual Impact</b>	
Factors such as the introduction of the National Living Wage, potential inflationary pressures and uncertainty over care market workforce in light of new settled status arrangements mean that the care market is under pressure.	Significant numbers of care home closures or service failures.		<b>Responsible Cabinet Member(s):</b>	Possible (3)	Major (5)	
	Providers choose not to tender for services at Local Authority funding levels or accept service users with complex needs.		Graham Gibbens, Adult Social Care and Public Health  Catherine Rankin, Strategic Commissioning			
<b>Control Title</b>			<b>Control Owner</b>			
Opportunities for joint commissioning and procurement in partnership with key agencies (i.e. Health) being regularly explored, including joint work regarding the provision of dementia nursing beds.			Vincent Godfrey, Strategic Commissioner			
As part of the Commissioning Success model, Analytics function to ensure good quality data to inform decision making before moving commissioning activity forward.			Richard Fitzgerald, Business Intelligence Manager, Performance / Steph Smith, Head of Performance and Information			

Regular meetings with provider and trade organisations.	Vincent Godfrey, Strategic Commissioner	
Ongoing Contract Monitoring, working in partnership with the Access to Resources team.	Clare Maynard, Head of Commissioning Portfolio – Outcome 2 and 3	
Ongoing monitoring of Home Care market and market coverage. Commissioners and operational managers reviewing the capacity of the Home Care market with a view to developing a strategy to ensure market coverage.	Jo Empson, Commissioning Manager, Community Support	
Ensuring contracts have indexation clauses built-in, managed through contract monitoring.	Georgina Aplin, Head of Commissioning Support	
KCC is part of local and regional Quality Surveillance Groups that systematically bring together the different parts of the health and care system to share information, identify and mitigate risks to quality, including those relating to care providers.	Penny Southern, Corporate Director ASCH (KCC lead)	
Ongoing work to improve maturity of the market	Vincent Godfrey, Strategic Commissioner	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Recommissioning of Homecare, Supporting Independence Service and discharge to assess as part of the 'Care in the Home' project.	Jo Empson, Commissioning Manager, Community Support	April 2019
Implementation of refreshed Accommodation Strategy, developed with partners and key stakeholders. Need to have Extra Care beds onstream by 2020.	Clare Maynard, Head of Commissioning Portfolio – outcome 2 and 3	April 2019 (review)

<b>Risk ID</b>	<b>CRR0016</b>	<b>Risk Title Delivery of New School Places is constrained by capital budget pressures and dependency upon the Education and Skills Funding Agency (ESFA)</b>				
<b>Source / Cause of risk</b>		<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>
<p>A significant expansion of schools is required to accommodate major population growth in the short term to medium term (primary age) and medium to long term (secondary age). The "Basic Need" capital grant from Dept of Education (DfE) will not fund the expansion in full.</p> <p>A funding gap to deliver the programme for schools will be created by cost pressures from higher than expected build costs, low contributions from developers and increases in pupil demand.</p> <p>Whilst the funding gap identified with the Kent Commissioning Plan has been closed, the delivery of the plan is highly dependent upon securing a number of Free Schools in Kent over the period and that the ESFA complete the Free School projects on time and to an appropriate standard.</p>		<p>The expansion required may not be delivered, meaning KCC is not able to provide appropriate school places.</p> <p>Further upward demand pressures beyond what is forecast.</p>	<p>Some children have to travel much further to attend a school, with a resulting impact on the transport budget.</p> <p>The duty to provide sufficient school places is not met, which may lead to legal action against the council.</p>	<p>Matt Dunkley, Corporate Director CYPE</p>	<p>Likely (4)</p>	<p>Serious (4)</p>
				<b>Responsible Cabinet Member(s):</b>	<b>Target Residual Likelihood</b>	<b>Target Residual Impact</b>
				<p>Roger Gough, Children, Young People and Education</p>	<p>Likely (4)</p>	<p>Significant (3)</p>
<b>Control Title</b>				<b>Control Owner</b>		
<p>The Kent Commissioning Plan contains the forecast expansion numbers and locations. A school expansion programme has been mapped, costed and kept under review.</p>				<p>Keith Abbott, Director Education Planning and Access</p>		

The school expansion programme is under member scrutiny and review by relevant Education and Property programme boards/forums/committees.	Keith Abbott, Director Education Planning and Access	
CYPE capital monitoring mechanism with Member involvement now created.	Education Planning and Access DivMT	
Policy and operations to secure sufficient developer contributions are overseen by Growth and Infrastructure Group.	Keith Abbott, Director Education Planning and Access/Katie Stewart, Director Environment, Planning and Enforcement	
A bid has been made for extra funding under the priority school building programme Phase 2.	Keith Abbott, Director Education Planning and Access	
Negotiations have taken place with District Councils regarding allocation of contributions.	Area Education Officers	
Close working with the ESFA and lobbying of the DfE/ESFA, Secretary of State and Kent MPs raising of the issue via the County Councils Network.	Keith Abbott, Director Education Planning and Access / Cabinet Member CYPE / Leader of the Council	
Regular meetings with ESFA officials to monitor progress at individual project level and identify ways in which KCC can help progress these projects. (Local delivery)	Keith Abbott, Director Education Planning and Access	
Contingency plans for alternative interim accommodation for each Free School project are being developed on a case-by-case basis i.e. temporary expansions to schools to meet immediate pressures, or the allocation of available places within existing schools.	Keith Abbott, Director Education Planning and Access	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Put forward bids for selective schools expansion fund.	Keith Abbott, Director of Education	April 2019

<b>Risk ID</b>	<b>CRR0039</b>	<b>Risk Title</b>	<b>Information Governance</b>			
<b>Source / Cause of risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>	
The Council is required to maintain the confidentiality, integrity and proper use of data under the Data Protection Act 2018.	Failure to embed the appropriate processes and procedures to meet the new regulations.	Information Commissioner's Office sanction (e.g. undertaking, assessment, improvement, enforcement or monetary penalty notice issued against the Authority).	Ben Watts, General Counsel and Data Protection Officer in collaboration with	Possible (3)	Serious (4)	
General Data Protection Regulations (GDPR) came into effect that have introduced significantly increased obligations on all data controllers, including the Council.	Information security incidents (caused by both human error and / or system compromise) resulting in loss of personal data or breach of privacy / confidentiality.	Serious breaches under GDPR could attract a fine of €20m.	David Whittle, Senior Information Risk Owner	<b>Target Residual Likelihood</b>	<b>Target Residual Impact</b>	
There is insufficient resource available to undertake comprehensive oversight / assurance activity that provides assurance on compliance with existing information governance standards.	Council accreditation for access to government and partner ICT data, systems and network is withdrawn.	Increased risk of litigation.	<b>Responsible Cabinet Member:</b>	Unlikely (2)	Serious (4)	
There is a critical dependency on one of the Council's Local Authority Trading Companies (CBS) to support Information Governance compliance for the KCC systems and network.	Cantium Business Solutions prioritises commercial work or does not undertake information governance compliance work in an appropriate and timely fashion.	Reputational damage.	Eric Hotson, Corporate & Democratic Services			
KCC services' requirement for non-standard systems creates vulnerabilities.						
<b>Control Title</b>				<b>Control Owner</b>		
Data Protection Officer in place to act as designated contact with the Information Commissioner's Office				Ben Watts, General Counsel		

Caldicott Guardian appointed with training and support to undertake the role.	Penny Southern, Corporate Director ASCH	
Senior Information Risk Owner for the Council appointed with training and support to undertake the role.	David Whittle, Director SPRCA	
Corporate Information Governance group to allow for effective management of information governance risks and issues between the DPO, SIRO and Caldicott Guardian.	Ben Watts, General Counsel	
Management Guide / Operating Morals on Information Governance in place, highlighting key policies and procedures.	Caroline Dodge, Team Leader Information Resilience & Transparency	
A number of policies and procedures are in place including KCC Information Governance Policy; Information Governance Management Framework; Information Security Policy; Data Protection Policy; Freedom of Information Policy; and Environmental Information Regulations Policy all in place and reviewed regularly.	Ben Watts, General Counsel	
Staff are required to complete mandatory training on Information Governance and Data Protection and refresh their knowledge every two years as a minimum.	Ben Watts, General Counsel / Amanda Beer, Corporate Director EODD	
ICT Commissioning function has necessary working / contractual relationship with the Cantium Business Solutions to require support on KCC ICT compliance and audit.	Rebecca Spore, Director of Infrastructure	
Information Resilience and Transparency team in place, providing business information governance support.	Caroline Dodge, Team Leader Information Resilience & Transparency	
Privacy notices as well as procedures/protocols for investigating and reporting data breaches reviewed and updated.	Caroline Dodge, Team Leader Information Resilience & Transparency	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Finalise implementation of any outstanding actions arising from 2016 Information Commissioner's Office (ICO) audit.	Ben Watts, General Counsel	January 2019
Refresh of cross-directorate Information Governance Working Group, with key risks and issues raised to the Corporate IG group.	Lauren McCann, Principal Solicitor	November 2018
Development of stand-alone Information Governance risk register.	David Whittle, SPRCA	January 2019



<b>Risk ID</b>	<b>CRR0040</b>	<b>Risk Title</b>	<b>Opportunities and risks associated with KCC's Local Authority Trading Companies (LATCos)</b>			
<b>Source / Cause of risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>	
KCC has established a number of wholly-owned companies delivering a wide range of professional services that can bring benefits such as a change in culture and a more commercial approach to delivering services; more freedom to invest; the ability to secure new external clients; and the ability to grow the business and return a dividend to the Council as shareholder.	Expected financial dividends not met or return on investment takes longer than planned to achieve.	Additional pressures on Council budget. Reputational damage.	KCC Shareholder Boards	Likely (4)	Significant (3)	
As with any new company start up, there will also be risks to be managed.	One or more company acts in a way that does not fit with KCC's values.	Companies may not be able to take advantage of commercial opportunities if decision-making is restricted.	<b>Responsible Cabinet Member:</b>	<b>Target Residual Likelihood</b>	<b>Target Residual Impact</b>	
With the number of wholly-owned companies increasing, the council has reached a cross-over point where the wider objectives of the shareholder (KCC) is of at least the same importance as the individual needs of the new companies.	Council attempts to manage or run individual companies rather than acting as shareholder to extract the maximum value and benefit for the council in terms of both financial return and delivery of our identified outcomes as the owner of the businesses.		Peter Oakford, Finance and Traded Services	Unlikely (2)	Moderate (2)	
KCC does not make the necessary internal changes / decisions (e.g. internal commissioning arrangements) necessary to support the delivery of the agreed business plans of trading companies.	Insufficient quality of service from company to KCC 'client'		Supported by:  Richard Long, Cabinet Lead for Traded Services			
<b>Control Title</b>						<b>Control Owner</b>

Governance: shareholder and company boards exist for KCC-owned companies with respective roles, with matters reserved for shareholder decision outlined.	Ben Watts, General Counsel	
Cultural and change factors are built into the planning for proposed creation of alternative service delivery models.	Julie Cudmore, Head of Organisation Development	
KCC's Group Audit function conducts audits for KCC-owned companies.	Robert Patterson, Head of Internal Audit	
Robust business cases developed for proposed new companies, subject to Member and Officer scrutiny – including consideration of market potential, governance arrangements etc.	Relevant Cabinet Member and Corporate Director.	
KCC company governance and ownership reviewed with regular updates given to Policy & Resources Cabinet Committee.	Richard Long, Cabinet Lead for Traded Services / David Cockburn, Head of Paid Service / Ben Watts, General Counsel / Dave Shipton, Acting Section 151 Officer	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
The Council is effecting changes to the constitution and Member scrutiny to support effective oversight and input by Members.	Ben Watts, General Counsel	December 2018
Implementation of holding arrangements for KCC's companies.	Ben Watts, General Counsel	April 2019 (review)
To develop exit strategies in relation to all businesses from a commissioning and shareholder perspective against various potential outcomes.	Relevant commissioners / Share holder Boards	December 2018 (review)
Accommodation solution agreed to support Cantium Business Solutions requirement for co-location of staff as per agreed Business Plan.	Rebecca Spore, Director – Infrastructure	April 2019

<b>Risk ID</b>	<b>CRR0041</b>	<b>Risk Title</b>	<b>Maintaining a healthy and effective workforce</b>			
<b>Source / Cause of risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>	
KCC's workforce makes a vital contribution to the delivery of the Council's strategic outcomes, through its energy, commitment and hard work.	Low morale or stress related to organisational change or other factors.	Negative impact on productivity and levels of service.	Corporate Management Team	Possible (3)	Serious (4)	
Staff across the organisation need to be healthy, motivated and have the right skills to help the organisation develop.	Increased sickness levels.					
It is important that this continues through challenging times, with significant change becoming the new reality and further year-on-year efficiencies being required to meet difficult budgetary challenges.	Lack of depth / resilience of key personnel or teams.					
	Increasing demands on staff leads to insufficient capacity.		<b>Responsible Cabinet Member:</b>  Eric Hotson, Corporate and Democratic Services	<b>Target Residual Likelihood</b>  Unlikely (2)	<b>Target Residual Impact</b>  Serious (4)	
<b>Control Title</b>				<b>Control Owner</b>		
Refreshed approach to managing people and performance focusing in particular on regular, high quality conversations between managers and staff and emphasising management accountability and employee engagement.				Amanda Beer, Corporate Director, EODD		
Annual staff survey (Employment Value Proposition – EVP) builds insight by looking at the perceived balance between what the organisation offers staff and what employees bring to the job.				Amanda Beer, Corporate Director, EODD		
Wellbeing initiatives and health promotions for staff.				Paul Royel, Head of Human Resources (HR) and Organisation Development (OD)		
Arrangements in place for active monitoring and response to absence.				Paul Royel, Head of HR and OD		
Employee engagement strategy in place.				Paul Royel, Head of HR and		

		OD
iResilience tools available.		Amanda Beer, Corporate Director EODD
Staff care services provide professional occupational health, counselling (Support Line); coaching and mediation services to help ensure staff are physically, emotionally and mentally well.		Mark Scott, Chief Executive Cantium Business Solutions
Suite of key performance indicators being monitored as early warning indicators e.g. retention, absence.		Amanda Beer, Corporate Director EODD
Directorate Organisation Development groups share best practice and facilitates communication on key OD issues.		Julie Cudmore, Head of Organisation Development
Service redesigns take account of capacity and capability issues ensuring resources are allocated appropriately.		Corporate Management Team
Significant and positive engagement with staff representatives.		Paul Royel, Head of Human Resources (HR) and Organisation Development (OD)
Comprehensive leadership and management training & development offer available.		Paul Royel, Head of Human Resources and Organisation Development
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Analyse findings from autumn 2018 staff survey, share results and work with CMT to respond accordingly.	Amanda Beer, Corporate Director EODD	January 2019

<b>Risk ID</b>	<b>CRR0042</b>	<b>Risk Title</b>	<b>Post-Brexit border systems, infrastructure and regulatory arrangements</b>			
<b>Source / Cause of risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>	
The personnel, procedures, systems and physical infrastructure necessary to provide sufficient capacity and capability for fast and efficient flow of goods and people through the Dover / Continental Ports and Eurotunnel in accordance post-Brexit requirements are not in place as required.	That the 'implementation period' agreed between UK leaving the EU is not enacted leading to immediate third country status for the UK on 29 March 2019.	Significant slowdown in the existing flow of goods and people through the Kent Ports leads to long delays in accessing Dover Ports and Eurotunnel.	Barbara Cooper, Corporate Director Growth, Environment & Transport	Likely (4)	Major (5)	
KCC is reliant on coherent, coordinated governance across Government to aid the Local Authority and partners locally in planning their contingency arrangements.	That the implementation period agreed between the UK and EU is insufficient to develop the personnel, procedures, systems and physical infrastructure in time to support post-Brexit border arrangements.	Temporary closure or permanent changes to all or part of the M20 or M26 to support Operation Stack / Brock and other mitigations for port delays.	<b>Responsible Cabinet Member</b>	<b>Target Residual Likelihood</b>	<b>Target Residual Impact</b>	
	That a customs arrangement between the UK and EU is not agreed and there are delays in the physical transport of people / goods across the border.	Significant reduction in the capacity of the Kent Highway Network, with consequential increase in local and pan-Kent road journey times, impacting on local residents and businesses.	Mike Whiting, Planning, Highways, Transport & Waste	Likely (4)	Serious (4)	
	That the Government does not provide sufficient capital and revenue financial support to departments, agencies, local authorities and other infrastructure stakeholders necessary to address the personnel, procedures and physical infrastructure to support post-Brexit border arrangements.	Significant long-term detrimental impact on county's economic competitiveness, attractiveness for inward investment and quality of life for Kent residents.	Mike Hill, Community Services			
<b>Control Title</b>			<b>Control Owner</b>			

Regular engagement with senior colleagues in relevant Government Departments on the impacts and implications of Brexit on KCC's regulatory responsibilities relating to Trading Standards and the resilience of Kent highways.	Barbara Cooper, Corporate Director GET	
KCC membership and co-chair of the Kent Border Planning Steering Group and associated working groups such as Emergency Planning, Infrastructure etc.	Katie Stewart, Director Environment, Planning and Enforcement	
Internal KCC co-ordination through a Brexit Co-ordination Group and Informal Members Group.	David Whittle, Director SPRCA	
KCC leads and manages the Kent Strategic Freight Forum.	Barbara Cooper, Corporate Director, GET	
KCC membership and support to the Kent Resilience Forum Brexit Sub-Group.	Fiona Gaffney, Head of Resilience and Emergency Planning	
KCC involvement in Operation Fennel Tactical Group (multi-agency planning group for potential disruption at Port of Dover and Eurotunnel).	Barbara Cooper, Corporate Director, GET (KCC lead)	
KCC response to the Highways England M20 consultation on interim on-highway solution in place for the implementation period endorsed.	Katie Stewart, Director EPE	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Engaging with Government on exercise(s) testing emergency response capability in relation to potential post-Brexit scenarios.	Fiona Gaffney, Head of Resilience and Emergency Planning	Ongoing
KCC services to review business continuity arrangements, taking potential no-deal Brexit scenarios into consideration.	Service Managers	December 2018
KCC exploring opportunities with the Ministry for Housing, Communities and Local Government (MHCLG) regarding funding for the direct impacts of Brexit in the county.	Katie Stewart, Director Environment, Planning and Enforcement	February 2019

<b>Risk ID</b>	<b>CRR0044</b>	<b>Risk Title</b>	<b>High Needs Funding and adequacy of support for children with SEND</b>			
<b>Source / Cause of risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>	
The Children and Families Act 2014 introduced significant changes to Special Educational Needs arrangements (SEN) through the duty to ensure that the views, wishes and feelings of parents are heard, leading to a raising of expectations of parents.	There is a risk that the SEN service within KCC will fail to deliver an acceptable service to parents and children requiring SEN services within Kent, and/or fails to meet statutory time limits for providing support.	Unless processes and practices are reviewed and made to be more efficient and effective, families may fail to receive a supportive, acceptable service from SEN within Kent.	Matt Dunkley Corporate Director CYPE	Likely (4)	Major (5)	
The number of Children and Young People with SEND (Special Educational Needs and Disability) is rising faster than the underlying growth in population. Kent is now maintaining over 10,500 Education Health and Care Plans (EHCP) which represents a growth of over 40% in the last 4 years. In addition, the incidence of EHCPs being maintained and issued to young people aged 19+ has grown exponentially.		Families feel neglected and unsupported.  Ultimately the delivery of such a level of service could lead to legal action if statutory time limits or processes are not met.	<b>Responsible Cabinet Member(s):</b>  Roger Gough Children, Young People and Education	<b>Target Residual Likelihood</b>  Possible (3)	<b>Target Residual Impact</b>  Serious (4)	
The available budget is not enough to address the growth in demand, and the level of Dedicated Schools Grant (DSG) High Needs Funding is effectively capped for the next 4 years.						
KCC needs to address a backlog of Educational Psychology assessments.						
<b>Control Title</b>						<b>Control Owner</b>

A Special Educational Needs Action Plan has been prepared.	Louise Langley, Interim Head of SEN	
SEN Provision Evaluation Officers now support SEN Teams with ensuring schools have used their best endeavours to seeking Statutory Assessment and the views of schools are considered.	Louise Langley, Interim Head of SEN	
Recruitment and Retention arrangements for Educational Psychologists are competitive and enable us to recruit and retain staff in or most critical and demanding roles and teams.	Andrew Heather, Principal Educational Psychologist	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Triage backlog of Educational Psychology assessments and consider priorities.	Andrew Heather, Principal Educational Psychologist.	January 2019
Moderation of EHCPs to ensure compliance to expected standards.	Louise Langley, Interim Head of SEN	January 2019
Weekly placement panels to be implemented for Independent School Placements (with a view that local provision is preferred).	Louise Langley, Interim Head of SEN	January 2019
CYPE Service Development Team to support a delivery of improvements by developing a service development project.	Louise Langley, Interim Head of SEN	January 2019
Ensure that contracts with independent schools stipulate financial penalties for low or non-attendance of pupils.	Louise Langley, Interim Head of SEN	January 2019
Increase the numbers of pre-emptive meetings and mediation with parents to seek resolution.	Louise Langley, Interim Head of SEN	January 2019
Increase mainstream schools' capacity to meet SEN provision.	Louise Langley, Interim Head of SEN	July 2019
Work with the Disabled Children's Service to develop joint pathways into adulthood for post 16 and post 19 SEND young people.	Louise Langley, Interim Head of SEN	April 2019
For young people with the most severe and complex needs, develop a process for working with social care and health to support and plan lifespan pathways from year 10 annual reviews onwards.	Louise Langley, Interim Head of SEN	January 2019



<b>Risk ID</b>	<b>CRR0045</b>	<b>Risk Title: Effectiveness of governance within a Member-led authority</b>				
<b>Source / Cause of risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>	
<p>The continuation of a challenging financial and operating environment for Local Government (see risk CRR0009) will require difficult policy decisions to be made in a timely manner, which requires continued effective governance and robust internal control mechanisms.</p> <p>At a strongly Member-led Authority such as KCC, this places dependency / risk on the effectiveness of the member governance of the Council. It is crucial that the Council avoids some of the inherent risks such as:</p> <p>Over reliance on informal governance arrangements and political group meetings to direct officers and make decisions outside of formal statutory decision-making and scrutiny arrangements.</p> <p>Policy options regarding the service offer of the Council are not adequately or appropriately considered within the budget development/approval process.</p>	<p>Members are unwilling or unable to agree necessary policy (service) decisions to deliver a legally balanced budget and sustainable medium-term financial plan (MTEP).</p> <p>Members agree a budget requiring unrealistic and undeliverable efficiency savings leading to significant in-year overspends.</p> <p>Officers act on direction from members which has no basis in statutory decision making or the Council's constitution.</p> <p>Statutory officers (S151, Monitoring Officer, Head of Paid Service) are required to use their powers to intervene or alert the Council to inappropriate/illegal decision-making.</p>	<p>Decisions challenged under judicial review on the appropriateness of the decision-making within KCC.</p> <p>Monitoring Officer / Head of Paid Service statutory report to Council.</p> <p>Reputational damage to the Council.</p> <p>S114 Notice issued by the S151 Officer.</p>	<p>Paul Carter, Leader of the Council</p> <p>David Cockburn, Head of Paid Service</p>	<p>Unlikely (2)</p> <p><b>Target Residual Likelihood</b></p> <p>Very Unlikely (1)</p>	<p>Major (5)</p> <p><b>Target Residual Impact</b></p> <p>Major (5)</p>	
Failure of the governance						

structures of the of the council (Cabinet, Cabinet Committee, Full Council, Scrutiny Committee/Governance & Audit) to provide robust internal and external oversight, scrutiny and challenge of budget options and delivery of agreed MTFP savings programme.

Unwillingness of elected Members to appropriately consider advice from professional / statutory officers and / or professional / statutory officers failing in their duty to provide robust professional advice needed by Members to effectively discharge their member leadership role.

<b>Control Title</b>	<b>Control Owner</b>
Strategic Statement agreed by County Council and published setting out medium-term objectives and priorities of the Council.	Paul Carter, Leader of the Council
MTFP and Budget Book agreed by Full Council and support/briefing provided for all political groups by officers on budget development options.	Zena Cooke, Corporate Director of Finance
Key and significant decision-making process in place for Executive decisions and appropriately published Forward Plan of Executive Decisions.	Ben Watts, General Counsel
Transformation plans and/or business cases for strategic change underpinning MTFP shared with non-executive members through Cabinet Committees as part of the executive decision-making arrangements.	David Cockburn, Head of Paid Service
Member and Officer codes of conduct in place and robustly monitored and enforced.	Ben Watts, General Counsel
Member development and training programme in place and overseen by Selection and Member Services Committee.	Ben Watts, General Counsel
Appropriate officer development and training programme in place and overseen by CMT.	Amanda Beer, Corporate Director – EODD

Appropriately detailed and timely financial monitoring reports considered by Cabinet and Cabinet Committees.	Zena Cooke, Corporate Director of Finance	
Appropriate performance reporting of service and corporate performance to Cabinet, Cabinet Committee and Full Council.	David Cockburn, Head of Paid Service	
Effective internal audit arrangements in place and robust monitoring arrangements for the delivery of internal audit recommendations to Governance & Audit Committee.	Zena Cooke, Corporate Director of Finance	
Provision for Chief Officers to seek written direction from Executive Members within the KCC Constitution.	Ben Watts, General Counsel	
Annual Governance Statement (AGS) arrangements in place with returns made across both senior and statutory officers.	Ben Watts., General Counsel	
Appropriate and effective corporate risk management procedures in place for the Council.	David Whittle, Director – SPRCA	
Democratic Services appropriately resourced to support effective Committee governance and scrutiny arrangements.	Ben Watts. General Counsel	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Informal member governance arrangements authorised by the KCC Constitution, jointly agreed by the Head of Paid Service and the Leader and set out published document on KNet.	David Whittle, Director SPRCA	December 2018
New 'operating standards' for KCC officers to be published on KNet.	David Whittle, Director SPRCA	December 2018
Development of single Strategic Delivery Plan for KCC.	David Whittle, Director SPRCA	March 2019
Refresh of the KCC constitution.	Ben Watts, General Counsel	April 2019

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