



Appendix 1

CYPE-led Corporate Risks

FOR PRESENTATION TO CYPE CABINET COMMITTEE 9th MARCH 2021

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 March 2020
CRR0001	Safeguarding – protecting vulnerable children	20	15	↑
CRR0007	Resourcing implications arising from children’s services demand	16	12	↑
CRR0010	Suitable accommodation and funding for Unaccompanied Asylum-seeking Children	20	12	NEW RISK
CRR0016	Delivery of new school places is constrained by capital budget pressures and dependency upon the Basic Need allocation and the Education and Skills Funding Agency (ESFA)	20	12	↔
CRR0044	High Needs Funding shortfall (including SEND)	20	16	↔
CRR0047	Adequacy of support for children with Special Educational Needs and Disabilities (SEND) – implementation of Kent Local Area SEND Written Statement of Action	20	10	↔

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.

The overall risk score is derived from multiplying the likelihood and impact scores

Likelihood & Impact Scales					
Likelihood	Very Unlikely (1)	Unlikely (2)	Possible (3)	Likely (4)	Very Likely (5)
Impact	Minor (1)	Moderate (2)	Significant (3)	Serious (4)	Major (5)

Risk ID	CRR0001	Risk Title	Safeguarding – protecting vulnerable children			
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
The Council must fulfil its statutory obligations to effectively safeguard vulnerable children in a complex and challenging environment. e.g. the challenge of recruiting and retaining suitably experienced and qualified permanent staff.	Failure to fulfil statutory safeguarding obligations.	Incident of serious harm or death of a vulnerable child.	Matt Dunkley Corporate Director	Likely (4)	Major (5)	
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 radicalisation.	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.	Children, Young People and Education (CYPE)		Target Residual Likelihood	Target Residual Impact
'Lockdown' restrictions due to Covid-19 mean that children and families are at home for long periods of time, with significantly reduced numbers of children in schools. This has introduced uncertain impacts for children's mental health and resilience and the potential for latent demand to build.	Safeguarding risks are not identified to / by KCC in a timely fashion during the Coronavirus pandemic.	Serious operational and financial consequences.	Responsible Cabinet Member(s): Sue Chandler, Integrated Children's Services	Possible (3)	Major (5)	
	Spike in demand impacts on robustness of controls	Attract possible intervention from a national regulator for failure to discharge corporate and executive responsibilities.	Richard Long, Education and Skills Mike Hill (Lead Member for PREVENT)			

<p>This risk links to the demand for children's services risk (CRR0007).</p>	
Control Title	Control Owner
Consistent scrutiny and performance monitoring through Divisional Management Team, "Performance, Challenge and support" meetings and audit activity.	Sarah Hammond, Director of Integrated Services (Children's Social Work Lead) / Matt Dunkley, Corporate Director, CYPE
Kent Safeguarding Children Multi-Agency Partnership (KSCMP) arrangements in place, replacing the previous Kent Safeguarding Children Board.	Matt Dunkley, Corporate Director CYPE (KCC representative on Executive Board) / David Whittle, Director SPRCA
New KSCMP arrangements introduced and embedded, including a Scrutiny and Assurance Framework.	David Whittle, Director SPRCA
"Section 11" audit conducted periodically to provide assurance that relevant agencies and individuals are co-operating to safeguard children and promote their welfare, with feedback and follow-up. (2020 audit in progress).	Jennifer Maiden-Brooks, KSCMP System Improvement Manager
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	Sarah Hammond, Director of

emphasis on experienced social workers	Integrated Services (Children's Social Work Lead) / Amanda Beer, Corporate Director People and Communications
Multi-agency public protection arrangements (MAPPA) in place	Kevin Kasaven, Assistant Director Safeguarding and Quality Assurance
Extensive staff training – Quality Assurance Framework has been rolled out and Integrated Children's Services team has received mandatory training related to this	Sarah Hammond, Director of Integrated Services (Children's Social Work Lead) / Stuart Collins, Director Integrated Services (Early Help and Preventative Services Lead)
Children's Assurance Board established to give assurance to the rest of the council, including safeguarding arrangements. Now includes review of qualitative audit information and triangulates with quantitative picture.	Matt Dunkley, Corporate Director, CYPE
Kent & Medway 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 Multi-Agency Partnership).	Richard Smith, Interim 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
KCC cross-directorate PREVENT group meets regularly and ensures the PREVENT duty is embedded across the organisation. Regular updates are provided to the Corporate Management Team.	Nick Wilkinson, Prevent and Channel Strategic Manager
Joint Exploitation Group (Kent & Medway) children and adults focuses on PREVENT, gangs, Modern slavery, human trafficking and online safeguarding matters – reports to Kent and Medway Adults Safeguarding Board and KSCMP	Nick Wilkinson, Prevent and Channel Strategic Manager
Safeguarding and Quality Assurance Unit conducts audits, reviews of practice, identifies themes and patterns	Kevin Kasaven, Assistant Director, Safeguarding and

for accountable managers to respond to and provides challenge.	Quality Assurance
Communities of Practice introduced during the pandemic, offering support for practitioners, with over 100 practitioners attending weekly	Kevin Kasaven, Assistant Director, Safeguarding and Quality Assurance.
Education Safeguarding Team in place as part of the contract with The Education People	David Adams, Director of Education
A revised Elective Home Education policy approved that includes interaction with children where there are welfare concerns and where other agencies have been involved with the family. Awareness raising taking place with other practitioners	David Adams, Director Education / Craig Chapman, Interim 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	Kevin Kasaven, 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)
PREVENT training strategy in place and regularly reviewed.	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)
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)

Introduction and appointment of independent scrutineer as part of multi-agency safeguarding children arrangements	Matt Dunkley, Corporate Director CYPE (KCC lead) / David Whittle, Director SPRCA	
Deep dive activity takes place to investigate vacancy rates for staff that reflects factors such as maternity leave	Sarah Hammond, Director of Integrated Services (Children's Social Work Lead)	
Action Title	Action Owner	Planned Completion Date
Embedding of new adolescent risk management process agreed and approach signed off.	Stuart Collins, Director Integrated Services (Early Help and Preventative Services lead)	March 2021 (review)
Continue the semi-regional PREVENT model of delivery across Kent & Medway	Nick Wilkinson, Prevent and Channel Strategic Manager	March 2021 (review)

Risk ID	CRR0007	Risk Title	Resourcing implications arising from serious and complex Children's Services demand (excludes SEND – covered in CRR0044)			
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
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, policy/legislative changes etc.	High volumes of workflow into integrated children's services leading to unsustainable pressure being exerted on them (recognising seasonal spikes).	Children's services performance declines as demands become unmanageable.	Matt Dunkley, Corporate Director CYPE	Likely (4)	Major (4)	
These challenges need to be met as children's services face increasingly difficult financial circumstances and operational challenges.	Spike in demand for children's services in autumn once 'lockdown' measures are fully eased.	Failure to deliver statutory obligations and duties or achieve social value.				
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.	Future wave(s) of pandemic exacerbate pressures on children's services, with insufficient capacity to manage.	Additional financial pressures placed on other parts of the Authority at a time of severely diminishing resources and potentially difficult policy decisions required.	Responsible Cabinet Member(s): Sue Chandler, Integrated Children's Services	Target Residual Likelihood Possible (3)	Target Residual Impact Serious (4)	
The Coronavirus pandemic has seen a reduction in referrals for support during lockdown, with no obvious reduction in need. There has been a small increase in		Ultimately an impact on outcomes for children, young people and their families.				

<p>number of referrals since September 2020, however the main risk relates to the demand being related to more serious and more complex cases.</p>	
Control Title	Control Owner
The <i>Change for Kent Children</i> 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 Children's 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
'Threshold' document outlines the criteria required by partners when making a referral and have been working with partners to promote aid appropriate application	Jennifer Maiden-Brooks, Programme and Performance Manager, Kent Safeguarding Children Multi-Agency Partnership
The Children's Social Work budget has been adjusted to compensate for additional demand	Cath Head, Head of Finance (Operations)
Relationships with London Councils allow us to understand / test their intentions on an individual site basis regarding any large-scale potential purchasing of land to use for vulnerable family placements.	Debra Exall, Strategic Relationships Advisor
Modelling of latent demand related to Coronavirus pandemic completed and used to inform service resource planning. Review being undertaken of what happened against what was expected.	Rob Comber, Transformation and Innovation Manager / Rachel Kennard, Chief Analyst

Action Title	Action Owner	Planned Completion Date
Implementation of <i>Change for Kent Children</i> programme (phase 2) included as part of KCC Strategic Reset programme.	Matt Dunkley, Corporate Director, CYPE	March 2021
Redeployment of resources to deal with demand arising from Covid and other factors.	Matt Dunkley, Corporate Director, CYPE	March 2021

Risk ID	CRR0010	Risk Title	Suitable accommodation and funding for Unaccompanied Asylum-Seeking Children (UASC)			
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
While numbers of UASC has not reached 2015 levels, there is additional pressure on this service from new arrivals, plus current additional quarantine and social distancing requirements as well as significant numbers of age-disputed new arrivals.	There is a risk that there will be insufficient accommodation, social work assessment capacity and support for UASC.	Impact on vulnerable young people. The Council would be unable to fulfil its statutory duties effectively.	Matt Dunkley, Corporate Director, CYPE	Likely (4)	Major (5)	
Recent Government uplifts to funding introduced in 2020 have helped, although there are still legacy cost issues relating to care leavers.	Shortfall in funding the full cost associated with fulfilling the Council's statutory duties.	Additional budget pressures on the Authority.	Responsible Cabinet Member	Target Residual Likelihood Possible (3)	Target Residual Impact Serious (4)	
Between August and December 2020, KCC could not safely accommodate additional UASC into its care and could not accept new arrivals. KCC has resumed accepting new arrivals since 7 th December 2020 but has warned that without a long-term national solution, the risk will of needing to review its position again is significant.	Risk that other Local Authorities do not voluntarily accept UASC that arrive in Kent in sufficient numbers.	Main risk relates to the legal position, with operational and reputational risks.	Sue Chandler, Integrated Children's Services			

Control Title	Control Owner
National Transfer scheme re-invigorated, meaning some children have been transferred to other local authorities	Sarah Hammond, Director Integrated Children's Services
The Council has utilised / re-purposed buildings in order to increase accommodation capacity in the short term	Rebecca Spore, Director Infrastructure
Lobbying of Govt for additional support to deal with care leaver legacy costs	Roger Gough, Leader / Sue Chandler, Cabinet Member Integrated Children's Services / Matt Dunkley, Corporate Director CYPE
UASC analytical modelling complete and monitored to assess capacity	Rachel Kennard, Chief Analyst

Risk ID	CRR0016	Risk Title	Delivery of New School Places is constrained by Basic Need allocation and the Agency (ESFA)			
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
<p>A significant expansion of schools is required to accommodate major population growth, with impact in the short to medium term to secondary age. The "Basic Need" capital grant from Dept of Education (DfE) will not fund the expansion in full.</p> <p>There is a current funding gap needing to be bridged to deliver the commissioning plan, created by cost pressures from higher than expected build costs, low contributions from developers (see risk CRR0003) and increases in pupil demand.</p> <p>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 Coronavirus pandemic is also impacting on project delivery timescales and costs.</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 must 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>Very Likely (5)</p>	<p>Serious (4)</p>	
			Responsible Cabinet Member(s):	Target Residual Likelihood	Target Residual Impact	
			<p>Richard Long, Education and Skills</p>	<p>Likely (4)</p>	<p>Significant (3)</p>	

Control Title	Control Owner
The Kent Commissioning Plan contains the forecast expansion numbers and locations. A school expansion programme has been mapped, costed and kept under review	David Adams, Director Education
The Officer-led Education Asset Board is being refreshed, which monitors school expansion capital programme, as well as Developer Contributions. Cabinet Committee and Cabinet also receive updates on the programme.	Ian Watts, Area Education Officer
CYPE capital monitoring mechanism with Member involvement now created including Cabinet Committee twice yearly reporting.	David Adams, Director Education
Policy and operations to secure sufficient developer contributions are overseen by Infrastructure Funding Group and approach to be updated in new Developer Contribution Policy, along with request for additional contributions.	David Adams, Director Education /Stephanie Holt-Castle, Interim Director Environment, Planning and Enforcement
Regular negotiations take 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	David Adams, Director Education / 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). Issue discussed with the Regional Schools Commissioner	David Adams, Director Education / Area Education Officers
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.	David Adams, Director Education
Additional budget relating to Covid-19 delays, to cover off pressures	David Adams, Director Education

Action Title	Action Owner	Planned Completion Date
Proactive consideration and preparation for future bids as part of schools rebuilding programme.	David Adams, Director Education	TBC

Risk ID	CRR0044	Risk Title	High Needs Funding shortfall			
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
<p>The demand for Special Educational Needs and Disability (SEND) support is rising and at a much faster rate than the school age population, and the Council's Dedicated Schools Grant (DSG) budget is overspending on the High Needs Block and has already accrued a deficit on the DSG reserve.</p> <p>Corresponding pressure on some of KCC's non-DSG SEND related budgets e.g. SEN Home to School Transport, is also being experienced.</p> <p>Consequently, meeting the needs of children and young people with SEND within available resources is becoming ever more challenging.</p> <p>The ability to forecast costs in future years is difficult.</p> <p>The Department for Education (DfE) is introducing tighter reporting requirements on local authorities who have a deficit in</p>	<p>Inability to manage within budget going forward.</p> <p>Inability to reduce accumulated deficit on Dedicated Schools Grant reserve.</p>	<p>Continued funding of deficit on the DSG reserve by net surplus balances in other reserves becomes unsustainable, impacting on the financial resilience of the Council.</p> <p>Impact on support for children with SEND (cross reference to CRR0047)</p>	<p>Matt Dunkley, Corporate Director CYPE</p> <p>Responsible Cabinet Member(s): Richard Long, Education & Skills</p>	<p>Likely (4)</p> <p>Target Residual Likelihood Possible (4)</p>	<p>Major (5)</p> <p>Target Residual Impact Serious (4)</p>	

their DSG account.		
Control Title	Control Owner	
Continual lobbying of Government on two matters; increased funding in both the short and medium term, and structural changes to government policy to help reduce the demand i.e. via County Council Network, Association of Directors' of Children's Services. Includes provision of evidence of the impact of the High Needs pressures on the quality of education children receive, schools, other providers and the Local Authority.	Roger Gough, Leader of the Council and /Richard Long, Cabinet Member Education & Skills / Matt Dunkley, Corporate Director CYPE	
KCC conducted a review of provision of pupils in mainstream schools with High Needs, introducing changes aiming to ensure the number of High Needs pupils in mainstream schools does not contribute to the current budget pressures.	Karen Stone, Interim Finance Business Partner / David Adams, Director of Education	
Block payment arrangement negotiated with Further Education colleges. For this early confirmation and certainty in funding colleges are expected to absorb inflationary pressures and provide support to any growth in the number of post 16 young people with High Needs.	Karen Stone, Interim Finance Business Partner / David Adams, Director of Education	
Action Title	Action Owner	Planned Completion Date
Implementation of SEND Written Statement of Action Inclusion workstream to better address the relationship between learner need, outcomes, provision and cost. Including: <ul style="list-style-type: none"> - Tighter commissioning arrangements to drive down the cost of placements in Independent Non-Maintained Special Schools 	Matt Dunkley, Corporate Director CYPE	March 2021 (review)
Building capacity and an inclusive ethos in mainstream schools to improve teaching and confidence in supporting more children with higher levels of need.	Matt Dunkley, Corporate Director CYPE	March 2021 (review)

<p>As required by the DfE, a recovery plan is to be produced (if the LA is either in deficit or if there is a significant reduction in their surplus) outlining how KCC can bring in-year spending in line with in-year funding, and options for how the accumulated deficit could be repaid. To be presented to the Schools' Funding Forum and approved by the Council's Section 151 Officer</p>	<p>David Adams, Director of Education / Zena Cooke, Corporate Director Finance (Section151 Officer).</p>	<p>March 2021 (review)</p>
<p>High Needs Funding review to be undertaken and recommendations to be agreed with the School's Funding Forum. This links to Workstream B of the Written Statement of Action in supporting Inclusive Practices in schools.</p>	<p>Karen Stone, Interim Finance Business Partner / David Adams, Director of Education</p>	<p>March 2021</p>

Risk ID	CRR0047	Risk Title	Adequacy of support for children with Special Educational Needs and Disabilities (SEND) – implementation of Kent Local Area SEND Written Statement of Action			
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
Ofsted and the Care Quality Commission (CQC) conducted a joint inspection of the local area of Kent in early 2019, to judge the effectiveness of the area in implementing the disability and special educational needs reforms set out in the Children and Families Act 2014.	Insufficient improvement in areas identified within timescales.	Adverse impact on outcomes for vulnerable young people Dissatisfaction from families Potential for legal action if statutory time limits or processes are not met.	Matt Dunkley, Corporate Director CYPE	Likely (4)	Major (5)	
While a number of strengths were identified, a number of weaknesses and areas of concern were raised.			Responsible Cabinet Member(s):	Target Residual Likelihood	Target Residual Impact	
In response to these concerns a programme has been identified across both KCC and Clinical Commissioning Groups to implement the changes and improvements required.			Sue Chandler, Integrated Children's Services	Unlikely (2)	Major (5)	
The programme is being delivered against a challenging backdrop of significant increases in demand and a shortfall in High Needs funding (see risk CRR0044), while some aspects of the programme						

are being revised to take account of implications of the Coronavirus pandemic.	
Control Title	Control Owner
0-25 Health and Wellbeing Board is the strategic board for children's services that oversees delivery of these services in Kent. A new joint governance with health has been established from November 2020. 0-25 H&WB remains.	Matt Dunkley, Corporate Director CYPE (KCC lead)
SEND Improvement Board established, meeting monthly, to ensure collaborative working across education, health and social care, to have a strategic overview of services and drive the operational workstreams that have been developed to address each area of significant weakness. This continues.	Matt Dunkley, Corporate Director CYPE (KCC lead)
SEND Steering Group in place, with responsibility for coordinating activity and tracking progress across the five identified workstreams in the Written Statement of Action, reporting into the Improvement Board.	Mark Walker, Interim Director of SEND and Disabled Children's Services
Robust programme management in place, ensuring appropriate integration between workstreams and delivery plan. Programme management in place with oversight across all workstreams.	Mark Walker, Interim Director of SEND and DC Services
Kent Joint SEND vision established.	Matt Dunkley, Corporate Director CYPE (KCC lead)
Kent SEND strategy developed.	Matt Dunkley, Corporate Director CYPE (KCC lead)
SEND Improvement Programme Risk Log.	Mark Walker, Interim Director of SEND and Disabled Children's Services

Action Title	Action Owner	Planned Completion Date
<p>Development of a local area SEND Strategy in collaboration with partners, which goes beyond the Written Statement of Action to enable sustained improvement and transform Kent's SEND offer. This is in draft and is due to be approved to move to public consultation at the end of November. Public consultation due to complete end January 2021 with launch of new strategy in April.</p>	<p>Mark Walker, Interim Director of SEND and Disabled Children's Services</p>	<p>March 2021 (review)</p>
<p>In collaboration with partners, implement the SEND Improvement Programme, which includes delivery of requirements detailed in the Kent Written Statement of Action, covering five key workstreams relating to:</p> <ul style="list-style-type: none"> -Parental engagement and co-production -Inclusive practice and the outcomes, progress and attainment of children and young people. - Quality of Education, Health and Care Plans - Joint commissioning and governance - Service provision - Preparation of adulthood. 	<p>Mark Walker, Interim Director of SEND and Disabled Children's Services (KCC lead)</p>	<p>March 2021 (depending on reinspection date)</p>