



KCC Corporate Risk Register

For Presentation to CYPE Cabinet Committee on 08/03/2023

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 2022
CRR0001	Safeguarding – protecting vulnerable children	Medium (15)	Medium (15)	↔
CRR0056	SEND Delivery Improvement and High Needs Funding shortfall	High (25)	High (16)	Merged Risk
CRR0057	Home to School Transport pressures	High (16)	Low (6)	New

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.

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	
<p>The Council must fulfil its statutory obligations to effectively safeguard vulnerable children in a complex and challenging environment.</p> <p>In addition, the Counter Terrorism and Security Act 2015 sets out the Government’s “Prevent Duty” and 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.</p> <p>During Lockdown some children were absent from school and some partners were less visible, undertaking fewer home visits to vulnerable children, increasing demand on statutory children’s services. As a result, there has been an increase in the risk to children under 5. This has introduced uncertain impacts for children’s mental health and resilience and the potential for latent demand to build. We are starting to see more complex demand within the system as a result of a more complex working environment. There is also an</p>	<p>Failure to fulfil statutory safeguarding obligations.</p> <p>Failure to meet the requirements of the “Prevent Duty” placed on Local Authorities.</p> <p>Safeguarding risks are not identified to / by KCC in a timely fashion.</p> <p>Spike(s) in demand impact on robustness of controls</p>	<p>Incident of serious harm or death of a vulnerable child.</p> <p>Serious impact on vulnerable people.</p> <p>Impact on ability to recruit the quality of staff critical to service delivery.</p> <p>Serious operational and financial consequences.</p> <p>Attract possible intervention from a national regulator for failure to discharge corporate and executive responsibilities.</p>	<p>Sarah Hammond, Corporate Director Children, Young People and Education (CYPE)</p> <p>Responsible Cabinet Member(s): On behalf of Cabinet:</p> <p>Sue Chandler, Integrated Children’s Services</p> <p>Rory Love, Education and Skills</p> <p>Mike Hill (Lead Member for PREVENT)</p>	<p>Possible (3)</p> <p>Target Residual Likelihood Possible (3)</p>	<p>Major (5)</p> <p>Target Residual Impact Major (5)</p> <p>Timescale to Target At target</p>	

impact on absentee and non-attendance levels within schools.	
Control Title	Control Owner
Active strategy in place to attract, recruit and retain social workers through a variety of routes with particular emphasis on experienced social workers.	Kevin Kasaven, Interim Director of Integrated Children's Services – East Division (Social Work Lead) Paul Royel, Director of HR and OD
Kent Safeguarding Children Multi Agency Partnership (KSCMP) arrangements in place, replacing the previous Kent Safeguarding Children Board. Includes, a Scrutiny and Assurance Framework, which is working with partners to address service visibility and demand issues.	Sarah Hammond, Corporate Director (CYPE) / David Whittle, Director SPRCA
Children's Assurance Board established to give assurance to the rest of the council, including safeguarding arrangements. Includes review of qualitative audit information and triangulates with quantitative picture	Sarah Hammond, Corporate Director (CYPE)
Consistent scrutiny and performance monitoring through Divisional Management Team, "Performance, Challenge and support" meetings and audit activity.	Kevin Kasaven, Interim Director of Integrated Children's Services – East Division (Social Work Lead)
Multi agency Crime and Sexual Exploitation Panel (MACSE) provides a strategic, county wide, cross agency response to CSE	Sarah Hammond, Corporate Director (CYPE)
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.	Craig Chapman, Head of Fair Access / Christine McInnes, Director of Education
Introduction and appointment of independent scrutineer as part of multi-agency safeguarding children arrangements	David Whittle, Director SPRCA
Communities of Practice introduced during the Covid-19 pandemic, offering support for practitioners, with over 100 practitioners attending weekly	Kevin Kasaven, Interim Director of Integrated Children's Services – East Division (Social Work Lead)

<p>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</p>	<p>Kevin Kasaven, Interim Director of Integrated Children's Services – East Division (Social Work Lead)</p>
<p>Safeguarding and Quality Assurance Unit conducts audits, reviews of practice, identifies themes and patterns for accountable managers to respond and provides challenge.</p>	<p>Kevin Kasaven, Interim Director of Integrated Children's Services – East Division (Social Work Lead)</p>
<p>Multi Agency Public Protection arrangements (MAPPA) in place</p>	<p>Kevin Kasaven, Interim Director of Integrated Children's Services – East Division (Social Work Lead)</p>
<p>Kent & Medway Prevent Duty Delivery Board (chaired by KCC) oversees the activity of the Kent and Medway 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). Currently chaired by KCC's Director of Adult Social Care and Health 2023.</p>	<p>Richard Smith, Corporate Director ASCH</p>
<p>Manageable caseloads per social worker and robust caseload monitoring. Social work vacancies monitored with action taken to address as required.</p>	<p>Sarah Hammond, Corporate Director, Children, Young People and Education (CYPE)</p>
<p>'Deep Dive' activity undertaken to investigate vacancy rates for staff that reflects factors such as maternity leave</p>	<p>Sarah Hammond, Corporate Director, Children, Young People and Education (CYPE)</p>
<p>Integrated practice model</p>	<p>Kevin Kasaven, Interim Director of Integrated Children's Services – East Division (Social Work Lead) / Stuart Collins, Director Integrated Services (Early Help and Preventative Services lead)</p>

Extensive staff training - Quality Assurance Framework has been rolled out and Integrated Children's Services team has received mandatory training related to this	Kevin Kasaven, Interim Director of Integrated Children's Services – East Division (Social Work Lead) / Stuart Collins, Director Integrated Services (Early Help and Preventative Services lead)
Kent and Medway Channel Panel (early intervention mechanism providing tailored support to people who have been identified as at risk of being radicalised) in place.	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
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. PREVENT training strategy in place and regularly reviewed.	Nick Wilkinson, Prevent and Channel Strategic Manager
The annual assurance statement is a self-declaration approved by the Chief Executive which captures the Authority's compliance with the requirements of the Counter Terrorism Act. Actions identified within the annual assurance statement are transferred to the Kent and Medway Action Plan. Kent and Medway Board for PREVENT have oversight of action progress.	Nick Wilkinson, Prevent and Channel Strategic Manager
Semi-regional PREVENT model of delivery across Kent & Medway developed	Nick Wilkinson, Prevent and Channel Strategic Manager
New adolescent risk management process agreed, and approach signed off.	Stuart Collins, Director Integrated Services (Early Help and Preventative Services lead)
Kent and Medway Gangs Strategy 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)
Education Safeguarding Team in place as part of the contract with The Education People	Christine McInnes, Director of Education

<p>“Section 11” audit conducted periodically to provide assurance that relevant agencies and individuals are cooperating to safeguard children and promote their welfare, with feedback and follow up. .</p>	<p>Jennifer Maiden-Brooks, Systems Improvement Manager, Kent Safeguarding Children Multi-Agency Partnership</p>	
<p>Children’s Services have been externally verified and rated as ‘outstanding’ by Ofsted in May 2022, offering external assurance that mechanisms in place have been robust.</p>	<p>Sarah Hammond, Corporate Director Children, Young People and Education (CYPE)</p>	
<p>Action Title</p>	<p>Action Owner</p>	<p>Planned Completion Date</p>
<p>Recommendations from recent Independent Local Authority Children’s inspection to improve SMART planning and reduce drift in progressing children’s plans. QA unit to develop a framework for a Child in Need (CIN) panel to be implemented across the districts. The framework would allow staff to better understand the experience of CIN which over the process of around 5 weeks would allow management oversight of all CIN creating clearer throughput of work.</p>	<p>Leemya McKeown Interim Assistant Director – Professional Standards and Quality Assurance</p>	<p>April 2023</p>
<p>Revitalise current process for managing frequent placement moves to include developing a flow chart and placement stability tool to identify placement fragility and provide the right support at the right time to avoid placement breakdown.</p>	<p>Leemya McKeown Interim Assistant Director – Professional Standards and Quality Assurance</p>	<p>April 2023</p>

Risk ID	CRR0056	Risk Title Special Educational Needs and Disabilities (SEND) Delivery Improvement and High Needs Funding shortfall				
<p>Source / Cause of risk</p> <p>The Kent local area inspection by Ofsted and the CQC for children with SEND took place in January 2019. This inspection found nine significant areas of weakness across the local area which resulted in a Written Statement of Action being issued.</p> <p>In September 2022, the Local Area was revisited by Inspectors from both Ofsted and the CQC, who found that the area had not made sufficient progress in addressing any of the significant weaknesses.</p> <p>This has now reverted to the DfE and NHSE for consideration of next steps. An Accelerated Progress Plan (APP) will be required to be formalised by the Local Area against which Outcome and Impact based KPIs will be scrutinised and addressed.</p> <p>In addition, the demand for Special Educational Needs and Disability (SEND) support</p>	<p>Risk Event</p> <p>Insufficient improvement in areas identified within Ofsted timescales and children with SEND do not meet sufficient progress within the available financial resource.</p> <p>Inability to manage within budget and reduce accumulated deficit on Dedicated Schools Grant reserve.</p>	<p>Consequence</p> <p>Adverse impact on outcomes for vulnerable young people.</p> <p>Dissatisfaction from families.</p> <p>Potential for legal action if statutory time limits or processes are not met.</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>Risk Owner</p> <p>Sarah Hammond, Corporate Director CYPE</p> <p>Responsible Cabinet Member(s):</p> <p>Rory Love, Education & Skills</p>	<p>Current Likelihood</p> <p>Very Likely (5)</p> <p>Target Residual Likelihood</p> <p>Likely (4)</p>	<p>Current Impact</p> <p>Major (5)</p> <p>Target Residual Impact</p> <p>Serious (4)</p> <p>Timescale to Target</p> <p>3+ years</p>	

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 a forecast deficit of £147m on the DSG reserve for 31st March 2023.

The Council is now part of the DfE Safety Valve programme and as part of this, will need to bring High Needs spending back into balance over the medium term and contribute to repaying the historic deficit.

Corresponding pressure on some of KCC's non-DSG SEND related budgets e.g., SEND Home to School Transport, is also being experienced (see risk CRR0057).

Consequently, meeting the needs of children and young people with SEND within available resources is becoming ever more challenging.

The ability to forecast costs in future years is difficult.

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 / Rory Love, Cabinet Member, Education and Skills / Sarah Hammond, Corporate Director (CYPE)
KCC SEND Transformation Strategic Board 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.	Sarah Hammond, Corporate Director CYPE
Local area SEND Strategy developed in collaboration with partners, which goes beyond the Written Statement of Action to enable sustained improvement and transform Kent's SEND offer.	Sarah Hammond, Corporate Director CYPE (KCC lead)
The SEND Transformation Programme is included in KCC's Strategic Reset Programme, with support from the SRP Programme Team and regular oversight, support and constructive challenge from the SRP Board.	Sarah Hammond, Corporate Director CYPE / Amanda Beer, Deputy Chief Executive (Chair of SRP Board)
Independently chaired SEND Strategic Improvement and Assurance Board established, including representation from the Local Authority (including Members and cross directorate colleagues), Health, Learning and Teaching settings, representatives of parents and carers, and where appropriate young people.	Sarah Hammond, Corporate Director CYPE (KCC lead)
Robust programme management in place, ensuring appropriate alignment between project workstreams and overall programme delivery arrangements.	Sarah Hammond, Corporate Director CYPE (KCC lead)
Kent and Medway Children and Young People's Programme Board joint governance mechanism with Health partners (sub-group of Integrated Care Board)	Sarah Hammond, Corporate Director CYPE (KCC lead and Chair of Board)
Member Scrutiny via SEND sub-committee of KCC Scrutiny Committee	Rory Love, Cabinet Member for Education and Skills / Sarah Hammond, Corporate Director CYPE

Action Title	Action Owner	Planned Completion / Review Date
<p>Proposal to enter into the “Safety Valve” agreement with the Department for Education (DfE), enabling Kent County Council (KCC) to receive funding over a 5-year period to substantially fund the accumulated deficit on the Dedicated Schools Grant (DSG) High Needs Block (HNB). The agreement will require commitment to areas of review and improvement identified by Department for Education (DfE) to bring in year spend in line with the in-year budget by 2027/28. A financial contribution from the Council will also be expected.</p>	<p>Zena Cooke, Corporate Director Finance / John Betts, Finance</p>	<p>March 2023</p>
<p>SEND Improvement Programme, which includes delivery of requirements detailed in the Kent Accelerated Progress Plan, covering three key workstreams relating to:</p> <ol style="list-style-type: none"> 1) Health related, Systems, Post-16 and Alternative Provisions 2) Inclusion, Early Years and Mainstream. 3) Children and Young People and Parental Engagement, SEN process and structure, and Communication Strategy 	<p>Sarah Hammond, Corporate Director CYPE</p>	<p>April 2023 (review)</p>
<p>Implementation of SEND Inclusion workstream to better address the relationship between learner need, outcomes, provision and cost in addition to reviewing externally commissioned arrangements including independent providers, home tuition and therapy service, to ensure Value for Money.</p>	<p>Sarah Hammond, Corporate Director CYPE</p>	<p>June 2023 (review)</p>
<p>County Approach to Inclusive Education (CATIE) – approach to reduce number of children requiring EHCPs and Special Schools by developing more inclusive mainstream schools across the County.</p>	<p>Christine McInnes, Director of Education</p>	<p>June 2023 (review)</p>

Risk ID	CRR0057	Risk Title Home to School Transport pressures				
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
Home to School transport is available for SEND children with specific criteria in place. This requires close collaboration between services across the Council to ensure children are assessed and contractual arrangements for transport are put in place and communicated in a timely manner. There are multiple points of Governance across multiple business delivery points and multiple directorates.	Capacity risk of insufficient vehicles to take assessed children to school, along with lack of available drivers in driver/taxi sector.	Not meeting statutory duties or fulfilling parent / carer expectations regarding provision of appropriate access to education for all children.	Sarah Hammond, Corporate Director CYPE	Likely (4)	Serious (4)	
	Financial risk due to increased financial pressures and increased costs for service providers, with a forecast overspend in this financial year.	Implications on demand for school places.	Simon Jones, Corporate Director GET	Target Residual Likelihood Unlikely (2)	Target Residual Impact Significant (3)	
	Increased pressure on Officer time in relation to demand for school places.	Reputational damage if children not provided with transport in sufficient timescales.	Responsible Cabinet Member(s): Rory Love, Education & Skills David Brazier, Highways and Transportation		Timescale to Target 1-3 years	
As children transition between schools, there are additional pressure points where schools and parents need to keep the Local Authority up to date of any changes to ensure the relevant teams are aware of new applicants and/or changes to current arrangements in sufficient time.	Reputational risk linked to insufficient communications and expectation management.					

<p>Early Help and Care Plan (EHCP) numbers are currently rising across Kent (link to CRR0056), putting additional demand on resources and capacity in the market.</p>		
Control Title		Control Owner
Home to School Transport Board in place, chaired by Cabinet Member for Education and Skills.		Christine McInnes, Director of Education / Philip Lightowler, Transportation
Increase in resource within the relevant teams.		Simon Jones, Corporate Director GET
Ongoing identification work of all children with an EHCP, currently open to social work or early help, who have not applied for transport. The relevant social workers due to contact all parents to offer support.		Sarah Hammond, Corporate Director CYPE
Action Title	Action Owner	Planned Completion Date
Implementation of management action plan coming out of Internal Audit Review of SEN Transport, overseen by Governance and Audit Committee	Sarah Hammond, Corporate Director CYPE / Simon Jones, Corporate Director GET / Ben Watts, General Counsel	March 2023 (review)
Work to improve inclusion and for more children to be educated in their local school, including Accelerated Progress Plan and Safety Valve work (cross-reference to risk CRR0056).	Sarah Hammond, Corporate Director CYPE	March 2023 (review)
Review findings and respond to Home To School Transport Policy and Post 16 Transport Policy Statement consultations	Sarah Hammond, Corporate Director CYPE	September 2023
Automation of the process where possible, including consideration of implementation of Travel Service Optimiser (TSO)	Simon Jones. Corporate Director GET / Sarah Hammond, Corporate Director CYPE	March 2023 (review)

Automation of the process where possible, including consideration of implementation of Travel Service Optimiser (TSO)

Simon Jones. Corporate Director GET /
Sarah Hammond, Corporate Director
CYPE

April 2023 (review)