



## **KCC Corporate Risk Register**

CYPE-led Corporate Risks for presentation to Cabinet Committee  
on 6<sup>th</sup> March.

## 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 2023	Timescale to Target (baseline summer 2022 unless otherwise stated).
CRR0001	Safeguarding – protecting vulnerable children	Medium (15)	Medium (15)	↔	At Target
CRR0056	SEND Delivery Improvement and High Needs Funding shortfall	High (25)	High (16)	↔	3+ Years
CRR0063	Capacity to accommodate and care for Unaccompanied Asylum-Seeking (UAS) Children	High (25)	High (20)	Re-Entry	Within 1 Year

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)

<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 a complex and challenging environment.	Failure to fulfil statutory safeguarding obligations.	Incident of serious harm or death of a vulnerable child.	Sarah Hammond, Corporate Director	Possible (3)	Major (5)	
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.	Failure to meet the requirements of the “Prevent Duty” placed on Local Authorities.	Serious impact on vulnerable people.	People and Education (CYPE)			
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	Safeguarding risks are not identified to / by KCC in a timely fashion.	Impact on ability to recruit the quality of staff critical to service delivery.		<b>Target Residual Likelihood</b>	<b>Target Residual Impact</b>	<b>Timescale to Target</b>
	Spike(s) in demand impact on robustness of controls	Serious operational and financial consequences.	<b>Responsible Cabinet Member(s):</b>	Possible (3)	Major (5)	At target
		Attract possible intervention from a national regulator for failure to discharge corporate and executive responsibilities.	On behalf of Cabinet:			
			Sue Chandler, Integrated Children’s Services			
			Rory Love, Education and Skills			
			Clair Bell (Lead Member for PREVENT)			

impact on absentee and non-attendance levels within schools.	
<b>Control Title</b>	<b>Control Owner</b>
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, Director of County Services/ 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, Director of County Services
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, Assistant Director - Fair Access and (Interim) SEN processes / Christine McInnes, Director of Education and SEND
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, Director of County Services
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, Director of County Services
Safeguarding and Quality Assurance Unit conducts audits, reviews of practice, identifies themes and patterns for accountable managers to respond and provides challenge.	Kevin Kasaven, Director of County Services

Multi Agency Public Protection arrangements (MAPPA) in place	Kevin Kasaven, Director of County Services
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.	Richard Smith, Corporate Director ASCH
Manageable caseloads per social worker and robust caseload monitoring. Social work vacancies monitored with action taken to address as required.	Sarah Hammond, Corporate Director Children, Young People and Education (CYPE)
'Deep Dive' activity undertaken to investigate vacancy rates for staff that reflects factors such as maternity leave	Sarah Hammond, Corporate Director Children, Young People and Education (CYPE)
Integrated practice model	Kevin Kasaven, Director of County Services / Ingrid Crisan Director Operational Integrated Children's Services
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, Director of County Services –/ Ingrid Crisan, Director Operational Integrated Children's Services
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, Assistant Director Contest and Serious Organised Crime (SOC),
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, Assistant Director Contest and Serious Organised Crime (SOC),
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, Assistant Director Contest and Serious Organised Crime (SOC),

<p>The Channel Panel annual assurance statement is a self-declaration approved by the Chief Executive / Head of Paid Service 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.</p>	<p>Nick Wilkinson, Assistant Director Contest and Serious Organised Crime (SOC),</p>
<p>Semi-regional PREVENT model of delivery across Kent &amp; Medway developed</p>	<p>Nick Wilkinson, Assistant Director Contest and Serious Organised Crime (SOC),</p>
<p>Adolescent risk management process agreed, and approach signed off.</p>	<p>Ingrid Crisan, Director Operational Integrated Children's Services</p>
<p>Kent and Medway Gangs Strategy outlines the multi-agency approach to ending the criminal exploitation of vulnerable children and adults by gangs</p>	<p>Ingrid Crisan, Director Operational Integrated Children's Services</p>
<p>Education Safeguarding Team in place as part of the contract with The Education People</p>	<p>Christine McInnes, Director of Education and SEND</p>
<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>Processes for managing frequent placement moves have been refreshed, including introduction of a placement stability tool to identify placement fragility and provide the right support at the right time to avoid placement breakdown.</p>	<p>Leemya McKeown, Assistant Director – Professional Standards and Quality Assurance</p>
<p>A Child in Need (CIN) panel process has been launched across children's social workers, allowing staff to better understand the experience of CIN, which over the process of around 5 weeks facilitates management oversight of all CIN, creating clearer throughput of work.</p>	<p>Leemya McKeown, Assistant Director – Professional Standards and Quality Assurance</p>

<b>Risk ID</b>	<b>CRR0056</b>	<b>Risk Title</b>	<b>Special Educational Needs and Disabilities (SEND) Delivery Improvement and High Needs Funding shortfall</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 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>In March 2023 an Improvement Notice was issued to KCC. An Improvement Plan (Accelerated Progress Plan - APP) is required to be formalised by the Local Area against which Outcome and Impact based KPIs will be scrutinised and addressed.</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>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>Should the Secretary of State not be satisfied with the Council's progress at any stage, she may choose to invoke her statutory powers of intervention (s497A Education Act 1996) to direct the Council to take any further actions deemed necessary to secure the improvements required in SEND services.</p>	<p>Sarah Hammond, Corporate Director CYPE</p> <p><b>Responsible Cabinet Member(s):</b> Rory Love, Education &amp; Skills</p>	<p>Very Likely (5)</p> <p><b>Target Residual Likelihood</b> Likely (4)</p>	<p>Major (5)</p> <p><b>Target Residual Impact</b> Serious (4)</p> <p><b>Timescale to Target</b> 3+ years</p>	

In addition, there has been a significant increase in the number of children receiving Special Educational Needs and Disability (SEND) support and the Council's Dedicated Schools Grant (DSG) budget is overspending on the High Needs Block.

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., SEN Home to School Transport, is also being experienced (see 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 improvement progress, reporting into the partnership Strategic Improvement and Assurance Board.	Sarah Hammond, Corporate Director CYPE (KCC lead)
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)
Independently chaired 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)
KCC has entered into a "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 requires 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 is also expected.	John Betts, Acting Corporate Director Finance.

The Council has produced for approval by the Department for Education (DfE) and NHS England (“NHSE”) an Improvement Plan (Accelerated Progress Plan) to deliver appropriate and sustainable improvement, covering the areas identified in the Ofsted and CQC revisit report of 9 November 2022, as well as recommendations made by the Department.

<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Delivery of SEND Improvement Programme, which includes delivery of requirements detailed in the Kent Accelerated Progress Plan.	Sarah Hammond, Corporate Director CYPE	Regular review and scrutiny throughout the year.

<b>Risk ID</b>	<b>CRR0063</b>	<b>Risk Title</b>	<b>Capacity to accommodate and care for Unaccompanied Asylum-Seeking (UAS) 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>	<b>Target Residual Likelihood</b>	<b>Target Residual Impact</b>
In recent years, large numbers of unaccompanied children have arrived in the UK and claimed asylum. Because almost all of these children enter the UK in Kent, KCC is the local authority responsible for accommodating and looking after them in the first instance, in addition to those who already live in its area.	Insufficient resource (people and finances) to provide suitable social work assessment capacity, placements and support for UAS children in a timely fashion.	Impacts on vulnerable young people (both UAS children and potential knock-on impacts for Kent looked after children)	On behalf of CMT:  Sarah Hammond, Corporate Director CYPE	V. Likely (5)	Major (5)		
Due to significant numbers of UAS children arrivals over a sustained period of time, and deficiencies in the operation and enforcement of the National Transfer Scheme (NTS), in September 2021 KCC and the Home Office agreed a protocol setting out how KCC would manage this situation in future. As a result of a recent High Court Judgement, this protocol can no longer be applied in its current form, meaning that the Council is required to accommodate and look after all UAS children arriving into the County, pending transfer to other local authorities under the National Transfer Scheme.	Shortfall in funding the full cost associated with fulfilling the Council's statutory duties, particularly in relation to additional costs arising from the High Court Judgement.	Inability to fulfil statutory duties effectively.  Significant additional budget pressures on the Authority, impacting on its financial resilience.  Legal consequences.  Reputational damage.	<b>Responsible Cabinet Member</b>  Sue Chandler, Integrated Children's Services	V. Likely (5)	Serious (4)		

This presents numerous pressures on an already stretched service, and for the council as a whole.		
<b>Control Title</b>	<b>Control Owner</b>	
Representations made to Government for additional support to deal with UAS children costs.	Roger Gough, Leader of the Council / Sue Chandler, Cabinet Member for Integrated Children's Services	
The Council has utilised / re-purposed available buildings to increase accommodation capacity in the short term.	Rebecca Spore, Director Infrastructure	
UAS child numbers are continually monitored and reviewed to assess capacity and aid planning.	Louise Fisher, Assistant Director Front Door Service, ICS	
Best endeavours are being applied to ensure assessments are completed for every child that arrives in port and find appropriate placements, despite resourcing challenges.	Louise Fisher, Assistant Director Front Door Service, ICS	
UAS children Project Board in place to coordinate support efforts across the organisation.	Sarah Hammond, Corporate Director CYPE	
Registering of reception centres with Ofsted to meet regulations.	Louise Fisher, Assistant Director – Front Door Service	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion / Review Date</b>
Intensive negotiations taking place with Home Office and Department for Education on how to ensure suitable placements are provided for unaccompanied children, in line with our duties.	Sarah Hammond, Corporate Director CYPE	March 2024 (review)
Commissioning of a new facility to operate as a safe care reception centre.	Christy Holden, Head of Children's Commissioning.	March 2024 (review)