



AGENDA

CABINET

Monday, 2nd December, 2019, at 10.00 am Ask for: **Denise Fitch**
Darent Room, Sessions House, County Telephone: **Tel: 03000 416090,**
Hall, Maidstone **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 Announcement
2. Apologies and Substitutes
3. Declaration of Interests by Member in Items on the Agenda for this meeting
4. Minutes of the Meeting held on 28 October 2019 (Pages 3 - 6)
5. Verbal Updates from Cabinet Members
6. Revenue and Capital Budget Monitoring September 2019-20 (Pages 7 - 46)
7. Quarterly Performance Report, Quarter 2 2019/20 (Pages 47 - 94)
8. Corporate Risk Register (Pages 95 - 148)
9. 19/00085 - Thanet Parkway Railway Station - Delivery (Pages 149 - 188)
10. Cabinet meetings - Update (Pages 189 - 190)

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, 22 November 2019

KENT COUNTY COUNCIL

CABINET

MINUTES of a meeting of the Cabinet held in the Darent Room, Sessions House, County Hall, Maidstone on Monday, 28 October 2019.

PRESENT: Mr R W Gough (Chairman), Mrs C Bell, Miss S J Carey, Mr P M Hill, OBE, Mr R L H Long, TD, Mr P J Oakford, Mr M D Payne, Mrs S Prendergast and Mr M Whiting

IN ATTENDANCE: Mrs A Beer (Corporate Director of People and Communications), Mr D Cockburn (Corporate Director Strategic & Corporate Services), Ms Z Cooke (Corporate Director of Finance), Mrs B Cooper (Corporate Director of Growth, Environment and Transport), Mr M Dunkley CBE (Corporate Director for Children Young People and Education), Mr A Scott-Clark (Director of Public Health), Ms P Southern (Corporate Director, Adult Social Care and Health), Mrs A Taylor (Scrutiny Research Officer) and Mr B Watts (General Counsel)

UNRESTRICTED ITEMS**115. Minutes of the Meeting held on 23 September 2019**

(Item 4)

RESOLVED that the minutes of the meeting held on 23 September 2019 were a correct record and that they be signed by the Chairman.

Miss Carey explained that, on 16 October, KCC had launched the annual budget consultation and this ran until 25 November. Miss Carey encouraged people to look at the budget consultation document and respond; the document provided an awareness of what KCC did. Responses to the consultation would demonstrate which services mattered to Kent residents and therefore when priorities were set the authority would know what mattered most to the people of Kent.

116. Revenue and Capital Budget Monitoring

(Item 5)

1. Mr Oakford presented this report which set out the monitoring position for the first 5 months of this financial year. Cabinet was asked to note the forecast pressure of £3.9million. Mr Oakford explained that the Children, Young People and Education directorate was forecasting a pressure of £6.3million.
2. It was important to note that the budget included £45million savings and Cabinet recognised the work done to date to achieve those savings despite the continued pressure. KCC was on target to achieve the savings.
3. Ms Cooke concurred that there was a significant pressure on the schools delegated budget, due to high needs placement costs.
4. The Leader confirmed with colleagues that the overall level of overspend on the budget was not out of line with this time in previous years.

5. Matt Dunkley explained that the pressures on CYPE were mainly within the Special Education Needs (SED) service and included the costs of placement, transport and Special Educational Needs and Disability (SEND) provision to the high needs budget. There was also a pressure on the Asylum Service and a shortfall in funding to support Care Leavers. Mr Dunkley stated that in relation to transport costs it was important to acknowledge that this was due to the number and type of placements not the unit costs of transport itself; it was the number of journeys that were being commissioned.

6. Miss Carey commented on the good news of the £0.2million underspend from selling excess carbon reduction allowances for 2018-19. This meant more money was available for carbon reduction.

RESOLVED that Cabinet:

i) **Note** the forecast revenue budget monitoring position for 2019-20 and capital budget monitoring position for 2019-20 to 2021-22, and that the forecast pressure on the revenue budget needs to be eliminated as we progress through the year.

ii) **Agree** that the underspend of £0.2m from selling our excess carbon reduction allowances for 2018-19 is transferred to a new Climate Change Target reserve to assist with accelerating our progress on climate change, with access to this reserve via a bid process.

iii) **Agree** the capital budget cash limit adjustments set out in section 6.4.

iv) **Note** the BRAG Update at Appendix 3

117. Cabinet Meetings - Future Thinking: Discussion (Item 6)

1. Ben Watts introduced this item which was intended to be an open discussion with an opportunity to exchange ideas about how Cabinet meetings could be run differently. Cabinet meeting agenda frequently featured one or two items including finance budget reporting, and one or two substantive items. When compared with Cabinet Agenda for other organisations this fell short. It was considered that KCC was perhaps not making the most of the opportunity at Cabinet meetings in bringing significant people together.

2. Mr Watts explained that items which featured on other authorities' Cabinet Agenda included the following:

- Leader's announcements including key policy and strategy
- Update from each Cabinet Member
- Announcements and advice from Officers on relevant issues
- Overview of consultations and decisions – present forthcoming consultations or feedback in relation to the outcomes.
- Monitor the delivery of the Capital Programme or receive strategy and vision papers.
- Equalities issues
- Items referred from Scrutiny Committee

- Final discussion of Key Decisions – in Kent arrangements were different because of the Cabinet Committee process. Whilst acknowledging that pre-scrutiny took place in Cabinet Committees there was still the opportunity for discussion at Cabinet on major decisions
- Petitions
- Outcomes in relation to the Member Fund.

3. Mr Oakford commented that there was an opportunity to make Cabinet more dynamic and to cover issues that the public might not be aware of.

4. Mr Long stated that he shared the commitment to transparency by KCC; however it was important to be conscious of the number of public meetings at which decisions were debated, made and scrutinised and to ensure that debates were not duplicated unhelpfully. It was considered important for member led decision making to stay strategic.

5. The Leader commented that consultations drew out public views and informed decision making, these should be treated transparently and discussing them at Cabinet would be a way of ensuring that this happened.

6. Mr Whiting welcomed a review of how Cabinet meetings may be constructed, openness was important, and it might be useful to take more decisions as full Cabinet, with the benefit of receiving views from cabinet colleagues. Mr Whiting suggested that Members and Officers consider allowing opposition leaders to make their points and involve them more fully in the formal Cabinet process.

7. The Leader confirmed that this suggestion would be examined and taken forward, in future scheduled meetings with the opposition group leaders; Mr Gough confirmed that he wanted to maximise genuine discussion.

8. Miss Carey considered that it was important to remember that KCC was a council of 81 members and that the Cabinet was a very small minority of its own group. She suggested that there were a number of other members who might want to be involved; however, Miss Carey stated that she didn't want to take away from the forums which already existed. Miss Carey liked the idea of an update from Cabinet Members, Senior Officers would also be able to give their input, and she concurred that this was an opportunity to do things differently.

9. The Leader explained that when he reviewed previous Cabinet agendas, they included regular items such as financial monitoring and select committee reports, and were otherwise mixed as to what did and didn't form part of the agenda.

10. Mr Hill supported the suggestion of allowing opposition group leaders to take part in proceedings. He also reminded Members that in the past local members were invited to Cabinet meetings to talk about a topic of their interest.

11. The Leader suggested that it was key to establish some criteria, it was important not to duplicate but it was necessary to make the meeting meaningful. It was hoped that the next meeting could be shaped in terms of this philosophy.

RESOLVED that Members and Officers consider ways in which to enhance the agenda for meetings of Cabinet.

118. 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.

119. Exempt Minute of the meeting held on 23 September 2019
(Item 8)

RESOLVED that the exempt minute of the meeting held on 23 September 2019 was a correct record and that it be signed by the Chairman.

By: Deputy Leader and Cabinet Member for Finance, Corporate and Traded Services, Peter Oakford
Corporate Director of Finance, Zena Cooke
Corporate Directors

To: Cabinet – 2 December 2019

Subject: **REVENUE & CAPITAL BUDGET MONITORING - September 2019-20**

Classification: Unrestricted

1. SUMMARY

- 1.1 This report provides the budget monitoring position up to 30 September 2019-20 for both revenue and capital budgets, including an update on key activity data for our highest risk 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 – Details of the Asylum service forecast and key activity information;
 - Appendix 2 – High Needs and Dedicated Schools Grant Key Indicators.
 - Appendix 3 – 2019-20 BRAG Update.
 - Appendix 4 – Revenue Reserves Monitoring 2019-20
 - Appendix 5 – Prudential Indicators Monitoring 2019-20
- 1.3 Cabinet is asked to note the forecast revenue and capital monitoring position. The forecast revenue pressure is £1.061m increasing to £1.298m after roll forwards. This is a reduction of £2.444m from the last reported position in August 2019. Any overspend remaining at the end of the year will need to be funded from Reserves, impacting the Reserves available in the future.
- 1.4 The Children, Young People & Education directorate is forecasting a pressure of £7.7m. £4.2m is in the Education Planning and Access division and more specifically relates to the Special Education Needs service and Home to School & College Transport with pressures of £0.8m and £2.5m respectively. £3.1m is in the Integrated Children's Services division and relates to Care Leavers Support and Looked after Children – Care & Support with pressures of £1.5m and £1.3m respectively. More detail is provided in sections 4.2.2 and 4.2.4.
- 1.5 The forecast overspend is masked in the overall position of £1.061m by the underspend of -£6.7m in Financing Items; more detail is provided in section 4.5.1.
- 1.6 There is a reported variance of -£81.233m on the 2019-20 capital budget. This is made up of +£5.694m real variance and -£86.297m rephasing variance.

2. RECOMMENDATIONS

Cabinet is asked to:

- i) **Note** the forecast revenue budget monitoring position for 2019-20 and capital budget monitoring position for 2019-20 to 2021-22, and that the forecast pressure on the revenue budget needs to be eliminated as we progress through the year.
- ii) **Agree** the capital budget cash limit adjustments set out in section 6.4.
- iii) **Note** the BRAG Update at Appendix 3
- iv) **Note** the Reserves Monitoring at Appendix 4
- v) **Note** the Prudential Indicators Report at Appendix 5

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 £1.061m before roll forwards, increasing to £1.298m after roll forwards.

This position reflects that we are on track to deliver the majority of the £44.9m of savings included in the approved budget for this year. Appendix 3 provides an update on the overall BRAG status of the 2019-20 budgeted savings and details the areas of concern.

The position by directorate is shown in table 1 below.

- 3.2 Table 1: Directorate **revenue** position

Directorate	Cash Limit (£m)	Variance (£m)	Previous Variance (£m)	Movement (£m)
Adult Social Care & Health	375.892	0.120	0.081	0.039
Children, Young People & Education	254.147	7.712	6.318	1.394
Growth, Environment & Transport	173.891	0.092	0.060	0.032
Strategic & Corporate Services	80.167	-0.167	-0.209	0.042
Financing Items & Unallocated	117.290	-6.696	-2.508	-4.188
Total (Excluding Schools)	1,001.388	1.061	3.742	-2.681
Schools' Delegated Budgets	0.000	18.675	18.145	0.530
Total (Including Schools)	1,001.388	19.736	21.887	-2.151

Directorate		Cash Limit	Variance	Last Reported Position	Movement
		£m	£m	£m	£m
Variance from above (excl Schools)			1.061	3.742	-2.681
Roll Forwards	- committed		0.237	0.000	0.237
	- re-phased		0.000	0.000	0.000
	- bids		0.000	0.000	0.000
Total Roll Forward Requirements			0.237	0.000	0.237
(-ve) Uncommitted balance / (+ve) Deficit			1.298	3.742	-2.444

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

Directorate	Variance	Roll Forwards			Revised Variance
	£m	Committed £m	Re-phased £m	Bids £m	£m
Adult Social Care & Health	0.120				0.120
Children, Young People & Education	7.712				7.712
Growth, Environment & Transport	0.092	0.237			0.329
Strategic & Corporate Services	-0.167				-0.167
Financing Items & Unallocated	-6.696				-6.696
TOTAL (Excl Schools)	1.061	0.237	0.000	0.000	1.298

4. REVENUE BUDGET MONITORING HEADLINES

The Directorate position by division and key service including narrative of the most significant variances against cash limit is detailed below.

4.1 Adult Social Care and Health

	Cash Limit	Variance	Previous Variance (August)	Movement
	Net	Net	Net	Net
	£m	£m	£m	£m
Adult Social Care & Health				
Strategic Management & Directorate Budgets (ASCH)				
Additional Adult Social Care Allocation	-7.811	0.000	0.000	0.000
Budget & Saving Plans to be allocated	1.440	-2.874	-1.715	-1.159
Strategic Management & Directorate Support (ASCH)	2.581	0.101	0.106	-0.005
Total - Strategic Management & Directorate Budgets (ASCH)	-3.790	-2.773	-1.609	-1.164
Older People & Physical Disability				
Adult Physical Disability - Community Based Services	21.379	1.763	1.044	0.719
Adult Physical Disability - Residential Care Services	14.876	0.348	0.181	0.167
Carer Support - Commissioned	0.567	-0.661	-0.543	-0.118
Older People - Community Based Services	30.833	1.134	0.735	0.399
Older People - Residential Care Services	45.140	-0.790	-0.606	-0.184
Older People & Physical Disability - Assessment and Deprivation of Liberty Safeguards Services	23.955	-0.284	-0.304	0.020
Older People & Physical Disability - In House Community Homecare Service	3.926	0.211	0.221	-0.010
Total - Older People & Physical Disability	140.675	1.721	0.727	0.993
Learning Disability 26+, Mental Health and Sensory & Autism Services				
Adult Learning Disability - Assessment Service	5.232	-0.232	-0.212	-0.020
Adult Learning Disability - Community Based Services & Support for Carers	71.981	0.696	0.238	0.458
Adult Learning Disability - Residential Care Services & Support for Carers	61.712	1.100	1.060	0.040
Adult Mental Health - Assessment Services	9.746	-0.178	-0.170	-0.008
Adult Mental Health - Community Based Services	5.261	0.149	-0.018	0.167
Adult Mental Health - Residential Care Services	12.879	0.442	0.410	0.032
Physical Disability 26+ Lifespan Pathway & Autism - Community Based Services	0.390	0.162	0.185	-0.023
Physical Disability 26+ Lifespan Pathway & Autism - Residential Care Services	0.460	0.067	0.068	-0.001
Sensory & Autism - Assessment Service	1.877	0.110	0.102	0.008
Learning Disability 26+, Mental Health and Sensory & Autism Division Management	0.258	-0.056	0.073	-0.129
Total - Learning Disability 26+, Mental Health and Sensory & Autism Services	169.794	2.260	1.736	0.524

	Cash Limit	Variance	Previous Variance (August)	Movement
	Net	Net	Net	Net
	£m	£m	£m	£m
Partnerships & Engagement				
Community Based Preventative Services	13.108	0.240	0.203	0.037
Housing Related Support	6.991	0.105	0.072	0.033
Partnership Support Services	2.148	-0.233	-0.180	-0.053
Social Support for Carers	2.950	-0.000	0.000	-0.000
Total - Partnerships & Engagement	25.197	0.112	0.095	0.017
Service Provision				
Adult In House Carer Services	2.188	-0.057	-0.052	-0.005
Adult In House Community Services	7.084	-0.188	-0.145	-0.043
Adult In House Enablement Services	3.220	-0.076	-0.061	-0.015
Divisional Management	0.353	0.260	0.268	-0.008
Looked After Children (with Disability) - In House Provision	2.640	0.329	0.333	-0.004
Older People - In House Provision	15.568	-0.436	-0.404	-0.032
Total - Service Provision	31.053	-0.167	-0.061	-0.106
Business Delivery Unit				
Adaptive & Assistive Technology	2.972	-0.727	-0.595	-0.132
Divisional & Directorate Support	9.573	-0.176	-0.087	-0.089
Safeguarding Adults	0.418	-0.130	-0.125	-0.005
Total - Business Delivery Unit	12.963	-1.033	-0.806	-0.226
Total - Adult Social Care & Health	375.892	0.120	0.081	0.038

4.1.1 Adult Social Care and Health:

The overall forecast variance for the Directorate is an almost breakeven position.

This variance position reflects activity data to date in the 2019-20 financial year and the forecast will continue to be refined alongside activity trends over the remaining months.

When setting the ASCH budget, estimates are made on which service lines will see demographic pressures during the year, and the funding is allocated accordingly, impacting both the gross and income budgets. This estimate is based primarily on looking at historic trends but with some judgement about current practice. As the year progresses it is likely that some of the increased activity and costs may be on different service lines, so several of the variances explained below are attributable to this.

4.1.2 Strategic Management & Directorate Budgets (ASCH):

Most of this variance (£2.9m) relates to centrally held funds still to be allocated which cover pressures already recognised within the forecast position. These will be allocated once the service underlying pressures are confirmed.

4.1.3 Older People & Physical Disability

The pressure within the Adult Social Care Services for Older People and Physical Disabilities is greater than anticipated at the time that the budget was set due to higher than anticipated complexity and demand. The position is therefore being stabilised using one-off funding sources; £1.0m is being drawn down from reserves (set aside in 2018-19 for delayed growth in demand). This will change through the year to reflect the pressure.

The Older People and Physical Disability service is increasingly succeeding in supporting people in their own homes for longer periods of time. This means that more complex care needs (which may have previously been met by a residential care placement) are being supported within the community. Pressures within community services are therefore increasing and resulting in an underspend in Residential Care.

Within 'Adult Physical Disability – Community Based Services' there is a pressure of +£1.8m. Predominately this relates to Supporting Independent Living and Homecare services for clients with Physical Disabilities as a result of higher than anticipated demand.

Within 'Older People – Community Based Services' there is a net pressure of +£1.1m. This chiefly relates to Direct Payments and is due to an increase in demand and complexity.

The division is working to tackle pressures within community care services by investing in Prevention and Early Intervention services which offer Care Navigation options and Home Improvements designed to support service users before their care needs escalate.

Within 'Older People – Residential Care Services' there is a net underspend of -£0.8m supporting the above. Service Users will only enter registered care settings when their complex needs cannot be met safely in the community. The variance against Residential Services is -£1.2m and for Nursing Care (which supports higher care needs) is +£1.3m.

The pressures in these service lines are being stabilised through the one-off drawdown from reserves referred to above.

4.1.4 Learning Disability 26+, Mental Health and Sensory & Autism Services

This division is an area of increasing pressure within Adult Social Services. Part of the reason for this is that younger working age adults are now more likely to maintain their independence in a supported home environment, rather than entering registered care settings. The impact of this is that the demand for Supporting Independent Living services (SIS) is increasing rapidly, along with complex care needs. This mirrors the same pressures seen for service users with physical disabilities.

Within 'Adult Learning Disability – Community Based Services & Support for Carers' there is a net pressure of +£0.7m. There is an overspend of +£3.8m against SIS which is driven by higher than anticipated demand and complexity. One-off funding sources are being used to stabilise the position; £2.4m is being drawn down from reserves (set aside in 2018-19 for delayed growth in demand) and £0.2m of income received to support the after care costs of the 'Transforming Care' programme (which provides enhanced or intense support for adults with a learning disability and/or

autism who display behaviours that challenge, to enable them to live safe and well within their community).

The division is working to reduce community care pressures by investing in services such as the 'Kent Pathway Service' which works with adults with a learning disability to improve their independence by developing life skills. This improves outcomes for people with a disability, as they require different levels of support, and delivers increased independence.

Service Users who are cared for within registered care settings are increasingly receiving one to one support. There are also Continuing Healthcare improvers who are now eligible for Local Authority funded Social Care. These people have complex care needs which has resulted in an unanticipated pressure. The two Residential Care Key Service Lines (for Mental Health and Learning Disability) are showing a net pressure of +£1.5m. The underlying pressure is +£2.0m and one-off funding sources are being used to stabilise the position; using £0.5m of income received to support the after-care costs of the 'Transforming Care' programme.

There are underspends reported against the Assessment Service Key Services due to continued slippages in recruitment.

4.1.5 Business Delivery Unit

There is a variance of -£0.7m reported against Adaptive & Assistive Technology as efficiencies within the procurement and running of this service which came into full effect in 2018-19 continue to deliver economies

4.2 Children, Young People and Education

	Cash Limit	Variance	Previous Variance (August)	Movement
	Net	Net	Net	Net
	£m	£m	£m	£m
Strategic Management & Directorate Budgets (CYPE)				
Budget & Saving Plans to be allocated (CYPE)	-1.912	0.000	0.000	0.000
Strategic Management & Directorate Budgets (CYPE)	4.640	0.175	0.164	0.011
Total - Strategic Management & Directorate Budgets (CYPE)	2.728	0.175	0.164	0.011
Education Planning & Access				
Community Learning & Skills (CLS)	-0.991	0.058	0.012	0.046
Early Years Education	0.000	0.000	0.000	0.000
Education Services & Planning Resources Management & Division Support	1.007	-0.011	-0.007	-0.004
Education Services provided by EDSECO Ltd (trading as The Education People)	3.877	0.079	0.000	0.079
Fair Access & Planning Services	0.010	0.001	0.001	0.000
Home to School & College Transport	39.232	2.505	2.764	-0.259
Other School Services	-1.094	0.818	0.427	0.391
Special Educational Needs & Psychology Services	6.300	0.762	0.686	0.076
Total - Education Planning & Access	48.342	4.212	3.882	0.329
Integrated Children's Services (East & West)				
Adoption & Special Guardianship Arrangements & Service	14.382	-0.199	-0.390	0.191
Asylum	0.056	0.417	0.429	-0.012
Care Leavers Service	5.697	1.480	1.401	0.079
Children in Need - Care & Support	3.255	-0.001	0.032	-0.033
Children's Centres	3.448	0.042	0.042	-0.000
Children's Social Work Services - Assessment & Safeguarding Service	46.767	0.167	0.302	-0.135
Early Help & Preventative Services	7.061	-0.336	-0.348	0.012
Integrated Services (Children's) Management & Directorate Support	4.817	-0.057	0.001	-0.058
Looked After Children - Care & Support	58.106	1.296	0.414	0.882
Pupil Referral Units & Inclusion	-0.058	0.045	0.003	0.042
Youth Services	4.458	0.250	0.265	-0.015
Total - Integrated Children's Services (East & West)	147.988	3.105	2.150	0.954

	Cash Limit	Variance	Previous Variance (August)	Movement
	Net	Net	Net	Net
	£m	£m	£m	£m
0-25 Disability (Lifespan Pathway)				
Adult Learning & Physical Disability Pathway - Community Based Services	23.382	-0.385	-0.430	0.045
Adult Learning & Physical Disability Pathway - Residential Care Services & Support for Carers	8.546	0.844	0.879	-0.035
Children in Need (Disability) - Care & Support	5.123	-0.274	-0.270	-0.004
Childrens Disability 0-18 Commissioning	1.692	0.000	-0.002	0.002
Disabled Children & Young People Service (0-25 LD & Complex PD) - Assessment Service	7.499	0.006	-0.036	0.042
Looked After Children (with Disability) - Care & Support	8.849	0.027	-0.021	0.048
Total - 0-25 Disability (Lifespan Pathway)	55.089	0.219	0.121	0.099
Total - Children, Young People & Education	254.147	7.712	6.318	1.394

4.2.1 The forecast for Children, Young People and Education Directorate indicates an overall pressure of +£7.7m, of which +£0.4m relates to the Asylum service.

4.2.2 Education Planning & Access

The initial forecast for the Special Education Needs (SEN) Service suggests a pressure of +£0.8m. This budget should be considered in conjunction with the Schools High Needs budget pressure outlined in section 4.6 and Appendix 2 resulting from the continual rise in demand for Special Education Needs & Disability (SEND) assessment and support.

It is also important to note the current forecast includes +£0.8m associated with the implementation of the SEND Statement of Written Action recently submitted to OFSTED to address the outcomes of the recent SEND inspection report. The exact costs have been finalised and there is an additional £0.9m of expected in year costs not currently included in the monthly monitoring.

There is a reported pressure of +£2.5m within the Home to School & College Transport budget. This is predominantly due to:

- +£2.7m pressure from the transporting of children with SEN based on September pupil numbers. The number of children being transported is significantly higher than originally estimated. This can be linked to the unprecedented demand on SEN generally.
- +£0.4m shortfall in income to fund the costs of the 16+ Travel Card. A reduction in the number of users using the scheme has led to a reduction in the amount of income but costs have not reduced by the same proportion due to:
 - i. Costs being based on the actual number of journeys undertaken whilst charges are based on a flat rate fee. High users of the scheme continue to purchase the pass whilst occasional users are choosing to no longer take part.
 - ii. the unit price of travel rising by double the amount originally estimated over the course of 2018-19.

Other school related services include a £0.8m pressure, an increase of £0.4m on last month due to additional costs relating to mobile moves as part of the capital delivery programme.

4.2.3 0-25 Disability (Lifespan Pathway):

Disability Services are forecasting an initial pressure of +£0.2m. This pressure is predominantly due to:

- +£0.5m pressure on 18-25 placement costs mainly within the residential care service where the number of placements is higher than originally budgeted. This pressure has been reduced by a planned draw down from reserves of £0.8m. The forecast also assumes a similar level of growth as in previous years.
- -£0.3 underspend on direct payments due to the unavailability of Personal Assistants in the market.

4.2.4 Integrated Children's Services

The service is forecasting a pressure of +£2.7m including the following significant variances:

- The Care Leavers Service is forecasting a pressure of +£1.5m due to higher than anticipated placement and additional support costs. The Division has recently invested in new floating support and accommodation services which are anticipated to deliver savings in the longer term by reducing the average cost of supporting young people. The transition period to the new service offer has taken longer than expected and has led to a short-term pressure on this service, where both old and new services continue to be commissioned. The service is currently investigating this large pressure.
- The Looked After Children placement budget is forecasting a +£1.3m pressure due to increases in the number of externally purchased placements particularly with independent fostering agencies and supported accommodation settings. This is due to insufficient numbers of in-house foster carers leading to a greater reliance on the use of the external market. This forecast assumes current activity levels do not increase further during the year.

4.2.5 Specialist Children's Services – Asylum Seekers:

The estimated pressure for the Asylum Service is +£0.4m. This forecast takes into account the recent conclusions of the Unaccompanied Asylum Seeking Children (UASC) review where the grant rate paid for supporting 16- and 17- year olds had been increased to mirror the rate paid for under 16 year olds.

There is still a significant shortfall in funding to support Care Leavers and the forecast continues to assume the rate paid for Care Leavers will remain unchanged as there is no timescale for the completion of the Home Office funding review for Care Leavers.

KCC continues to pursue the Home Office for further funding to address the historic shortfall in funding received for asylum services in both 2017-18 and 2018-19 totalling £6.1m. (see appendix 1)

4.3 Growth, Environment and Transport

	Cash Limit	Variance	Previous Variance (August)	Movement
	Net	Net	Net	Net
	£m	£m	£m	£m
Strategic Management & Directorate Budgets (GET)				
Budget & Savings Plans to be allocated (GET)	-0.057	0.000	0.000	0.000
Strategic Management & Directorate Budgets (GET)	1.334	-0.093	-0.053	-0.040
Total - Strategic Management & Directorate Budgets (GET)	1.277	-0.093	-0.053	-0.040
Economic Development				
Arts	1.617	0.026	0.008	0.018
Economic Development	2.770	-0.027	-0.008	-0.019
Total - Economic Development	4.387	-0.001	0.000	-0.001
Highways, Transportation & Waste				
Concessionary Fares	17.225	0.085	0.085	-0.000
Highway Asset Management (Other)	16.867	-1.130	-1.135	0.005
Highway Asset Management (Roads and Footways)	11.968	1.074	1.064	0.010
Highway Transportation (including School Crossing Patrols)	5.418	-0.016	-0.009	-0.007
Highways, Transport & Waste Management Costs and Commercial Operations	4.857	0.443	0.420	0.023
Residual Waste	40.680	-0.829	-0.486	-0.343
Subsidised Buses and Community Transport	6.179	0.002	0.004	-0.002
Waste Facilities & Recycling Centres	30.805	0.595	0.246	0.349
Young Person's Travel Pass	8.103	-0.000	0.000	-0.000
Total - Highways, Transportation & Waste	142.101	0.224	0.189	0.035
Environment, Planning & Enforcement				
Environment & Planning	5.536	0.055	0.065	-0.010
Environment, Planning & Enforcement Management Costs	0.653	0.024	0.034	-0.010
Public Protection (Enforcement)	10.521	-0.098	-0.162	0.064
Total - Environment, Planning & Enforcement	16.710	-0.020	-0.063	0.043
Libraries, Registration & Archives	9.416	-0.029	-0.013	-0.016
Total - Growth, Environment & Transport	173.891	0.082	0.060	0.022

4.3.1 The overall position for the Directorate is a forecast variance of +£0.3m, after committed roll forwards, with forecast pressures of +£2.3m being almost completely offset by forecast underspends of -£2.0m. The Directorate are looking to identify management action to mitigate this pressure.

The reported position is a +£0.1m variance to cash limit but this includes two underspends, totalling -£0.2m, that are committed and require rolling forward to 2020-21. Otherwise, the +£0.3m variance is not significantly different to the prior month.

The -£0.2m adjustments relate to 2018-19 roll forward requests that were agreed in June 2019 and straddle two financial years. They relate to the Volunteer and Apprentice Warden pilot scheme, and the Doorstep Intelligence project.

4.3.2 Highways, Transportation & Waste

The Highway Asset Management (Roads and Footways) pressure (+£1.1m) comprising of non-recoverable damage, increased safety critical and other urgent works, additional staffing costs and other small variances. This is offset by an underspend position within Highways Asset Management (Other) of -£1.1m, comprising by further savings/underspends in streetlight energy/maintenance, as well as additional street work and permit scheme income. These off-setting variances will be reflected in budget build and the Medium Term Financial Plan (MTFP).

Residual Waste is showing an underspend (-£0.8m) primarily due to an increased amount of trade waste, as well as other small variances.

There are tonnage price pressures across all recycling contracts (mainly Material Recycling Facility and paper/card sale of recyclables income contract) largely offset by a combination of savings on haulage fees, transfer station management costs, and the proceeds of an insurance settlement to leave a small adverse variance in Waste Facilities & Recycling Centres (+0.6m).

The Highways, Transport & Waste Management Costs and Commercial Operations pressure (+£0.4m) is made up of several smaller variances against staffing, non-staffing and income.

4.3.3 Environment, Planning & Enforcement

Overall the division is forecasting a breakeven position, prior to committed underspends (£0.2m). There is a pressure of +£0.2m once these are taken into account.

Within this +£0.2m, there is a variance of +£0.1m relating to both additional costs for the Gypsy & Traveller Service, with most sites reporting urgent asset maintenance, and a shortfall in the income target. These works are being prioritised and some may be able to be deferred until 2020-21. A report to the July Environment and Transport Cabinet Committee outlined the future strategy for this service including the pitch improvement/site management policy, as well as the approach to rent and charges.

The Coroners service is forecasting a small net variance (+£0.2m). Pressures continue in relation to the need to employ agency pathologists (+£250k) and this will be reflected in the Medium-Term Financial Plan. This is offset in part by a number of small underspends against other budgets, including Medical Examiners (where the full impact of this new service has not yet been experienced), and the body removal contract.

4.3.4 The directorate continues to consider areas of management action which will be reflected through the monitoring report in subsequent months, with a view to achieving a balanced position overall by the year end.

4.4 Strategic and Corporate Services

	Cash Limit	Variance	Previous Variance (August)	Movement
	Net	Net	Net	Net
	£m	£m	£m	£m
Strategic Management & Directorate Budgets (S&CS)	-1.269	-0.008	-0.006	-0.002
People & Communication				
Customer Contact, Communications & Consultations	5.477	0.012	0.033	-0.021
Human Resources related services	7.635	-0.289	-0.208	-0.081
Total - People & Communication	13.112	-0.277	-0.175	-0.102
Finance	9.831	-0.203	-0.275	0.072
Governance, Law & Democracy				
Governance & Law	5.490	0.014	0.002	0.012
Local Member Grants	2.549	0.000	0.000	0.000
Total - Governance & Law	8.039	0.014	0.002	0.012
Infrastructure				
ICT related services	16.568	0.025	-0.045	0.070
Property related services	3.024	0.021	-0.017	0.038
Total - Infrastructure	19.592	0.046	-0.063	0.108
Corporate Landlord	21.630	0.200	0.200	0.000
Strategic Commissioning including Public Health				
Strategic Commissioning	7.293	-0.029	0.000	-0.029
Public Health - Advice and Other Staffing	0.000	0.000	0.000	0.000
Public Health - Children's Programme	0.000	-0.000	0.000	-0.000
Public Health - Healthy Lifestyles	0.006	0.000	0.000	0.000
Public Health - Mental Health, Substance Misuse & Community Safety	0.042	0.000	0.000	0.000
Public Health - Sexual Health	0.000	-0.000	0.000	-0.000
Total - Strategic Commissioning including Public Health	7.341	-0.029	0.000	-0.029
Strategy, Policy, Relationships & Corporate Assurance	1.891	0.089	0.107	-0.018
Total - Strategic & Corporate Services	80.167	-0.167	-0.209	0.042

4.4.1 The overall position for the Directorate, is a forecast underspend of -£0.2m with forecast underspends of -£0.5m being partially offset by forecast pressures of +£0.3m.

4.4.2 The Finance and People & Communications divisions are together forecasting underspends of -£0.5m due to in-year staffing vacancies. These are partially offset by small pressures totalling +£0.1m in the other divisions.

- 4.4.3 Corporate Landlord are forecasting a pressure of +£0.2m which relates to the re-phased deliverability of the Asset Utilisation savings target, where the plans for a number of front-line service buildings require public consultation before progression.
- 4.4.4 A pressure for Oakwood House is expected this year but until a Member decision on its future use is made it cannot be quantified with any accuracy. The pressure will be reported on in future monitoring reports along with any mitigating management action.

4.5 Financing Items and Unallocated

	Cash Limit	Variance	Previous Variance (August)	Movement
	Net	Net	Net	Net
	£m	£m	£m	£m
Financing Items & Unallocated	117.290	-6.696	-2.508	-4.188

4.5.1 An underspend of £6.7m is forecast reflecting additional Extended Rights to Free Travel grant notified by Government since the 2019-20 budget was set (£0.1m); underspending against the net debt costs budget (£2.5m) mainly as a result of higher forecast dividends from externally managed funds; underspending against the Adult Social Care Sustainability provision due to the re-phasing to 2020-21 of the Community Supporting Independence Service retender (£3.6m) and release of the base budget for the impact of Intermediaries legislation (£0.5m). Costs resulting from this legislation have been minimal and therefore this saving will be reflected in the draft 2020-23 MTFP and any future costs will be managed through reserves.

4.6 Schools delegated budgets:

The schools delegated budget reserves are currently forecast to end the financial year in surplus by £8.2m, compared to £26.9m at the start of the financial year. This is made up of a forecast surplus of £31.7m on individual maintained school balances and a deficit on the central schools reserve of £23.5m. The table below provides the detailed movements on each reserve. Appendix 2 also provides further detail on the High Needs pressure and the history of the Dedicated Schools Grant reserve. DSG budgets held centrally are forecasting a £2.0m overspend this is predominately linked to the additional costs of supporting Special Education Needs services:

	Individual School Reserves (£m)	Central Schools Reserve (£m)	Total School Reserves (£m)
Balance bfwd	33.384	(6.500)	26.884
Forecast movement in reserves:			
Academy conversions and closing school deficits	(1.673)	(0.315)	(1.988)
School Growth		2.956	2.956
High Needs Placement Costs		(17.631)	(17.631)
Various		0.019	0.019
Overspend on Central DSG budgets		(2.030)	(2.030)
Forecast reserve balance	31.711	(23.502)	8.209

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

The Schools' delegated budget is currently showing a pressure of £18.7m. This is predominantly due to the pressure on high need placement costs (£17.6m) which is further explained in Appendix 2.

The Government has recently published indicative DSG amounts for 2020-21, this includes a reduction of £1.4m for some of the central services currently funded from the DSG. A review is taking place to establish the impact of this reduction and which services can be possibly reduced to mirror the reduction in funding

4.7 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	
Cantium Business Solutions	1.760	1.760	1.760	

5. REVENUE BUDGET VIREMENTS/CHANGES TO BUDGETS

5.1 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.

6. SUMMARISED CAPITAL MONITORING POSITION

6.1 There is a reported variance of -£81.233m on the 2019-20 capital budget. This is made up of +£5.694m real variance and -£86.927m rephasing variance. Headline movements are detailed below by Directorate.

6.2 Table 3: Directorate **capital** position

Directorate	Working Budget £m	Variance £m	Real Variance £m	Rephasing Variance £m	Last Reported Position		Movement	
					Real £m	Rephasing £m	Real £m	Rephasing £m
Children, Young People & Education	108.822	-9.501	1.922	-11.423	0.218	-14.882	1.704	3.459
Adult Social Care & Health	11.730	-8.019	-1.733	-6.286	-0.191	-5.810	-1.542	-0.476
Growth, Environment & Transport	196.381	-51.118	5.461	-56.579	1.902	-53.445	3.559	-3.134
Strategic & Corporate Services	76.079	-12.595	0.044	-12.639	-0.596	-7.883	0.640	-4.756
TOTAL	393.012	-81.233	5.694	-86.927	1.333	-82.020	4.361	-4.907

6.3 Capital budget monitoring headlines

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

Previously reported variances that are still relevant are in italic font.

6.3.1 Children, Young People and Education

Previously reported variances:

- Basic Need, Basic Need Kent Commissioning Plan (KCP) 2017 and KCP 2018: Rephasing variance of -£ 11.906m. (*Previously reported -£16.671m*). This relates to delays across a large number of individual schools, due to issues including land transfers, changes to scope of projects, incorrect cost plan, ecological issues and housing development not progressing as expected.

- Priority School Build Programme: Rephasing variance of +£1.444m (*Previously reported +£1.412m*). The majority of this relates to Benenden Church of England Primary School (CEPS). Due to an error by the design consultants the spoil mound was larger than expected and had to be removed before the school opened.
- John Wallis Academy: Real variance of +£0.226m. Additional payments have been made to the academy and costs of relocating the Ray Allen Centre have increased. The overspend is to potentially be met from an increase in the capital receipt, when disposal of the former primary school site occurs

New variances to report:

- Annual Planned Enhancement Programme: Real variance of +£1.600m. This is made up of a real overspend on the Singlewell primary roof of +£1.750m, and a -£0.150m virement requested towards Meadowfield Basic Need Project. Funding options for the Singlewell overspend are being considered. There is also rephasing of -£1.650m on this programme of works which relates to a number of projects.
- Modernisation Programme: Real underspend of -£0.214m – virement requested towards Pupil Referral Units, and +£1.011m rephasing, the majority of which relates to urgent works at the Archbishop’s school.
- Pupil Referral Units: Real overspend of +£0.214m. It was agreed at the last budget that costs against this programme would be funded from the Modernisation Programme.

6.3.2 **Adult, Social Care & Health**

Previously reported variances:

- Home Support Fund and Equipment: Real variance of -£0.197m (*previously reported -£0.191m*). This is a reactive budget, funded by revenue grant and is subject to in year fluctuations.
- Developer Funded Community Schemes: Rephasing variance of -£1.536m. (*Previously reported -£1.651m*). Projects which meet the specific developer contribution criteria are being sought, however progress is slow.
- Learning Disability Good Day Programme: Rephasing variance of -£2.027m. (*Previously reported -£2.039m*). Projects at Meadowside and Southfields are now progressing, feasibilities have been completed and the projects are now at full design stage, however progress on other projects within the programme has been slower than expected, resulting in the rephasing.
- Adult Social Care Case Management: Rephasing variance of -£1.645m. (*Previously reported -£1.370m*). System delivery has been delayed to ensure that all business critical issues can be resolved, and key business processes, particular client charging and billing, have been thoroughly tested. The project go live date has moved from January 2019 to October 2019.

New variances to report:

- OP Strategy Specialist Care Facilities: Rephasing variance of -£1.000m. A business case has been drawn up for future development in Sheppey. Option appraisals have been completed and the consultation period has begun, however timing of the spend will not be in the current financial year.

6.3.3 Growth, Environment & Transport

Highways, Transportation & Waste

Previously reported variances:

- National Productivity Investment Fund Kent: Rephasing of -£4.509m (*Previously reported -£4.064m*). A number of challenges have been encountered during the design phase and a planning application is required for further development of the scheme. This has delayed the programme and contract award, now programmed to commence in December 2019.
- Kent Thameside Strategic Transport: Rephasing of -£5.076m (*previously reported -£5.155m*).
Ongoing negotiations are progressing regarding the timing of the developer contributions for the Ebbsfleet and Bean schemes, with KCC's contribution re-phased accordingly.
- Maidstone Integrated Transport: Rephasing of -£4.186m (*previously reported -£3.809m*), and real overspend of +£0.300m – which is offset by additional grant. *This programme of schemes has been developed further, with approval in place from the South East Local Enterprise Partnership, and this has led to a re-profiling of the expenditure.*
- Housing Infrastructure Fund: Rephasing of -£1.897m.
The rephasing is due to a review of the programme of works to ensure the budget matches both the level and profile of developer contributions that are currently available.
- Thanet Parkway: Rephasing of -£8.719m. *Ongoing technical discussions with, and cost estimates from, Network Rail, determining the appropriate planning application route and awaiting confirmation of funding bids has resulted in a re-profiling of the budget. The submission of the planning application is due in the near future, planning determination at the end of quarter 1 2020, with the design and build phase now scheduled to occur in 2020-21 which is in line with Local Growth Fund requirements.*
- Rathmore Road Link: Real variance of -£0.148m. *The project is nearing completion and final cost profiles are predicting an underspend of £0.148m. Any underspend will be passed back to the Kent Thameside Programme.*
- Open Golf: Rephasing variance of -£2.120m. (*Previously reported -£1.120m*). *We are awaiting an updated cost profile from Network Rail, when it is anticipated that the footbridge works will be rephased to 2020-21. The additional rephasing is due to the footbridge procurement and installation being delayed from March to May 2020. Final completion of the scheme is due end of May 2020, with the Open running from 12th – 19th July 2020.*

- *Sturry Link Road: Rephasing variance of -£1.760m. Spend for the current year has been reprofiled due to project delays in securing planning and confirmation of match funding.*
- *Leigh (Medway) Flood Storage Areas: Rephasing variance of -£1.450m. The Leigh part of the scheme is progressing, however further discussions with the partners are required on the Yalding element so the budget has been rephased accordingly.*
- *Integrated Transport Schemes: Real variance of +£1.480m. (Previously reported +£2.040m). This relates to additional schemes and will be covered by developer contributions and external funding.*

New variances to report:

- Highway Major Enhancement: Real variance of +£3.653m. An additional £4.000m capital grant has been received for Brexit works relating to the Ashford Truck Stop. A cash limit adjustment is requested (see below).
- West Kent Local Sustainable Transport: Real variance of +£0.200m due to the transfer of grant from integrated transport to support works at Tonbridge Station.

Environment, Planning and Enforcement and Libraries, Registration and Archives

There are no variances that exceed the reporting thresholds.

Economic Development

Previously reported variances:

- Kent & Medway Business Fund: Rephasing of -£13.835m, *in line with latest application profile.*
- Turner: Rephasing variance of -£1.000m. *The outcome of an application to Arts Council Small Scale Capital Fund is due in October, so the forecast expenditure has been re-profiled pending confirmation of this funding, which is essential to progress the revised scheme.*
- Javelin Way Development: Rephasing of -£4.824m. *Confirmation of the successful ACE funding bid was not announced until after the budget book was approved, so forecast expenditure has been re-profiled accordingly.*
- Broadband Contract 2: Rephasing of -£1.349m to reflect ongoing contract negotiations on how the scheme will be delivered.
- No Use Empty – Rented Affordable Homes: Rephasing variance of -£1.041m. *The forecast reflects the latest defrayment and repayment profile.*

New variances to report:

No new variances to report.

6.3.4 **Strategic & Corporate Services**

Previously reported variances:

- *Dover Discovery Centre: Rephasing variance of -£2.696m. The construction period is now scheduled to start mid 2020-21 and the spend profile has been adjusted to reflect this.*
- *Asset Utilisation – Oakwood House Transformation: Rephasing variance of -£4.660m due to ongoing stakeholder project board negotiations.*
- *Eurogate Business Park Car Park and Roof: -£0.650m real variance. The works here are no longer required and the scheme will be removed from the capital programme.*

New variances to report:

- Modernisation of Assets: Rephasing of -£1.156m. Projects have been delayed while the transfer of undertakings between facilities management (FM) providers are resolved.
- Business Intelligence Tool: Real overspend of +£0.224m. The project has taken longer than anticipated due to issues around producing report to replace BOXI, as well as additional project requirements. This has led to an increase in the resources needed in the delivery of the project. The overspend is to be met by a drawdown from reserves.
- MOA Plus: Rephasing variance of -£3.000m. Projects have been delayed while the transfer of undertakings between FM providers are resolved.

6.4 **Cash Limit Adjustments**

To Note

Directorate	Project	Year	Amount £m	Reason
GET	Highway Major Maintenance	19-20	+£4.000	Additional Brexit grant
GET	Integrated Transport	19-20	+£0.050	Additional external funding
GET	Country Parks	19-20	-£0.004	Adjustment revenue

For Approval

Directorate	Project	Year	Amount £m	Reason
GET	Highway Major Maintenance	19-20	-£0.300	Virement to Maidstone Integrated Transport
GET	Maidstone Integrated Transport	19-20	+£0.300	Virement from Highway Major Maintenance
GET	Integrated Transport Schemes	19-20	-£0.200	Virement to West Kent Local Sustainable Transport
GET	West Kent Local Sustainable Transport	19-20	+£0.200	Virement from Integrated Transport
CYPE	Annual Planned Enhancement Programme	19-20	-£0.150	Virement to Basic Need
CYPE	Basic Need	19-20	+£0.150	Virement from Annual Planned Enhancement Programme
CYPE	Modernisation Programme	19-20	-£0.214	Virement to Pupil Referral Units
CYPE	Pupil Referral Units	19-20	+£0.214	Virement from Modernisation Programme

7. CONCLUSIONS

- 7.1 It is unusual at this point in the financial year for the revenue position to show such a small overspend and it should be kept in mind that there are significant pressures in the Children, Young People & Education directorate that are being compensated for by the underspend in Financing Items.
- 7.2 The £44.9m 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. The BRAG Update at Appendix 3 shows the current status of the savings.

8. RECOMMENDATIONS

Cabinet is asked to:

- 8.1 **Note** the forecast revenue budget monitoring position for 2019-20 and capital budget monitoring position for 2019-20 to 2021-22, and that the forecast pressure on the revenue budget needs to be eliminated as we progress through the year.
- 8.2 **Agree** the capital budget realignment set out in section 6.4.
- 8.3 **Note** the BRAG Update at Appendix 3.
- 8.4 **Note** the Reserves Monitoring at Appendix 4

8.5 **Note** the Prudential Indicators Monitoring at Appendix 5

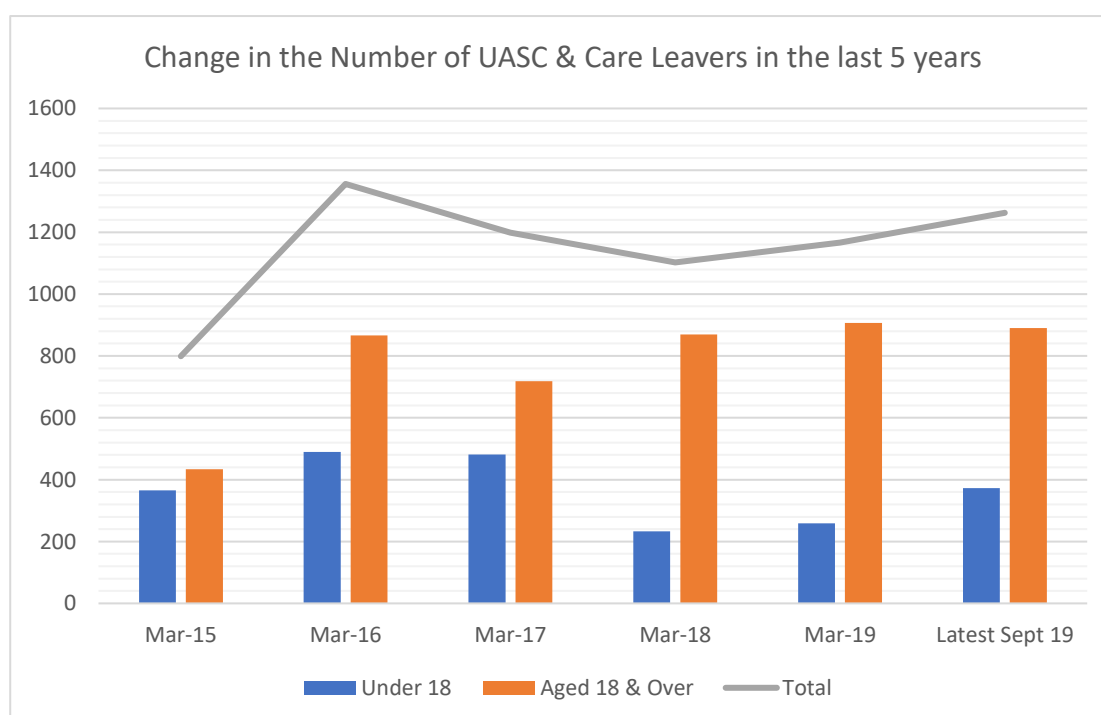
9. CONTACT DETAILS

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Unaccompanied Asylum Seeking Children (UASC) Key Activity Measures**1. Number of UASC & Care Leavers by age category**

The number of UASC is now over the minimum threshold of UASC for the authority as a % of population (231), the dispersal scheme has only transferred a minimum number of UASC to other local authorities in the last 9 months. The number of UASC Care Leavers over 18 years old remain relatively steady. The graph below shows the long-term trend in the Asylum children including the impact of the 2015 crisis.

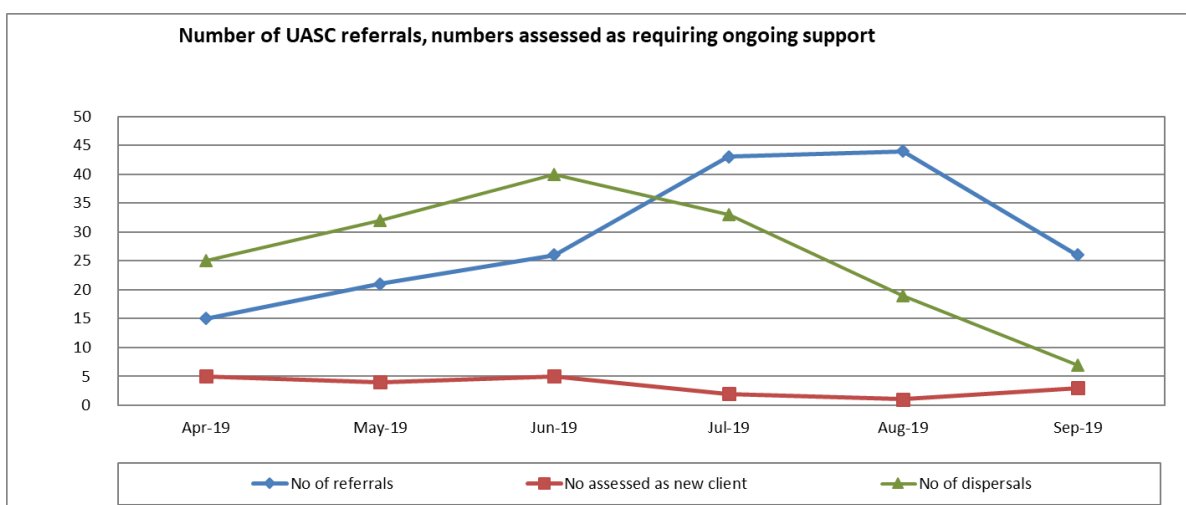
	Aged under 16	Aged 16 & 17	Aged 18 & over	TOTAL
May-18	30	188	879	1,097
Jun-18	34	194	880	1,108
Jul-18	37	199	887	1,123
Aug-18	40	203	888	1,131
Sep-18	44	207	878	1,129
Oct-18	44	210	874	1,128
Nov-18	43	232	877	1,152
Dec-18	41	236	885	1,162
Jan-19	30	220	901	1,151
Feb-19	29	222	902	1,153
Mar-19	33	226	907	1,166
Apr-19	30	232	905	1,167
May-19	34	235	893	1,162
Jun-19	38	251	892	1,181
Jul-19	53	266	893	1,212
Aug-19	62	294	889	1,245
Sep-19	61	312	890	1,263



2. Numbers of UASC referrals, assessed as requiring ongoing support

The National Transfer Scheme (NTS) has been in operation since July 2016. NTS is a scheme to encourage other local authorities to volunteer to support UASC so there is a more even distribution of caring responsibilities across the country. In total there have been 361 dispersals from Kent arrivals since the scheme's introduction. During 2018-19, Kent had lower numbers of UASC than the threshold of 231 UASC's set by the Home Office and so new arrivals had not been referred to the dispersal scheme. However, since this time the number of UASC supported by Kent has since exceeded this target with only a minimum number of dispersals made. Kent currently has 356 UASC.

	No of referrals	No assessed as new client	%	No of dispersals
Apr-18	4	2	50%	1
May-18	7	7	100%	5
Jun-18	20	19	95%	1
Jul-18	20	19	95%	0
Aug-18	18	16	89%	0
Sep-18	12	9	75%	0
Oct-18	12	10	83%	0
Nov-18	29	26	90%	0
Dec-18	14	13	93%	0
Jan-19	12	11	92%	0
Feb-19	11	11	100%	1
Mar-19	29	28	97%	1
Apr-19	15	14	93%	0
May-19	21	21	100%	0
Jun-19	26	25	96%	0
Jul-19	43	43	100%	0
Aug-19	44	43	98%	0
Sep-19	26	26	100%	0



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

2019/20	Eligible Clients	of which AREs	Ineligible Clients	of which AREs	Total Clients	Total AREs
Mar-18	900	13	211	41	1,111	54
Mar-19	912	6	254	51	1,166	57
Apr-19	914	3	253	46	1,167	49
May-19	916	2	246	29	1,162	31
Jun-19	928	1	253	28	1,181	29
Jul-19	958	0	254	25	1,212	25
Aug-19	982	1	263	22	1,245	23
Sep-19	975	4	288	14	1,263	18
Oct-19					0	0
Nov-19					0	0
Dec-19					0	0
Jan-20					0	0
Feb-20					0	0
Mar-20					0	0

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.

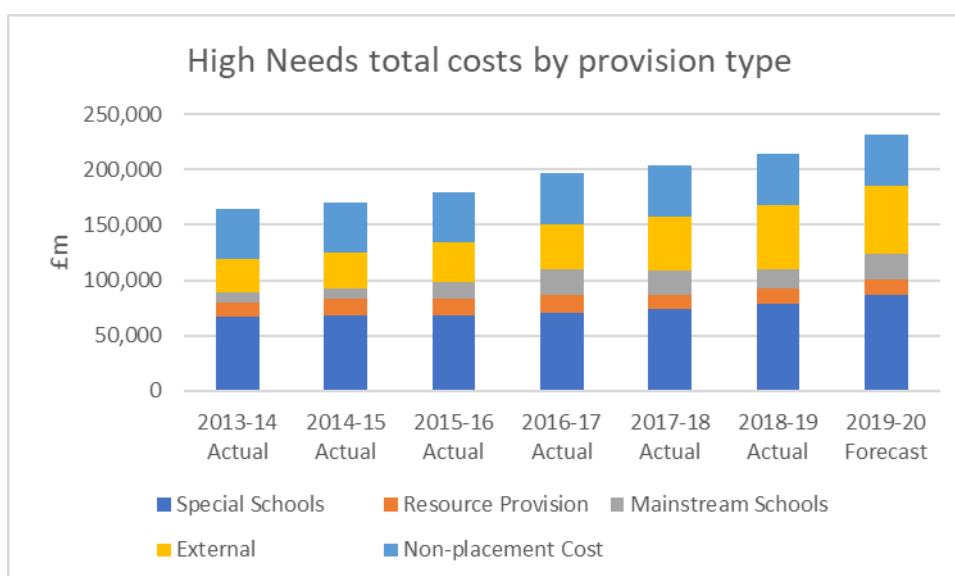
Ineligible clients are those who do not meet the Home Office grant rules criteria. For young people (under 18), this includes accompanied minors and long-term absences (e.g. hospital or prison). For care leavers, there is an additional level of eligibility as the young person must have leave to remain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

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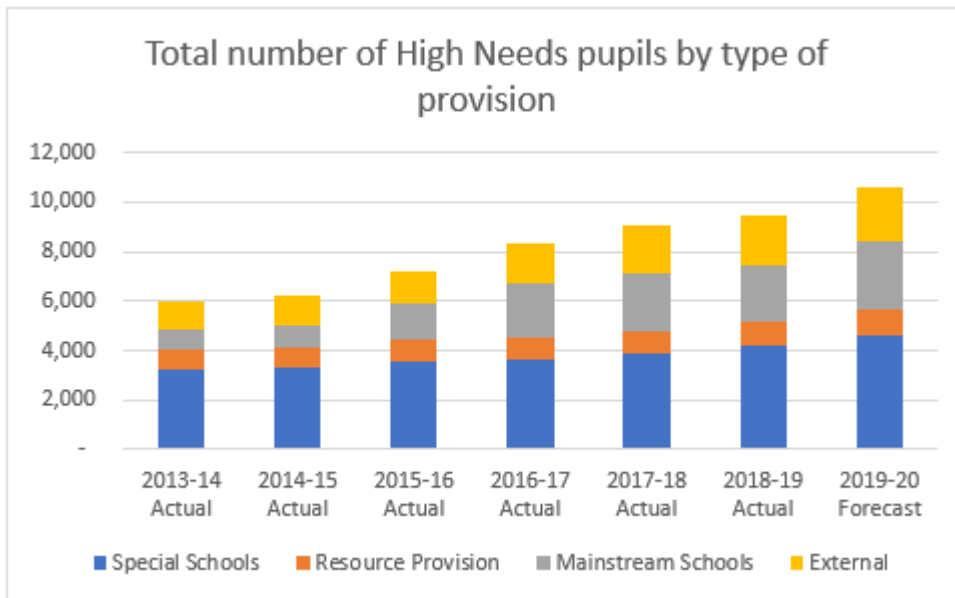
High Needs and Dedicated Schools Grant Key Indicators

1. High Need Placement Forecast

High Needs funding is part of the Dedicated Schools Grant (DSG) and is used to support the educational achievement of children and young people with special educational needs and disabilities (SEND). The current estimated in-year funding shortfall for High Needs is +£17.6m due to a combination of both higher demand and higher cost per child. There are a growing number of children and young people accessing High Needs funding and this rise has been most significant in those children being educated in special schools (both maintained and independent) rather than mainstream schools. These specialist types of provisions are normally more expensive, as these placements tend to be for those children and young people with the most profound and complex needs. The forecast for 2019-20 assumes the growth in type and number of funding requests will continue at the same rate as the previous year. Due to the unprecedented demand the exact growth is difficult to predict however early signs are in line with projections. The graphs below show total spend and pupil numbers for High Needs by type of provider.



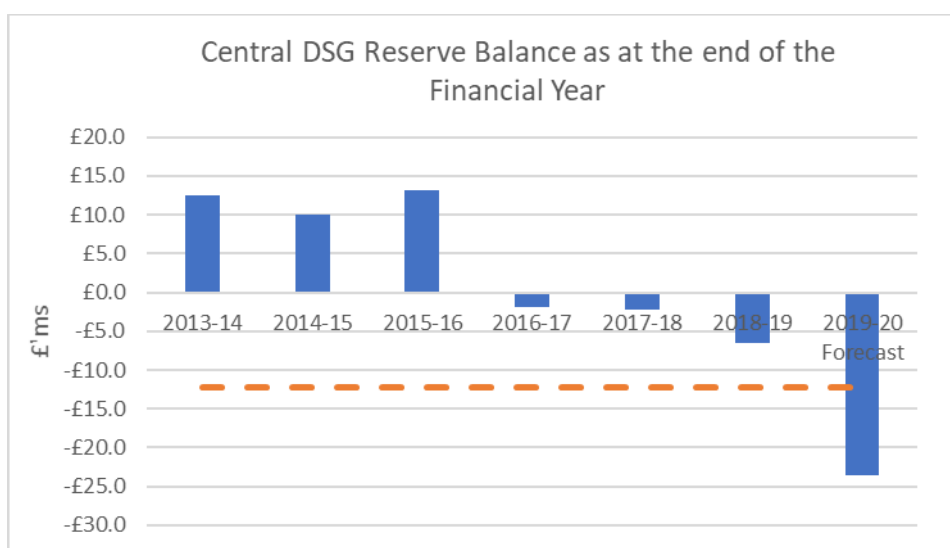
External includes all external education providers including independent non-maintained and FE Colleges.



External includes all external education providers including independent non-maintained and FE Colleges.

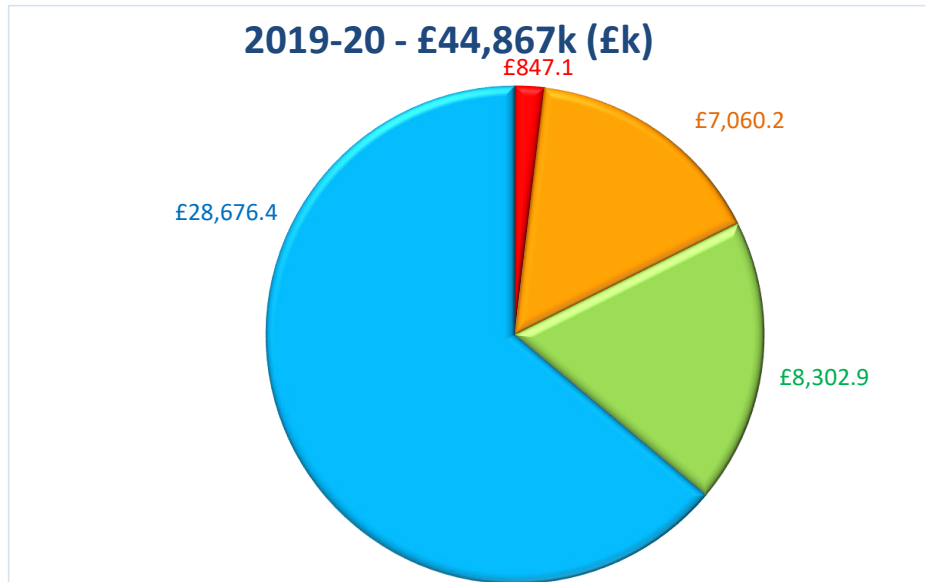
2. Dedicated Schools Grant Reserve

The DSG is a ring-fenced grant from the Education and Skills Funding Agency used to support schools, early years, high needs and some central education services. The DSG central reserve is one of the Council's earmarked reserves, any under or overspend from DSG funded services are transferred to the reserve at year end. Individual maintained school balances (surplus and deficit) are held separately. In recent years, the High Needs Block funding received each year has been insufficient to cover the increasing cost of the services resulting in an increasing deficit on the DSG central reserve. The graph below shows the trend in the DSG central reserve. The Department of Education has stipulated any authority holding an accumulated deficit of more than 1% of their total DSG income will be required to complete a deficit recovery plan (this financial limit is reflected on the graph below as a dotted line). Based on current projections Kent will be required to complete the plan in 2020.

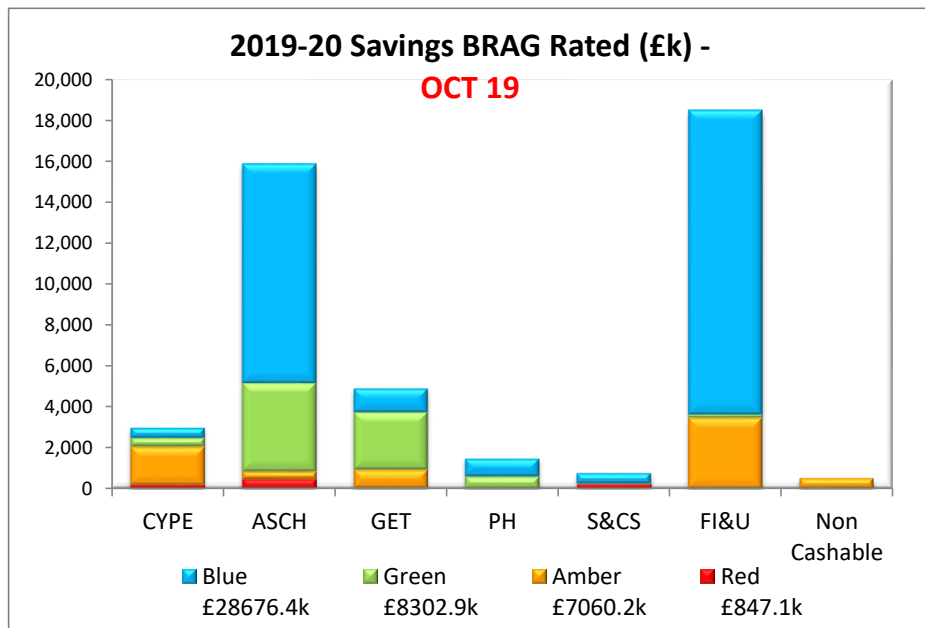


Delivery of 2019-20 Savings & Income

This appendix provides an update on the overall BRAG status of the 2019-20 budgeted savings together with a more detailed synopsis of all remaining red and amber savings by directorate.



Directorate	Red £847.1k	Amber £7060.2k	Green £8302.9k	Blue £28676.4k	Total £m
CYPE	171.1	1,850.0	436.7	500.0	2,957.8
ASCH	443.0	379.0	4,311.6	10,741.6	15,875.2
GET	25.0	893.0	2,785.2	1,168.9	4,872.1
PH	0.0	0.0	583.4	865.1	1,448.5
S&CS	208.0	0.0	30.0	498.0	736.0
FI&U	0.0	3,438.2	156.0	14,902.8	18,497.0
Non Cashable	0.0	500.0	0.0	0.0	500.0
Total	847.1	7,060.2	8,302.9	28,676.4	44,886.6
	1.9%	15.7%	18.5%	63.9%	100.0%



Blue	the saving is effectively already delivered to at least 90% of the sum planned
Green	the saving already has a plan, the quantum and timescale is realistic, and any necessary consultation has started
Amber	the saving is deliverable but the quantum is uncertain and there are currently no agreed delivery plans, and/or any necessary consultation has not yet commenced.
Red	something has changed recently that makes this saving highly doubtful.

CYPE DIRECTORATE SYNOPSIS OF REMAINING RED AND AMBER SAVINGS

Directorate	Savings Category	Description	£k	Reason
RED SAVINGS				
CYPE	Income	Increased income from traded services with schools, academies, other local authorities and public bodies	83.1	To move the Duke of Edinburgh Award to fully chargeable basis - National changes to the funding of this award mean it is unlikely this service will move to be fully self-funded in 2019-20. Further work will be undertaken during 2019-20 to embed and review changes initiated in 2018-19 and this will inform the future of this service.
CYPE	Income	Increased income from traded services with schools, academies, other local authorities and public bodies	88.0	Additional income from trading new products with both KCC schools & OLA neighbour schools & academies, specifically emergency planning products. Work is underway to further develop these products but demand to date is lower than expected. It has now been recognised that this increased income target will only be achieved if the DfE endorse the product or there is a local emergency.
			171.1	
AMBER SAVINGS				
CYPE	Transformation	Moving to different service delivery model following integration of Children's Services across the Children, Young People and Education Directorate	1,250.0	This needs to be considered in conjunction with the £2m CYPE saving in the 2018-21 MTFP making a total of £3.25m. The Change for Kent Children Programme is progressing. The structure changes proposed will not generate the whole saving without risking front line delivery. Further savings options have been considered. Additional funding has been secured through the Council's transformation fund to pump prime a variety of savings initiatives, however the associated savings are not anticipated to be achieved until 2020-21 and beyond. The Directorate continues to look at short term options for compensating savings to meet the target for 2019-20.
CYPE	Efficiency - Contracts & Procurement	Review of Early Help & Preventative Children's Services including Children's Centres, matching reduction in funding transfer from Public Health	200.0	Plans are still being developed. However, it is likely any saving will be a part year effect and the full saving will not be achieved until 2020-21.
CYPE	Efficiency - other	One-off review of contract and project spend within Children, Young People and Education services	400.0	The Directorate is currently looking at short term options for compensating savings to meet the target for 2019-20.
			1,850.0	

Explanation of how this relates to the directorate forecast position reflected in the monitoring report:

The forecast for Children Young People and Education included in this report assumes that all of these amber savings will be delivered during 2019-20. The 2 red savings have been shown as overspends:

- the £83k shortfall in Duke of Edinburgh income contributes towards the Youth Services overspend;
- the £88k shortfall in emergency planning products forms part of the "Education Services & Planning Resources Management & Division Support key service line" variance. This overspend is currently being offset by higher than expected income generated by the academy conversions.

ASCH DIRECTORATE SYNOPSIS OF REMAINING RED AND AMBER SAVINGS

Directorate	Savings Category	Description	£k	Reason
RED SAVINGS				
ASCH	Efficiency (contracts & procurement)	Transition of Housing Related Support (HRS) services into Supporting Independence Service - Mental Health	443.0	Savings were achieved in 2018-19 by reviewing the old HRS contract. However, following the procurement exercise, the provider is now also charging a management fee to run this contract so is unable to provide 50 beds within the approved budget. Negotiations are still underway and it is anticipated that some savings will be achieved in the longer term in 2020-21 onwards, but it is not now anticipated to be the full £500k. Some savings of £57k have been achieved this year and rated as green.
			443.0	
AMBER SAVINGS				
ASCH	Efficiency - other	Review of project activity within adult social care	379.0	Total saving is £520k with £141k rated as green. The remaining £379k will hopefully be achieved from the commencement of some of the projects that are currently being scoped, and for which business cases are being pulled together. It is felt prudent to leave them as amber until the full analysis has been completed.
			379.0	

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Explanation of how this relates to the directorate forecast position reflected in the monitoring report:

The £443k of Housing Related Support Red Savings are not assumed to be achieved within the current forecast, but the £379k of amber project activity savings are assumed to still be achieved.

GET DIRECTORATE SYNOPSIS OF REMAINING RED AND AMBER SAVINGS

Directorate	Savings Category	Description	£k	Reason
RED SAVINGS				
GET	Efficiency (other)	Other minor efficiency savings	25.0	Reduction in Coroners travel/court fees as a result of phase 2 co-location project - a shift from co-location in Cantium to the wider Oakwood House development means that this saving will not be achievable in 2019-20.
			25.0	
AMBER SAVINGS				
GET	Income	Review of Charges for Service Users - existing service income streams & inflationary increases	14.0	Additional income delivered from KCC capital investment in lab space to expand toxicology services within Kent Scientific Services - the capital works have been undertaken but awaiting confirmation of contracts/income
GET	Efficiency - Contracts & Procurement	Other minor contracts and procurement savings	28.0	Review of new ways of working and capital investment within the Environment, Planning & Enforcement Division - awaiting final plan from outcomes group as to how all of this will be delivered. Part of a longer term strategy.
GET	Efficiency - Contracts & Procurement	Implementation of South West Kent Waste Partnership	271.0	Contract does not commence until November - all elements are in place & decision taken but is dependent on waste volumes and price (total 2019-20 saving is £406k with £135k rated as green), so still an Amber rating as uncertainty as to whether the full quantum can be achieved.
GET	Policy	Young Person's Travel Pass - Increase the charge for a full price pass to £350, and introduce a flexible payment scheme of 8 equal monthly instalments from August to March which includes an additional administration fee	80.0	The total 2019-20 saving is £1m, £920k rated as green & £80k as amber, and is made up of two parts: (i) £800k from increasing the price of the pass, now all rated as green. This was predicated on the sale of 20,000 full price passes. Pass numbers are now at a similar level to the prior year hence why all now rated green. (ii) £200k from passing on the admin fee for the flexible payment option, currently rated £120k green & £80k amber. This saving is predicated on 20,000 users taking up the flexible payments scheme (across both the Kent Saver and Kent Saver 16+ schemes). Take up has been less than modelled, and with fixed costs of setting up the payment scheme to cover, there will be a shortfall against this income target. The net combined budget reduction of £1m could still broadly be achieved from a mixture of income (£920k forecast to date), as well as from fixed price deals meaning that inflation costs were partially mitigated. Going forward, the costs of the scheme are intended to be lower than the current £200k budget as the online solution should provide efficiencies compared to the manual system currently in operation. There will still be a net shortfall which will need to be addressed in the MTFP pressures review.

Directorate	Savings Category	Description	£k	Reason
GET	Policy	Charging for Waste - estimated income from introducing charging for the disposal of soil, rubble, hardcore and plasterboard at KCC household waste and recycling centres (HWRCs)	500.0	<p>Of the £1m total saving, currently £500k is rated green & £500k amber pending further evaluation of the impact of the new policy on income and tonnage. This reflects a £100k shift from amber to green this month, as waste diverted to other disposal methods (skip hire, trade waste etc) has increased giving confidence that waste is being disposed of appropriately. The original £1m net saving was predicated on £1m of income from charging, £1m of reduced tonnage costs (mainly non-household waste but some household waste reduction also), offset by £1m of site staffing & infrastructure costs e.g. the added costs of operators. The final mix of income/reduced tonnage will determine whether the full £1m saving will be delivered in-year. Income is slightly lower than initially modelled but has been offset by a reduction in site staffing payments made. Tonnages have reduced significantly, which in turn releases capacity at HWRCs to help address future anticipated growth and potentially reduces the need for additional infrastructure in the near future. For Biffa-run sites, there has also been a significant reduction in tonnages (KCC do not have title to this waste and there is a fixed management fee). This contract is due for re-let in November 2020 . There is an expected market uplift but the reduction in tonnages could/should have a positive effect in reducing this uplift.</p> <p>A small reduction to household waste was included in the net £1m tonnage saving but a larger reduction has been experienced and this "additional saving" will be reflected in the draft 2020-21 budget as each year the budget is realigned accordingly to reflect actual waste levels.</p>
			893.0	

Explanation of how this relates to the directorate forecast position reflected in the monitoring report:

The red saving is declared as a pressure/overspend in the Public Protection key service line but all other savings are effectively being forecast to cash limit e.g. they are currently being reflected that the savings will be delivered in full, either as modelled or by linked savings. As the activity comes through for the waste tonnages/ charging and the Kent Saver pass applications/instalment options etc, the BRAG and monitoring position will be updated accordingly.

The £1m waste saving has been more than delivered overall as there has been a larger than expected reduction in household waste, but the £500k amber rating purely reflects the element of the £1m net saving as modelled, that cannot yet be confirmed, as we only have 2-3 months data available (the scheme only went live in the summer). Should any non-deliverability materialise, across all savings, alternative management action will be sought to cover off any potential shortfall/delay in delivery if the full impact will not be fully delivered until 2020-21.

S&CS DIRECTORATE SYNOPSIS OF REMAINING RED AND AMBER SAVINGS

Directorate	Savings Category	Description	£k	Reason
RED SAVINGS				
S&CS	Efficiency - Infrastructure	Existing savings plans arising from phase 2 of the rationalisation of the office estate - New Ways of Working	80.0	This saving relates to New Ways of Working which is all tied in with the asset utilisation savings within Corporate Landlord so is dependent on decisions being made regarding exiting buildings and/or generating income from rental opportunities. This saving is now rated red as plans to exit buildings and allow some specific short term rentals have been delayed, but as long as revised planned timings are met then this saving is expected to be fully delivered from 2020-21.
S&CS	Efficiency (staffing)	Staffing Restructures: Service re-design, integration of services and more efficient ways of working resulting in a reduction of staff and staff related costs	128.0	This saving relates to the review of provision of some Member services. It has now been confirmed that this saving is not deliverable through the original plans, however this is being covered off in 2019-20 by some other staffing changes and additional income for School appeals, which cannot be relied upon in future years.
			208.0	
AMBER SAVINGS				
			0.0	

Explanation of how this relates to the directorate forecast position reflected in the monitoring report:

The New Ways of Working Phase 2 is closely linked with the Asset Utilisation savings and are being run as one programme. The monitoring report is showing a £200k overspend which relates to the delay on exiting certain front-line properties dependent on public consultation. The £200k reflects the non-delivery in year of this £80k saving and a further £120k of savings brought forward from 2018-19.

The £128k relating to the staffing within Member services, is not being reflected in the monitoring report as management action has been taken to find mitigating in-year solutions by holding vacancies elsewhere in the Governance and Law Division and over-delivering on income from running school appeals.

FINANCING ITEMS & UNALLOCATED SYNOPSIS OF REMAINING RED AND AMBER SAVINGS

Directorate	Savings Category	Description	£k	Reason
RED SAVINGS				
			0.0	
AMBER SAVINGS				
FI&U	Transformation	Other minor savings to be achieved through transformation	500.0	This relates to savings resulting from HoldCo & other savings from outsourced companies. It is too soon to know whether the plans and efficiencies to be implemented by HoldCo will impact sufficiently on the dividends in the current financial year, as well as cover their costs, in order to deliver this saving. There is a risk that the full year saving will not be delivered in 2019-20.
FI&U	Income	Estimated increase in dividend from Cantium Business Solutions	195.2	Too early in the financial year to be confident that this will be delivered - depends on company performance throughout the year
FI&U	Financing	Increase draw-down from Kings Hill Reserve	993.0	No cash flow distribution was received in 2018-19 and a recent land sale has fallen through putting at risk a cash flow distribution in 2019-20 if this causes delays with land sales originally scheduled for December. There is insufficient funding in the reserve to cover the budgeted support to the 2019-20 budget, so the amount of the saving above the reserve balance is now shown as amber, pending confirmation of a cash flow distribution this year. To be prudent, the drawdown planned for 2020-21 has been removed from the draft 2020-21 budget and re-phased to 2021-22, but this will be reviewed in light of the most up to date intelligence prior to the draft budget being presented to County Council for approval in February.
FI&U	Efficiency - staffing	Workforce Productivity Programme - cashable and non-cashable savings to be achieved across all directorates from reviewing the use of consultants, agency staff, increased use of technology solutions, and managing staff sickness to enable the council to improve workforce productivity	1,750.0	We are still looking at reducing our reliance on consultants and agency staff but until detailed plans are agreed there is a risk that we will not achieve the full year saving in 2019-20 so some of this may move to red, but this is still to be quantified.
non cashable	Efficiency - staffing		500.0	Sickness absence is due to be reported to Personnel Committee in November which will indicate whether or not the level of absence is reducing and therefore whether this non cashable saving is being delivered and increasing capacity.
			3,938.2	

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Explanation of how this relates to the directorate forecast position reflected in the monitoring report:

The forecast for Financing Items included in this report assumes that all of these amber savings will be delivered during 2019-20.

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Monitoring of Revenue Reserves 2019-20 – half year position

1. Following the quarterly review of reserves, the table below shows the projected impact of the current forecast spend and activity for 2019-20 on our revenue reserves.

Account	Balance at 31/3/19	Projected balance at 31/3/20	Movement
	£m	£m	£m
General Fund balance	37.1	37.1	0.0
Earmarked Reserves	185.5	160.1	-25.4
Surplus on Trading Accounts	0.9	0.9	0.0
School Reserves	26.9	8.2	-18.7

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.
- Earmarked Reserves reflect the transfers agreed in the May and August Cabinet reports.

Details of the reasons for the movement in schools' reserves are provided in section 4.6 of the main report.

The reserves do not reflect the impact of the forecast overspend. If the position is still in overspend at year end this would be funded from reserves, with any underspend being transferred to appropriate reserves as determined by Cabinet.

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2019-20 MONITORING OF PRUDENTIAL INDICATORS AS AT 30 SEPTEMBER 2019**Prudential Indicator 1 : Estimates of Capital Expenditure**

	2018-19 Actuals £m	2019-20 Budget £m	2019-20 Forecast at 30.09.2019 £m
TOTAL	189.762	392.599	311.779

Prudential Indicator 2: Estimate of Capital Financing Requirement (CFR)

	31.03.2019 Actual £m	31.03.2020 Budget £m	2019-20 Forecast at 30.09.2019 £m
TOTAL CFR	1,284.51	1,363.98	1,317.32

Prudential Indicator 3: Gross Debt and the Capital Financing Requirement

	31.03.2019 Actual £m	31.03.2020 Budget £m	2019-20 Position at 30.09.2019
Other Long-term Liabilities	263.00	263.00	255.00
External Borrowing	911.10	949.40	889.99
Total Debt	1,174.10	1,212.40	1,144.99
Capital Financing Requirement	1,284.51	1,363.98	1,317.32
Internal Borrowing	110.41	151.58	172.33

Prudential Indicator 4 : Authorised Limit and Operation Boundary for External Debt

	2018-19 Limit £m	2019-20 Limit £m	2019-20 Position at 30.09.2019 £m
Authorised Limit - borrowing	1,003	1,013	890
Authorised Limit - PFI and leases	271	263	255
Authorised Limit - total external debt	1,274	1,276	1,145
Operational Boundary - borrowing	1,038	988	890
Operational Boundary - PFI and leases	271	263	263
Operation Boundary - total external debt	1,309	1,251	1,153

Prudential Indicator 5: Proportion of Finance Costs to Net Revenue Stream

	2018-19 Actual	2019-20 Budget	2019-20 Position at 30.09.2019
Proportion of net revenue stream	11.80%	11.30%	12.65%

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From: Roger Gough – Leader of the Council
David Cockburn – Corporate Director, Strategic and Corporate Services

To: Cabinet - 2 December 2019

Decision No: n/a

Subject: **Quarterly Performance Report, Quarter 2, 2019/20**

Classification: Unrestricted

Summary: The purpose of the Quarterly Performance Report (QPR) is to inform Cabinet about the key areas of performance for the authority. This report presents performance to the end of September 2019 (Quarter 2 2019/20)

Of the 35 Key Performance Indicators (KPIs) contained within the QPR, 28 achieved target (Green) 5 achieved and exceeded the floor standard however not the target to achieve Green (Amber). 2 KPIs did not meet the floor standard (Red)

Recommendation(s):

Cabinet is asked to NOTE the Quarter 2 Performance Report.

1. Introduction

- 1.1. The Quarterly Performance Report (QPR) is a key mechanism within the Performance Management Framework for the Council. The report for Quarter 2, 2019/20 is attached at Appendix 1
- 1.2. The QPR includes 35 Key Performance Indicators (KPIs) where results are assessed against Targets and Floor Standards agreed by Cabinet Members at the start of the financial year.

2. Quarter 2 Performance Report

- 2.1. Results for KPIs compared to Target are assessed using a Red/Amber/Green (RAG) status.
- 2.2. Of the 35 KPIs included in the report, the latest RAG status are as follows:
 - 28 are rated Green - target was achieved or exceeded
 - 5 are rated Amber - Performance achieved or exceeded the expected floor standard but did not meet the target for Green
 - 2 are rated Red - Performance did not meet the expected floor standard
- 2.3. During the quarter, 13 indicators had improved results, 12 had no change and 10 showed a fall in performance.

2.4. The 2 indicators where the RAG rating is Red, are:

- Children, Young People and Education
 - Percentage of 16-18 year olds who start an apprenticeship
 - Percentage of Education, Health and Care Plans (EHCPs) issued within 20 weeks

3. Recommendation(s)

Recommendation(s):

Cabinet is asked to NOTE the Quarter 2 Performance Report.

4. Contact details

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Kent County Council

Quarterly Performance Report

Quarter 2

2019/20

Produced by: KCC Strategic Commissioning – Performance and Analytics
E-mail: performance@kent.gov.uk
Phone: 03000 415501



Key to KPI Ratings used

This report includes 35 Key Performance Indicators (KPIs), where progress is assessed against Targets which are set at the start of the financial. Progress against Target is assessed by RAG (Red/Amber/Green) ratings. Progress is also assessed in terms of Direction of Travel (DoT) through use of arrows.

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

*Floor Standards are the minimum performance expected 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 activity is expected 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

28 of the 35 indicators are rated as Green, on or ahead of target and is an increase of 4 indicators on the previous quarter. 5 indicators reached and exceeded the floor standard (Amber) with 2 indicators not achieving the floor standard (Red). 13 indicators were improving, with 10 showing a decline in performance.

	G	A	R	↑	↔	↓
Customer Services	3				3	
Economic Development & Communities	2			1	1	
Environment and Transport	6			4	1	1
Children, Young People and Education	7	5	2	3	5	6
Adult Social Care	5			3		2
Public Health	5			2	2	1
TOTAL	28	5	2	13	12	10

Customer Services - Satisfaction with Contact Point advisors, the percentage of phone calls answered, and the percentage of complaints responded to within timescale all achieved target. The volume of complaints has increased on the previous quarter, largely relating to the new system for travel passes. Phone call volumes continue to reduce with 5% fewer calls compared to the same time period last year.

Economic Development & Communities – The No Use Empty programme, which returns long term empty domestic properties into active use, continues to perform ahead of target. The full amount of Developer Contributions sought was received for the second quarter running and continue to remain above target levels. Library visits and issues were within expectations in the quarter. Economic indicators are mostly performing better than national average. Housing delivery in the county continues to be around 7,000 new dwellings a year.

Environment and Transport – All the KPIs achieved target. Pothole repairs completed and emergency incidents attended within timescales both improved, moving back above the targets and were RAG rated Green. Routine repairs and customers satisfied with work undertaken maintained previous performance and were above target. Customer enquiries raised for action and work in progress are both at the lower end of expected levels for the time of year. Waste recycled or converted to energy continues to meet the increased target. Greenhouse Gas emissions continue to reduce.

Education and Wider Early Help – State funded schools which are rated Good or Outstanding continue to remain above the target at 91% with Early Years settings meeting the target at 98%. Provisional data for apprenticeship starts for 16 to 18 year olds is at a similar level to last year and remains below the floor standard. Completion of Education, Health and Care Plans (EHCPs) in timescale remains below the revised floor standard and target of 40%. The percentage within timescales has decreased in the 12 months to September 2019 to 28% from 33% in the 12 months to June 2019. The target was revised in line with the Written Statement of Action, which seeks to address the low performance. Permanent pupil exclusions and first-time entrants to the Youth Justice System both remain ahead of target.

Children's Integrated Services - Cases closed with outcomes achieved by Early Help Units remains below target with a decrease on the previous quarter. Higher numbers of families declining support at the start of the case or disengaging during support continue to be the contributory factors. Repeat referrals to children's social care, and foster care placements with in-house fostering or relatives and friends, did not improve and remain below target and RAG rated Amber. The percentage of Care Leavers in education or employment remains below the target and has decreased on the previous quarter. Indicators on the percentage of case holding posts filled by permanent social workers, the average number of days for adoption, and the percentage of children in care with 3 or more placements, met or exceeded the targets and were RAG rated Green. The number of care leavers, and other local authority children in care placed in Kent increased further to their highest levels for several years.

Adult Social Care – All the KPIs achieved target. Contacts resolved at first point of contact continues to improve and is now at 80% against a target of 70%. The number of new clients referred to enablement and the number of clients who remain independent after an enablement service, continue to exceed target. The number of admissions to residential and nursing care reduced further ahead of target and in the 12 months to September 2019 stood at 1,654. The proportion of people experiencing a delay in transfer of care from hospital where the council is responsible increased to 25% but remain below target, and total delays including where the NHS is responsible, reduced but Kent remains higher than the national average.

Public Health – The number of NHS Health Checks completed over the last 12 months increased to move above target and is now RAG Rated Green. Both Indicators on clients offered appointments to GUM services to be seen within 48 hours and Live Well Kent clients who would recommend the service delivered 100%. The number of universal checks delivered by the Health Visiting service remains above the target of 65,000, however this service is being monitored due to the ongoing downward trend. Data for successful completions of drug and alcohol treatment is a quarter behind, with the target having been met in June.

Customer Services	
Cabinet Member	Shellina Prendergast
Corporate Director	Amanda Beer

KPI Summary	GREEN	AMBER	RED	↑	↔	↓
	3					3

Customer contact through Contact Point (KCC's call centre) is provided by the strategic partnership with Agilisys. Digital services are provided by KCC. Satisfaction with Contact Point advisors remained high in the quarter and met target. Performance for the percentage of calls answered by Contact Point remained above target.

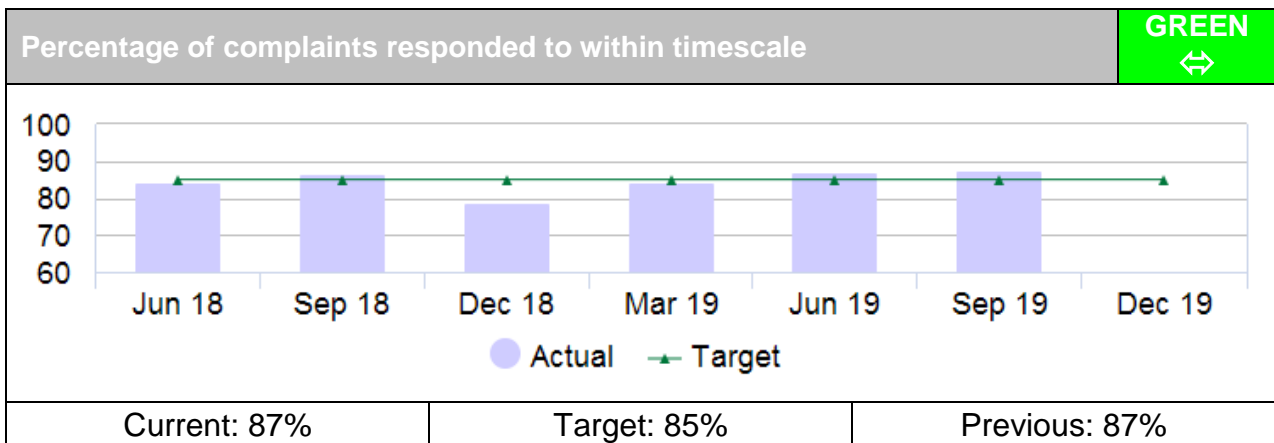
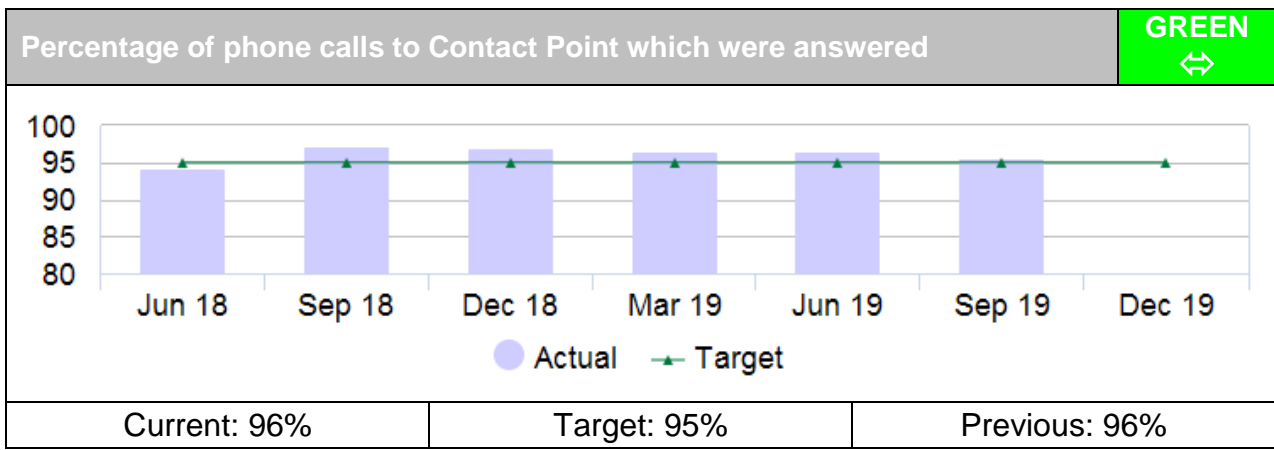
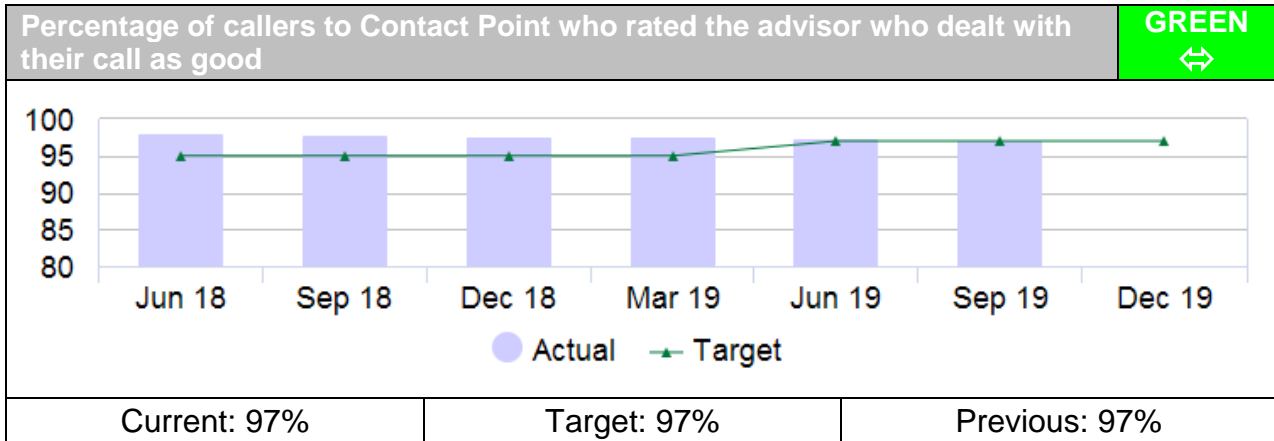
Complaints responded to in timescale equalled the previous quarter's performance following management action to address response times. 87% of complaints were responded to within 20 working days. The top reason for delays were due to the complexity of the cases received.

Complaints to the council continue to increase in comparison with the previous quarter, and numbers remain higher over the last 12 months compared to the previous 12 months. The increase may reflect how all services are now using the central feedback system, which more accurately captures complaints. Improvements have also been made to make it easier for customers to give feedback. Increases were experienced for Highways, Transportation and Waste Management (HTW) and largely relates to the introduction of a new system for travel passes.

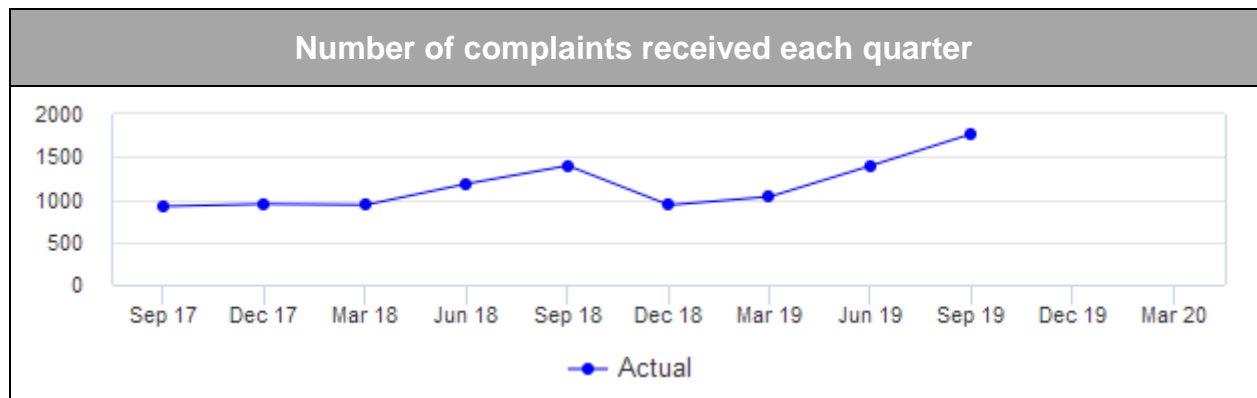
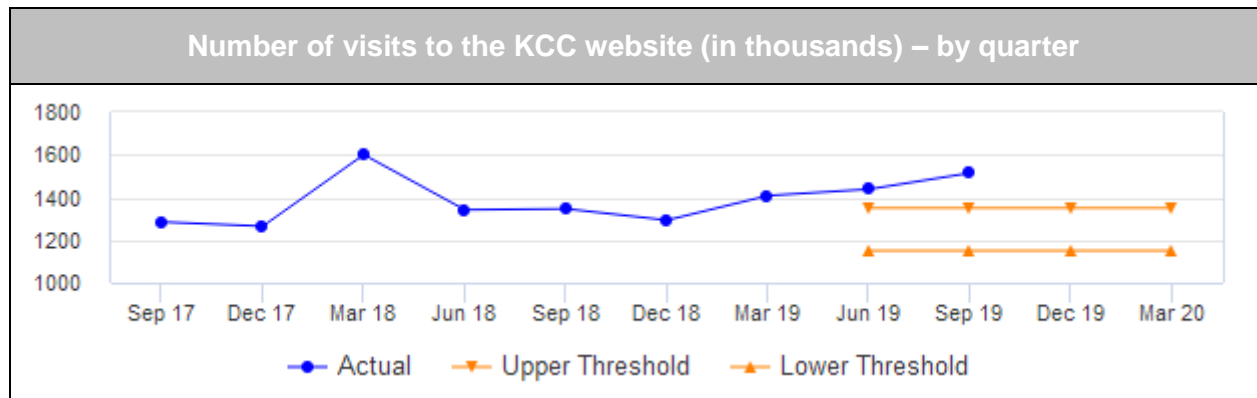
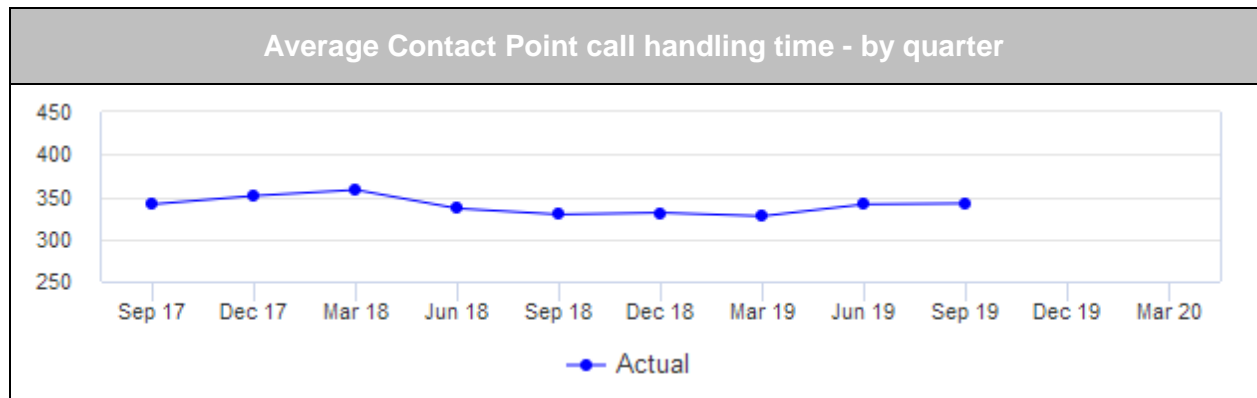
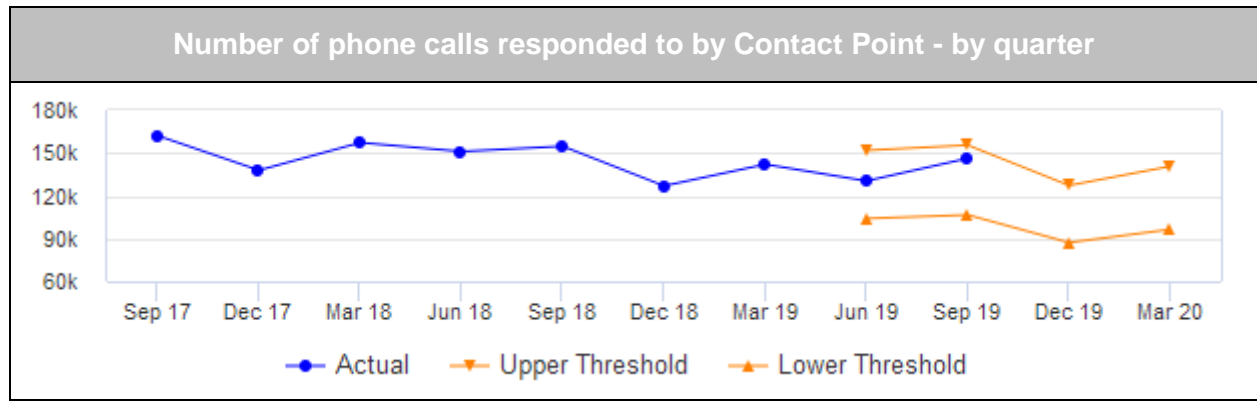
Overall call volumes handled by Contact Point in Quarter 2 were 5% lower than the same period last year, with 10% fewer calls handled in the last 12 months compared to the previous year. Average call time increased to 5 minutes 42 seconds, partly due to an increased number of longer calls following changes to the Kent Travel Pass.

Visits to the KCC website were above expectations with significantly higher traffic to the school transport pages (driven by the relaunch of the Kent Travel Saver), jobs and careers section as well as a general increased use of digital by the public.

Key Performance Indicators



Activity indicators



Customer Services – Call Activity

Number of phone calls to Contact Point (thousands)

Contact Point dealt with 12% more calls than the previous quarter, with an increase in calls relating to the Kent Travel Saver for young people. However, despite this, there were 5% fewer calls in total than for the same period last year. The 12 months to September 2019 saw 10% fewer calls responded to than in the 12 months to September 2018.

Service area	Oct-Dec	Jan-Mar	Apr - Jun	Jul - Sep	Yr to Sep 19	Yr to Sep 18
Adult Social Care	26	28	31	31	116	127
Specialist Children's Services	21	22	20	20	84	91
Transport Services	7	8	8	20	43	41
Highways	16	19	17	18	71	85
Blue Badges	12	16	11	13	52	49
Libraries and Archives	8	8	7	10	33	41
Schools and Early Years	9	9	7	7	32	43
Registrations	8	8	8	6	20	22
Adult Education	5	5	5	6	30	34
Speed Awareness	5	5	5	5	20	23
General	3	3	4	4	14	14
Waste and Recycling	3	3	3	3	13	12
KSAS*	2	2	1	2	8	7
Other Services	2	3	2	1	8	13
Total Calls (thousands)	127	140	130	146	543	601

* 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.

Customer Services – Complaints monitoring

The number of complaints received in the quarter were 27% higher than the previous quarter and 29% higher than the corresponding quarter last year. Over the last 12 months there has been a 11% increase compared to the previous year

The increase in HTW complaints largely relate to introduction of a new system for travel passes. Over the last 12 months HTW have been working towards decreasing the volume of complaints relating to staff behaviour.

Service	12 mths to Sept 18	12 mths to Sept 19	Quarter to Jun 19	Quarter to Sept 19
Highways, Transportation and Waste Management	2,168	2,760	774	1,089
Adult Social Services	706	852	206	245
Specialist Children's Services	503	492	144	144
Education & Young People's Services	369	342	121	106
Libraries, Registrations and Archives	487	370	79	93
Strategic and Corporate Services	181	145	38	40
Environment, Planning and Enforcement & Economic Development	112	95	22	41
Adult Education	92	86	11	12
Total Complaints	4,618	5,142	1,396	1,770

Customer Services – Digital Take-up

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

Transaction type	Online Oct 18 - Dec 18	Online Jan 19 - Mar 19	Online Apr 19 - Jun 19	Online Jul 19 - Sep 19	Total Transactions Last 12 Months
Renew a library book*	76%	77%	77%	77%	1,289,941
Report a Highways Fault	49%	54%	49%	48%	95,371
Apply for a Young Person's Travel Saver	83%	90%	83%	72%	37,441
Book a Speed Awareness Course	79%	78%	77%	76%	36,502
Apply for or renew a Blue Badge	61%	55%	60%	68%	32,229
Book a Birth Registration appointment	76%	77%	75%	76%	18,236
Apply for a Concessionary Bus Pass	29%	31%	36%	38%	11,120
Report a Public Right of Way Fault	66%	67%	68%	69%	6,265
Highways Licence applications	78%	82%	83%	84%	6,217
Apply for a HWRC recycling voucher	96%	98%	96%	96%	4,227

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

Economic Development & Communities	
Cabinet Members	Mike Whiting, Mike Hill
Corporate Director	Barbara Cooper

KPI Summary	GREEN	AMBER	RED	↑	↔	↓
	2			1	1	

Support for business

Kent's Regional Growth Fund (RGF) programme closed to new applications in 2016, however these investments have continued to create employment opportunities. In the period September 2017 to September 2019, a further 342 new jobs have been created and a further 3 safeguarded from previous RGF investments. The Kent and Medway Business Fund (KMBF) has so far committed £7.1 million to 57 businesses in Kent and Medway, to create 77 jobs and safeguard a further 41 jobs. A £5 million funding round opened in June 2019, with a further £704,000 committed to date.

The South East Local Enterprise Partnership (SELEP) funded Innovation Investment Loan scheme, managed by KCC over the period 2015-2018, has so far committed £6.2 million to 19 businesses in Kent and Medway, creating 76 jobs and safeguarding a further 38 jobs, making a total of 114 jobs to the end of March 2019.

Converting derelict buildings for new housing

In the 3 months to September, 138 long term empty properties were made fit for occupation through the No Use Empty (NUE) Programme, bringing the total to 6,185 modernised since the programme began in 2005. Total NUE investment currently stands at £61 million (£31 million from KCC recycled loans and £30 million from public/private sector leverage).

NUE projects were filmed in September for inclusion in a forthcoming BBC programme on Empty Homes.

NUE was awarded an additional £1 million from the Government's Growing Place Fund (2018) to bring empty commercial space back into use as mixed commercial and residential accommodation. A total of 13 projects are co-funded which will yield 17 commercial units and create 33 new residential units within coastal towns.

Infrastructure

Between 2015/16 and 2020/21, £18m of grant funding is being allocated to infrastructure projects in Kent by SELEP. In addition, £18.8m of loan funding (Growing Places and I3 Innovation Investment) is being allocated to KCC for projects that will deliver new jobs, homes and skills.

Broadband

Kent's Broadband Delivery UK (BDUK) project has now brought faster broadband to over 138,250 properties which would otherwise have had no or slow broadband connectivity. The project has now been extended and Openreach were contracted in July 2019 to deliver full fibre (fibre-to-the-premise) connections to over 5,000 rural homes and businesses in Kent that currently have a poor broadband service. The planning work for these new connections has now started and the infrastructure build will commence in early 2020.

KCC are piloting a new Kent Broadband Voucher that will top up the Government's Rural Gigabit Voucher Scheme. This means that homeowners, who apply as part of a group of two or more, can get broadband connection vouchers worth up to £2,500 instead of the standard £1,500 available elsewhere in the country. The pilot was launched in September and is the first top-up voucher for the national Rural Gigabit Voucher Scheme.

Funding Infrastructure

KCC has a statutory right to seek financial contributions for capital investment from developers of new housing sites. In the 3 months to September 2019, 22 Section 106 agreements were completed and a total of £1.3 million was secured, as outlined in the table below.

s.106 contributions secured £000s	Oct to Dec 2018	Jan to Mar 2019	Apr to Jun 2019	Jul to Sep 2019
Primary Education	4,545	1,380	2,568	840
Secondary Education	3,928	682	1,800	424
Adult Social Care	80	53	58	10
Libraries	156	94	175	31
Community Learning	44	18	48	34
Youth & Community	18	11	40	1
Total	8,772	2,237	4,688	1,341
Secured as % of Amount Sought	99%	99%	100%	100%

Kent Film Office

The film office handled 167 filming requests and 76 related enquiries. 162 filming days were logged bringing an estimated £1.7 million direct spend into Kent. Productions included TV dramas for Netflix, Universal, ITV, and the BBC, with commercials for Burberry, French Connection, Ford Fiesta, Vogue Italia and Facebook

The Film Office supported 6 work experience candidates and facilitated 1 student placement on visiting productions.

Libraries, Registration and Archives (LRA)

Following the public consultation on the LRA Strategy and the subsequent public engagement on opening hours, this quarter saw the service complete the front-line staffing restructure. As a result of the careful management of vacancies this was achieved without the need for any compulsory redundancies. Timetabling of staff at all service points for the new opening hours was completed ready for the implementation in September. The service has now been able to advertise any held vacancies which will give better cover in service points. Customers have been kept informed of the changes to hours at each library, with posters and leaflets and through social media.

At the end of the quarter, Folkestone library closed for two weeks to enable internal decoration following water damage earlier in the year. Tunbridge Wells library is now preparing to close from 14th October to in order to move to temporary premises in the Royal Victoria Place shopping mall. During the closure, stock and ICT are being moved and installed in the new location. The library will be here for 2 years whilst

major works are completed to the current building to create The Amelia at The Amelia Scott.

Library visits and issues were within expectations. The online offer continues to expand with consistent growth in all e-issues. Growth in E-books continues at around 20-24% when compared to the previous year. E-newspapers also continue to grow with a 68% increase on the same quarter last year and e-magazines saw a rise of 15%. Overall issues of the e-offer have increased by 37% compared to the same period last year.

Online contacts are fewer than anticipated with less activity than expected on social media and via webpages, and the number of Archive enquiries received has been lower than anticipated.

Over 19,000 children participated in the Summer Reading Challenge, an increase of 12% on last year.

Celebratory staff officiated at almost 2,500 marriages, civil partnerships, and citizenship ceremonies during the summer months.

The new Archives service offer of workshops, talks and a conference were attended by approximately 160 customers, feedback received was positive and future sessions are being planned.

Community Safety

The Kent Community Safety Team (KCST) is currently managing 15 domestic homicide reviews (DHRs) that are at various stages of the process including one new DHR that was commissioned in July.

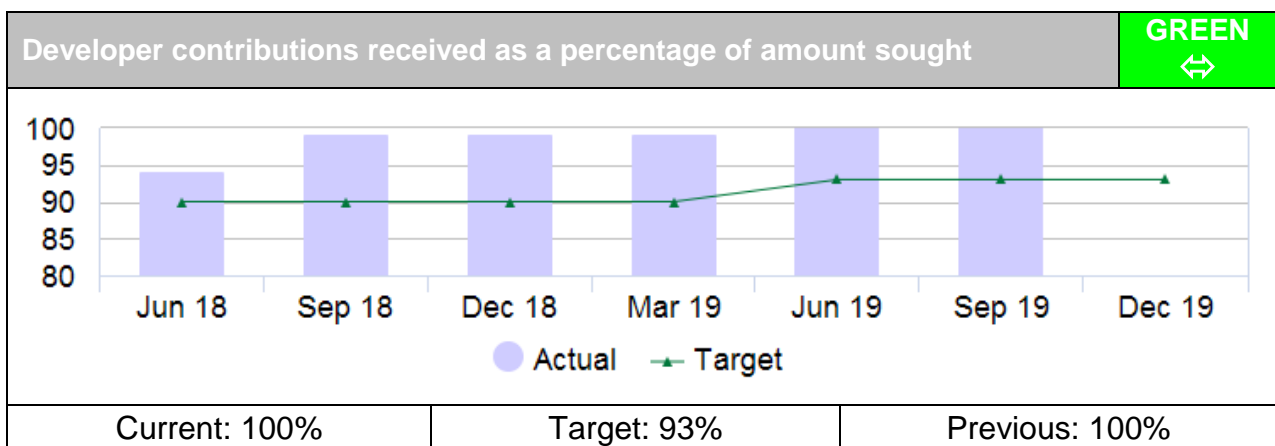
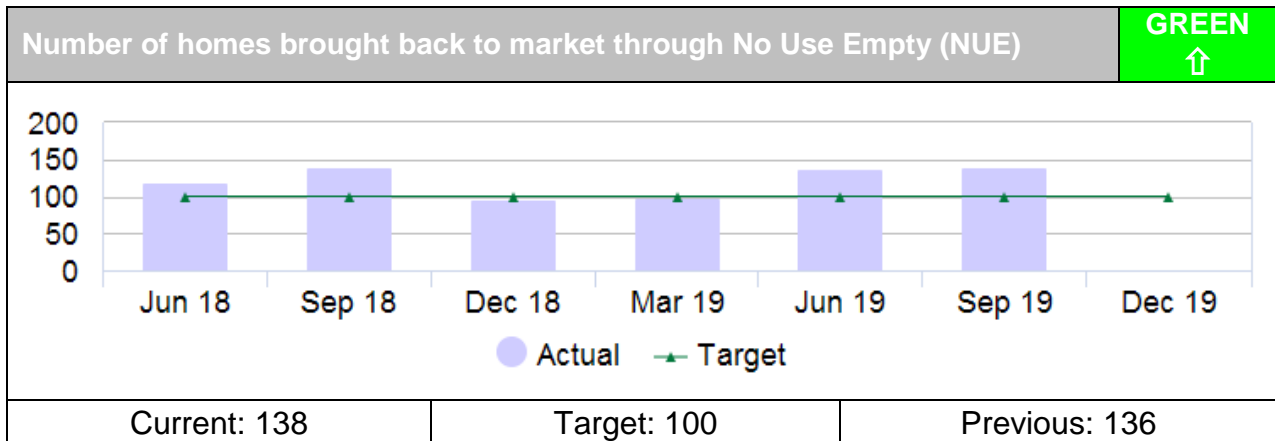
The KCST also delivered a Community Safety Information Sessions (CSIS) in July for staff from partner agencies with a safeguarding theme and included presentations on loneliness, self-neglect policy, contextual safeguarding, suicide prevention and some service updates from Young Addaction and Health Watch Kent.

Explore Kent

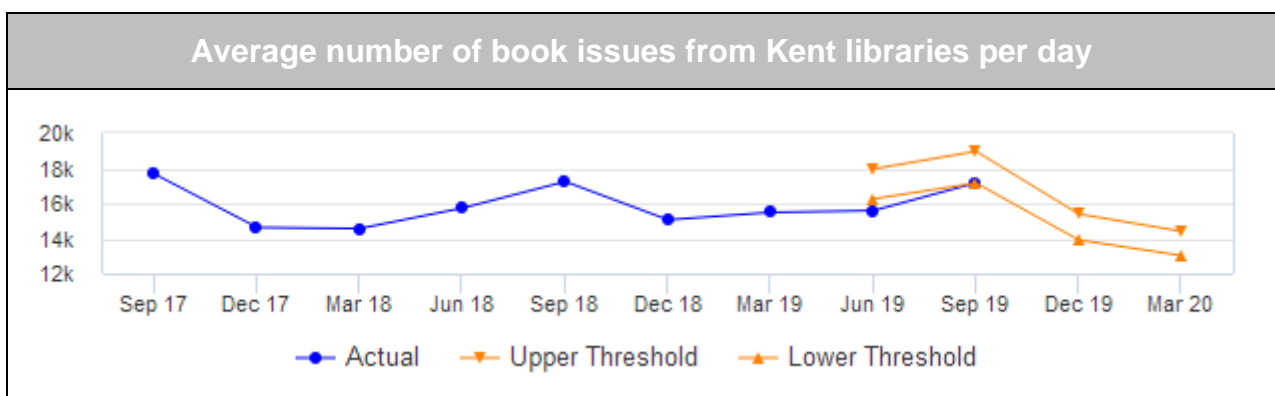
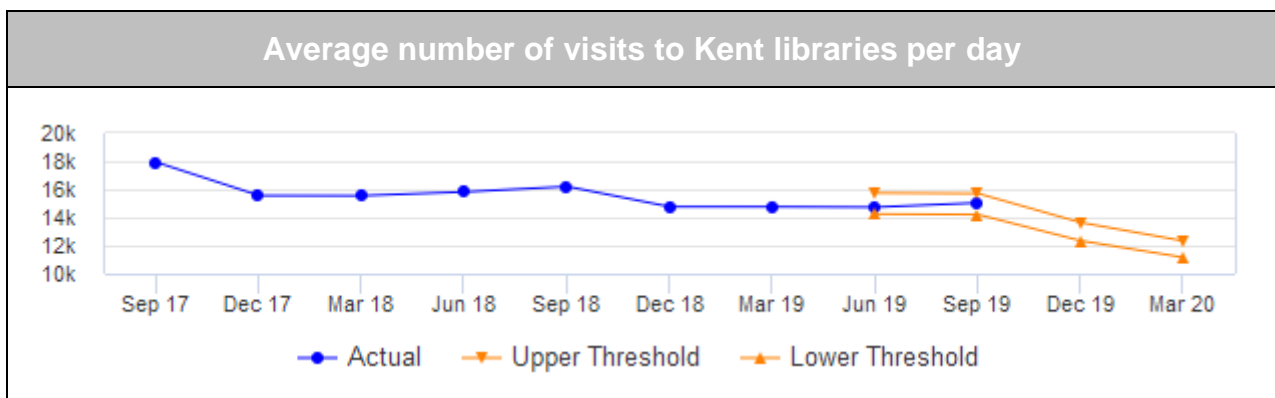
The Transport Innovation Team commissioned Explore Kent (EK) to produce three new town walking and cycling maps for the Isle of Sheppey, Tonbridge and Folkestone, showing routes for both recreational and daily journeys without using the car. These guides will be distributed to libraries and doctors' surgeries and will also be promoted digitally.

During 2019, the EK Team delivered a marketing campaign for the national Year of Green Action, encouraging people to protect and enhance the natural and built environment in Kent. In September, the campaign was noted by DEFRA as showing good practice.

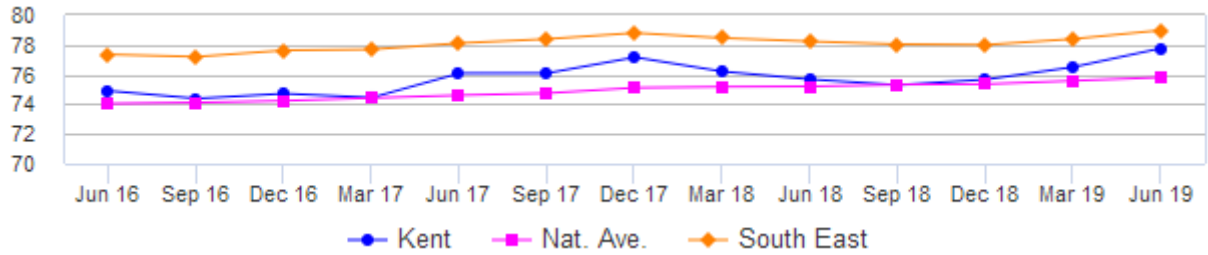
Key Performance Indicators



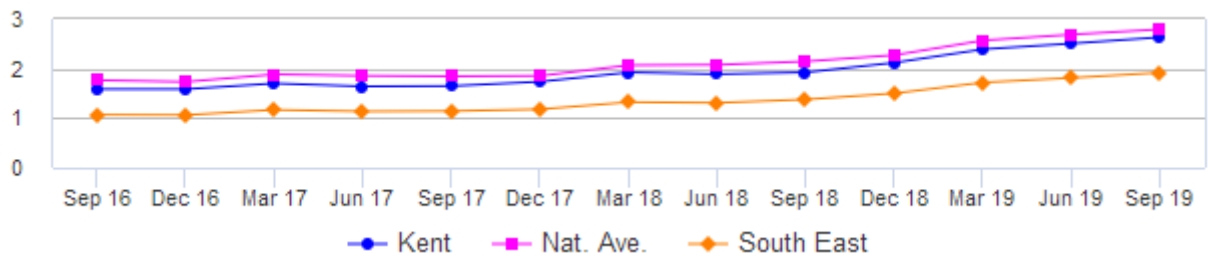
Activity indicators



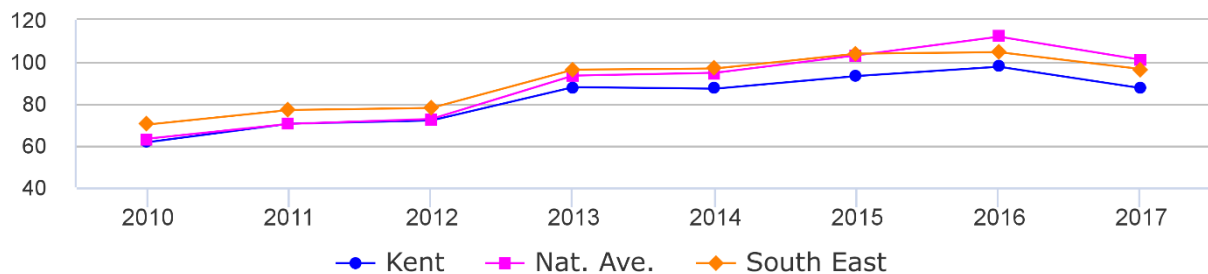
Percentage of population aged 16 to 64 in employment
(from the Annual Population Survey)



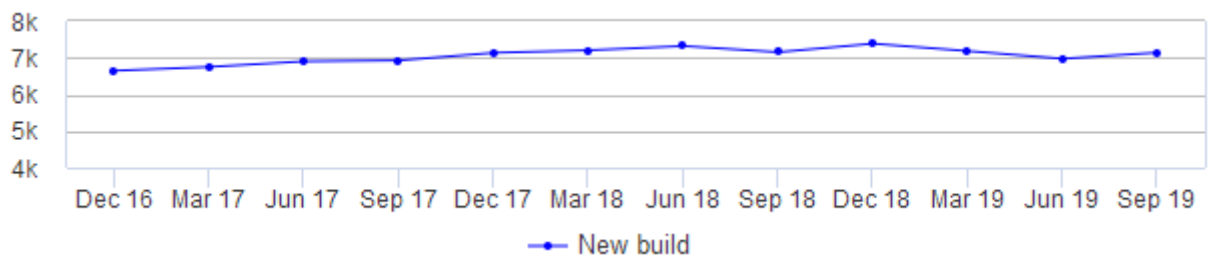
Percentage of population aged 16 to 64 claiming unemployment benefits



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



New dwelling completions based on energy certificates issued
(rolling 12-month totals)



Environment and Transport	
Cabinet Members	Michael Payne, Susan Carey
Corporate Director	Barbara Cooper

KPI Summary	GREEN	AMBER	RED	↑	↔	↓
	6			4	1	1

Highways

Performance for the quarter was above target for all KPIs. New enquiries and faults raised for action by customers was at the lower end of seasonal demand at 20,729 compared to 21,708 for the same time last year. Open customer enquiries (work in progress) is now at 5,440, again at the lower end of seasonal trend and lower than the 7,411 at the same time last year. So far this quarter over 59,000 streetworks requests for permits to work on Kent highways have been processed, with 100% responded to on time.

A commitment of £250,000 to reduce the level of fly tipping in Kent has been confirmed, building on the close work already undertaken with district and borough councils, and Kent Police to tackle this crime. The funding will assist district and borough councils to undertake further enforcement, improve communications between all partners involved and aims to better inform both householders and businesses of their obligations and responsibilities relating to waste disposal.

Work continues with partners on a wide range of actions preparing for Brexit, and preparations are well underway for winter and the seasonal increase in demand on services during the wet and cold weather.

Casualty Reduction

Casualty data up to end of June 2019 has been finalised and compared to the same period in 2018 (January to June) people Killed or Seriously Injured is up by 6%, but within these fatalities are down by 10%. Total casualties are down by 10%.

Road safety education programmes continue to be delivered and activity engagements which include Road Safety Club to primary school children, young driver education, and mature driver courses across the county. Additional activities for speeding and powered two wheeled vehicles have also taken place, in joint working projects with road safety partners at Kent Police and Kent Fire and Rescue.

Crash Remedial Measures & Local Transport Plan Scheme Planning and Delivery

Delivery of the 2019/20 Crash Remedial Measures (CRM) and Local Transport Plan (LTP) programme is now well underway, as is the annual analysis of the previous year's cluster sites. This has identified over 140 sites around the County where there are patterns of crashes resulting in personal injury. A detailed accident investigation is carried out looking at causation factors and seeks to identify engineering schemes that will mitigate these identified risks. Kent is undertaking pioneering studies in "risk rating" the Major Route Network to look at wider factors on specific routes, a project which will continue to develop in the future.

Journey time reliability/Congestion Strategy

A programme of schemes within the Local Growth Fund to improve the reliability of localised journey times continues to be delivered. Areas of less reliable journey times

are identified and assessed to determine if improvements can be engineered. Several projects are currently being progressed as is work on those that have received additional funding. Work continues with stakeholders to understand longer-term transport impacts, such as the effect of the strategic network on local roads and how the networks can operate better. On one such project, the A2/M2 Connected Corridor, KCC have recently been part of tests to assess the electronic transfer of traffic sign information into moving vehicles. This multinational project could assist in providing better driver information and reducing the amount of infrastructure across the road network.

The Kent Travel Saver Direct Debit instalments process has been implemented, allowing customers to make 8 monthly payments between August 2019 and March 2020. This has proved to be a significant IT challenge, with staff working hard to ensure passes were sent out as quickly as possible and are looking at ways to improve the process for next year.

Local Growth Fund Transport Capital Projects

Through the South East Local Enterprise Partnership (SELEP) the Service is looking after £116.6 million of Government funding from rounds 1, 2 and 3 of the Local Growth Fund (LGF) allocated for 25 Transport projects within Kent. The LGF money contributes to the projects with the total capital expenditure being £275 million.

Thanet Parkway is the only scheme currently rated as red. Although the business case for the original £10m allocation plus a further £4m from the LGF3B process was approved by the Accountability Board in April 2019, the Governance for Railway Investment Projects (GRIP 4) costing is £10m over the estimate reported in the business case. This is mainly due to a revised specification and estimate for the level crossing improvements. A report is being taken to the SELEP Accountability Board on 15th November.

The Sturry Link Road scheme is experiencing delays with planning approvals for the two main developments and the S106 agreements for the developer contributions to the link road cannot be signed until planning is approved. Planning has been submitted for the link road, however this has also been delayed due to responses to the planning application raising several issues that required additional ecological surveys. A report will be taken to SELEP Accountability Board on 15th November 2019 to update them on progress and request that the LGF allocation for the scheme is retained.

The table below shows the overall position for projects in the programme with eight now complete.

	Year					Total
	2015/16	2016/17	2017/18	2018/19	2019/20	
Total Scheme Value (£m)	50.4	71.5	55.29	6.9	90.7	274.79
LGF funds (£m)	33	28.8	45	4.2	5.6	116.6
No. of Projects	12	5	6	1	1	25
No. Complete	4	2	1	1		8
Green (on track)	3	1	2		1	7
Amber (some delays)	5	2	2			9
Red (at risk)			1			1

Waste Management

Residual waste converted to energy is on target at 50%. Household Waste Recycling Centres (HWRCs) have performed below target, possibly due to reductions in soil, rubble, hardcore and plasterboard. District Collection Authorities are making modest increases in recycling rates, just above trend for the first two quarters of the year.

The Refuse Derived Fuel (RDF) European plants are in the season close down, which has impacted on waste going to landfill, despite this additional pressure, waste to landfill remains low at under 2%. The new energy from waste plant at Kemsley is in its commissioning phase, and now due to be operational from November 2019. It is anticipated that this is where Kent's bulky waste will be converted to energy in future.

Recycling at HWRCs has reduced from 72% to 65% between June to August, this is due to waste minimisation rather than poor performance and directly correlates with KCC's new charging policy for non-household waste. District/Borough recycling volumes are currently reported as 45% which is lower than the seasonal norm. The combined recycling target for the Kent Resource Partnership is 50%, with achievement currently just under this figure due to tonnage reduction at the HWRCs as overall volumes decrease.

Despite the introduction of charges for soil, rubble and hardcore, fly tipping has not increased across the County at this stage, whilst skip permits have increased by 45% and there has been a modest increase of trade waste taken by KCC waste transfer stations.

The waste budget was set at 730,000 tonnes for the year, with forecast tonnage now at 701,000 due to further reductions in residual, garden waste, soil, rubble and hardcore. This is in-line with neighbouring County Authorities who have adopted this policy change.

Sustainable Business and Communities

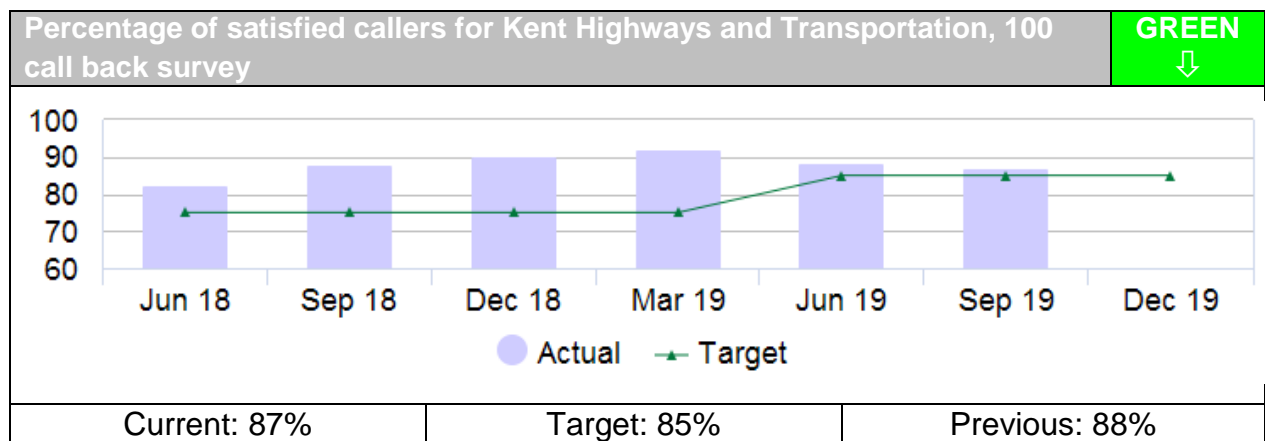
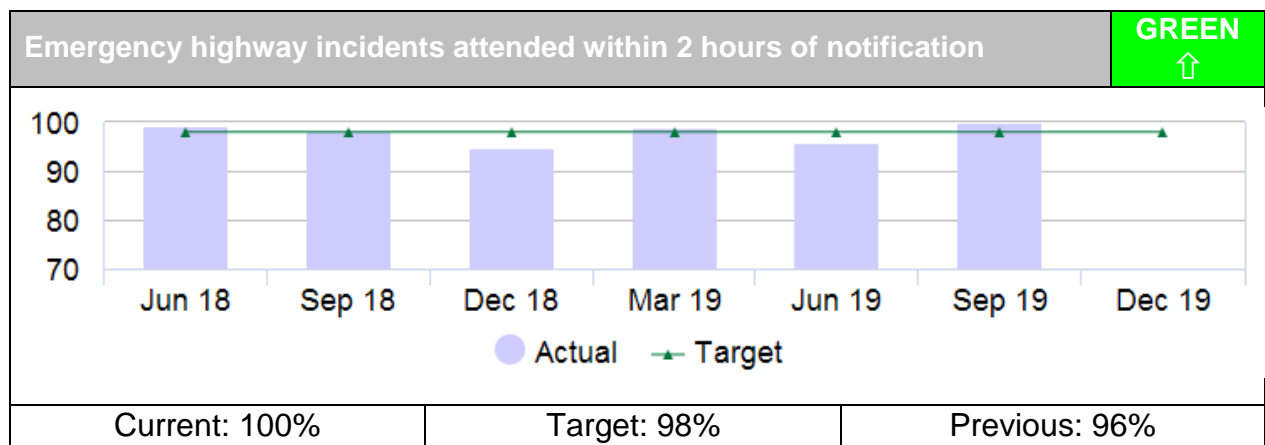
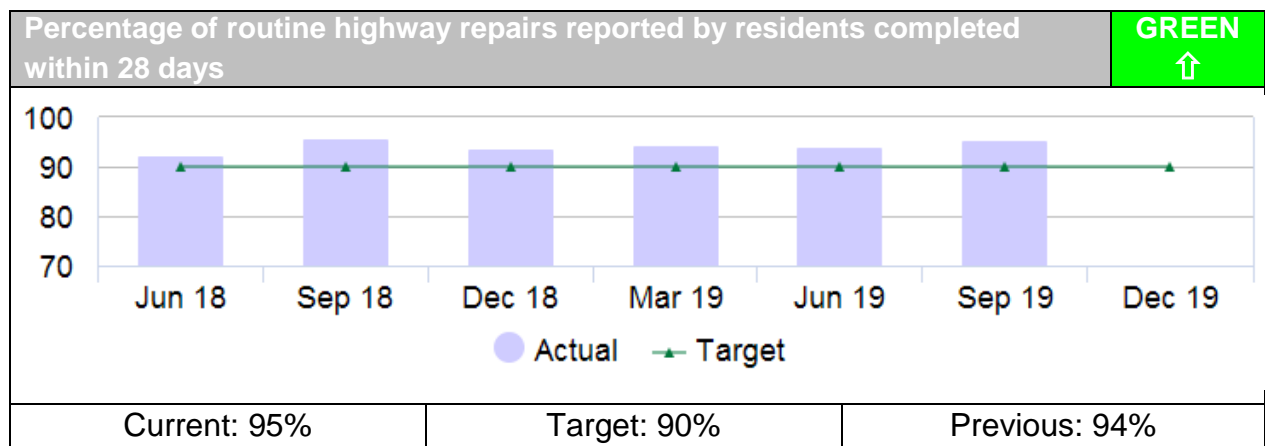
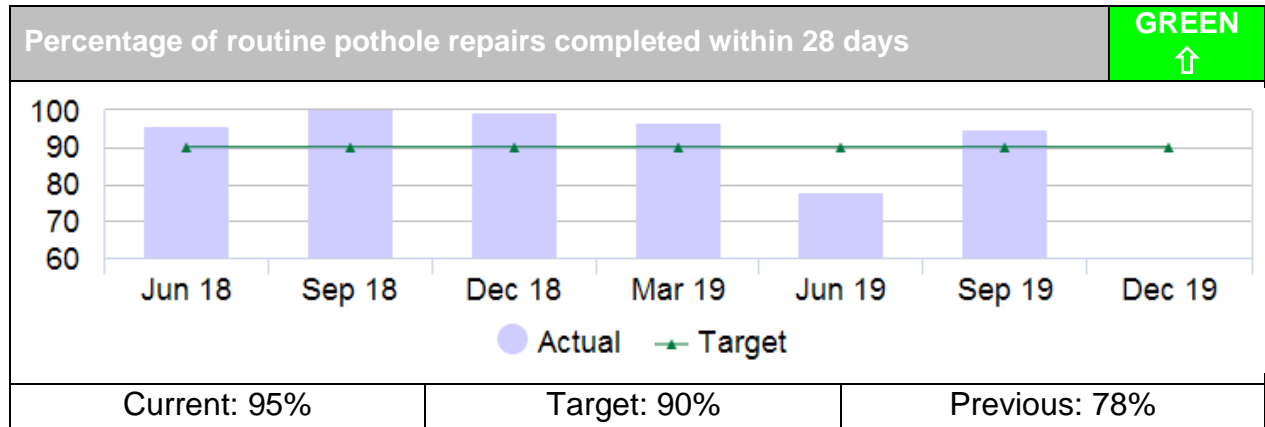
KCC Estate Greenhouse Gas emissions have now exceeded the five-year target of 32%, two years early. The LED street lighting programme delivered the most significant reductions, with strong reductions from other highways improvements, a rationalisation of KCC buildings, and energy efficiency projects. It is proposed that the target is revised to achieve 38% reduction by March 2021. This is based on achieving per annum reductions of 4% from corporate buildings and 3% from business travel up to March 2021. It assumes no further electricity reductions from streetlighting now that the LED upgrade is complete.

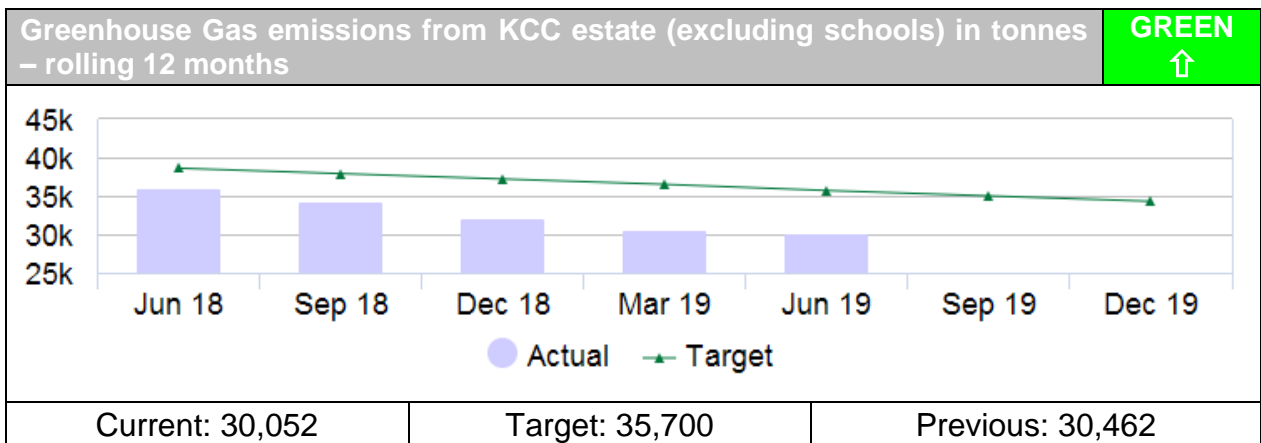
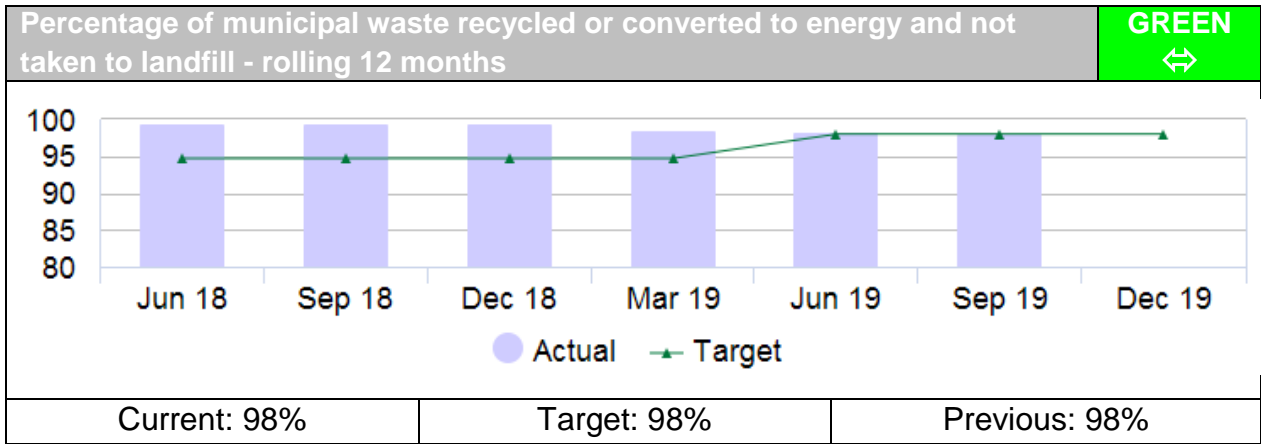
The Kent and Medway Energy and Low Emissions Strategy was out for public consultation from 2nd July to the 23rd September, following consideration at the Environment & Transport Cabinet Committee in May 2019.

Kent Biodiversity Strategy

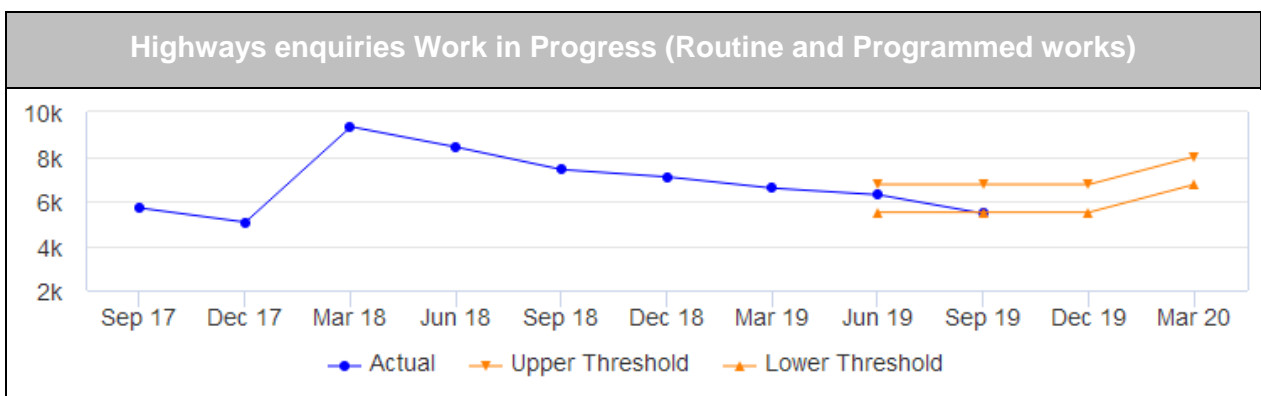
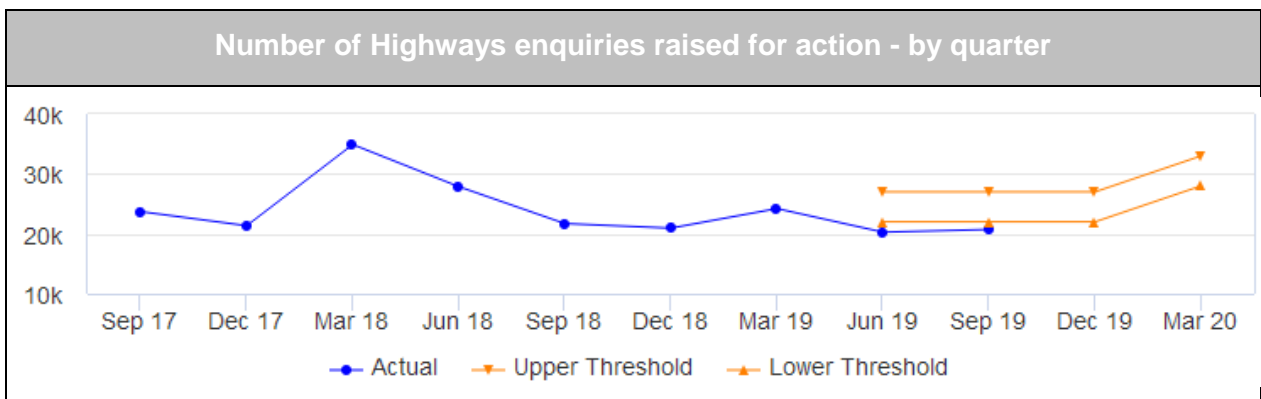
The public consultation for the Kent Nature Partnership's Kent Biodiversity Strategy concluded at the end of August, with 144 responses. The majority agreed with the Strategy's 25-year mission and that it is responding to the correct drivers and challenges; however, the consultation also received feedback that further work could be done to strengthen the goal of connecting people with natural environment and provide more focus on the urban environment. Work will now focus on responding to the consultation responses in finalising the Strategy for early 2020 and developing the associated implementation plan by spring 2020.

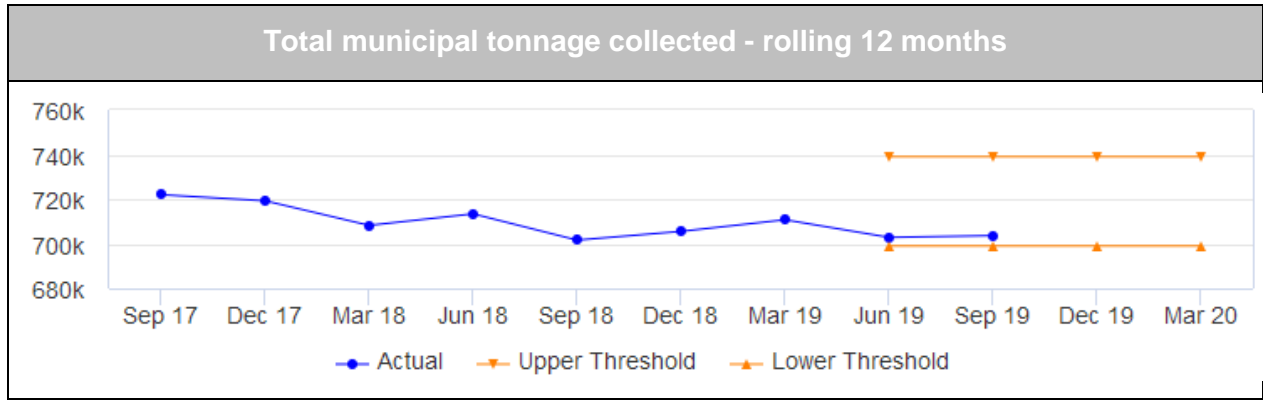
Key Performance Indicators





Activity indicators





Children, Young People and Education	
Cabinet Member	Sue Chandler
Corporate Director	Matt Dunkley

KPI Summary	GREEN	AMBER	RED	↑	↔	↓
	7	5	2	3	5	6

Schools

Results for Primary school attainment outcomes in summer 2019 were above the national average at all key stages. In the Early Years Foundation Stage 74.0% of children attending a school in Kent achieved a good level of development compared to the national figure of 71.8%. In Key Stage 2, 67.7% of pupils achieved the expected standard in reading, writing and maths compared to the national figure of 64.8%. The 2019 GCSE Attainment 8 Score per pupil was 47.2 which is 0.5 above national (for state funded schools).

At the end of the August, 91% of schools in Kent (527 of the 580) were Good or Outstanding based on the most recent Ofsted inspection compared to the national figure of 86%. The percentage of Primary schools judged as Good or Outstanding at 92% compares favourably to the national of 88%. 86% of Secondary schools were judged to be Good or Outstanding compared to 76% nationally. The percentage for Special schools at 92% equalled the national position. The new Education Inspection Framework (EIF) came into effect in September 2019. Schools will now be inspected under new criteria. The four-point grading scale remains unchanged.

The Education People (TEP) are continuing to work closely with all maintained schools to secure ongoing improvements including commissioned support from academy trusts. The Service is committed to maintaining and increasing the proportion of schools with a judgement of Good or Outstanding and is monitoring the implementation of the new inspection framework. Robust challenge and support continues to be provided to those requiring improvement in order to secure a good judgement as quickly as possible.

Early Years

The percentage of Early Years settings which were rated Good or Outstanding was equal to the target of 98%. With the introduction of the new Ofsted EIF, Ofsted has advised the likelihood of a 40% reduction in settings achieving an Outstanding judgement.

The take-up for the free childcare entitlement for eligible two years olds at the end of August was 60.5%. In September it was 47% but this will increase as the term progresses.

Skills and Employability

The number of young people who are Not in Education, Employment or Training (NEET) is not reported for September due to 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 December to February, shows Kent to be 2.8%. Comparative national data is not yet available for 2018/19 but the previous year the national figure was 2.7% compared to Kent's 2.6%.

Apprenticeship starts for all ages at the end of December 2019 shows a positive increase of around 12% across Kent compared to the same period the previous year. However, the number of apprenticeships starts for 16 to 24 years is down by 2%. The number of level 2 apprentice starts continue to decrease due to a reduction in availability of the different types of apprenticeship standards or frameworks. Only a small number of level 2 standards have been developed. The number of level 3 and higher apprenticeships has increased. Through the Apprenticeship Action Plan, apprenticeships are promoted throughout Kent to raise awareness and increase the number of opportunities available. The service continues to host events with schools and colleges to promote the benefits of apprenticeships across Kent.

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 28% (555 out of 2,002). The percentage within timescales remains low and is being addressed in the EHCP workstream of the Written Statement of Action which provides more realistic targets in line with national and local constraints. The target of 90% has been revised to 40%.

Wider Early Help

There were 41 permanent school exclusions in the last 12 months, 10 fewer than the same period last year. Of these, 15 were from primary schools and 26 from secondary schools. At 0.02% of the school population this is better than the target and the latest published national average of 0.10%.

The number of first-time entrants to the Youth Justice system at 184 in the last 12 months was well below the target of 290, with numbers continuing to reduce each year.

Early Help

At the end of September 2019 there were 2,182 cases open to Early Help units, which provided support for 4,748 children and young people under the age of 18 (including unborn). The percentage of Early Help cases closed with outcomes achieved reduced from 73.5% to 71.3%, which is below the target of 75.0%. The number of families declining support at first contact, and those disengaging from support at a later stage in the pathway, are being reviewed.

Children's Social Work - Staffing and Caseloads

The overall caseload for children's social work has decreased in the quarter. At the end of September 2019, the total caseload was 10,526 children and young people, compared with 10,817 at the end of June 2019. This equates to a rate of 313 per 10,000 children (0-17) in Kent and remains below the latest national published rates (341 per 10,000) and Kent's statistical neighbours (345 per 10,000).

There were 5,445 referrals to children's social care in the quarter, a reduction from the 5,698 referrals received in Quarter 1. This decrease can largely be attributed to a seasonal and anticipated trend in the reduction of referral numbers from Schools. The rate of re-referrals within 12 months increased from 26.5% at the end of June 2019 to 27.2% at the end of September 2019 and remains above the target of 25.0%.

As at 30th September 2019 there were 1,420 children subject to a child protection plan, an increase of 37 from the end of the previous quarter. The rate per 10,000 children (aged 0-17) was 42, which remains below the last published rate for England, which was 58 as at 31st March 2018.

The percentage of case-holding social worker posts held by permanent qualified social workers has increased to 90.0% which is at its highest level since reporting on this indicator commenced. This increase is a result of the number of newly qualified social workers who commenced their employment with children's social work teams in September 2019. The percentage of social work posts filled by agency staff was 11.9% at the end of the quarter, an increase from 10.2% in June 2019.

At 20 cases, the average caseload for Social Workers in children's social work teams remains above the target level of 18. This has improved, decreasing from an average of 22.8 cases at the end of the previous quarter.

Children in Care

The number of citizen children in care increased over the last quarter to 1,400. The number of unaccompanied asylum seeker children (UASC) in care increased by 80 in the quarter to 367. The number of children in care placed in Kent by other local authorities (OLA) also continued to increase to 1,416 (the accuracy of this information is reliant upon information provided by the placing local authorities).

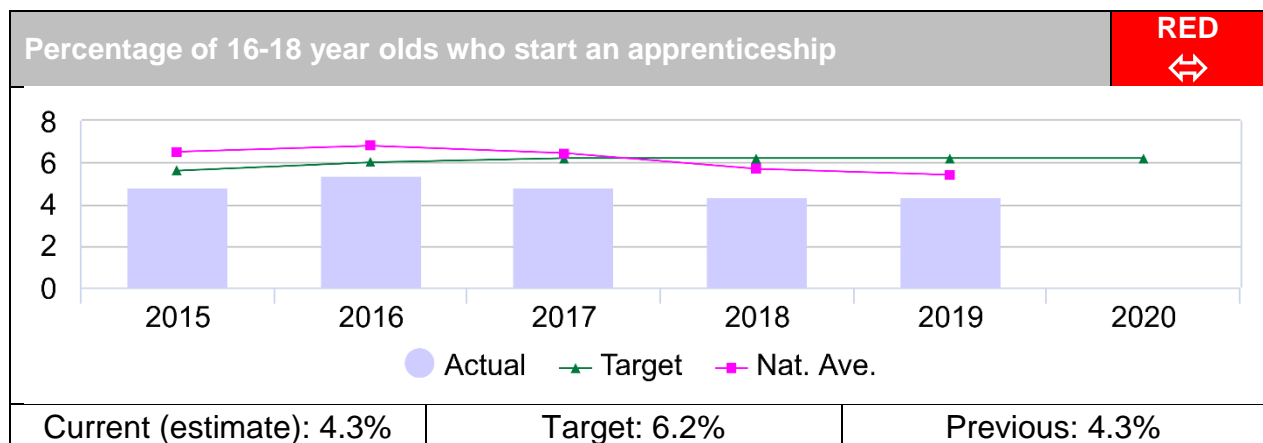
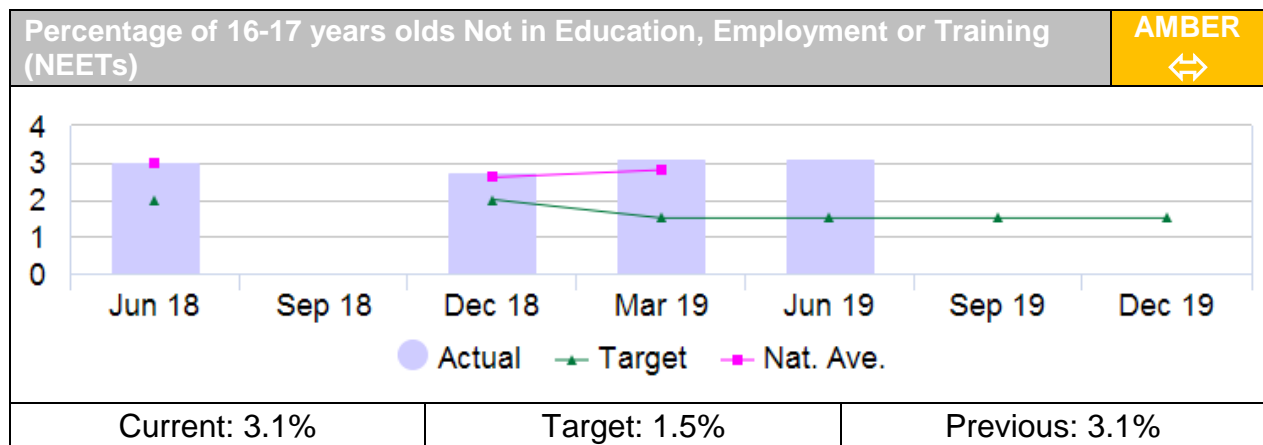
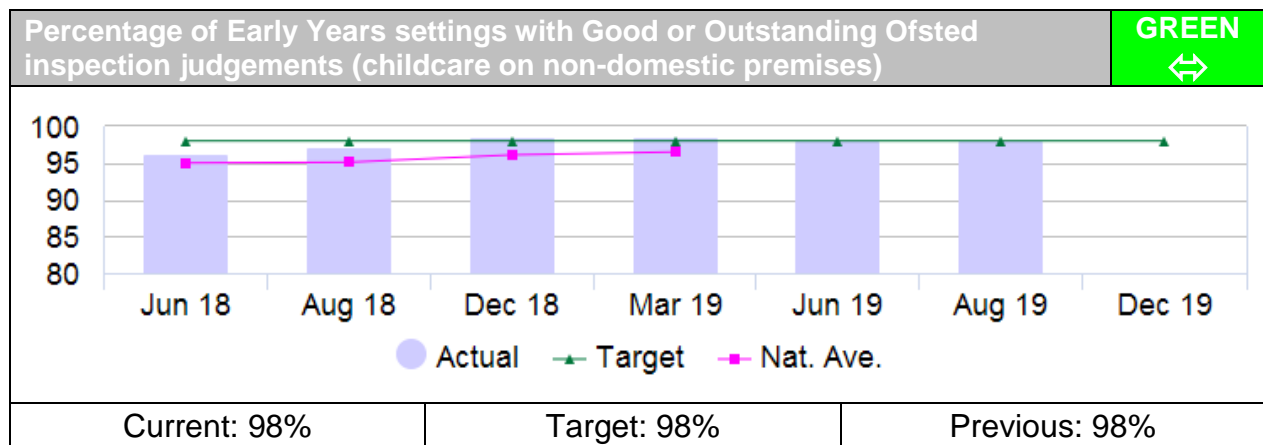
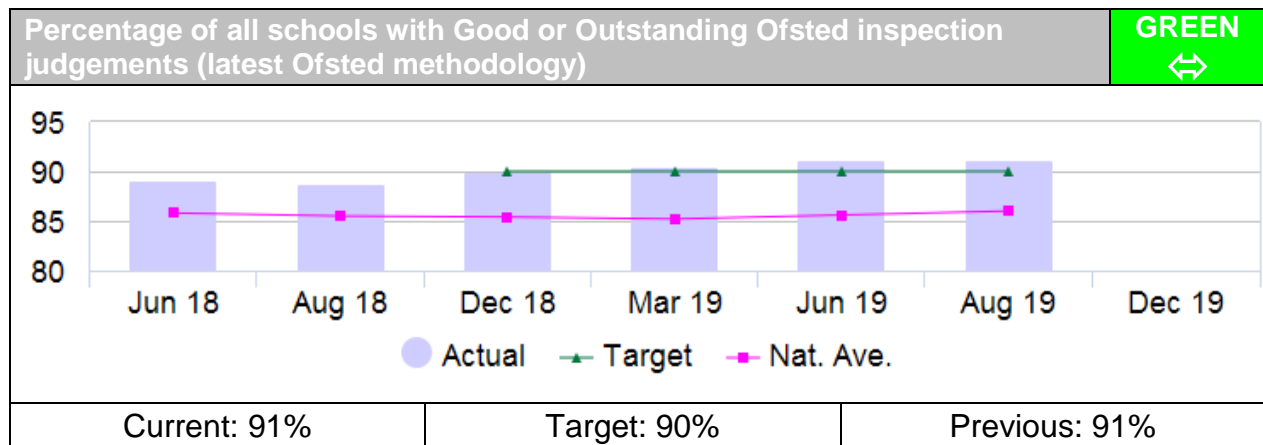
The percentage of Kent children placed in KCC in-house foster care or with family/friends has fallen slightly in the quarter to 80.4% and remains below the 85.0% target. Performance against placement stability of 3 or more placements in a 12-month period has continued to improve and at 9.6% has exceeded the target, achieving the best performance against this measure since August 2015.

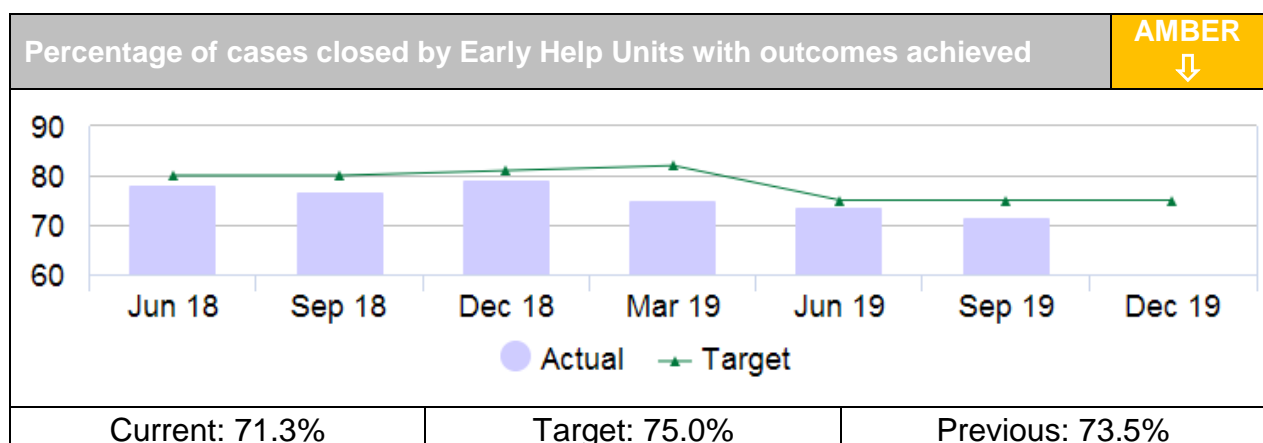
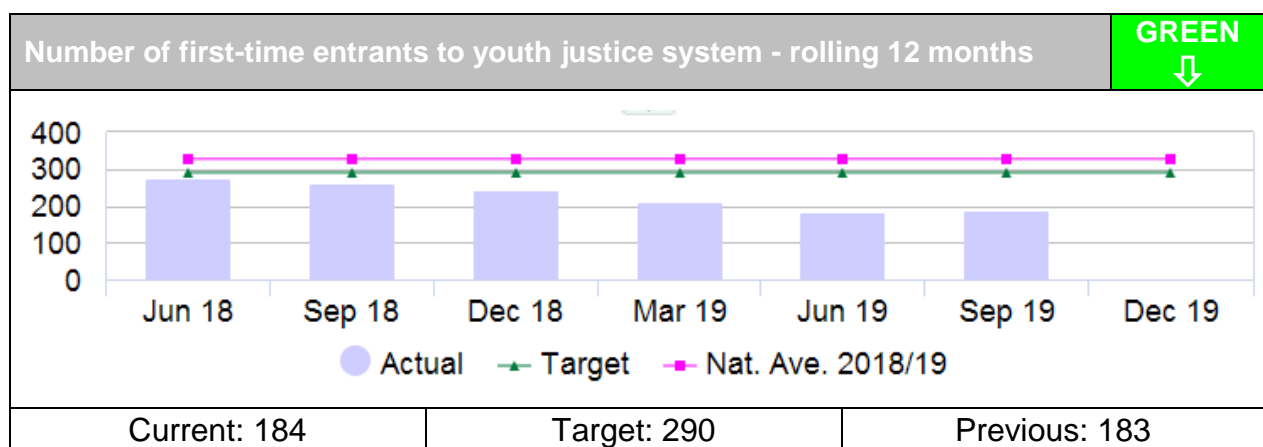
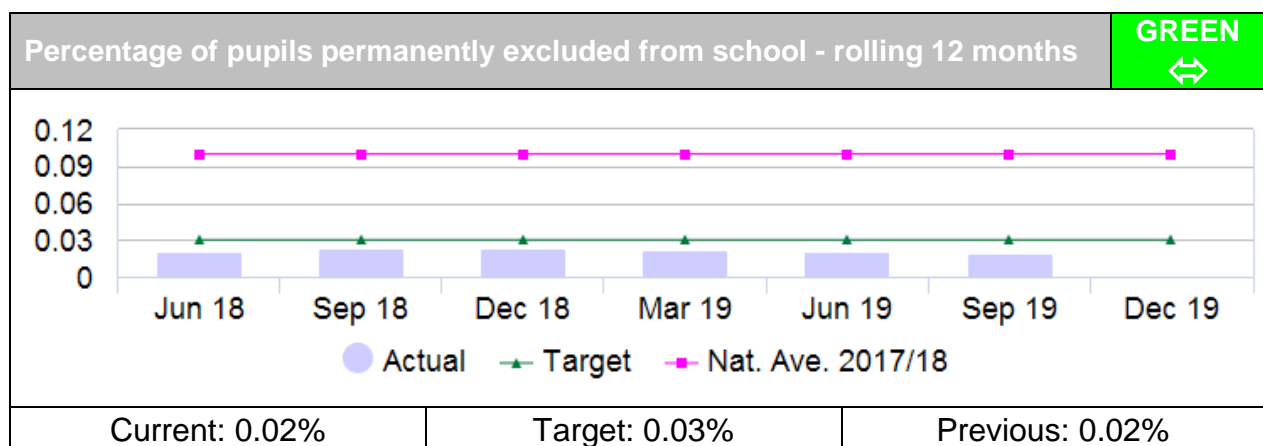
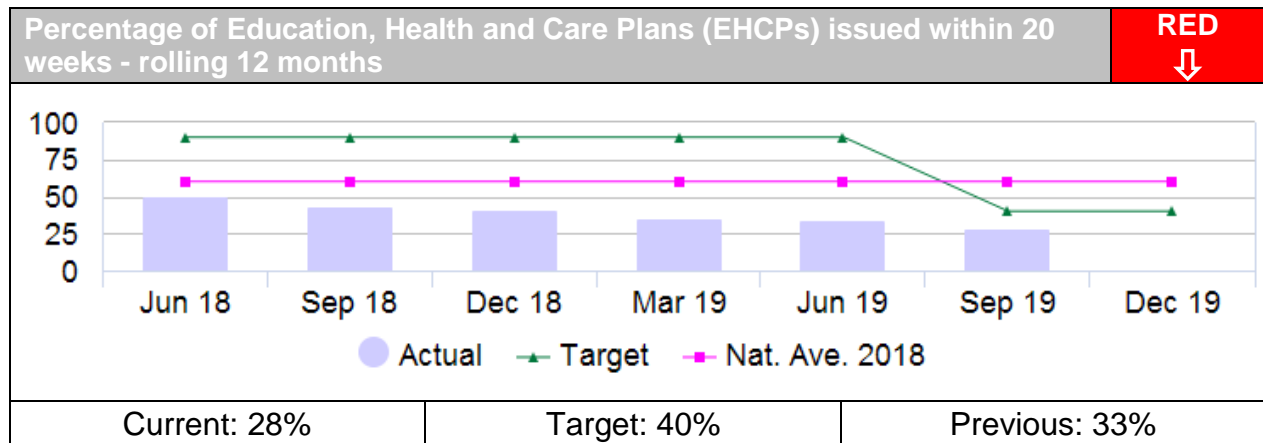
For children who were adopted in the last 12 months the average number of days between coming into care and moving in with their adoptive family continues to outperform the nationally set target of 426 days. The average number of days for Kent children at the end of September 2019 was 349.

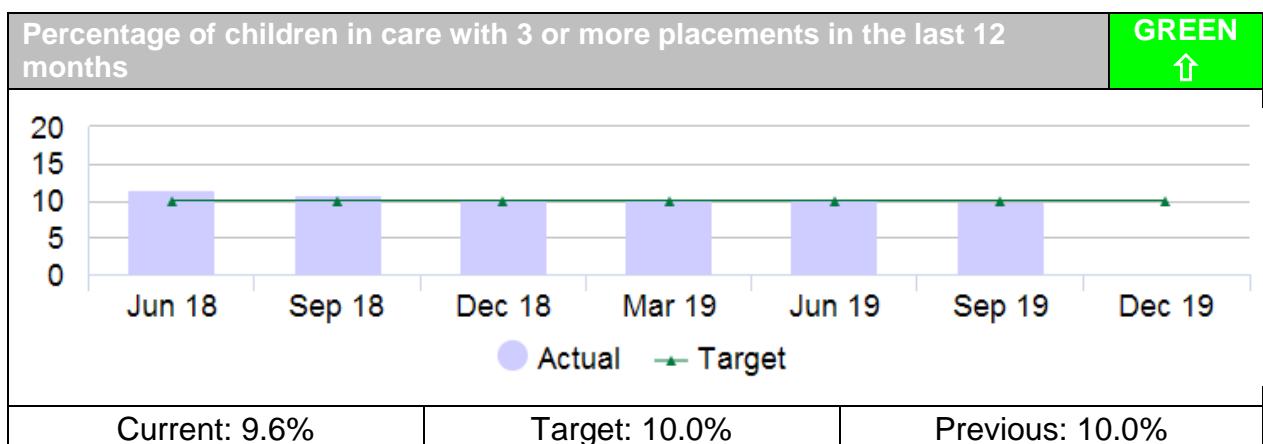
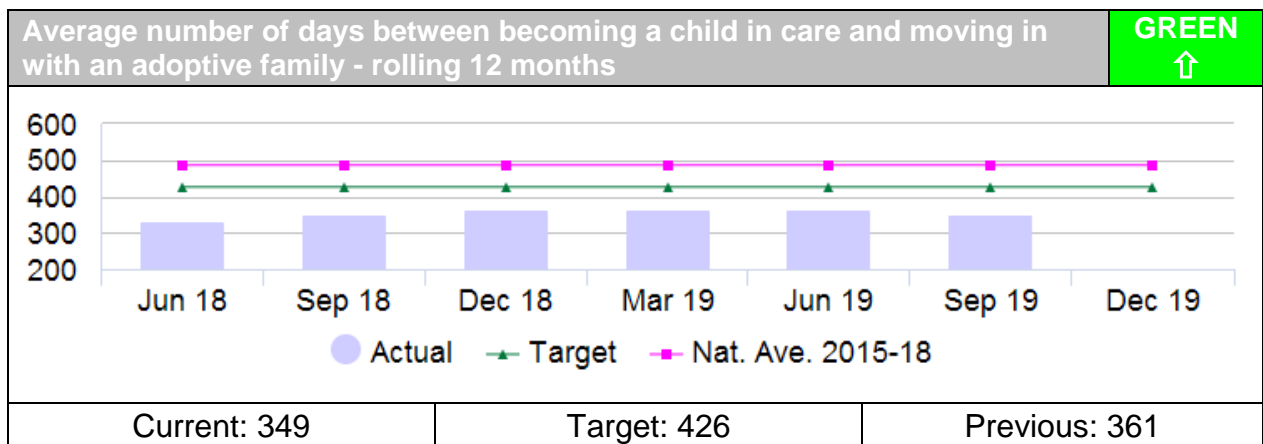
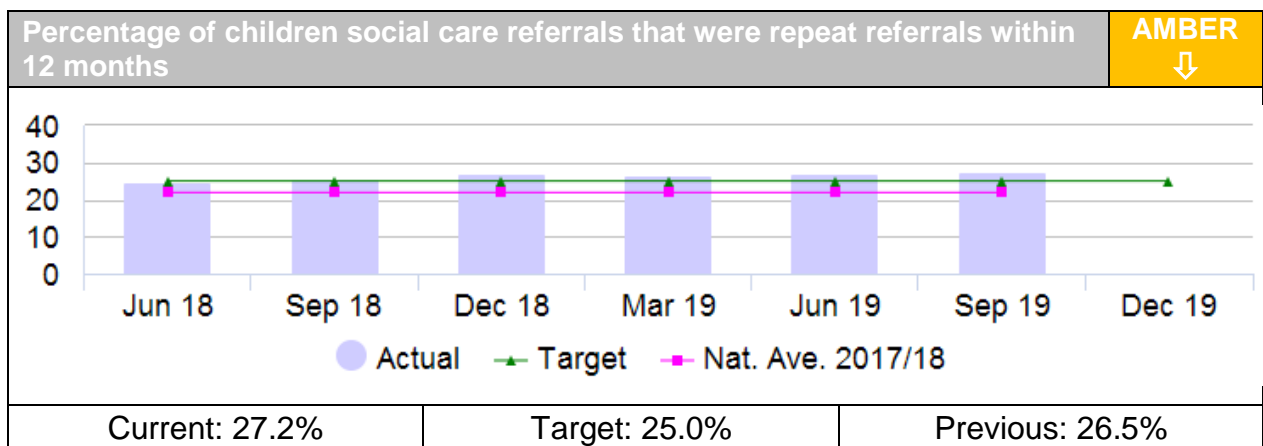
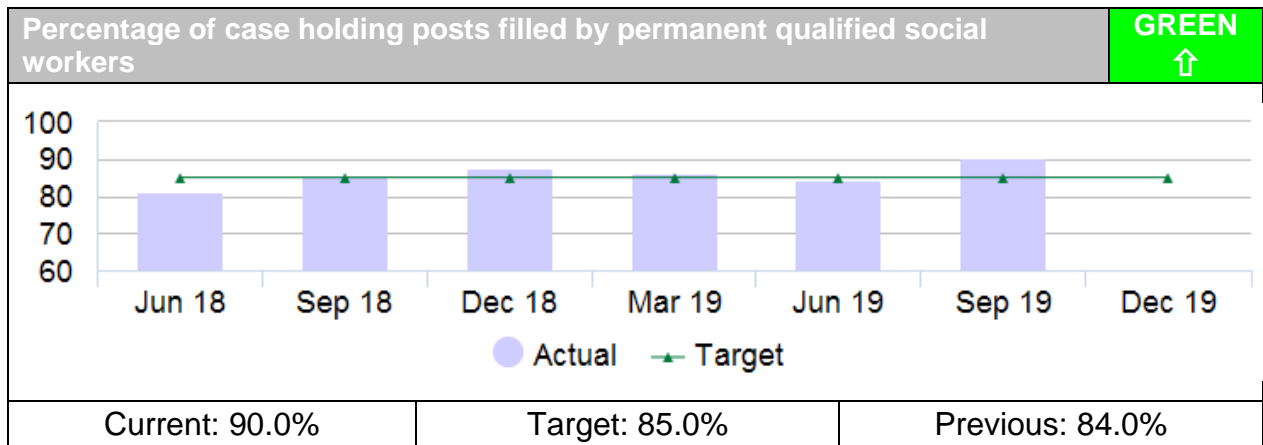
The number of Care Leavers at the end of September 2019 was 1,705 which is an increase from the previous quarter. The percentage of Care Leavers in Education, Employment or Training is 63.8%, which is a 1% reduction from June 2019 and remains below the 65.0% target.

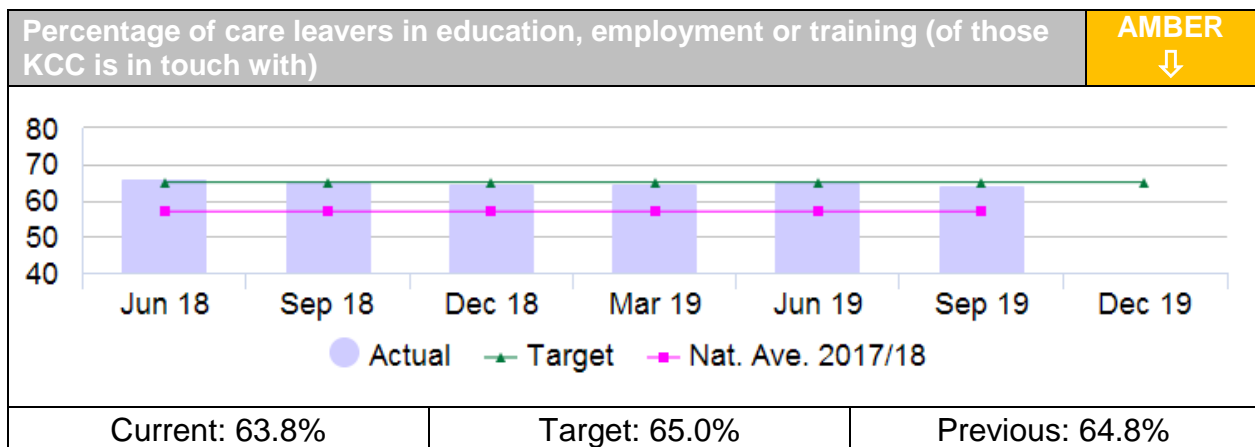
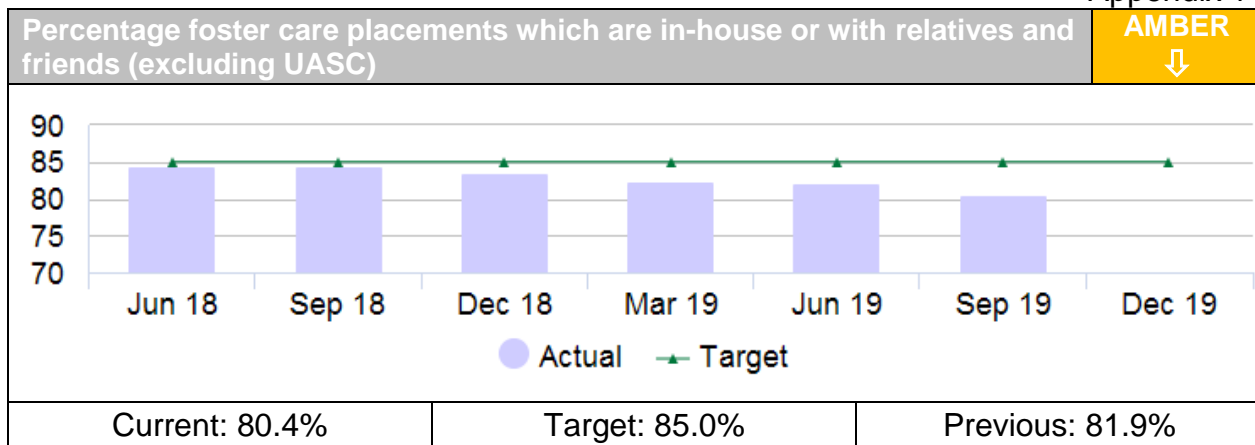
Status	Dec 18	Mar 19	Jun 19	Sep 19
Citizen	1,337	1,336	1,377	1,400
UASC	267	254	287	367
Total	1,604	1,590	1,664	1,767
Gender				
Male	992	975	1,033	1,114
Female	612	615	631	653
Age Group				
0 to 4	143	149	178	189
5 to 9	214	200	199	187
10 to 15	697	692	707	730
16 to 17	550	549	580	661
Ethnicity				
White	1,220	1,215	1,248	1,271
Mixed	87	87	90	93
Asian	52	55	60	77
Black	97	94	95	101
Other	148	139	171	225

Key Performance Indicators

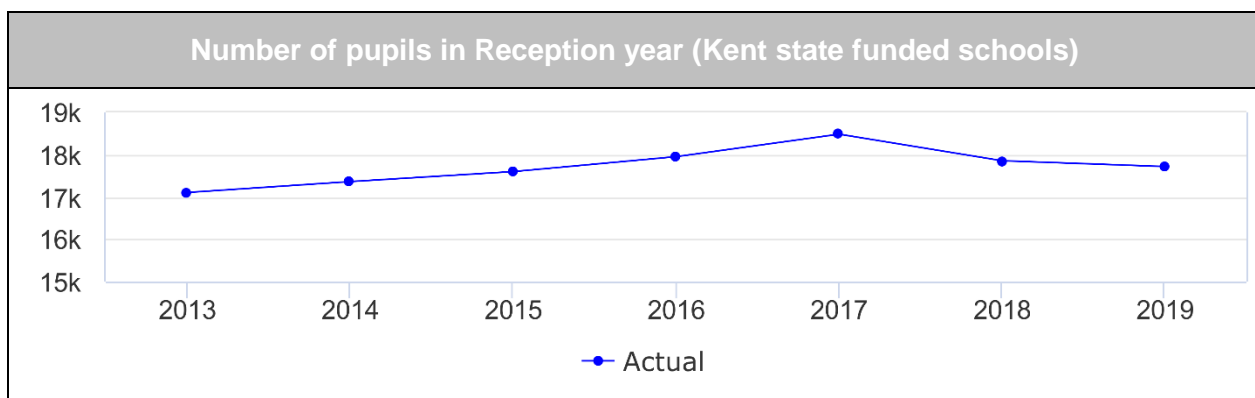
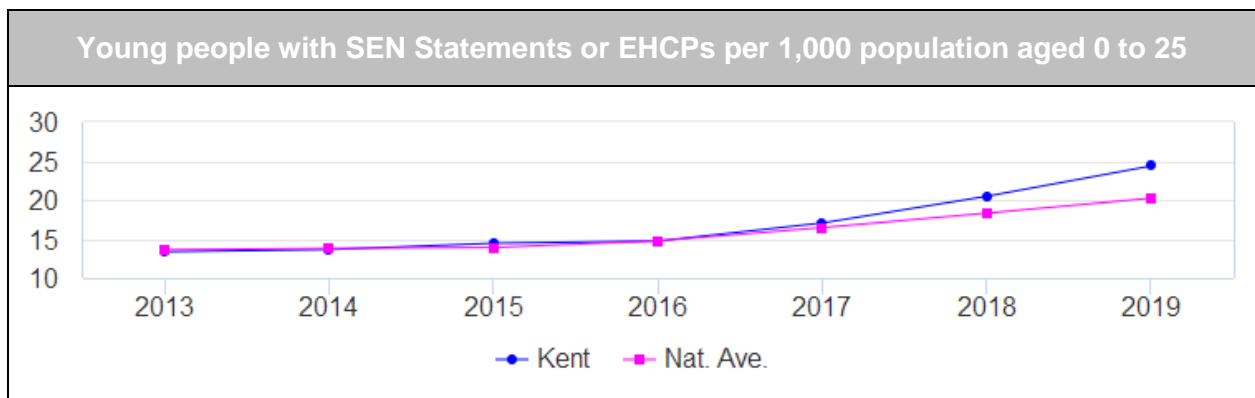


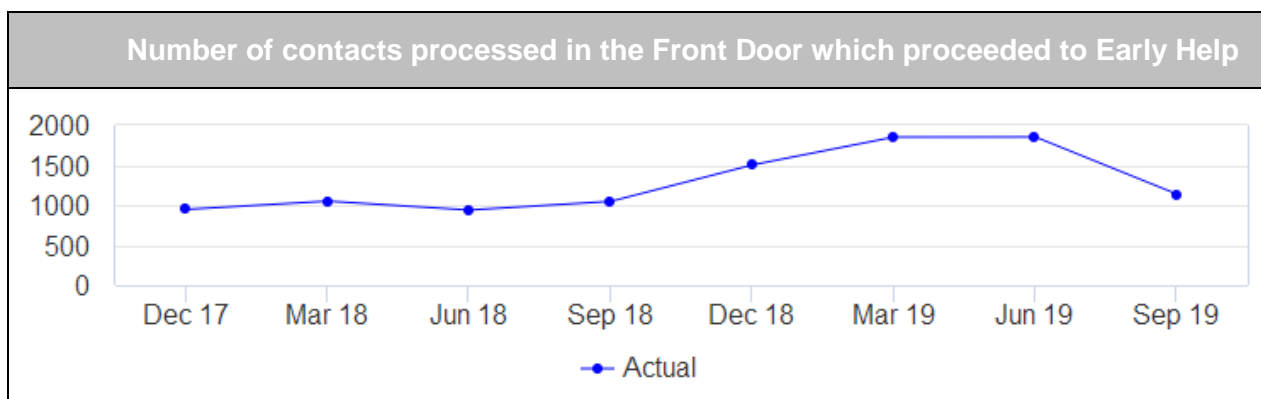
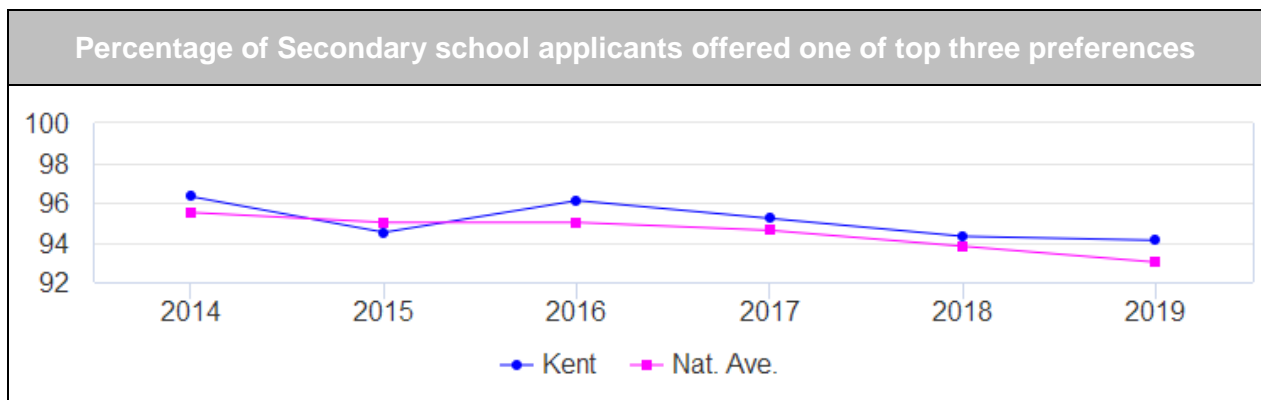
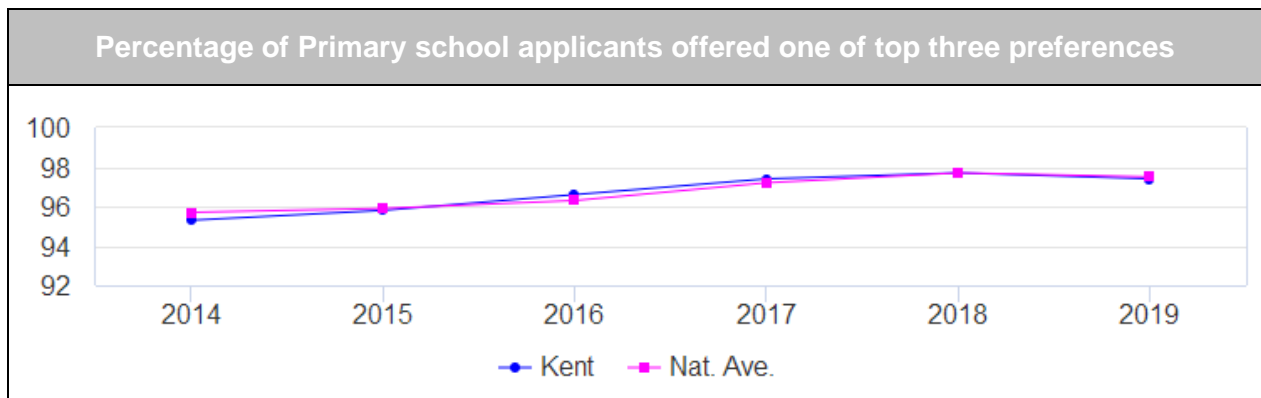
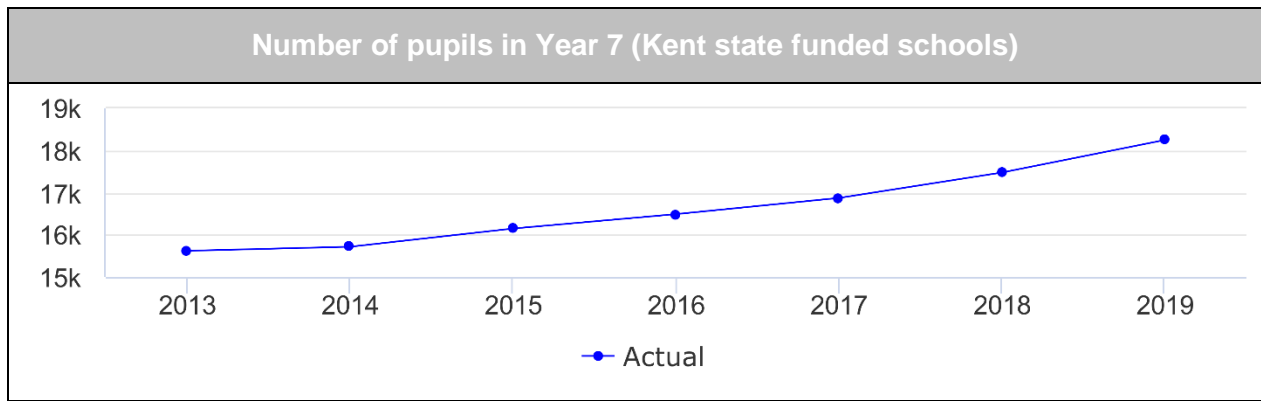


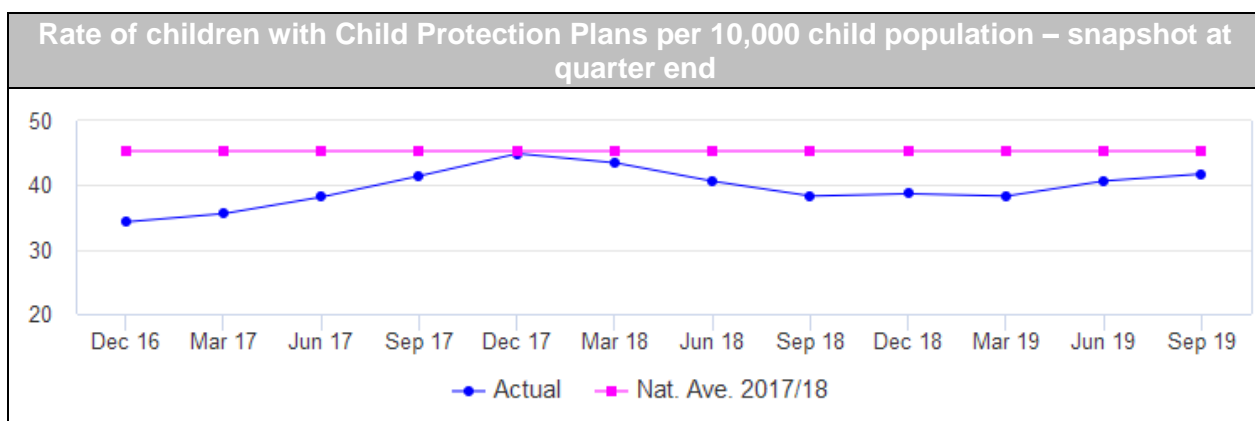
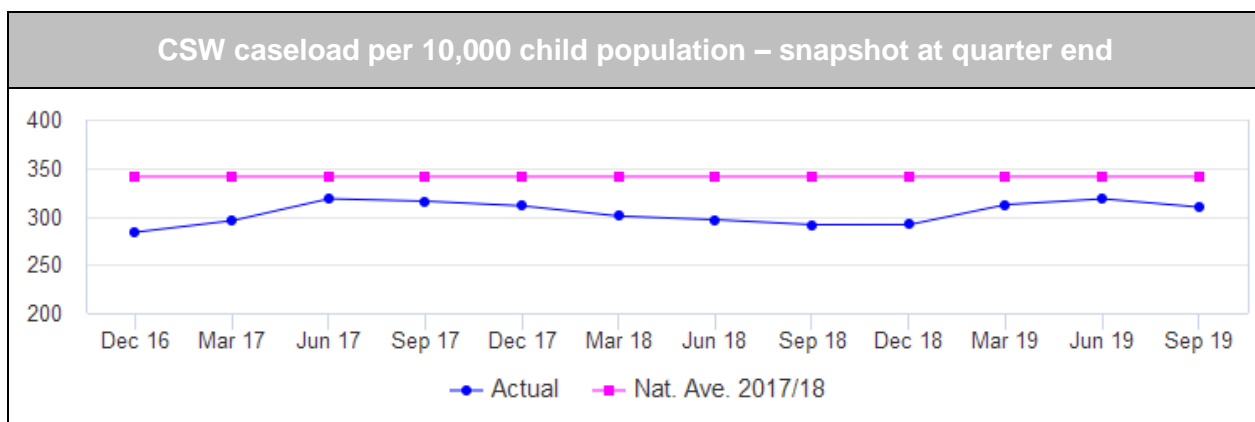
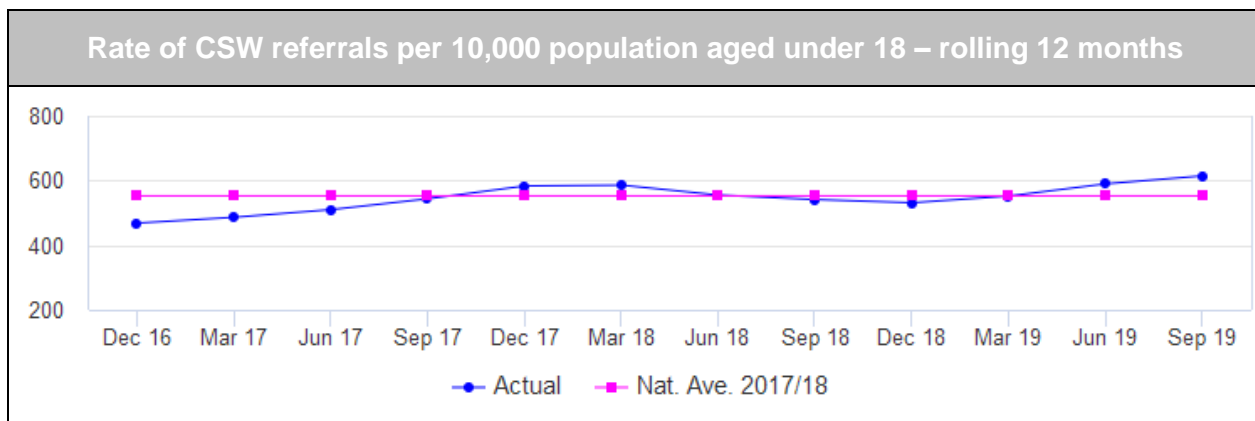
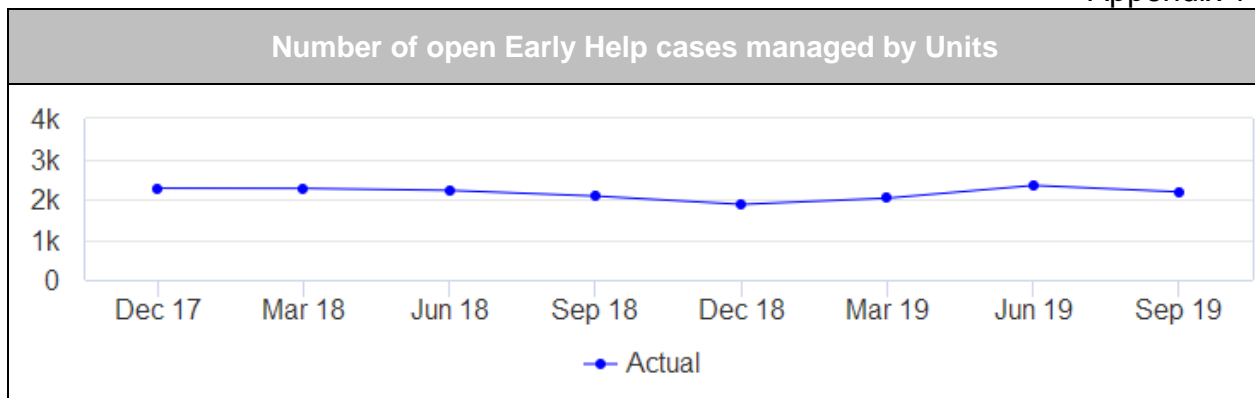


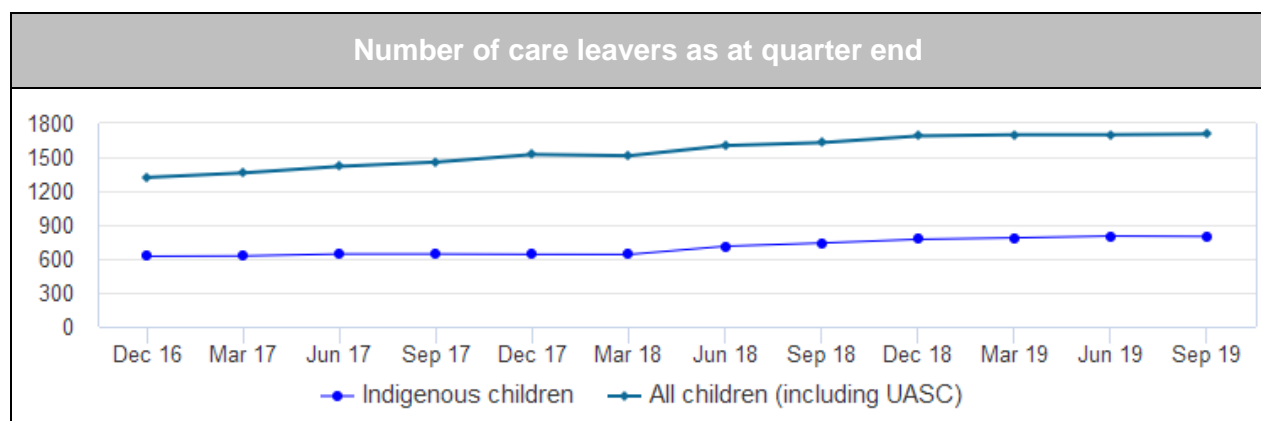
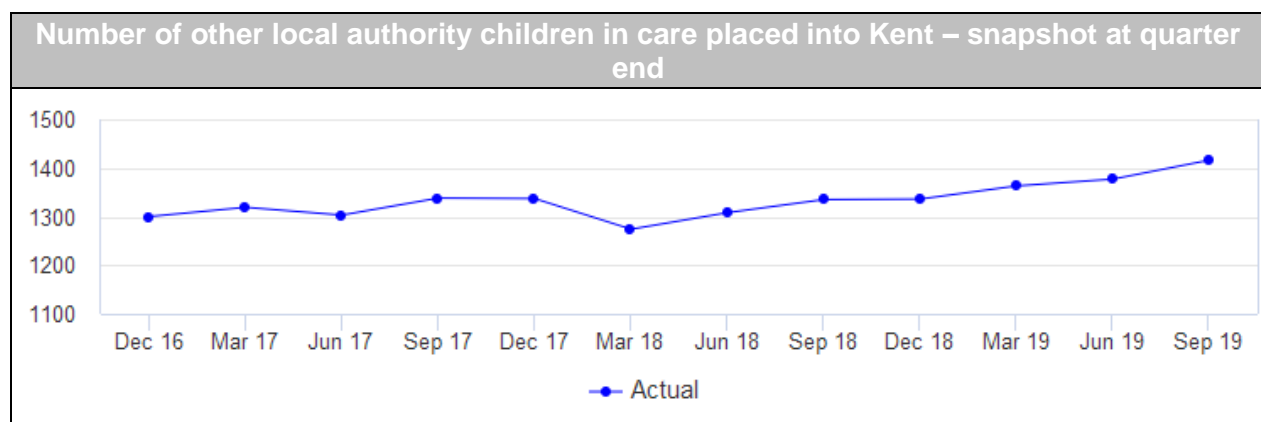
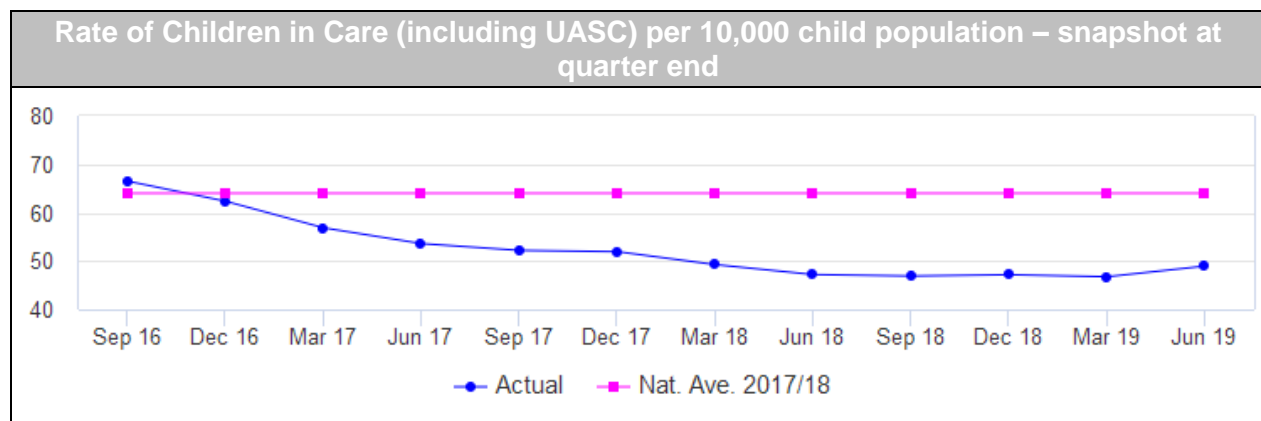
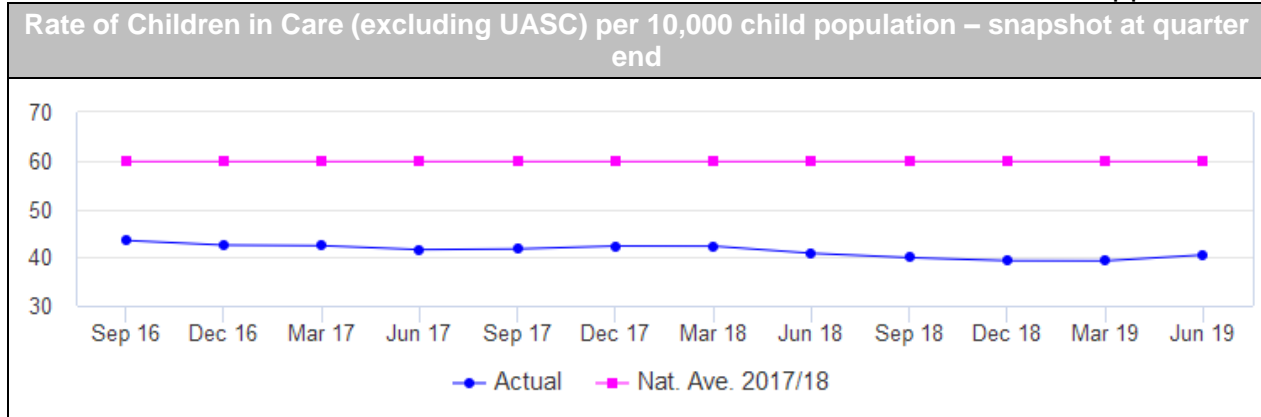


Activity indicators









Adult Social Care	
Cabinet Member	Clair Bell
Corporate Director	Penny Southern

KPI Summary	GREEN	AMBER	RED	↑	↔	↓
	5	0	0	3	0	2

Key Performance Indicators

All 5 KPIs measured for Adult Social Care were RAG rated Green for the last quarter.

The majority (80%) of people contacting KCC with a query relating to adult social care had their needs met at their first point of contact against the target of 70%. However, the Area Referral Management Service (ARMS) is currently operating a backlog following staff shortage compounded by case management system (MOSAIC) downtime and roll-out preparation. Input of contacts with an onward referral are being prioritised.

KCC continues to ensure people can remain independent and at home as long as possible with 3,331 referrals being made to enablement services which is higher than the quarterly target of 2,821. KCC's inhouse Kent Enablement at Home Service (KEaH) is supplemented by an external provider which provides additional capacity: 36.6% of all referrals during the quarter were made to this external provider. The percentage of clients still independent after enablement remains ahead of target at 81%. The introduction of Occupational Therapists within KEaH has resulted in more people needing either a smaller package of care or no care, following their completion of enablement.

In terms of long term care, the number of new admissions of older people aged 65 and over into residential and nursing homes decreased this quarter and is within target. As a result, the overall numbers of older people supported in Residential Care is slowly decreasing over the last 12 months (4.4% reduction) whilst home care numbers have been correspondingly increasing. However, the slight increase in people supported in nursing care (a 2.8% increase over the last 12 months) suggests an increase in clients with complex needs requiring assistance from KCC.

The proportion of delayed discharges from hospital where KCC was responsible in the last quarter was 25% and within the 30% target. There were 15,659 bed day delays of delayed transfer from hospital, the equivalent to 13.7 per 100,000 of the population per day. The majority of these occurred under the East Kent Hospital University Foundation Trust, according to local monitoring (45%) where teams report an increase in patients with complex needs.

Activity Indicators

A new Care at Home Contract went live in April and 78.5% of active domiciliary clients are now on the new contract. The number of people receiving a homecare service has risen by 81 people in the quarter.

Direct Payments continues to decline. A project is underway to look at the promotion and take-up of Direct Payments with a relaunch scheduled for later in the year.

The numbers of people with a learning disability (LD) in residential placements have reduced this quarter as a result of a review of those receiving residential services within the 18-25 LD service. Those in receipt of community-based service remain stable.

The number of delayed transfers of care per 100,000 population has decreased in Quarter 2 after the significant increase in delays that occurred during Quarter 1. This indicator includes delays attributable to both social care and NHS. While social care delays have remained relatively consistent throughout the year, the changes in the rate of admissions have largely been as a result of NHS attributable delays.

Safeguarding and DoLS

Safeguarding concerns have increased in the quarter, whilst enquiries are reducing. The conversion rate from concerns to enquiries is therefore now at 45% from its previous position of 51% last quarter. This increasing demand has been especially visible in the Central Referral Unit, who are responsible for coordinating new safeguarding referrals for the county.

The number of DoLS applications increased in the quarter to 1,554 (123 more than Quarter 1). A programme is currently being undertaken to reduce the substantial backlog of DoLS applications to allow for more effective resource planning and has reduced the number of applications awaiting prioritisation by a third. The increase in both DoLS applications and safeguarding concerns suggest an increase in awareness of safeguarding principles and processes.

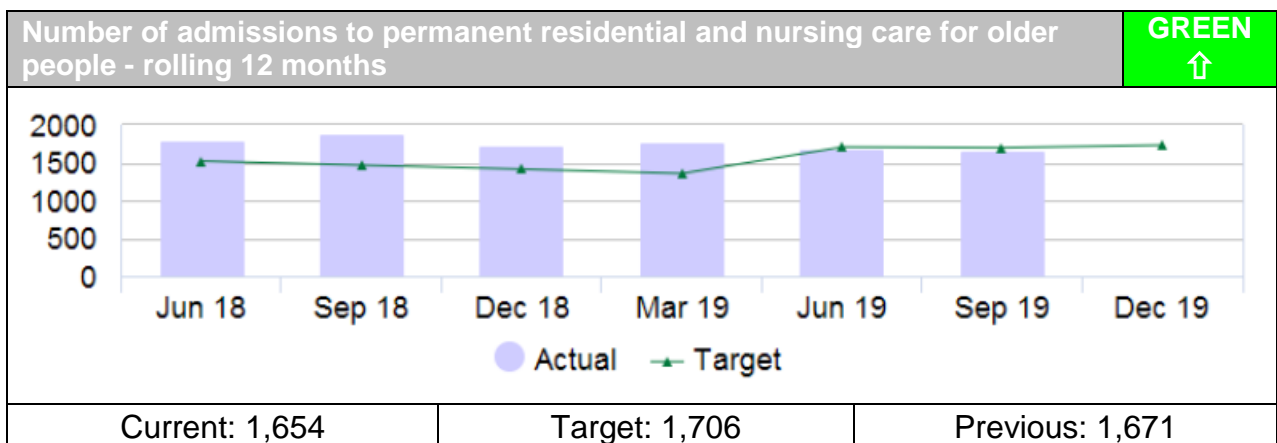
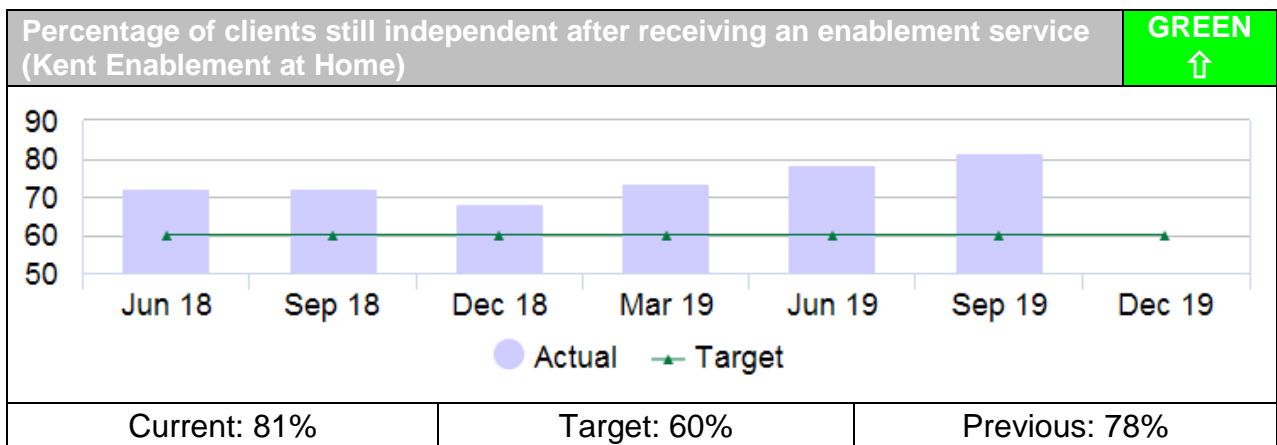
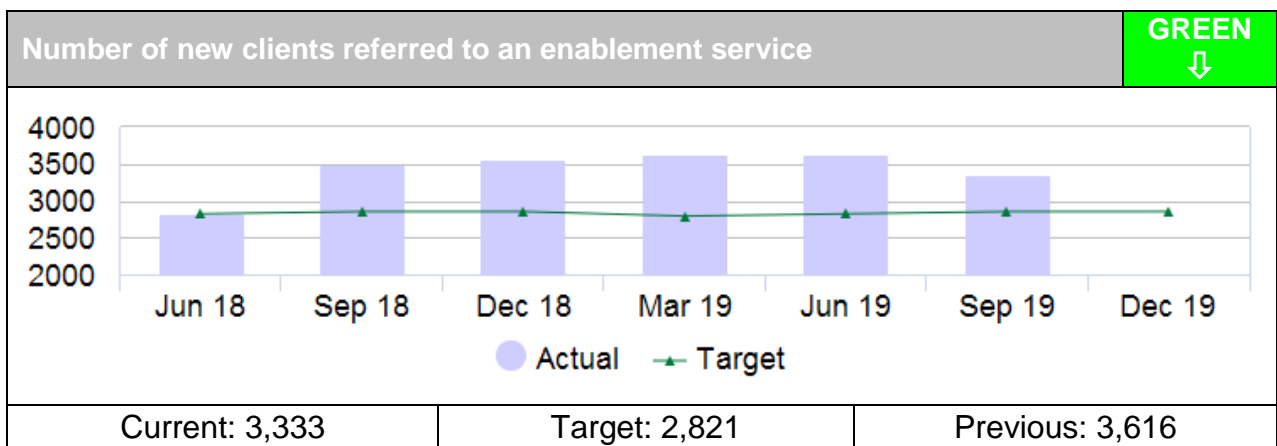
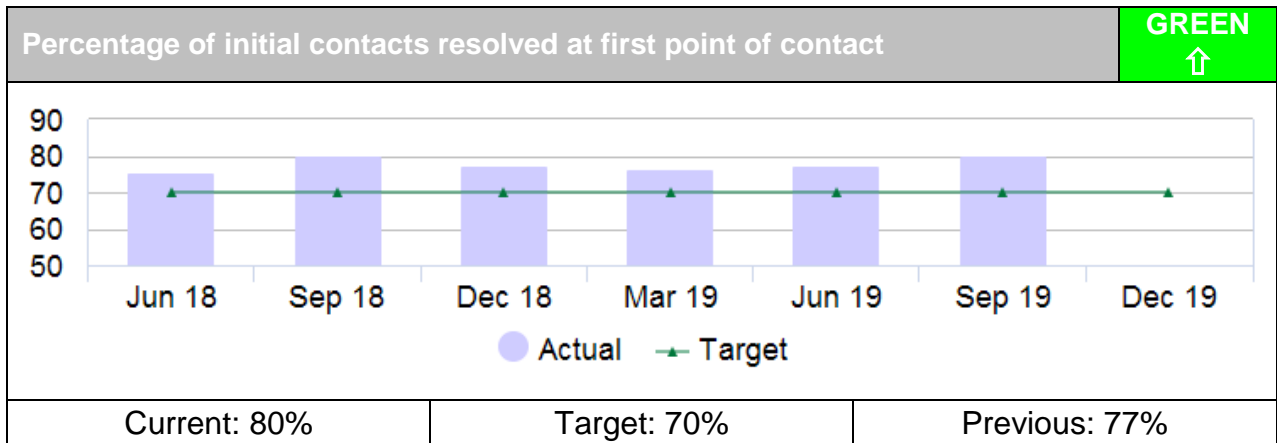
Service User Feedback

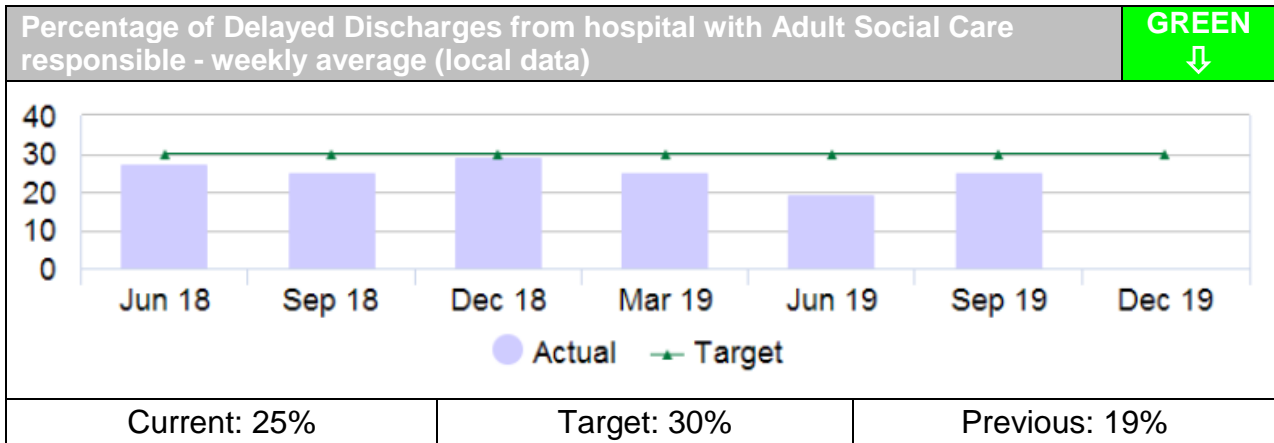
All local authorities carry out conduct annual surveys of adult social care service users, as set out by Department of Health guidance. The survey results are used, along with other feedback gathered, to understand how improvements can be made to services. Results of some of the key survey question areas are shown below with national averages shown in brackets. Carer Survey averages are provided.

	2015-16	2016-17	2017-18	2018-19
Service users who are extremely or very satisfied with their care and support	66% (64%)	66% (65%)	64% (65%)	71% (64%)
Carers who are extremely or very satisfied with their care and support	N/A*	35% (39%)	N/A*	30% (39%)
Service users who have adequate or better control over their daily life	80% (77%)	82% (78%)	80% (78%)	85% (78%)
Service users who find it easy to find information about services	75% (74%)	75% (74%)	74% (73%)	77% (70%)
The proportion of carers who find it easy to find information about support	N/A*	66% (64%)	N/A*	67% (62%)
Service users who say they feel safe as they want	71% (69%)	74% (70%)	69% (70%)	73% (70%)
Service users who say that the services they receive help them feel safe and secure	85% (85%)	82% (86%)	80% (86%)	93% (87%)

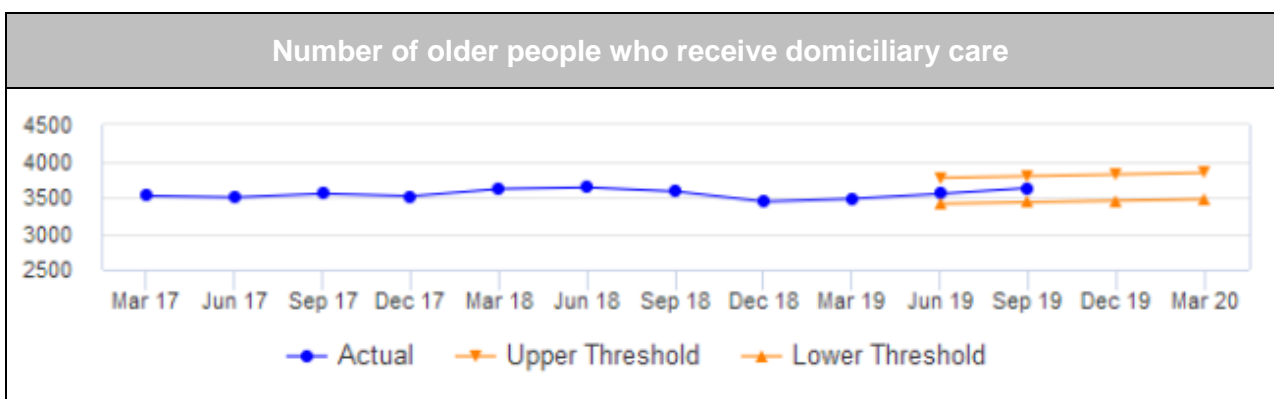
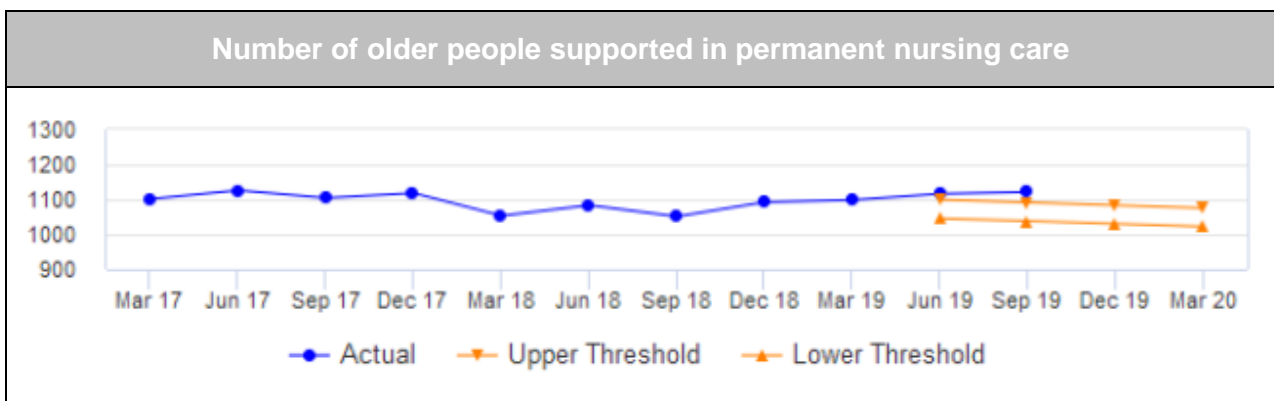
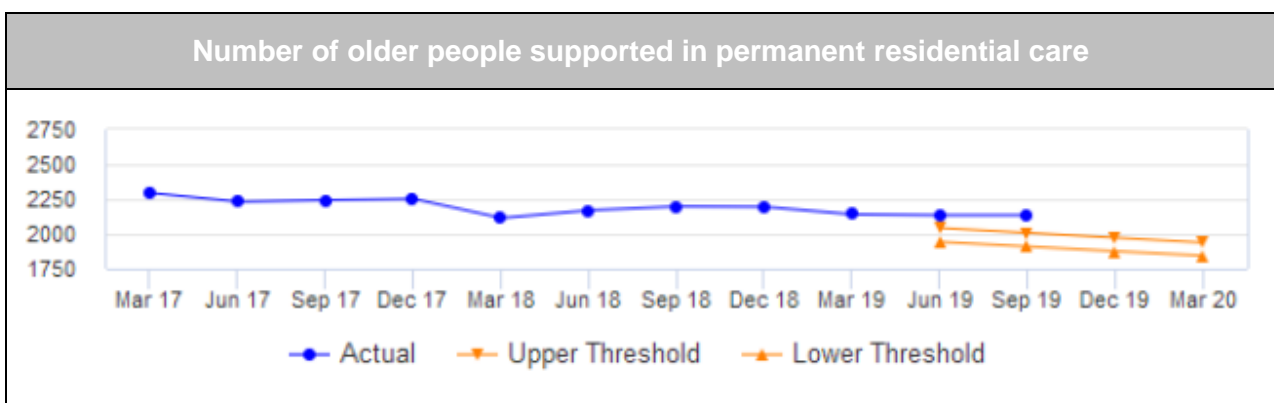
* The Carers survey is undertaken every other year

Key Performance Indicators

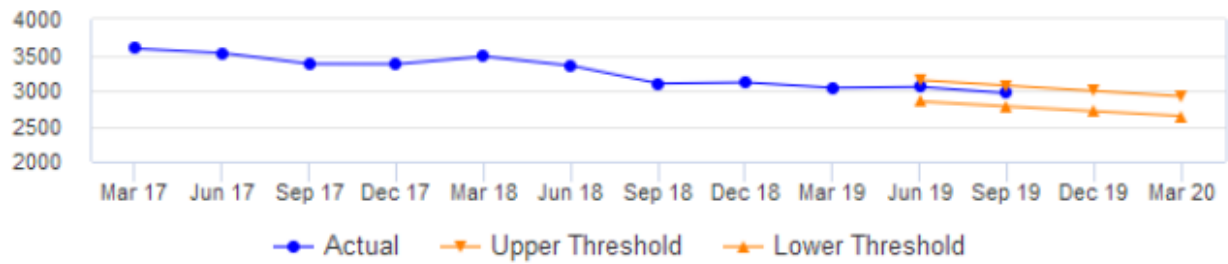




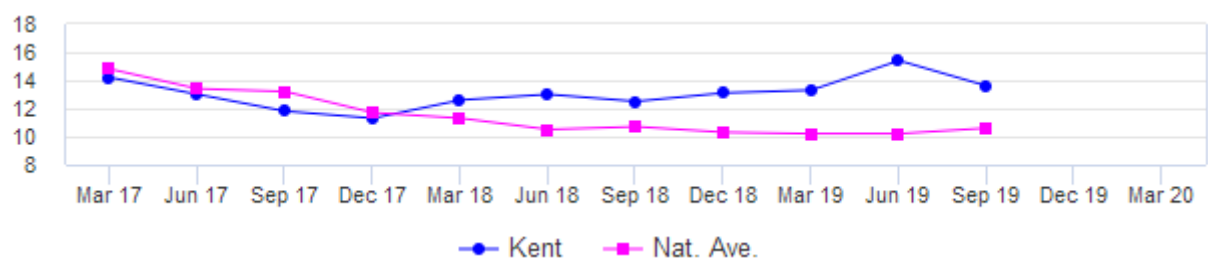
Activity indicators



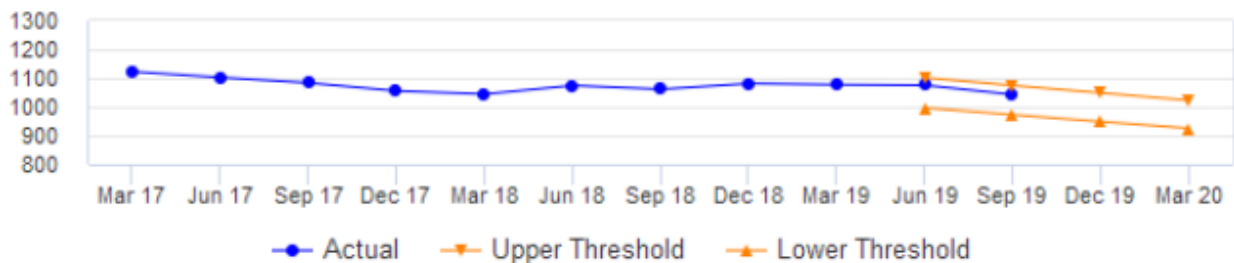
Number of social care clients receiving a direct payment



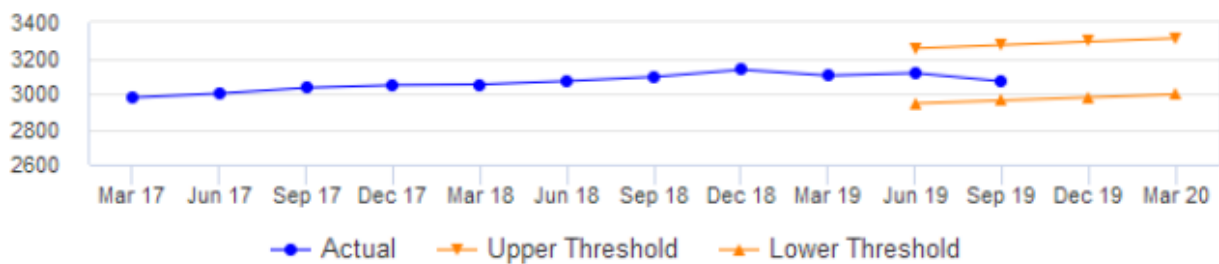
Number of delayed transfers of care per 100,000 population age 18+, average per day (national data)



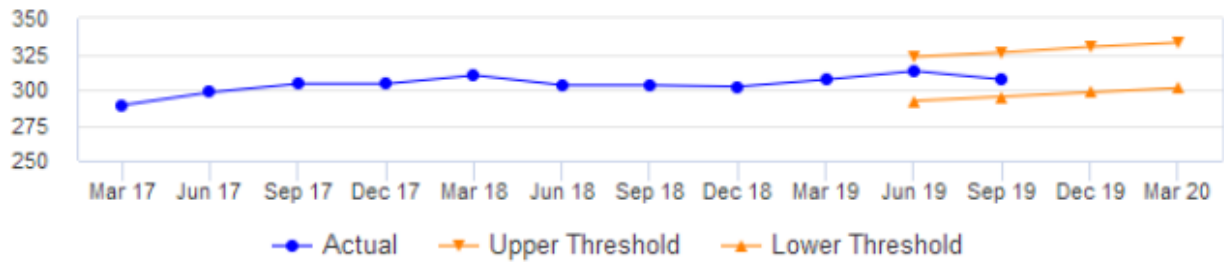
Number of learning disability clients in residential care



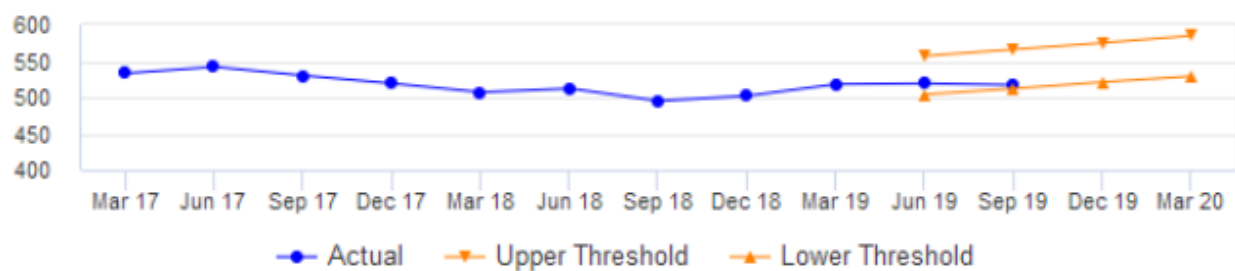
Number of people with a learning disability receiving a community service



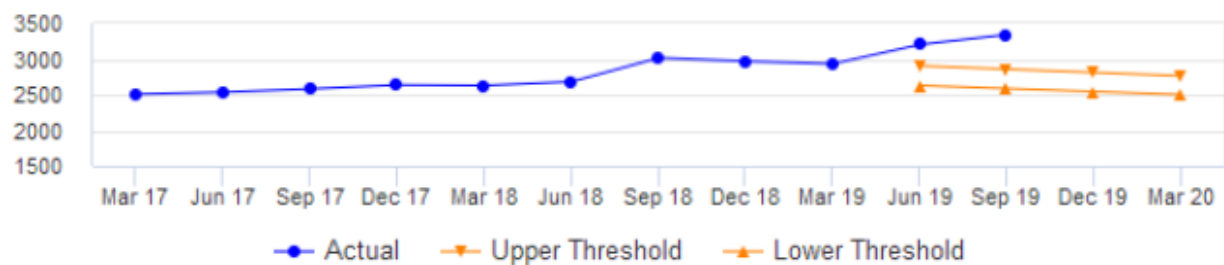
Number of people with mental health needs in residential care



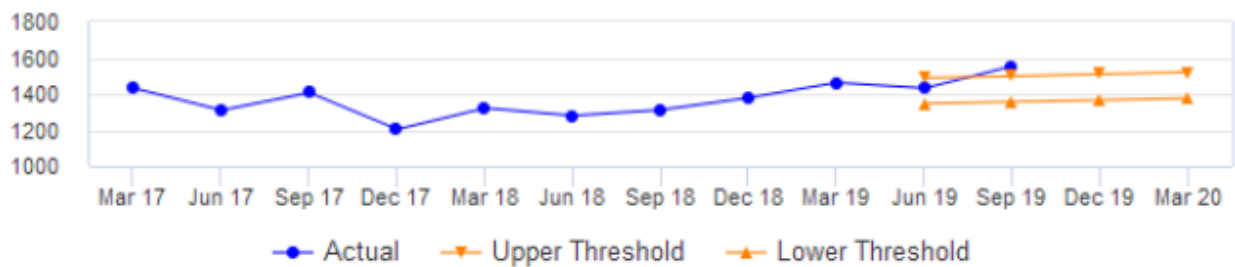
Number of people with mental health needs receiving a community service



Number of Safeguarding concerns (initial contacts)



Number of Deprivation of Liberty Safeguards applications



Public Health	
Cabinet Member	Clair Bell
Director	Andrew Scott-Clark

KPI Summary	GREEN	AMBER	RED	↑	↔	↓
	5			2	2	1

Kent's NHS Health Check Programme had a successful three months to September 2019, which has seen the programme achieve target and RAG Green for the twelve months to September 2019. In the three months to September over 30,000 eligible Kent residents were invited for the NHS Health Check resulting in nearly 12,000 being delivered. Following a strong first 6 months of 2019/20 the service is back on track to deliver the annual target of 41,600 checks.

The Health Visiting Service continues to consistently deliver over 67,000 universal checks and remains above the target of 65,000. Of the five universal checks, three continue to perform above target, with one improving to above target levels following a decrease the previous 3 months, whilst the remaining check continues to perform below target and is being monitored.

A project group has been established to take forward the action within the SEND Written Statement of Action regarding the improved integration of the Health and Progress reviews undertaken by Health Visiting and Early Year Settings at 2 years. The group are working towards the milestones set out in the action plan.

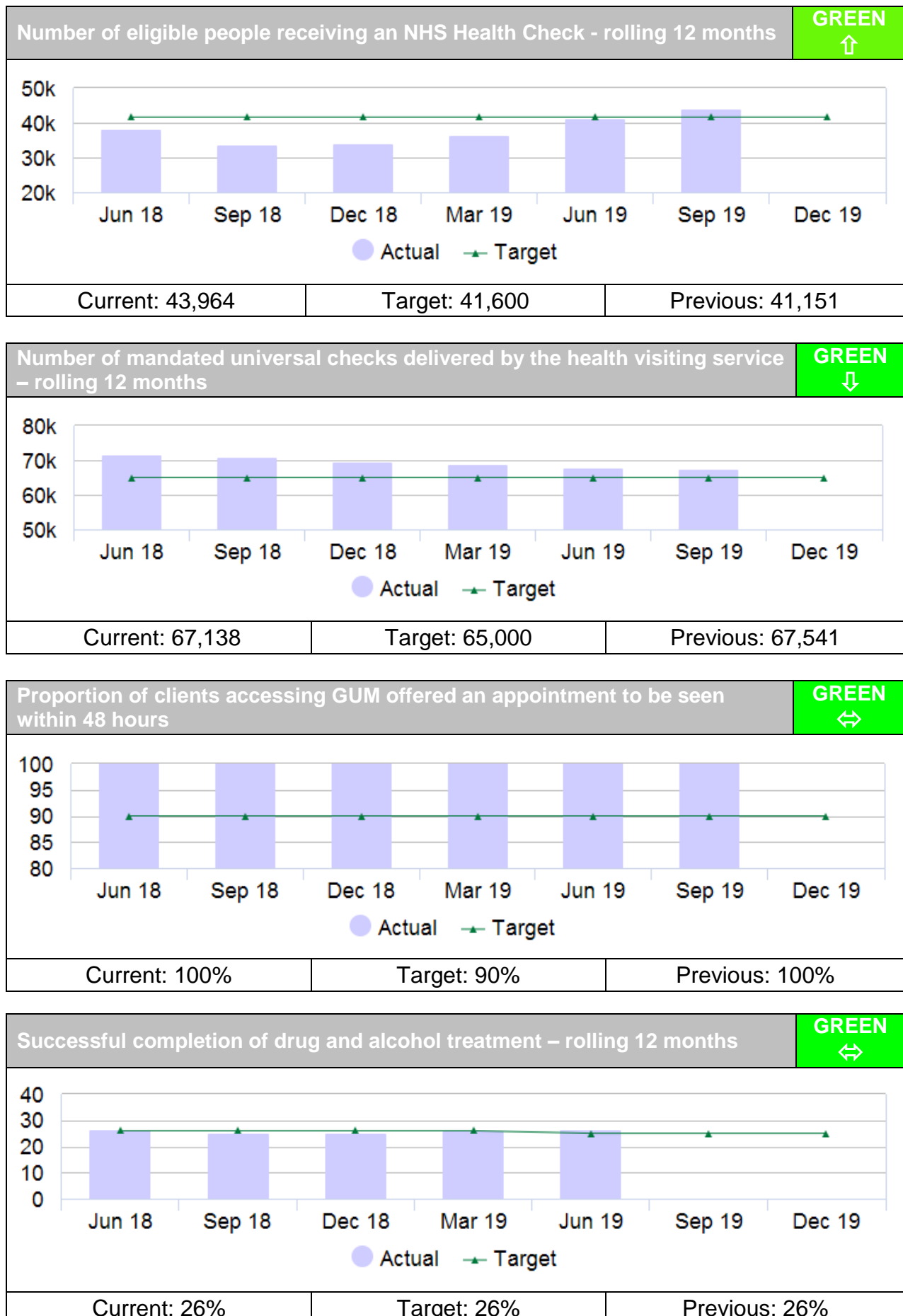
A key focus of the Sexual Health Services is to ensure that open access services are delivered and maintained across Kent. The providers consistently deliver this with 100% of those who require an urgent Genito Urinary Medicine (GUM) appointment being offered an appointment to be seen within 48 hours. This is despite the challenge of embedding the new model which launched in June 2019.

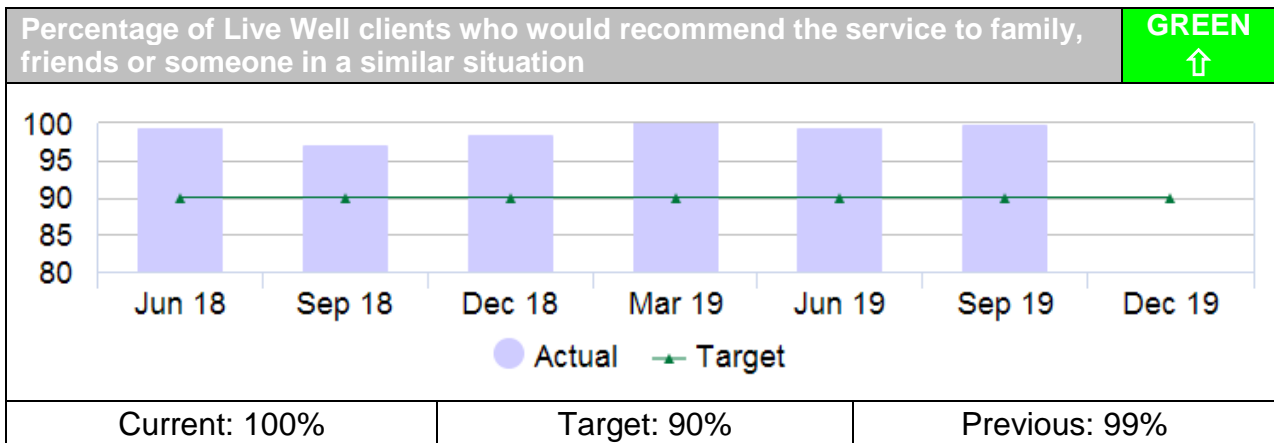
Drug and Alcohol Providers are currently performing well with 26% of individuals accessing structured treatment completing successfully. Commissioners have worked with the services in supporting the development of new treatment pathways which can be a contributing factor to the performance of this measure.

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

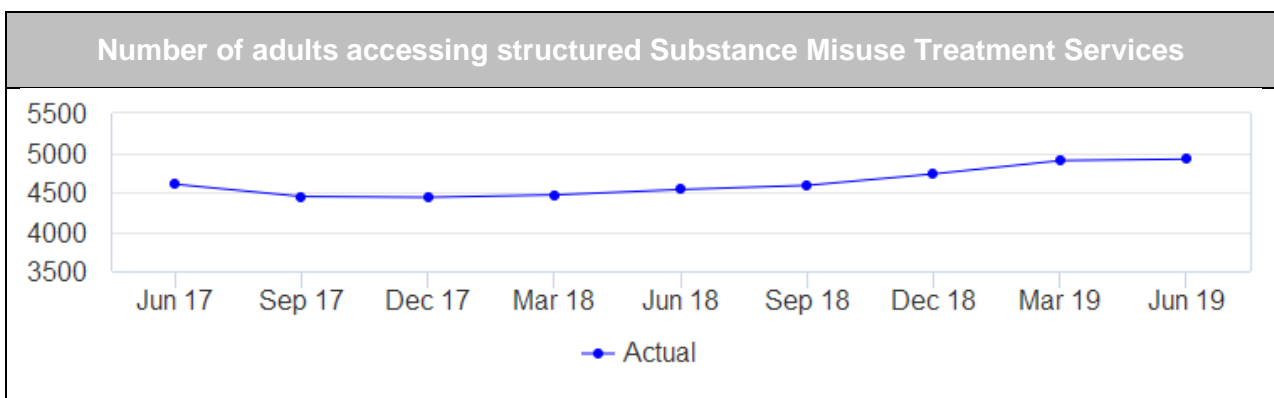
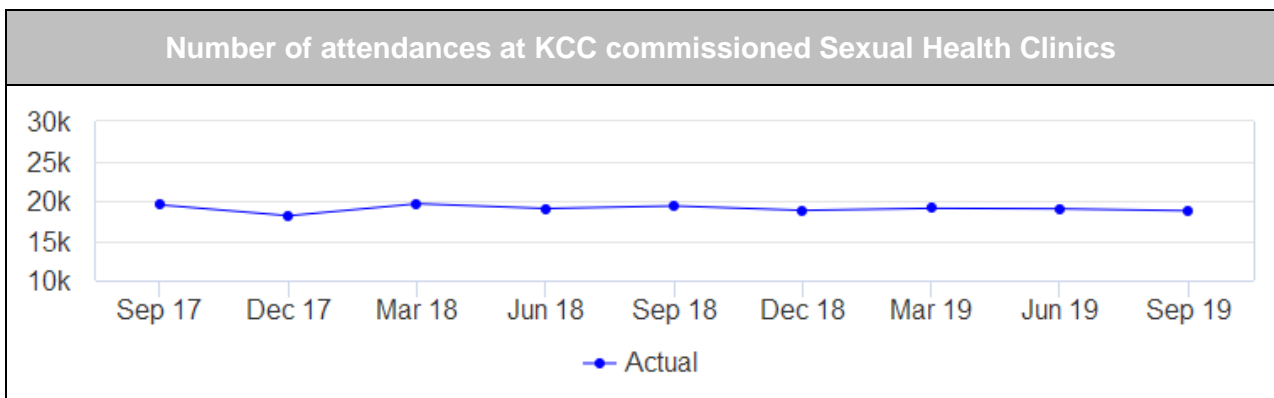
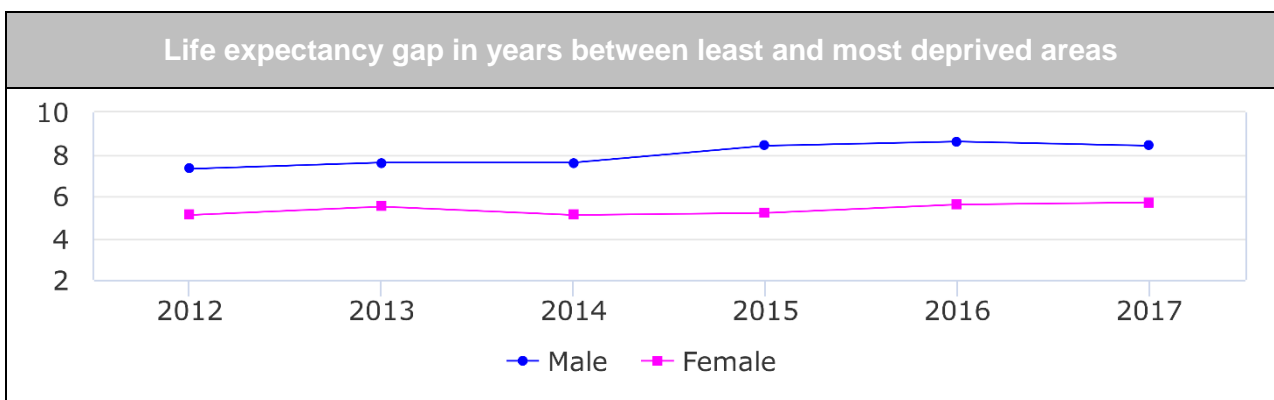
In the 3 months to September, the '*Release the Pressure*' Campaign received over 6,000 page views of which over 4,000 were new visitors; rises were experienced during a mini campaign targeting Margate and Ramsgate and around suicide prevention day.

Key Performance Indicators





Activity indicators



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. As a result of the latest refresh of the Corporate Risk Register, 3 new risks have been added, 3 have been removed and 5 risks now have altered current risk ratings.

	Low Risk	Medium Risk	High Risk
Current risk level	0	8	11
Target risk level	3	15	1

NEW RISKS

CRR0046 – Adequacy of support for children with Special Educational Needs and Disabilities (SEND) – implementation of Kent Local Area SEND Written Statement of Action. This risk focuses on work with partners to ensure improvements in SEND quality of practice and is connected to an existing corporate risk relating to a High Needs funding shortfall for children with SEND.

CRR0047 – Maintenance and Modernisation of KCC Estate: While there has been significant investment in parts of our property estate over time, there continues to be strain on the Authority's capital budget due to ongoing demands for additional statutory and discretionary spend. As our property assets age, it is becoming increasingly challenging to ensure that they continue to be maintained to a sufficient standard, so that they remain safe, avoid significant business disruption, and are fit-for-purpose, in terms of supporting new ways of working and meeting our environmental objectives.

CRR0048 – Fraud and Error: In any organisation, particularly a large and complex organisation such as KCC, there is an inherent risk of fraud and / or errors that result in financial loss for the council. The Counter-Fraud team is conducting further proactive work with directorates, raising awareness and assisting services with fraud risk assessments. While a number of controls are in place, complacency must always be guarded against, therefore a corporate risk has been created to ensure visibility, particularly until the current tranche of organisation-wide work has been completed and reviewed, to ensure any key areas of risk are identified, assessed and proactively managed.

RISKS REMOVED

CRR0013 – Delivery of in-year savings within agreed budgets. The financial environment continues to be challenging, requiring continued savings to be made and no room for complacency. However, ensuring the council delivers its budget each year is essentially a 'business as usual' task, with well established, robust monitoring and reporting mechanisms in place that enable mitigating action to be taken when necessary. While this risk is to be removed, the medium-term financial and operating environment risk (CRR0009) remains on the register as a 'high' rated risk.

CRR0041 – Maintaining a healthy and effective workforce. The council's comprehensive staff survey asks several questions relating to capacity and wellbeing, and while there will be variations across the organisation, the overall KCC picture has been positive. Therefore, rather than continue with a generic risk such as this, it is felt that the focus should be on risks flagged at directorate or divisional / service level that are more specific, with further analysis to be conducted to highlight any patterns or trends that require a corporate response. It should also be noted that workforce related risks and issues are embedded within several existing corporate risks i.e. recruitment and retention of qualified social workers.

CRR0011 – Embedding KCC's strategic commissioning approach and consistency of commissioning standards. This risk was originally added to the corporate risk register several years ago as the Authority announced its intention to become a strategic commissioning authority and set out a list of 10 commissioning principles that have been adopted. While there are still packages of work in progress, i.e. to fully embed consistent commissioning standards, this is becoming 'business as usual' work and more value can be added by monitoring and corporate oversight of any more specific risks at directorate or divisional / service level.

CHANGES TO CURRENT RISK SCORES

CRR0002 – Safeguarding – protecting vulnerable adults: This risk has been reassessed from a 'high' rating of 20 to a 'medium' rating of 15 after review by the Corporate Director and her Directorate Management Team. This reflects the confidence in controls in place and is now at the same level as the children's safeguarding risk.

CRR0039 – Information Governance: This risk has been raised from 'medium' (12) to 'high' (16) due to the continued high risk to data security posed by cyber threats, as well as ongoing challenges to prevent data breaches. As part-mitigation, the Council is investigating options to optimise automated controls where appropriate, as well as reviewing methods for recording data breaches, including identification of trends.

CRR0016 – Delivery of new school places is constrained by capital budget pressures and dependency on the Education and Skills Funding Agency. This risk remains 'high' and has been raised from a score of 16 to 20, to reflect uncertainty due to ongoing debate with the Department for Education regarding the revised Basic Need funding formula and the lack of a confirmed Basic Need allocation for 2021/22.

CRR0040 – Financial, Governance and Service Delivery risks associated with KCC's Local Authority Trading Companies. The risk has been re-titled to more accurately reflect the risk events, while the level of risk has come down slightly, from a score of 12 (medium) to 9 (medium), to reflect confidence in the risk mitigations so far. The risk will be subject to further review once implementation of holding arrangements for KCC's companies is finalised.

CRR0004 – Civil Contingencies and Resilience. The level of risk has been reassessed and given a risk rating of 20, up from 16. This is due to the impact score being revised from 4 'serious' to 5 'major', to reflect the fact that a consequence of the risk could be, "Potential increased harm or loss of life if response is not effective."

MITIGATING ACTIONS

Updates have been provided for 10 actions to mitigate elements of Corporate Risks that were due for completion or review up to the end of September 2019, together with updates for 2 actions due for completion or review for October 2019 and beyond. These are summarised below.

Due Date for Completion	Actions Completed/ Closed	Actions Outstanding or Partially complete	Regular Review
September 2019	6		4
October 2019 and beyond	1		1

Mitigating actions during this period are summarised below:

CRR0001 – Safeguarding – Protecting vulnerable children

Completed: New multi-agency partnership arrangements, in response to the Children & Social Work Act requirements, went live on 17/9/2019 with the first partnership executive board meeting set to take place on 30/10/2019. A scrutiny and assurance framework has been developed and will embed over the next 6 months.

CRR0004 – Civil Contingencies and resilience

Completed: In light of latest EU extension local arrangements have been stood down but work will continue to ensure we remain ready for potential no-deal outcome.

CRR0005 – Implementation of Local Care and Prevention with Health Partners in Kent

Regular review: Delivery of the ASCH Local Care Implementation Plan – the Local Care Board meetings continue. A meeting between the Primary Care Board and the Local Care Board is being held in November 2019 to discuss governance arrangements going forward.

CRR0006 – Resourcing implications arising from increasing complex adult social care need

Closed: Implementation of the Kent Integration and Better Care Fund plan - The Kent Better Care Fund plan for 2019/20 was signed by delegated responsibility to Cllr Peter Oakford as Chair of the Kent Health and Wellbeing Board. It was submitted to Government at the end of September and outcomes of assurance are awaited.

CRR0007 – Resourcing implications arising from children’s services demand

Regular review: Implementation of the Change for Kent Children programme – Phase 2 – the Phase 2 workstreams are progressing. The monitoring processes have been developed and were taken to the Budget Delivery Group in October 2019 ahead of the first drawdown of Transformation funds.

CRR0015 – Managing and working with the social care market

Regular review: The refreshed accommodation strategy is being reported through existing governance channels prior to implementation. Analysis of extra care placements has been completed.

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)

Closed: KCC will continue to submit further funding bids at the appropriate time, although this action has been removed as it is not seen to be material in the context of the overall scale of the risk.

CRR0039 – Information Governance

Complete: Introduction of additional information governance controls utilising MS Office 365 capabilities has been considered. This has been superseded by a new action to develop a business case for the introduction of additional Information Governance controls utilising capabilities of MS Office 365.

CRR0040 – Opportunities and risks associated with KCC’s Local Authority Trading Companies (LATCOs)

Closed: The Constitution has been structurally changed and presented to County Council in October 2019. Further changes to the constitution will be considered by General Counsel in due course.

Closed: The Action to find an accommodation solution to support Cantium Business Solutions requirement for co-location of staff has been discharged.

Regular review: Implementation of holding arrangements for KCC’s companies - Transfer of ownership to HoldCo has begun and is due to complete by March 2020.

CRR0042 – post-Brexit border systems and infrastructure arrangements

Regular review: £1m funding has been received from MHCLG which is not ringfenced to Transport. The Corporate Director for GET is working with the Finance team to agree how the budget is managed.

CRR0044 – High needs funding and adequacy of support for children with SEND

In progress: A local area Written Statement of Action has been produced and published on the Kent.gov website, outlining how KCC and local partners will improve support for children with Special Educational Needs and Disabilities (SEND).

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From: Roger Gough, Leader of the Council
David Cockburn, Corporate Director for Strategic & Corporate Services and Head of Paid Service

To: Cabinet – 2nd December 2019

Decision No: N/A

Subject: Corporate Risk Register

Classification: Unrestricted

Past Pathway of Paper: N/A

Future Pathway of Paper: Governance and Audit Committee – 22nd Jan 2020

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:

2.3.1 New Risks

- CRR0046 – Adequacy of support for children with Special Educational Needs and Disabilities (SEND) – implementation of Kent Local Area SEND Written Statement of Action. At last year's refresh, a directorate SEND risk was escalated to the corporate risk register, covering concerns relating to High Needs funding and adequacy of support for children with SEND. However, given the severity of both elements of the risk, it has been split into two corporate risks. Therefore, risk CRR0044 is now more tightly focused on the High Needs Funding risk, while this risk concentrates on the practice elements.
- CRR0047 – Maintenance and Modernisation of KCC Estate: While there has been significant investment in parts of our property estate over time, there continues to be strain on the Authority's capital budget due to ongoing demands for additional statutory and discretionary spend. As our property assets age, it is becoming increasingly challenging to ensure that they continue to be maintained to a sufficient standard, so that they remain safe, avoid significant business disruption, and are fit-for-purpose, in terms of supporting new ways of working and meeting our environmental objectives.
- CRR0048 – Fraud and Error: In any organisation, particularly a large and complex organisation such as KCC, there is an inherent risk of fraud and / or errors that result in financial loss for the council. The Counter-Fraud team is conducting further proactive work with directorates, raising awareness and assisting services with fraud risk assessments. While a number of controls are in place, complacency must always be guarded against, and a corporate risk has been created to ensure visibility, particularly until the current tranche of organisation-wide work has been completed and reviewed, to ensure any key areas of risk are identified, assessed and proactively managed.

2.3.2 Changes to risk ratings for existing risks

- CRR0002 – Safeguarding – protecting vulnerable adults: This risk has been reassessed from a 'high' rating of 20 to a 'medium' rating of 15 after review by the Corporate Director and her Directorate Management Team. This reflects the confidence in controls in place and is now at the same level as the children's safeguarding risk.
- CRR0039 – Information Governance: This risk has been raised from 'medium' to 'high' in the light of the increasing obligations and implications caused by the adoption of the Data Protection Act 2018 and the General Data Protection Regulation. Improved reporting procedures and awareness have led to increasing numbers of reported data breaches across the organisation which in addition to the

continued high risk to data security posed by cyber threats means the overall risk is now considered “high”. As part-mitigation, the Council is investigating options to optimise automated controls where appropriate, as well as reviewing methods for recording and identification of patterns or trends.

- CRR0016 – Delivery of new school places is constrained by capital budget pressures and dependency on the Education and Skills Funding Agency. This risk remains ‘high’ and has been raised from a score of 16 to 20, to reflect uncertainty due to ongoing debate with the Department for Education regarding the revised Basic Need funding formula and the lack of a confirmed Basic Need allocation for 2021/22.
- CRR0040 – Financial, Governance and Service Delivery risks associated with KCC’s Local Authority Trading Companies. The risk has been re-titled to more accurately reflect the risk events, while the level of risk has come down slightly, from a score of 12 to 9, to reflect confidence in the risk mitigations so far. The risk will be subject to further review once implementation of holding arrangements for KCC’s companies is finalised.
- CRR0004 – Civil Contingencies and Resilience. The level of risk has been reassessed and given a risk rating of 20, up from 16. This is due to the impact score being revised from 4 ‘serious’ to 5 ‘major’, to reflect the fact that a consequence of the risk could be, “Potential increased harm or loss of life if response is not effective.” This links to a wider review of all corporate risks to ensure that any consequences relating to serious harm to people are listed first and attract a maximum impact score of 5 out of 5.

2.3.3 Risks removed from the corporate register

- CRR0013 – Delivery of in-year savings within agreed budgets. The financial environment continues to be challenging, requiring continued savings to be made and no room for complacency. However, ensuring the council delivers its budget each year is essentially a ‘business as usual’ task, with well established, robust monitoring and reporting mechanisms in place that enable mitigating action to be taken when necessary. While this risk is to be removed, the medium-term financial and operating environment risk (CRR0009) remains on the register as a ‘high’ rated risk.
- CRR0041 – Maintaining a healthy and effective workforce. KCC’s workforce makes a vital contribution to the delivery of the Council’s strategic outcomes, through its energy, commitment and hard work and staff across the organisation need to be healthy, motivated and have the right skills to help the organisation to develop. To reflect this importance, there are a number of approaches and tools in place to engage staff and support their wellbeing and resilience. The council’s comprehensive staff survey asks a number of questions relating to capacity and wellbeing, and while there will be variations across the organisation, the overall KCC picture has been positive. Therefore, rather than continue with a generic risk such as this, it is felt that the focus should be on risks flagged at directorate or

divisional / service level that are more specific, with further analysis to be conducted to highlight any patterns or trends that require a corporate response. It should also be noted that workforce related risks and issues are embedded within several existing corporate risks i.e. recruitment and retention of qualified social workers etc.

- CRR0011 – Embedding KCC’s strategic commissioning approach and consistency of commissioning standards. This risk was originally added to the corporate risk register several years ago as the Authority announced its intention to become a strategic commissioning authority and set out a list of 10 commissioning principles that have been adopted. While there are still packages of work in progress, i.e. to fully embed consistent commissioning standards, this is becoming ‘business as usual’ work and more value can be added by monitoring and corporate oversight of any more specific risks at directorate or divisional / service level.

2.4 Several risks have also been updated as part of usual practice, to reflect contextual changes, new controls or new risk owners. For instance, CRR0005, Implementation of Local Care and Prevention agenda in Kent, is being significantly revised to take account of the latest health and social care integration landscape.

2.5 While not formally entering onto the Corporate Risk Register at this stage, conversations with CMT and Cabinet also covered risks and opportunities associated with the environment agenda; as well as ensuring safe working environments for staff - areas that will be explored in more detail as the corporate register evolves. It is also possible that a strategic risk relating to markets, where they are not capable of meeting KCC requirements in terms of cost and / or quality could be added, subject to further analysis.

2.6 This corporate risk register refresh has taken place against a backdrop of significant uncertainty at national level and a number of these risks will require revisiting in the coming weeks, as a new Government forms and matters of relevance to our corporate risks move forward.

2.7 Further details of these corporate risks, including scores, 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 a source of information to inform its audit plan for the coming year.

3.3 There is a 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.

- 3.4 Assurance Mapping – The Internal Audit and Corporate Risk functions are collaborating to map what assurances exist against existing controls listed for the council’s corporate risks, with benefits to include highlighting any gaps in assurance or potential duplicative work. This will help guide future audit planning and ensure that the listed controls are effective mitigations that support the risk ratings stated.

4. Recommendation

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

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Appendix 1

KCC Corporate Risk Register

For Presentation to Cabinet 02/12/19

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 2019
CRR0001	Safeguarding – protecting vulnerable children	15	15	↔
CRR0002	Safeguarding – protecting vulnerable adults	15	15	↓
CRR0003	Access to resources to aid economic growth and enabling infrastructure	16	12	↔
CRR0004	Civil Contingencies and Resilience	20	15	↑ (Impact re-assessed)
CRR0005	<i>Risk / Opportunity relating to development of Integrated Care System / Integrated Care Partnerships in Kent and Medway NHS system being developed</i>	TBC	TBC	
CRR0006	Resourcing implications arising from increasing complex adult social care demand	20	15	↔
CRR0007	Resourcing implications arising from children’s services demand	15	12	↔
CRR0009	Future financial and operating environment for local government	20	12	↔
CRR0014	Cyber-attack threats and their implications	16	12	↔
CRR0015	Managing and working with the social care market	20	15	↔
CRR0016	Delivery of new school places is constrained by capital budget pressures and dependency on the Education and Skills Funding Agency	20	12	↑
CRR0039	Information Governance	16	8	↑
CRR0040	Financial, governance and service delivery risks associated with KCC’s Local Authority Trading Companies	9	4	↓
CRR0042	Post-Brexit border systems, infrastructure and regulatory arrangements	25	20	↔
CRR0044	High Needs Funding shortfall	20	12	↔
CRR0045	Effectiveness of governance within a Member-led Authority	10	5	↔
CRR0046	Adequacy of support for children with Special Educational Needs and Disabilities	20	10	NEW

	(SEND) – response to Written Statement of Action			
CRR0047	Maintenance and modernisation of the KCC estate	16	12	NEW
CRR0048	Fraud and Error	12	6	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.

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)

Likelihood	Very likely	5	5 Low	10 Medium	15 Medium	20 High	25 High
	Likely	4	4 Low	8 Medium	12 Medium	16 High	20 High
	Possible	3	3 Low	6 Low	9 Medium	12 Medium	15 Medium
	Unlikely	2	2 Low	4 Low	6 Low	8 Medium	10 Medium
	Very Unlikely	1	1 Low	2 Low	3 Low	4 Low	5 Low
RISK RATING MATRIX			1	2	3	4	5
			Minor	Moderate	Significant	Serious	Major
			Impact				

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	Possible (3)	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 being drawn into terrorism.	Failure to meet the requirements of the "Prevent Duty" placed on Local Authorities.	Serious impact on vulnerable people.	Children, Young People and Education (CYPE)	Target Residual Likelihood	Target Residual Impact	
This risk links to the demand for children's services risk (CRR0007).		Impact on ability to recruit the quality of staff critical to service delivery.	Responsible Cabinet Member(s):	Possible (3)	Major (5)	
		Serious operational and financial consequences.	Sue Chandler, Integrated Children's Services			
		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)			
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 include 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.	Mark Janaway, Performance and Programme Manager, KSCMP
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 People and Communications
Multi-agency public protection arrangements (MAPPA) in place	Kevin Kasaven, Assistant Director Safeguarding and Quality Assurance
Extensive staff training – Integrated Children’s Services are rolling out a new practice framework	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
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
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
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, identifies themes and patterns for accountable managers to respond to and provides challenge.	Kevin Kasaven, Assistant Director, Safeguarding and Quality Assurance	
Practice Forums being introduced into each area to offer support for Practitioners, bring case examples and cover key themes	Kevin Kasaven, Assistant Director, Safeguarding and Quality Assurance	
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 welfare concerns and where other agencies have been involved with the family. Awareness raising taking place with other practitioners	Keith Abbott, Director 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	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)	
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)	
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)	
Action Title	Action Owner	Planned Completion Date
Embedding of new multi-agency safeguarding children arrangements	David Whittle, Director SPRCA	March 2020 (review)

including Scrutiny and Assurance Framework	/ Matt Dunkley, Corporate Director CYPE	
Approval and launch of new adolescent risk management process	Stuart Collins, Director Integrated Services (Early Help and Preventative Services lead)	December 2019
'Deep dive' activity to investigate vacancy rates for staff that reflects factors such as maternity leave.	Sarah Hammond, Sarah Hammond, Director of Integrated Services (Children's Social Work Lead)	December 2019
Further development of Kent & Medway PREVENT action plan with colleagues in Medway Council	Nick Wilkinson, Prevent and Channel Strategic Manager	March 2020 (review)
Agree appropriate level of resource to enable effective delivery of the new Kent Safeguarding Children Multi-Agency Partnership arrangements	David Whittle, Director SPRCA	March 2020

Risk ID	CRR0002	Risk Title	Safeguarding – protecting vulnerable adults			
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
The Council must fulfil its statutory obligations to effectively safeguard vulnerable adults, in a complex and challenging environment e.g. challenges relating to demand for services and consistent quality of care in the provider market.	Failure to fulfil statutory obligations.	Incident of serious harm or death of a vulnerable adult.	Penny Southern, Corporate Director Adult Social Care and Health (ASCH)	Possible (3)	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 vulnerable people.	Responsible Cabinet Member(s): Clair Bell, Adult Social Care and Public Health Mike Hill (Lead Member for PREVENT)	Target Residual Likelihood	Target Residual Impact	
In addition, the Government's "Prevent Duty" requires the Local Authority to act to prevent people from being drawn into terrorism.		Serious impact on ability to recruit the quality of staff critical to service delivery.		Possible (3)	Major (5)	
This risk links to the demand risk (CRR0006)		Serious operational and financial consequences. Attract possible intervention from a national regulator for failure to discharge corporate and executive responsibilities.				
Control Title			Control Owner			
Dedicated safeguarding team in place with countywide overview			Julie Davidson, Head of Adult Safeguarding			
Multi agency public protection arrangements in place			Julie Davidson, 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 / Julie Davidson, Head of Adult Safeguarding
Regular reporting on safeguarding takes place for Directors and elected Members to allow for scrutiny of progress	Penny Southern, Corporate 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	Julie Davidson, Head of Adult Safeguarding
Kent and Medway Safeguarding Adults Board Learning and Development Competence Framework is reviewed annually	Julie Davidson, Head of Adult Safeguarding
New framework for safeguarding practice developed as part of the new ASCH operating model	Julie Davidson, Head of Adult Safeguarding / Divisional Directors

Risk ID	CRR0003	Risk Title	Access to resources to aid economic growth and enabling infrastructure			
Source / Cause of Risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
<p>The Council seeks access to resources to develop the enabling infrastructure for economic growth, regeneration and health.</p> <p>However, in parts of Kent, there is a significant gap between the costs of the infrastructure required to support growth and the Council's ability to secure sufficient funds through s106 contributions, Community Infrastructure Levy and other growth levers to pay for it.</p> <p>At the same time, Government funding for infrastructure is limited and competitive and increasingly linked with the delivery of housing and employment outputs.</p> <p>A UK Shared Prosperity Fund is due to 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.</p>	<p>Inability to secure sufficient contributions from development to support growth and meet KCC's statutory duties.</p> <p>Funders do not recognise Kent priorities for investment.</p> <p>Lack of resources to continuously shape and determine bids.</p>	<p>Key opportunities for growth missed.</p> <p>The Council finds it increasingly difficult to fund KCC services across Kent (e.g. schools, waste services) and deal with the impact of housing growth on communities.</p> <p>Kent becomes a less attractive location for inward investment and business.</p> <p>Our ability to deliver an enabling infrastructure becomes constrained.</p> <p>Reputational risk.</p>	<p>Barbara Cooper, Corporate Director Growth, Environment and Transport (GET)</p> <p>Responsible Cabinet Member(s):</p> <p>Mike Whiting, Economic Development</p> <p>Michael Payne, Highways & Transport</p>	<p>Likely (4)</p> <p>Target Residual Likelihood</p> <p>Possible (3)</p>	<p>Serious (4)</p> <p>Target Residual Impact</p> <p>Serious (4)</p>	
Control Title			Control Owner			
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)			
Teams across the Growth, Environment and Transport directorate work with each individual District on			David Smith, Director			

composition of local infrastructure plans including priorities for the CIL and Section 106 contributions, to articulate needs for the demands on services	Economic Development / Katie Stewart, Director EPE	
Single Monitoring System (SMS) is used to track individual s106 planning obligations from the Council's initial request for developer contributions through to the issue of invoice for payment.	Economic Development / EPE	
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 its Local Industrial Strategy 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	
Local Transport Plan 4 produced and approved by County Council	Tom Marchant, Head of Strategic Planning & Policy	
KCC has responded to the Government's 'Strengthened Local Enterprise Partnerships' review	David Smith, Director Economic Development	
Action Title	Action Owner	Planned Completion Date
Engage with stakeholders to draw up an agreed Enterprise & Productivity Strategy 2018-2050	David Smith, Director Economic Development	March 2020
Respond to consultation on Government's UK Shared Prosperity Fund when available	David Smith, Director Economic Development	TBC – once consultation has been launched.
Work with LEP partners to implement new LEP arrangements arising from the 'Strengthened Local Enterprise Partnerships' review as appropriate, including contributing to the development of a Local Industrial Strategy	David Smith, Director Economic Development	April 2020
Refresh of Growth and Infrastructure Framework	Katie Stewart, Director EPE	March 2020 (proposal sign-off) March 2021 (completion)
Re-establishment of an infrastructure funding group, covering areas such as local plans, management of planning applications etc.	Tom Marchant, Head of Strategic Planning & Policy	February 2020

Risk ID	CRR0004	Risk Title	Civil Contingencies and Resilience			
Source / Cause of Risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
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. This includes responses associated with the Government's Counter-terrorism Strategy (CONTEST) 2018. 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 implications of a 'no-deal' Brexit.	<p>Failure to deliver suitable planning measures, respond to and manage these events when they occur.</p> <p>Critical services are unprepared or have ineffective emergency and business continuity plans and associated activities.</p> <p>Lack of resilience in the supply chain hampers effective response to incidents.</p> <p>Focus on 'no-deal' Brexit contingency planning means less opportunity to progress other aspects of emergencies and resilience agenda.</p>	<p>Potential increased harm or loss of life if response is not effective.</p> <p>Serious threat to delivery of critical services.</p> <p>Increased financial cost in terms of damage control and insurance costs.</p> <p>Adverse effect on local businesses and the Kent economy.</p> <p>Possible public unrest and significant reputational damage.</p> <p>Legal actions and intervention for failure to fulfill KCC's obligations under the Civil Contingencies Act or other associated legislation.</p>	<p>On behalf of CMT: Barbara Cooper, Corporate Director Growth, Environment & Transport (GET)</p> <p>Responsible Cabinet Member(s): On behalf of Cabinet: Mike Hill, Community & Regulatory Services Susan Carey, Environment</p>	<p>Likely (4)</p> <p>Target Residual Likelihood Possible (3)</p>	<p>Major (5)</p> <p>Target Residual Impact Major (5)</p>	
Control Title				Control Owner		
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	Andrew 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	Lisa Guthrie, KCC Manager, Kent Resilience Team
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	Andrew Cole, Head of ICT Strategy and Commissioning
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 / Katie Stewart, Director EPE
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 rd 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	Katie Stewart, Director EPE	
Kent Resilience Forum Local Authorities Emergency Planning group's mutual aid arrangements with District Councils and other councils across the region undertaken	Lisa Guthrie, KCC Manager, Kent Resilience Team	
KCC services have reviewed business continuity arrangements, taking potential no-deal Brexit scenarios into consideration (cross-reference to CRR0042), with coordination via Directorate Resilience Groups	Service Managers / Directorate Resilience Chairs	
KCC has a Major Emergency Plan that is refreshed regularly	Tony Harwood, Resilience and Emergencies Manager	
Action Title	Action Owner	Planned Completion Date
Continued preparations for implications of potential no-deal Brexit, including reviewing the post-event multi-agency approach to 'Recovery' phase that is led by KCC, supply chain implications etc.	Barbara Cooper, Corporate Director Growth, Environment and Transport	January 2020 (review)
Implement a work programme to deliver Kent County Council compliance with the Radiation (Emergency Preparedness and Public Information) Regulations 2019, including amendments to the Dungeness Offsite Emergency Plan	Tony Harwood, Resilience and Emergencies Manager	May 2020
Review of Kent Resilience Forum Local Authorities Emergency Planning group's mutual aid arrangements with District Councils and other councils across the region	Fiona Gaffney, Head of Resilience and Emergency Planning and Kent Resilience Team Manager (KCC)	February 2020

Risk ID	CRR0006	Risk Title	Resourcing implications arising from increasing complex adult social care demand			
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
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 public sector funding restraint, 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.	Responsible Cabinet Member(s): Clair Bell, Adult Social Care and Public Health	Target Residual Likelihood Possible (3)	Target Residual Impact Major (5)	
Adult social care services are part of a complex system to meet needs, which requires the whole system to work cohesively.						
Control Title				Control Owner		
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 and existing service users, promoting self-management to reduce dependency	Andrew Scott-Clark, Director Public Health/ ASCH Divisional Directors	
Best Interest Assessments (BIA) training package delivered as part of a rolling programme twice yearly	Julie Davidson, Interim 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	Julie Davidson, Interim 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. Set out in Kent Integration and Better Care Fund plan.	Penny Southern, Corporate Director ASCH	
New operating model for Adult Social Care and Health, including Promoting Wellbeing approach to help manage demand	Penny Southern, Corporate Director ASCH	
Action Title	Action Owner	Planned Completion Date
Development of a Whole System Programme of Change - conduct a whole system assessment across Adult Social Care & Health (ASCH) to future-proof the services facing these challenges.	Helen Gillivan, Head of Business Delivery Unit ASCH	April 2020 (review)

Risk ID	CRR0007	Risk Title	Resourcing implications arising from 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	Possible (3)	Major (5)	
At a local level KCC is faced with particular 'pressure points' in several districts.		Failure to deliver statutory obligations and duties or achieve social value.	Responsible Cabinet Member(s):	Target Residual Likelihood	Target Residual Impact	
These challenges need to be met as 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 and potentially difficult policy decisions required	Sue Chandler, Integrated Children's Services	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.				
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	Mark Janaway, 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.	Debra Exall, Strategic Relationships Advisor	
Action Title	Action Owner	Planned Completion Date
Implementation of Change for Kent Children programme – phase 2	Matt Dunkley, Corporate Director CYPE	April 2020 (review)
Examination of re-referrals following social work assessments that led to no further action, to develop greater understanding of the nature of this type of demand	Sarah Hammond, Director Integrated Children's Services (Social Work lead)	December 2019

Risk ID	CRR0009	Risk Title	Future financial and operating environment for Local Government			
Source / Cause of risk	Risk Event	Consequence	Risk Owner (s)	Current Likelihood	Current Impact	
<p>Uncertainty over the funding settlement for 2020-21 in the absence of Spending Review and current hiatus in government. Whilst some aspects of the revenue budget and medium term financial plan can be predicted with reasonable accuracy (particularly spending pressures, tax base, full year effect of current year savings and savings already identified in existing plan) the uncertainty over the funding settlement means that there are a wide range of scenarios regarding the unfunded gap. Some of the scenarios would require the council to make substantial savings in 2020-21 in order to balance the budget posing a significant risk to the council's financial sustainability and robustness of reserves.</p> <p>The uncertainty also applies to services funded via ring-fenced specific grants. Of particular concern is the special educational needs and disability (SEND) provision funded by the Dedicated Schools Grant (DSG). The high needs block of DSG has not kept pace with the substantial increase in demand for SEND (see</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. Quality of KCC commissioned / delivered services suffers as financial situation continues to worsen.</p> <p>Delays and uncertainty surrounding Spending / Fair Funding reviews impacts on KCC's medium term financial planning.</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 (Section 151 Officer)</p> <p>Responsible Cabinet Member(s):</p> <p>All Cabinet Members</p>	<p>Likely (4)</p> <p>Target Residual Likelihood</p> <p>Possible (3)</p>	<p>Major (5)</p> <p>Target Residual Impact</p> <p>Serious (4)</p>	

CRR0044) despite additional injections savings resulting is deficit accruing on DSG spending.

The uncertainty also applies to capital expenditure funded by grants. In particular, if the basic need grant is insufficient to provide the number of school places identified in the commissioning plan the authority may not have capacity to incur additional borrowing costs to make up for the shortfall.

Control Title	Control Owner
Robust budgeting and financial planning in place via Medium Term Financial Planning (MTFP) process, including stakeholder consultation	Zena Cooke, Section 151 Officer
Processes in place for monitoring delivery of savings and budget as a whole	Zena Cooke, Section 151 Officer
KCC Strategic Statement 2015-2020 and annual report outline key strategic outcomes that the Authority aims to achieve during this period	Roger Gough, Leader of the Council
KCC Quarterly Performance Report monitors key performance and activity information for KCC commissioned or delivered services. Regularly reported to Cabinet	Rachel Kennard, Chief Analyst
Ongoing oversight of implications relating to proposed Local Authority pension fund changes	Nick Vickers, Head of Financial Services
Financial analysis conducted after each budget statement	Dave Shipton, Head of Finance (Policy, Strategy and Planning)
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

Action Title	Action Owner	Planned Completion Date
Work proactively with Government regarding how the new business rate retention scheme can be most effectively implemented	Dave Shipton, Head of Finance (Policy, Strategy and Planning)	June 2020 (review)
Engage with Government for a fair-funding needs formula for Grant distribution and tariffs/top ups under business rate retention	Dave Shipton, Head of Finance (Policy, Strategy and Planning)	June 2020 (review)
Ensure appropriate response to Government Spending Review 2020	Dave Shipton, Head of Finance (Policy, Strategy and Planning)	September 2020
Assess impact of and respond to social care green paper	Penny Southern, Corporate Director ASCH	TBC – once paper is available
Assess implications arising from design of the UK Shared Prosperity Fund (cross-reference to CRR0003)	David Smith, Director Economic Development	TBC – once consultation is launched
Lobby Government for appropriate funding for KCC to cover the impacts of Brexit e.g. new burdens imposed.	Dave Shipton, Head of Finance (Policy, Strategy and Planning)	December 2019 and ongoing
Lobby Government regarding High Needs funding concerns	Dave Shipton Head of Finance (Policy, Strategy and Planning)/ Matt Dunkley, Corporate Director CYPE	June 2020 (review)
Development of new KCC Strategic Statement 2020-2025, recognising the challenging environment and setting out refreshed strategic priorities.	David Whittle, Director SPRCA	March 2020

Risk ID	CRR0014	Risk Title	Cyber-attack threats and their implications			
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 People and Communications</p> <p>Responsible Cabinet Member(s):</p> <p>Peter Oakford, Finance, Corporate and Traded Services</p> <p>Shellina Prendergast, Communications, Engagement and People</p> <p>Roger Gough, Leader of the Council</p>	<p>Likely (4)</p> <p>Target Residual Likelihood</p> <p>Possible (3)</p>	<p>Serious (4)</p> <p>Target Residual Impact</p> <p>Serious (4)</p>	

Control Title	Control Owner
Systems are configured in line with best practice security controls proportionate to the business information being handled. Systems are risk assessed and reviewed to ensure compliance is maintained	Kathy Stevens, ICT 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 / Rebecca Spore, Director Infrastructure / All Managers
Electronic Communications User Policy, Virus reporting procedure and social media guidelines in place	Andrew Cole, Head of ICT Strategy and Commissioning
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	Kathy Stevens, Compliance and Risk Manager
Messages to encourage increased awareness of information security amongst staff are being 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
A Cyber incident response and management policy has been developed which strengthens the responsibilities and accountabilities across the Authority	Kathy Stevens, ICT Compliance and Risk Manager
Changes and additions to security controls remains an on-going theme as the Authority updates and embraces new technologies.	Andrew Cole, Head of ICT Strategy and Commissioning

Action Title	Action Owner	Planned Completion Date
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	March 2020
Implementation of action plan in response to findings of independent cyber-security and resilience review	Andrew Cole, Head of ICT Strategy and Commissioning	TBC

Risk ID	CRR0015	Risk Title	Managing and working with the social care market			
Source / Cause of Risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
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)	
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.	Inability to obtain the right kind of provider supply at affordable prices.			Target Residual Likelihood	Target Residual Impact	
	Significant numbers of care home closures or service failures.		Responsible Cabinet Member(s):	Possible (3)	Major (5)	
	Providers choose not to tender for services at Local Authority funding levels or accept service users with complex needs.		Clair Bell, Adult Social Care and Public Health Roger Gough, Leader of the Council			
Control Title				Control Owner		
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				Rachel Kennard, Chief Analyst		
Regular engagement 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 review the capacity of the Home Care market with a view to developing a strategy to ensure market coverage		Clare Maynard, Head of Commissioning Portfolio – Outcome 2 and 3
Ensuring contracts have indexation clauses built-in, managed through contract monitoring		Kieran Hannan, Strategic Commissioning
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)
Older Person's accommodation strategy refreshed, which analyses demand and need and sets the future vision and direction for accommodation to support vulnerable Kent residents alongside the Adult Social Care Strategy – Your Life, Your Wellbeing.		Penny Southern, Corporate Director ASCH
Phase 1 of Care and Support in the Home Services contract live, combining homecare and community based supporting independence services. This has reduced the number of care packages being placed off contract		Tracey Schneider, Commissioning Manager
Ongoing work to improve maturity of the market		Vincent Godfrey, Strategic Commissioner
Action Title	Action Owner	Planned Completion Date
Community Support Market Position Statement being refreshed, to inform market shaping, oversight and sustainability	Simon Mitchell, Interim Commissioner	March 2021
Implementation of phase 2 of the Care in the Home Services refresh, bringing the various Discharge services and Supported Living Services under the Care in the Home Umbrella.	Tracey Schneider, Commissioning Manager	April 2020
Commissioning of Disability and Mental Health Residential Care services, including consideration of changes to current sleep-in arrangements. Procurement stages align with phase 2 of the Care in the Home Services contracts	Paula Watson, Senior Commissioner	April 2020
Analytical work is being conducted on assessments and reviews in adult social care to help inform key commissioning activity	Rachel Kennard, Chief Analyst	March 2020 (review)

Risk ID	CRR0016	Risk Title 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)				
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 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 (see risk CRR0003) 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>There is still uncertainty regarding the 2021/2022 Basic Need allocation, which means that the council will need to enter into contracts without certainty over future funding</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>Responsible Cabinet Member(s):</p> <p>Richard Long, Education and Skills</p>	<p>V. Likely (5)</p> <p>Target Residual Likelihood</p> <p>Likely (4)</p>	<p>Serious (4)</p> <p>Target Residual Impact</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	Keith Abbott, Director Education Planning and Access	
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	
Action Title	Action Owner	Planned Completion Date
Lobbying continues - meetings with senior officials from the ESFA and civil servants to outline and evidence the risks and issues	Keith Abbott, Director of Education, Planning and Access / Rebecca Spore,	January 2020 (review)

Director of Infrastructure

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

Control Title	Control Owner	
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 Modules 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 People and Communications	
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	
Action Title	Action Owner	Planned Completion Date
Investigate the costs and benefits of introducing additional information governance controls utilising capabilities of Microsoft Office 365	David Whittle, Director SPRCA/Ben Watts, General Counsel	January 2020
Review methods of recording data breaches and identification / analysis of trends	Ben Watts, General Counsel	March 2020

Risk ID	CRR0040	Risk Title	Financial, governance and service delivery risks associated with KCC's Local Authority Trading Companies (LATCos)			
<p>Source / Cause of risk</p> <p>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.</p> <p>As with any new company start up, there will also be risks to be managed.</p> <p>With the increased number of wholly-owned companies, 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.</p> <p>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.</p>	<p>Risk Event</p> <p>Expected financial dividends not met or return on investment takes longer than planned to achieve.</p> <p>One or more company acts in a way that does not fit with KCC's values.</p> <p>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.</p> <p>Insufficient quality of service from company to KCC 'client'.</p>	<p>Consequence</p> <p>Additional pressures on Council budget.</p> <p>Reputational damage.</p> <p>Companies may not be able to take advantage of commercial opportunities if decision-making is restricted.</p>	<p>Risk Owner</p> <p>Ben Watts, General Counsel</p> <p>Zena Cooke, Corporate Director Finance (s151 Officer)</p> <p>Responsible Cabinet Member(s):</p> <p>Peter Oakford, Finance, Corporate and Traded Services</p>	<p>Current Likelihood</p> <p>Possible (3)</p> <p>Target Residual Likelihood</p> <p>Unlikely (2)</p>	<p>Current Impact</p> <p>Significant (3)</p> <p>Target Residual Impact</p> <p>Moderate (2)</p>	

Control Title	Control Owner	
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	Diane Trollope, Head of Engagement and Consultation	
KCC's Group Audit function conducts audits for KCC-owned companies	Francesca Chivers, Audit Manager	
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	Peter Oakford, Cabinet Member for Finance, Corporate and Traded Services / Ben Watts, General Counsel / Zena Cooke, Section 151 Officer	
Action Title	Action Owner	Planned Completion Date
Finalise implementation of holding arrangements for KCC's companies	Ben Watts, General Counsel	March 2020

Risk ID	CRR0042	Risk Title Post-Brexit border systems, infrastructure and regulatory arrangements				
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
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 after 31 st January 2020 or at the end of an agreed transition period in December 2020	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	Very Likely (5)	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 Brock and other mitigations for port delays.	Responsible Cabinet Member(s):	Target Residual Likelihood	Target Residual Impact	
	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.	Michael Payne, Highways & Transport	Very Likely (5)	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 & Regulatory Services			

Control Title	Control Owner	
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.	Barbara Cooper, Corporate Director GET	
KCC membership and support to the Kent Resilience Forum	Mike Overbeke, Head of Public Protection	
Operation Fennel strategic plan in place	Barbara Cooper, Corporate Director GET (KCC lead)	
KCC involvement in Operation Fennel Strategic and Tactical Groups (multi-agency planning groups for potential disruption at Port of Dover and Eurotunnel). KCC to chair Strategic Group as arrangements revert back to planning phase.	Barbara Cooper, Corporate Director GET (KCC lead)	
KCC contribution to multi-agency communications in the 'response' phase, and leadership of communications in the 'planning' and 'recovery' phases	Christina Starte, Head of Communications	
KCC cross-directorate Resilience Forum reviews latest situation regarding Brexit preparedness	Stephanie Holt-Castle, Interim Director Special Projects	
KCC Brexit Lead Officer appointed, as key liaison with Government departments for Brexit planning.	Barbara Cooper, Corporate Director GET	
KCC services are continually reviewing business continuity arrangements, taking potential no-deal Brexit scenarios into consideration (cross-reference to CRR004), with coordination via Directorate Resilience Groups	Service Managers / Directorate Resilience Group Chairs	
Funding secured via Government Depts for direct impact costs of Brexit in the county	Barbara Cooper, Corporate Director GET	
Action Title	Action Owner	Planned Completion Date
KCC continues to make a case for further funding from the Ministry of Housing, Communities and Local Government (MHCLG) and Department for Transport (DfT) for direct impact costs of Brexit in the county.	Barbara Cooper, Corporate Director GET	January 2020 (review)
Continued preparations for implications of potential no-deal Brexit, including reviewing the post-event multi-agency approach to 'Recovery' phase that is led by KCC, supply chain implications etc. (cross-reference to CRR0004).	Barbara Cooper, Corporate Director GET	January 2020 (review)

Risk ID	CRR0044	Risk Title	High Needs Funding shortfall			
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
<p>The pressure on the High Needs budget within Kent has been identified as the highest revenue budget risk. 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 their DSG account.</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 CRR0046)</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 (3)</p>	<p>Major (5)</p> <p>Target Residual Impact Serious (4)</p>	

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.	Janice Venn, Finance Business Partner / Keith Abbott, Director of Education Planning and Access	
Specific top up funding rates provided for SEND pupils placed in mainstream schools for eligible children and young people, agreed with Schools' Funding Forum.	Janice Venn, Finance Business Partner / Keith Abbott, Director of Education Planning and Access	
Block payment arrangement negotiated with Further Education colleges for 2018-19 and 2019-20. 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.	Janice Venn, Finance Business Partner / Keith Abbott, Director of Education Planning and Access	
Action Title	Action Owner	Planned Completion Date
Implementation of SEND Written Statement of Action to better address the relationship between learner need, outcomes, provision and cost. Including: <ul style="list-style-type: none"> - Building capacity and an inclusive ethos in mainstream schools to improve teaching and confidence in supporting more children with higher levels of need. - Tighter commissioning arrangements to drive down the cost of placements in Independent Non-Maintained Special Schools 	Matt Dunkley, Corporate Director CYPE	March 2020 (review)
Further develop block payment funding arrangements with Further Education colleges, in order to provide stability in High Needs funding to both parties	Janice Venn, Finance Business Partner	April 2020 (review)
As required by the DfE, a recovery plan is to be produced (if accumulated DSG reserve deficit balance exceeds 1% of total DSG allocation) outlining how KCC can bring in-year spending in line with in-year funding, and fully	Keith Abbott, Director of Education Planning and Access / Zena Cooke,	May 2020

repay the accumulated deficit on the DSG reserve account. To be presented to the Schools' Funding Forum and approved by the Council's Section 151 Officer

Corporate Director Finance and s151 Officer.

Risk ID	CRR0045	Risk Title: Effectiveness of governance within a Member-led Authority				
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
<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>KCC's constitution explicitly references its Member-led / Officer managed demarcation, which consequently 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>Professional / statutory officers failing in their duty to provide robust professional advice needed by Members to effectively discharge their member leadership role, or unwillingness of elected Members to appropriately consider advice from professional / statutory officers.</p> <p>Over reliance on informal governance arrangements and political group meetings to direct</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 (MTFP).</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>Roger Gough, Leader of the Council</p> <p>David Cockburn, Head of Paid Service</p>	<p>Unlikely (2)</p> <p>Target Residual Likelihood</p> <p>Very Unlikely (1)</p>	<p>Major (5)</p> <p>Target Residual Impact</p> <p>Major (5)</p>	

officers and make decisions outside of formal statutory decision-making and scrutiny arrangements.

Policy options regarding the service offer of the Council are not adequately or appropriately considered within the budget development/approval process.

Failure of the governance structures 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.

Control Title	Control Owner
Strategic Statement agreed by County Council and published setting out medium-term objectives and priorities of the Council	Roger Gough, 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, Section 151 Officer
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 People and Communications

Appropriately detailed and timely financial monitoring reports considered by Cabinet and Cabinet Committees	Zena Cooke, Section 151 Officer	
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, Section 151 Officer	
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	
Informal governance arrangements authorised by the KCC Constitution have been published on KNet, as a practical guide for how officers work with elected Members to help them support effective decision making for our service users, residents and communities.	David Whittle, Director SPRCA	
New operating standards for KCC officers that support KCC's constitution published on KNet, signposting officers to essential policy information and additional guidance on specific topics, to help officers discharge their responsibilities effectively.	David Whittle, Director SPRCA	
A single Strategic Delivery Plan for KCC has been developed	David Whittle, Director SPRCA	
Action Title	Action Owner	Planned Completion Date
Review of informal governance arrangements	David Whittle, Director SPRCA	March 2020
Further amendments to KCC's Constitution	Ben Watts, General Counsel	May 2020
Review of KCC Operating Standards	David Whittle, Director SPRCA	March 2020
Ongoing review of effectiveness of Cabinet Committees and consideration of alternative arrangements	Roger Gough, Leader of the Council / Ben Watts, General Counsel	June 2020 (review)

Risk ID	CRR0046	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 set timescales.	Adverse impact on outcomes for vulnerable young people	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.			Dissatisfaction from families		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.			Potential for legal action if statutory time limits or processes are not met.	Responsible Cabinet Member(s): 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),						
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				Matt Dunkley, Corporate Director CYPE (KCC lead)		
SEND Improvement Board established, 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				Matt Dunkley, Corporate Director CYPE (KCC lead)		

developed to address each area of significant weakness		
SEND Change for Kent Children Board in place, with responsibility for coordinating activity and tracking progress across the five identified workstreams in the Written Statement of Action		Keith Abbott, Director of Education Planning and Access
Action Title	Action Owner	Planned Completion Date
Kent Joint SEND vision to be finalised in conjunction with parents, which will be used to guide the actions within the Written Statement of Action and development of the new SEND strategy.	Matt Dunkley, Corporate Director CYPE (KCC lead)	December 2019
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	Keith Abbott, Director of Education Planning and Access	July 2020 (review)
In collaboration with partners, implement the Kent Written Statement of Action, covering five key workstreams relating to: -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	Keith, Abbott, Director of Education, Planning and Access / Head of SEN Assessment and Placement / Rachel Jones, Director of Acute Strategy and Partnerships (NHS)	March 2020 (review)
Inform Government-commissioned review into support for children with SEND	Matt Dunkley, Corporate Director CYPE / Keith Abbott, Director Education Planning and Access.	Ongoing

Risk ID	CRR0047	Risk Title: Maintenance and modernisation of KCC Estate				
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
While there has been significant investment in parts of our estate over time, there will never be enough funding available to satisfy all aspirations relating to modernisation of our estate. It is becoming increasingly challenging to ensure that all of our property assets are maintained to a sufficient standard, so that they are safe and fit-for-purpose. As parts of our estate age (e.g. some of our schools and our corporate headquarters), maintenance and / or modernisation costs will increase, and will be sub-optimal in terms of our environmental footprint and supporting new working practices. Ongoing investment to maintain and modernise our estate continues to compete with the other priorities to protect frontline services from effects of public sector funding restraint. Property asset considerations need to be viewed as part of a strategic picture alongside technology and people strategies and the appetite for change tested.	Insufficient investment in KCC estate to ensure it remains safe and fit-for-purpose.	Business interruption due to increasing level of reactive / emergency repairs required, or parts of the estate decommissioned (in whole or partially) if deemed unsafe Adverse impact on achievement of environmental targets. Adverse impact on opportunities to rethink current working practices and adopt new ways of working Impact on staff morale and productivity.	On behalf of CMT: Rebecca Spore, Director of Infrastructure Responsible Cabinet Member(s): Peter Oakford, Finance, Corporate and Traded Services	Likely (4)	Serious (4)	
				Target Residual Likelihood	Target Residual Impact	
				Possible (3)	Serious (4)	

Control Title	Control Owner	
Service Asset Utilisation Board reviews how service strategies align with use of assets and potential for changes	Barbara Cooper, Corporate Director GET	
Safety factors associated with our assets are given priority during the budget setting process.	Zena Cooke, Corporate Director Finance	
An annual programme of planned preventative maintenance is undertaken at KCC sites by the relevant Facilities Management contract partners	Vikram Bhatia, Infrastructure Commissioning	
Property commissioning function takes a 'hands on' approach to building compliance management	Vikram Bhatia, Infrastructure Commissioning	
Action Title	Action Owner	Planned Completion Date
Revisit KCC's Property Asset Strategy, reviewing the principles and ensuring an effective locality offer matched to need, in the context of financial constraints	Rebecca Spore, Director of Infrastructure	February 2020 (review)
Development of rolling 3-year Condition Programme in order to gain a clearer picture of long-term backlog of works	James Sanderson, Strategic Capital Programme Manager	March 2020 (review)
Consolidated lifecycle plan to be developed for properties	Lifecycle Programme Manager	March 2020 (review)

Risk ID	CRR0048	Risk Title: Fraud and Error				
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
As with any organisation, there is an inherent risk of fraud and / or error that must be acknowledged and proactively managed. It is critical that management implements a sound system of internal control and demonstrates commitment to it at all times, and that investment in fraud prevention and detection technology and resource is sufficient. This includes ensuring that new emerging fraud / error issues are sufficiently risk assessed.	Failure to prevent or detect significant acts of fraud or error from either internal or external sources.	Financial Loss Reputational damage	Zena Cooke, Corporate Director Finance and s151 Officer. Responsible Cabinet Member(s): Peter Oakford, Finance, Corporate and Traded Services	Possible (3)	Serious (4)	
				Target Residual Likelihood	Target Residual Impact	
				Unlikely (2)	Significant (3)	
Control Title				Control Owner		
Anti-fraud and corruption strategy in place and reviewed annually				James Flannery, Counter-Fraud Manager		
Systems of internal control which aim to prevent fraud and increase the likelihood of detection				Corporate Management Team / Statutory Officers		
Internal Audit includes proactive fraud work in its annual audit plan, identifying potential areas where frauds could take place and checking for fraudulent activity.				Jonathan Idle, Head of Internal Audit		
Training and awareness raising is conducted periodically				James Flannery, Counter-Fraud Manager / Amanda Beer, Corporate Director People and Communications		
Preventing Bribery Policy in place, presenting a clear and precise framework to understand and implement the arrangements required to comply with the Bribery Act 2010				James Flannery, Counter-Fraud Manager		

Whistleblowing Policy in place for the reporting of suspicions of fraud or financial irregularity	James Flannery, Counter-Fraud Manager	
KCC is part of the Kent Intelligence Network (KIN), a joint project between 12 district councils, Medway Council, Kent Fire & Rescue and Kent County Council which analyses and data matches financial and personal information to allow fraudulent activity in locally administered services to be detected more proactively within Kent	Nick Scott, Operations Manager, Kent Intelligence Network / James Flannery, Counter-Fraud Manager (KCC lead)	
An agreed Memorandum of Understanding is in effect with partners (District Councils, Police and Fire Service) outlining the minimum standards expected to be applied by collection authorities (District Councils) to address fraud and error relating to council tax and business rates. Additional work jointly funded to identify and investigate high risk cases based on each authority's share of the tax base.	Dave Shipton, Head of Finance (Policy, Strategy and Planning)	
Action Title	Action Owner	Planned Completion Date
Review levels of proactive and reactive counter-fraud work to ensure an optimum balance and address the impact of the scale of referrals received upon the team's ability to deliver preventative work and proactive fraud work, which returns savings and other benefits to the Council	James Flannery, Counter-Fraud Manager	TBC
Fraud risk assessments have been developed by the Counter-Fraud team and are being considered by service directorates to aid awareness and facilitate appropriate mitigations.	Directorate Management Teams	March 2020 (review)
Review existing arrangements for segregation of duties, with focus on high risk areas e.g. commissioning / procurement.	James Flannery, Counter-Fraud Manager	March 2020 (review)

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From: Michael Payne, Cabinet Member for Highways and Transport
Barbara Cooper, Corporate Director Growth Environment and Transport

To: Cabinet

Subject: Decision No: 19/00085 Thanet Parkway Railway Station – Delivery

Key decision *Expenditure of > £1m*

Classification: **Unrestricted**

Past Pathway of Paper: Environment and Transport Cabinet Committee 29/11/19

Future Pathway of Paper: N/A

Electoral Division: Ramsgate
Birchington & Rural

Summary: This report sets out the progress to date on the proposed Thanet Parkway Railway Station. It explains that Kent County Council will commit up to £17.81m to complete the funding package for the scheme (£34.51m) which will secure a significant contribution (£14m) of Local Growth Fund Money (LGF) from the South East Local Enterprise Partnership (SELEP) and enable the scheme to be delivered. Following completion of the outline design and submission of a revised planning application, the next stage of the project is to undertake detailed design, and subject to planning determination, progress into the delivery stage of the scheme. A decision to progress with delivery is required now so as not to delay the project programme and allow the spend of the LGF money by the end of the Growth Deal Period (March 2021).

Recommendation(s): Cabinet is asked to take the decision (as attached decision sheet at Appendix A) to:

1) agree to progress and deliver the Thanet Parkway Railway Station project (up to a total KCC contribution of £17.81m), which will include the following key activities;

- a) undertaking detailed design; and subject to planning approval;
- b) completing the acquisition of the land; and
- c) entering into contracts as necessary for construction.

2) delegate authority to the Corporate Director of Growth, Environment & Transport, in consultation with the Cabinet Member for Highways and Transport, to take appropriate actions necessary to implement this decision, including but not limited to, deciding the preferred procurement route and entering in relevant contracts (of which KCC's contribution is to the maximum value of £17.81m) or other legal agreements.

1. Introduction

- 1.1 Poor accessibility in East Kent is a critical barrier that has limited the potential of the area to attract inward investment, which has served historically to undermine the potential for regeneration and has also limited the catchment for employment opportunities for local residents. As such, improving connectivity is a vital step in unlocking development potential and attracting investment and job opportunities for local people in East Kent.
- 1.2 The proposed Thanet Parkway station will address these issues by capitalising on the High Speed 1 services and the Journey Time Improvement (JTI) scheme, which together will bring Thanet to around one hour's journey time of London, thereby improving the perception of East Kent as a place for investment, especially at nearby business parks such as Discovery Park.
- 1.3 The new station will be located on the Ashford International to Ramsgate railway line, south of the Manston Airport site and just to the west of the village of Cliffsend. It will be served by both Mainline and High-Speed trains. It will offer transport links to the surrounding highway network via the A299 Hengist Way as well as offering local connections for pedestrians and cyclists.
- 1.4 The new station is a strategic priority in *Local Transport Plan 4: Delivering Growth without Gridlock (2016 – 2031)* and strongly fits with the objectives of the council's Strategic Statement *Increasing Opportunities, Improving Outcomes (2015-20)*. The project also has support from Thanet District Council and Dover District Council, and features in the *Strategic Economic Plan* produced by the South East Local Enterprise Partnership (SELEP). Additionally, the project aligns with national, regional and local transport objectives.
- 1.5 A previous Key Decision was taken by the Cabinet Member for Environment and Transport on 1 August 2014 (14/00056) which approved taking forward the delivery of Thanet Parkway Station in the location to the west of Cliffsend by:
 - a) Commencing land acquisition work;
 - b) Undertaking public consultations to support the project development process; and
 - c) Undertaking project development work to enable the submission of a planning application and design work for the scheme.

2. Current status of the project

- 2.1 Thanet Parkway Railway station is a complex and multifaceted project including a new station, car park, junction and highway improvements, a pedestrian/cycle link and upgrades to nearby level crossings. The scheme comprises:
 - Two platforms of 252m length and 2.6m width to cater for 12-car, 20.2m rolling stock.
 - Each platform will have lighting columns with CCTV cameras and a public-address system, two customer information displays and one help point, plus shelters.
 - Lifts and stairs up to the platforms.
 - Refurbishment of the existing subway (Petley's Arch), a Public Right of Way, for access between platforms

- A car park for 299 cars, plus an additional 20 bays for pick-up/drop-off and taxi parking. The car park includes 16 disabled bays and 19 spaces for electric vehicles. Cycle parking and two bus stops will also be provided.
 - Vehicular access via a new junction on the A299 Hengist Way to a new access road to the station.
 - Pedestrian and cycle access will be provided via Clive Road on a new cycle/pedestrian path.
 - Passive provision for a 12m x 6m standard modular building – Whilst the station has been designed to be unstaffed, should the Train Operating Company choose to, this passive provision would enable the development of a covered waiting area, booking office, staff accommodation and public toilets.
- 2.2 A planning application was submitted in May 2018 based on a design which contained a footbridge as the means of access between the two platforms. Comments received from consultees during the planning consultation made the case that the visual impact of the footbridge structure would be significant given the station is already on an embankment.
- 2.3 In response to these concerns, the design of the station has subsequently been amended to remove the footbridge and utilise an existing subway as a means of accessing the platforms. The new station layout plan and artist's impressions for the scheme are attached as Appendix B.
- 2.4 The new design for the station and car park has been progressed through Network Rail's 'Governance in Railways Investment Projects' (GRIP) Stage 4 (single option development or outline design), with Network Rail sign-off of this stage expected on 22nd November. The equivalent level of outline design has been completed by consultants WSP for the highway junction – which has also been amended in the new application from an all movements junction to a left-in, left-out arrangement.
- 2.5 Further, following a review of risk to the railway, Network Rail have confirmed that upgrades to Cliffsend and Sevenscore level crossings are required to allow Parkway to operate. Whilst the station works are at the GRIP4 stage (outline design), the level crossing works are at GRIP1 (output definition). Network Rail need to be commissioned to progress the level crossing work to GRIP4 to confirm the type of upgrade required and the subsequent cost of the works.
- 2.6 The original planning application has been withdrawn and a new planning application with the revised design has been submitted to Kent County Council (KCC) as the determining authority (due to KCC retaining an interest in the site with the car park) last month (November 2019). A determination is expected in May 2020.
- 2.7 The acquisition of the land had been delayed due to the revisions of the scheme design and construction requiring new access arrangements, however, negotiations are now ongoing to secure the site and draft Heads of Terms have been issued. Land purchase is subject to planning approval and therefore will be completed following planning determination.
- 2.8 With outline design completed, planning submitted, and the land acquisition being progressed, the project is ready to be taken forward to the 'delivery'

phase. This phase will require the procurement of detailed design for both the highways and rail elements of the scheme; and subject to planning approval, completion of the land acquisition and entering into contracts for the build of the infrastructure. A decision is therefore required to permit these activities.

- 2.9 The timing of this decision is critical to the deliverability of the scheme. The project programme is constrained by the Local Growth Fund (LGF) funding which needs to be spent (or committed to be spent) by the end of the Growth Deal period (31st March 2021). In order to meet this deadline, KCC will need to procure the design and delivery of the project by the end of February 2020 at the latest.

3. Financial implications

- 3.1 A revised cost estimate for the scheme was produced in September 2019. This was based on a GRIP4 estimate of the station and car park works from Network Rail, a pre-GRIP estimate of the level crossing works by Network Rail and a revised cost estimate by highways cost consultants for the junction and archaeological mitigation works. Costs for a car park being delivered by a highways contractor were also requested to enable a cost comparison against Network Rail's estimate.

- 3.2 The current total cost estimate for the scheme is £34.51m comprising:

- 3.2.1 £19.99m for the station and car park (at 80% probability and inclusive of 11% contingency);
- 3.2.2 £10.20m for the level crossing upgrades (at 10% probability and inclusive of 57% contingency – this level of contingency is standard industry practice with work at GRIP1 stage);
- 3.2.3 £4.14m for other costs including the highway junction works, archaeological mitigation works, land purchase, planning costs, legal costs and fees. This figure is inclusive of spend to date of project development work (design and planning).

- 3.3 The funding secured to date to deliver the station is comprised of:

- 3.3.1 £2.65m KCC capital contribution, which was previously agreed under decision 14/00056 and has been used to develop the project to date;
- 3.3.2 £14m from the Local Growth Fund (LGF) (administered by the South East Local Enterprise Partnership (SELEP));
- 3.3.3 £2m from Thanet District Council; and
- 3.3.4 £0.7m from the East Kent Spatial Development Company.

- 3.4 With the funding secured to date, the project requires a further £15.16m if it is to be delivered. Unless this full funding cost is met, KCC will not be able to continue to progress the project, given the need to procure the project by February 2020 and prior to that, securing an in-principle confirmation of the SELEP funding of £14m. In taking the proposed decision, Cabinet will commit KCC to fund the funding gap of £15.16m, whilst continuing to explore external funding opportunities.

- 3.5 This commitment will be key to enabling KCC to draw down the £14 million of LGF money from SELEP, for which KCC is required to demonstrate to the SELEP Accountability Board in February that a complete funding package is in place for the scheme. As the scheme estimate has increased, a final gate review of the business case by the SELEP Independent Technical Evaluator (ITE) is also required. This gate review will be completed in January 2020 ahead of final approval at the SELEP Accountability Board on 14th February 2020.
- 3.6 The project business case has been updated following the revised project estimate and still demonstrates very high value for money in the Value for Money (VfM) assessment. The station is commercially viable (net fares revenue is in excess of the on-going cost). Depending on the operating model, there is the potential for the station car park to provide a future income to KCC of around £68,000 per year net revenue based on a £3.50 per day charge.
- 3.7 There is no maintenance and operating cost to KCC for the station, as the station will be managed by the Train Operating Company (TOC) under a station lease agreement with Network Rail.
- 3.8 In terms of service provision, the Department for Transport (DfT) require the promotor to demonstrate that the proposed train service covers its net operating cost from newly generated revenue. Where there is a shortfall the scheme promotor (KCC) must fund the net shortfall for the first three years, after which the service must cover net operating costs from newly generated revenue. The business case demonstrates that from opening year the estimated annual revenue from newly generated fares is expected to be £578,000 (discounted to a 'present value year' of 2010) which will exceed the £139,190 (at 2018 prices) estimated annual operating cost of the station. The risk that this KCC revenue commitment materialises is therefore low and will be limited to £139,190 (at 2018 prices) per annum for three years. However, should the passenger demand for the station not materialise, KCC will need to revenue fund up to this amount (£139,190 at 2018 prices) per year for the first three years after the station opens.
- 3.9 KCC will maintain ownership of the car park retaining responsibility for its operation and maintenance. Demand modelling undertaken indicates that the income from the car park will be sufficient to cover the cost of operation and maintenance. Should actual demand for the station not reach the modelled demand, then there will be a revenue requirement that KCC will need to meet. The business case shows car park income in year 1 equates to £168,000 (discounted to a 'present value year' of 2010) which exceeds the £84,240 (at 2018 prices) per annum operating cost. The likelihood of this risk materialising is therefore low and will be limited to £84,240 (2018 prices) per annum. However, should the demand for the car park not materialise, KCC will need to revenue fund up to this amount (£84,240 at 2018 prices) per year.
- 3.10 As the scheme enters the detailed design phase, there is a potential risk of cost escalation given the GRIP4 estimates are based on a probability of 80%. Brexit may also result in increased costs due to contractor and or materials availability. To mitigate, the project cost estimate contains an allowance for contingency (11% on Station and car park works and 57% of level crossings works), and

therefore it is expected that the final cost of the scheme will reduce below the current estimate. KCC will see its contribution to the funding envelope reduce with any reduction in the realised scheme costs, however, cost escalation will need to be met by KCC should it occur. All other potential external funding opportunities will also continue to be explored to reduce KCC's contribution to the scheme.

4. Risks

4.1 The LGF funding (£14m) is required to be spent by March 2021, although project completion is scheduled for December 2022 (Financial year 2022/2023). A revised spend profile for the scheme is required following the revised cost estimate, however, it is anticipated that £9.3m of LGF money can be spent prior to the March 2021 deadline, with the remaining £4.7m to be spent the following year. SELEP have set out five conditions to be satisfied to allow spend beyond the March 2021 deadline, to which KCC will demonstrate compliance:

- 4.1.1 A clear delivery plan with specific delivery milestones and completion date to be agreed by the Board;
- 4.1.2 A direct link to the delivery of jobs, homes or improved skills levels within the SELEP area;
- 4.1.3 All funding sources identified to enable the delivery of the project. Written commitment will be sought from the respective project delivery partner to confirm that the funding sources are in place to deliver the project beyond the Growth Deal;
- 4.1.4 Endorsement from the SELEP Strategic Board that the funding should be retained against the project beyond 31st March 2021; and;
- 4.1.5 Contractual commitments being in place with construction contractors by 31st March 2021 for the delivery of the project.

5. Next steps

5.1 In order to progress the scheme, the project team intend to commission Network Rail to undertake GRIP1-4 for the level crossings, a detailed design and subsequent build of the station and car park (GRIP5-8) and commission detailed design for the highway junction works, followed by the award of a build contract.

5.2 The proposed decision (Appendix A) asks Cabinet to agree to progress and deliver the Thanet Parkway Railway Station project (up to a total KCC contribution of £17.81m), which will include:

- a) undertaking detailed design; and subject to planning approval;
- b) completing acquisition of the land; and
- c) entering into contracts as necessary for construction.

5.3 The proposed Cabinet decision also asks that authority is delegated to the Corporate Director of Growth, Environment & Transport, in consultation with the Cabinet Member for Highways and Transport, to take appropriate actions necessary to implement this decision, including but not limited to, deciding the preferred procurement route and entering in relevant contracts (of which KCC's contribution is to the maximum value of £17.81m) or other legal agreements.

6. Legal implications

- 6.1 Invicta Law is providing advice and the land acquisition will be completed by KCC Infrastructure. Any further legal implications to be established through continued engagement with Invicta Law Ltd and Strategic Commissioning.

7. Equalities implications

- 7.1 The Equalities Impact Assessment (EqIA) is attached at Appendix C.
- 7.2 A non-statutory pre-planning consultation was held from January to March 2017. As part of the consultation questionnaire, respondents were asked about their views on the EqIA and the proposals for the station. Following the changes to the design from footbridge to subway, a number of representative groups were contacted in March 2019 for their views on the use of subways at stations. These views are being considered as part of the design process as the station progresses.

8. Data Protection implications

- 8.1 A Data Protection Impact Assessment is not required as this project does not require the processing of personal data.

9. Other corporate implications

- 9.1 Following delivery of the scheme, the KCC Corporate Landlord will retain ownership of the car park, retaining responsibility for its operation and maintenance.

10. Governance

- 10.1 The Executive Scheme of Delegation for Officers set out in Appendix 2 Part 4 of the Constitution (and the directorate schemes of sub-delegation made thereunder) provides the governance pathway for the implementation of this decision by officers. It specifies at 1.9 of the scheme that once a Member-level decision has been taken, the implementation of that decision will normally be delegated to officers.
- 10.2 In this instance, the Corporate Director Growth Environment and Transport is the lead officer seeking to ensure that all such steps as are necessary to implement the decision are undertaken.
- 10.3 The project is also governed by a number of groups and boards to ensure oversight and stakeholder input. The Project Review Board chaired by Network Rail meets monthly and consists of KCC officers and the Train Operating Company (Southeastern). An internal KCC officer Project Board meets quarterly (or more often as required). Written updates are provided to external stakeholders Thanet District Council and Dover District Council. As part of the LGF governance process, monthly Programme Boards are held that receive project updates and collate a highlight report. This then informs the monthly Sponsoring Group meetings. Sponsoring Group consists of the Corporate

Director Growth Environment & Transport, Head of Finance, Director Environment, Planning & Enforcement, Director Highways, Transportation & Waste, Transportation Head of Service and the Major Capital Programme Manager. This meeting discusses high-level programme and financial progress.

11. Conclusions

11.1 A decision is needed to enable KCC to progress the delivery of Thanet Parkway Railway Station through detailed design and construction, subject to planning approval. The project has made significant progress through feasibility and into outline design, but now requires a formal decision to allow it to proceed through detailed design to station delivery and ultimately entry into service.

12. Recommendation

12.1 Cabinet is asked to take the decision (as attached decision sheet at Appendix A) to:

1) agree to progress and deliver the Thanet Parkway Railway Station project (up to a total KCC contribution of £17.81m), which will include the following key activities;

- a) undertaking detailed design; and subject to planning approval;
- b) completing the acquisition of the land; and
- c) entering into contracts as necessary for construction.

2) delegate authority to the Corporate Director of Growth, Environment & Transport, in consultation with the Cabinet Member for Highways and Transport, to take appropriate actions necessary to implement this decision, including but not limited to, deciding the preferred procurement route and entering in relevant contracts (of which KCC's contribution is to the maximum value of £17.81m) or other legal agreements.

13. Background Documents

Appendix A: Proposed Record of Decision

Appendix B: Station layout plan and artist's impressions

Appendix C: Equalities Impact Assessment (EqIA)

14. Contact Details

Report Author: Joseph Ratcliffe, Transport Strategy Manager 03000 413445 joseph.ratcliffe@kent.gov.uk	Relevant Director: Katie Stewart, Director Environment, Planning and Enforcement 03000 418827 katie.stewart@kent.gov.uk
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KENT COUNTY COUNCIL – PROPOSED RECORD OF DECISION

DECISION TO BETAKEN BY:

Cabinet

DECISION NO:

19/00085

For publication

Thanet Parkway Railway Station – Scheme Delivery

Key decision: YES

Key decision criteria. The decision will:

- a) *result in savings or expenditure which is significant having regard to the budget for the service or function (currently defined by the Council as in excess of £1,000,000); or*
- b) *be significant in terms of its effects on a significant proportion of the community living or working within two or more electoral divisions – which will include those decisions that involve:*
 - *the adoption or significant amendment of major strategies or frameworks;*
 - *significant service developments, significant service reductions, or significant changes in the way that services are delivered, whether County-wide or in a particular locality.*

Subject Matter / Title of Decision

Thanet Parkway Railway Station – Scheme Delivery

Decision:

The Cabinet agrees to the progression and delivery of the Thanet Parkway Railway Station project (up to a total KCC contribution of £17.81m), which will include the following key activities;

- a) undertaking detailed design; and subject to planning approval;
- b) completing acquisition of the land; and
- c) entering into contracts as necessary for construction.

And;

Agrees to delegate authority to the Corporate Director of Growth, Environment & Transport, in consultation with the Cabinet Member for Highways and Transport, to take appropriate actions necessary to implement this decision, including but not limited to, deciding the preferred procurement route and entering in relevant contracts (of which KCC's contribution is to the maximum value of £17.81m) or other legal agreements.

Governance:

The Executive Scheme of Delegation for Officers set out in Appendix 2 Part 4 of the Constitution (and the directorate schemes of sub-delegation made thereunder) provides the governance pathway for the implementation of this decision by officers. It specifies at 1.9 of the scheme that once a Member-level decision has been taken, the implementation of that decision will normally be delegated to officers.

In this instance, the Director Growth Environment and Transport is the lead officer seeking to ensure that all such steps as are necessary to implement the decision are undertaken.

Reason(s) for decision:

Background

A previous Key Decision was taken by the Cabinet Member for Environment and Transport on 1 August 2014 (14/00056) which approved the delivery of Thanet Parkway Station in the location to the west of Cliffsend, involving:

- a) Commencing land acquisition work;
- b) Undertaking public consultations to support the project development process; and
- c) Undertaking project development work to enable the submission of a planning application and design work for the scheme.

The feasibility design for the scheme received Approval in Principle (equivalent to Network Rail's 'Governance in Railway Investment Projects Stage 3' [GRIP 3] status) in August 2017. Following that milestone, the scheme was progressed through outline design (GRIP 4) and planning application was submitted in May 2018.

Comments received during the planning process regarding the visual impact of the scheme led to changes in the scheme design. As a result, the design work and planning application documents have been amended and are being readied for a resubmission of the planning application in November 2019.

Negotiations for land acquisition have been ongoing with the intention to enter into a contract following this decision approval.

A decision is required to proceed with the delivery of the scheme in order to meet the project delivery programme.

How the proposed decision meets the objectives of 'Increasing Opportunities, Improving Outcomes: Kent County Council's Strategic Statement (2015-2020)'

Since 2010, Thanet Parkway has been a key strategic transport priority for Kent County Council, with the ambition to deliver the station first mentioned in Growth without Gridlock (December 2010), the third Local Transport Plan (2011-2016), the Rail Action Plan for Kent (April 2011) and most recently in Local Transport Plan 4: Delivering Growth without Gridlock (2016 – 2031) (LTP4). The delivery of the station continues to be of significant importance to the County Council and is a strategic priority in LTP4 because of its ability to improve rail connectivity between East Kent, other Kent towns and London; to improve the attractiveness of the area to employers and thereby address the historic economic disadvantage of East Kent.

The delivery of the station will help meet the overarching objective of LTP4:

To deliver safe and effective transport, ensuring that all Kent's communities and businesses benefit, the environment is enhanced, and economic growth is supported.

Financial Implications

The total cost of the project is estimated to be £34.51m based on a 2019 estimate.

The scheme funding comprises of £14m from the Local Growth Fund (administered by the South East Local Enterprise Partnership), £2m from Thanet District Council, £0.7 from the East Kent Spatial Development Company.

KCC has committed £2.65m and will therefore commit to a further investment of up to £15.16m (a maximum total of £17.81m), whilst continuing to explore further external funding opportunities.

The business case work has been completed, showing that the project offers very high value for money and that the station is commercially viable (net fares revenue is in excess of the on-going cost). Depending on the operating model, there is the potential for the station car park to provide a future income to KCC over a number of years.

Growth Environment & Transport, Section 4 – Capital Investment Plans 2019-20 to 2021-22 By Year, Row 6, page 70.

Growth Environment & Transport, Section 4 – Capital Investment Plans 2019-20 to 2021-22 By Funding, Row 7, page 74.

Legal Implications

Invicta Law is providing advice and the land acquisition will be completed by KCC Infrastructure. Any further legal implications to be established through continued engagement with Invicta Law Ltd and Strategic Commissioning

Equalities implications

An Equalities Impact Assessment has been undertaken and will accompany the report to Environment and Transport Cabinet Committee.

Data Protection implications

A Data Protection Impact Assessment is not required as this project does not require the processing of personal data

Cabinet Committee recommendations and other consultation:

Cabinet Committee consultation planned or undertaken

The project was taken to Environment and Transport Cabinet Committee in July 2014, at which the proposed decision (14/00056) was endorsed. The scheme has also featured in many transport strategy documents, including the statutory *Local Transport Plan 4: Delivering Growth without Gridlock (2016-31)* which was adopted by County Council on 13th July 2017.

The proposed decision will be taken to the Environment and Transportation Cabinet Committee on 29th November 2019. The committee is asked to consider and endorse or make recommendations to the Cabinet Member for Highways and Transport on the proposed Cabinet decision.

Is any public consultation planned or has already been undertaken?

Public consultations were held on 2nd February – 27 March 2015 and 25 January – 19th March 2017. A statutory planning consultation was held in 2018 following submission of a planning application in May 2018. Further stakeholder engagement has/is being carried out during autumn 2019. This included a public meeting with Cliffsend Parish Council, and the residents of Cliffsend on 10th October 2019.

<https://www.kent.gov.uk/roads-and-travel/travelling-around-kent/thanet-parkway-railway-station>

Which Divisions / Local Members are particularly affected:

All Thanet Electoral Divisions notably;
Ramsgate
Birchington and Rural

Have views been sought from local Members?

The views of Members were sought through the consultation which ran from 25th January – 19th March 2017. All members were supplied with a copy of the consultation booklet and questionnaire and a KCC Member briefing was held on the 10th January 2017. All current affected Members were informed of and invited to the public meeting in Cliffsend on 10th October 2019.

Any alternatives considered and rejected:

A full options analysis has been carried out as part of the scheme business case. Below is a summary of the options considered as alternatives to delivering Thanet Parkway.

Option	Outcome
1 Do nothing	rejected as it would fail to accommodate increasing demand for rail travel, accelerate the delivery of housing and fail to improve access to jobs and employment space.
2 Increase car parking provision at Ramsgate Station	shortlisted for further investigation but rejected due to the lack of land in the residential area around the station.
3 Increase car parking provision at Minster Station	rejected due to unsuitable local highway network, impact on Minster village and poorer rail service at Minster.
4 Shuttle bus from the Birchington-On-Sea Station	rejected due to unattractive journey times and lack of rail access to Ashford, Canterbury and Maidstone.
5 Direct coach service from London	rejected due to long journey times and low impact on economic growth.
6 Shuttle bus from Ramsgate Station	rejected due to lack of suitable terminus at Ramsgate and low impact on economic growth.

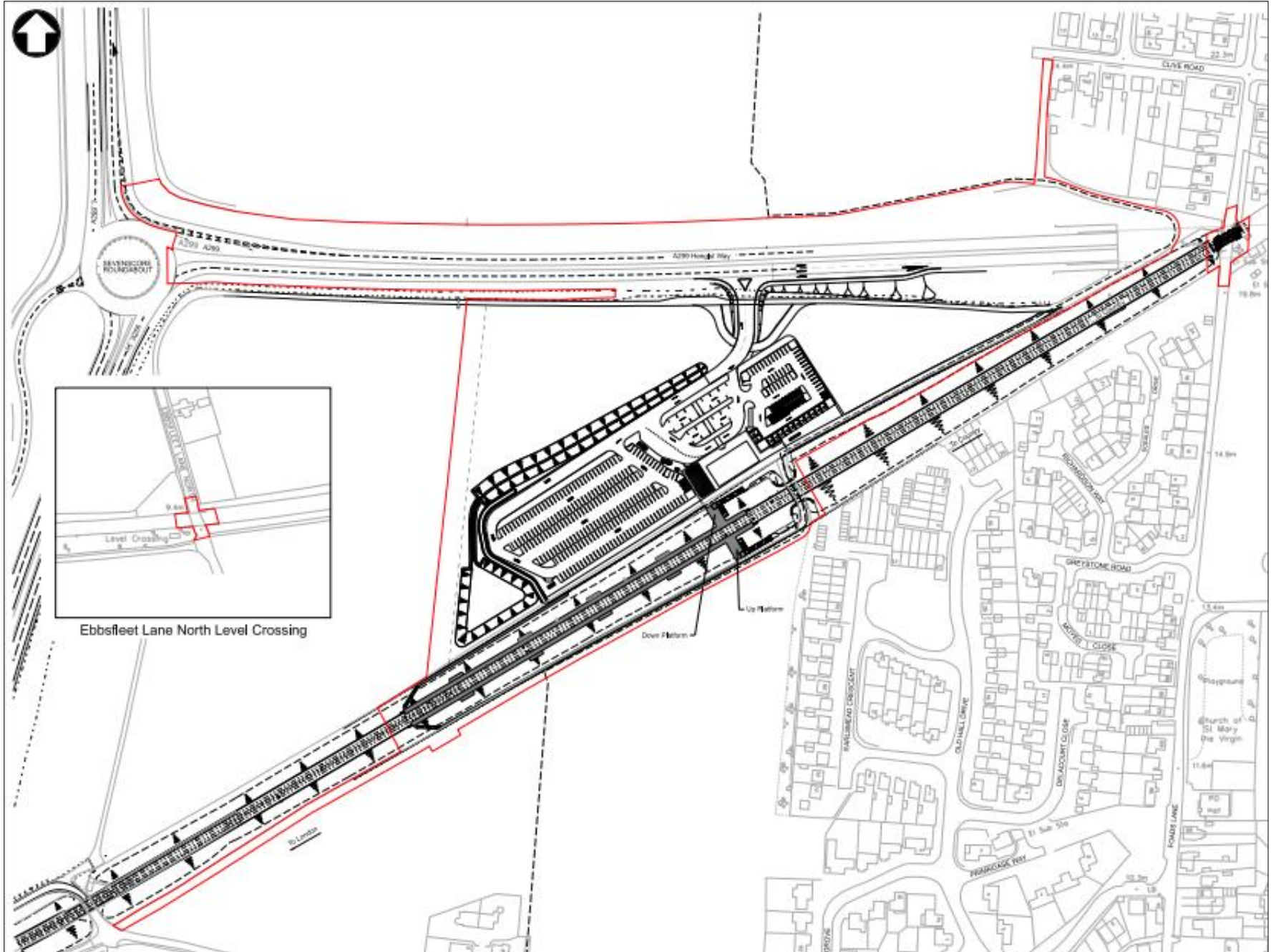
Any interest declared when the decision was taken and any dispensation granted by the Proper Officer:

None.

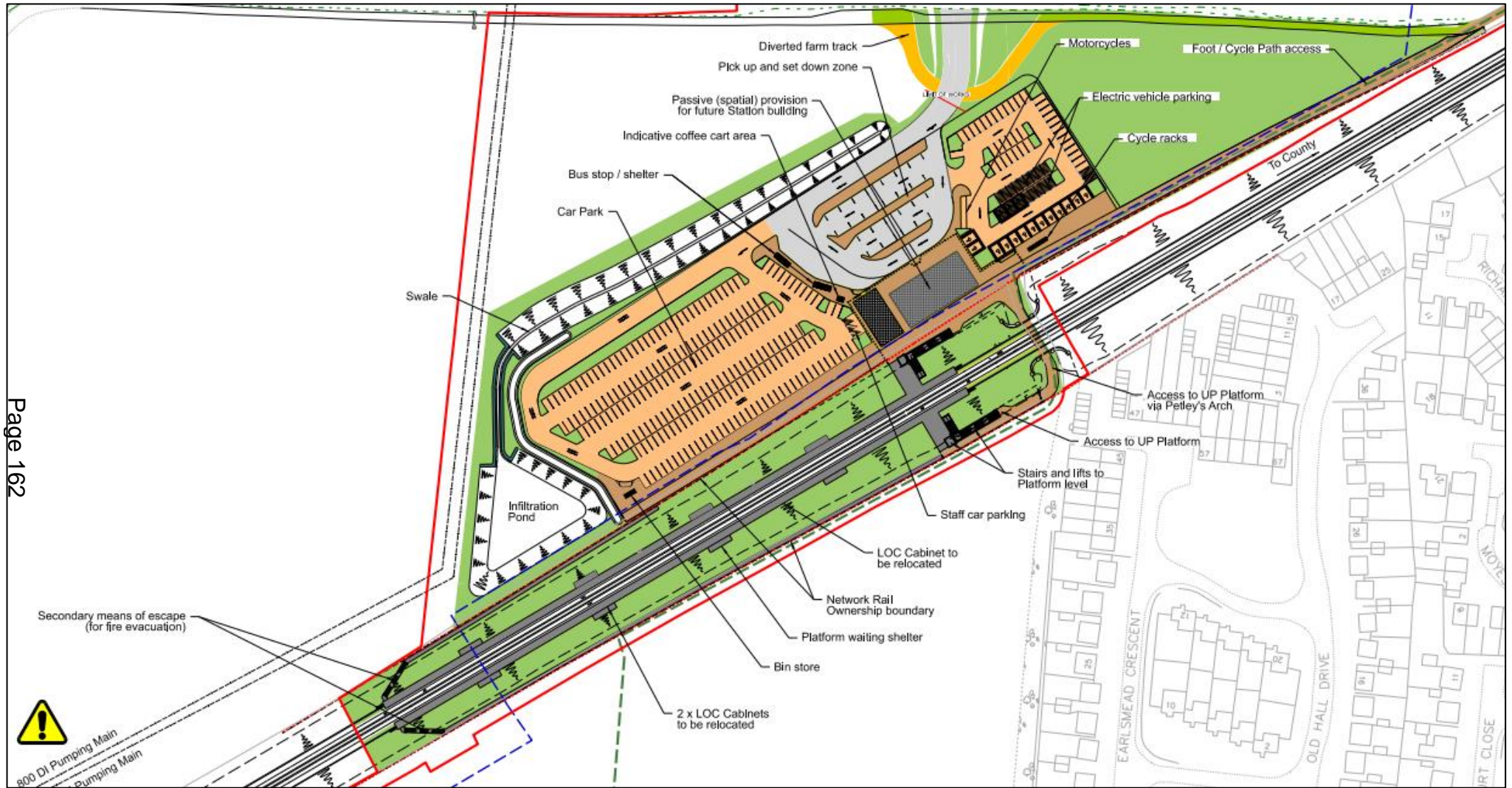
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signed

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date

Site Location Plan



Station Layout Plan



Artist Impressions



View of station from north of the railway line looking south west.



View of station from south of the railway line looking north west.

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

Directorate: Growth, Environment and Transport

Name of policy, procedure, project or service: Thanet Parkway Railway Station

What is being assessed? The provision of a new Railway Station in Thanet called Thanet Parkway.

Responsible Owner/ Senior Officer: Joe Ratcliffe, Transport Strategy Manager

Date of Initial Screening: 11/12/13 and updated 07/05/19

Version	Author	Date	Comment
1	RM	11/12/13	
2	SF	28/11/14	
3	FQ	28/01/15	Updated to reflect actions taken for the initial public consultation.
4	BS	10/11/16	Updated in preparation for New Station Fund bid and second consultation.
5	KP	23/11/16	Updates to previous version.
6	KP	09/11/18	Updates following further design and consultation.
7	SF	10/05/19	Updates following design changes.
8	SF	07/77/19	Updates following design changes

Screening Grid

Characteristic	Could this policy, procedure, project or service, or any proposed changes to it, affect this group less favourably than others in Kent? YES/NO If yes how?	Assessment of potential impact HIGH/MEDIUM LOW/NONE UNKNOWN		Provide details: a) Is internal action required? If yes what? b) Is further assessment required? If yes, why?	Could this policy, procedure, project or service promote equal opportunities for this group? YES/NO - Explain how good practice can promote equal opportunities
		Positive	Negative	Internal action must be included in Action Plan	If yes you must provide detail
Age Page 166	<p>YES.</p> <p>The 2015 consultation identified the following potential impacts:</p> <ul style="list-style-type: none"> Given the station is out of town, some elderly and young people may not drive and therefore be disadvantaged compared to those who do. Elderly people may be concerned with their security if the station is unstaffed. <p>The respondents to the 2017 consultation also expressed concern about it being unstaffed.</p>	Medium	Medium	<ul style="list-style-type: none"> We will ensure the design of the station will be well connected with local bus routes, offer a park and ride facility and have cycle and pedestrian access point. We will be incorporating CCTV and lighting into the design of both the car park and station, therefore improving safety at the station. We will have help points for any issues that may arise. Following an assessment of demand the station may be manned at peak times. Further assistance would therefore be available. 	Yes. The scheme promotes improved accessibility for everyone. People who do not have access to private car will be able to access public transport to the station. The station aims to improve the economic prosperity of the area and improve access to employment and training opportunities for all.
Disability	<p>YES.</p> <p>The 2015 consultation identified the following potential impacts:</p> <ul style="list-style-type: none"> During construction: dust, pollution and airborne 	Medium	Medium	<ul style="list-style-type: none"> The construction methods, working hours and mitigation measures to minimise pollution during the construction period will form a Construction 	Yes. Improvements to public transport services will support the independence of all people. Passengers requiring assistance will be able to book this service

	<p>contaminants may have an impact on people with respiratory problems.</p> <ul style="list-style-type: none"> • Safety concerns as station is unstaffed. • Access to and between the platforms. <p>The 2017 consultation also reported concerns around safety of an unmanned station.</p> <ul style="list-style-type: none"> • Boarding and alighting trains may be more difficult at an unmanned station. 			<p>Management Plan, to be agreed through Planning. Such mitigation could include dampening down construction dust.</p> <ul style="list-style-type: none"> • There will be CCTV, lighting and help points to alleviate safety concerns. • Following an assessment of demand the station may be manned at peak times. • Lifts will be available for access between the platforms. • A subway will be provided to provide access between platforms, this option was favoured by disabled users at the public consultations as it allowed easier access than a footbridge. 	<p>as they can at other unstaffed stations across the county.</p>
Sex	<p>YES. The 2015 consultation identified the following potential impacts:</p> <ul style="list-style-type: none"> • Safety concerns, as station will be unstaffed. This can be supported with comparable data below from Transport for London showing that women feel more vulnerable when travelling after dark. • Pregnant women may also feel vulnerable if the station is unstaffed. 	Low	Medium	<ul style="list-style-type: none"> • There will be CCTV, lighting and help points to alleviate safety concerns. • Following an assessment of demand the station may be manned at peak times. 	<p>Improvements to public transport services will support the independence of all people.</p>

Transgender/ Gender identity	YES. <ul style="list-style-type: none"> Safety concerns, as station will be unstaffed. 	None	Medium	<ul style="list-style-type: none"> There will be CCTV, lighting and help points to alleviate safety concerns. Following an assessment of demand the station may be manned at peak times. Consultation will target the Transgender community to inform any action that needs to be taken. 	No
Race Page 168	YES. <ul style="list-style-type: none"> Given the station is out of town, people who do not drive may be disadvantaged compared to those who do. The Department for Transport 2012 statistics show that the level of car ownership is lower for black and minority ethnic (BME) groups. Safety concerns, as station will be unstaffed. 	Low	Medium	<ul style="list-style-type: none"> There will be CCTV, lighting and help points to alleviate safety concerns. Following an assessment of demand the station may be manned at peak times. 	Improvements to public transport services will support the independence of all people.
Religion or belief	YES. <ul style="list-style-type: none"> Safety concerns, as station will be unstaffed. 	None	Medium	<ul style="list-style-type: none"> There will be CCTV, lighting and help points to alleviate safety concerns. Following an assessment of demand the station may be manned at peak times. 	No
Sexual orientation	YES. <ul style="list-style-type: none"> Safety concerns, as station will be unstaffed. 	None	Medium	<ul style="list-style-type: none"> There will be CCTV, lighting and help points to alleviate safety concerns. Following an assessment of 	No

				demand the station may be manned at peak times.	
Pregnancy and maternity	<p>Yes.</p> <ul style="list-style-type: none"> Boarding and alighting trains may be more difficult at an unmanned station for people with pushchairs. Pregnant women may feel vulnerable if the station is unstaffed. 	None	Medium	<ul style="list-style-type: none"> There will be CCTV, lighting and help points to alleviate safety concerns. Following an assessment of demand the station may be manned at peak times which could assist with access. 	No
Marriage and Civil Partnerships	<ul style="list-style-type: none"> N/A 	N/A	N/A	<ul style="list-style-type: none"> N/A. 	N/A
Carer's responsibilities	<p>YES.</p> <ul style="list-style-type: none"> Carer's may be required to provide greater levels of assistance given the station in proposed to be unmanned. 	None	Medium	<ul style="list-style-type: none"> Following an assessment of demand the station may be manned at peak times which could assist with access. 	No

Part 1: INITIAL SCREENING

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

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

State rating & reasons

The scheme will have a medium positive impact on some groups (Age, Disability) and a low positive impact on others (Race, Sex) as it improves their access to public transport. It will also have a medium negative impact on all of the protected groups (due to safety concerns), however mitigating measures have been provided to address the negative impacts. The scheme will act to improve accessibility to rail services in Thanet, delivering benefits for all residents and businesses in East Kent.

Context

Kent County Council (KCC) has identified the delivery of Thanet Parkway Railway Station as a priority to support economic growth in Kent. The delivery of a Parkway Station has been a top priority for KCC since 2010, with the ambition to deliver the station first mentioned in *Growth without Gridlock* (December 2010) and the third *Local Transport Plan* (2011-2016) and the *Rail Action Plan for Kent* (April 2011). The delivery of this station continues to remain of substantial importance to the County Council and is a countywide strategic priority in KCC's new *Local Transport Plan 4: Delivering Growth without Gridlock* (2016-2031), which was adopted in 2017 following a full public consultation and Strategic Environmental Assessment.

Following site appraisal and scheme development work, the proposed railway station will be situated along the existing railway line, close to the village of Cliffsend. It has been located to the east of a triangle of land bounded by the A299, A256 and the railway line. This minimises the land take necessary for the station. A new dedicated junction and access road will be built from the A299 Hengist Way.

The design will include a two-platform station, station forecourt, car parking, bus stops, drop-off, pick-up/ taxi drop off point. The station will be served by High Speed and Mainline services.

Consultation is seen an essential tool for this project, to understand public opinion and to inform this equality analysis and subsequently inform the design and plans proposed. Consultation and engagement have therefore been carried out throughout the lifespan of the scheme.

An initial eight-week public consultation was undertaken in 2015 on the initial concept design. A further pre-planning consultation on the detailed design and station layout was held from 25th January to 19th March 2017. The results of these consultations were used to inform the design in the planning application.

A planning application was submitted for the scheme in May 2018. A statutory 28 days consultation was completed by KCC Planning Applications Group following this submission. It was deemed that designing this station with a footbridge to gain access between the platforms would have a negative impact on the visual landscape (due to the height of the structure over and above the height of the embankment). As such a new proposal for the station, utilising an existing railway subway is being produced for a planning application to be resubmitted.

Additional engagement was carried out in March 2019, and October/ November 2019 to understand the views of local residents and disability and age characteristic groups on the use of a subway instead of a footbridge. (See Involvement and Engagement section). Following the planned submission of a revised planning application, another statutory consultation period will take place in winter 2019.

Aims and Objectives

The project aims to address existing and future weaknesses in Thanet's rail and wider transport system to ensure that the development of the transport network keeps pace with the rate of economic growth predicted for the South East. The County Council's aims for East Kent are to:

- Improve journey times on the High Speed service;
- Increase the attractiveness of East Kent to employers (particularly those who wish to relocate out of London);
- Support the economy by unlocking new economic development opportunities;
- Reduce environmental impacts for local residents; and
- Improve access to employment opportunities in Thanet (including by bringing prosperity out of London).

Thanet Parkway directly supports these aims and its objectives have been developed to contribute towards these aims as well as to form targets and outcomes for the scheme.

The aim of the project is to deliver a new railway station in Thanet along the existing rail line between Minster and Ramsgate. The objectives are to:

- Accelerate the pace of housing delivery in Thanet (1,600 – 3,200 additional homes delivered between opening year and year 30).
- Positively contribute to economic growth by attracting higher skilled workers to the area (measured by census data showing change in educational attainment of the population).

- Stimulate the creation of additional jobs by encouraging business location and expansion decisions based on the existence of the new station and journey times to London of around 1 hour (400 – 800 additional jobs from opening year to year 30).
- Generate over 50,000 new rail journeys from first full operational year (2022).
- Increase week day usage of the new station year on year from 412 in 2022 to 456 in 2026.
- Provide rail access to all users from Thanet to London with a journey time of around one hour.
- Provide commuters with alternative access to the area for journeys that might otherwise be made on the local and strategic highway network from opening year and increasing by 2031.

Beneficiaries

- This scheme is intended to benefit residents (representing all of the characteristic groups) and businesses within East Kent by providing improved access to both jobs and labour pools.
- The delivery of a railway station at the proposed location will improve access to employment sites such as Manston Business Park, the former Manston Airport site (whatever its future use), Discovery Park Enterprise Zone and Euro Kent development.
- The improved accessibility to employment opportunities will help to tackle the higher than Kent average levels of unemployment experienced in Thanet.
- Ramsgate station is unable to provide the required car parking provision, with cars currently parking inappropriately in residential areas. Residents in close proximity to Ramsgate station will therefore benefit as Thanet Parkway station will help to mitigate against a growth of inappropriate on-street parking which could occur due the future growth in rail demand.
- There will also be benefits for the wider Kent population. The provision of the station will give people travelling to/from Thanet greater choice of where to travel to/from and will better connect Thanet with other areas of Kent, as well as providing additional station capacity to accommodate increasing passenger demand.
- Delivering improved rail connectivity will help promote a modal shift from road to rail and more sustainable means of transport. Encouraging a modal shift from road to rail will help to mitigate the negative impacts of increased car use in Kent such as congestion and air pollution.

Information and Data

Analysis of data about equality and diversity in Kent has been undertaken below to gain a better understanding of the demographics of Thanet, including the ward areas of Cliffsend and Pegwell, in which Thanet Parkway will be located.

The population of Kent is expected to rise, as generally there are expected to be more births than deaths and, in addition, more people moving into Kent than leaving the county. Kent's population is also ageing, and a key contributor is increased life expectancy.

Kent County Council produces ward profiles and population estimates¹. These provide key statistics for the area:

- The total population for Kent is estimated to be 1,554,600 (September 2018), with a split of 51% female and 49% male.
- Between 2006 and 2016, Kent's population grew by 10.4% and it is expected to rise by a further 22.2% by 2036. In the same period, the population of Thanet is expected to rise by 27.0%.
- Based on 2016 population estimates, the ward of Cliffsend and Pegwell made up 3.5% of the total Thanet population.
- The ward of Cliffsend and Pegwell has a higher proportion of female residents (52.3%) compared to Thanet (51.5%) and Kent as a whole (50.9%).
- 17.6% of residents in Kent have an illness or condition which limits their day to day activities in some way. Within Thanet, this figure is 23.4% (2011 census) and in Cliffsend and Pegwell the figure is 21.5%. This indicates the station is more likely to be used by users with a condition which limits their day to day activities than if it were located elsewhere in Kent.
- 2011 census data shows that the largest ethnic group in Kent is white (93.7%), and 6.6% are of Black Minority Ethnic (BME) origin. The largest single BME group is Indian at 1.2% of the total population. In Thanet the BME population falls to 4.5% and falls further to 3.7% in Cliffsend and Pegwell.
- Again from census 2011, 62.5% of Kent's residents describe themselves as Christian, with the largest non-Christian religion being Muslim (1%). In Thanet, 61.4% described themselves as Christian, 28.6% with no religion, 7.41% did not state a religion, and the remainder were a range of other religions. In Cliffsend and Pegwell 66.9% of people describe themselves as Christian, whereas 0.6% of people describe themselves as Muslim (and same proportion describing themselves as Hindu). 23.7% declare no religion.
- Looking at statistics for rail usage in Great Britain as a whole, in February 2015 55% of adults had used a train at least once in the previous twelve months, with this rising to 66% for adults in the south east. Older age groups and those working in manual occupations were less likely to have

¹ KCC Business Intelligence; <http://www.kent.gov.uk/about-the-council/information-and-data/Facts-and-figures-about-Kent/summary-of-kent-facts-and-figures#tab-2>

used rail, whereas those living in the south east and in a higher income bracket were more likely to have made a train journey².

- 220m rail journeys were made to/from the south east region in 2015/16 and a further 84m within the region³.
- Unemployment in Thanet for September 2018 was 3.6%, which is substantially higher than Great Britain figure (2.2%) and Kent figure (2.0%). Unemployment in Thanet has increased by 44% since September 2017. The rate is much higher for those in the 18 – 24 age group at 7.7%.
- The ward the station is in, Cliffsend and Pegwell, had 1.6% of all economically active people (16 – 64) unemployed in 2017⁴. The delivery of Thanet Parkway will widen job opportunities through better accessibility to the London and wider Kent.
- Due to a lack of transport information for East Kent, research from London was used to indicate transport types for various equalities groups. A report by Transport for London (TfL, 2015)⁵, identified a number of barriers to using public transport, including that women are more likely to be worried about their personal safety and take precautions against crime (such as sitting next to other people). In London, 61% of women said that the frequency of their travel is affected 'a lot' or 'a little' because of concerns about crime and antisocial behaviour. Although this data cannot be directly applied to Kent because of different demographics and travel opportunities between London and the county, some of the typical barriers to travel can be inferred to be experienced by women across the country.
- Like London, women make up 51% of Kent's population⁶.
- Based on 2011 census data, 3.1% of people in the Cliffsend and Pegwell ward travel to work by rail, with this figure rising to 3.9% of people in Thanet. This compares to an average of 9.2% in the KCC area⁷. Delivering Thanet Parkway railway station at the proposed location would greatly improve rail accessibility for residents of Cliffsend and Pegwell and the wider Thanet area.
- From the 2011 census, the district of Thanet has the lowest level of car ownership in Kent with 29.8% of households having no access to car,

² Department for Transport (2015). Public attitudes towards train services: 2015 summary.

³ Office of Road and Rail (2017). Rail Statistics Compendium Great Britain 2016-17 Annual.

⁴ Claimant count data.

⁵ Transport for London (2015) Understanding the travel needs of London's diverse communities, available at: <http://content.tfl.gov.uk/travel-in-london-understanding-our-diverse-communities.pdf>

⁶ Kent County Council. Area Profiles.

http://www.kent.gov.uk/your_council/kent_facts_and_figures/area_profiles.aspx

⁷ Kent County Council (2011). Area Profiles.

http://www.kent.gov.uk/your_council/kent_facts_and_figures/area_profiles.aspx

compared to 20% in the KCC area as a whole⁸. The number of households with access to two or more cars is also relatively low in Thanet at 26%, relative to the Kent average of 37.3%. So, whilst there may be access to one car in a household, this may leave other household members without a car, given the average household size of 2.2 in Thanet.

- The Department for Transport National Travel Survey statistics (updated July 2018⁹) shows the number of adult households (aged 17+) without a car/van split by ethnic group. In 2017, in the White ethnic group 17% of adults were in households without access to a car/van. In comparison, 44% of adults in the Black/African/Caribbean/Black British ethnic group were in households without access to a car/van. This shows the disparity of car access between different ethnic groups.

Scheme Development

The Thanet Parkway Railway Station scheme comprises of a two-platform station, station forecourt, car parking, bus stops and pedestrian and cycle access.

Following an extensive option selection process (and consultation in 2015 and 2017), the original design for the scheme allowed for access between the platforms to be via a pedestrian footbridge over the track, that was accessed by both lifts and stairs on either side. The footbridge was located in the centre of the platforms, with the focus of activity for the car park centred around a forecourt area central to the footbridge.

This design was therefore submitted in the original planning application by KCC in May 2018. However, this solution faced challenge in the planning process, owing to the visual intrusiveness of the proposed structures and the subsequent impact on the landscape. It was noted that the two lift towers and footbridge structures, proposed to be constructed on the existing embankment were to be 9 meters high.

Consequently, a decision was taken to revise the access proposal, which led to the progression of 2 further options considered in respect of the main station entrance:

1. Construction of a new subway.
2. Use/refurbishment of the existing subway.

A new subway was deemed to be unviable for several key reasons:

⁸ Kent County Council (2013). 2011 Census: car and van availability in households in Kent. <https://shareweb.kent.gov.uk/Documents/facts-and-figures/Population-and-Census/2011%20Census/2011-census-car-availability.pdf>

⁹ Department for Transport (2013). Adult personal car use and trip rates by ethnicity group. Great Britain: 2012 https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/9972/nts0707.xls

- Logistics and land ownership – the land required to facilitate the construction falls outside of the KCC/Network Rail land boundaries on the south side of the railway line.
- Railway line closures – Construction would have a significant impact on the operational railway as lines would need to be closed, this is estimated as an additional 5 X 27 hours.
- Utilities – There is a water main located in the station footprint which would need to be rerouted at significant expenditure and impact to the area.
- Disruption to residents – Lengthy construction phase and high capital construction expenditure, requiring lighting both day and night.

Following liaison between project stakeholders (KCC, Network Rail and Southeastern) and some early wider engagement (see Involvement and Engagement section), the option of utilising the existing subway and install steps/lifts (including refurbishment) in order to offer a sustainable, safe access solution was then progressed. This proposal was regarded as being the most beneficial for the following reasons:

- Less visually intrusive/impact to the local environment.
- Long term solution, offering 24/7 uninterrupted access across the railway from platform to platform.
- Compatible with cycle users, wheelchairs and scooters.
- Existing subway onsite could be utilised and improved to offer a sustainable, safe access solution.
- No utilities needed to be moved.
- Minimal disruption to local-residents during the construction phase.
- No additional land required.

The main entrance to Thanet Parkway Station is therefore now proposed to be via the existing subway located at the east end of the station. The subway will be refurbished, light and contain CCTV.

Involvement and Engagement

This section documents the consultation and engagement that has taken place throughout the history of this scheme and how it has informed this EqIA. Discussion of the impact on the protected groups and mitigation can be found in the *Potential Impact* section.

An eight-week public consultation took place in 2015 which focused on the concept design of the station. The aim of the public consultation was to have early engagement with all stakeholders and the public to get their views on developing the station, and share information on the proposal and any potential impacts/opportunities. Below are the key issues raised;

Given the proposed station location is out of town, the consultation also identified young people, elderly people or people with disabilities who do not have access to a car may not be able to access the station.

Safety concerns were raised by a number of protected characteristic groups (notably age, sex, disability characteristic groups) given the station is planned to be unstaffed. Concerns were raised for safety at the station, and in the areas around the station (car park, and connections into the station).

Furthermore, responses to the consultation raised the potential impact of dust, pollution and airborne contaminants during construction on those with respiratory problems.

The consultation identified that older respondents (76+) would prefer access to platforms via lifts and access between platforms via a subway. In addition, disabled respondents also stated a preference for a lift and subway. However, more than twice as many people overall wanted access between platforms to be via a footbridge as opposed to an subway (44% vs 19%).

Key stakeholders (including Network Rail, Southeastern, Dover and Thanet District Councils) meet with KCC regularly to discuss, and contribute to, project development. This continued engagement ensures they can input representing their own stakeholders, which includes railway station users for Southeastern and Network Rail.

A second, pre-planning, consultation took place from 25th January until 19th March 2017. The proposals were available to the public online and in libraries, as well as at exhibition events in Cliffsend, Minster, Discovery Park and Ramsgate railway station. The consultation materials were also presented at meetings of interested Parish and Town Councils across Thanet and Dover districts. All consultation materials were available in alternative formats, including hard copy, by request.

The majority of respondents generally agreed with the proposals, but there were some concerns around design details. This included the proposed junction with the A299 (from a perspective of highway safety and reducing the speed of traffic on the main road) and the pedestrian access route (as it was felt the proposed pedestrian access would encourage more people to park in the residential streets to the south of the station). As with the 2015 consultation, similar issues around safety and being an unstaffed station were also raised.

Following the design changes brought about by the statutory planning consultation in 2018 further engagement with local residents, project stakeholders (Network Rail and Southeastern) and protected characteristic groups took place in 2019.

Prior to a formal design of the subway being produced, specific groups representing the disability and age characteristic groups were contacted to

ask for their members for comment and experience of how they feel about using subways.

Groups Contacted;
East Kent Association for the Blind
Thanet Over Fifties Forum
Thanet Disability Forum
Age UK – Thanet
Carers Support CDT
Hi Kent
Accessible
East Kent Mencap

Detailed comments regarding design improvements that can be made to subways to enhance the experience for visually impaired users were received from the East Kent Association for the Blind, who stated the following consideration should be considered in the design;

- Clear guidance to find and access the route with clear easy to read signage that has a matt finish and not a shiny finish to minimise glare.
- Clear demarcation for cyclists to minimise collisions
- Good quality even lighting using daylight bulbs or LEDs where possible
- Minimal auditory feedback from the tunnel structure which is then magnified by increased footfall. This can cause disorientation as the echo's give false positions of sounds.
- Even and clear surface underfoot. A change of surface at the beginning and end would be ideal particularly if there are roads immediately either side. This gives the individual time to prepare for changes in the walking patterns and behaviours of other members of the public as well as the auditory and visual information changes that occur when moving from one environment to another.
- A solid brick wall with a skimmed and painted surface will reflect sound very differently to a plastic facing over batons or another type of hollow surface. Many sight impaired people use the skill of echo-location to assist them with their orientation, some are consciously aware of this whilst others learn this sub-consciously. The way that sound reflects off surfaces of different porosity and depth will affect the experience, particularly in an environment such as a tunnel. The designers will ensure that they are fully aware of this effect and will consider the materials that they will be able to use given the current design of the build of the tunnel and cost implications for the upgrade.
- With these considerations in place the opportunity for people with a sight impairment to access the subway equitably is very high.

No further comment was received from other groups at this time. Following a design freeze, it is proposed that these groups will be contact again in November 2019, to allow another opportunity to comment on station design during the statutory consultation period of the revised application.

Southeastern as the Train Operating Company and voice of the passengers to use the service highlighted a concerns that; the new design may increase walking distance to the platforms as a result of the need to rearrange the station layout and car park, and that once users reach the platform, they will be at one end, as supposed to in the centre as previously planned. See the Impacts section for a discussion on impact for characteristic groups and mitigation.

On 10th October 2019, a public meeting was held in Cliffsend Village Hall where the new station design was presented. This was followed by an open Q&A session. The meeting was attended by members of the Parish Council and around 60 residents. No were no concerns raised regarding access to the station platforms via the subway, accessing the platforms at one end or accessibility generally as a result of the station and car park design. Concerns were raised regarding the safety and security of the station, echoing the consultations in 2015 and 2017.

Following submission of the revised planning application in November 2019, there will be another statutory consultation period (November/December 2019) in which stakeholders will have the opportunity to comment on the scheme.

Potential Impact

The scheme is intended to improve access to the railway network and support economic development in Thanet. The scheme will support development sites in the area, such as Discovery Park Enterprise Zone and the former Manston Airport site. This will act to boost the east Kent economy, support the delivery of new jobs and housing, and therefore promote regeneration in the area.

When it opens, the new station is anticipated to generate around 115,000 trips annually, with approximately half of these being redistributed from other stations in the area. This is forecast to increase to over 142,000 by 2031 (10 years after opening).

Adverse Impact:

All groups

During all consultation and engagement, people from all groups raised concerns that the station may feel unsafe given the out of town location and the fact it will be unstaffed.

In order to mitigate this identified impact, designs will incorporate CCTV, lighting and help points. Depending on demand, staff may be introduced to the station during peak hours, which help alleviate safety concerns, particularly during the darker, winter peaks. The decision on staffing levels will ultimately be taken by the train operating company, however discussion will take place with them. The scheme has been designed to include staff facilities (toilets, store room and staff car parking) to allow future provision of staff.

Safety concerns may be exacerbated given the design change to include the subway and as subways are often considered areas that attract anti-social behaviour.

As mitigation, the subway will also have lighting and CCTV and will remain open at either end (e.g. will have no fencing/screening in the vicinity), to reduce the perception feel of it being an enclosed area.

Concern was also raised that construction dust and airborne pollutants could have an impact on any user.

The project is subject to a full Environmental Impact Assessment (EIA), which identifies the potential impacts of construction and operation on the environment and suggests mitigation measures. These measures will be conditioned at the planning stage to ensure compliance. For submission of the 2019 application, the EIA found there would be a minor adverse impact from construction of the scheme on receptors (local dwellings etc). This will be mitigated against by compliance with best practice and the formulation of a Construction Management Plan by the contractor prior to construction. Best practices include measures such as, damping down surfaces to reduce airborne pollutants. This impact will only affect people during the construction phase (12 months). Once operational there will be no impact.

Disability

Construction, dust pollution and airborne contaminants may have a particularly adverse impact on people with respiratory problems. This will be mitigated against as explained above.

Safety concerns may be felt more strongly amongst this group given the station is proposed to be unstaffed. (see above mitigation).

People who are visually impaired, have learning difficulties or have other print impairments such as dyslexia, may not be able to read signage and or station related information. To mitigate, all station signage and information will be produced in line with design best practice to ensure the station is accessible for all.

Given that the station is out of town, some less abled users may not be able to access the station by car. This will be mitigated against by provision in the station for access by different modes of transportation; e.g. cycle racks, bus stops, motorcycle parking, taxi drop off point and pedestrian access.

As highlighted by East Kent Association for the Blind, Echo affects can disorientate people with reduced eyesight in enclosed spaces such as subways. The subway will be designed to ensure compliance with requirements for visually impaired users at the detailed design stage.

The subway design will mean users will access the platforms at one end of the platform. This may mean longer walking distances along the platform than if the access to was central to the platform. In reorganising the station and car

park layout in the 2019 design iterations, priority was given to providing the shortest walking distances to the platforms possible for disabled users. Walking distances to the platforms are now equal to or shorter than the previous design. Options are being explored as to whether trains of differing lengths can stop at different points when held in the station, to reduce walking distance required along the platforms.

Age

Safety concerns may be felt more strongly amongst this group given the station is proposed to be unstaffed. There is no specific mitigation proposed for this group over any other.

Given that the station is out of town, some elderly and young people may not drive and therefore be disadvantaged compared to those who do. This will be mitigated against by provision in the station for access by different modes of transportation; e.g. cycle racks, bus stops, motorcycle parking, taxi drop off point and pedestrian access.

Elderly people may not be as able to access information about the station on the internet during consultation events and operation. As part of the consultation process, consultation events were held so people could discuss their concerns and collect hard copies of consultation materials. Materials were also sent to local residents and could be requested in alternative formats (such as easy to read). The 2019 engagement also intends to send materials to local residents.

The subway design will mean users will access the platforms at one end of the platform. This may mean longer walking distances along the platform than if the access to was central to the platform. Walking distances to the platforms are now equal to or shorter than the previous design. Options are being explored as to whether trains of differing lengths can stop at different points when held in the station, to reduce walking distance required along the platforms.

Pregnancy/maternity

The Subway design will mean users will access the platforms at one end of the platform. This may mean longer walking distances along the platform than if the access to was central to the platform. Walking distances to the platforms are now equal to or shorter than the previous design. Options are being explored as to whether trains of differing lengths can stop at different points when held in the station, to reduce walking distance required along the platforms.

Race

Safety concerns may be felt more strongly amongst this group given the station is proposed to be unstaffed. There is no specific mitigation proposed for this group over any other.

Given the station is out of town, people who do not drive may be disadvantaged compared to those who do. The Department for Transport 2012 statistics show that the level of car ownership is lower for BME groups. This will be mitigated against by provision in the station for access by different modes of transportation; e.g. cycle racks, bus stops, motorcycle parking, taxi drop off point and pedestrian access.

People who do not speak English well may not be able to read station signage and or station related information at consultation events or during operational use. Station signage will be designed to be as simple to understand as possible. All consultation / promotional materials produced for the scheme can be translated upon request.

Sex

Safety concerns may be felt more strongly amongst this group given the station is proposed to be unstaffed. This can be supported with comparable data from Transport for London showing that women feel more vulnerable when travelling after dark. There is no specific mitigation proposed for this group over any other.

There could potentially be some negative effects of the scheme on air quality and noise pollution during the construction phase of the project. This impact is being assessed as part of the Environmental Impact Assessment for the planning application in terms of effects on individual sensitive receptors.

Carer's responsibilities

Given the station is unstaffed, carers may be required to provide greater levels of assistance than at a staffed station. This impact may be exacerbated given the entrance point to the station platforms is at one end. A review of demand and staffing levels and consideration of altering train stop locations could help to mitigate these points. Passenger help points will also be provided in the scheme.

Positive Impact:

All users

The delivery of Thanet Parkway Railway Station is expected to have positive benefits for all residents and businesses in Thanet. The delivery of improved rail connectivity should help to achieve equal accessibility and opportunities for all.

Age

Research has suggested that Kent has an aging population with the number of people over the age of 65 set to rise. Car or van ownership for pension households is lower than that for the average household in Kent. Pensioners are therefore expected to be more reliant on public transport (particularly bus services) than other adults. Similarly children and young people are also more reliant on the use of public transport to access services such as education.

The scheme is expected to increase accessibility for all ages, and will particularly benefit young and older residents in Kent who are more reliant on public transport.

The responses to the 2015 consultation showed that twice as many (44% vs 19%) respondents aged 76+ stated they would prefer access between the platforms via a subway as supposed to a footbridge, as it would negate the need to take a lift up two levels to cross the station. The 2019 design change therefore now meets this preference and is therefore a positive impact on this group.

Disability

On average, there tends to be lower car ownership for people with a disability and a greater dependence on public transport. The delivery of Thanet Parkway will therefore benefit people with a disability by improving accessibility.

The station itself will be designed in a way to support accessibility of disabled people. The 2019 design prioritised the placement of disabled bays to enable the shortest possible walking distance to the platforms.

The responses to the 2015 consultation showed that a greater number of disabled respondents stated they would prefer access between the platforms via a subway as supposed to a footbridge, as it would negate the need to take a lift up two levels to cross the station. The 2019 design change therefore now meets this preference and is therefore a positive impact on this group.

Race

The data above shows that the level of car ownership is lower for people of BME. The delivery of Thanet Parkway will therefore have a positive impact in improving access to public transport. This will particularly benefit households with no car access.

JUDGEMENT

Option 3 – Full Impact Assessment YES

The screening and subsequent impact assessment has shown that the project may have a medium impact on protected character groups. Some project management tasks may be required to ensure that all protected groups are able to access information about the project.

The Action Plan has been completed to identify how information can be effectively communicated with certain protected character groups and specific mitigating actions for highlighted issues within the screening grid. The delivery

of the action plan should ensure that all members of the public are able to access information about the Thanet Parkway project.

Action Plan

An action plan has been completed to identify the project management tasks which will take place to ensure equal access to information about the project and mitigating actions for specific issues highlighted above.

Monitoring and Review

Throughout the delivery phase of the project the Equality Impact Assessment will be considered and updated when required. This has included following public consultation, and as the design continues to evolve.

Sign Off

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

Senior Officer

Signed: _____ Name: Joseph Ratcliffe

Job Title: Transport Strategy Manager Date: 20/11/2019

DMT Member

Signed: _____ Name: Barbara Cooper

Job Title: Corporate Director – GET Date: 20/11/2019

Equality Impact Assessment Action Plan

Protected Characteristic	Issues identified	Action to be taken	Expected outcomes	Owner	Timescale	Cost implications
Race	A very small proportion of the residents in Thanet indicated in the 2011 Census that English was not their first language and so may not be able to read consultation information such as the publicity information.	For the public consultation of Thanet Parkway, information is made available in alternative formats, upon request.	Better understanding of the project by all members of the public.	Project Manager	Public consultation 2015,2017. COMPLETE 2019 Engagement	Resources have been allocated for the provision of information about Thanet Parkway in alternative formats.
	Safety concerns as station is unstaffed	There will be excellent CCTV and lighting coverage, the lifts will be remotely monitored and help points will be available.	Alleviation of safety concerns.	Project Manager – design Team	During project design	Included in design costs.
Disability	People who are visually impaired, have learning difficulties or have other print impairments such as dyslexia, may not be able to read consultation information such as the publicity information.	Consultation information is made available in alternative formats, such as Easy Read and Word version.	Better understanding of the project by all members of the public and more comfort for residents during the project lifecycle.	Project Manager	Public consultation 2015,2017 COMPLETE 2019 Engagement	Resources have been allocated for the provision of information about Thanet Parkway in alternative formats.
	During construction: dust, pollution and airborne contaminants may have an impact on people with respiratory problems	A Construction Management Plan will identify methods to reduce this risk, including working hours and mitigation	Reduction or removal of construction impacts.	Project Manager – design team/con-tractor	During design and construction	Included in design and construction costs.

		(such as damping down).				
	Safety concerns as station is unstaffed	There will be excellent CCTV and lighting coverage, the lifts will be remotely monitored and help points will be available.	Alleviation of safety concerns.	Project Manager – design Team	During project design	Included in design costs.
	Given that the station is out of town, some less abled users may not be able to access the station by car.	Provide facilities within the station design to enable alternative access to the station.	Increased opportunity for group to use the railway.	Project Manager	Outline Design COMPLETE	Accounted for in project costs.
	The subway design will mean users will access the platforms at one end.	Investigate the opportunity to have different length trains stop at different points to reduce walking distances along platforms.	Limit walking distances	Rail Project Manager	Detailed design	To be scoped in detailed design.
	East Kent Association for the blind provided useful comments on making the station more amenable to people with visual impairment.	Consider points along with best practice when designing subway refurbishment interior.	Ensure that visually impaired users are as able to use the station as possible.	Design Team	Detailed design	Allowance made in project cost.
Age	Older people may not be able to access information about the project via the internet.	Information will be provided in hard copy formats at public consultation events and on requests via free postal address.	Better understanding and awareness of the project for residents. People will feel more confident using the station and facilities.	Project Manager	Public consultation 2015,2017 COMPLETE 2019	Resources have been allocated for the provision of information about Thanet Parkway in the

		<p>The consultation questionnaire and promotional leaflet will be sent to every resident in Cliffsend.</p> <p>Information will be provided about the project at local libraries, Town and Parish Council offices, and railway stations in the area.</p>			Engagement	form of setting up free postal address, sending information to Cliffsend residents, arranging consultation events and sending information to Cliffsend residents in copy formats.
	Given the station is out of town and some people may not be able to drive or have access to a car, they could be disadvantaged (for example the elderly and young).	Provide facilities within the station design to enable alternative access to the station.	Increased opportunity for group to use the railway.	Project Manager	Outline Design COMPLETE	Accounted for in project costs.
	The subway design will mean users will access the platforms at one end.	Investigate the opportunity to have different length trains stop at different points to reduce walking distances along platforms.	Limit walking distances	Rail Project Manager	Detailed design	To be scoped in detailed design.

	Safety concerns as station is unstaffed	There will be excellent CCTV and lighting coverage, the lifts will be remotely monitored and help points will be available.	Alleviation of safety concerns.	Project Manager – design Team	During project design	Included in design costs.
Gender	Safety concerns, as station will be staffed. This can be supported with data from Transport for London as women feel more vulnerable when travelling after dark.	There will be excellent CCTV and lighting coverage, the lifts will be remotely monitored and help points will be available.	Alleviation of safety concerns.	Project Manager – design Team	During project design	Included in design costs.
Pregnancy/ maternity	The subway design will mean users will access the platforms at one end.	Investigate the opportunity to have different length trains stop at different points to reduce walking distances along platforms.	Limit walking distances	Rail Project Manager	Detailed design	To be scoped in detailed design.
Carer's responsibilities	Carer's may be required to provide greater levels of assistance given the station is proposed to be unmanned and may be impacted more by entrance to platforms at one end.	Investigate the opportunity to have different length trains stop at different points to reduce walking distances along platforms. Help points will be included in the design.	Limit walking distances Outline design station	Rail Project Manager	Detailed design Outline design	To be scoped in detailed design. Included in current cost

By: Benjamin Watts - General Counsel

To: Cabinet – 2 December 2019

Subject: Cabinet meetings – Update

Classification: Unrestricted

Summary: This item provides an update for Members around ongoing work to review the agenda and scope of Cabinet meetings

- 1 At the Cabinet Meeting on 28 October 2019, Members discussed the opportunity to refresh the agenda and scope of Cabinet Meetings and asked the General Counsel to reflect and advise on possible changes.
- 2 Cabinet is currently programmed to meet 9 times a year and has the following standing items which are considered on a regular basis:
 - a. Revenue and Capital Budget Monitoring
 - b. Quarterly Performance Monitoring
 - c. Corporate Risk Register
- 3 Cabinet also has a role set out in the Constitution in relation to the development of the Budget and Policy Framework documents prior to their submission to County Council for approval.
- 4 Cabinet also has a role under the Select Committee process to consider and comment on the final Select Committee report prior to its submission to County Council for endorsement.
- 5 Currently the overwhelming majority of Executive decisions are taken by individual Cabinet Members:

In 2016:

Total number of decisions taken by Individual Cabinet Member: 67

Total number of decisions taken by Cabinet: 0

In 2017:

Total number of decisions taken by Individual Cabinet Member: 97

Total number of decisions taken by Cabinet: 6

In 2018:

Total number of decisions taken by Individual Cabinet Member: 64

Total number of decisions taken by Cabinet: 1

In 2019 (up to 2 December 2019):

Total number of decisions taken by Cabinet Member: 52

Total number of decisions taken by Cabinet: 1

- 6 The agenda for this meeting has been changed to include verbal updates from Cabinet Members in relation to initiatives and recent developments in their portfolios.
- 7 Since the last meeting, the new Cabinet has begun work on delivering the new portfolios and working with the non-executive Members through the Cabinet Committee and informal governance processes.
- 8 During that time, the Leader has also had discussions with non-executive Members about improving the utilisation and involvement of the broad range of skills and experience of those Members. As a result of those conversations, it is proposed that the General Counsel looks more broadly at the Council's formal meeting arrangements. The Leader has asked the General Counsel to involve non-executive Members in discussions around the development and design of proposals to provide greater involvement of all 81 Members whilst retaining the executive scheme of governance.
- 9 It is apparent that the review of the role of the formal Cabinet meeting should form part of that broader review. That said, changes can and will be made in the meantime to the agenda and running of Cabinet to maintain the momentum, albeit major changes around scope will await the outcome of work with non-executive Members.

Recommendations

Cabinet are asked to:

1. **NOTE** the update regarding the future of Cabinet Meetings
2. **AGREE** that the Leader and General Counsel should review the Council's meeting structure with non-executive Members and develop proposals to be considered in March 2020