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To: Governance and Audit Committee – 19th July 2017

Subject: **CORPORATE RISK REGISTER**

Classification: Unrestricted

Summary:

Governance & Audit Committee receives the Corporate Risk Register every six months for assurance purposes. The register is presented to the Committee along with an overview of the changes since last presented and an outline of the ongoing process of monitoring and review.

FOR ASSURANCE

1. Introduction and background

- 1.1 The Corporate Risk Register is maintained by the Corporate Risk Team on behalf of Cabinet and the Corporate Management Team. The register contains the strategic risks that threaten achievement of the Council's objectives and is formally reviewed annually each autumn. It is a 'living document' and is reviewed and updated in-year to reflect any significant new risks or changes in risk exposure that may arise due to internal or external events; and to track progress against mitigating actions.

2. Monitoring, Review and Reporting of the Corporate Risk Register

- 2.1 The Council has a Risk Management Policy & Strategy, which is reviewed by this Committee annually each January. This contains information about KCC's organisational Risk Management Framework, including the process for monitoring of key risks across the Authority and the hierarchy of risk registers. It is available on KCC's intranet site.
- 2.2 There is a small Corporate Risk Team supporting directorates to ensure that the Corporate Risk Register is underpinned by directorate and divisional / service risk registers, from which risks will be escalated in accordance with KCC's Risk Management Policy.
- 2.3 Corporate risks of relevance to each Cabinet Committee are reported in the spring round of Committees each year along with directorate risk registers, allowing for discussion and scrutiny of these risks with the relevant Risk Owners and responsible Cabinet Members at the time objectives are being outlined in business plans.

- 2.4 There is a particular focus on ensuring that key mitigating actions are identified and progress monitored. The risks within the Corporate Risk Register, their current risk level and progress against mitigating actions are reported quarterly to Cabinet via the Quarterly Performance Report. Updates against actions due for review or completion in quarter 1 of 2017/18 have been requested from action owners and will be reported in the next Quarterly Performance Report presented to Cabinet on 25th September 2017.
- 2.4 The register informs the development of the Internal Audit plan each year, with audit activity mapped against corporate risks.

3. Corporate Risk Register

- 3.1 The Corporate Risk Register contains 16 risks, of which 10 areas of risk are currently rated as 'high' and 6 rated as 'medium'. The high risks relate to the management of demand in both adults and children's social care; safeguarding (both vulnerable adults and children); the future financial and operating environment / landscape for local government; access to resources to aid economic growth and infrastructure; health and social care integration – delivery of the Sustainability and Transformation Plan (STP); cyber-attack threats and their implications; managing and working with the social care market; and delivery of new school places being constrained by capital budget pressures and dependency on the Education and Skills Funding Agency. All risks have mitigating actions in place that aim to achieve a target residual rating of 'medium' or 'low'.
- 3.2 Changes since the register was last reported to Governance & Audit Committee in January 2017 are summarised as follows:
- 3.2.1 A new risk has been added to the register related to the introduction of the General Data Protection Regulations (GDPR), which come into effect on 25th May 2018 and require a significant amount of work to ensure compliance. This includes the appointment of a designated Data Protection Officer; reviewing and updating of privacy notices etc. Serious breaches of the regulations can attract a fine of €20 million or 4 % of annual turnover.
- 3.2.2 The delivery of 2016/17 savings risk has been closed, with KCC once again achieving a balanced budget position; while the delivery of 2017/18 savings risk score has reduced from High (16) to Medium (12) on the basis of initial BRAG (Blue, Red, Amber, Green) ratings assigned to progress against savings.
- 3.2.3 Future Operating Environment for Local Government – the Section 151 Officer has advised that the score could reduce slightly from 20 to 16 (still 'High') due to the additional £51m funding from Government over the next three years;
- 3.2.4 Implications of high numbers of Unaccompanied Asylum seeking children. This risk score has been reduced from High to Medium as the number of new arrivals has remained low, although it is accepted that there are still financial

pressures associated with the numbers of care leavers and a high number of legacy cases still exist.

3.2.5 'Target' levels of risks are being reviewed to ascertain whether they can realistically be achieved and within what timescales.

3.2.6 The Corporate Risk Register is due for its more comprehensive refresh during the autumn, involving consultation with all CMT and Cabinet Members. This includes asking questions such as:

- a) Are the key risks still relevant?
- b) Is the scope of the risk appropriate?
- c) Have some risks become issues (i.e. have they materialised)?
- d) Has anything occurred which could impact upon them?
- e) Has the risk appetite or tolerance levels changed?
- f) Are related performance / early warning indicators appropriate?
- g) Are the controls in place effective?
- h) Has the current risk level changed and if so is it decreasing or increasing?
- i) Has the "target" level of risk been achieved?
- j) If risk profiles are increasing what further actions might be needed?
- k) If risk profiles are decreasing can controls be relaxed?
- l) Are there risks that need to be discussed with or communicated to other functions across the Council or with other stakeholders?

3.2.7 Views from Governance and Audit Committee are welcome to feed into the review.

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

4. Recommendations

4.1 The Governance and Audit Committee is asked to:

- a) NOTE the assurance provided in relation to the development, maintenance and review of the Corporate Risk Register.

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KCC Corporate Risk Register

**For Presentation to Governance & Audit Committee
19/07/17**

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 January 2017
CRR 2(a)	Safeguarding – protecting vulnerable children	20	15	↔
CRR 2(b)	Safeguarding – protecting vulnerable adults	20	15	↔
CRR 3	Access to resources to aid economic growth and enabling infrastructure	16	12	↔
CRR 4	Civil Contingencies and Resilience	12	8	↔
CRR 9	Health & Social Care Integration – delivery of Sustainability and Transformation plan	16	9	↔
CRR 10(a)	Management of Adult Social Care Demand	20	12	↔
CRR 10(b)	Management of Demand – Early Help and Preventative Services and Specialist Children's Services	20	12	↔
CRR 12	Potential implications associated with significant migration into Kent	12	9	↔
CRR 17	Future financial and operating environment for local government	16	12	↓
CRR 22	Implications of high numbers of Unaccompanied Asylum Seeking Children (UASC)	12	12	↓
CRR 23	Evolution of KCC's strategic commissioning approach	12	6	↔
CRR 25	Delivery of 2017/18 savings	12	6	↓
CRR 26	Cyber-attack threats and their implications	16	12	↔
CRR 27	Managing and working with the social care market	20	9	↔
CRR 28	Delivery of new school places is constrained by capital budget pressures and dependency on the Education and Skills Funding Agency	20	9	↔
CRR 29	Information Governance – Introduction of General Data Protection Regulations	12	8	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.

Risk ID	CRR2(a)	Risk Title	Safeguarding – protecting vulnerable children			
	Source / Cause of risk The Council must fulfil its statutory obligations to effectively safeguard vulnerable children. In addition, the Government’s “Prevent Duty” requires the Local Authority to act to prevent people from being drawn into terrorism, with a focus on the need to safeguard children at risk of being drawn into terrorism.	Risk Event Its ability to fulfil this obligation could be affected by the adequacy of its controls, management and operational practices or if demand for its services exceeded its capacity and capability. Failure to recruit and retain suitably experienced and qualified permanent staff. Failure to meet the requirements of the new “Prevent Duty” placed on Local Authorities.	Consequence Serious impact on vulnerable people.	Risk Owner On behalf of CMT:	Current Likelihood Likely (4)	Current Impact Major (5)
			Serious impact on ability to recruit the quality of staff critical to service delivery.	Andrew Ireland, Corporate Director Social Care Health and Wellbeing (SCHW)	Target Residual Likelihood Possible (3)	Target Residual Impact Major (5)
			Serious operational and financial consequences.	Responsible Cabinet Member(s): Roger Gough Children, Young People and Education		
			Attract possible intervention from a national regulator for failure to discharge corporate and executive responsibilities.			
			Incident of serious harm or death of a vulnerable child.	Mike Hill (Lead Member for PREVENT)		
Control Title					Control Owner	
Consistent scrutiny and performance monitoring through Divisional Management Team, District ‘Deep Dives’ and audit activity					Andrew Ireland, Corporate Director SCHW / Philip Segurola, Director Specialist Children’s Services	
Independent scrutiny by Kent Safeguarding Children Board					Independent Chair Kent Safeguarding Children Board	
Manageable caseloads per social worker and robust caseload monitoring					Philip Segurola, Director Specialist Children’s Services	

SCHWB management team monitors social work vacancies and agrees strategies for urgent situations	Andrew Ireland, Corporate Director SCHW
Active strategy in place to attract, recruit and retain social workers through a variety of routes with particular emphasis on experienced social workers. Detailed programme of training	Philip Segurola, Director Specialist Children's Services / Amanda Beer, Corporate Director Engagement, Organisational Design & Development
Multi-agency public protection arrangements in place	Andrew Ireland, Corporate Director, SCHW
Extensive staff training – Specialist Children's Services and Early Help and Preventative services are adopting the 'Signs of Safety' model of intervention, a standardised child-focused model of risk analysis, risk management and safety planning.	Philip Segurola, Director of Specialist Children's Services
Regular reporting on safeguarding takes place quarterly for Directors and Cabinet Members, with an annual report for elected Members, to allow for scrutiny of progress.	Andrew Ireland, Corporate Director, SCHW
KCC has led a multi-agency review of existing arrangements in light of the new Prevent Duty	Nick Wilkinson, Prevent and Channel Strategic Manager
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 (including reporting route to the Kent Safeguarding Children Board)	Andrew Ireland, Corporate Director, SCHW
Kent Channel panel (early intervention mechanism providing tailored support to people who have been identified as at risk of being drawn into terrorism) established.	Nick Wilkinson, Prevent and Channel Strategic Manager
Awareness of the responsibility for schools to be alert to signs of radicalisation has been raised (e.g. via education e-bulletin with links to online training materials and specific contacts for information and advice	Patrick Leeson, Corporate Director Children, Young People and Education (CYPE)
Safeguarding and Quality Assurance Unit has been restructured to include additional child protection and Independent Reviewing Officer capacity	Philip Segurola, Director of Specialist Children's Services
Education Safeguarding Team in place	Graham Willett, Interim Director Education Quality & Standards
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	Keith Abbott, Director Education Planning & Access/ Scott Bagshaw, Head of

place with other practitioners	Admissions & Transport	
Children’s Development Plan, jointly owned by Specialist Children’s Services, Early Help and Preventative Services and Children’s Commissioning team, in place and updated to address recommendations arising from Child Sexual Exploitation (CSE) themed inspection and actions identified during a recent external review.	Philip Segurola, Director Specialist Children’s Services	
Multi-function officer group helping to define key steps and approach to aid any future inquiries or investigations that may arise relating to alleged historical abuse	Andrew Ireland, Corporate Director, SCHW	
Multi-agency Crime and Sexual Exploitation Panel (MACSE) established to provide a strategic, county-wide, cross-agency response to CSE.	Andrew Ireland, Corporate Director, SCHW (KCC lead)	
Regular strategies and campaigns support the recruitment and retention of high calibre social workers and managers, with competent agency social workers and managers used on temporary basis to fill vacancies.	Andrew Ireland, Corporate Director SCHW / Amanda Beer, Corporate Director Engagement, Organisational Design and Development.	
Action Title	Action Owner	Planned Completion Date
Implementation of any relevant actions arising from findings of recent Ofsted inspection.	Philip Segurola, Director Specialist Children’s Services	October 2017 (review)
Delivery of key actions to tackle Children’s Sexual Exploitation (CSE) and Trafficking as part of the Children’s Development Plan	Philip Segurola, Director Specialist Children’s Services	June 2017 (review)
Awareness-raising ‘Prevent’ training for identified key staff and specific training for those working with people directly at risk	Nick Wilkinson, Prevent and Channel Strategic Manager	June 2017 (review)

Risk ID	CRR2(b)	Risk Title	Safeguarding – protecting vulnerable adults			
	Source / Cause of risk The Council must fulfil its statutory obligations to effectively safeguard vulnerable adults. In addition, the Government’s “Prevent Duty” requires the Local Authority to act to prevent people from being drawn into terrorism.	Risk Event Its ability to fulfil this obligation could be affected by the adequacy of its controls, management and operational practices or if demand for its services exceeded its capacity and capability. Failure to meet the requirements of the new “Prevent Duty” placed on Local Authorities.	Consequence Serious impact on vulnerable people.	Risk Owner On behalf of CMT: Andrew Ireland, Corporate Director SCHW	Current Likelihood Likely (4)	Current Impact Major (5)
			Serious impact on ability to recruit the quality of staff critical to service delivery.			
			Serious operational and financial consequences.	Responsible Cabinet Member: Graham Gibbens, Adult Social Care Mike Hill (Lead Member for PREVENT)		
			Attract possible intervention from a national regulator for failure to discharge corporate and executive responsibilities.			
			Incident of serious harm or death of a vulnerable adult.			
Control Title					Control Owner	
Multi agency public protection arrangements in place					Andrew Ireland, Corporate Director SCHW	
Safeguarding Vulnerable Adults Board in place with key agencies. The Board is now on a statutory footing following implementation of the Care Act.					Andrew Ireland, Corporate Director SCHW	
Consistent scrutiny and performance monitoring through divisional management teams, ‘deep dives’ and audit activity.					Divisional Directors / Annie Ho, Interim Head of Adult Safeguarding	
Regular reporting on safeguarding takes place quarterly for Directors and Cabinet Members, with an annual report for elected Members, to allow for scrutiny of progress.					Andrew Ireland, Corporate Director SCHW	
Transforming Care Programme established to implement policy objectives of moving people into more					Penny Southern, Director	

suitable care settings.	DCALDMH	
Safeguarding improvement plans in place for Older People and Physical Disability and Disabled Children, Learning Disability and Mental Health services	Anne Tidmarsh, Director OPPD / Penny Southern, Director DCLDMH	
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	Andrew Ireland, Corporate Director SCHW	
KCC has led a multi-agency review of existing arrangements in light of the new Prevent Duty	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) established at district and borough level.	Nick Wilkinson, Prevent and Channel Strategic Manager	
Management Action Plan arising from recent internal audit – progress monitored regularly and reported to Countywide Adult Safeguarding Board	Annie Ho, Interim Head of Adult Safeguarding	
Capability framework for safeguarding and the mental capacity act introduced	Mark Lobban, Director of Commissioning	
Kent and Medway Safeguarding Adults Board Learning and Development Competence Framework is reviewed annually	Annie Ho, Interim Head of Adult Safeguarding	
Action Title	Action Owner	Planned Completion Date
Awareness-raising ‘Prevent’ training for identified key staff and specific training for those working with people directly at risk	Nick Wilkinson, Prevent and Channel Strategic Manager	June 2017 (review)
Independent audit of case files commissioned across all client categories	Annie Ho, Interim Head of Adult Safeguarding	August 2017

Risk ID	CRR3	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
The Council seeks access to resources to develop the enabling infrastructure for economic growth, regeneration and health.		Inability to secure sufficient contributions from development to support growth.	Key opportunities for growth missed.	On behalf of CMT:	Likely (4)	Serious (4)
However, in parts of Kent, there is a significant gap between the costs of the infrastructure required to support growth and the Council's ability to secure sufficient funds through s106 contributions, Community Infrastructure Levy and other growth levers to pay for it. At the same time, Government funding for infrastructure is limited and competitive and increasingly linked with the delivery of housing and employment outputs.		Insufficient return on investment from Regional Growth Fund schemes or significant level of default on loans.	The Council finds it increasingly difficult to fund KCC services across Kent (e.g. schools, waste services) and deal with the impact of growth on communities.	Barbara Cooper, Corporate Director Growth, Environment and Transport	Target Residual Likelihood	Target Residual Impact
It is currently unknown what sources of funding there may be to replace EU funding streams in the longer term.		Funders do not recognise Kent priorities for investment.	Kent becomes a less attractive location for inward investment and business.	Responsible Cabinet Member(s): Mark Dance, Economic Development	Possible (3)	Serious (4)
			Our ability to deliver an enabling infrastructure becomes constrained.	Matthew Balfour, Planning, Highways, Transport & Waste		
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)		
Environment Planning & Enforcement and Economic Development teams working with each individual District on composition of infrastructure plans including priorities for the CIL and Section 106 contributions, from which gaps can be identified				David Smith, Director Economic Development / Katie Stewart, Director EPE		
Coordinated approach in place between Development Investment Team and service directorates				David Smith, Director		

	Economic Development	
Dedicated team in Economic Development in place, working with other KCC directorates, to lead on major sites across Kent.	David Smith, Director Economic Development	
Economic Development SMT review of “critical” programmes/projects and review of KPIs to ensure continued appropriateness and relevance	David Smith, Director Economic Development	
Infrastructure Funding Group established and receives regular performance reports, potential issues for resolution and highlights funding gaps etc.	Barbara Cooper, Corporate Director, Growth, Environment and Transport	
Strong engagement of private sector through Kent and Medway Economic Partnership (KMEP), Business Advisory Board and Kent Developer Group	David Smith, Director Economic Development	
Strong engagement with South East LEP and with central Government to ensure that KCC is in a strong position to secure resources from future funding rounds	Dave Hughes, Head of Business and Enterprise	
Monitoring framework in place for Regional Growth Fund (RGF) programmes covering the issuing and management of contract agreements with regular reports reviewed by Growth, Economic Development & Communities Cabinet Committee.	Jacqui Ward, Regional Growth Fund Programme Manager	
KCC Internal Audit and external Auditor commissioned on an annual basis to conduct audits on the compliance of the RGF process and administration of the schemes, including governance, decision making and outcomes	Jacqui Ward, Regional Growth Fund Programme Manager	
Continued coordinated dialogue with developers, Districts and KCC service directorates	Nigel Smith, Head of Development	
KCC is actively engaged in preparation of local plans across Kent and Medway, responding to all consultations.	Tom Marchant, Head of Strategic Planning & Policy	
Action Title	Action Owner	Planned Completion Date
Produce Kent’s Local Transport Plan 4 – the next iteration of ‘Growth without Gridlock’	Tom Marchant, Head of Strategic Planning & Policy	July 2017
Growth & Infrastructure Framework – interim refresh being conducted including reviewing key actions arising from the framework	Tom Marchant, Head of Strategic Planning & Policy	December 2017 (review)
Progress proposals for a more consistent and comprehensive approach to early engagement and provision of advice for developers on major development proposals, involving a single point of contact at senior County	Nigel Smith, Head of Development	November 2017

Council officer level.		
Contribute to refresh of Strategic Economic Plan	Barbara Cooper, Corporate Director Growth, Environment and Transport	November 2017

Risk ID	CRR4	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 high impact incidents and emergencies.		Failure to deliver suitable planning measures, respond to and manage these events when they occur.	Potential increased harm or loss of life if response is not effective.	On behalf of CMT: Barbara Cooper, Corporate Director Growth, Environment & Transport	Possible (3)	Serious (4)
This includes responses associated with the Counter-terrorism and Security Act 2015 (CONTEST).		Critical services are unprepared or have ineffective emergency and business continuity plans and associated activities.	Serious threat to delivery of critical services.	Responsible Cabinet Member(s): Mike Hill, Community & Regulatory Services	Target Residual Likelihood	Target Residual Impact
The Director of Public Health has a legal duty to gain assurance from the National Health Service and Public Health England that plans are in place to mitigate risks to the health of the public including outbreaks of communicable diseases e.g. Pandemic Influenza.		Lack of resilience in the supply chain hampers effective response to incidents.	Increased financial cost in terms of damage control and insurance costs.		Unlikely (2)	Serious (4)
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 and the increasing threat of 'cyber attacks' (see risk CRR 26).			Adverse effect on local businesses and the Kent economy.			
			Possible public unrest and significant reputational damage.			
			Legal actions and intervention for failure to fulfill KCC's obligations under the Civil Contingencies Act or other associated legislation.			

Control Title	Control Owner
<p>Legally required multi-agency Kent Resilience Forum in place, with work driven by risk and impact based on Kent's Community Risk Register. Key roles of group include:</p> <ul style="list-style-type: none"> • Intelligence gathering and forecasting; • Regular training exercises and tests; • Task & Finish groups addressing key issues. • Plan writing • Capability building 	Mike Overbeke, Head of Public Protection (for Kent Resilience Team Activity)
Kent Resilience Forum has a Health sub-group to ensure coordinated health services and Public Health England planning and response is in place	Andrew Scott-Clark, Director of Public Health
Kent Resilience Forum Severe Weather Advisory Group established to convene in the event of a severe weather incident.	Mike Overbeke, Head of Public Protection
Critical functions identified across KCC as a basis for effective Business Continuity Management (BCM).	Tony Harwood, Resilience and Emergencies Manager
The Director of Public Health works through local resilience fora to ensure effective and tested plans are in place for the wider health sector to protect the local population from risks to public health.	Andy Scott-Clark, Director of Public Health
Management of financial impact to include Bellwin scheme	Dave Shipton, Head of Financial Strategy
Maintenance & delivery of emergency procedures, plans and capabilities in place to respond to a broad range of challenges.	Tony Harwood, Resilience and Emergencies Manager
System in place for ongoing monitoring of severe weather events (SWIMS)	Carolyn McKenzie, Head of Sustainable Business and Communities
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	Mike Overbeke, Head of Public Protection
Winter Resilience Planning Group & action plan in place.	Mike Overbeke, Head of Public Protection

ICT resilience improvements made to underlying data storage, data centre capability and network resilience.	Michael Lloyd, Head of Technology Commissioning & Strategy
On-going programme of review relating to ICT Disaster Recovery and Business Continuity	Michael Lloyd, Head of Technology Commissioning & Strategy
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.	Katie Stewart, Director Environment Planning & Enforcement (EPE)
KCC Community Wardens trained as Incident Liaison Officers	Mike Overbeke, Head of Public Protection
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. The Director of Public Health has additionally sought and gained assurance from the local Public Health England office and the NHS on preparedness and maintaining business continuity.	Andrew Scott-Clark, Director Public Health
KCC jointly with Medway Council Public Health dept maintain an on-call rota on behalf and with Public Health England to ensure preparedness for implementing the Scientific, Technical Advisory Cell (STAC) in the event of a major incident with implications for the health of the public	Andrew Scott-Clark, Director of Public Health
'Introduction to Emergency Planning' e-learning package available to all staff	Tony Harwood, Resilience and Emergencies Manager
Emergency planning training rolled out at strategic, tactical and operational levels. KCC Resilience Programme in place to deliver further training opportunities	Katie Stewart, Director EPE
Exercises regularly conducted to test different elements of KCC emergency and business continuity arrangements with partners (e.g. Exercise 'Loki' and exercise 'Surge').	Tony Harwood, Resilience & Emergencies Manager
Senior Management on-call rota devised and agreed	Katie Stewart, Director EPE
Learning and potential improvements to business continuity plans in light of loss of ICT systems captured	Katie Stewart, Director EPE
Emergency Reservists have been recruited to aid emergency responses	Katie Stewart, Director EPE

KCC Business Continuity Plan in place	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	Andrew Ireland, Corporate Director SCHW	
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	
Reporting arrangements have been reviewed to include appropriate elected Member oversight of KCC Business Continuity arrangements.	Katie Stewart, Director EPE	
IT security incidents are logged and reviewed from an IT and wider Information Governance perspective	Kathy Stevens, ICT Risk and Compliance Manager	
Cabinet Office resilience training delivered	Katie Stewart, Director EPE	
Steering Group established and work done to understand local implication of any potential increase in national security threat level in future	Katie Stewart, Director EPE	
New 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	
Sufficiency of KCC and Kent Resilience Team emergency and resilience resource conducted	Katie Stewart, Director EPE / Mike Overbeke, Head of Public Protection	
Local procedures have been established and are being continually reviewed and refined for when the national threat level increases to critical. This includes an update of the Corporate Business Continuity Plan.	Katie Stewart, Director EPE	
Action Title	Action Owner	Planned Completion Date
Exercise the procedures for a move in national threat level	Katie Stewart, Director EPE	Sep 2017
Review the Corporate Business Continuity Plan to reflect new threats and risks, including Climate Change Risk Assessment	Katie Stewart, Director EPE	July 2017
Implementation of formalised KCC Tactical emergency call out rota	Katie Stewart, Director EPE / Rachel Chalmers-Stevens, Staff Officer to Head of Paid Service	July 2017

Risk ID	CRR9	Risk Title	Health & Social Care Integration – delivery of Sustainability and Transformation Plans			
	Source / Cause of Risk The health & social care ‘system’ is under extreme pressure to cope with increasing levels of demand and financial constraints. Consequently, there is an urgent need to develop integrated health & social care services to meet these challenges. A local Sustainability and Transformation Plan (STP) is being developed to outline a ‘place-based’ plan for the future of health and care services in Kent.	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
		Failure to maximise opportunities presented for health & social care integration and ensure changes achieve maximum impact.	Collapse of Health and Social Care system	Andrew Ireland, Corporate Director SCHW	Likely (4)	Serious (4)
		Pressures within the acute health sector result in repercussions for social care and threaten successful implementation of the STP.	Gaps between services or in some instances duplication of services or inefficient use of the available joint resources.	Responsible Cabinet Member(s): Paul Carter Leader of the Council	Target Residual Likelihood Possible (3)	Target Residual Impact Significant (3)
		Insufficient Better Care Fund monies to support preventative services, which means plans to reduce hospital admissions are destabilised.		Graham Gibbens, Adult Social Care		
		Lack of ‘system’ leadership. Insufficient Local Authority involvement.				
Control Title					Control Owner	
KCC has designated Cabinet Portfolio Holders for Public Health and Health Reform, who have assumed central roles					Paul Carter, Leader of the Council	
Health & Wellbeing Board and CCG-level Health & Wellbeing Board sub-committees established					Paul Carter, Leader of the Council	
KCC Members and Officers are part of local Sustainability and Transformation governance arrangements					Paul Carter, Leader of the Council	
Kent chosen as one of 25 pioneers of health & social care integration in the UK, which is giving renewed					Anne Tidmarsh, Director	

impetus to the integration programme in Kent. An Integration Pioneer Implementation Group is in place with other 20 stakeholder members to provide strategic direction and oversee successful delivery of health & social care in Kent.	OPPD(KCC lead)	
Reporting arrangements are in place to support integrated working, including reports to Health & Wellbeing Boards, Clinical Commissioning Groups and Vanguard Groups.	Anne Tidmarsh, Director OPPD	
KCC has developed an understanding of, and is well placed to implement, the NHS ‘Five Year Forward View’	Andrew Ireland, Corporate Director SCHW	
BCF Finance and Performance Group established, consisting of CCG/KCC Chief Finance Officers as well as a BCF Internal Assurance Group	Andy Wood, Corporate Director Finance / Andrew Ireland, Corporate Director SCHW	
Kent Integrated Dataset provides population level data from health and adult social care that is used to perform analysis to inform decisions about commissioning and management of health and care services across the county.	Gerrard Abi-Aad, Head of Health Intelligence	
Joint working takes place with Health partners to ensure adherence to the Continuing Healthcare (CHC) framework	SCHW Directors	
Action Title	Action Owner	Planned Completion Date
Contribute to the implementation of five-year, place-based Sustainability and Transformation Plans	Andrew Ireland, Corporate Director SCHW	June 2017 (review)
Revision of Joint Strategic Needs Assessment (JSNA) to support joint health & social care commissioning activity.	Andrew Scott-Clark, Director Public Health	September 2017 (review)
Revision of Health & Wellbeing Strategy	David Whittle, Director Strategy, Policy & Assurance	June 2017 (review)
Monitor implications associated with any changes to the Better Care Fund from 2018-19	Andy Wood, Corporate Director Finance	July 2017 (review)
‘Your Life, Your Wellbeing’ transformation programme aims to prepare KCC adult social care for integration	Andrew Ireland, Corporate Director SCHW	September 2017 (review)

Risk ID	CRR10(a)	Risk Title	Management of Adult Social Care Demand			
	Source / Cause of risk Adult social care services across the country are facing growing pressures. Overall demand and cost for adult social care services in Kent continues to increase due to factors such as increasing numbers of young adults with long-term complex care needs and Ordinary Residence issues. This is all to be managed against a backdrop of reductions in Government funding, implications arising from the implementation of the Care Act, a recent Supreme Court ruling that may lead to increases in Deprivation of Liberty Assessments and longer term demographic pressures.	Risk Event Council is unable to manage and resource to future demand and its services consequently do not meet future statutory obligations and/or customer expectations.	Consequence	Risk Owner	Current Likelihood	Current Impact
			Customer dissatisfaction with service provision.	Andrew Ireland, Corporate Director SCHW	Likely (4)	Major (5)
			Increased and unplanned pressure on resources.	Responsible Cabinet Member(s): Graham Gibbens, Adult Social Care	Target Residual Likelihood Possible (3)	Target Residual Impact Serious (4)
			Decline in performance.			
			Legal challenge resulting in adverse reputational damage to the Council.			
Financial pressures on other council services.						
Control Title				Control Owner		
Regular analysis and refreshing of forecasts to maintain the level of understanding which feeds into the relevant areas of the MTFP and the business planning process				Andrew Ireland, Corporate Director SCHW/ Mark Lobban, Director Commissioning		
Implementation of Adults Transformation partnership programme progressing including: Care Pathways, Commissioning & Procurement and Optimisation				Mark Lobban, Director Commissioning /Anne Tidmarsh, Director OPPD/Penny Southern, Director Disabled Children Adult Learning Disability & Mental Health (DCALDMH)		
Monitoring, vigilance and challenge regarding the placement of Adults into Kent by other local authorities.				Mark Lobban, Director Commissioning		

Legal Services are engaged where required to support KCC when challenging other Authorities to accept Ordinary Residence re: responsibilities	Penny Southern, Director DCALDMH	
Joint commissioning of services with health, in particular for people with dementia, long term conditions and for carers (links to <i>Health & Social Care Integration agenda</i> – see Risk CRR9).	Mark Lobban, Director Commissioning / Anne Tidmarsh, Director OPPD	
Continued drive to maximise the use of Telecare as part of the mainstream community care services	Anne Tidmarsh, Director OPPD/ Penny Southern, Director DCALDMH	
Maintain the use of appropriate tools to obtain value for money in relation to the commissioning of expensive specialist residential accommodation	Mark Lobban, Director Commissioning	
Health & Social Care Integration Programme in place with a strategic objective of proactively tackling demand for health & social care services	Anne Tidmarsh, Director OPPD	
Risk stratification tools devised. Now being used by GP's	Anne Tidmarsh, Director OPPD	
Continued support for investment in preventative services through voluntary sector partners	Mark Lobban, Director Commissioning	
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/ Anne Tidmarsh, Director OPPD	
Best Interest Assessments (BIA) training package in place to be delivered as part of a rolling programme twice yearly	Mark Lobban, Director Commissioning	
Continual review and monitoring of demand in relation to Deprivation of Liberty assessments (DoLs)	Mark Lobban, Director Commissioning	
Systematic methodology for demand management agreed and delivered by Strategic Business Development and Intelligence (SBDI) division.	Vincent Godfrey, Director SBDI	
Action Title	Action Owner	Planned Completion Date
Progression of Adults ‘Your Life Your Wellbeing’ programme – completion of Design phase	Andrew Ireland, Corporate Director SCHW	September 2017

Risk ID	CRR10(b)	Risk Title	Management of Demand – Early Help and Preventative Services and Specialist Children’s Services			
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, and policy/legislative changes.		High volumes of work flow into early help and preventative services and specialist children’s services leading to unsustainable pressure being exerted on them.	Children’s services performance declines as demands become unmanageable.	Andrew Ireland, Corporate Director SCHW	Likely (4)	Major (5)
At a local level KCC is faced with additional demand challenges such as those associated with significant numbers of Unaccompanied Asylum Seeking Children (UASC). There are also particular ‘pressure points’ in several districts.			Failure to deliver statutory obligations and duties or achieve social value.	Patrick Leeson, Corporate Director CYPE	Target Residual Likelihood	Target Residual Impact
These challenges need to be met as early help and preventative services and specialist children’s services face increasingly difficult financial circumstances and operational challenges such as recruitment and retention of permanent qualified social workers.			Additional financial pressures placed on other parts of the Authority at a time of severely diminishing resources.	Responsible Cabinet Member(s): Roger Gough Children, Young People and Education	Possible (3)	Serious (4)
			Ultimately an impact on outcomes for children, young people and their families.			
Control Title				Control Owner		
Analysis and refreshing of forecasts to maintain the level of understanding which feeds into the relevant areas of the MTFP and the business planning process				Andrew Ireland, Corporate Director SCHW / Philip Segurola, Director Specialist Children’s Services		

The Early Help and Preventative Services Programme is working to ensure that vulnerable families can access the right support through open access services or through targeted casework.	Stuart Collins, Interim Director Early Help and Preventative Services	
Plans developed to appropriately manage the number of children in care (subject to continual monitoring)	Philip Segurola, Director Specialist Children's Services	
Intensive focus on ensuring early help to reduce the need for specialist children's support services.	Patrick Leeson, Corporate Director CYPE / Andrew Ireland, Corporate Director SCHW	
Maintain the use of appropriate tools to obtain value for money in relation to the commissioning of expensive specialist residential and independent fostering accommodation	Philip Segurola, Director Specialist Children's Services / Mark Lobban, Director Commissioning	
Scoping of diagnostic work for children's services with aid of efficiency partner has been completed	Philip Segurola, Director Specialist Children's Services	
Early Help & Preventative Services have outlined priorities for service development and change, including ambitious targets to improve outcomes for children, young people and families	Stuart Collins, Interim Director Early Help & Preventative Services	
Weekly Management Information reports track key children in care milestones	Philip Segurola, Director Specialist Children's Services	
Kent Safeguarding Children Board has developed a 'threshold' document that 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	
Action Title	Action Owner	Planned Completion Date
Phase 2 of 0-25 Programme to define and implement a new way of delivering services to the children and young people of Kent to improve outcomes and reduce costs.	Patrick Leeson, Corporate Director CYPE	October 2017 (review)

Risk ID	CRR 12	Risk Title	Potential implications associated with significant migration into Kent			
Source / Cause of Risk		Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
Migration to Kent is not a new phenomenon and is an inevitable outcome of being a London-peripheral authority, symptomatic of differentials in housing markets across the country and the desirability of living in the county.		Arrival of significant numbers of vulnerable households into the county, particularly if migration is into concentrated areas.	Potential impact on community cohesion in parts of the county.	On behalf of CMT: Andrew Ireland, Corporate Director SCHW	Possible (3)	Serious (4)
Welfare reform policy changes combined with an overheating London housing market continues to drive London residents to more affordable temporary and permanent accommodation in Kent.		London Boroughs, utilising higher per-capita funding and large capital/reserve budgets to procure sites in Kent to ease their overspend on housing/homelessness.	Additional pressure on KCC services e.g. school admissions, demand for adults and children's social care, community safety, public health	Responsible Cabinet Member(s): Graham Gibbens, Adult Social Care Mike Hill, Community & Regulatory Services Roger Gough, Children, Young People and Education	Target Residual Likelihood	Target Residual Impact
Over the past year, a number of London Boroughs have procured large sites to place residents in temporary accommodation into Kent		Failure of KCC to plan with partners (Districts, Police, Health) to deal appropriately with potential consequences on Kent services.	Impact on availability of accommodation for Kent residents, placing more pressure on services such as Kent Support and Assistance Service (KSAS), and/or displacing them outside of the county.		Possible (3)	Significant (3)
KCC needs to be prepared to manage the impact on local communities, and any significant additional pressure on KCC services.		Failure of London Boroughs to provide information about incoming vulnerable households e.g. those known to children's social services in accordance with statutory requirements and agreed protocols.				
Control Title				Control Owner		
Welfare reform - ongoing analysis and tracking of impacts conducted by Strategy, Policy & Assurance and Strategic Business Development & Intelligence teams plus external partners to give an indication of scale of implications of reforms, feeding into a multi-agency Welfare Reform Task & Finish Group (sub-group of the Joint Kent Chiefs) to direct any necessary co-ordinated action/response.				Vincent Godfrey, Strategic Commissioner/David Whittle, Director Strategy, Policy, Relationships and Corporate Assurance (SPRCA)		

Policy & research updates produced periodically to aid monitoring of potential impacts	David Whittle, Director SPRCA / Vincent Godfrey, Strategic Commissioner	
Kent Support and Assistance Service operating as the County's local welfare assistance scheme	Mark Lobban, Director of Commissioning	
A Steering Group consisting of Council Leaders, senior officers and housing leads from across all tiers of Local Government in Kent and Medway has been established to coordinate activity in response to London Boroughs' procurement of large sites for significant placements, including submitting amendments to the Homelessness Reduction Bill, liaising with London Councils in aspiration of better collaboration, engaging with Kent MPs for them to take this issue forward at Government level, and exploring any potential for active market intervention / disruption.	Paul Carter, Leader of the Council (KCC Lead)	
Meeting held with Steering Group and Kent MPs in Westminster	David Whittle, Director SPRCA	
Action Title	Action Owner	Planned Completion Date
Identification of potential commercial properties, starting in two Districts (Maidstone and Swale) in Kent that may be in danger of being converted into residential status.	Rebecca Spore, Director of Infrastructure	June 2017
Meeting to take place with London Councils to improve relationships	David Whittle, Director SPRCA	June 2017

Risk ID	CRR 17	Risk Title	Future financial and operating environment for Local Government			
Source / Cause of risk	<p>The operating environment for local government is likely to continue to change during the coming years, presenting both opportunities and risks for the Council and its partners / service providers.</p> <p>Government funding is set to continue reducing over the medium term, especially in 2018/19 and 2019/20 in the final years of the current spending review and four year settlement. Thereafter there is more uncertainty and the 100% business rate retention scheme due to be implemented by 2020 may present opportunities but also threat to the Council.</p> <p>The Local Government, Cities and Devolution Act could have wide-ranging implications, including the potential for significant Local Government reorganisation.</p> <p>Limits on our ability to levy additional council tax without a referendum are also likely to remain for the foreseeable future.</p> <p>The EU referendum result in 2016 and June 2017 General Election result has added additional uncertainty to the environment.</p>	Risk Event	Consequence	Risk Owner (s)	Current Likelihood	Current Impact
					Likely (4)	Serious (4)
		<p>Additional (unfunded) spending demands and continued public sector austerity measures threaten 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 that will add to the unprecedented era of real terms spending reductions which councils have faced since 2010.</p> <p>Quality of KCC commissioned / delivered services suffers as financial situation continues to worsen.</p>	<p>Unsustainable financial situation.</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>Andy Wood, Corporate Director Finance</p> <p>Responsible Cabinet Member (s): All Cabinet Members</p>	Target Residual Likelihood Possible (3)	Target Residual Impact Serious (4)

Control Title		Control Owner
Robust budgeting and financial planning in place via Medium Term Financial Planning (MTFP) process, including stakeholder consultation.		Andy Wood, Corporate Director Finance
Processes in place for monitoring delivery of savings and budget as a whole.		Andy Wood, Corporate Director Finance
KCC Strategic Statement 2015-2020 and annual report outline key strategic outcomes that the Authority aims to achieve during this period.		Leader of the Council
KCC Quarterly Performance Report monitors key performance and activity information for KCC commissioned or delivered services. Regularly reported to Cabinet.		Richard Fitzgerald, Business Intelligence Manager – Performance
Ongoing oversight of implications relating to proposed Local Authority pension fund changes		Nick Vickers, Business Partner (external funding)
Support being provided to the Leader of the County Council in his role as Chair of the County Councils Network.		David Whittle, Director SPRCA
Financial analysis conducted after each budget statement		Dave Shipton, Head of Financial Policy, Planning & Strategy
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 Financial Policy, Planning & Strategy	July 2017 (review)
Continual engagement regarding devolution between KCC, District Councils, other partners and Government	David Whittle, Director SPRCA	July 2017
Engage with Government for a fair-funding needs formula for Grant distribution and tariffs/top-ups under business rate retention	Andy Wood, Corporate Director Finance	July 2017 (review)

Risk ID	CRR22	Risk Title	Implications of high numbers of Unaccompanied Asylum seeking children (UASC)			
Source / Cause of risk	<p>Since May 2015 there has been an unprecedented increase in the numbers of UASC arriving in Kent, which places increased pressure on all aspects of specialist children's services delivery. This issue is the source of a number of risks.</p> <p>In addition, a significant number of these children will turn 18 in the coming months, requiring care leaver support.</p>	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
		There is a risk that there will be insufficient accommodation, social work assessment capacity and support for UASC.	Serious impact on vulnerable young people.	Andrew Ireland, Corporate Director, SCHW	Possible (3)	Serious (4)
		Shortfall in funding the full cost associated with fulfilling the Council's statutory duties.	The Council would be unable to fulfil its statutory duties effectively.	Responsible Cabinet Member(s):	Target Residual Likelihood	Target Residual Impact
		Risk that other Local Authorities do not voluntarily accept UASC that arrive in Kent in sufficient numbers.	Additional budget pressures on the Authority if UASC costs are not fully funded by Government.	Roger Gough Children, Young People and Education	Possible (3)	Serious (4)
Control Title					Control Owner	
UASC multi-agency Partnership Board established to take a strategic overview of whole system of services contributing to and impacted upon in managing the needs of UASC in Kent and to provide opportunities for shared learning.					Philip Segurola, Director of Specialist Children's Services	
An additional temporary reception centre has been opened to help cope with demand					Philip Segurola. Director of Specialist Children's Services	
Staffing capacity has been increased, particularly the asylum duty team, Independent Reviewing Officer (IRO) service and District teams					Philip Segurola, Director of Specialist Children's Services	
Daily updates – senior management are reviewing arrival rates, capacity and accommodation and support requirements with management action taken as required.					Philip Segurola, Director of Specialist Children's Services	
Specialist Children's Services continue to work extremely closely with colleagues in the UASC arm of the UK Visas and Immigration service to ensure new arrivals, as well as children which arrived prior to the 1st July are transferred to the care of Other Local Authorities in the most timely and child-centred way					Philip Segurola, Director of Specialist Children's Services	
A National Transfer Scheme has been launched to encourage all local authorities to volunteer to support unaccompanied asylum-seeking children (UASC) so there is a more even distribution of caring responsibilities across the country.						
The Leader, Members and senior officers continue to make representations to the Home Office regarding					Andrew Ireland, Corporate	

funding.		Director, Social Care Health and Wellbeing
Action Title	Action Owner	Planned Completion Date
Continue to review staffing levels, increasing where required	Philip Segurola, Director of Specialist Children's Services	August 2017 (review)

Risk ID	CRR23	Risk Title	Evolution of KCC’s Strategic Commissioning Approach			
Source / Cause of risk The Authority is developing a strategic commissioning approach, as it looks to transform and respond to the challenging local government environment. This includes exploring alternative service delivery models as well as embedding commissioning principles for ‘internally commissioned’ services. This involves the development of appropriate ‘client-side’ arrangements.		Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
		Insufficient programme control on key change activity.	Potential to fall short of achieving financial and non-financial benefits if changes introduced are not fully embedded.	All Corporate Directors	Likely (4)	Significant (3)
		Insufficient management capacity and / or capability in key skill areas to support sustained change.	Disproportionate effort could be spent on areas of change that do not provide the greatest return on investment.	Responsible Cabinet Member: Paul Carter, Leader of the Council	Target Residual Likelihood Unlikely (2)	Target Residual Impact Significant (3)
		‘Client-side’ commissioner arrangements not developed in time to drive effective relationships with, and performance management of, suppliers.	Potential implications for staff wellbeing, morale and engagement.			
Control Title					Control Owner	
Corporate Directors are providing managerial leadership for the change agenda and ensuring resources for delivering change are sufficient.					Corporate Directors	
Workforce planning strategy 2015-2020 and annual report outlines how the Council is planning for the future in terms of skills development, role definitions and employee mind-set. Includes action plan.					Amanda Beer, Corporate Director Engagement, Organisation Development and Design	
Staff development and Leadership & Management Frameworks established to further develop key skills, including commercial acumen, project management and contract management, across the organisation as an essential enabler of change.					Amanda Beer, Corporate Director Engagement, Organisation Design & Development	
Strategic Business Development & Intelligence function brings together activities which support effective commissioning and leads on the management of KCC’s strategic contracts.					Vincent Godfrey, Strategic Commissioner	
Commissioning network and toolkit in place to support development of key commissioning knowledge and skills and sharing of good practice					Steve Lusk, Commercial Manager	

Workforce and succession planning tools available to aid managers	Julie Cudmore, Head of Organisation Development	
Skills transfer stipulations built into contracts of external efficiency partners / consultants to ensure internal staff develop relevant skills and build capability	Vincent Godfrey, Strategic Commissioner	
Roles and responsibilities for Officers charged with the strategic commissioning of services and those responsible for operational delivery of services have been clarified.	Corporate Directors	
Action Title	Action Owner	Planned Completion Date
Rolling programme of reviews of contract management arrangements for major contracts.	Vincent Godfrey, Strategic Commissioner	September 2017 (review)
Review Governance arrangements to clarify Member roles and responsibilities around the evolving strategic commissioning authority approach.	David Whittle, Director SPRCA	July 2017
Review of the Council’s Policy Framework to ensure consistency with, and support for, the strategic commissioning approach.	David Whittle, Director SPRCA	September 2017

Risk ID	CRR25	Risk Title	Delivery of 2017/18 savings				
	Source / Cause of Risk The ongoing difficult public finances situation and economic uncertainty continue to mean significant reductions in funding to the public sector and Local Government in particular, at a time when spending pressures on councils are increasing. KCC has already made significant cost savings and still needs to make significant ongoing year-on-year savings in order to “balance its books”.	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
		Robust plans to achieve the required savings are not developed in time to enable implementation and realisation of benefits in 2017/18.	Urgent alternative savings need to be found which could have an adverse impact on service users and/or residents of Kent.	On behalf of CMT: Andy Wood, Corporate Director Finance	Possible (3)	Serious (4)	
		Plans are not aligned with Cabinet Member priorities.	Potential adverse impact on council transformation plans. Reputational damage to the council.	Responsible Cabinet Member(s): John Simmonds, Finance	Target Residual Likelihood Possible (3)	Target Residual Impact Moderate (2)	
		Control Title					Control Owner
		Robust budgeting and financial planning in place via Medium Term Financial Planning (MTFP) process					Andy Wood, Corporate Director Finance
		Process for monitoring delivery of savings is in place, including a Budget & Programme Delivery Board to scrutinise progress.					Andy Wood, Corporate Director Finance
		Robust monitoring and forecasting of arrangements in place relating to the KCC budget as a whole					Andy Wood, Corporate Director Finance
		Procedures for appropriate consultation in place when decisions relating to changes in services are being considered					Diane Trollope, Head of Engagement & Consultation
		Controls and mechanisms remain robust					Andy Wood, Corporate Director Finance
		Indicative cash limits and savings targets allocated to Corporate Directors to allow early planning.					Corporate Directors and Director Group
Six monthly update reports on progress against budgeted savings presented to Governance & Audit Committee					Corporate Directors and Director Group		

Action Title	Action Owner	Planned Completion Date
NOTE: Level of risk is expected to decrease during the year by effective operation of existing controls.		

Risk ID	CRR26	Risk Title	Cyber-attack threats and their implications			
Source / Cause of Risk		Risk Event	Consequence	Risk Owner(s)	Current Likelihood	Current Impact
The Council has a duty to protect personal and other sensitive data that it holds on its staff, service users and residents of Kent.		Successful cyber-attack (e.g. 'phishing' scam) leading to loss or unauthorised access to sensitive business data.	Data Protection breach and consequent Information Commissioner's Office (ICO) sanction.	On behalf of CMT:	Likely (4)	Serious (4)
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.		Significant business interruption caused by a successful attack.	Damages claims Reputational Damage Potential significant impact on business interruption if systems require shutdown until magnitude of issue is investigated.	Ben Watts, General Counsel and Senior Information Risk Owner (SIRO)	Target Residual Likelihood Possible (3)	Target Residual Impact Serious (4)
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.				Amanda Beer, Corporate Director Engagement, Organisational Development & Design		
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.				Rebecca Spore, Director Infrastructure		
				Responsible Cabinet Member(s): Eric Hotson, Corporate & Democratic Services		

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		Michael Lloyd, Head of Technology Commissioning and Strategy / Internal Communications function / All Managers
Electronic Communications User Policy, Virus reporting procedure and social media guidelines in place		Michael Lloyd, Head of Technology Commissioning and Strategy
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
Mandatory Data Protection and Information Governance training		Ben Watts, General Counsel
Further training introduced relating to cyber-crime, cyber security and social engineering to raise staff awareness and knowledge		Michael Lloyd, Head of Technology Commissioning and Strategy
Action Title	Action Owner	Planned Completion Date
Implementation of ICT Transformation Programme includes actions to further strengthen ICT resilience, with systems and software compliance with various UK Standards.	Michael Lloyd, Head of Technology Commissioning and Strategy	March 2018
Messages to encourage increased awareness of information security amongst staff are to be communicated to align with key implementation milestones of the ICT Transformation Programme.	Diane Trollope, Head of Engagement and Consultation	September 2017 (review)

Risk ID	CRR27	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.	Andrew Ireland, Corporate Director SCHW	Likely (4)	Major (5)
Factors such as the introduction of the National Living Wage, potential inflationary pressures and uncertainty over care market workforce status in light of the vote to leave the EU mean that the care market is under pressure.		Inability to obtain provider supply at affordable prices		Responsible Cabinet Member(s): Graham Gibbens, Adult Social Care	Target Residual Likelihood Possible (3)	Target Residual Impact Significant (3)
		Significant numbers of care home closures or service failures				
		Providers choose not to tender for services at Local Authority funding levels or accept service users with complex needs.				
Control Title				Control Owner		
Risk based approach is applied to monitoring providers				Andrew Ireland, Corporate Director SCHW / Mark Lobban, Director of Commissioning		
Opportunities for joint commissioning in partnership with key agencies (i.e. Health) being regularly explored				Andrew Ireland, Corporate Director SCHW / Mark Lobban, Director of Commissioning		
An Accommodation Strategy is in place, developed with partners and key stakeholders.				Mark Lobban, Director of Commissioning		
Regular market mapping and price increase pressure tracking				Andrew Ireland, Corporate Director SCHW/ Mark Lobban, Director of Commissioning		
Regular meetings with provider and trade organisations				Andrew Ireland, Corporate		

	Director SCHW / Mark Lobban, Director of Commissioning	
Placement data is regularly tracked through the County Placement Team	Mark Lobban, Director of Commissioning	
Ongoing monitoring of Home Care market and market coverage following Home Care retender	Mark Lobban, Director of Commissioning	
Commissioning and Access to Resources functions in place to ensure KCC gets value for money while maintaining productive relationships with providers	Andrew Ireland, Corporate Director SCHW / Mark Lobban, Director of Commissioning	
Action Title	Action Owner	Planned Completion Date
Work to ensure there is sufficient local foster and residential care for disabled children to reduce the need for out of county placements.	Mark Lobban, Director of Commissioning	October 2017 (review)
Project to improve quality of care in independent sector, with further work to operationalise it.	Mark Lobban, Director of Commissioning	October 2017
Residential and nursing re-let: implementation phase following the tender.	Mark Lobban, Director of Commissioning	October 2017
Implementation of key actions arising from the Accommodation Strategy	Mark Lobban, Director of Commissioning	March 2018 (review)

Risk ID	CRR28	Risk Title	Delivery of New School Places is constrained by capital budget pressures and dependency upon the Education and Skills Funding Agency (ESFA)				
Source / Cause of risk		Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
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.		The expansion required may not be delivered, meaning KCC is not able to provide appropriate school places.	The duty to provide sufficient school places is not met, which may lead to legal action against the council. Some children have to travel much further to attend a school, with a resulting impact on the transport budget.	Patrick Leeson, Corporate Director CYPE	Very Likely (5)	Serious (4)	
A funding gap to deliver the programme for schools will be created by cost pressures from higher than expected build costs, low contributions from developers and increases in pupil demand.				Responsible Cabinet Member(s):	Target Residual Likelihood	Target Residual Impact	
Whilst the funding gap identified with the Kent Commissioning Plan has been closed, the delivery of the plan is highly dependent upon securing 15 Free Schools in Kent over the period and that the ESFA complete the Free School projects on time and to an appropriate standard.				Roger Gough, Children, Young People and Education	Possible (3)	Significant (3)	
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	Keith Abbott, Director Education Planning and Access	
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. This included raising the issue in the KCC response to the Education White Paper and the Leader raised this via the County Council’s Network.	Keith Abbott, Director Education Planning and Access	
Regular meetings with ESFA officials to monitor progress at individual project level and identify ways in which KCC can help progress these projects. First meeting held on 28/11/16	Keith Abbott, Director Education Planning and Access	
Action Title	Action Owner	Planned Completion Date
To develop contingency plans for alternative interim accommodation for each Free School project	Keith Abbott, Director Education Planning and Access/ Area Education Officers	June 2017 (review)
Discussions with senior ESFA staff and Director Education Planning and Access /Director Infrastructure to follow in the coming months	Keith Abbott, Director Education Planning and Access	June 2017

Risk ID	CRR 29	Risk Title	Information Governance – Introduction of General Data Protection Regulations (GDPR)			
Source / Cause of risk		Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
The Council is required to maintain the confidentiality, integrity and proper use of data and has a number of controls already in place to manage this.		Failure to prepare adequately for the introduction of the new regulations.	ICO sanction (e.g. undertaking, assessment, improvement, enforcement or monetary penalty notice issued against the Authority).	Ben Watts, General Counsel and Senior Information Risk Owner (SIRO)	Possible (3)	Serious (4)
In May 2018 General Data Protection Regulations (GDPR) come into effect that introduce significantly increased obligations on all data controllers, including the Council.		Information security incidents resulting in loss of personal data or breach of privacy / confidentiality.	Serious breaches under GDPR could attract a fine of €20m or 4% annual global turnover	Responsible Cabinet Member:	Target Residual Likelihood	Target Residual Impact
This will require significant preparation.			Increased risk of litigation	Eric Hotson, Corporate & Democratic Services	Unlikely (2)	Serious (4)
			Reputational damage			
Control Title				Control Owner		
Management Guide 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.				Ben Watts, General Counsel and Senior Information Risk Owner (SIRO)		
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 and Senior Information Risk Owner (SIRO) / Amanda Beer, Corporate Director Engagement, Organisational Design & Development.		
Cross-directorate Information Governance Group in place to support the SIRO				Ben Watts, General Counsel and Senior Information Risk Owner		

		(SIRO)
Information Resilience and Transparency team in place, providing business information governance support.		Caroline Dodge, Team Leader Information Resilience & Transparency
Action Title	Action Owner	Planned Completion Date
Finalise implementation of any outstanding actions arising from 2016 Information Commissioner's Office (ICO) audit.	Ben Watts, General Counsel and Senior Information Risk Owner (SIRO)	September 2017 (review)
Appoint a Data Protection Officer as a designated contact with the ICO.	David Cockburn, Head of Paid Service	May 2018
Review and update privacy notices to include legal basis (where applicable) and name/contact details of Data Protection Officer. Introduce new privacy notices as required for service areas where they don't currently exist	Caroline Dodge, Team Leader Information Resilience & Transparency	May 2018
Review and revise procedures to comply with new enhanced individual's rights / consider repercussions of Subject Access Requests free of charge and reduced timescales to deal	Caroline Dodge, Team Leader Information Resilience & Transparency	May 2018
Review and update procedures/protocols for investigating and reporting data breaches	Caroline Dodge, Team Leader Information Resilience & Transparency	May 2018