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To: Governance and Audit Committee – 25<sup>th</sup> July 2018

Subject: **CORPORATE RISK REGISTER**

Classification: Unrestricted

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### **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**

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## **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 is formally reviewed annually each autumn, but 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 to them annually, along with directorate risks, allowing for discussion and scrutiny of these risks with the relevant Risk Owners and responsible Cabinet Members present.

- 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 2018/19 have been requested from action owners and will be reported in the next Quarterly Performance Report presented to Cabinet on 24<sup>th</sup> September 2018.

### **3. Corporate Risk Register**

- 3.1 The Corporate Risk Register contains 18 risks, of which 10 areas of risk are currently rated as 'high' and 8 rated as 'medium'. All risks have mitigating actions in place that aim to achieve a target residual rating of 'medium' or 'low'.
- 3.2 Since last reported to Governance and Audit Committee in January 2018, two changes have been made to the corporate risk register.
- A new corporate risk relating to post-Brexit border systems and infrastructure arrangements (CRR0042) has been added and has been rated as High currently.
  - In addition, risk CRR0013 regarding the delivery of in-year savings within agreed budgets has been re-scored as 9 (amber) to reflect the 2018-19 position suggested by 'BRAG' (blue, red, amber, green) ratings for savings.
- 3.3 Further details of these risks, including controls and mitigating actions, are contained in appendix 1.
- 3.4 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) How realistic is the 'target' level of risk and over what period is it expected to be achieved (if not already)?
  - 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?
- 3.5 Views from Governance and Audit Committee are welcome to feed into the review.

## **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 and Audit Committee for assurance – 25/07/18**

## 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 2018
CRR0001	Safeguarding – protecting vulnerable children	15	15	↔
CRR0002	Safeguarding – protecting vulnerable adults	20	15	↔
CRR0003	Access to resources to aid economic growth and enabling infrastructure	16	12	↔
CRR0004	Civil Contingencies and Resilience	12	8	↔
CRR0005	Kent and Medway Sustainability and Transformation Partnership	16	12	↔
CRR0006	Resourcing implications arising from increasing complex adult social care need	20	12	↔
CRR0007	Integration of Early Help and Preventative Services and Specialist Children's Services to improve outcomes and manage demand	20	12	↔
CRR0008	Potential implications associated with significant migration into Kent	12	9	↔
CRR0009	Future financial and operating environment for local government	16	12	↔
CRR0011	Evolution of KCC's strategic commissioning approach	9	6	↔
CRR0013	Delivery of in-year savings within agreed budgets	9	2	↓
CRR0014	Cyber-attack threats and their implications	16	12	↔
CRR0015	Managing and working with the social care market	20	9	↔
CRR0016	Delivery of new school places is constrained by capital budget pressures and dependency on the Education and Skills Funding Agency	20	15	↔
CRR0039	Information Governance – Introduction of General Data Protection Regulations	12	8	↔
CRR0040	Opportunities and risks associated with Alternative Service Delivery Models	12	4	↑
CRR0041	Maintaining a healthy and effective workforce through significant change	8	8	↔
CRR0042	Post-Brexit border systems and infrastructure arrangements	20	10	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.

\*\* Context of the risk has been changed, hence direct comparison of score not applicable.

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	CRR0001	Risk Title	Safeguarding – protecting vulnerable children			
<b>Source / Cause of risk</b>		<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>
The Council must fulfil its statutory obligations to effectively safeguard vulnerable children.		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.	Serious impact on vulnerable people.	Matt Dunkley Corporate Director Children, Young People and Education (CYPE)	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.			Impact on ability to recruit the quality of staff critical to service delivery.		<b>Target Residual Likelihood</b>	<b>Target Residual Impact</b>
			Serious operational and financial consequences.		Possible (3)	Major (5)
			Attract possible intervention from a national regulator for failure to discharge corporate and executive responsibilities.			
		Failure to meet the requirements of the new “Prevent Duty” placed on Local Authorities.	Incident of serious harm or death of a vulnerable child.	<b>Responsible Cabinet Member(s):</b> Roger Gough Children, Young People and Education  Mike Hill (Lead Member for PREVENT)		
<b>Control Title</b>					<b>Control Owner</b>	
Consistent scrutiny and performance monitoring through Divisional Management Team, District ‘Deep Dives’ and audit activity					Sarah Hammond, Director of Integrated Services (Children’s Social Work Lead)	
Independent scrutiny by Kent Safeguarding Children Board					Independent Chair Kent Safeguarding Children Board	
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 Engagement, Organisational Design & Development (EODD)
Multi-agency public protection arrangements in place	Nikki Cruickshank, Interim Assistant Director Safeguarding and Quality Assurance
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.	Sarah Hammond, Director of Integrated Services (Children's Social Work Lead) / Stuart Collins, Director Integrated Services (Early Help and Preventative Services Lead)
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.	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
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 and provides challenge.	Sarah Hammond, Director of Integrated Services (Children's Social Work Lead)
Education Safeguarding Team in place	Claire Ray, Principal Officer, Education Safeguarding Team



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	
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.	Sarah Hammond, Director of Integrated Services (Children’s Social Work Lead)	
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	Matt Dunkley, Corporate Director, CYPE	
Multi-agency Crime and Sexual Exploitation Panel (MACSE) established to provide a strategic, county-wide, cross-agency response to CSE.	Matt Dunkley Corporate Director, CYPE (KCC lead)	
Three-year PREVENT training strategy approved by the Corporate Management Team	Nick Wilkinson, Prevent and Channel Strategic Manager	
Detailed understanding of requirements for Joint Targeted Area Inspections	Sarah Hammond, Director of Integrated Services (Children’s Social Work Lead)	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Preparation for new multi-agency safeguarding arrangements in response to Children & Social Work Act requirements	Matt Dunkley, Corporate Director CYPE	April 2019 (review)

Risk ID	CRR0002	Risk Title	Safeguarding – protecting vulnerable adults			
<b>Source / Cause of risk</b>		<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>
The Council must fulfil its statutory obligations to effectively safeguard vulnerable adults.		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.	Serious impact on vulnerable people.	Penny Southern, Corporate Director Adult Social Care and Health (ASCH)	Likely (4)	Major (5)
The change from ‘safeguarding alerts’ to ‘safeguarding enquiries’ has led to a significant increase in the number of safeguarding concerns received.			Serious impact on ability to recruit the quality of staff critical to service delivery.			
In addition, the Government’s “Prevent Duty” requires the Local Authority to act to prevent people from being drawn into terrorism.			Serious operational and financial consequences.		<b>Responsible Cabinet Member:</b>	<b>Target Residual Likelihood</b>
		Failure to meet the requirements of the new “Prevent Duty” placed on Local Authorities.	Attract possible intervention from a national regulator for failure to discharge corporate and executive responsibilities.	Graham Gibbens, Adult Social Care	Possible (3)	Major (5)
			Incident of serious harm or death of a vulnerable adult.	Mike Hill (Lead Member for PREVENT)		
<b>Control Title</b>					<b>Control Owner</b>	
Multi agency public protection arrangements in place					Annie Ho, Head of Adult Safeguarding	
Kent & Medway Safeguarding Adults Board in place with key agencies. The Board is now 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 / Annie Ho, 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	

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, 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	
Management Action Plan arising from recent internal audit – progress monitored regularly and reported to County Safeguarding Adults Group	Annie Ho, Head of Adult Safeguarding	
Capability framework for safeguarding and the mental capacity act introduced	Annie Ho, Head of Adult Safeguarding	
Kent and Medway Safeguarding Adults Board Learning and Development Competence Framework is reviewed annually	Annie Ho, Head of Adult Safeguarding	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Plan to commission further independent audits of case files across all client categories to complement internal reviews and audits.	Annie Ho, Head of Adult Safeguarding	June 2018
New framework for safeguarding practice being developed as part of the <i>Your Life, Your Wellbeing</i> transformation programme	Divisional Directors / Annie Ho, Head of Adult Safeguarding	August 2018 (review)

<b>Risk ID</b>	<b>CRR0003</b>	<b>Risk Title</b>	<b>Access to resources to aid economic growth and enabling infrastructure</b>			
<b>Source / Cause of Risk</b>		<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>
The Council 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.	Barbara Cooper, Corporate Director Growth, Environment and Transport (GET)	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.		Funders do not recognise Kent priorities for investment.	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.		<b>Target Residual Likelihood</b>	<b>Target Residual Impact</b>
It is currently unknown what, if any, sources of funding there may be to replace EU funding streams in the longer term.		Lack of resources to continuously shape and determine bids.	Kent becomes a less attractive location for inward investment and business.		Possible (3)	Serious (4)
<b>Control Title</b>				<b>Responsible Cabinet Member(s):</b>	<b>Control Owner</b>	
Growth and Infrastructure Framework for Kent and Medway published, setting out the infrastructure needed to deliver planned growth				Mark Dance, Economic Development	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				Mike Whiting, Planning, Highways, Transport & Waste	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	
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	
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	
Local Transport Plan 4 produced and approved by County Council	Tom Marchant, Head of Strategic Planning & Policy	
Organisation Development plan is targeting gaps in resources to support bids.	GET Directorate Management Team	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Contribute to refresh of Strategic Economic Plan	Barbara Cooper, Corporate Director Growth, Environment and Transport	August 2018
Engage with stakeholders to draw up an agreed Enterprise & Productivity Strategy 2018-2050	David Smith, Director Economic Development	February 2019

Risk ID	CRR0004	Risk Title	Civil Contingencies and Resilience			
<b>Source / Cause of Risk</b>		<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>
The Council, 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 (GET)	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.	<b>Responsible Cabinet Member(s):</b> Mike Hill, Community & Regulatory Services	<b>Target Residual Likelihood</b>	<b>Target Residual Impact</b>
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			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.			

0014).

<b>Control Title</b>	<b>Control Owner</b>
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.	Andy 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	Tom Marchant, Head of Strategic Planning and Policy
On-going programme of review relating to ICT Disaster Recovery and Business Continuity arrangements.	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 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
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 (e.g. Exercise 'Loki' and	Katie Stewart, Director EPE

exercise 'Surge').		
Senior Management on-call rota devised and agreed	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	
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 <sup>rd</sup> 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 to enable increased focus on directorate Issues implemented	Fiona Gaffney, Head of Resilience and Emergency Planning and Kent Resilience Team Manager (KCC)	
ICT resilience improvements are embedded as part of the ICT Transformation Programme.	Michael Lloyd, Head of ICT Commissioning & Strategy	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Exercise the procedures for a move in national threat level	Katie Stewart, Director EPE	March 2019
Contribute to the Kent Resilience Forum Local Authorities Emergency Planning group's updating of mutual aid arrangements with District Councils other councils across the region.	Fiona Gaffney, Head of Resilience and Emergency Planning and Kent Resilience Team Manager (KCC)	September 2018
Implementation of a more formalised team structure across the council for emergency planning, ensuring it is embedded as part of the corporate	Barbara Cooper, Corporate Director GET / Amanda Beer,	July 2018



responsibilities of managers.	Corporate Director EODD	
Respond to any issues arising from upcoming audit of KCC Business Continuity arrangements	Corporate Management Team	July 2018

Risk ID	CRR0005	Risk Title	Kent and Medway Sustainability and Transformation Partnership			
<b>Source / Cause of Risk</b>		<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>
The health & social care ‘system’ is under extreme pressure to cope with increasing levels of demand and financial constraints.		Failure to maximise opportunities for appropriate health & social care integration and ensure changes achieve maximum benefit.	Further deterioration in the financial and service sustainability of Health and Social Care system in Kent and Medway.	Penny Southern, Corporate Director Adult Social Care & Health (ASCH)	Likely (4)	Serious (4)
National government policy for integration of health and social care as part of how to meet these challenges.		Pressures within the acute health sector result in repercussions for social care and threaten successful implementation of joint working arrangements.	Additional budget pressures transferred to social care as system monies are used to close acute and primary care service gaps.	Vincent Godfrey, Strategic Commissioner	<b>Target Residual Likelihood</b> Likely (4)	<b>Target Residual Impact</b> Significant (3)
NHS national policy is for health commissioners and providers to come together and develop place based plans. KCC is part of the Kent and Medway Sustainability and Transformation Partnership (STP). Sub-STP local planning and delivery arrangements are being developed through Accountable Care Partnerships (ACP).		Improved Better Care Fund monies earmarked for social care geared to addressing pre-determined NHS targets and priorities.	Legal challenge/judicial review of decisions and decision-making framework for integrated decisions.	<b>Responsible Cabinet Member(s):</b> Paul Carter Leader of the Council		
Development of NHS standard contract for Accountable Care Partnerships that could include public health and social care.		Inappropriate level of Local Authority involvement. STPs have no formal role for local authorities, except by local agreement.	De facto transfer of LA commissioning and budgetary decisions to joint vehicles with NHS without appropriate safeguards. Existential challenge.	Peter Oakford, Cabinet Member for Strategic Commissioning and Public Health		
Major NHS policy announcements made every 12-18 months.		No changes to primary legislation. Current statutory responsibilities and duties remain and cannot be delegated and are inconsistent with LA statutory responsibilities.	Social care and public health service priorities determined by NHS, not KCC.	Graham Gibbens, Cabinet Member for Adult Social Care		
		Failure to meet statutory	Capitated provider			

duties around the sufficiency of the care market, care quality and safeguarding.

Opportunity cost from spending time and resources on STP and system design which is subject to change from NHS England.

Comprehensive plans to reform health services entail KCC Cabinet support for substantial variations of service in the NHS.

Lack of understanding within KCC of NHS policy and regulatory environment; and vice versa, lack of understanding of local authority legislative, policy and democratic environment in NHS.

contracts dominated by NHS budgets and targets.

Focus on STP and ACP workstreams prevents more local and agile improvements/joint working being undertaken.

Erosion of long-term working relationships between NHS and local government.

Reputational damage to either KCC or NHS or both in Kent.

Control Title	Control Owner
KCC has a designated Cabinet Member Portfolio for Health Reform and Cabinet Member for Strategic Commissioning	Paul Carter, Leader of the Council
Regular internal STP co-ordination meetings chaired by the Leader	Paul Carter, Leader of the Council
Establishment of a Health Reform and Public Health Cabinet Committee to provide non-executive member oversight and input of KCC involvement in the STP	Ben Watts, General Counsel
Senior KCC political and officer representation on the STP Programme Board	Penny Southern, Corporate Director ASCH

Senior KCC level officer representation on the East Kent ACP, and emerging West, North and Medway ACP	Penny Southern, Corporate Director ASCH	
Senior KCC level officer representation across STP workstreams	Penny Southern, Corporate Director ASCH	
KCC STP Secretariat established to manage and monitor ongoing engagement and activity	Penny Southern, Corporate Director ASCH	
County Council agreed framework for KCC engagement within the STP – ongoing monitoring and control taking place through STP Secretariat	Penny Southern, Corporate Director ASCH	
A joint KCC and Medway Health and Wellbeing Board for STP related matters/issues has been established.	David Whittle, Director SPRCA	
Local Care Implementation Board in place	Paul Carter, Leader of the Council	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Engagement with the new NHS Strategic Commissioner for Kent and Medway and alignment of strategic commissioning intentions with KCC Strategic Commissioner	Vincent Godfrey, Strategic Commissioner	October 2018 (review)

Risk ID	CRR0006	Risk Title	Resourcing implications arising from increasing complex adult social care need			
<b>Source / Cause of risk</b>		<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>
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 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.	Penny Southern, Corporate Director Adult Social Care and Health (ASCH)	Likely (4)	Major (5)
This is all to be managed against a backdrop of reductions in Government funding, implications arising from the implementation of the Care Act, increases in Deprivation of Liberty Assessments and longer-term demographic pressures.			Increased and unplanned pressure on resources.		<b>Target Residual Likelihood</b>	<b>Target Residual Impact</b>
			Decline in performance.		Possible (3)	Serious (4)
			Legal challenge resulting in adverse reputational damage to the Council.	<b>Responsible Cabinet Member(s):</b>		
			Financial pressures on other council services.	Graham Gibbens, Adult Social Care		
<b>Control Title</b>					<b>Control Owner</b>	
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 drive to maximise the use of Telecare as part of the mainstream community care services					Anne Tidmarsh, Director OPPD/ 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 in place to be delivered as part of a rolling programme twice yearly		Annie Ho, 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.		Annie Ho, Head of Adult Safeguarding
Targeted use of additional social care monies received from Government		Penny Southern, Corporate Director ASCH
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Implementation of Kent Integration and Better Care Fund plan	Penny Southern, Corporate Director ASCH	September 2018 (review)
Implementation of 'Your Life Your Wellbeing' projects that deliver a whole pathway transformation: Safeguarding, Social Work, Purchasing, Pathways to Preventative Services (Promoting Wellbeing), Integrated Rehabilitation (Promoting Independence) and Outcomes Based Homecare (Supporting Independence).	Penny Southern, Corporate Director ASCH	June 2018 (review)

Risk ID	CRR0007	Risk Title	Integration of Early Help and Preventative Services and Specialist Children's Services to improve outcomes and manage demand			
<b>Source / Cause of risk</b>		<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>
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.		Failure to maximise opportunities offered by integration of EHPS and SCS where appropriate.	Children's services performance declines as demands become unmanageable.	Matt Dunkley, Corporate Director CYPE	Likely (4)	Major (5)
At a local level KCC is faced with particular 'pressure points' in several districts.		High volumes of work flow into early help and preventative services and specialist children's services leading to unsustainable pressure being exerted on them (recognising seasonal spikes such as end of term).	Failure to deliver statutory obligations and duties or achieve social value.	<b>Responsible Cabinet Member(s):</b> Roger Gough Children, Young People and Education	<b>Target Residual Likelihood</b> Possible (3)	<b>Target Residual Impact</b> Serious (4)
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.		Additional financial pressures placed on other parts of the Authority at a time of severely diminishing resources.				
		Ultimately an impact on outcomes for children, young people and their families.				
<b>Control Title</b>					<b>Control Owner</b>	
The Early Help and Preventative Services 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 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	
Scoping of diagnostic work for children's services with aid of efficiency partner has been completed					Sarah Hammond, Director of Integrated Services (Children's Social Work Lead)	

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, Director Integrated Services (Early Help and Preventative Services Lead)
Kent Safeguarding Children Board '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
The SCS budget has been increased to compensate for the additional demand		Dave Shipton, Acting Section 151 Officer
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Children and Young People's Service Integration Programme – implementation of integration pilots	Stuart Collins, Director Integrated Services (Early Help and Preventative Services Lead). / Sarah Hammond, Director of Integrated Services (Children's Social Work Lead)	June 2018
Implementation of Front Door Integration Project to better manage 'front door' referrals.	Sarah Hammond, Director of Integrated Services (Children's Social Work Lead)	September 2018



Risk ID	CRR0008	Risk Title	Potential implications associated with significant migration into Kent			
<b>Source / Cause of Risk</b>		<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>
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: Matt Dunkley, Corporate Director CYPE	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.	Penny Southern, Corporate Director ASCH	<b>Target Residual Likelihood</b> Possible (3)	<b>Target Residual Impact</b> Significant (3)
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.	<b>Responsible Cabinet Member(s):</b> Graham Gibbens, Adult Social Care		
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.		Mike Hill, Community & Regulatory Services  Roger Gough, Children, Young People and Education		
<b>Control Title</b>					<b>Control Owner</b>	
Welfare reform - ongoing analysis and tracking of impacts conducted by Strategy, Policy, Relationships & Corporate 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					Vincent Godfrey, Strategic Commissioner/David Whittle, Director Strategy, Policy,	

Group (sub-group of the Joint Kent Chiefs) to direct any necessary co-ordinated action/response.	Relationships and Corporate Assurance (SPRCA)	
Kent Support and Assistance Service operating as the County’s local welfare assistance scheme	Emma Hanson, Head of Strategic Commissioning Community Services	
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 (now an Act), 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	
Revised Advice note to be issued to member associations by London Councils is to include the mass placements issue.	Chair of Housing sub-group, London Councils	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Key local stakeholders, including KCC, are meeting with London councils to discuss issues relating to ‘bulk’ placements into Kent, to build understanding and outline expectations from London and Kent perspectives.	David Whittle, Director SPRCA	July 2018 (review)
Work with local partners to understand and monitor potential local implications arising from implementation of the Homelessness Reduction Act.	Debra Exall, Strategic Relationships Adviser	October 2018 (review)
Refresh/update analysis looking at characteristics of those who are placed by London Boroughs and the consequent impact on public services	Debra Exall, Strategic Relationships Adviser	September 2018 (review)

Risk ID	CRR0009	Risk Title	Future financial and operating environment for Local Government			
<b>Source / Cause of risk</b>		<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner (s)</b>	<b>Current Likelihood</b>	<b>Current Impact</b>
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.		Additional unfunded spending demands and continued public sector austerity measures threaten financial sustainability of KCC, its partners and service providers.	Unsustainable financial situation.	On behalf of CMT:	Likely (4)	Serious (4)
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.		In order to set a balanced budget the council is likely to have to continue to make significant year on year savings. This will only add to the unprecedented era of real term spending reductions which councils have faced since 2010.	Potential for partner or provider failure – including sufficiency gaps in provision.	Dave Shipton, Acting Section 151 Officer	<b>Target Residual Likelihood</b>	<b>Target Residual Impact</b>
Continuing budget challenges will necessitate difficult decisions being made regarding the future of services.		Quality of KCC commissioned / delivered services suffers as financial situation continues to worsen.	Reduction in resident satisfaction and reputational damage.	<b>Responsible Cabinet Member (s):</b>	Possible (3)	Serious (4)
Limits on our ability to levy additional council tax without a referendum are also likely to remain for the foreseeable future.		Insufficient Government Grant available to provide sufficient number of school places.		All Cabinet Members		
The Local Government, Cities and Devolution Act could have wide-ranging implications, including the						

<p>potential for significant Local Government reorganisation.</p> <p>The EU referendum result in 2016 and June 2017 General Election result has added additional uncertainty to the environment, meaning major legislative change is unlikely.</p>		
<b>Control Title</b>	<b>Control Owner</b>	
Robust budgeting and financial planning in place via Medium Term Financial Planning (MTFP) process, including stakeholder consultation.	Dave Shipton, Acting Section 151 Officer	
Processes in place for monitoring delivery of savings and budget as a whole.	Dave Shipton, Acting Section 151 Officer	
KCC Strategic Statement 2015-2020 and annual report outline key strategic outcomes that the Authority aims to achieve during this period.	Paul Carter, 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, Performance Manager	
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 KCC in his role as Chair of the County Councils Network (CCN).	David Whittle, Director SPRCA	
Financial analysis conducted after each budget statement	Dave Shipton, Head of Finance (Policy, Planning & Strategy)	
Engagement with CCN, other local authorities and Government of potential opportunities and issues around devolution and public reform	David Whittle, Director SPRCA	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Work proactively with Government regarding how the new business rate retention scheme can be most effectively implemented	Dave Shipton, Head of Finance (Policy, Planning & Strategy)	January 2019 (review)

Engage with Government for a fair-funding needs formula for Grant distribution and tariffs/top ups under business rate retention	Dave Shipton, Acting Section 151 Officer	January 2019 (review)
Engage with Government for a fair Basic Need allocation to meet the demand for school places	Keith Abbott, Director, EPA	September 2018 (review)

Risk ID	CRR0011	Risk Title	Evolution of KCC's Strategic Commissioning Approach			
<b>Source / Cause of risk</b>		<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>
The Authority is developing a strategic commissioning approach, as it looks to transform and respond to the challenging local government environment.		Insufficient management capacity and / or capability in key skill areas to support sustained change.	Potential to fall short of achieving benefits if changes introduced are not fully embedded.	In collaboration with CMT:	Possible (3)	Significant (3)
It is a journey in changing the systems, culture and approach the organisation takes to achieving its strategic outcomes.		Lack of clarity over which activities that can be defined as strategic commissioning as distinct from the specification of service outcomes.		Vincent Godfrey, Strategic Commissioner	<b>Target Residual Likelihood</b>	<b>Target Residual Impact</b>
The approach aims to meet the need for comprehensive, professional strategic commissioning advice to all directorates across the Authority and requires a whole council ethos, as well as clarity of responsibility and accountability.		Lack of buy-in to whole-council ethos to support the changes required.		<b>Responsible Cabinet Member:</b> Peter Oakford, Deputy Leader and Cabinet Member for Strategic Commissioning and Public Health	Unlikely (2)	Significant (3)
<b>Control Title</b>				<b>Control Owner</b>		
Senior role of Strategic Commissioner appointed, reporting to the Head of Paid Service, to oversee the delivery of strategic commissioning expertise				David Cockburn, Head of Paid Service		
Building capacity and capability in commissioning is a key area of KCC's Organisation Development action plan				Julie Cudmore, Head of Organisation Development		
Cabinet Member role for Strategic Commissioning created				Paul Carter, Leader of the Council		

Rolling programme of reviews of contract management arrangements for major contracts embedded into Business as Usual and reported on regularly	Vincent Godfrey, Strategic Commissioner	
<i>Commissioning Success:</i> A strategy to improve lives by ensuring every pound spent in Kent is delivering better outcomes for Kent’s residents, communities and businesses through successful commissioning developed as part of the co-design process	Vincent Godfrey, Strategic Commissioner	
KCC Commissioning Framework introduced to establish several core commissioning principles in everything we do as an authority	Vincent Godfrey, Strategic Commissioner	
A co-design approach has been taken to develop the Strategic Commissioning division and the way it works, with active involvement of stakeholders.	Vincent Godfrey, Strategic Commissioner / Amanda Beer, Corporate Director EODD	
KCC has established a Strategic Commissioning Division to strengthen commissioning capability, and lead and shape commissioning activity	Vincent Godfrey, Strategic Commissioner	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Restructure of the Strategic Commissioning division to develop a vehicle for achievement of business strategy	Vincent Godfrey, Strategic Commissioner	September 2018
Embed new systems, processes and operating model of new Strategic Commissioning function	Vincent Godfrey, Strategic Commissioner	September 2018

<b>Risk ID</b>	<b>CRR0013</b>	<b>Risk Title</b>	<b>Delivery of in-year savings within agreed budgets</b>			
<b>Source / Cause of Risk</b>		<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>
The 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.		Robust plans to achieve the required savings are not developed in time to enable implementation and realisation of benefits.	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: Dave Shipton, Acting Section 151 Officer	Possible (3)	Significant (3)
KCC has already made significant cost savings and still needs to make significant ongoing year-on-year savings in order to "balance its books".		Plans are not aligned with Cabinet Member priorities.	Potential adverse impact on council transformation plans.  Reputational damage to the council.	<b>Responsible Cabinet Member(s):</b> John Simmonds, Finance	<b>Target Residual Likelihood</b> Unlikely (2)	<b>Target Residual Impact</b> Minor (1)
<b>Control Title</b>				<b>Control Owner</b>		
Robust budgeting and financial planning in place via Medium Term Financial Planning (MTFP) process				Dave Shipton, Acting Section 151 Officer		
Process for monitoring delivery of savings is in place, including a Budget & Programme Delivery Board to scrutinise progress.				Dave Shipton, Acting Section 151 Officer		
Robust monitoring and forecasting of arrangements in place relating to the KCC budget as a whole				Dave Shipton, Acting Section 151 Officer		
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				Dave Shipton, Acting Section 151 Officer		
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		



Continued engagement with the Home Office for a fair settlement for Unaccompanied Asylum-Seeking Children (UASC), particularly Care Leavers

Matt Dunkley, Corporate Director, CYPE

**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	CRR0014	Risk Title	Cyber-attack threats and their implications			
<b>Source / Cause of Risk</b> The Council has a duty to protect personal and other sensitive data that it holds on its staff, service users and residents of Kent.  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.  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.  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.		<b>Risk Event</b>  Successful cyber-attack (e.g. ‘phishing’ scam) leading to loss or unauthorised access to sensitive business data.  Significant business interruption caused by a successful attack.	<b>Consequence</b>  Data Protection breach and consequent Information Commissioner’s Office (ICO) sanction.  Damages claims.  Reputational Damage.  Potential significant impact on business interruption if systems require shutdown until magnitude of issue is investigated.	<b>Risk Owner(s)</b>  Amanda Beer, Corporate Director Engagement, Organisational Design & Development.  Ben Watts, General Counsel  Rebecca Spore, Director Infrastructure  <b>Responsible Cabinet Member(s):</b> Eric Hotson, Corporate & Democratic Services	<b>Current Likelihood</b>  Likely (4)   <b>Target Residual Likelihood</b>  Possible (3)	<b>Current Impact</b>  Serious (4)   <b>Target Residual Impact</b>  Serious (4)

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 / Michael Lloyd, Head of Technology Commissioning and Strategy / 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	
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	Michael Lloyd, Head of Technology Commissioning and Strategy	
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	
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	October 2018

Further develop procedures to address breaches, including a retained specialist capability.	Kathy Stevens, ICT Compliance and Risk Manager	December 2018
Develop a Cyber incident response policy which strengthens the responsibilities and accountabilities across the Authority.	Michael Lloyd, Head of Technology Commissioning and Strategy	June 2018
Introduce regular monthly reporting of all vulnerabilities and remediation plans and quarterly status reports.	Kathy Stevens, ICT Compliance and Risk Manager	June 2018

Risk ID	CRR0015	Risk Title	Managing and working with the social care market			
<b>Source / Cause of Risk</b>		<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>
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 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.			<b>Target Residual Likelihood</b>	<b>Target Residual Impact</b>
		Significant numbers of care home closures or service failures.		<b>Responsible Cabinet Member(s):</b> Graham Gibbens, Adult Social Care	Possible (3)	Significant (3)
		Providers choose not to tender for services at Local Authority funding levels or accept service users with complex needs.		Peter Oakford Strategic Commissioning and Public Health		
<b>Control Title</b>					<b>Control Owner</b>	
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.					Richard Fitzgerald, Business Intelligence Manager, Performance	
Regular meetings 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 reviewing the capacity of the Home Care market with a view to developing a strategy to ensure market coverage.		Jo Empson, Commissioning Manager, Community Support
Ensuring contracts have indexation clauses built-in, managed through contract monitoring		Kieran Hannan, Interim Commissioning Standards Manager
Action Title	Action Owner	Planned Completion Date
Recommissioning of Homecare, SIS and discharge to assess as part of the ‘Care in the Home’ project	Jo Empson, Commissioning Manager, Community Support	April 2019
Implementation of refreshed Accommodation Strategy, developed with partners and key stakeholders. Need to have Extra Care beds onstream by 2020.	Clare Maynard, Head of Commissioning Portfolio – outcome 2 and 3	April 2019 (review)

Risk ID	CRR0016	Risk Title	Delivery of New School Places is constrained by capital budget pressures and dependency upon the Education and Skills Funding Agency (ESFA)			
<b>Source / Cause of risk</b>		<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>
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.	Matt Dunkley, 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.			Some children have to travel much further to attend a school, with a resulting impact on the transport budget.	<b>Responsible Cabinet Member(s):</b> Roger Gough, Children, Young People and Education	<b>Target Residual Likelihood</b> Very Likely (5)	<b>Target Residual Impact</b> Significant (3)
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.						
The position on some projects with the ESFA has brought into question the viability of two schools, leaving KCC with problems of provision.						

<b>Control Title</b>		<b>Control Owner</b>
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. This included raising the issue in the KCC response to the Education White Paper and the Leader raised this via the County Council 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. (Local delivery)		Keith Abbott, Director Education Planning and Access
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Further lobbying of the Secretary of State and Kent MPs	Keith Abbott, Director Education Planning and Access	July 2018 (review)



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

Education Planning and  
Access DivMT

July 2018 (review)

Risk ID CRR0039		Risk Title Information Governance – Embedding the adoption of General Data Protection Regulations (GDPR)				
<b>Source / Cause of risk</b>		<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>
The Council 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 embed the appropriate processes and procedures to meet the new regulations.	Information Commissioner's Office sanction (e.g. undertaking, assessment, improvement, enforcement or monetary penalty notice issued against the Authority).	Ben Watts, General Counsel	Possible (3)	Serious (4)
In May 2018 General Data Protection Regulations (GDPR) came into effect that have introduced 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.  Increased risk of litigation.  Reputational damage.	<b>Responsible Cabinet Member:</b>  Eric Hotson, Corporate & Democratic Services	<b>Target Residual Likelihood</b>  Unlikely (2)	<b>Target Residual Impact</b>  Serious (4)
<b>Control Title</b>				<b>Control Owner</b>		
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		
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 EODD		

Cross-directorate Information Governance Group in place to support the SIRO	Ben Watts, General Counsel
Information Resilience and Transparency team in place, providing business information governance support.	Caroline Dodge, Team Leader Information Resilience & Transparency
Data Protection Officer in place to act as a designated contact with the ICO	Ben Watts, General Counsel
Privacy notices as well as procedures/protocols for investigating and reporting data breaches reviewed and updated	Caroline Dodge, Team Leader Information Resilience & Transparency
<b>Action Title</b>	<b>Action Owner</b>
Finalise implementation of any outstanding actions arising from 2016 Information Commissioner's Office (ICO) audit.	Ben Watts, General Counsel
Work with service areas to ensure new processes and procedures comply with GDPR and are embedded across the organisation	Ben Watts, General Counsel
	Planned Completion Date
	September 2018
	September 2018

Risk ID      CRR0040		Risk Title      Opportunities and risks associated with alternative service delivery models				
<b>Source / Cause of risk</b>		<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>
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.		Expected financial dividends not met or return on investment takes longer than planned to achieve.	Additional pressures on Council budget. Reputational damage.	KCC Shareholder Boards	Possible (4)	Significant (3)
As with any new company start up, there will also be risks to be managed.		One or more company acts in a way that does not fit with KCC's values.	Companies may not be able to take advantage of commercial opportunities if decision-making is restricted.	<b>Responsible Cabinet Member:</b>	<b>Target Residual Likelihood</b>	<b>Target Residual Impact</b>
With the number of wholly-owned companies potentially increasing, 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.		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.		Paul Carter, Traded Services and Health Reform  Supported by:  Richard Long, Cabinet Lead for Traded Services	Unlikely (2)	Moderate (2)
<b>Control Title</b>				<b>Control Owner</b>		
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				Julie Cudmore, Head of Organisation Development		

KCC's Group Audit function conducts audits for KCC-owned companies		Robert Patterson, Head of Internal Audit
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		Richard Long, Cabinet Lead for Traded Services / David Cockburn, Head of Paid Service / Ben Watts, General Counsel / Dave Shipton, Acting Section 151 Officer
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Alongside the exploration of the HoldCo, the Council is also effecting changes to the constitution and Member scrutiny to support effective oversight and input by Members	Ben Watts, General Counsel	July 2018
Exploring implementation of holding arrangements for KCC's companies	Ben Watts, General Counsel	December 2018 (review)
To develop exit strategies in relation to all businesses from a commissioning and shareholder perspective against various potential outcomes	Relevant commissioners / Share holder Boards	December 2018 (review)

<b>Risk ID</b>	<b>CRR0041</b>	<b>Risk Title</b>	<b>Maintaining a healthy and effective workforce through significant change</b>			
<b>Source / Cause of risk</b>		<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>
KCC's workforce makes a vital contribution to the delivery of the Council's strategic outcomes, through its energy, commitment and hard work.		Low morale or stress related to organisational change or other factors. Increased sickness levels.	Negative impact on productivity and levels of service.	Corporate Management Team	Unlikely (2)	Serious (4)
Staff across the organisation need to be healthy, motivated and have the right skills to help the organisation develop.		Lack of depth / resilience of key personnel or teams.		<b>Responsible Cabinet Member:</b>  Eric Hotson, Corporate and Democratic Services	<b>Target Residual Likelihood</b>	<b>Target Residual Impact</b>
It is important that this continues through challenging times, with significant change becoming the new reality and further year-on-year efficiencies being required to meet difficult budgetary challenges.		Increasing demands on staff leads to insufficient capacity.			Unlikely (2)	Serious (4)
<b>Control Title</b>				<b>Control Owner</b>		
Annual staff survey (Employment Value Proposition – EVP) builds insight by looking at the perceived balance between what the organisation offers staff and what employees bring to the job				Amanda Beer, Corporate Director, EODD		
Wellbeing initiatives and health promotions for staff				Paul Royel, Head of Human Resources (HR) and Organisation Development (OD)		
Arrangements in place for active monitoring and response to absence				Paul Royel, Head of HR and OD		
Employee engagement strategy in place				Paul Royel, Head of HR and OD		

iResilience tools available	Amanda Beer, Corporate Director EODD
Staff care services provide professional occupational health, counselling (Support Line); coaching and mediation services to help ensure staff are physically, emotionally and mentally well.	Mark Scott, CEO of Cantium Business Solutions
Suite of key performance indicators being monitored as early warning indicators e.g. retention, absence	Amanda Beer, Corporate Director EODD
Directorate Organisation Development group shares best practice and facilitates communication on key OD issues	Julie Cudmore, Head of Organisation Development
Service redesigns take account of capacity and capability issues ensuring resources are allocated appropriately	Corporate Management Team
Significant and positive engagement with staff representatives	Paul Royel, Head of Human Resources (HR) and Organisation Development (OD)

Risk ID CRR0042		Risk Title Post-Brexit border systems and infrastructure arrangements			
<b>Source / Cause of risk</b> 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.	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>
	That the ‘implementation period’ agreed between UK leaving the EU is not enacted leading to immediate third country status for the UK on 29 March 2019.	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	Likely (4)	Major (5)
	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 to support Operation Stack and other mitigations for port delays.	<b>Responsible Cabinet Member</b>  Mike Whiting, Cabinet Member for Planning, Highways, Transport & Waste	<b>Target Residual Likelihood</b>  Unlikely (2)	<b>Target Residual Impact</b>  Major (5)
	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.			
	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.			
<b>Control Title</b>			<b>Control Owner</b>		
Regular engagement with senior colleagues in relevant Government Departments on the impacts and			Barbara Cooper, Corporate		



implications of Brexit on KCC’s regulatory responsibilities relating to Trading Standards and Highways	Director GET	
KCC membership and co-chair of the Kent Border Planning Steering Group and associated working groups such as Emergency Planning, Infrastructure etc.	Katie Stewart, Director Environment, Planning and Enforcement	
Internal KCC co-ordination through a Brexit Co-ordination Group and Informal Members Group	David Whittle, Director SPRCA / Joe Ratcliffe, Transport Strategy Manager	
KCC leads and manages the Kent Strategic Freight Forum	Barbara Cooper, Corporate Director, GET	
KCC membership and support to the Kent Resilience Forum Brexit Sub-Group	Fiona Gaffney, Head of Resilience and Emergency Planning	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
KCC response to the Highways England M20 consultation on interim on-highway solution in place for the implementation period	Katie Stewart, Director EPE	July 2018
Engaging with Government on an exercise testing emergency response capability in relation to potential post-Brexit scenarios.	Fiona Gaffney, Head of Resilience and Emergency Planning	Ongoing