

## APPENDIX 1

### Corporate Risk Register summaries – ranked from highest to lowest Current Score

As at 12/01/2021

Risk Reference	Risk Description	Current Score	Target
CRR0009	Future financial and operating environment for local government	High (25)	High (16)
<p><u>Comment:</u> This risk underpins many of the risks on the corporate risk register and was raised to the maximum level due to the continued uncertainty regarding local government funding and other national policy agendas and the difficulties this presents for financial planning and assumptions. The impact of COVID-19 has exacerbated the already challenging financial future for local authorities, leading to enormous uncertainty and an unprecedented challenge for the Council as it prepares its budget for the next financial year. Responding to the pandemic has required a huge increase in spending and has come at the same time as reductions in income from council tax, business rates and funding generated by the authority's own services, all of which have been affected by the pandemic. The government's financial settlement in December was welcome but was made up mostly of one-off funding for COVID-19 and is unlikely to be enough to meet the projected shortfall for next year. The costs relating to the impact of the latest national lockdown and wave of infections also need to be taken into account in this environment, as well as the extreme pressure on services and increased levels of financial hardship for residents and businesses.</p>			

Risk Reference	Risk Description	Current Score	Target
CRR0004	Simultaneous Emergency Response and Resilience	High (25)	Medium (15)
<p>While there are robust controls in place for this risk, it carries a maximum rating of 25 to acknowledge the expected ongoing strain on council capacity and resources expected to continue throughout the coming months, as we run aspects of Covid-19 response and recovery in parallel, as well as working with partners on any impacts arising from the end of the UK/EU transition period (see risk CRR0042) and requirements for Covid-19 testing of freight drivers at Dover. This is in addition to the more 'regular' planning and response for severe weather during the winter, closely monitoring and responding as appropriate to any avian flu outbreak(s) and maintaining local vigilance in light of continued cyber-security threats and the recent increase in national terrorism threat level to "severe." Local Command and Control structures have been combined to have oversight of these varied threats, with KCC playing a key role.</p>			

Risk Reference	Risk Description	Current Score	Target
CRR0015	Managing and working with the social care market	High (25)	Medium (15)
<p><u>Comment:</u> There is continued concern regarding the viability of local care markets in the wake of the Covid-19 outbreak, which has exacerbated pre-existing challenges. Care home occupancy rates have fallen in some areas, in part due to deaths from coronavirus and possibly a reluctance on the part of families to see loved ones go into care homes. Regular monitoring of supply and demand is undertaken by our Commissioning Analytics team to enable effective oversight and help inform service planning. With the continuation of the Government's Infection Control Fund over the winter, a multi-disciplinary project group has been set up to administer the fund and meet the requirements set out by government to pass the funding to care providers as soon as possible and complete regular monitoring and reporting to notify the government on what the fund has been used for.</p>			

Risk Reference	Risk Description	Current Score	Target
CRR0050	CBRNE incidents, communicable diseases and incidents with a public health implication – KCC response to and recovery from the impacts of the Coronavirus public health emergency	High (25)	12 (Medium)
<p><u>Comment:</u> This risk was escalated to the Corporate Risk Register by the Director of Public Health and relates to his and the organisation's statutory responsibilities relating to planning, response and recovery from communicable diseases – in this instance Covid-19. The continued rise in confirmed Covid infections across the county throughout the autumn and into winter, including the impact of the new variant of the virus, meant that the Kent and Medway area was placed by central Government into 'Tier 4' restrictions from 19<sup>th</sup> December, before the country entered its third national lockdown on 6<sup>th</sup> January 2021.</p> <p>The Public Health team at KCC is working with partners to ensure the restrictions are effectively implemented across the county, as well as managing outbreaks in vulnerable settings with the local Public Health England team. A local Test and Trace system is in operation to support the national system and KCC and partners are working to support mass vaccination rollout. Rapid-result coronavirus (COVID-19) testing for people who don't have symptoms has been rolled out across Kent during early January, as part of a rolling programme to help reduce the rates of transmission in Kent. This follows on from the initial launch of asymptomatic testing in Swale and Thanet during December. Trading Standards will continue to help and advise local businesses on Covid regulations, taking enforcement action where necessary.</p>			

Risk Reference	Risk Description	Current Score	Target
CRR0003	Securing resources to aid economic recovery and enabling infrastructure	High (20)	High (16)
<p><u>Comment:</u> The scope of the risk has broadened since the coronavirus pandemic, as the Authority, working with partners, seeks to fully understand both short and longer term Covid-19 impacts. The Kent and Medway Economic Partnership has produced a comprehensive Economic Renewal and Resilience Plan to aid local recovery, which has 5 key workstreams, including the establishment of a Kent and Medway Employment Task Force and Action Plan. It is acknowledged that given the continued uncertainty and Covid-19 related restrictions, the plan and associated actions will require continual review.</p> <p>An active pipeline of local projects is in place for potential funding announcements, while KCC also submitted responses to Government consultations for reform of the planning system, which would have significant infrastructure related impacts for the county. Central Government has since announced that elements of these reforms are being reviewed.</p>			

Risk Reference	Risk Description	Current Score	Target
CRR0014	Cyber-attack threats and their implications	High (20)	High (16)
<p><u>Comment:</u> The risk remains high due to the continuing significant volumes of attempted attacks across the sector and inherent risks of increased cyber-attacks during emergencies such as a pandemic. Further improvements have been made to KCC's ICT security infrastructure over the past six months, with more work planned in the six months ahead. The Authority's Technology Strategy continues the endorsement of a move to the "Cloud" in order to increase resilience.</p>			

Risk Reference	Risk Description	Current Score	Target
CRR0001	Safeguarding – protecting vulnerable children	High (20)	Medium (15)
<p><u>Comment:</u> The risk level was raised during the initial 'lockdown' period to reflect the potential for 'hidden harm' and pent-up demand, given that referrals to children's services dropped considerably. Since children returned to school in autumn 2020 referral rates were returning to pre-lockdown levels, although the nature of referrals began to change, with more complex and serious cases being investigated. There are similar concerns regarding the impact of the latest school closures (except for vulnerable children or children of key workers) that are due to last until mid-February at the earliest.</p>			

Risk Reference	Risk Description	Current Score	Target
CRR0007	Resourcing implications arising from serious and complex children's services demand	High (20)	Medium (15)
<p><u>Comment:</u> This risk links to the safeguarding risk CRR0001 above. After a reduction in demand through the initial lockdown period and no obvious reduction in need, the risk of a demand 'spike' was raised, with consequent resourcing implications and impact on service. In order to aid service planning, modelling of pent-up demand took place. Demand had been returning to pre-Covid-19 levels, although there are indications that a greater proportion of cases are more complex and serious in nature, with the latest national lockdown giving the potential for more uncertainty in demand profile in the coming months.</p>			

Risk Reference	Risk Description	Current Score	Target
CRR0002	Safeguarding – protecting vulnerable adults	High (20)	Medium (15)
<p><u>Comment:</u> Similar to the safeguarding children risk above, the risk level was raised due to emerging evidence from statutory and voluntary agencies emphasising the increased risks of domestic abuse, as well as safeguarding concerns for older vulnerable adults that live alone. These concerns are still valid and therefore the risk remains 'high'.</p>			

Risk Reference	Risk Description	Current Score	Target
CRR0006	Resourcing implications arising from increasing complex adult social care demand	High (20)	Medium (15)
<p><u>Comment:</u> During the coronavirus pandemic demand has been unpredictable, with significant reductions in some areas and increases in others, and there is still the potential for latent demand. Supply and demand is being regularly monitored to help inform service planning and any mitigating action required. In addition, the Adult Social Care and Health directorate has developed a Winter Pressure Plan for 2020-21, incorporating the actions required by the Department for Health and Social Care into pre-existing winter preparations, in order to ensure that high-quality, safe and timely support is provided to those who need it, whilst protecting the people who need support, their carers and the social care workforce from COVID-19.</p>			

Risk Reference	Risk Description	Current Score	Target
CRR0039	Information Governance	High (20)	Medium (15)
<p><u>Comment:</u> Messages are being communicated to staff to raise awareness and warn of increased information governance incidents and signposting to guidance. An audit of information governance arrangements in the context of a mainly 'digital' workplace is in progress, and any issues raised will be responded to by management.</p>			

Risk Reference	Risk Description	Current Score	Target
CRR0042	Post-Transition border systems, infrastructure and regulatory arrangements	High (20)	Medium (12)
<p>KCC, working with both national and local partners, has worked hard to prepare for the end of UK/EU Transition period, in order to minimise disruption to local communities and to keep the county open for business. At time of writing, there have been low numbers of freight travelling to Europe, although volumes were expected to pick up towards the middle of January. As well as leaving the EU single market and customs union, the coronavirus pandemic means anyone leaving the UK must have a negative COVID-19 test within 72 hours of travelling. KCC continues to support partners with the ongoing requirement for a negative COVID-19 test for all travellers to France before they can access Kent's ports.</p>			

Risk Reference	Risk Description	Current Score	Target
CRR0016	Delivery of New School Places is constrained by capital budget pressures and dependency upon the Basic Need allocation and the Education and Skills Funding Agency (ESFA)	High (20)	Medium (12)
<p><u>Comment:</u> The impact of Covid-19 delays on school places has been assessed, which has led to some delays and additional cost pressures. Operational delivery risk for 2021 is being mitigated, although the medium-term risk remains. The financial aspect of the risk remains high, with continued shortfall in Basic Need grant.</p>			

Risk Reference	Risk Description	Current Score	Target
CRR0010	Suitable accommodation and funding for Unaccompanied Asylum-Seeking Children (UASC)	High (20)	Medium (12)
<p><u>Comment:</u> As of 7<sup>th</sup> December KCC, was confident that it could safely resume receiving new arrivals into its care, although it has been made clear to central Government that a long term solution still needs to be implemented to avoid overwhelming Kent services again. Until this national solution is found this risk remains high.</p>			

Risk Reference	Risk Description	Current Score	Target
CRR0044	High Needs funding shortfall	High (20)	High (16)
<p>The increase in High Needs Funding in 2020-21 from Govt is welcome but insufficient to meet the expected demand and the cumulative deficit is expected to increase further during 2020-21 based on current trends. The publication of the government's review into the provision for children with special educational needs and disabilities (SEND) has been delayed until early 2021.</p>			

Risk Reference	Risk Description	Current Score	Target
CRR0047	Adequacy of support for children with Special Educational Needs and Disabilities (SEND) – response to Written Statement of Action	High (20)	Medium (10)
<p><u>Comment:</u> Progress has been made in implementing a new structure to add capacity to the programme team and improve integration between workstreams and delivery plans going forward. A local area SEND Strategy has been developed in collaboration with partners, which goes beyond the Written Statement of Action, to enable sustained improvement and transform Kent's SEND offer. The new strategy is due to launch in April, after public consultation.</p>			

Risk Reference	Risk Description	Current Score	Target
CRR0048	Maintenance and modernisation of the KCC estate	High (16)	Medium (12)
<p><u>Comment:</u> The risk relates in part to the ability to produce an affordable capital programme in the current environment, which could mean insufficient funds to undertake the required maintenance. There may an opportunity to accelerate certain projects in light of the increased speed of adoption of virtual solutions to service delivery, although realising some of the benefits from these may be more medium-term.</p>			

Risk Reference	Risk Description	Current Score	Target
CRR0049	Fraud and Error	High (16)	Low (6)
<p><u>Comment:</u> The risk rating is high due to the fraud threat posed during emergency situations being higher than at other times. Covid-19 related fraud risk assessments have been drafted by KCC Counter-Fraud Team for review by services and awareness raising messages are being delivered across the organisation. An exercise is currently in progress to review urgent payments made to suppliers under Procurement Policy Notices (PPN) to help maintain continuity of business during the coronavirus pandemic. It is important to note that the risk rating does not necessarily relate to staff fraud/error, but other factors such as cyber-fraud, fraud within the supply chain and 'scams' against the Council and Kent residents.</p>			

Risk Reference	Risk Description	Current Score	Target
CRR0051	Maintaining or Improving workforce health, wellbeing and productivity throughout Coronavirus response and recovery	High (16)	Medium (8)
<p><u>Comment:</u> The majority of the workforce has been working remotely for 10 months and a Work and Wellbeing “pulse check” survey in the autumn of 2020 indicated that our staff continue to show tremendous resilience in adapting to new working practices, finding innovative ways to engage with service users and residents, whilst continuing to deliver services. However, there are increasing wellbeing concerns for public service user facing staff, particularly in areas of high infection rates, as we enter a challenging winter period. The latest national ‘lockdown’ restrictions announced by the Government on 4<sup>th</sup> January 2021 mean that a significant proportion of the workforce will once again be balancing childcare or other caring responsibilities with working from home, with the potential for more staff absence due to Covid-19 infection or self-isolation. The Corporate Management Team will ensure continual engagement with staff to monitor the situation and respond appropriately, putting in place further interventions as necessary to supplement pre-existing support to aid health and wellbeing.</p>			

Risk Reference	Risk Description	Current Score	Target
CRR0005	Development of Integrated Care System (ICS) / Integrated Care Programmes (ICPs) in Kent and Medway NHS system	Medium (12)	Medium (8)
<p><u>Comment:</u> There is well established partnership working between the Council and Health partners, with considerable effort and resource from KCC senior leaders into the development of health and social care “system” arrangements. A practical programme of joint commissioning is being developed, focusing on areas such as the discharge process and mental health recovery. An NHS Bill is expected in early 2021, to include creating a legal framework for the ICS, which will be an opportune time for a more fundamental review of the opportunities and risks relating to health and social care integration. Any implications for local Public Health teams arising from the national closure of Public Health England and formation of the Health Protection Institute will be considered once more information is known.</p>			