



KCC Corporate Risk Register

**FOR PRESENTATION TO GOVERNANCE & AUDIT COMMITTEE
22/09/2021**

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 2021
CRR0001	Safeguarding – protecting vulnerable children	High (20)	Medium (15)	↔
CRR0002	Safeguarding – protecting vulnerable adults	High (20)	Medium (15)	↔
CRR0003	Securing resources to aid economic recovery and enabling infrastructure	High (20)	High (16)	↔
CRR0004	Simultaneous Emergency Response and Resilience	High (25)	Medium (15)	↔
CRR0005	Development of Integrated Care System (ICS) / Integrated Care Programmes (ICPs) in Kent and Medway NHS system	Medium (12)	Medium (8)	↔
CRR0006	Resourcing implications arising from increasing complex adult social care demand	High (20)	Medium (15)	↔
CRR0007	Resourcing implications arising from serious and complex children’s services demand	High (16)	Medium (12)	↓
CRR0009	Future financial and operating environment for local government	High (25)	High (16)	↔
CRR0010	Suitable accommodation and funding for Unaccompanied Asylum-Seeking Children (UASC)	High (20)	Medium (12)	↔
CRR0014	Cyber-attack threats and their implications	High (20)	High (16)	↔
CRR0015	Managing and working with the social care market	High (25)	Medium (15)	↔
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 (25)	Medium (12)	↑
CRR0039	Information Governance	High (20)	Medium (12)	↔
CRR0042	Post-Transition border systems, infrastructure and regulatory arrangements	High (20)	Medium (12)	↔
CRR0044	High Needs Funding shortfall	High (20)	High (16)	↔

CRR0045	Maintaining effective governance and decision making in a challenging financial and operating environment for local government	Medium (10)	Low (5)	Revised Risk
CRR0047	Adequacy of support for children with Special Educational Needs and Disabilities (SEND) – response to Written Statement of Action	High (20)	Medium (10)	↔
CRR0048	Maintenance and modernisation of the KCC estate	High (16)	Medium (12)	↔
CRR0049	Fraud and Error	High (16)	Low (6)	↔
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)	Medium (15)	↔
CRR0051	Maintaining or Improving workforce health, wellbeing and productivity throughout Coronavirus response and recovery	High (16)	Medium (8)	↔

*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.

Likelihood & Impact Scales					
Likelihood	Very Unlikely (1)	Unlikely (2)	Possible (3)	Likely (4)	Very Likely (5)
Impact	Minor (1)	Moderate (2)	Significant (3)	Serious (4)	Major (5)

Risk ID	CRR0001	Risk Title	Safeguarding – protecting vulnerable children			
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
The Council must fulfil its statutory obligations to effectively safeguard vulnerable children in a complex and challenging environment. e.g., the challenge of recruiting and retaining suitably experienced and qualified permanent staff.	Failure to fulfil statutory safeguarding obligations. Failure to meet the requirements of the “Prevent Duty” placed on Local Authorities.	Incident of serious harm or death of a vulnerable child. Serious impact on vulnerable people. Impact on ability to recruit the quality of staff critical to service delivery.	Matt Dunkley Corporate Director Children, Young People and Education (CYPE)	Likely (4)	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 radicalisation.	Safeguarding risks are not identified to / by KCC in a timely fashion during the Coronavirus pandemic. Spike in demand impacts on robustness of controls	Serious operational and financial consequences. Attract possible intervention from a national regulator for failure to discharge corporate and executive responsibilities.	Responsible Cabinet Member(s): Sue Chandler, Integrated Children’s Services Shellina Prendergast Education and Skills Mike Hill (Lead Member for PREVENT)	Target Residual Likelihood Possible (3)	Target Residual Impact Major (5)	
‘Lockdown’ restrictions due to Covid-19 have meant that children and families have been at home for long periods of time, with significantly reduced numbers of children in schools. This has introduced uncertain impacts for children’s mental health and resilience and the potential for latent demand to build.						
This risk links to the demand for children’s services risk (CRR0007).						

Control Title	Control Owner
Active strategy in place to attract, recruit and retain social workers through a variety of routes with particular emphasis on experienced social workers.	Sarah Hammond, Director of Integrated Services (Children's Social Work Lead) / Amanda Beer, Corporate Director People and Communications
Kent Safeguarding Children Multi Agency Partnership (KSCMP) arrangements in place, replacing the previous Kent Safeguarding Children Board. Includes, a Scrutiny and Assurance Framework.	Matt Dunkley Corporate Director (CYPE) / David Whittle, Director SPRCA
Children's Assurance Board established to give assurance to the rest of the council, including safeguarding arrangements. Includes review of qualitative audit information and triangulates with quantitative picture	Matt Dunkley Corporate Director (CYPE)
Consistent scrutiny and performance monitoring through Divisional Management Team, "Performance, Challenge and support" meetings and audit activity.	Matt Dunkley Corporate Director (CYPE) / Sarah Hammond, Director of Integrated Services (Children's Social Work Lead)
Multi agency Crime and Sexual Exploitation Panel (MACSE) provides a strategic, county wide, cross agency response to CSE	Matt Dunkley Corporate Director (CYPE)
A revised Elective Home Education policy approved that includes interaction with children where there are welfare concerns and where other agencies have been involved with the family. Awareness raising taking place with other practitioners.	Craig Chapman, Head of Fair Access / Christine McInnes, Director of Education
Introduction and appointment of independent scrutineer as part of multi-agency safeguarding children arrangements	David Whittle, Director SPRCA
Communities of Practice introduced during the coronavirus pandemic, offering support for practitioners, with over 100 practitioners attending weekly	Kevin Kasaven, Assistant Director Safeguarding and Quality Assurance
Multi-function officer group helping to define key steps and approach to aid any future inquiries or investigations that may arise relating to alleged historical abuse	Kevin Kasaven, Assistant Director Safeguarding and Quality Assurance

Safeguarding and Quality Assurance Unit conducts audits, reviews of practice, identifies themes and patterns for accountable managers to respond and provides challenge.	Kevin Kasaven, Assistant Director Safeguarding and Quality Assurance
Multi Agency Public Protection arrangements (MAPPA) in place	Kevin Kasaven, Assistant Director Safeguarding and Quality Assurance
Kent & Medway 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 Multi Agency Partnership).	Richard Smith, Corporate Director ASCH
Manageable caseloads per social worker and robust caseload monitoring. Social work vacancies monitored with action taken to address as required.	Sarah Hammond, Director of Integrated Services (Children's Social Work Lead)
'Deep Dive' activity undertaken to investigate vacancy rates for staff that reflects factors such as maternity leave	Sarah Hammond, Director of Integrated Services (Children's Social Work Lead)
Integrated practice model	Sarah Hammond, Director of Integrated Services (Children's Social Work Lead) / Stuart Collins, Director Integrated Services (Early Help and Preventative Services lead)
Extensive staff training Quality Assurance Framework has been rolled out and Integrated Children's Services team has received mandatory training related to this	Sarah Hammond, Director of Integrated Services (Children's Social Work Lead) / Stuart Collins, Director Integrated Services (Early Help and Preventative Services lead)
Kent Channel Panel (early intervention mechanism providing tailored support to people who have been identified as at risk of being radicalised) in place.	Nick Wilkinson, Prevent and Channel Strategic Manager
Joint Exploitation Group (Kent & Medway) children and adults focuses on PREVENT, gangs, Modern Slavery, human trafficking and online safeguarding matters. Reports to Kent and Medway Adults Safeguarding Board and KSCMP.	Nick Wilkinson, Prevent and Channel Strategic Manager
KCC cross directorate PREVENT group meets regularly and ensures the PREVENT duty is embedded across the organisation. Regular updates are provided to the Corporate Management Team. PREVENT	Nick Wilkinson, Prevent and Channel Strategic Manager

training strategy in place and regularly reviewed.		
The annual assurance statement is a self-declaration approved by the Head of Paid Service which captures the Authority's compliance with the requirements of the Counter Terrorism Act. Actions identified within the annual assurance statement are transferred to the Kent and Medway Action Plan. Kent and Medway Board for PREVENT have oversight of action progress,		Nick Wilkinson, Prevent and Channel Strategic Manager
Semi-regional PREVENT model of delivery across Kent & Medway developed		Nick Wilkinson, Prevent and Channel Strategic Manager
New adolescent risk management process agreed, and approach signed off.		Stuart Collins, Director Integrated Services (Early Help and Preventative Services lead)
Kent and Medway Gangs Strategy 2018-21 outlines the multi-agency approach to ending the criminal exploitation of vulnerable children and adults by gangs		Stuart Collins, Director Integrated Services (Early Help and Preventative Services lead)
Education Safeguarding Team in place as part of the contract with The Education People		Christine McInnes, Director of Education
Section 11" audit conducted periodically to provide assurance that relevant agencies and individuals are cooperating to safeguard children and promote their welfare, with feedback and follow up. .		Jennifer Maiden-Brooks, Systems Improvement Manager, Kent Safeguarding Children Multi-Agency Partnership
Action Title	Action Owner	Planned Completion Date
Peer review being undertaken to evaluate Prevent delivery structures and processes in the Authority with outputs of recommendations for improvement and to promote best practice.	Nick Wilkinson, Prevent and Channel Strategic Manager	September 2021

Risk ID	CRR0002	Risk Title	Safeguarding – protecting vulnerable adults			
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
<p>The Council must fulfil its statutory obligations to effectively safeguard vulnerable adults, in a complex and challenging environment e.g., challenges relating to demand for services and consistent quality of care in the provider market.</p> <p>The change from ‘safeguarding alerts’ to ‘safeguarding enquiries’ has led to a significant increase in the number of safeguarding concerns received. There has also been an increase in domestic abuse referrals.</p> <p>In addition, the Government’s “Prevent Duty” requires the Local Authority to act to prevent people from being drawn into terrorism.</p> <p>The Coronavirus pandemic and associated ‘lockdown’ measures has raised concerns of increases in hidden harm, self-harm and neglect. This has impacted demand profiles.</p> <p>Social care services are making substantial adaptations to service delivery across the system.</p> <p>This risk links to the demand risk (CRR0006)</p>	<p>Failure to fulfil statutory obligations.</p> <p>Failure to meet the requirements of the “Prevent Duty” placed on Local Authorities.</p> <p>Safeguarding risks are not identified to / by KCC in a timely fashion during the Coronavirus pandemic.</p>	<p>Incident of serious harm or death of a vulnerable adult.</p> <p>Serious impact on vulnerable people.</p> <p>Serious impact on ability to recruit the quality of staff critical to service delivery.</p> <p>Serious operational and financial consequences.</p> <p>Attract possible intervention from a national regulator for failure to discharge corporate and executive responsibilities.</p>	<p>Richard Smith Corporate Director Adult Social Care and Health (ASCH)</p> <p>Responsible Cabinet Member(s):</p> <p>Clair Bell, Adult Social Care and Public Health</p> <p>Mike Hill (Lead Member for PREVENT)</p>	<p>Likely (4)</p> <p>Target Residual Likelihood Possible (3)</p>	<p>Major (5)</p> <p>Target Residual Impact Major (5)</p>	

Control Title	Control Owner
Quality Surveillance Group - regular KCC meetings with Care Quality Commission to share intelligence. This is currently being relaunched and the function of the group reconsidered.	Jeanette Young, Strategic Commissioning
Strategic Safeguarding and Quality Assurance team in adult social care and health leads on a strategic framework for policy, service development, strategic safeguarding and quality assurance	Sarah Denson, Service Manager ASCH
Kent and Medway 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.	Richard Smith, Corporate Director ASCH
KCC is a partner in multi-agency public protection arrangements (MAPPA) for managing sexual and violent offenders, a mechanism through which agencies can better discharge their statutory responsibilities and protect the public in a coordinated manner.	Richard Smith, Corporate Director ASCH
KCC contributes to the Multi-agency risk assessment conference (MARAC) process, which allows for the best possible safety planning for victims of domestic abuse who are considered to be at high risk of experiencing further significant harm/injury.	Chris McKenzie, Director, Adult Social Care and Health
Safeguarding activity and practice is under review as a specific workstream within the Practice Pillar of the Make A Difference Everyday approach. Current Activity includes: An "as is" systems review to explore the current delivery of safeguarding activity and performance Suite of performance data to be developed to provide practice intelligence	Helen Gillivan, Head of ASCH Business Delivery Unit
KCC Safeguarding Competency Framework in place, including Mental Capacity Act requirements.	Julie Davidson, Head of Adult Safeguarding
Quarterly safeguarding report brings together key information to enable scrutiny and performance monitoring for management teams and the Cabinet Member.	Julie Davidson, Head of Adult Safeguarding
KCC Safeguarding Competency Framework reviewed to ensure currency and look for areas for improvement.	Julie Davidson, Head of Adult Safeguarding
KCC is a member of the Kent & Medway Safeguarding Adults Board – a statutory service which exists to make sure that all member agencies are working together to help Kent and Medway's adults safe from harm and protect their rights. The Board has an independent Chair and its work carried out by a number of working groups.	Julie Davidson, Head of Adult Safeguarding / David Whittle Director SPRCA

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	
PREVENT training strategy in place and regularly reviewed.	Nick Wilkinson, Prevent and Channel Strategic Manager	
Semi-regional PREVENT model of delivery across Kent and Medway developed.	Nick Wilkinson, Prevent and Channel Strategic Manager	
KCC cross-directorate PREVENT group meets regularly and ensures the PREVENT duty is embedded across the organisation. Regular updates are provided to the Corporate Management Team.	Nick Wilkinson, Prevent and Channel Strategic Manager	
Joint Exploitation Group (Kent & Medway) focuses on PREVENT agenda, gangs, modern slavery, human trafficking and online safeguarding matters reports to Adults Safeguarding Board and Children's Partnership.	Nick Wilkinson, Prevent and Channel Strategic Manager	
The annual assurance statement is a self-declaration approved by the Head of Paid Service which captures the Authority's compliance with the requirements of the Counter Terrorism Act. Actions identified within the annual assurance statement are transferred to the Kent and Medway Action Plan. Kent and Medway Board for PREVENT have oversight of action progress	Nick Wilkinson, Prevent and Channel Strategic Manager	
Quarterly safeguarding report brings together key information to enable scrutiny and performance monitoring for management teams and the Cabinet Member.	ASCH Divisional Directors	
Action Title	Action Owner	Planned Completion Date
The ongoing development of meaning the measures framework as part of the Making a Difference Every Day approach will include a Quality Assurance Framework that is a systemic integrated approach to monitoring and evaluating the effectiveness of delivery of services using a variety of approaches to enable Adult Social Care to review the performance of the service against its' aspirations. This will provide a clear line of sight from practice to senior management.	Julie Davidson	October 2021
Preparation for introduction of new Liberty Protection Safeguards system under the Mental Capacity (Amendment) Act 2019.	Maureen Stirrup, Head of Deprivation of Liberty Safeguards	April 2022

The safeguarding operating model, is being reviewed within the practice pillar of the Making A Difference Everyday approach, and this will consider how to optimise outcomes for people who become subject to safeguarding enquiries	Julie Davidson	November 2021
Peer review being undertaken to evaluate Prevent delivery structures and processes in the Authority with outputs of recommendations for improvement and to promote best practice.	Nick Wilkinson, Prevent and Channel Strategic Manager	September 2021

Risk ID	CRR0003	Risk Title	Securing resources to aid economic recovery and enabling infrastructure			
<p>Source / Cause of Risk</p> <p>The Coronavirus pandemic is impacting on the economy in Kent & Medway and the impacts could be disproportionate across the county (e.g. in coastal areas).</p> <p>To gain an understanding of the implications, an impact assessment has been conducted, which has led to the preparation and launch of an 18-month local economic renewal and resilience plan, which aims to act as a stimulus for improvement.</p> <p>The Council actively seeks to secure the resources/funding necessary to provide the infrastructure required to support growth, which often need to be bid for in very tight timescales and are increasingly subject to the drive to deliver economic impact, housing and employment outputs.</p> <p>EU structural funds are set to be replaced by UK funds, with further detail awaited.</p> <p>At a local level there is often a significant gap between the overall costs of the infrastructure required and the Council's ability to secure sufficient funds through</p>	<p>Risk Event</p> <p>The inability to secure sufficient funding, including contributions from development, to deliver the infrastructure necessary to support growth may require gap funding in order for KCC to fulfil its statutory duties.</p> <p>Deferral of developer contributions and / or elongated planning consents leads to delayed or compromised infrastructure.</p>	<p>Consequence</p> <p>Key opportunities for growth missed.</p> <p>The Council finds it increasingly difficult to fund services across Kent and fully mitigate the overall impact of housing growth on KCC services and, therefore communities.</p> <p>Kent becomes a less attractive location for inward investment and business.</p> <p>Our ability to deliver an enabling infrastructure becomes constrained.</p> <p>Reputational risk associated with delayed delivery of infrastructure required</p> <p>Additional revenue costs incurred due to infrastructure delays e.g. Home to school transport</p>	<p>Risk Owner</p> <p>Simon Jones, Corporate Director Growth, Environment and Transport (GET)</p> <p>Responsible Cabinet Member(s):</p> <p>On behalf of Cabinet</p> <p>Derek Murphy Economic Development</p> <p>David Brazier Highways & Transport</p>	<p>Current Likelihood</p> <p>V. Likely (5)</p> <p>Target Residual Likelihood</p> <p>Likely (4)</p>	<p>Current Impact</p> <p>Serious (4)</p> <p>Target Residual Impact</p> <p>Serious (4)</p>	

the current funding systems, including Section 106 contributions, Community Infrastructure Levy and other growth levers.

Control Title	Control Owner
Active pipeline in place of projects for potential funding arrangements.	David Smith, Head of Business and Enterprise (KCC lead)
Multi-agency Kent and Medway Employment Task Force has been established.	David Smith, Head of Business and Enterprise (KCC lead)
Single Monitoring System (SMS) is used to track individual s106 planning obligations from the Council's initial request for developer contributions through the issue of invoice for payment.	David Smith, Head of Business and Enterprise (KCC lead) / Stephanie Holt-Castle, Director Growth and Communities.
Strong engagement of private sector through Kent and Medway Economic Partnership (KMEP), Business Advisory Board and Kent Developer Group	David Smith, Head of Business and Enterprise (KCC lead)
Strong engagement with South-East LEP and central Government to ensure that KCC is in a strong position to secure resources from future funding rounds.	David Smith, Head of Business and Enterprise (KCC lead)
Teams across the Growth, Environment and Transport directorate work with each individual District on composition of local infrastructure plans including priorities for the CIL and Section 106 contributions, to articulate needs for the demands on services	Nigel Smith, Head of Development (GET) / Stephanie Holt-Castle, Director Growth and Communities.
Local Transport Plan 4 produced and approved by County Council	Tom Marchant, Head of Strategic Planning and Policy
Government consultations on proposals for reform of the planning system in England considered and responded to.	Tom Marchant, Head of Strategic Planning and Policy
Officers are working on bids to secure funding as appropriate including Local Growth Fund, Housing Infrastructure Fund, Major Roads Network	Joe Ratcliffe, Transport Strategy Manager

Economic Recovery Dashboard in place	Rachel Kennard, Chief Analyst	
Kent and Medway Renewal and Resilience Plan Economic Impacts Evidence Base sets out a high-level assessment of the impacts of the Covid-19 crisis on the Kent and Medway economy to inform the Renewal and Resilience Plan for the next 12-18 months.	Rachel Kennard, Chief Analyst	
Growth and Infrastructure Framework for Kent and Medway published, setting out the infrastructure needed to deliver planned growth.	Stephanie Holt-Castle, Director, Growth & Communities	
Action Title	Action Owner	Planned Completion Date
<p>Contribute to implementation of the Kent and Medway Economic Partnership's local Economic Renewal and Resilience Plan, key delivery principles of which are:</p> <ul style="list-style-type: none"> • Greener Futures (building a sustainable, lower carbon economy) • Open and Productive (supporting long term productivity growth in an economy that welcomes investment and trade) • Better Opportunities, Fairer Chances (ensuring that people are supported through recession and stand to gain from a more resilient economy in the return to growth). <p>Participation on the Renewal and Resilience Group Plan group and the Employment Taskforce plans are being scoped to support key delivery principles.</p>	David Smith, Head of Business and Enterprise (KCC lead)	April 2022
Discussions have concluded and the Guidance Notes for the Kent & Medway Business Fund and the KMBF Small Business Boost have been agreed. The Kent & Medway Business Fund will open to pre application on 30 September, with the KMBF Small Business Boost opening in December 2021. The next phase of the Innovation Loan is still to be scoped.	David Smith, Head of Business and Enterprise (KCC lead)	December 2021

Risk ID	CRR0004	Risk Title	Simultaneous Emergency Response, Recovery and Resilience			
Source / Cause of Risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
<p>The Council, along with other Category 1 Responders in the County, has a legal duty to establish and deliver containment actions and contingency plans to reduce the likelihood and impact of major incidents and emergencies. This includes responses associated with the Government's Counter-terrorism Strategy (CONTEST) 2018.</p> <p>Ensuring that the Council works effectively with partners to respond to, and recover from, emergencies and service interruption is becoming increasingly important in light of recent national and international security threats, severe weather incidents, threats of 'cyber attacks' and uncertainties around implications of the future UK/EU relationship.</p> <p>The response to, and recovery from the Coronavirus pandemic is putting significant strain on organisational capacity and resources.</p>	<p>Failure to deliver suitable planning measures, respond to and manage these events when they occur.</p> <p>Critical services are unprepared or have ineffective emergency and business continuity plans and associated activities.</p> <p>Lack of resilience in the supply chain hampers effective response to incidents.</p> <p>Focus on Coronavirus response and recovery and post UK/EU transition contingency planning means less opportunity to progress other aspects of emergencies and resilience agenda.</p> <p>Future wave(s) of pandemic put further strain on capacity and resource.</p>	<p>Potential increased harm or loss of life if response is not effective.</p> <p>Serious threat to delivery of critical services.</p> <p>Increased financial cost in terms of damage control and insurance costs.</p> <p>Adverse effect on local businesses and the Kent economy.</p> <p>Possible public unrest and significant reputational damage.</p> <p>Legal actions and intervention for failure to fulfill KCC's obligations under the Civil Contingencies Act or other associated legislation.</p>	<p>On behalf of CMT: Rebecca Spore, Director of Infrastructure</p> <p>Responsible Cabinet Member(s): On behalf of Cabinet: Mike Hill, Community & Regulatory Services</p>	<p>V. Likely (5)</p> <p>Target Residual Likelihood Possible (3)</p>	<p>Major (5)</p> <p>Target Residual Impact Major (5)</p>	

Control Title	Control Owner
Management of financial impact to include Bellwin scheme	Cath Head, Head of Finance (Operations)
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	Mark Rolfe, Head of Kent Scientific Services/Interim Head of Kent Resilience Team
On-going programme of review relating to ICT Disaster Recovery and Business Continuity arrangements. ICT resilience improvements are embedded as part of the ICT Transformation Programme.	Dave Lindsay, Interim Head of ICT Strategy and Commissioning
Local multi-agency flood response plans in place for each district/borough in Kent, in addition to overarching flood response plan for Kent	Lisa Guthrie, KCC Manager, Kent Resilience Team
Review of Kent Resilience Forum Local Authorities Emergency Planning group's mutual aid arrangements with District Councils and other councils across the region undertaken.	Lisa Guthrie, KCC Manager, Kent Resilience Team
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.	Tony Harwood, Resilience and Emergencies Manager
KCC has a Major Emergency Plan that is refreshed regularly	Tony Harwood, Resilience and Emergencies Manager
Ensure business continuity governance arrangements focus on directorate issues and complement KCC's cross directorate resilience groups and forum	Tony Harwood, Resilience and Emergencies Manager
Multi-agency recovery structures are in place	Tony Harwood, Resilience and Emergencies Manager
Emergency planning training rolled out at strategic, tactical and operational levels. Resilience and Emergency planning service business plan in place	Tony Harwood, Resilience and Emergencies Manager
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.	Tony Harwood, Resilience and Emergencies Manager / Allison Duggal, Interim Director of Public Health

Work programme implemented to deliver Kent County Council compliance with the Radiation (Emergency Preparedness and Public Information) Regulations 2019, including amendments to the Dungeness Offsite Emergency Plan	Tony Harwood, Resilience and Emergencies Manager
KCC Business Continuity Management Policy and overarching Business Continuity Plan in place, underpinned by business continuity plans at service level.	Rebecca Spore, Director Infrastructure
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.	Rebecca Spore, Director Infrastructure
KRF and KCC Command and Control structures planned and in place to deal with simultaneous events	Rebecca Spore, Director Infrastructure
Kent & Medway Prevent Duty Delivery Board established (chaired by KCC) 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	Richard Smith, Corporate Director ASCH
The Director of Public Health works through local resilience forums to ensure effective and tested plans are in place for the wider health sector to protect the local population from risks to public health.	Allison Duggal, Interim Director of Public Health
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
KCC Strategic Prevent Lead is a member of the Covid-19 District Recovery Cell and disseminates appropriate protective security advice and online tension monitoring reports.	Nick Wilkinson, Prevent and Channel Strategic Manager
Ongoing development of a PREVENT counter-terrorism risk assessment	Nick Wilkinson, Prevent and Channel Strategic Manager
The annual assurance statement is a self-declaration approved by the Chief Executive/Head of Paid Service which captures the Authority's compliance with the requirements of the Counter Terrorism Act. Actions identified within the annual assurance statement are transferred to the Kent and Medway Action Plan. Kent and Medway Board for PREVENT have oversight of action progress.	Nick Wilkinson, Prevent and Channel Strategic Manager
Implementation of Kent's Climate Adaption Action Plan	Stephanie Holt-Castle, Director of Growth and Communities

Fire Safety Guidance provided by KCC reviewed and updated		Stewart Baxter-Smith, Head of Health & Safety
Action Title	Action Owner	Planned Completion Date
Continued preparations for, and response to, implications of future UK/EU relationship in relation to border friction, regulatory change etc. (cross-reference to CRR0042)	Simon Jones, Corporate Director GET	Ongoing up to March 2022
Maintain Dungeness offsite emergency plan and validate the effectiveness with regular exercises	Tony Harwood, Resilience and Emergencies Manager	September 2021

Risk ID	CRR0005	Risk Title	Development of ICS/ICPs in Kent and Medway NHS system			
Source / Cause of Risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
The Kent & Medway NHS system is under significant pressure with increasing levels of demand driving across financial deficits across commissioner and provider budgets, placing pressure on the Kent & Medway NHS system control total.	Failure to develop more partnership and aligned health & social care services and commissioning at both ICS and ICP level places pressure on system finances and hinders highest possible quality of care	Further deterioration in the financial and service sustainability of health and social care services in Kent and Medway.	Richard Smith, Corporate Director Adult Social Care & Health (ASCH)	Possible (3)	Serious (4)	
In response the NHS in Kent and Medway has formed an Integrated Care System (ICS) with 8 CCGs merging to form the basis of the System Commissioner, above four ICPs (Integrated Care Partnerships) and 42 PCN's (Primary Care Networks).	Development of four ICP generates additional demand/work on strategic leadership of KCC, particularly in ASCH and Public Health which has significant opportunity costs, including impact on business-as-usual activity.	Additional budget pressures transferred to social care as system monies are used to close acute and primary care service gaps.	Clare Maynard, Interim Strategic Commissioner	Target Residual Likelihood	Target Residual Impact	
The policy intent of structural reform is to deliver better strategic planning and delivery of health and social care services at place-based community level and shift from acute to primary and community level services.	Multiple ICP's leads to differences in form, function and relationships between ICPs and the ICS and/or KCC which increases system complexity and leads to variation which increase costs/risks.	Legal challenge/judicial review of decisions and decision-making framework for joint decisions.	Allison Duggal, Director Public Health	Unlikely (2)	Serious (4)	
The relative roles and responsibilities between the proposed ICS and the emerging ICPs in Kent is still under development. The final legal structure and functional responsibilities of ICPs is still	System complexity leads to failure to meet statutory duties around the sufficiency of the care market, care quality and safeguarding.	Social care and public health priorities not sufficiently factored into/shaping emerging ICS/ICP plans and priorities, weakening integrated approach.	Responsible Cabinet Member(s): Roger Gough, Leader of the Council Clair Bell, Adult Social Care and Public Health			
		Focus on structural changes workstreams prevents more agile improvements/joint				

under development and may require primary legislative change. Regulators (CQC / Ofsted) increasing review health and care services and the commissioning/performance of those services and 'system' level.	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.	working being undertaken. Reputational damage to either KCC or NHS or both in Kent. Adverse outcome from CQC local system review.
Control Title		Control Owner
Regular update reports on ICS are taken to the Corporate Management Team		Karen Cook, Policy and Relationships Adviser (Health)
Senior KCC political and officer representation on the System Transformation Executive Board and System Commissioner Steering Group		Clare Maynard, Interim Strategic Commissioner / Richard Smith, Corporate Director ASCH
A joint KCC and Medway Health and Wellbeing Board for STP related matters/issues has been established.		David Whittle, Director SPRCA
Making A Difference Everyday way of working considers a 'bottom up' people first and great practice approach which dovetails with the 'top down' public health strategy and will help to ensure that public health improvement programmes are delivered alongside Local Care through Primary Care Networks and other primary care providers (e.g., community pharmacy).		Richard Smith, Corporate Director ASCH
County Council agreed framework for KCC engagement within the STP		Richard Smith, Corporate Director ASCH
Senior KCC level officer representation on the East Kent, West, North and Medway & Swale ICP Development Boards		Richard Smith, Corporate Director ASCH
Public Health leadership for the STP prevention workstream		Allison Duggal, Interim Director of Public Health
Public Health consultant representation on the East Kent, West, North and Medway & Swale ICP Development Boards		Allison Duggal, Interim Director of Public Health

Senior KCC political and officer representation on the System Transformation Executive Board and System Commissioner Steering Group	Allison Duggal, Interim Director of Public Health
Working through KCC Public Health partnership with the Kent Community Healthcare Foundation Trust (KCHFT) to ensure Public Health improvement programmes are linked and delivered alongside Local Care through Primary Care Networks and other primary care providers (e.g. community pharmacy)	Allison Duggal, Interim Director of Public Health
Health Integration paper presented to County Council in July 2021 – included requirement to approve transition from Kent and Medway Health and Wellbeing Board to the Health and Care Partnership Board	Karen Cook, Policy and Relationships Adviser (Health)
Health Reform and Public Health Cabinet Committee provides non-executive member oversight and input of KCC involvement in the STP.	Ben Watts, General Counsel and KCC Data Protection Officer

Risk ID	CRR0006	Risk Title	Resourcing implications arising from increasing complex adult social care demand			
<p>Source / Cause of risk</p> <p>Adult social care services across the country are facing growing pressures. The cost of adult social care services in Kent continues to increase due to the complexity of presenting need, including increasing numbers of young adults with long-term complex care needs.</p> <p>This is all to be managed against a backdrop of public sector funding restraint, implications arising from the implementation of the Care Act, increases in Deprivation of Liberty Assessments, impacts associated with reducing budgets of partner agencies and longer-term demographic pressures.</p> <p>In addition, the Coronavirus pandemic is resulting in fluctuations for demand in services, with the expectation of increasing demand as recovery progresses. The workforce will face significant further pressure in the short, medium and long term against this backdrop of working in unprecedented conditions and delivering rapid</p>	<p>Risk Event</p> <p>Council is unable to manage and resource to future demand and its services consequently do not meet future statutory obligations and/or customer expectations.</p>	<p>Consequence</p> <p>Dissatisfaction with service provision from people requiring our support.</p> <p>Increased and unplanned pressure on resources.</p> <p>Decline in performance.</p> <p>Legal challenge resulting in adverse reputational damage to the Council.</p> <p>Financial pressures on other council services.</p>	<p>Risk Owner</p> <p>Richard Smith, Corporate Director Adult Social Care and Health (ASCH)</p> <p>Responsible Cabinet Member(s):</p> <p>Clair Bell, Adult Social Care and Public Health</p>	<p>Current Likelihood</p> <p>Likely (4)</p> <p>Target Residual Likelihood</p> <p>Possible (3)</p>	<p>Current Impact</p> <p>Major (5)</p> <p>Target Residual Impact</p> <p>Major (5)</p>	

change. Altered demand as well as increasing demand – more in some areas, some of demand that would have taken a long to come up has come up sooner and may be more intense needs. More complexity on how teams prepare to carry out review.

Adult social care services are part of a complex system to meet needs, which requires the whole system to work cohesively.

Control Title	Control Owner
Continued support for investment in preventative services through voluntary sector partners	Richard Smith, Corporate Director ASCH / Clare Maynard, Interim Strategic Commissioner
Development of Making A Difference Everyday (MADE) approach as part of KCC Strategic Reset	Richard Smith, Corporate Director ASCH
New operating model for Adult Social Care and Health, including Promoting Wellbeing approach to help manage demand.	Richard Smith, Corporate Director ASCH
Targeted use of additional social care monies received from Government, investing in services which evidence suggests will have the greatest impact. Set out in Kent Integration and Better Care Fund plan	Richard Smith, Corporate Director ASCH
ASCH representatives have worked with partners in the Kent Resilience Forum to assess health and social care impacts and contributed to a local recovery strategy and action plan	Richard Smith, Corporate Director ASCH
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	Richard Smith, Corporate Director ASCH
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	Allison Duggal, Interim Director of Public Health

Ongoing monitoring and modelling of changes in supply and demand in order to inform strategies and service planning going forward.	Rachel Kennard, Chief Analyst	
Continual review and monitoring of demand in relation to Deprivation of Liberty assessments (DoLs) with external resources brought in as necessary. Increased data cleansing has led to an improved overview of backlog cases.	Maureen Stirrup, Head of Deprivation of Liberty Safeguards	
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	ASCH Divisional Directors	
Core services have been significantly adapted during the Coronavirus pandemic, requiring new models of delivery, realignment of staff, and delivery of services through remote provision where possible.	ASCH Directorate Management Team	
Action Title	Action Owner	Planned Completion Date
Regular monitoring of 2021-22 position, with 'deep dives' where there are increases in referrals to identify sources and determine likely total impact on resource for future financial planning.	Michelle Goldsmith, Finance Business Partner / ASCH DMT	March 2022

Risk ID	CRR0007	Risk Title	Resourcing implications arising from serious and complex Children's Services demand (excludes SEND – covered in CRR0044)			
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
Local Authorities continue to face increasing demand for specialist children's services due to a variety of factors, including consequences of highly publicised child protection incidents and serious case reviews, policy/legislative changes etc. These challenges need to be met as children's services face increasingly difficult financial circumstances and operational challenges.	High volumes of workflow into integrated children's services leading to unsustainable pressure being exerted on them (recognising seasonal spikes).	Children's services performance declines as demands become unmanageable. Failure to deliver statutory obligations and duties or achieve social value.	Matt Dunkley, Corporate Director CYPE	Likely (4)	Serious (4)	
	Spike in demand for children's services once 'lockdown' measures are fully eased.	Additional financial pressures placed on other parts of the Authority at a time of severely diminishing resources and potentially difficult policy decisions required.	Responsible Cabinet Member(s):	Target Residual Likelihood	Target Residual Impact	
The Coronavirus pandemic has seen a reduction in referrals for support during lockdown, with no obvious reduction in need. The demand seen has also been related to more serious and more complex cases.	Future wave(s) of pandemic exacerbate pressures on children's services, with insufficient capacity to manage.	Ultimately an impact on outcomes for children, young people and their families.	Sue Chandler, Integrated Children's Services	Possible (3)	Serious (4)	
Control Title			Control Owner			
Redeployment of social work and early help resources to deal with demand arising from Covid and other factors.			Matt Dunkley, Corporate Director CYPE			
The Children's Social Work budget has been adjusted to compensate for the additional demand			Cath Head, Head of Finance			

	(Operations)
Modelling of latent demand related to Coronavirus pandemic completed and used to inform service resource planning. Review being undertaken of what happened against what was expected.	Rob Comber, Transformation and Innovation Manager / Rachel Kennard, Chief Analyst
Relationships with London Councils allow us to understand / test their intentions on an individual site basis regarding any large-scale potential purchasing of land.	Tim Woolmer, Strategic Relationships Adviser (Interim)
Intensive focus on ensuring early help to reduce the need for specialist children's support services	Matt Dunkley, Corporate Director CYPE
Change for Kent Children programme (phase 2) included as part of KCC Strategic Reset programme.	Matt Dunkley, Corporate Director CYPE
The Change for Kent Children Programme is working to ensure that vulnerable families can access the right support through intensive work in Early Help Units and Step-Down Panels, open access services or through targeted casework	Stuart Collins, Director Integrated Children's Services (Early Help and Preventative Services Lead)
'Threshold' document outlines the criteria required by partners when making a referral and have been working with partners to promote aid appropriate application.	Jennifer Maiden-Brooks, Systems Improvement Manager, Kent Safeguarding Children Multi-Agency Partnership

Risk ID	CRR0009	Risk Title	Future financial and operating environment for Local Government			
<p>Source / Cause of risk</p> <p>Financial, economic and societal impacts of Coronavirus pandemic and uncertainty regarding associated funding in future, exacerbating an already uncertain financial and operating environment, including lack of funding settlement beyond 2021-22 in the absence of three-year Spending Review.</p> <p>The uncertainty also applies to services funded via ring-fenced specific grants. Of particular concern is the special educational needs and disability (SEND) provision funded by the Dedicated Schools Grant (DSG). The high needs block of DSG has not kept pace with the substantial increase in demand for SEND (see CRR0044) resulting in deficit accruing on DSG spending.</p> <p>The uncertainty also applies to capital expenditure funded by grants. In particular, the basic need grant is insufficient to provide the number of school places identified in the commissioning plan, so the authority may not have capacity to incur additional borrowing costs to</p>	<p>Risk Event</p> <p>Additional unfunded spending demands and continued real-terms funding reductions threaten the financial sustainability of KCC, its partners and service providers.</p> <p>In order to set a balanced budget the council is likely to have to continue to make significant year on year savings. Quality of KCC commissioned / delivered services suffers as financial situation continues to worsen.</p> <p>Delays and uncertainty surrounding Spending / Fair Funding reviews impacts on KCC's medium term financial planning.</p>	<p>Consequence</p> <p>Unsustainable financial situation, ultimately resulting in s114 notice.</p> <p>Potential for partner or provider failure – including sufficiency gaps in provision.</p> <p>Reduction in resident satisfaction and reputational damage.</p>	<p>Risk Owner (s)</p> <p>On behalf of CMT:</p> <p>Zena Cooke, Corporate Director Finance (Section 151 Officer)</p> <p>Responsible Cabinet Member(s):</p> <p>All Cabinet Members</p>	<p>Current Likelihood</p> <p>V. Likely (5)</p> <p>Target Residual Likelihood</p> <p>Likely (4)</p>	<p>Current Impact</p> <p>Major (5)</p> <p>Target Residual Impact</p> <p>Serious (4)</p>	

make up for the shortfall.	
Control Title	Control Owner
Processes in place for monitoring delivery of savings and budget as a whole, including identification of management action.	Zena Cooke, Corporate Director Finance (Section 151 Officer)
Robust budgeting and financial planning in place via Medium Term Financial Planning (MTFP) process, including stakeholder consultation.	Zena Cooke, Corporate Director Finance (Section 151 Officer)
Financial analysis conducted after each budget statement	Dave Shipton, Head of Finance (Policy, Strategy and Planning)
Ensure evidence of any additional KCC spend required to cover impacts relating to the end of UK/EU transition period is captured e.g. new burdens imposed	Dave Shipton, Head of Finance (Policy, Strategy and Planning)
Continued engagement with Government regarding High Needs funding concerns	Matt Dunkley Corporate Director (CYPE) / Christine McInnes, Director of Education / Dave Shipton, Head of Finance (Policy, Strategy and Planning)
Engagement with CCN, Society of County Treasurers and other local authorities and Government of potential opportunities and issues around devolution and public reform	David Whittle, Director SPRCA
KCC Interim Strategic Plan and Strategic Reset Framework developed, outlining how the Council will operate in future, taking into account implications of the Coronavirus pandemic.	David Whittle, Director SPRCA / Amanda Beer Corporate Director People & Communications
KCC Quarterly Performance Report monitors key performance and activity information for KCC commissioned or delivered services. Regularly reported to Cabinet.	Rachel Kennard, Chief Analyst, KCC

Action Title	Action Owner	Planned Completion Date
Engage with Government for a fair-funding needs formula for Grant distribution and tariffs/top ups under business rate retention	Dave Shipton, Head of Finance (Policy, Strategy and Planning)	TBC
Ensure appropriate response to next Government Spending Review.	Dave Shipton, Head of Finance (Policy, Strategy and Planning)	October 2021
Work proactively with Government regarding how the new business rate retention scheme can be most effectively implemented.	Dave Shipton, Head of Finance (Policy, Strategy and Planning)	TBC
Assess impact of and respond to Government plans for the future of social care.	Richard Smith, Corporate Director ASCH	TBC

Risk ID	CRR0010	Risk Title	Suitable accommodation and funding for Unaccompanied Asylum-Seeking Children (UASC)			
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
There is additional pressure on children's services from new UASC arrivals, plus significant numbers of age-disputed new arrivals.	Insufficient accommodation, social work assessment capacity and support for UASC.	Impact on vulnerable young people. The Council would be unable to fulfil its statutory duties effectively.	Matt Dunkley, Corporate Director, CYPE	Likely (4)	Major (5)	
Government uplifts to funding introduced in 2020 have helped, although there are still legacy cost issues relating to care leavers.	Shortfall in funding the full cost associated with fulfilling the Council's statutory duties,	Additional budget pressures on the Authority.	Responsible Cabinet Member	Target Residual Likelihood	Target Residual Impact	
KCC has had to temporarily stop taking new arrivals on two occasions due to reaching an unsafe capacity to care for UASC, although the Council is currently beginning to admit children into its reception centres. However, due to current high levels it may not be possible to accommodate all those arriving at the border.	Risk that other Local Authorities do not voluntarily accept UASC that arrive in Kent in sufficient numbers.	Legal consequences		Possible (3)	Serious (4)	
Control Title			Control Owner			
Representations made to Government for additional support to deal with care leaver legacy costs			Roger Gough, Leader of the Council			
The Council has utilised / re-purposed buildings in order to increase accommodation capacity in the short term.			Rebecca Spore, Director Infrastructure			

National Transfer scheme re-invigorated, meaning some children have been transferred to other local authorities.	Sarah Hammond, Director of Integrated Services (Children's Social Work Lead)	
UASC analytical modelling complete and monitored to assess capacity and continually review KCC position	Matt Dunkley, Corporate Director CYPE / Rachel Kennard, Chief Analyst	
Letter Before Claim laid before the Home Secretary – formal reply awaited.	Benjamin Watts, General Counsel	
The council is in advanced discussions with the Home Office to arrange a safe and sustainable solution for KCC to support those who arrive in the country.	Roger Gough, Leader of the Council / Sue Chandler, Cabinet Member Integrated Children's Services	
Action Title	Action Owner	Planned Completion Date
Consideration to pursue further legal action should the National Transfer Scheme not be made mandatory.	Matt Dunkley, Corporate Director CYPE / Benjamin Watts, General Counsel	TBC – awaiting Government response

Risk ID	CRR0014	Risk Title	Cyber-attack threats and their implications			
<p>Source / Cause of Risk</p> <p>The Council has a duty to protect personal and other sensitive data that it holds on its staff, service users and residents of Kent.</p> <p>KCC repels a high number of cyber-attacks on a daily basis, although organisations across all sectors are experiencing an increasing threat in recent times, exacerbated by the Coronavirus pandemic, and must ensure that all reasonable methods are employed to mitigate them (within resource constraints), both in terms of prevention and preparedness of response in the event of any successful attack.</p> <p>KCC's ICT Strategy is moving the Authority's technology to cloud based services. It is important to harness these new capabilities in terms of both IT security and resilience, whilst emerging threats are understood and managed.</p> <p>In information terms the other factor is human. Technology can only provide a level of protection. Our staff must have a strong awareness of their responsibilities in terms of IT and information</p>	<p>Risk Event</p> <p>Successful cyber-attack (e.g., 'phishing' scam or ransomware attack) leading to loss or unauthorised access to sensitive business data.</p> <p>Significant business interruption caused by a successful attack.</p>	<p>Consequence</p> <p>Data Protection breach and consequent Information Commissioner's Office (ICO) sanction.</p> <p>Damages claims.</p> <p>Reputational Damage.</p> <p>Potential significant impact on business interruption if systems require shutdown until magnitude of issue is investigated.</p>	<p>Risk Owner(s)</p> <p>Rebecca Spore, Director Infrastructure</p> <p>Ben Watts, General Counsel and KCC Data Protection Officer</p> <p>Amanda Beer, Corporate Director People and Communications</p> <p>Responsible Cabinet Member(s):</p> <p>Peter Oakford, Finance, Corporate and Traded Services</p> <p>Bryan Sweetland, Communications, Engagement,</p>	<p>Current Likelihood</p> <p>Likely (4)</p> <p>Target Residual Likelihood</p> <p>Likely (4)</p>	<p>Current Impact</p> <p>Major (5)</p> <p>Target Residual Impact</p> <p>Serious (4)</p>	

security.	People and partnerships
Control Title	Control Owner
Changes and additions to security controls remains an on-going theme as the authority updates and embraces new technologies.	Dave Lindsay, Interim Head of ICT Strategy and Commissioning
Electronic Communications User Policy, Virus reporting procedure and social media guidelines in place	Dave Lindsay, Interim Head of ICT Strategy and Commissioning
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.	James Church, Interim Head of ICT Compliance and Risk and Digital Accessibility Compliance Officer
Procedures to address data breaches from KCC 'client-side' perspective are covered within the Infrastructure business continuity plan	James Church, Interim Head of ICT Compliance and Risk and Digital Accessibility Compliance Officer
Further training introduced relating to cyber crime, cyber security and social engineering to raise staff awareness and knowledge.	James Church, Interim Head of ICT Compliance and Risk and Digital Accessibility Compliance Officer
External reviews of the Authority's security compliance are carried out to maintain accreditation and confirm best practice is applied.	James Church, Interim Head of ICT Compliance and Risk and Digital Accessibility Compliance Officer
Monthly updated remediation plans produced for the Director of Infrastructure and Senior Information Risk Owner. Quarterly reporting to the Directorate Management Team.	James Church, Interim Head of ICT Compliance and Risk and Digital Accessibility Compliance Officer
Service Partners / Providers liaised with to ensure clarity regarding support available and respective responsibilities to address data breaches should they occur.	James Church, Interim Head of ICT Compliance and Risk and

	Digital Accessibility Compliance Officer	
Persistent monitoring of threats, network behaviours and data transfers to seek out possible breaches and take necessary action.	James Church, Interim Head of ICT Compliance and Risk and Digital Accessibility Compliance Officer	
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.	James Church, Interim Head of ICT Compliance and Risk and Digital Accessibility Compliance Officer	
A Cyber incident response and management policy has been developed which strengthens the responsibilities and accountabilities across the Authority.	James Church, Interim Head of ICT Compliance and Risk and Digital Accessibility Compliance Officer	
Procedure for incident management being reviewed and updated and responses to liaison picked up under action plan.	James Church, Interim Head of ICT Compliance and Risk and Digital Accessibility Compliance Officer	
Data Protection and Information Governance training is mandatory and requires staff to refresh periodically. Progress rates monitored regularly.	Ben Watts, General Counsel and KCC Data Protection Officer / Amanda Beer, Corporate Director People & Communications	
Additional messages warning staff of cyber threats are being sent out regularly.	Diane Trollope, Service Manager OD and Engagement	
Messages to encourage increased awareness of information security amongst staff are communicated to align with key implementation milestones of the ICT Transformation Programme.	Diane Trollope, Service Manager OD and Engagement	
Action Title	Action Owner	Planned Completion Date
Utilise new licensing agreement with Microsoft to enhance the security of KCC's infrastructure.	Dave Lindsay, Interim Head of ICT Strategy and Commissioning	November 2021

Implementation of action plan in response to findings of independent cyber-security and resilience review

Dave Lindsay, Interim Head of ICT Strategy and Commissioning

September 2021(review)

Risk ID	CRR0015	Risk Title	Managing and working with the social care market			
Source / Cause of Risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
A significant proportion of adult social care is commissioned out to the private and voluntary sectors. This offers value for money but also means that KCC is dependent on a buoyant market to achieve best value and give service users optimal choice and control.	Care home market (particularly residential and nursing care) not sustainable.	Gaps in the care market for certain types of care or in geographical areas meaning difficulty in placing some service users.	Richard Smith, Corporate Director ASCH, in collaboration with Clare Maynard, Interim Strategic Commissioner	V. Likely (5)	Major (5)	
Factors such as the introduction of the National Living Wage, potential inflationary pressures and uncertainty over care market workforce in light of new settled status arrangements mean that the care market is under pressure.	Inability to obtain the right kind of provider supply at affordable prices.			Target Residual Likelihood	Target Residual Impact	
The Coronavirus pandemic has added additional pressures, further threatening sustainability of the market.	Significant numbers of care home closures or service failures.		Responsible Cabinet Member(s):	Possible (3)	Major (5)	
From 11 th November, anyone working or volunteering in a care home will need to be fully vaccinated against Coronavirus, unless exempt.	Providers choose not to tender for services at Local Authority funding levels or accept service users with complex needs.		Clair Bell, Adult Social Care and Public Health			
Control Title				Control Owner		
KCC is part of local and regional Quality Surveillance Groups that systematically bring together the different parts of the health and care system to share information, identify and mitigate risks to quality, including those relating to care providers.				Jeanette Young, Strategic Commissioning		

New contracts commenced relating to Disability and Mental Health Residential Care services.	Simon Mitchell, Strategic Commissioning
Ongoing work to improve maturity of the market	Clare Maynard, Interim Strategic Commissioner
Ongoing monitoring of Home Care market and market coverage. Commissioners and operational managers review the capacity of the Home Care market with a view to developing a strategy to ensure market coverage.	Paula Watson, Senior Commissioner
Ongoing Contract Monitoring, working in partnership with the Access to Resources team	Clare Maynard, Interim Strategic Commissioner
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.	Clare Maynard, Interim Strategic Commissioner
Regular engagement with provider and trade organisations	Clare Maynard, Interim Strategic Commissioner
Older Persons Accommodation Strategy refreshed, which analyses demand and need and sets the future vision and direction for accommodation to support vulnerable Kent residents alongside the Adult Social Care Strategy - Your Life, Your Wellbeing	Richard Smith, Corporate Director ASCH
Ensuring contracts have indexation clauses built-in, managed through contract monitoring	Louise Merchant / Christopher Wimhurst, Strategic Commissioning
As part of the <i>Commissioning Success</i> model, Analytics function utilises data to inform decision making before moving commissioning activity forward.	Rachel Kennard, Chief Analyst
Phase 2 of the Care in the Home Services refresh commenced, bringing the various Discharge services and Supported Living Services under the Care in the Home Umbrella.	Tracey Schneider, Senior Commissioner
Phase 1 of Care and Support in the Home Services contract live, combining homecare and community based supporting independence services. This has reduced the number of care packages being placed off contract	Tracey Schneider, Senior Commissioner
Analytical work is being conducted on assessments and reviews in adult social care to help inform key commissioning activity, including Winter planning and impact of Covid.	Rachel Kennard, Chief Analyst
Daily risk assessment for people in the community awaiting packages of care and short-term bed provision for those at high risk	Chris McKenzie, Director ASCH

Action Title	Action Owner	Planned Completion Date
Community Support Market Position Statements being refreshed, to inform market shaping, oversight and sustainability	Simon Mitchell, Interim Commissioner	October 2021 (review)

Risk ID	CRR0016 Education and Skills Funding	Risk Title	Delivery of New School Places is constrained by Basic Need allocation and the Agency (ESFA)			
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
<p>A significant expansion of schools is required to accommodate major population growth, with impact in the short to medium term to secondary age. The "Basic Need" capital grant from Dept of Education (DfE) will not fund the expansion in full.</p> <p>There is a current funding gap needing to be bridged to deliver the commissioning plan, created by cost pressures from higher-than-expected build costs, low contributions from developers (see risk CRR0003) and increases in pupil demand.</p> <p>The delivery of the plan is highly dependent upon securing a number of Free Schools in Kent over the period and that the ESFA complete the Free School projects on time and to an appropriate standard.</p> <p>The Coronavirus pandemic is also impacting on project delivery timescales and costs.</p>	<p>The expansion required may not be delivered, meaning KCC is not able to provide appropriate school places.</p> <p>Further upward demand pressures beyond what is forecast.</p>	<p>Some children must travel much further to attend a school, with a resulting impact on the transport budget.</p> <p>The duty to provide sufficient school places is not met, which may lead to legal action against the council.</p>	<p>Matt Dunkley, Corporate Director CYPE</p> <p>Responsible Cabinet Member(s): Shellina Prendergast, Education and Skills</p>	<p>Very Likely (5)</p> <p>Target Residual Likelihood Likely (4)</p>	<p>Major (5)</p> <p>Target Residual Impact Significant (3)</p>	

Control Title	Control Owner
As part of capital planning we are looking at all available funding streams and programmes.	Christine McInnes, Director of Education
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.	Christine McInnes, Director of Education
Additional budget relating to Covid-19 delays, to cover off pressures.	Christine McInnes, Director of Education
Close working with the ESFA and engagement of the DfE/ESFA, Secretary of State and Kent MPs raising of the issue via the County Council Network.	Christine McInnes, Director of Education
The Officer-led Education Asset Board is being refreshed, which monitors school expansion capital programme, as well as Developer Contributions. Cabinet Committee and Cabinet also receive updates on the programme.	Christine McInnes, Director of Education
The Kent Commissioning Plan contains the forecast expansion numbers and locations. A school expansion programme has been mapped, costed and kept under review.	Christine McInnes, Director of Education
Policy and operations to secure sufficient developer contributions are overseen by Infrastructure Funding Group and approach to be updated in new Developer Contribution Policy, along with request for additional contributions.	Christine McInnes, Director of Education
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). Issues discussed with the Regional Schools Commissioner.	Christine McInnes, Director of Education
CYPE capital monitoring mechanism with Member involvement created, including Cabinet Committee twice yearly reporting	Christine McInnes, Director of Education
Policy and operations to secure sufficient developer contributions are overseen by Infrastructure Funding Group and approach to be updated in new Developer Contribution Policy, along with request for additional contributions.	Stephanie Holt-Castle, Head of Countryside, Leisure and Sport
Regular negotiations take place with District Councils regarding allocation of contributions	Area Education Officers

Risk ID	CRR0039	Risk Title	Information Governance			
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
<p>The Council is required to maintain the confidentiality, integrity and proper use, including disposal of data under the Data Protection Act 2018, which is particularly challenging given the volume of information handled by the authority on a daily basis.</p> <p>United Kingdom General Data Protection Regulations (UK GDPR) came into effect that have introduced significantly increased obligations on all data controllers, including the Council.</p> <p>The Coronavirus pandemic has introduced new risks e.g. staff adapting to new ways of working and increasing information security threats.</p> <p>There is insufficient resource available to undertake comprehensive oversight / assurance activity that provides assurance on compliance with existing information governance standards.</p> <p>There is a critical dependency on one of the Council's Local Authority Trading Companies</p>	<p>Failure to embed the appropriate processes and procedures to meet regulations.</p> <p>Information security incidents (caused by both human error and / or system compromise) resulting in loss of personal data or breach of privacy / confidentiality.</p> <p>Council accreditation for access to government and partner ICT data, systems and network is withdrawn.</p> <p>Cantium Business Solutions prioritises commercial work or does not undertake information governance compliance work in an appropriate and timely fashion.</p>	<p>Information Commissioner's Office sanction (e.g., undertaking, assessment, improvement, enforcement or monetary penalty notice issued against the Authority).</p> <p>Serious breaches under UK GDPR could attract a fine of c£17m.</p> <p>Increased risk of litigation.</p> <p>Reputational damage.</p>	<p>Ben Watts, General Counsel and Data Protection Officer in collaboration with David Whittle, Senior Information Risk Owner</p> <p>Responsible Cabinet Member(s):</p> <p>Roger Gough, Leader</p> <p>Bryan Sweetland Communications, Engagement, People and Partnerships</p>	<p>V. Likely (5)</p> <p>Target Residual Likelihood Possible (3)</p>	<p>Serious (4)</p> <p>Target Residual Impact Serious (4)</p>	

<p>(CBS) to support Information Governance compliance for the KCC systems and network.</p> <p>KCC services' requirement for non-standard systems creates vulnerabilities.</p>	
Control Title	Control Owner
Staff are required to complete mandatory training on Information Governance and Data Protection and refresh their knowledge every two years as a minimum.	Ben Watts, General Counsel and KCC Data Protection Officer / Amanda Beer, Corporate Director People and Communications
Senior Information Risk Owner for the Council appointed with training and support to undertake the role.	David Whittle, Director SPRCA
ICT Commissioning function has necessary working/contractual relationship with the Cantium Business Solutions to require support on KCC ICT compliance and audit.	Rebecca Spore, Director Infrastructure
Caldicott Guardian appointed with training and support to undertake the role	Richard Smith, Corporate Director ASCH
Corporate Information Governance group to allow for effective management of information governance risks and issues between the DPO, SIRO and Caldicott Guardian.	Ben Watts, General Counsel and KCC Data Protection Officer
A number of policies and procedures are in place including KCC Information Governance Policy; Information Governance Management Framework; Information Security Policy; Data Protection Policy; Freedom of Information Policy; and Environmental Information Regulations Policy all in place and reviewed regularly. Data Protection Officer in place to act as a designated contact with the ICO.	Ben Watts, General Counsel and KCC Data Protection Officer
Management Guide/operating modules on Information Governance in place, highlighting key policies and procedures.	Ben Watts, General Counsel and KCC Data Protection Officer
Privacy notices as well as procedures/protocols for investigating and reporting data breaches reviewed and updated	Caroline Dodge, Team Leader Information Resilience &

		Transparency
Information Resilience and Transparency team in place, providing business information governance support.		Caroline Dodge, Team Leader Information Resilience & Transparency
Cross Directorate Information Governance Working Group in place.		Michael Thomas-Sam, Strategic Business Adviser Social Care
Corporate Information Governance Group established, chaired by the DPO, acting as a point of escalation for information governance issues and further escalation to the Corporate Management Team if required		Ben Watts, General Counsel and KCC Data Protection Officer
Action Title	Action Owner	Planned Completion Date
Utilise new licensing agreement with Microsoft to enhance the security of KCC's infrastructure. Working on implementation and rollout. (Cross reference to CRR0014)	Dave Lindsay, Interim Head of ICT Strategy and Commissioning	November 2021 (review)
Review methods of recording data breaches and identification / analysis of trends. Information Governance escalation report to CMT re breaches, behaviours and remedies.	Ben Watts, General Counsel and KCC Data Protection Officer	TBC
Working from Home Information Governance audit implementation of recommendations	Ben Watts, General Counsel / David Whittle, Director SPRCA	TBC
Each directorate is responsible for carrying out data mapping exercises to find out what personal data is held and to understand how the information flows through the organisation	Michael Thomas-Sam, Chair of Cross-Directorate Information Governance Working Group	October 2021

Risk ID	CRR0042	Risk Title	Post Transition period border systems, infrastructure and regulatory arrangements –			
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
On 1 January 2021 the Transition period with the European Union ended, and the United Kingdom now operates a full, external border as a sovereign nation. This means that controls are now placed on the movement of goods between Great Britain and the EU.	Significant slowdown in the existing flow of goods and people through the Kent Ports leads to long delays in accessing Dover Ports and Eurotunnel.	Impacts on major traffic routes to support Operation Brock and other mitigations for port delays and the consequential increase in local and pan-Kent Road journey times, impacting on local residents and businesses.	Simon Jones, Corporate Director GET	Likely (4)	Major (5)	
To afford industry extra time to make necessary arrangements, the UK Government has taken the decision to introduce the new border controls in stages up until 2022.	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-Transition border arrangements.	Significant detrimental impact on county's economic competitiveness, attractiveness for inward investment and quality of life for Kent residents.	Responsible Cabinet Member(s): David Brazier, Highways & Transport Mike Hill, Community & Regulatory Services	Target Residual Likelihood Possible (3)	Target Residual Impact Serious (4)	
KCC has been working with partners at a local and national level to assess potential implications for the county and prepare for various scenarios.						
KCC is reliant on coherent, coordinated governance and information across Government to aid the Local Authority and partners locally in planning their contingency arrangements and responding appropriately.						

Control Title	Control Owner	
KCC engagement with and support for the Kent Resilience Forum	Mark Rolfe, Head of Kent Scientific Services/Interim Head of Kent Resilience Team	
Regular engagement with senior colleagues in relevant Government Departments on the impacts and implications of transition on KCC's regulatory responsibilities relating to Trading Standards and the resilience of Kent highways.	Simon Jones, Corporate Director GET	
Several training exercises have taken place to prepare for various scenarios	Simon Jones, Corporate Director, GET / Tony Harwood, Resilience and Emergencies Manager	
KCC involvement in Operation Fennel Strategic and Tactical Groups (multi-agency planning groups for potential disruption at Port of Dover and Eurotunnel).	Simon Jones, Corporate Director GET	
Operation Fennel strategic plan in place	Simon Jones, Corporate Director GET	
KCC Cross Directorate Resilience Forum reviews latest situation regarding transition impacts	Tony Harwood, Resilience and Emergencies Manager	
KCC contribution to multi-agency communications in the 'response' phase, and leadership of communications in the 'planning' and 'recovery' phases	Christina Starte, Head of Communications	
KCC services are continually reviewing business continuity arrangements, taking potential scenarios into consideration (cross-reference to CRR0004), with co-ordination via Directorate Resilience Groups	Service Managers	
KCC membership of the Delivery Models Operational Group and associated working groups such as Emergency Planning, Infrastructure etc.	Steve Rock, Head of Trading Standards	
KCC continues to make a case for further funding from the Ministry of Housing, Communities and Local Government (MHCLG) and Department for Transport (DfT) for direct impact costs of Transition preparedness in the county.	Simon Jones, Corporate Director GET	
Action Title	Action Owner	Planned Completion Date
Continued preparations for Transition focusing on refining the traffic management plans in light of new planning scenarios.	Tony Harwood, Resilience and Emergencies Manager / Mark	Ongoing until March 2022.

Rolfe, Interim Head of Kent
Resilience Team

Risk ID	CRR0044	Risk Title	High Needs Funding shortfall			
<p>Source / Cause of risk</p> <p>The demand for Special Educational Needs and Disability (SEND) support is rising and at a much faster rate than the school age population, and the Council's Dedicated Schools Grant (DSG) budget is overspending on the High Needs Block and has already accrued a deficit on the DSG reserve.</p> <p>Corresponding pressure on some of KCC's non-DSG SEND related budgets e.g. SEN Home to School Transport, is also being experienced.</p> <p>Consequently, meeting the needs of children and young people with SEND within available resources is becoming ever more challenging.</p> <p>The ability to forecast costs in future years is difficult.</p> <p>The Department for Education (DfE) is introducing tighter reporting requirements on local authorities who have a deficit in their DSG account.</p>	<p>Risk Event</p> <p>Inability to manage within budget going forward.</p> <p>Inability to reduce accumulated deficit on Dedicated Schools Grant reserve.</p>	<p>Consequence</p> <p>Continued funding of deficit on the DSG reserve by net surplus balances in other reserves becomes unsustainable, impacting on the financial resilience of the Council.</p> <p>Impact on support for children with SEND (cross reference to CRR0047)</p>	<p>Risk Owner</p> <p>Matt Dunkley, Corporate Director CYPE</p> <p>Responsible Cabinet Member(s):</p> <p>Shellina Prendergast, Education & Skills</p>	<p>Current Likelihood</p> <p>Likely (4)</p>	<p>Current Impact</p> <p>Major (5)</p>	
				<p>Target Residual Likelihood</p> <p>Likely (4)</p>	<p>Target Residual Impact</p> <p>Serious (4)</p>	

Control Title	Control Owner	
Block payment arrangement negotiated with Further Education colleges. For this early confirmation and certainty in funding colleges are expected to absorb inflationary pressures and provide support to any growth in the number of post 16 young people with High Needs.	Karen Stone, Revenue Finance Manager (0 - 25 services) / Chrstine McInnes, Director of Education	
KCC conducted a review of provision of pupils in mainstream schools with High Needs, introducing changes aiming to ensure the number of High Needs pupils in mainstream schools does not contribute to the current budget pressures.	Karen Stone, Revenue Finance Manager (0 - 25 services)	
Continual lobbying of Government on two matters; increased funding in both the short and medium term, and structural changes to government policy to help reduce the demand i.e. via County Council Network, Association of Directors' of Children's Services. Includes provision of evidence of the impact of the High Needs pressures on the quality of education children receive, schools, other providers and the Local Authority.	Roger Gough, Leader of the Council / Shellina Prendergast, Cabinet Member, Education and Skills / Matt Dunkley Corporate Director (CYPE)	
KCC conducted a review of provision of pupils in mainstream schools with High Needs, introducing changes aiming to ensure the number of High Needs pupils in mainstream schools does not contribute to the current budget pressures.	Christine McInnes, Director of Education	
Action Title	Action Owner	Planned Completion Date
As required by the DfE, a recovery plan is to be produced (if the LA is either in deficit or if there is a significant reduction in their surplus) outlining how KCC can bring in-year spending in line with in-year funding, and options for how the accumulated deficit could be repaid. To be presented to the Schools' Funding Forum and approved by the Council's Section 151 Officer	Zena Cooke, Corporate Director Finance (Section151 Officer) / Christine McInnes, Director of Education	TBC
High Needs Funding review to be undertaken and recommendations to be agreed with the School's Funding Forum. This links to Workstream B of the Written Statement of Action in supporting Inclusive Practices in schools.	Karen Stone, Revenue Finance Business Partner /Christine McInnes, Director of Education	March 2022
Implementation of SEND Written Statement of Action Inclusion workstream to better address the relationship between learner need, outcomes, provision and cost. Including: - Tighter commissioning arrangements to drive down the cost of placements in Independent Non-Maintained Special Schools	Matt Dunkley, Corporate Director CYPE	March 2022

Building capacity and an inclusive ethos in mainstream schools to improve teaching and confidence in supporting more children with higher levels of need.

Matt Dunkley, Corporate
Director CYPE

March 2022

Risk ID	CRR0045	Risk Title	Maintaining effective governance and decision making in a challenging financial and operating environment for local government			
<p>Source / Cause of risk</p> <p>The continuation of a challenging financial and operating environment for Local Government (see risk CRR0009) will require difficult policy decisions to be made in a timely manner, which requires continued effective governance and decision making as well as robust internal control mechanisms. Examples from other local authorities has shown the impact that ineffective decision making can have on financial resilience. KCC's constitution explicitly references the demarcation of Member and Officer roles which consequently places dependency on the effectiveness of the member governance of the Council. It is officers failing in their duty to provide robust professional advice needed by Members to effectively discharge their member leadership role, or unwillingness of elected Members to appropriately consider advice</p>	<p>Risk Event</p> <p>Members are unwilling or unable to agree necessary policy (service) decisions to deliver a legally balanced budget and sustainable medium-term financial plan (MTFP). Members agree a budget requiring unrealistic and undeliverable efficiency savings leading to significant in-year overspends. Statutory officers (S151, Monitoring Officer, Head of Paid Service) are required to use their powers to intervene or alert the Council to inappropriate/illegal decision-making.</p>	<p>Consequence</p> <p>Decisions challenged under judicial review on the appropriateness of the decision-making within KCC. Monitoring Officer / Head of Paid Service statutory report to Council. Reputational damage to the Council. S114 Notice issued by the S151 Officer.</p>	<p>Risk Owner</p> <p>David Cockburn, Head of Paid Service Zena Cooke, Corporate Director Finance (s151 Officer) Ben Watts, General Counsel and Monitoring Officer Responsible Cabinet Member(s): Roger Gough, Leader of the Council Peter Oakford, Deputy Leader and Cabinet</p>	<p>Current Likelihood</p> <p>Unlikely (2)</p> <p>Target Residual Likelihood</p> <p>V. Unlikely (1)</p>	<p>Current Impact</p> <p>Major (5)</p> <p>Target Residual Impact</p> <p>Major (5)</p>	

from professional / statutory officers. Elected Members may require additional training and expertise to enable capability of effective challenge.	Member for Corporate and Traded Services
Control Title	Control Owner
Interim Strategic Plan agreed by County Council and published setting out objectives and priorities for the Council in 2021.	Roger Gough, Leader of the Council
Medium Term Financial Plan and Budget Book agreed by Full Council and support/briefings provided for all political groups by officers on budget development options	Zena Cooke, Corporate Director Finance (Section 151 Officer)
Effective internal audit arrangements in place and robust monitoring arrangements for the delivery of internal audit recommendations to Governance & Audit Committee	Zena Cooke, Corporate Director Finance (Section 151 Officer)
Appropriately detailed and timely financial monitoring reports considered by Cabinet and Cabinet Committees	Zena Cooke, Corporate Director Finance (Section 151 Officer)
Governance reviews from across the Local Government sector are analysed to identify any lessons learned and reported to relevant stakeholders, including Governance & Audit Committee.	Zena Cooke, Corporate Director Finance (Section 151 Officer)
Appropriate officer development and training programme in place and overseen by CMT	Amanda Beer, Corporate Director People and Communications
Appropriate and effective corporate risk management procedures in place for the Council	David Whittle, Director SPRCA
Informal governance arrangements authorised by the KCC Constitution have been published on KNet as a practical guide for how officers work with elected Members to help them support effective decision making for our service users, residents and communities.	David Whittle, Director SPRCA
Operating standards for KCC officers that support KCC's constitution published on KNet, signposting officers to essential policy information and additional guidance on specific topics, to help officers discharge their	David Whittle, Director SPRCA

responsibilities effectively.		
Key and significant decision-making process in place for Executive decisions and appropriately published Forward Plan of Executive Decisions	Ben Watts, General Counsel and KCC Data Protection Officer	
Annual Governance Statement (AGS) arrangements in place with returns made across both senior and statutory officers	Ben Watts, General Counsel and KCC Data Protection Officer	
Democratic Services support effective Committee governance and scrutiny arrangements	Ben Watts, General Counsel and KCC Data Protection Officer	
Member and Officer codes of conduct in place and robustly monitored and enforced	Ben Watts, General Counsel and KCC Data Protection Officer	
Member development and training programme in place and overseen by Selection and Member Services Committee	Ben Watts, General Counsel and KCC Data Protection Officer	
Provision for Chief Officers to seek written direction from Executive Members within the KCC Constitution	Ben Watts, General Counsel and KCC Data Protection Officer	
Appropriate performance reporting of service and corporate performance to Cabinet, Cabinet Committee and Full Council	David Cockburn, Head of Paid Service	
Transformation plans and/or business cases for strategic change underpinning MTFP shared with non-executive members through Cabinet Committees as part of the executive decision-making arrangements	David Cockburn, Head of Paid Service	
Action Title	Action Owner	Planned Completion Date
Review of KCC Operating Standards	David Whittle, Director SPRCA	TBC
Further amendments to KCC's Constitution, including review of effectiveness of Cabinet Committees and consideration of alternative arrangements	Ben Watts, General Counsel and KCC Data Protection Officer (DPO)	November 2021 (review)

Definition to be set regarding roles and responsibilities of Members and Officers.	Ben Watts, General Counsel and KCC DPO	TBC
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Risk ID	CRR0047	Risk Title	Adequacy of support for children with Special Educational Needs and Disabilities (SEND) – implementation of Kent Local Area SEND Written Statement of Action			
<p>Source / Cause of risk</p> <p>Ofsted and the Care Quality Commission (CQC) conducted a joint inspection of the local area of Kent in early 2019, to judge the effectiveness of the area in implementing the disability and special educational needs reforms set out in the Children and Families Act 2014.</p> <p>While a number of strengths were identified, a number of weaknesses and areas of concern were raised.</p> <p>In response to these concerns a programme has been identified across both KCC and Clinical Commissioning Groups to implement the changes and improvements required.</p> <p>The programme is being delivered against a challenging backdrop of significant increases in demand and a shortfall in High Needs funding (see risk CRR0044), while some aspects of the programme are being revised to take account of implications of the Coronavirus pandemic.</p>	<p>Risk Event</p> <p>Insufficient improvement in areas identified within timescales.</p>	<p>Consequence</p> <p>Adverse impact on outcomes for vulnerable young people</p> <p>Dissatisfaction from families</p> <p>Potential for legal action if statutory time limits or processes are not met.</p>	<p>Risk Owner</p> <p>Matt Dunkley, Corporate Director CYPE</p> <p>Responsible Cabinet Member(s):</p> <p>Sue Chandler, Integrated Children's Services</p>	<p>Current Likelihood</p> <p>Likely (4)</p> <p>Target Residual Likelihood</p> <p>Unlikely (2)</p>	<p>Current Impact</p> <p>Major (5)</p> <p>Target Residual Impact</p> <p>Major (5)</p>	

Control Title	Control Owner
SEND Steering Group in place, with responsibility for coordinating activity and tracking progress across the five identified workstreams in the Written Statement of Action, reporting into the Improvement Board.	Mark Walker, Director for SEND
<p>SEND Improvement Programme implemented, which includes delivery of requirements detailed in the Kent Written Statement of Action, covering five key workstreams relating to:</p> <ul style="list-style-type: none"> -Parental engagement and co-production -Inclusive practice and the outcomes, progress and attainment of children and young people. - Quality of Education, Health and Care Plans - Joint commissioning and governance - Service provision - Preparation of adulthood. 	Mark Walker, Director for SEND
Effective use of SEND Improvement Programme Risk register.	Mark Walker, Director for SEND
Local area SEND Strategy developed in collaboration with partners, which goes beyond the Written Statement of Action to enable sustained improvement and transform Kent's SEND offer.	Matt Dunkley, Corporate Director CYPE (KCC lead)
Kent SEND strategy developed.	Matt Dunkley, Corporate Director CYPE (KCC lead)
Kent Joint SEND vision established	Matt Dunkley, Corporate Director CYPE (KCC lead)
SEND Improvement Board established, meeting monthly, to ensure collaborative working across education, health and social care, to have a strategic overview of services and drive the operational workstreams that have been developed to address each area of significant weakness.	Matt Dunkley, Corporate Director CYPE (KCC lead)
Robust programme management in place, ensuring appropriate integration between workstreams and delivery plan.	Matt Dunkley, Corporate Director CYPE (KCC lead)
0-25 Health and Wellbeing Board is the strategic board for children's services that oversees delivery of these services in Kent. A new joint governance with health has been established from November 2020.	Matt Dunkley, Corporate Director CYPE (KCC lead)

Risk ID	CRR0048	Risk Title	Maintenance and modernisation of KCC Estate			
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
While there has been significant investment in parts of our estate over time, there will never be enough funding available to satisfy all aspirations relating to modernisation of our estate.	Lack of affordable capital programme, meaning insufficient investment in KCC estate to ensure it remains safe and fit-for-purpose.	Business interruption due to increasing level of reactive / emergency repairs required, or parts of the estate decommissioned (in whole or partially) if deemed unsafe	On behalf of CMT: Rebecca Spore, Director of Infrastructure	Likely (4)	Serious (4)	
It is becoming increasingly challenging to ensure that all of our property assets are maintained to a sufficient standard, so that they are safe and fit-for-purpose.		Adverse impact on achievement of environmental targets.	Responsible Cabinet Member(s):	Target Residual Likelihood	Target Residual Impact	
As parts of our estate age (e.g. some of our schools and our corporate headquarters), maintenance and / or modernisation costs will increase, and will be sub-optimal in terms of our environmental footprint and supporting new working practices.		Adverse impact on opportunities to rethink current working practices and adopt new ways of working	Peter Oakford, Finance, Corporate and Traded Services	Possible (3)	Serious (4)	
Ongoing investment to maintain and modernise our estate continues to compete with the other priorities to protect frontline services from effects of public sector funding restraint.		Impact on staff morale and productivity.				
Property asset considerations need to be viewed as part of a strategic picture alongside technology and people strategies and the appetite for change						

tested.

The Coronavirus pandemic has accelerated the pace of change to working practices, while also having adverse impact the council's capital programme.

Control Title

Control Owner

Property commissioning function takes a 'hands on' approach to building compliance management

Tony Carty, Infrastructure Commissioning

An annual programme of planned preventative maintenance is undertaken at KCC sites by the relevant Facilities Management contract partners.

Tony Carty, Infrastructure Commissioning

Safety factors associated with our assets are given priority during the budget setting process.

Zena Cooke, Corporate Director Finance (Section 151 Officer)

Ten-year lifecycle programme commissioned and underway.

James Sanderson, Strategic Capital Programme Manager

Action Title

Action Owner

Planned Completion Date

As part of KCC's Strategic Reset Programme, a Future Assets strategy is being developed to ensure an effective locality offer, matched to the future needs of the Council, in the context of financial constraints.

Rebecca Spore, Director of Infrastructure

September 2021 (presentation of Strategic Outline Case)

Stock condition surveys of both KCC-maintained schools and corporate buildings allow KCC to collect valid data and information, to understand forward maintenance liabilities for each asset, and plan the expenditure of the maintenance budget appropriately as part of an ongoing planned maintenance programme. This is the precursor to the commission of a rolling 3-year condition programme.

James Sanderson, Strategic Capital Programme Manager

March 2022

Risk ID	CRR0049	Risk Title	Fraud and Error			
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
<p>As with any organisation, there is an inherent risk of fraud and/or error that must be acknowledged and proactively managed.</p> <p>The fraud threat posed during emergency situations is higher than at other times, and all public bodies should be attuned to the risks facing their organisations and the public sector.</p> <p>It is critical that management implements a sound system of internal control and demonstrates commitment to it at all times, and that investment in fraud prevention and detection technology and resource is sufficient.</p> <p>This includes ensuring that new emerging fraud/error issues are sufficiently risk assessed.</p>	<p>Failure to prevent or detect significant acts of fraud or error from internal or external sources, in that within any process or activity there are:</p> <ul style="list-style-type: none"> - false representations are made to make a gain or expose another to a loss - failure to notify a change of circumstances to make a gain or expose another to a loss - abuses their position, in which they are expected to safeguard to make a gain or expose another to a loss. 	<p>Financial loss leading to pressures on budgets that may impact the provision of services to service users and residents</p> <p>Reputational damage, particularly if the public see others gaining services or money that are not entitled to, leading to resentment by the public against others.</p>	<p>Zena Cooke, Corporate Director Finance (Section 151 Officer)</p> <p>Responsible Cabinet Member(s):</p> <p>Peter Oakford, Finance, Corporate and Traded Services</p>	<p>Likely (4)</p> <p>Target Residual Likelihood</p> <p>Unlikely (2)</p>	<p>Serious (4)</p> <p>Target Residual Impact</p> <p>Significant (3)</p>	
Control Title				Control Owner		
KCC is part of the Kent Intelligence Network (KIN), a joint project between 12 district councils, Medway Council, Kent Fire & Rescue and Kent County Council which analyses and data matches financial and personal information to allow fraudulent activity in locally administered services to be detected more proactively within Kent				Nick Scott, Operations Manager, Kent Intelligence Network / James Flannery, Counter-Fraud Manager KCC		

Training and awareness raising is conducted periodically	Amanda Beer, Corporate Director People and Communications
An agreed Memorandum of Understanding is in effect with partners (District Councils, Police and Fire Service) outlining the minimum standards expected to be applied by collection authorities (District Councils) to address fraud and error relating to council tax and business rates. Additional work jointly funded to identify and investigate high risk cases based on each authority's share of the tax base.	Dave Shipton, Head of Finance (Policy, Strategy and Planning)
Internal Audit includes proactive fraud work in its annual audit plan, identifying potential areas where frauds could take place and checking for fraudulent activity.	Jonathan Idle, Head of Internal Audit
Whistleblowing Policy in place for the reporting of suspicions of fraud or financial irregularity	James Flannery, Counter-Fraud Manager
Training and awareness raising is conducted periodically	James Flannery, Counter-Fraud Manager
Preventing Bribery Policy in place, presenting a clear and precise framework to understand and implement the arrangements required to comply with the Bribery Act 2010.	James Flannery, Counter-Fraud Manager
Anti-fraud and corruption strategy in place and reviewed annually	James Flannery, Counter-Fraud Manager
Counter Fraud Manager liaises with CMT regarding all new policies, initiatives and strategies to be assessed for the risk of fraud, bribery and corruption through engagement with the Counter Fraud Team.	James Flannery, Counter-Fraud Manager
Systems of internal control which aim to prevent fraud and increase the likelihood of detection	Statutory Officers / Corporate Management Team
Fraud risk assessments have been developed by the Counter-Fraud team and are being considered by service directorates to aid awareness and facilitate appropriate mitigations.	Directorate Management Teams
Commissioning standards reviewed, including rules relating to "Spending the Council's Money", which have been clarified.	Clare Maynard, Interim Strategic Commissioner

Risk ID	CRR0050	Risk Title	CBRNE incidents, communicable diseases and incidents with a public health implication			
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
<p>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.</p> <p>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.</p>	<p>Insufficient capacity / resource to deliver response and recovery concurrently for a prolonged period, including potential future wave(s) of Coronavirus.</p>	<p>Potential increased harm or loss of life if response is not effective.</p> <p>Increased financial cost in terms of damage control and insurance costs.</p> <p>Adverse effect on local businesses and the Kent economy.</p> <p>Possible public unrest and significant reputational damage.</p> <p>Legal actions and intervention for failure to fulfil KCC's obligations under the Civil Contingencies Act or other associated legislation.</p>	<p>On behalf of CMT:</p> <p>Allison Duggal, Interim Director of Public Health</p> <p>Responsible Cabinet Member(s):</p> <p>Clair Bell, Adult Social Care and Public Health</p>	<p>V. Likely (5)</p> <p>Target Residual Likelihood</p> <p>Possible (3)</p>	<p>Major (5)</p> <p>Target Residual Impact</p> <p>Major (5)</p>	
Control Title				Control Owner		
There is coverage across Kent for Covid-19 testing, with regional and / or mobile testing sites.				Allison Duggal, Interim Director of Public Health		
"Protect Kent and Medway, Play your part" media campaign				Allison Duggal, Interim Director of Public Health		
Utilising data sets from Public Health England to give a picture of Covid-19 across Kent.				Allison Duggal, Interim Director of Public Health		

<p>DPH now has oversight of the delivery of immunisation and vaccination programmes in Kent through the Health Protection Committee</p> <p>DPH has regular teleconferences with the local Public Health England office on the communication of infection control issues</p> <p>DPH or consultant attends newly formed Kent and Medway infection control committee</p>	<p>Allison Duggal, Interim Director of Public Health</p>
<p>Kent Resilience Forum has a Health sub-group to ensure co-ordinated health services and Public Health England planning and response is in place</p>	<p>Allison Duggal, Interim Director of Public Health</p>
<p>KCC and local Kent Resilience Forum partners have tested preparedness for chemical, biological, radiological, nuclear and explosives (CBRNE) incidents and communicable disease outbreaks in line with national requirements. The Director of Public Health has additionally sought and gained assurance from the local Public Health England office and the NHS on preparedness and maintaining business continuity</p>	<p>Allison Duggal, Interim Director of Public Health</p>
<p>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.</p>	<p>Allison Duggal, Interim Director of Public Health</p>
<p>Multiple governance – e.g. Health Protection Board feeds into KRF Health and Care cell.</p>	<p>Allison Duggal, Interim Director of Public Health</p>
<p>Kent Resilience Forum Outbreak Control Plan published, building on existing health protection plans already in place between Kent County Council, Medway Council, Public Health England - South East, the 12 Kent District and Borough Council Environmental Health Teams, the Strategic Coordinating Group of the Kent Resilience Forum, Kent and Medway Clinical Commissioning Group and other key partners</p>	<p>Allison Duggal, Interim Director of Public Health</p>
<p>Kent Local Tracing Partnership, supporting Government Test and Trace scheme.</p>	<p>Allison Duggal, Interim Director of Public Health / Christina Starte, Head of Communications</p>
<p>Mass testing and vaccination rollout supported</p>	<p>Allison Duggal, Interim Director of Public Health</p>

Risk ID	CRR0051	Risk Title	Maintaining or Improving workforce health, wellbeing and productivity throughout Coronavirus response and recovery			
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
The Coronavirus pandemic has required the council's workforce to substantially adapt the way it operates and delivers services at short notice. This brings with it opportunities to accelerate programmes of change, improve productivity, wellbeing and promote our employer brand, but also, in the short term at least, risks that require close monitoring and management.	Lack of managerial capacity and / or capability to deliver in new environment	Increased absence levels	Corporate Management Team	Possible (4)	Serious (4)	
	Staff mental and physical fatigue due to prolonged period of response and recovery, while adapting to a new working environment.	Impact on productivity (could be positive or negative)	Responsible Cabinet Member(s): Bryan Sweetland Communications, Engagement, People and Partnerships	Target Residual Likelihood	Target Residual Impact	
Staff across the organisation continue to work under significant operational pressures.	Lack of depth / resilience of key personnel or teams.			Unlikely (2)	Serious (4)	
	Insufficient capacity should future wave of pandemic occur.					
Control Title			Control Owner			
Regular engagement with recognised trades unions.			Paul Royel, Head of HR and OD			
KCC's Organisation Design principles have been refreshed to ensure they remain fit for purpose.			Paul Royel, Head of HR and OD			
Comprehensive resources and tools available for staff to access, including Support Line counselling services, I-resilience tool, mindfulness and wellbeing sessions, tailored to staff groups as appropriate.			Amanda Beer, Corporate Director People and Communications			
Additional guidance for staff on Display Screen Equipment self-assessments when working from home on a			Stewart Baxter-Smith, Head of			

semi-permanent basis.		Health & Safety
Health & Safety team support for services, including updated Covid-19 related advice and guidance e.g. with Task Safety Analysis and supporting use of premises safety during response and recovery.		Stewart Baxter-Smith, Head of Health & Safety
Working and Wellbeing Survey - comprehensive Covid-19 work and wellbeing staff surveys conducted, to build understanding of current picture and inform future planning and action with managers.		Diane Trollope, Head of Engagement and Consultation
Refocused medium-term Organisation Development Plan		Diane Trollope, Head of Engagement and Consultation
Intranet site contains dedicated Covid-19 area, with latest advice and guidance - including staff FAQs, Keeping Well, Comfort and Safety and Remote Working.		Diane Trollope, Head of Engagement and Consultation
Promoting even more regular communications between managers and their teams while working remotely via "Good Conversations" tools etc.		Diane Trollope, Head of Engagement and Consultation
KCC's values, behaviours and culture embedded by managers, linked to KCC Strategic Reset programme.		Diane Trollope, Head of Engagement and Consultation
Action Title	Action Owner	Planned Completion Date
As part of KCC's Strategic Reset Programme, the latest People Strategy is being developed, setting out the intentions to make the most of KCC's workforce and its capabilities and reset the expectations of KCC as an employer in the medium term.	Paul Royel, Head of HR and OD	October 2021 (review)