



KCC Corporate Risk Register

FOR PRESENTATION TO GOVERNANCE & AUDIT COMMITTEE

21/07/2022

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 2022
CRR0001	Safeguarding – protecting vulnerable children	Medium (15)	Medium (15)	↓
CRR0002	Safeguarding – protecting adults at risk	High (20)	Medium (15)	↔
CRR0003	Securing resources to aid economic recovery and enabling infrastructure	High (25)	High (16)	↑
CRR0004	Simultaneous Emergency Response and Resilience	High (20)	Medium (15)	↔
CRR0009	Future financial and operating environment for local government	High (20)	High (16)	↔
CRR0010	Provision for Unaccompanied Asylum-Seeking Children (UASC)	Medium (9)	Low (6)	↓
CRR0014	Technological resilience and information security threats	High (20)	High (16)	↔
CRR0015	Managing and working with the social care market	High (25)	Medium (15)	↔
CRR0039	Information Governance	High (20)	Medium (12)	↔
CRR0042	Border fluidity, infrastructure, and regulatory arrangements	High (25)	High (16)	↑
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)	↔
CRR0047	Adequacy of support for children with Special Educational Needs and Disabilities (SEND) – response to Written Statement of Action	High (20)	Medium (10)	↔

CRR0049	Fraud and Error	High (10)	Low (5)	↓
CRR0050	CBRNE incidents, communicable diseases and incidents with a public health implication – KCC response to and recovery from the impacts of the Covid-19 public health emergency	High (20)	Medium (15)	↓
CRR0051	Supporting the workforce transition to hybrid working	High (16)	Medium (12)	↔
CRR0052	Impacts of Climate Change on KCC Services	High (25)	High (16)	First Time Rating
CRR0053	Capital Programme affordability (impacts on performance and statutory duties)	High (25)	High (16)	First Time Rating
CRR0054	Supply Chain and market factors	High (20)	TBC	First Time Rating
CRR0055	Impacts of the 'People at the Heart of Care' Social Care Reform White Paper	TBC	TBC	NEW RISK

*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.

** Risk rating to be reviewed after local government finance settlement is confirmed.

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.		Failure to fulfil statutory safeguarding obligations.	Incident of serious harm or death of a vulnerable child.	Sarah Hammond, Interim Corporate Director Children, Young People and Education (CYPE)	Possible (3)	Major (5)
In addition, the Government's "Prevent Duty" requires the Local Authority to act to prevent people from being drawn into terrorism, with a focus on the need to safeguard children at risk of radicalisation.		Failure to meet the requirements of the "Prevent Duty" placed on Local Authorities.	Serious impact on vulnerable people.		Target Residual Likelihood	Target Residual Impact
		Safeguarding risks are not identified to / by KCC in a timely fashion.	Impact on ability to recruit the quality of staff critical to service delivery.		Possible (3)	Major (5)
		Spike(s) in demand impact on robustness of controls	Serious operational and financial consequences.	Responsible Cabinet Member(s):		
During Lockdown some children were absent from school and some partners were less visible, undertaking fewer home visits to vulnerable children, increasing demand on statutory children's services. As a result, there has been an increase in the risk to children under 5. This has introduced uncertain impacts for children's mental health and resilience and the potential for latent demand to build. We are starting to see more complex demand within the system as a result of a more complex working environment. There is also an impact on absentee and non-attendance levels within schools.			Attract possible intervention from a national regulator for failure to discharge corporate and executive responsibilities.	Sue Chandler, Integrated Children's Services		
				Shellina Prendergast Education and Skills		
				Mike Hill (Lead Member for PREVENT)		

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, Interim Corporate Director Children, Young People and Education (CYPE) / Amanda Beer, Deputy Chief Executive
Kent Safeguarding Children Multi Agency Partnership (KSCMP) arrangements in place, replacing the previous Kent Safeguarding Children Board. Includes, a Scrutiny and Assurance Framework, which is working with partners to address service visibility and demand issues.	Sarah Hammond, Interim 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	Sarah Hammond, Interim Corporate Director (CYPE)
Consistent scrutiny and performance monitoring through Divisional Management Team, "Performance, Challenge and support" meetings and audit activity.	Sarah Hammond, Interim Corporate Director (CYPE)
Multi agency Crime and Sexual Exploitation Panel (MACSE) provides a strategic, county wide, cross agency response to CSE	Sarah Hammond, Interim 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 Covid-19 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 and Medway 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). Currently chaired by Medway's Director of People until end of 2022.	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, Interim Corporate Director Children, Young People and Education (CYPE)
'Deep Dive' activity undertaken to investigate vacancy rates for staff that reflects factors such as maternity leave	Sarah Hammond, Interim Corporate Director Children, Young People and Education (CYPE)
Integrated practice model	Sarah Hammond, Interim Corporate Director Children, Young People and Education (CYPE) / 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, Interim Corporate Director Children, Young People and Education (CYPE) / Stuart Collins, Director Integrated Services (Early Help and Preventative Services lead)

Kent and Medway 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 training strategy in place and regularly reviewed.	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
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 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
Children's Services have been externally verified and rated as 'outstanding' by Ofsted in May 2022.	Sarah Hammond, Interim Corporate Director Children, Young People and Education (CYPE)

Action Title	Action Owner	Planned Completion Date
Recommendations from the recent Kent and Medway PREVENT Peer review to improve and promote best practice are being implemented. This reported to Kent and Medway Prevent Duty Delivery Board and to KCC CMT. All relevant remaining actions will be incorporated within the 2022/23 PREVENT Partners action plan	Nick Wilkinson, Prevent and Channel Strategic Manager	April 2023

Examples of Committee reports of relevance to this risk since January 2022:

Health Overview & Scrutiny Committee 11 May 2022	Item 7 - Children & Young Peoples Mental Health Service Update https://democracy.kent.gov.uk/documents/g8763/Public%20reports%20pack%2011th-May-2022%2010.00%20Health%20Overview%20and%20Scrutiny%20Committee.pdf?T=10
Kent Community Safety Partnership 24 March 2022	Item D2 – Kent and Medway PREVENT Duty Delivery Update https://democracy.kent.gov.uk/documents/g8913/Public%20reports%20pack%2024th-Mar-2022%2010.00%20Kent%20Community%20Safety%20Partnership.pdf?T=10
Kent Community Safety Partnership 24 March 2022	Item D3 – Kent and Medway Joint Exploitation Group Update https://democracy.kent.gov.uk/documents/g8913/Public%20reports%20pack%2024th-Mar-2022%2010.00%20Kent%20Community%20Safety%20Partnership.pdf?T=10
CYPE Cabinet Committee 11 January 2022	Item 8 -Kent Safeguarding Children Multi-Agency Partnership https://democracy.kent.gov.uk/documents/g8873/Public%20reports%20pack%2011th-Jan-2022%2010.00%20Childrens%20Young%20People%20and%20Education%20Cabinet%20Committee.pdf?T=10

Risk ID	CRR0002	Risk Title	Safeguarding – protecting adults at risk			
Source / Cause of risk 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. 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. The Covid-19 pandemic and the associated ‘lockdown’ measures raised concerns of increases in hidden harm, self-harm and neglect resulting in impacted demand profiles. Social care services have made substantial adaptations to service delivery across the system. In addition, the Government’s “Prevent Duty” requires the Local Authority to act to prevent vulnerable people from being	Risk Event Failure to fulfil statutory obligations. Failure to meet the requirements of the “Prevent Duty” placed on Local Authorities. Safeguarding risks are not identified to / by KCC in a timely fashion during the Covid-19 pandemic. Spike(s) in demand impact on quality of controls	Consequence Incident of serious harm or death of a vulnerable adult. Serious impact on vulnerable people. Serious impact on ability to recruit the quality of staff critical to service delivery. Serious operational and financial consequences. Attract possible intervention from a national regulator for failure to discharge corporate and executive responsibilities.	Risk Owner Richard Smith Corporate Director Adult Social Care and Health (ASCH)	Current Likelihood Likely (4)	Current Impact Major (5)	
			Responsible Cabinet Member(s): Clair Bell, Adult Social Care and Public Health Mike Hill (Lead Member for PREVENT)	Target Residual Likelihood Possible (3)	Target Residual Impact Major (5)	

drawn into terrorism.	
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	Jenny Anderton Director of Adult Social Care for East Kent
Locality Commissioners and operations teams regularly meet with Care Quality Commission to share intelligence	Sharon Dene, Strategic Commissioning
Regular catch ups between Director Adult Social Care and the Director of Care Quality Commission	Richard Smith, Corporate Director ASCH
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, Strategic Safeguarding and Quality Assurance Manage
Kent and Medway Prevent Duty Delivery Board (chaired by KCC) oversees the activity of the Kent and Medway Channel Panel, co-ordinating Prevent activity across the County and reporting to other relevant strategic bodies in the county. Currently chaired by Medway's Director of People until end of 2022.	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, Senior Accountable Officer – MADE Programme
KCC Safeguarding Competency Framework in place, including Mental Capacity Act requirements.	Sarah Denson, Strategic Safeguarding and Quality Assurance Manage

Quarterly safeguarding report brings together key information to enable scrutiny and performance monitoring for management teams and the Cabinet Member.	Sarah Denson, Strategic Safeguarding and Quality Assurance Manage
KCC Safeguarding Competency Framework reviewed to ensure currency and look for areas for improvement.	Sarah Denson, Strategic Safeguarding and Quality Assurance Manage
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.	Sarah Denson, Strategic Safeguarding and Quality Assurance Manage/David Whittle Director SPRCA
Kent and Medway 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
Safeguarding operating model aligns multidisciplinary safeguarding teams to the locality model	Sarah Denson, Principle Social Worker ASCH

Action Title	Action Owner	Planned Completion Date
Quality Assurance Framework launch	Sarah Denson, Strategic Safeguarding and Quality Assurance Manager	September 2022
Practice Framework launch	Sarah Denson, Strategic Safeguarding and Quality Assurance Manage	September 2022
Practice learning plan being co-developed with Learning and Development. Programme of training events to support practitioners to develop knowledge and skills as part of continuing professional development. Manager training commences July 2022. Training plan starts September 2022.	Sarah Denson, Strategic Safeguarding and Quality Assurance Manage	July 2022
Preparation for introduction of new Liberty Protection Safeguards system under the Mental Capacity (Amendment) Act 2019.	Maureen Stirrup, Head of Deprivation of Liberty Safeguards	October 2022
Recommendations from the recent Kent and Medway PREVENT Peer review to improve and promote best practice are being implemented. This reported to Kent and Medway Prevent Duty Delivery Board and to KCC CMT. All relevant remaining actions will be incorporated within the 2022/23 PREVENT Partners action plan	Nick Wilkinson, Prevent and Channel Strategic Manager	April 2023

Examples of Committee reports of relevance to this risk since January 2022:

Scrutiny Committee 17 May 2022	Item B1 - 21/0091 Making a Difference Every Day - Our Strategy for Adult Social Care in Kent https://democracy.kent.gov.uk/documents/g9096/Public%20reports%20pack%2017th-May-2022%2014.00%20Scrutiny%20Committee.pdf?T=10
Policy & Resources Cabinet Committee 4 May 2022	Item 9 – Domestic Abuse Duty 2022/23 https://democracy.kent.gov.uk/documents/g8962/Public%20reports%20pack%2004th-May-2022%2010.00%20Policy%20and%20Resources%20Cabinet%20Committee.pdf?T=10

<p>Cabinet 21 April 2022</p>	<p>Item 6 - People at the Heart of Care - Adult Social Care White Paper</p> <p>https://democracy.kent.gov.uk/documents/b22848/Supplementary%20Agenda%201%2021st-Apr-2022%2010.00%20Cabinet.pdf?T=9</p>
<p>Adult Social Care Cabinet Committee 18 January 2022</p>	<p>Item 7 - Deprivation of Liberty Safeguards Mental Health Assessments Contract Extension and Transition to Liberty Protection Safeguards</p> <p>Item 13 – Kent and Medway Safeguarding Adults – Annual Report</p> <p>https://democracy.kent.gov.uk/documents/g8817/Public%20reports%20pack%2018th-Jan-2022%2014.00%20Adult%20Social%20Care%20Cabinet%20Committee.pdf?T=10</p>

Risk ID	CRR0003	Risk Title	Securing resources to aid economic recovery and enabling infrastructure			
Source / Cause of Risk		Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
The economy in Kent & Medway has been impacted by the Covid pandemic, inflation and other world events, and the impacts could be disproportionate across the county (e.g., in coastal areas). To gain an understanding of the implications, an impact assessment has been conducted, which has led to the preparation of an Economic Strategy, which aims to act as a stimulus for improvement.		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.	Key opportunities for growth missed.	Simon Jones, Corporate Director Growth, Environment and Transport (GET)	V. Likely (5)	Major (5)
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.		Deferral of developer contributions and / or elongated planning consents leads to delayed or compromised infrastructure.	The Council finds it increasingly difficult to fund services and match-fund infrastructure across Kent and fully mitigate the overall impact of housing growth on KCC services and, therefore communities.	Responsible Cabinet Member(s): On behalf of Cabinet: Derek Murphy Economic Development David Brazier Highways & Transport	Target Residual Likelihood Likely (4)	Target Residual Impact Serious (4)
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 the current funding systems, including Section106 contributions, Community		Whilst future details and guidance are awaited regarding the new Levelling Up and Regeneration Bill from Central Government, this presents significant financial risk dependent upon emerging policy.	Kent becomes a less attractive location for inward investment and business.			
			Our ability to deliver an enabling infrastructure becomes constrained.			
			Reputational risk associated with delayed delivery of infrastructure required.			
			Additional revenue costs incurred due to infrastructure delays and operational costs increasing.			

<p>Infrastructure Levy and other growth levers.</p> <p>The recent Levelling Up and Regeneration Bill introduces proposals to totally replace the existing 106 / CIL system with a new Infrastructure Levy. This may result in Local Planning Authorities as the Charging Authorities.</p>	
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.	Nigel Smith, Head of Development / 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)
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	Lee Burchill, Local Growth Fund Programme Manager
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
Contribute to implementation of the Kent and Medway Economic Partnership’s local Economic Strategy, key delivery principles of which are: <ul style="list-style-type: none">Greener Futures (building a sustainable, lower carbon economyOpen 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).	Stephanie Holt-Castle, Director of Growth and Communities	December 2022
The Kent & Medway Business Fund remains open to applications offering funding of £100k-£500k, with the KMBF Small Business Boost launching on 29 July 2022 offering £26k-99k. The next phase of the Innovation Loan is being reviewed in partnership with Innovate Edge.	David Smith, Head of Business and Enterprise (KCC lead)	September 2022
Growth and Infrastructure Framework, Developer Contributions Guide update, Kent Design Guide to be published – will influence and provide people with expectations and standards that we expect.	Simon Jones, Corporate Director GET	November 2022
Producing Local Transport Plan 5 and approval by County Council	Lee Burchill, Local Growth	September 2022 (review)

	Fund Programme Manager	
Response to emerging Government strategies	Stephanie Holt-Castle, Director of Growth and Communities	December 2022 (review - as and when plans emerge)

Examples of Committee reports of relevance to this risk since January 2022:

Cabinet 23 June 2022	<p>Item 7 - Economic Strategy</p> <p>https://democracy.kent.gov.uk/documents/g8902/Public%20reports%20pack%2023rd-Jun-2022%2010.00%20Cabinet.pdf?T=1</p>
Growth, Economic Development and Communities Cabinet Committee 10 May 2022	<p>Item 9 – Kent and Medway Economic Strategy</p> <p>Item 10 – Infrastructure Funding – All Member Briefing Scoping Paper</p> <p>Item 11 – Kent and Medway Business Fund – Biannual Monitoring Q3</p> <p>https://democracy.kent.gov.uk/documents/g8974/Public%20reports%20pack%2010th-May-2022%2014.15%20Growth%20Economic%20Development%20and%20Communities%20Cabinet%20Commi.pdf?T=10</p>
Growth, Economic Development and Communities Cabinet Committee 13 January 2022	<p>Item 8 – Growth, Infrastructure and Planning Reform</p> <p>Item 9 – Further Investment of Getting Building Funding in third party projects</p> <p>https://democracy.kent.gov.uk/documents/g8883/Public%20reports%20pack%2013th-Jan-2022%2010.00%20Growth%20Economic%20Development%20and%20Communities%20Cabinet%20Commi.pdf?T=10</p>

Risk ID	CRR0004	Risk Title	Simultaneous Emergency Response, Recovery and Resilience			
Source / Cause of Risk		Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
The County Council, along with other Category 1 Responders in the Kent, has a legal duty to undertake risk assessment and planning to reduce the likelihood and impact of major incidents and emergencies.		Failure to deliver suitable planning measures, respond to and manage these events when they occur.	Potential increased harm or loss of life if response is not effective.	On behalf of CMT: Rebecca Spore, Director of Infrastructure	Likely (4)	Major (5)
This includes responses associated with the Government's Counter-terrorism Strategy (CONTEST).		Critical services are unprepared or have ineffective emergency and business continuity plans and associated activities.	Serious threat to delivery of critical services.	Responsible Cabinet Member(s):	Target Residual Likelihood	Target Residual Impact
Ensuring that the Council works effectively with partners to plan for, respond to, and recover from, emergencies and service disruptions is becoming increasingly important in light of climate change impacts, national and international security threats, severe weather incidents, threats of 'cyber attacks' and uncertainties around implications of the future UK/EU relationship. Also possible power outage across County.		Lack of resilience in the supply chain hampers effective response to incidents.	Significant harm to the natural and build environment of Kent.	On behalf of Cabinet:	Possible (3)	Major (5)
The recovery from the Covid-19 pandemic is putting significant strain on organisational capacity and resources.		Focus on Covid-19 response and recovery and post UK/EU transition contingency planning means less opportunity to progress other aspects of emergencies and resilience agenda.	Increased financial cost in terms of recovery and insurance costs.	Mike Hill, Community & Regulatory Services		
		Future wave(s) of pandemic / winter pressures put further strain on capacity and resource.	Damage and disruption to local businesses and the Kent economy.			
			Potential for public unrest and reputational damage.			
			Legal actions and intervention for failure to fulfill KCC's obligations under the Civil Contingencies Act or other associated legislation.			

Control Title	Control Owner
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	Lisa Guthrie, Head of Kent Resilience Team / Andy Jeffery, KCC Manager, Kent Resilience Team
On-going programme of review relating to ICT Disaster Recovery and Business Continuity arrangements. ICT resilience improvements are embedded as part of the ICT Transformation Programme.	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.	Andy Jeffery, 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.	Andy Jeffery, 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 for KCC.	Tony Harwood, Resilience and Emergencies Manager / Andy Jeffery, KCC Manager, Kent Resilience Team
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 / Andy Jeffery
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 / Anjan Ghosh, Director of Public

	Health / Andy Jeffery KCC Manager, Kent Resilience Team
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. KCC Strategic Prevent Lead is now chair of Kent Resilience Forum Delivery Board which reports into Kent Resilience Forum Executive Board.	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.	Anjan Ghosh, Director of Public Health / Andy Jeffery, KCC Manager, Kent Resilience Team
Kent and Medway Channel Panel (early intervention mechanism providing tailored support to people who have been identified as at risk of being drawn into terrorism) established at district and borough level.	Nick Wilkinson, Prevent and Channel Strategic Manager
Ongoing development of a 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.	Nick Wilkinson, Prevent and Channel Strategic Manager

Kent and Medway Board for PREVENT have oversight of action progress.		
Implementation of Kent's Climate Adaption Action Plan	Stephanie Holt-Castle, Director of Growth and Communities	
Ensure all 13 key Emergency Plans are regularly updated and validated with exercises. Giving consideration to risks on the KRF Community Risk Register.	Tony Harwood, Resilience and Emergencies Manager / Andy Jeffery	
Ensure 24/7 Emergency Planning cover and response, including a 24/7 Duty Emergency Planning Officer (DEPO), Duty Director, and Recovery Director function, and fully equipped County emergency Centre (CEC)	Tony Harwood, Resilience and Emergencies Manager / Andy Jeffery	
Maintain and support relevant KRF and KCC groups, including KCC Horizon Scanning Group, Cross Directorate Resilience Forum, and Directorate Resilience Groups	Tony Harwood, Resilience and Emergencies Manager / Andy Jeffery	
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 July 2022

Examples of Committee reports of relevance to this risk since January 2022:

Cabinet 21 April 2022	<p>Item 5 - Operation Brock and Traffic Disruption</p> <p>https://democracy.kent.gov.uk/documents/g8900/Public%20reports%20pack%201st-Apr-2022%2010.00%20Cabinet.pdf?T=10</p>
Kent Flood Risk Management Committee 9 March 2022	<p>Item 6 – Storms Eunice and Franklin 18th-21st Feb 2022</p> <p>Item 7 – Environment Agency and Met Office Alerts and Warnings and KCC Severe Weather Response Activity</p> <p>Item 8 – Update on Little Venice Country Park and Marina</p> <p>https://democracy.kent.gov.uk/documents/g8788/Public%20reports%20pack%2009th-Mar-2022%2014.00%20Kent%20Flood%20Risk%20Management%20Committee.pdf?T=10</p>

Risk ID	CRR0009	Risk Title	Future financial and operating environment for Local Government			
Source / Cause of risk		Risk Event	Consequence	Risk Owner (s)	Current Likelihood	Current Impact
The Government Spending Review in October 2021 set out the 3-year picture for local government. However, the local government finance settlement announced in December 2021 only provided detailed allocations for 2022-23 to allow scope to update the data and methodology for allocations in later years, which presents a risk (or possible opportunity) for the Council, depending on the nature of the changes.		Levels of spending and growth pressures across services outstrip the Council's core spending power. threatening the financial sustainability of KCC, its partners and service providers.	Unsustainable financial situation, ultimately resulting in s114 notice.	On behalf of CMT: John Betts, Interim Corporate Director Finance (Section 151 Officer)	Likely (4)	Major (5)
Over the medium term the only additional funding for future spending growth within the settlement comes from council tax, other than for reforms to social care charging, where a separate grant was made available in the settlement for the reforms to social care charging (with further amounts outlined for 2023-24 and 2024-25), with uncertainty as to its sufficiency.		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.	Failure to delivery statutory obligations and duties or achieve social value. Potential for partner or provider failure – including sufficiency gaps in provision.	Responsible Cabinet Member(s): All Cabinet Members	Target Residual Likelihood	Target Residual Impact
The overall settlement for 2022-23 was insufficient to fully fund forecast demand and cost growth		Continued delays and uncertainty surrounding review of local government funding impacts on KCC's medium term financial planning.	Reduction in resident satisfaction and reputational damage.		Likely (4)	Serious (4)
			Increased and unplanned pressure on resources.			
			Decline in performance.			
			Legal challenge resulting in reputational damage to the Council.			
			Impact on Council Tax.			

pressures facing services across the council (even after setting challenging targets to bear down on future cost growth).

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.

There are a number of geo-political uncertainties in the current environment which additionally impact on the financial and operating environment. As a result of economic uncertainty, there are inflation and cost pressures that we need to manage, alongside decreased purchasing power.

Control Title	Control Owner
Processes in place for monitoring delivery of savings and challenging targets to bear down on future cost growth, as well as the budget as a whole.	John Betts, Interim Corporate Director Finance (Section 151 Officer)

Regular analysis and refreshing of forecasts to maintain a level of understanding of volatility of demand and cost pressures, which feeds into the relevant areas of the MTFP and business planning process.	Richard Smith, Corporate Director ASCH / Sarah Hammond, Interim Corporate Director CYPE / Simon Jones, Corporate Director GET
Robust budgeting and financial planning in place via Medium Term Financial Planning (MTFP) process, including stakeholder consultation.	John Betts, Interim 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 new burdens imposed, e.g. EU exit, Supporting Families grant.	Dave Shipton, Head of Finance (Policy, Strategy and Planning)
Continued engagement with Government regarding High Needs funding concerns	Sarah Hammond, Interim 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 service reform	David Whittle, Director SPRCA
KCC Strategic Statement and Strategic Reset Framework developed, outlining how the Council will operate in future, taking into account medium term implications of the Covid-19 pandemic and the challenging operating environment more broadly.	David Whittle, Director SPRCA / Amanda Beer, Deputy Chief Executive
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
Ongoing monitoring and modelling of changes in supply and demand in order to inform strategies and service planning going forward.	Rachel Kennard, Chief Analyst, KCC
Assessing impact and responding to Government plans for the future of social care, including Health and	Richard Smith, Corporate

Social Care Integration White Paper, including assessing and quantifying the costs of social care reforms to analyse sufficiency of additional funding over the medium term to cover the cost of the reforms.		Director ASCH / John Betts, Interim Corporate Director Finance
Action Title	Action Owner	Planned Completion Date
Assessing impact of Government 'Levelling Up' White Paper agenda.	David Whittle, Director SPRCA	July 2022 (review)
Ensuring the achievement of challenging targets in 2022-23 to bear down on future cost growth, particularly in areas of complex / volatile demand, identifying management action where necessary.	Richard Smith, Corporate Director ASCH / Sarah Hammond, Interim Corporate Director CYPE / Simon Jones, Corporate Director GET	March 2023
Outcomes Based Budgeting approach being developed to strengthen links between outcomes and funding, using robust analysis and evidence.	John Betts, Interim Corporate Director Finance	September 2022 (review)
Review HM Treasury forecasts and Government planned spending levels for Local Government.	John Betts, Corporate Director Finance	November 2022

Examples of Committee reports of relevance to this risk since January 2022:

Cabinet 23 June 2022	<p>Item 5 – Provisional Revenue and Capital Budget Outturn Report Item 6 – Quarterly Performance Report</p> <p>https://democracy.kent.gov.uk/documents/g8902/Public%20reports%20pack%2023rd-Jun-2022%2010.00%20Cabinet.pdf?T=10</p>
County Council 26 May 2022	<p>Item 9 – Strategic Statement Item 13 – Treasury Management</p> <p>https://democracy.kent.gov.uk/documents/g8757/Public%20reports%20pack%2026th-May-2022%2010.00%20County%20Council.pdf?T=10</p>

<p>Cabinet 31 March 2022</p>	<p>Item 5 - Quarterly Performance Report 21/22 Q3 Item 6 – KCC Budget – Updated Financial Risks Item 7 – KCC Share of Retained Business Rates and Final LG Finance Settlement 2022-23</p> <p>https://democracy.kent.gov.uk/documents/g8899/Public%20reports%20pack%2031st-Mar-2022%2010.00%20Cabinet.pdf?T=10</p>
<p>Cabinet 3 March 2022</p>	<p>Item 5 – Revenue and Capital Budget Monitoring Report Dec 21-22 Item 7 - Levelling Up - The UK White Paper</p> <p>https://democracy.kent.gov.uk/documents/g8897/Public%20reports%20pack%2003rd-Mar-2022%2010.00%20Cabinet.pdf?T=10</p>
<p>County Council 10 February 2022</p>	<p>Item 8 – Capital Programme 2022-32 and Revenue Budget 2022-23 (including Council Tax Setting 2022/23</p> <p>https://democracy.kent.gov.uk/documents/g8754/Public%20reports%20pack%2010th-Feb-2022%2009.30%20County%20Council.pdf?T=10</p>

Risk ID	CRR0010	Risk Title	Suitable provision for Unaccompanied Asylum-Seeking Children (UASC)			
Source / Cause of risk		Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
Historically the numbers of UASC arrivals have placed additional pressure on children’s services, along with significant numbers of age-disputed new arrivals.		Risk of judicial review against KCC, along with associated time and cost implications.	KCC in breach of its statutory duty.	Sarah Hammond, Interim Corporate Director, CYPE	Possible (3)	Significant (3)
KCC now have a quota of intakes agreed with the Home Office, and the National Transfer Scheme has now been fully mandated. Other LAs are being required to take new arrivals directly from Kent and from the Port of arrival, although the process is currently taking longer than expected.			Judicial review.		Target Residual Likelihood	Target Residual Impact
				Responsible Cabinet Member	Unlikely (2)	Significant (3)
				Sue Chandler, Integrated Children’s Services		
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 has now been mandated, meaning more children have been transferred to other local authorities.					Sarah Hammond, Interim Corporate Director Children, Young People and Education (CYPE)	

UASC analytical modelling complete and monitored to assess capacity and continually review KCC position	Sarah Hammond, Interim Corporate Director CYPE / Rachel Kennard, Chief Analyst
Letter Before Claim laid before the Home Secretary – formal reply awaited. This is currently in abeyance.	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. This has been achieved.	Roger Gough, Leader of the Council / Sue Chandler, Cabinet Member Integrated Children's Services

Examples of Committee reports of relevance to this risk since January 2022:

Cabinet 23 June 2022	Item 9 – South East Migration https://democracy.kent.gov.uk/documents/b23217/Presentations%20to%20Cabinet%2023%20June%202022%2023rd-Jun-2022%2010.00%20Cabinet.pdf?T=9
Cabinet 31 March 2022	Item 8 Ukraine Refugee Resettlement Scheme Update https://democracy.kent.gov.uk/documents/g8899/Public%20reports%20pack%2031st-Mar-2022%2010.00%20Cabinet.pdf?T=10
Scrutiny Committee 23 March 2022	Item C1 - Unaccompanied Asylum-Seeking Children and Asylum Update https://democracy.kent.gov.uk/documents/g8742/Public%20reports%20pack%2023rd-Mar-2022%2014.00%20Scrutiny%20Committee.pdf?T=10

Risk ID	CRR0014	Risk Title	Technological Resilience and Information Security			
Source / Cause of Risk		Risk Event	Consequence	Risk Owner(s)	Current Likelihood	Current Impact
The Council has a duty to protect personal and other sensitive data that it holds on its staff, service users and residents of Kent		Information security incidents (caused by both human error and / or system compromise) resulting in loss of data or breach of privacy / confidentiality.	Data Protection breach and consequent Information Commissioner’s Office (ICO) sanction.	Lisa Gannon, Director of Technology	Likely (4)	Major (5)
It should also ensure confidentiality, integrity, availability of its information assets		Business information is lost, stolen, copied, or otherwise compromised (a breach)	Damages claims.	Ben Watts, General Counsel and KCC Data Protection Officer	Target Residual Likelihood Likely (4)	Target Residual Impact Serious (4)
The shift to remote/flexible working, and changes in how services are offered increases need for, and dependency on, resilient IT systems.		Significant business interruption caused by a successful cyber security attack.	Reputational Damage.	Amanda Beer, Deputy Chief Executive		
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.		Successful cyber-attack (e.g., ‘phishing’ scam or ransomware attack) leading to loss or unauthorised access to sensitive business data.	Potential significant impact on business interruption if systems require shutdown until magnitude of issue is investigated.			
			Loss or corruption of data.	Responsible Cabinet Member(s): Peter Oakford, Finance, Corporate and Traded Services		
			Loss of key systems potentially impacting ability to deliver statutory services.			
Attempts to gain access to secure networks and servers are increasing nationally and becoming more sophisticated and damaging when they succeed.			Partners unable to discharge their duties			
In information terms the other factor is human. Technology can only provide a level of protection. Our staff must have a strong			Complaints	Bryan Sweetland Communication s, Engagement, People and partnerships		

awareness of their responsibilities in terms of IT and information security.	
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 consolidated 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, Deputy Chief Executive
Additional messages warning staff of cyber threats are being sent out regularly.	Diane Trollope, Head of Engagement and Consultation
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, Head of Engagement and Consultation

Action Title	Action Owner	Planned Completion Date
Implementation of actions within the Consolidated Security Action Plan	Dave Lindsay, Interim Head of ICT Strategy and Commissioning	July 2022 (review)
Continuation of roll out of Microsoft Security and Compliance Package	Dave Lindsay, Interim Head of ICT Strategy and Commissioning	September 2022
Business case for a cloud-native security information and event manager for approval by March 2022. Planned implementation date of end of 2022.	Dave Lindsay, Interim Head of ICT Strategy and Commissioning	December 2022

Examples of Committee reports of relevance to this risk since January 2022:

Policy & Resources Cabinet Committee 24 March 2022	Item 10 – Annual Cyber Security Update https://democracy.kent.gov.uk/documents/g8823/Public%20reports%20pack%2024th-Mar-2022%2010.00%20Policy%20and%20Resources%20Cabinet%20Committee.pdf?T=10
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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
The current social care system is under significant strain as a result of the increasing cost and complexity of demand for services and constrained local authority budgets.		Social Care market particularly domiciliary care is 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)
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.		Inability to obtain the right kind of provider supply at affordable prices.	Unable to offer care packages immediately leading to delays with discharging from Health Services		Target Residual Likelihood Possible (3)	Target Residual Impact Major (5)
The market has high vacancy levels, and high staff turnover rates. Factors such as the increase to the National Living Wage, inflationary pressures, mandated vaccinations, and a buoyant job market mean that the care market is under pressure to recruit and retain adequate numbers of staff.		Significant numbers of care home closures or service failures.	Reduction in quality of care provided due to workforce pressures	Responsible Cabinet Member(s): Clair Bell, Adult Social Care and Public Health		
Recovery from the Covid-19 pandemic has added additional pressures, further threatening sustainability of the market.		Increases in hand backs of care				
		Providers choose not to tender for services at Local Authority funding levels or accept service users with complex needs.				

<p>Latent demand and a reduction in access to health care has led to an increase in clients presenting with more complex needs. There is increased demand for care and support, and pressures arising from hospital discharges.</p> <p>Increase in use of individual contracts for care and support in the home. Using more independent providers than framework providers. Over reliance on independent providers with significant increase in spend.</p>	
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.	Sharon Dene, 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.	Paul Stephen, Senior Commissioning Manager
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	Michael Bridger, Commissioning Standards Manager	
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	
Care in the Home Services refresh completed bringing Supported Living Services under the Care in the Home Umbrella.	Paul Stephen, Senior Commissioning Manager	
Care and Support in the Home Services contract combines homecare and community based supporting independence services	Paul Stephen, Senior Commissioning Manager	
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	
Weekly review of market pressures at SMT to support mitigation discussions	ASCH Divisional Directors	
Adult Social Care Pressures Plan 2021/22 - outlining the strategic and operational response to a range of factors including COVID-19, vacancies in the health and social care workforce, waiting lists for care and support, winter pressures and budgetary pressures.	Richard Smith, Corporate Director for Adult Social Care and Health	
Community Support Market Position Statements to inform market shaping, oversight and sustainability are in place and regularly refreshed.	Clare Maynard, Interim Strategic Commissioner	
Action Title	Action Owner	Planned Completion Date
Task and finish group established to work with independent providers and framework providers to minimise spend on individual contracts and incentivise framework providers	Sharon Dene, Strategic Commissioning	October 2022

Work underway to help increase the number of smaller provider organisations to help address some of the workforce challenges. Community catalysts in place to start the developing of the micro provider market (discovery stage).	Sharon Dene - Strategic Commissioning	September 2022 (review)
Conversations around recommissioning of care and support in the home framework and home care framework have commenced – options paper being drafted, including lessons learned.	Paul Stephen, Senior Commissioning Manager	Sept 2022 (Review)
Proposal to extend contract for discharge services. Recommendation paper due to be presented to Cabinet Committee	Paul Stephen, Senior Commissioning Manager	July 2022
Development of prioritisation tool for Strategic Commissioning projects for oversight and resource purposes	Michael Bridger, Commissioning Standards Manager	July 2022

Examples of Committee reports of relevance to this risk since January 2022:

Adult Social Care Cabinet Committee 31 March 2022	<p>Item 6 - 22/00033 Community Mental Health Wellbeing Service Commissioning</p> <p>Item 7 - 22/00034 External Community Opportunities for People with Learning and Physical Disabilities</p> <p>Item 8 - 22/00015 Kent Adult Carer's Strategy 2022-27</p> <p>Item 9 - Adult Social Care Reform White Paper Presentation</p> <p>https://democracy.kent.gov.uk/documents/g8818/Public%20reports%20pack%2031st-Mar-2022%2014.00%20Adult%20Social%20Care%20Cabinet%20Committee.pdf?T=10</p>
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Risk ID	CRR0039	Risk Title	Information Governance			
Source / Cause of risk		Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
The Council is required to maintain the confidentiality, integrity and proper use, 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.		Failure to embed the appropriate processes, procedures and behaviours to meet regulations.	Information Commissioner's Office sanction (e.g., undertaking, assessment, improvement, enforcement or monetary penalty notice issued against the Authority).	Ben Watts, General Counsel and Data Protection Officer in collaboration with David Whittle, Senior Information Risk Owner	V. Likely (5)	Serious (4)
The Council has regulatory obligations into the management of SAR/FOI/EIR requests		Failure to meet regulatory reporting deadlines				
United Kingdom General Data Protection Regulations (UK GDPR) came into effect that have introduced significantly increased obligations on all data controllers, including the Council.		Information security incidents (caused by both human error and / or system compromise) resulting in loss of personal data or breach of privacy / confidentiality.	Serious breaches under UK GDPR could attract a fine of c£17m.	Responsible Cabinet Member(s):	Target Residual Likelihood	Target Residual Impact
The Covid-19 pandemic has introduced new risks e.g. staff adapting to new ways of working and increasing information security threats.		Council accreditation for access to government and partner ICT data, systems and network is withdrawn.	Increased risk of litigation.	Roger Gough, Leader	Possible (3)	Serious (4)
There is insufficient resource available to undertake comprehensive oversight / assurance activity that provides assurance on compliance with existing information governance standards.		Cantium Business Solutions prioritises commercial work or does not undertake information governance compliance work in an appropriate and timely fashion.	Reputational damage.	Bryan Sweetland Communications, Engagement, People and Partnerships		
		Providers processing KCC data fail to embed the appropriate processes and behaviours.		Peter Oakford, Deputy Leader and Cabinet		

<p>There is a critical dependency on the Council's Local Authority Trading Companies (CBS) and other material third parties to support Information Governance compliance for the KCC systems and network.</p> <p>KCC services' requirement for non-standard systems creates vulnerabilities.</p> <p>There are a number of geo-political uncertainties in the current environment which additionally impact on the financial and operating environment.</p>	<p>Member for Corporate and Traded Services</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, Deputy Chief Executive.
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.	Dave Lindsay, Interim Head of ICT Commissioning and Strategy
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 and including the SIRO and Caldecott Guardian 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
Continuation of roll out of Microsoft Security and Compliance Package	Dave Lindsay, Interim Head of ICT Strategy and Commissioning	September 2022
Detailed action plan is being prepared for changes to the recording of data breaches and identification.	Ben Watts, General Counsel and KCC Data Protection Officer	September 2022
Working from Home Information Governance and Records Management audit implementation of recommendations	Ben Watts, General Counsel / David Whittle, Director SPRCA	July 2022 (review)
Each directorate is responsible for carrying out data mapping exercises to find out what personal data is held and to understand how the information	Michael Thomas-Sam, Chair of Cross-Directorate Information	September 2022

flows through the organisation	Governance Working Group
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Examples of Committee reports of relevance to this risk since January 2022:

Policy & Resources Cabinet Committee 19 January 2022	Item 9 – Information Governance Update https://democracy.kent.gov.uk/documents/g8822/Public%20reports%20pack%2019th-Jan-2022%2010.00%20Policy%20and%20Resources%20Cabinet%20Committee.pdf?T=10
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Risk ID	CRR0042	Risk Title	Border fluidity, infrastructure and regulatory arrangements			
Source / Cause of risk		Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
Changes at the UK border with Europe means additional controls now exist on the movement of goods and people between the UK and the EU.		That changes in border customs, checking and processing routinely disrupt local communities and both the strategic and local road networks.	Significant slowdown in the existing flow of goods and people through the Kent Ports leads to long delays in accessing Dover Ports and Eurotunnel.	Simon Jones, Corporate Director GET	Very Likely (5)	Major (5)
The UK Government and the EU have introduced new border controls and further changes are expected.		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 necessary infrastructure, legislation and controls to ensure long term plan for frictionless border movements.	Impacts on major traffic routes as a result of 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.	Responsible Cabinet Member(s):	Target Residual Likelihood	Target Residual Impact
KCC has been working with partners at a local and national level to assess potential implications for the county and prepare for various scenarios.			Significant detrimental impact on county's economic competitiveness, attractiveness for inward investment and quality of life for Kent residents.	David Brazier, Highways & Transport	Possible (4)	Serious (4)
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.			Significant increase in imported goods subject to statutory checks by Trading Standards including consumer	Mike Hill, Community & Regulatory Services		

	<p>goods and animal feeds.</p> <p>Imported animals now subject to welfare checks at Border controls posts, breaches of welfare subject to investigation by Trading Standards. Shortages and delay may impact supply chains.</p>
Control Title	Control Owner
KCC engagement with and support for the Kent Resilience Forum	Lisa Guthrie, 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	
Action Title	Action Owner	Planned Completion Date
KCC continues to make a case for further funding from the Department of Levelling Up, Housing and Communities and Department for Transport (DfT) for direct impact costs	Simon Jones, Corporate Director GET	December 2022
Applying for Government funding to support improving access to the Borders.	Simon Jones, Corporate Director GET	September 2022 (ongoing as opportunities arise)
Working with Government to develop short-, medium- and long-term plans for border resilience looking at infrastructure and technological solutions.	Simon Jones, Corporate Director GET	December 2022
Recruitment of additional staff for Ports Team to provide capacity and deal specifically with imported goods through the 7-8 Ports and Inland border facilities in Kent.	Steve Rock, Head of Trading Standards	December 2022
Recruitment of additional animal health officers to provide capacity to deal with increased pressures on animal health and welfare in Kent.	Steve Rock, Head of Trading Standards	December 2022

Examples of Committee reports of relevance to this risk since April 2021:

Cabinet 21 April 2022	<p>Item 5 – Operation Brock and Traffic Disruption</p> <p>https://democracy.kent.gov.uk/documents/g8900/Public%20reports%20pack%2021st-Apr-2022%2010.00%20Cabinet.pdf?T=10</p>
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Risk ID	CRR0044	Risk Title	High Needs Funding shortfall (<i>to be combined with risk CRR0047 and updated</i>)			
Source / Cause of risk		Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
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 of £62m on the DSG reserve.		Inability to manage within budget going forward.	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.	Sarah Hammond, Interim Corporate Director CYPE	Likely (4)	Major (5)
Corresponding pressure on some of KCC's non-DSG SEND related budgets e.g. SEN Home to School Transport, is also being experienced.		Inability to reduce accumulated deficit on Dedicated Schools Grant reserve.	Impact on support for children with SEND (cross reference to CRR0047)	Responsible Cabinet Member(s): Shellina Prendergast, Education & Skills	Target Residual Likelihood	Target Residual Impact
Consequently, meeting the needs of children and young people with SEND within available resources is becoming ever more challenging.					Likely (4)	Serious (4)
The ability to forecast costs in future years is difficult.						
The Department for Education (DfE) is introducing tighter reporting requirements on local authorities who have a deficit in their DSG account.						

Control Title	Control Owner	
Continual lobbying of Government on two matters; increased funding in both the short and medium term, and structural changes to government policy to help reduce the demand i.e. via County Council Network, Association of Directors' of Children's Services. Includes provision of evidence of the impact of the High Needs pressures on the quality of education children receive, schools, other providers and the Local Authority.	Roger Gough, Leader of the Council / Shellina Prendergast, Cabinet Member, Education and Skills / Sarah Hammond, Interim 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 / Karen Stone, Revenue Finance Manager (0 - 25 services)	
As required by the DfE, a recovery plan is 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	John Betts, Interim Corporate Director Finance (Section151 Officer) / Christine McInnes, Director of Education	
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) / Christine McInnes, Director of Education	
Action Title	Action Owner	Planned Completion Date
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	November 2022
Implementation of SEND Written Statement of Action Inclusion workstream to better address the relationship between learner need, outcomes, provision and cost (linked across to CRR0047 actions), in addition to reviewing externally commissioned arrangements including independent providers, home tuition and therapy service, to ensure Value for Money.	Sarah Hammond, Interim Corporate Director CYPE	September 2022 (review)

Building capacity and an inclusive ethos in mainstream schools to improve teaching and confidence in supporting more children with higher levels of need.	Sarah Hammond, Interim Corporate Director CYPE	September 2022 (review)
Work to be undertaken to ensure sufficient capacity in special schools - sufficiency plan to be developed and agreed.	Christine McInnes, Director of Education	January 2023
To agree a recovery plan with the DfE.	John Betts, Interim Corporate Director Finance	November 2022

Examples of Committee reports of relevance to this risk since January 2022:

Scrutiny Committee 23 March 2022	Item A5 - SEND Transport Update https://democracy.kent.gov.uk/documents/g8742/Public%20reports%20pack%2023rd-Mar-2022%2014.00%20Scrutiny%20Committee.pdf?T=10
Cabinet 3 March 2022	Item 6 – SEND Transport https://democracy.kent.gov.uk/documents/b22683/SEND%20Transport%2003rd-Mar-2022%2010.00%20Cabinet.pdf?T=9
CYPE Cabinet Committee March 2022	Item 8 - Specialist Teaching & Learning Service Item 11 – SEND Update https://democracy.kent.gov.uk/documents/g8875/Public%20reports%20pack%2001st-Mar-2022%2010.00%20Childrens%20Young%20People%20and%20Education%20Cabinet%20Committee.pdf?T=10

Risk ID CRR0045 Risk Title Maintaining effective governance and decision making in a challenging financial and operating environment for local government					
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
<p>The continuation of a challenging financial and operating environment for Local Government (see risk CRR0009) will require difficult policy decisions to be made in a timely manner, which requires continued effective governance and 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. Elected Members may require additional training and expertise to enable capability of effective challenge.</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).	Decisions challenged under judicial review on the appropriateness of the decision-making within KCC.	David Cockburn, Chief Executive Officer	Unlikely (2)	Major (5)
	Members agree a budget requiring unrealistic and undeliverable efficiency savings leading to significant in-year overspends.	Monitoring Officer / Head of Paid Service statutory report to Council.	John Betts, Interim Corporate Director Finance (s151 Officer)	Target Residual Likelihood V. Unlikely (1)	Target Residual Impact Major (5)
	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.	Reputational damage to the Council. S114 Notice issued by the 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 Member for Corporate and		

Traded
Services

Control Title	Control Owner
Framing Kent's Future, KCC's Strategic Statement covering a four-year period agreed by County Council and published setting out objectives and priorities for the Council.	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	John Betts, Interim 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	John Betts, Interim Corporate Director Finance (Section 151 Officer)
Appropriately detailed and timely financial monitoring reports considered by Cabinet and Cabinet Committees	John Betts, Interim 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.	John Betts, Interim Corporate Director Finance (Section 151 Officer)
Appropriate officer development and training programme in place and overseen by CMT	Amanda Beer, Deputy Chief Executive
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 responsibilities effectively.	David Whittle, Director SPRCA

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, CEO	
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, CEO	
Action Title	Action Owner	Planned Completion Date
Review of KCC Operating Standards	David Whittle, Director SPRCA	March 2023
Further amendments to KCC's governance will be set out in a 5-year plan to be presented to County Council.	Ben Watts, General Counsel and KCC Data Protection Officer (DPO)	Phase 1 by August 2022
Implementation of activities to support move to Chief Executive Officer (CEO) Operating Model approved by County Council.	David Cockburn, CEO	April 2023

Examples of Committee reports of relevance to this risk since January 2022:

County Council 26 May 2022	Item 9 – Strategic Statement Item 10 – Chief Executive Operating Model https://democracy.kent.gov.uk/documents/g8757/Public%20reports%20pack%2026th-May-2022%2010.00%20County%20Council.pdf?T=10
County Council 10 March 2022	Item 12 – Code of Corporate Governance https://democracy.kent.gov.uk/documents/g8756/Public%20reports%20pack%2010th-Mar-2022%2010.15%20County%20Council.pdf?T=10

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 (to be merged with CRR0044 and updated)			
Source / Cause of risk		Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
<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</p>		<p>Insufficient improvement in areas identified within timescales.</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>Sarah Hammond, Interim Corporate Director CYPE</p> <p>Responsible Cabinet Member(s):</p> <p>Sue Chandler, Integrated Children's Services</p>	<p>Likely (4)</p> <p>Target Residual Likelihood</p> <p>Unlikely (2)</p>	<p>Major (5)</p> <p>Target Residual Impact</p> <p>Major (5)</p>

the Covid-19 pandemic.		
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	
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.	Sarah Hammond, Interim Corporate Director CYPE (KCC lead)	
Kent Joint SEND vision established	Sarah Hammond, Interim 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.	Sarah Hammond, Interim Corporate Director CYPE (KCC lead)	
Robust programme management in place, ensuring appropriate integration between workstreams and delivery plan.	Sarah Hammond, Interim 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.	Sarah Hammond, Interim Corporate Director CYPE (KCC lead)	
Action Title	Action Owner	Planned Completion Date
SEND Improvement Programme, which includes delivery of requirements detailed in the Kent Written Statement of Action, covering five key workstreams relating to: -Parental engagement and co-production -Inclusive practice and the outcomes, progress and attainment of children and young people. - Quality of Education, Health and Care Plans - Joint commissioning and governance - Service provision - Preparation of adulthood.	Mark Walker, Director for SEND	September 2022 (review)

Examples of Committee reports of relevance to this risk since January 2022:

Cabinet 16 May 2022	Item 7 - SEND Green Paper https://democracy.kent.gov.uk/documents/g8901/Public%20reports%20pack%2016th-May-2022%2010.00%20Cabinet.pdf?T=10
CYPE Cabinet Committee 10 May 2022	Item 6 – OFSTED Update Item 7 – SEND Update https://democracy.kent.gov.uk/documents/g8874/Public%20reports%20pack%2010th-May-2022%2010.00%20Childrens%20Young%20People%20and%20Education%20Cabinet%20Committee.pdf?T=10
Scrutiny Committee 23 March 2022	Item A5 - SEND Transport Update https://democracy.kent.gov.uk/documents/g8742/Public%20reports%20pack%2023rd-Mar-2022%2014.00%20Scrutiny%20Committee.pdf?T=10
Cabinet 3 March 2022	Item 6 – SEND Transport https://democracy.kent.gov.uk/documents/b22683/SEND%20Transport%2003rd-Mar-2022%2010.00%20Cabinet.pdf?T=9
CYPE Cabinet Committee 1 March 2022	Item 11 – SEND Update https://democracy.kent.gov.uk/documents/g8875/Public%20reports%20pack%2001st-Mar-2022%2010.00%20Childrens%20Young%20People%20and%20Education%20Cabinet%20Committee.pdf?T=10
Cabinet 27 January 2022	Item 6 – Special Educational Needs Strategy 2021-24 Update https://democracy.kent.gov.uk/documents/g8896/Public%20reports%20pack%2027th-Jan-2022%2010.00%20Cabinet.pdf?T=10

Risk ID	CRR0049	Risk Title	Fraud and Error			
Source / Cause of risk		Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
As with any organisation, there is an inherent risk of fraud and/or error that must be acknowledged and proactively managed.		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:	Financial loss leading to pressures on budgets that may impact the provision of services to service users and residents	On behalf of CMT:	Very likely (5)	Moderate (2)
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. This is further impacted by inflation and the cost-of-living crisis.		<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	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.	John Betts, Interim Corporate Director Finance (Section 151 Officer)	Target Residual Likelihood	Target Residual Impact
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.		<ul style="list-style-type: none">- abuses their position, in which they are expected to safeguard to make a gain or expose another to a loss.		Responsible Cabinet Member(s):	Very likely (5)	Minor (1)
This includes ensuring that new emerging fraud/error issues are sufficiently risk assessed.				Peter Oakford, Finance, Corporate and Traded Services		
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					Nick Scott, Operations Manager, Kent Intelligence Network / James Flannery,	

proactively within Kent	Counter-Fraud Manager KCC
Training and awareness raising is conducted periodically	Amanda Beer, Deputy Chief Executive/ James Flannery, Counter-Fraud Manager
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
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
KCC Counter Fraud & Trading Standards are a member of the Kent Fraud Panel to help inform current fraud trends and emerging risks that may impact KCC and its residents.	James Flannery, Counter-Fraud Manager
Participate in the National Fraud Initiative exercise every two years to identify any fraud and error within key risk areas.	James Flannery, Counter-Fraud Manager
Counter Fraud Action plan in place to manage resources in conducting reactive and proactive work across KCC.	James Flannery, Counter-Fraud Manager

Examples of Committee reports of relevance to this risk since January 2022:

Governance & Audit Committee 27 April 2022	Item 16 - Counter Fraud Update https://democracy.kent.gov.uk/documents/g8723/Public%20reports%20pack%2027th-Apr-2022%2010.00%20Governance%20and%20Audit%20Committee.pdf?T=10
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Risk ID CRR0050 Risk Title CBRNE incidents, communicable diseases and incidents with a public health implication - KCC response to and recovery from the impacts of the Covid-19 public health emergency					
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 UK Health Security Agency that plans are in place to mitigate risks to the health of the public including outbreaks of communicable diseases e.g., Pandemic Influenza.</p>	Insufficient capacity / resource to deliver response and recovery concurrently for a prolonged period, including potential future wave(s) of Covid-19.	<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>Anjan Ghosh Director of Public Health</p> <p>Responsible Cabinet Member(s):</p> <p>Clair Bell, Adult Social Care and Public Health</p>	<p>Likely (4)</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.				Anjan Ghosh, Director of Public Health	
"Protect Kent and Medway, Play your part" media campaign				Anjan Ghosh, Director of Public Health	
Utilising data sets from Public Health England and local health partner to give a picture of Covid-19 across Kent.				Anjan Ghosh, Director of Public Health	

DPH now has oversight of the delivery of immunisation and vaccination programmes in Kent through the Health Protection Committee DPH has regular teleconferences with the UK Health Security Agency UK Health Security Agency office on the communication of infection control issues DPH or consultant attends newly formed Kent and Medway infection control committee	Anjan Ghosh, Director of Public Health
Kent Resilience Forum has a Health sub-group to ensure co-ordinated health services and UK Health Security Agency planning and response is in place	Anjan Ghosh, Director of Public Health
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 UK Health Security Agency office and the NHS on preparedness and maintaining business continuity	Anjan Ghosh, Director of Public Health
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.	Anjan Ghosh, Director of Public Health
Multiple governance – e.g. Health Protection Board, Kent Pandemic Response Cell	Anjan Ghosh, Director of Public Health
Kent Resilience Forum Outbreak Control Plan published, building on existing health protection plans already in place between Kent County Council, Medway Council, UK Health Security Agency -, 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	Anjan Ghosh, Director of Public Health
Mass testing and vaccination rollout supported, including Spring booster and aged 5-12 cohort	Anjan Ghosh, Director of Public Health

Examples of Committee reports of relevance to this risk since January 2022:

Kent and Medway Joint Health & Wellbeing Board 15 March 2022	Item 5 - Covid 19 Local Outbreak Control Plan https://democracy.kent.gov.uk/documents/g8748/Public%20reports%20pack%2015th-Mar-2022%2014.00%20Kent%20and%20Medway%20Joint%20Health%20and%20Wellbeing%20Board.pdf?T=10
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County Council 10 March 2022	Item 8 – Public Health in Kent after Covid – early thoughts https://democracy.kent.gov.uk/documents/g8756/Public%20reports%20pack%2010th-Mar-2022%2010.15%20County%20Council.pdf?T=10
Health Overview and Scrutiny Committee 2 March 2022	Item 6 – Covid 19 response & Vaccination update https://democracy.kent.gov.uk/documents/g8762/Public%20reports%20pack%2002nd-Mar-2022%2010.00%20Health%20Overview%20and%20Scrutiny%20Committee.pdf?T=10
Health Reform and Public Health Cabinet Committee 20 January 2022	Item 7 – Public Health Covid 19 Grants Update https://democracy.kent.gov.uk/documents/g8878/Public%20reports%20pack%2020th-Jan-2022%2010.00%20Health%20Reform%20and%20Public%20Health%20Cabinet%20Committee.pdf?T=10
Policy & Resources Cabinet Committee 19 January 2022	Item 6 - Covid 19 Financial Monitoring https://democracy.kent.gov.uk/documents/g8822/Public%20reports%20pack%2019th-Jan-2022%2010.00%20Policy%20and%20Resources%20Cabinet%20Committee.pdf?T=10

Risk ID	CRR0051	Risk Title	Supporting the workforce transition to hybrid working			
Source / Cause of risk		Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
The council's workforce is substantially adapting the way it operates and delivers services.		Lack of managerial capacity and / or capability to deliver in new environment	Increased absence levels	On behalf of CMT:	Likely (4)	Serious (4)
Hybrid/flexible working in the delivery of services 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.		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)	Amanda Beer, Deputy Chief Executive	Target Residual Likelihood	Target Residual Impact
Staff across the organisation continue to work under significant operational pressures and capacity constraints.		Lack of depth / resilience of key personnel or teams.	Recruitment and retention challenges.	Responsible Cabinet Member(s):	Possible (3)	Serious (4)
		Insufficient capacity should future wave of winter pressures materialise.		Bryan Sweetland Communications, Engagement, People and Partnerships		
Control Title				Control Owner		
Regular engagement with recognised trades unions.				Paul Royel, Director of HR and OD		
KCC's Organisation Design principles have been refreshed to ensure they remain fit for purpose.				Paul Royel, Director 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, Deputy Chief Executive		
Additional guidance for staff on Display Screen Equipment self-assessments when working from home on a semi-permanent basis.				Amanda Beer Deputy Chief Executive,		

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.	Amanda Beer, Deputy Chief Executive	
Working and Wellbeing Surveys conducted, to build understanding of current picture and inform future planning and action with managers, alongside regular reviews of a suite of management information.	Diane Trollope, Head of Engagement and Consultation	
Dedicated Wellbeing spaces and core management information alongside hybrid and flexible working materials to support staff and managers. COVID FAQ's updated regularly/as new info becomes available	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	
People Strategy for 2022-2027 approved by Personnel Committee	Paul Royel, Director of HR and OD	
Action Title	Action Owner	Planned Completion Date
Communication, implementation and measurement of the impact of the People Strategy	Paul Royel, Director of HR and OD	November 2022 (Review)
As result of the staff survey undertake a quarterly check in with directorates for progress updates on action plans.	Diane Trollope, Head of Engagement and Consultation	June 2022

Examples of Committee reports of relevance to this risk since January 2022:

Personnel Committee 30 March 2022	Item 5 - Staff Survey https://democracy.kent.gov.uk/documents/g8966/Public%20reports%20pack%2030th-Mar-2022%2014.00%20Personnel%20Committee.pdf?T=10
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Risk ID	CRR0052	Risk Title	Impacts of Climate Change on KCC services			
Source / Cause of risk Impacts of Climate Change, particularly in relation to extreme weather events on KCC and the services KCC provides or commissions.	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
	Risk of increasing duration, frequency and effects of various climate change related extreme weather events (such as heat, flooding and drought) leading to substantial loss of service or network, asset deterioration or failure.	Loss of life, sustained deterioration of public health and increasing health inequalities across the county.	On behalf of CMT: Simon Jones Corporate Director, Growth Environment and Transport	Very Likely (5)	Major (5)	
	Continually increasing costs of dealing with the impacts of climate change on assets and services.	Economic impacts from asset destruction/deterioration, service disruption and recovery costs of extreme weather events.		Target Residual Likelihood Likely (4)	Target Residual Impact Serious (4)	
	Reputational damage due to customer dissatisfaction.	Degradation and loss of Kent's key ecosystems, impacting the health and viability of our natural environment/protected areas and Kent's ability to effectively mitigate and adapt to climate change.	Responsible Cabinet Member			
	Adverse impacts on KCC services – buildings (lost of stranded assets), staff (sickness and lower productivity), service users, and the public.	Negative impact on Kent economy and wellbeing of Kent residents. Inability to keep public safe and moving around the network.	Susan Carey Cabinet Member for Environment			

Control Title		Control Owner
Environmental risk to be built into project work.		Tom Marchant, Head of Strategic Planning and Policy
Kent Environment Strategy – actions re emissions reduction, travel, air quality – outputs – link to Net Zero 2050		Helen Shulver, Interim Head of Sustainable Business and Communities
Strategic Statement – Priority 3 re: Environment		Matt Smyth, Director of Environment and Waste
Highways flooding and drain response: <ul style="list-style-type: none"> Plotted every drain in Kent to enhance asset inventory and improve customer service Business as Usual responding to emergencies, carrying out CCTV surveys and maintaining other vital assets such as soakaways. 		Earl Bournier, Drainage Asset Manager
Action Title	Action Owner	Planned Completion Date
Estate rationalisation and building in additional measures to reduce emissions.	Rebecca Spore, Director of Infrastructure	January 2023 (review)
Net Zero 2030 target – action plan for KCC Annual Report	Helen Shulver, Interim Head of Sustainable Business and Communities	March 2023 (review)
Adaptation Programme actions - Kent wide plan e.g. building differently, active travel, farming practices, flood management, partnership working – 2050 target. Consultation in September 2022.	Helen Shulver, Interim Head of Sustainable Business and Communities	December 2022 (review)
Highways flooding and drain response: <ul style="list-style-type: none"> Cleanse all Highway drains on a countywide programme every 2 years, with frequency of drain cleaning depending on assessed risk. Customer enquiries will be risk assessed and reactive works carried out on an ad hoc basis. 	Earl Bournier, Drainage Asset Manager	December 2022 (review)

Examples of Committee reports of relevance to this risk since January 2022:

Environment and Transport Cabinet Committee 19 May 2022	<p>Item 9 - Environment Net Zero & Section 31 Public Sector decarbonisation scheme update Item 10 – Electric Vehicle Charging Infrastructure in Kent</p> <p>https://democracy.kent.gov.uk/documents/g8971/Public%20reports%20pack%2019th-May-2022%2009.30%20Environment%20Transport%20Cabinet%20Committee.pdf?T=10</p>
Environment and Transport Cabinet Committee 17 March 2022	<p>Item 13 – 22/00029 Solar Farm Item 15 – Green Economy Prospects and Opportunities</p> <p>https://democracy.kent.gov.uk/documents/g8794/Public%20reports%20pack%2017th-Mar-2022%2010.00%20Environment%20Transport%20Cabinet%20Committee.pdf?T=10</p>
Kent Flood Risk Management Committee 9 March 2022	<p>Item 6 – Storms Eunice and Franklin 18th-21st Feb 2022 Item 7 - Environment Agency and Met Office Alerts and Warnings and KCC Severe Weather Response Activity</p> <p>https://democracy.kent.gov.uk/documents/g8788/Public%20reports%20pack%2009th-Mar-2022%2014.00%20Kent%20Flood%20Risk%20Management%20Committee.pdf?T=10</p>

Risk ID	CRR0053	Risk Title	Capital Programme Affordability (impacts on performance and statutory duties)			
Source / Cause of risk		Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
<p>The affordability of the capital programme presents a number of risks to specific programmes, including Highways, Schools and the KCC Estate more broadly.</p> <p>The uncertainty includes capital expenditure funded by grants, many of which are crucial to delivery of statutory services, , Ongoing investment to maintain and modernise our assets competes with the priority to protect frontline services from effects of public sector funding restraint.</p> <p>There are a number of geo-political uncertainties in the current environment which additionally impact on the financial and operating environment.</p> <p>The construction industry is experiencing acute inflation pressures, long material lead time and sporadic material supply. Directly linked to material and labour shortages. Current inflationary pressures are impacting on the capital programme significantly - £18m.</p>		<p>Impact on ability to meet operational requirements and/or statutory duties.</p> <p>Inability to invest in new infrastructure.</p>	<p>Business interruption due to increasing level of reactive / emergency repairs, or parts of estate decommissioned (in whole or partially if deemed unsafe)</p> <p>Health and safety incidents associated with asset degradation.</p> <p>Inability to meet statutory duties e.g. lack of appropriate school place provision.</p> <p>Property assets may not be maintained to a sufficient standard and may not be safe and fit for purpose leading to building closures.</p> <p>Assets not maintained sufficiently now will require future additional spend to maintain.</p> <p>Impact on financial borrowing.</p>	<p>On behalf of CMT:</p> <p>John Betts, Interim Corporate Director Finance (Section 151 Officer)</p> <p>Responsible Cabinet Member(s):</p> <p>Peter Oakford</p> <p>Cabinet Member for Corporate and Traded Services</p>	<p>Very Likely (5)</p> <p>Target Residual Likelihood</p> <p>Likely (4)</p>	<p>Major (5)</p> <p>Target Residual Impact</p> <p>Serious (4)</p>

<p>Expectations of key stakeholders on capital spend.</p> <p>Risks associated with changes in legislation related to developer contributions. This could lead to a requirement for significant forward funding.</p>		
Control Title	Control Owner	
Asset safety factors associated with our assets are given priority during the budget setting process.	John Betts, Interim Corporate Director Finance (Section 151 Officer)	
An annual programme of planned preventative maintenance is undertaken at KCC sites by the relevant Facilities Management contract partners	Tony Carty, Head of Facilities Management	
Prioritisation of the most urgent works across KCC sites	Jo Taylor, Head of Project Management, Property division	
10-year capital programme published as part of the 22-32 capital programme. This identified projected costs for some of the rolling programmes and a separate section of potential stand-alone projects which are markers and will need to have a full business case and identified funding planned evaluated and agreed.	Cath Head, Head of Finance (Operations)	
Infrastructure is working with Area Education Officers to communicate to schools regarding their obligations for maintenance and their responsibilities for repairs under financial thresholds	James Sanderson, Head of Property Operations	
Action Title	Action Owner	Planned Completion Date
Following approval of the strategic outline case for the Future Assets Strategy (part of KCC's Strategic Reset Programme), business cases for each of the three workstream are being developed (Office Estate, Community Buildings, Specialist Assets).	Rebecca Spore, Director of Infrastructure	August 2022 (review)
External funding bid for 'priority school build programme' (DfE)	James Sanderson, Head of Property Operations	July 2022 (review)
Lobbying central Government re capital grants relating to Highways.	Phil Lightowler, Interim Director	December 2022

	Highways and Transportation	
Paper being drafted on current pressures and priorities to understand where issues are, to re-prioritise programme. Corporate Board in July 2022.	Cath Head, Head of Finance (Operations)	August 2022
Review of prudential borrowing limit for next capital funding review, noting impact on revenue budget.	Cath Head, Head of Finance (Operations)	September 2022
Extensive lobbying of Government in relation to capital funding.	John Betts, Interim Corporate Director Finance	November 2022 (review)
Devise emergency process for category 1s where not funded.	Cath Head, Head of Finance (Operations)	September 2022

Examples of Committee reports of relevance to this risk since January 2022:

Policy & Resources Cabinet Committee 4 April 2022	Item 5 - Inflationary Pressures on Capital Construction Programme Item 6 - KCC Freehold Property Assets Disposal Policy https://democracy.kent.gov.uk/documents/g8962/Public%20reports%20pack%2004th-May-2022%2010.00%20Policy%20and%20Resources%20Cabinet%20Committee.pdf?T=10
Cabinet 3 March 2022	Item 5 - Revenue and Capital Budget Monitoring Report Dec 21-22 https://democracy.kent.gov.uk/documents/g8897/Public%20reports%20pack%2003rd-Mar-2022%2010.00%20Cabinet.pdf?T=10
Cabinet 27 January 2022	Item 5 - Capital Programme 2021-24 and Revenue Budget 21-22 https://democracy.kent.gov.uk/documents/g8896/Public%20reports%20pack%2027th-Jan-2022%2010.00%20Cabinet.pdf?T=10
Scrutiny Committee	Item A6 - Draft 10-year Capital Programme, Revenue budget 22-23 and MTFP 22-25

20 January 2022	<p>https://democracy.kent.gov.uk/documents/g8741/Public%20reports%20pack%2020th-Jan-2022%2014.00%20Scrutiny%20Committee.pdf?T=10</p> <p>Note: This also went to Growth, Economic Development and Communities Cabinet Committee (13 January 2022) and CYPE Cabinet Committee (11 January 2022).</p>
Cabinet 6 January 2022	<p>Item 5 – Commissioning Plan for Education Provision in Kent 2022 -2026</p> <p>https://democracy.kent.gov.uk/documents/g8895/Public%20reports%20pack%2006th-Jan-2022%2010.00%20Cabinet.pdf?T=10</p>

Risk ID	CRR0054	Risk Title	Supply Chain and market challenges			
Source / Cause of risk		Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
Competition and availability of workforce and materials for both KCC and its suppliers.		Interruptions / disturbances within supply chain.	Material third parties / key suppliers are unable to provide services leading to KCC not meeting statutory requirements.	On behalf of CMT:	Likely (4)	Major (5)
Economic uncertainty, for example interest rates, and the impact of inflation on existing and future contracts.		Suppliers unable to meet required levels of service or not provide all services.		Clare Maynard, Interim Strategic Commissioner	Target Residual Likelihood	Target Residual Impact
Sustainability of suppliers in some markets, and whether they have sufficient resilience to still deliver when impacted by internal/external risks whether they be operational or financial.		Incorrect or fraudulent payments made.	Financial loss leading to pressures on budgets that may impact the provision of services to service users and residents	Responsible Cabinet Member(s): Roger Gough, Leader of the Council Peter Oakford, Finance, Corporate and Traded Services	TBC	TBC
Fraud and Error – fraud within supply chains or errors with payments to suppliers.		Suppliers becoming insolvent.	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.			
Serious and Organised Crime – inadvertently contracting with Organised Crime Groups within supply chains.		Loss of/access to KCC data				
Changes to the regulatory environment, including environmental impacts.						
Suppliers within the chain lack sufficient controls to manage data						

effectively and keep it safe.

Visibility of route to source.

There are a number of geo-political uncertainties in the current environment which additionally impact on the financial and operating environment. For example the supply chain challenges as a result of global lockdowns, and the war in Ukraine.

Inconsistent/ineffective application of contract managements processes across the organisation.

Control Title	Control Owner
Commissioning Standards Tools and templates – including terms and conditions in place for the organisation to ensure consistency of process	Michael Bridger, Commissioning Standards Manager
Robust checking of suppliers during tender stage and continuing to look at market intelligence on suppliers and market sectors	Strategic Commissioning Management Team
Commissioning Support Unit providing support to Commissioners around compliance and standards	Clare Maynard, Interim Strategic Commissioner
Ongoing review of providers' performance and financial sustainability through effective contract management and working closely with the Performance and Analytics unit to ensure evidence is provided to support decision making.	Strategic Commissioning Management Team
Spending the Council's Money (procurement policy)	Clare Maynard, Interim Strategic Commissioner
Training programmes in place for commissioning and contract management	Michael Bridger, Commissioning Standards

	Manager
Review of terms and conditions of main contracts to ensure arrangements for UKGDPR, Modern Slavery Action requirement etc are sufficient.	Michael Bridger, Commissioning Standards Manager
Contract Management Review Group (CMRG) relaunched to periodically review a selection of contracts for compliance purposes and to identify best practice/process improvements	Michael Bridger, Commissioning Standards Manager
Working group set up to review risk of Serious and Organised Crime in supply chain procedures.	Natalie Liddiard, Intelligence and Standards Manager
Officers are working with providers to help with costs, including accessing grants for energy efficiencies, energy deals through Commercial Services, and advice on reviewing general operating costs	Relevant Service / Contract Managers
Action Title	Action Owner
Review of the 'Spending the Council's Money policy to ensure it is fit for purpose	Clare Maynard, Interim Strategic Commissioner
Post implementation review of the Commission Standards Tools and Templates.	Michael Bridger, Commissioning Standards Manager
Proposal to review Strategic Commissioning key performance information and supply chain issues with Corporate Management Team on a regular basis.	Clare Maynard, Interim Strategic Commissioner
	Planned Completion Date
	January 2023
	September 2022
	September 2022 (review)

Examples of Committee reports of relevance to this risk since January 2022:

Policy & Resources Cabinet Committee 24 March 2022	<p>Item 6 – Update from the Contract Management Review Group (CMRG)</p> <p>Item 8 – Implementing a new Facilities Management Model</p> <p>Item 14 – Kent Holdco Education Supplies</p> <p>https://democracy.kent.gov.uk/documents/g8823/Public%20reports%20pack%2024th-Mar-2022%2010.00%20Policy%20and%20Resources%20Cabinet%20Committee.pdf?T=10</p>
Risk ID	CRR0055
Risk Title	Impacts of the 'People at the Heart of Care' Social Care Reform White Paper

Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
The White Paper seeks to drive improvement in how people access advice regarding care, what options are available and at what cost, in addition it makes previous for self-funders to access care at the same rates as Local Authorities.	Insufficient funding to support the reform and policy changes are unachievable	Providers unable to engage with KCC within required time frames for Fair Cost of Care, impacting future funding.	Richard Smith, Corporate Director ASCH	TBC	TBC
Independent assessment of social care reform identifies a national shortfall of approximately £29 billion of central government funding for the reforms.	KCC unable to satisfy the conditions of the grant funding.	Widespread market instability.	Responsible Cabinet Member(s):	Target Residual Likelihood TBC	Target Residual Impact TBC
'The Fair Cost of Care exercise which will inform the Market Sustainability Plan requires the council to engage all registered providers for specified care settings located in Kent by October 22.	Insufficient capacity and capability of available resource within project and programme teams.	KCC unable to satisfy the conditions of the grant funding.			
Funds for 23/24 and 24/25 will only be paid if KCC satisfies conditions of the grant.	Unable to meet the requirements of 18 (3) of the Care Act 2014.	KCC unable to support self-funders with needs assessment. KCC unable to meet requirements of 18 (3) Care Act.	Clair Bell, Adult Social Care and Health		
Additional 16,000 financial assessments for self-funders may need to be resourced for, impacting BAU activities		Reputational damage Loss of grant monies Potential hidden demand (safeguarding/purchasing/ Social Care and Client Financial Services capacity) places additional pressure on resource and other services in the Council			
Media explanations of the reform of social care are not aligned to the realities experienced and understanding of people who		Poor outcome following CQC assurance review			

<p>draw on care services and their families and carers.</p> <p>Social Care Charging Reform Impact Assessment does not adequately factor in the combined effect of introducing the cap on personal care costs as the same time as giving self-funders the legal right to request their local authority to arrange their care. Significant resources will be required to comply with policy requirements.</p> <p>CQC assurance framework will be reviewing and assessing KCC performance in delivering adult social care duties under Care Act 2014 and the performance of the Integrated Care Boards and Integrated Partnership Board.</p>	<p>KCC unable to meet the requirements of the strategic statement</p>
Control Title	Control Owner
Direct lobbying to Government regarding appropriateness of funding and timing and policy change	Roger Gough, Leader of the Council / Richard Smith Corporate Director ASCH
Social Care Reform Steering Group (Policy, Strategic Commissioning, Finance, ASCH) and governance arrangements in place	Paula Parker, Head of Business Delivery Unit
Social Care Reform Programme within the MADE approach created including: Cap in care costs, CQC inspection readiness, Fair Cost of Care and Integration, each stream has its own risk register.	Richard Smith, Corporate Director ASCH
Status report updates communicated to ASCH DMT, and SRP Programme Board as required	Helen Gillivan, Senior Accountable Officer, MADE Programme

ASCH Cabinet Committee reporting in place (May and September 2022)		Richard Smith Corporate Director ASCH / Michael Thomas Sam, Strategic Business Advisor – Social Care
Regular engagement with Head of Finance (Policy, Planning & Strategy) and Revenue Manager		Michelle Goldsmith, Finance Business Partner ASCH
External organisation procured to analyse returned data from providers/care homes in relation to fair cost of care exercise		Michael Thomas Sam, Strategic Business Advisor – Social Care / Sharon Dene, Strategic Commissioning
Action Title	Action Owner	Planned Completion Date
Fair Cost of Care exercise is underway (MADE update April 22 DMT)	Sharon Dene, Strategic Commissioning / Nicola McCleish, Senior Commissioner	July 2022
Market Sustainability Plan (interim) submitted	Sharon Dene, Strategic Commissioning,	October 2022
Completion of the South-East Region ADASS self-assessment tool. Will result in gap assessment. Assessment will be RAG rated. (CQC Assurance)	Jennifer Anderton, Older People and Physical Disability ASCH	July 2022
Practice Framework and Quality Framework to drive improvements to ‘be the best we can be’ launch (CQC Assurance)	Sarah Denson, Strategic Safeguarding and Quality Assurance Manager	July 2022
Independent report on the operation impact of social care reform on the County of Kent	Michelle Goldsmith, Finance Business Partner ASCH	July 2022
Representative sample of providers/care homes for ‘Fair Cost of Care’ exercise has been identified by Kent Analytics. Initial quality check of returned data will take place within the working group.	Nicola McCleish, Senior Commissioner	July 2022