



KCC Corporate Risk Register

For Presentation to Cabinet on 05/01/2023

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 July 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)	↔
CRR0014	Cyber and information security resilience	High (20)	High (16)	↔
CRR0015	Managing and working with the social care market	High (25)	Medium (15)	↔
CRR0039	Information Governance	Medium (15)	Medium (9)	↓
CRR0042	Border fluidity, infrastructure, and regulatory arrangements	High (25)	High (16)	↔
CRR0045	Maintaining effective governance and decision making in a challenging financial and operating environment for local government	Medium (15)	Low (5)	↑
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)	↔

CRR0052	Impacts of Climate Change on KCC Services	High (25)	High (16)	↔
CRR0053	Capital Programme affordability (impacts on performance and statutory duties)	High (25)	High (16)	↔
CRR0054	Supply Chain and market factors	High (20)	TBC	↔
CRR0056	SEND Delivery and High Needs Funding	High (25)	High (16)	Merged risk
CRR0058	Recruitment and Retention of the workforce	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, Corporate Director	Possible (3)	Major (5)	
In addition, the Counter Terrorism and Security Act 2015 sets out the Government’s “Prevent Duty” and 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.	Children, Young People and Education (CYPE)			
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	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.		Target Residual Likelihood	Target Residual Impact	
	Spike(s) in demand impact on robustness of controls	Serious operational and financial consequences.	Responsible Cabinet Member(s): Sue Chandler, Integrated Children’s Services	Possible (3)	Major (5)	Timescale to Target At target
		Attract possible intervention from a national regulator for failure to discharge corporate and executive responsibilities.	Rory Love, Education and Skills Mike Hill (Lead Member for PREVENT)			

impact on absentee and non-attendance levels within schools.	
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, Corporate Director Children, Young People and Education (CYPE) / Paul Royel, Director of HR and OD
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, 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, Corporate Director (CYPE)
Consistent scrutiny and performance monitoring through Divisional Management Team, "Performance, Challenge and support" meetings and audit activity.	Sarah Hammond, Corporate Director (CYPE)
Multi agency Crime and Sexual Exploitation Panel (MACSE) provides a strategic, county wide, cross agency response to CSE	Sarah Hammond, 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 KCC's Director of Adult Social Care and Health 2023.	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, 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, Corporate Director Children, Young People and Education (CYPE)
Integrated practice model	Sarah Hammond, 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, 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, Corporate Director
Children, Young People and Education (CYPE)

Action Title	Action Owner	Planned Completion Date
Recommendations from recent Independent Local Authority Children's inspection to improve SMART planning and reduce drift in progressing children's plans. QA unit to develop a framework for a Child in Need (CIN) panel to be implemented across the districts. The framework would allow staff to better understand the experience of CIN which over the process of around 5 weeks would allow management oversight of all CIN creating clearer throughput of work.	Leemya McKeown Interim Assistant Director – Professional Standards and Quality Assurance	April 2023
Revitalise current process for managing frequent placement moves to include developing a flow chart and placement stability tool to identify placement fragility and provide the right support at the right time to avoid placement breakdown.	Leemya McKeown Interim Assistant Director – Professional Standards and Quality Assurance	February 2023

Risk ID	CRR0002	Risk Title	Safeguarding – protecting adults at risk			
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
<p>The Council must fulfil its statutory obligations to effectively safeguard vulnerable adults, in a complex and challenging environment e.g., challenges relating to demand for services and consistent quality of care in the provider market.</p> <p>The change from 'safeguarding alerts' to 'safeguarding enquiries' has led to a significant increase in the number of safeguarding concerns received. There has also been an increase in domestic abuse referrals.</p> <p>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.</p> <p>Social care services have made substantial adaptations to service delivery across the system.</p> <p>In addition, the Counter Terrorism and Security Act 2015 sets out the Government's "Prevent Duty" and requires the Local Authority</p>	<p>Failure to fulfil statutory obligations.</p> <p>Failure to meet the requirements of the "Prevent Duty" placed on Local Authorities.</p> <p>Safeguarding risks are not identified to / by KCC in a timely fashion.</p> <p>Spike(s) in demand impact on quality of controls</p>	<p>Incident of serious harm or death of a vulnerable adult.</p> <p>Serious impact on vulnerable people.</p> <p>Serious impact on ability to recruit the quality of staff critical to service delivery.</p> <p>Serious operational and financial consequences.</p> <p>Attract possible intervention from a national regulator for failure to discharge corporate and executive responsibilities.</p>	<p>Richard Smith Corporate Director Adult Social Care and Health (ASCH)</p> <p>Responsible Cabinet Member(s):</p> <p>Clair Bell, Adult Social Care and Public Health</p> <p>Mike Hill (Lead Member for PREVENT)</p>	<p>Likely (4)</p> <p>Target Residual Likelihood Possible (3)</p>	<p>Major (5)</p> <p>Target Residual Impact Major (5)</p> <p>Timescale to Target 1-2 years</p>	

to act to prevent vulnerable people from being drawn into terrorism.	
Control Title	Control Owner
Locality Commissioners and operations teams regularly meet with Care Quality Commission to share intelligence	Simon Mitchell, Strategic Commissioning
Regular liaison 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, Assistant Director– Principal Social Worker
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 KCC's Director of Adult Social Care and Health until end of 2023.	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.	Jim Beale Assistant Director
KCC Safeguarding Competency Framework in place, including Mental Capacity Act requirements.	Sarah Denson, Assistant Director– Principal Social Worker
KCC Safeguarding Competency Framework reviewed to ensure currency and look for areas for improvement.	Sarah Denson, Assistant Director– Principal Social Worker
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, Assistant Director– Principal Social Worker/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, Assistant Director– Principal Social Worker
Quality Assurance Framework in place	Sarah Denson, Assistant Director– Principal Social Worker
Practice Framework in place	Sarah Denson, Assistant Director– Principal Social Worker
Programme of training events to support practitioners to develop knowledge and skills as part of continuing professional development. Manager training commenced July 2022.	Sarah Denson, Assistant Director– Principal Social Worker

Programme of training events to support practitioners to develop knowledge and skills as part of continuing professional development.	Sarah Denson, Assistant Director– Principal Social Worker	
Action Title	Action Owner	Planned Completion Date
KCC Safeguarding Competency Framework in place, including Mental Capacity Act requirements. Reviewing both frameworks in order to amalgamate and potentially have one all-encompassing framework	Sarah Denson, Assistant Director– Principal Social Worker	April 2023
Preparation for introduction of new Liberty Protection Safeguards system under the Mental Capacity (Amendment) Act 2019.	Maureen Stirrup, Head of Deprivation of Liberty Safeguards	January 2023
'Be the best we can be' Board will oversee quality of practice. Currently reviewing terms of reference with a view to commencing Autumn/Winter 2022	Sarah Denson, Assistant Director– Principal Social Worker	January 2023

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	
<p>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.</p> <p>The Council actively seeks to secure the resources/funding necessary to provide the infrastructure required to support growth, which often need to be bid for in very tight timescales and are increasingly subject to the drive to deliver economic impact, housing and employment outputs.</p> <p>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</p>	<p>The inability to secure sufficient funding, including contributions from development, to deliver the infrastructure necessary to support growth may require gap funding in order for KCC to fulfil its statutory duties.</p> <p>Deferral of developer contributions and / or elongated planning consents leads to delayed or compromised infrastructure.</p> <p>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.</p>	<p>Key opportunities for growth missed.</p> <p>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.</p> <p>Kent becomes a less attractive location for inward investment and business.</p> <p>Our ability to deliver an enabling infrastructure becomes constrained.</p> <p>Reputational risk associated with delayed delivery of infrastructure required.</p> <p>Additional revenue costs incurred due to infrastructure delays and operational costs increasing.</p>	<p>Simon Jones, Corporate Director Growth, Environment and Transport (GET)</p> <p>Responsible Cabinet Member(s): On behalf of Cabinet:</p> <p>Derek Murphy Economic Development</p> <p>David Brazier Highways & Transport</p>	<p>V. Likely (5)</p> <p>Target Residual Likelihood Likely (4)</p>	<p>Major (5)</p> <p>Target Residual Impact Serious (4)</p> <p>Timescale to Target 3+ years</p>	

<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
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
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	
Responses are made to emerging Government Strategies	Stephanie Holt-Castle, Director of Growth and Communities	
Growth and Infrastructure Framework for Kent and Medway published, setting out the infrastructure needed to deliver planned growth.	Stephanie Holt-Castle, Director, Growth & Communities	
Action Title	Action Owner	Planned Completion Date
<p>Contribute to implementation of the Kent and Medway Economic Partnership's local Economic Strategy, key delivery principles of which are:</p> <ul style="list-style-type: none"> • Greener Futures (building a sustainable, lower carbon economy) • Open and Productive (supporting long term productivity growth in an economy that welcomes investment and trade) • Better Opportunities, Fairer Chances (ensuring that people are supported through recession and stand to gain from a more resilient economy in the return to growth). 	Stephanie Holt-Castle, Director of Growth and Communities	December 2022
The Kent & Medway Business Fund offering funding of £100k-£500k and KMBF Small Business Boost offering £26k-99k, will remain open for pre-applications until 30 November 2022. From 1 December there will be a "pause" on in taking new pre-applications, but we will capture interest in the schemes via replacing the pre-application with an expression of interest form. The next phase of the Innovation Loan is being reviewed in partnership with Innovate Edge.	David Smith, Head of Business and Enterprise (KCC lead)	March 2023
Kent Design Guide to be published – will influence and provide people with expectations and standards that we expect.	Simon Jones, Corporate Director GET	TBC
Growth and Infrastructure Framework to be published – will influence and provide people with expectations and standards that we expect.	Simon Jones, Corporate Director GET	March 2023 (review)

Developer Contributions Guide update – will influence and provide people with expectations and standards that we expect.	Simon Jones, Corporate Director GET	May 2023
Producing Local Transport Plan 5 and approval by County Council (draft plan for consultation)	Lee Burchill, Local Growth Fund Programme Manager	September 2023 (review)
Develop an Economic Strategy which states the priority activities and projects that are required to support economic growth and the economic infrastructure that is required; and will contain a funding/resources model for delivering change	David Smith, Head of Business and Enterprise (KCC lead)	March 2023 (review)
Identify the various funding opportunities available and develop a funding framework for accessing the right investment, for the right project, at the right time	David Smith, Head of Business and Enterprise (KCC lead)	March 2023 (review)

Risk ID	CRR0004	Risk Title	Simultaneous Emergency Response, Recovery and Resilience			
Source / Cause of Risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
<p>The 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.</p> <p>This includes responses associated with the Government's Counter-terrorism Strategy (CONTEST).</p> <p>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.</p> <p>Geo-political events may impact national energy supplies which could result in power outages across the County.</p> <p>The recovery from the Covid-19 pandemic is putting significant</p>	<p>Potential for failure of relevant planning, response and recovery contingencies when confronted by the complexity and scale of multiple emergencies. Critical services could be unprepared or have ineffective emergency and business continuity plans which would inhibit their ability to cope with simultaneous emergencies</p> <p>Disruption to supply chain hampers could negatively impact corporate business continuity and effective response to incidents.</p> <p>Focus on post UK/EU transition contingency planning could impact corporate capacity to progress other aspects of emergencies and resilience agenda.</p> <p>Future wave(s) of pandemic / winter pressures /cost of living challenges could place</p>	<p>Potential increased harm or loss of life if response is not effective.</p> <p>Serious threat to delivery of critical services.</p> <p>Significant harm to the natural and build environment of Kent.</p> <p>Increased financial cost in terms of recovery and insurance costs.</p> <p>Damage and disruption to local businesses and the Kent economy.</p> <p>Potential for public unrest and reputational damage.</p> <p>Legal actions and intervention for failure to fulfill KCC's obligations under the Civil Contingencies Act and/or other associated legislation.</p>	<p>On behalf of CMT: Rebecca Spore, Director of Infrastructure</p> <p>Responsible Cabinet Member(s): On behalf of Cabinet: Mike Hill, Community & Regulatory Services</p>	<p>Likely (4)</p> <p>Target Residual Likelihood Possible (3)</p>	<p>Major (5)</p> <p>Target Residual Impact Major (5)</p> <p>Timescale to Target 3+ years</p>	

strain on organisational capacity and resources.	additional strain on capacity and resource.
Control Title	Control Owner
Management of financial impact to include Bellwin scheme	Cath Head, Head of Finance (Operations)
KCC contribute to its responsibilities as part of the Kent Resilience Team which is an integrated and co-located team to deliver enhanced emergency planning and business continuity in Kent	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
KCC contribute to local multi-agency flood response plans that are in place for each district/borough in Kent, in addition to overarching flood response plan for Kent.	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
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. Kent and Medway Board for PREVENT have oversight of action progress.	Nick Wilkinson, Prevent and Channel Strategic Manager
Implementation of Kent's Climate Adaption Action Plan	Stephanie Holt-Castle, Director of Growth and Communities

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	
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	
Action Title	Action Owner	Planned Completion Date
Engaging with the independent review of the Kent Resilience Forum. Clarity required on KCC's role, contribution and responsibilities as a partner within the KRF	Rebecca Spore Director Infrastructure	January 2023
Coordination of KCC preparations for potential power outages across the County ensuring continuity of front-line services	Tony Harwood, Resilience and Emergencies Manager.	January 2023

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	
<p>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. However, this is now unlikely to happen in the near future and we expect the majority of grants to be a roll forward although the new service's grant for 2022/23 was only initially confirmed for one year.</p> <p>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.</p>	<p>Forecast budget monitoring 2022/23 showed a £60.9m overspend for the year as at quarter 2 with the risk that initially further monitoring forecasts could show an increase in subsequent quarters.</p> <p>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.</p> <p>In order to set a balanced budget, the council is likely to have to continue to make significant year on year savings. Quality of KCC commissioned / delivered services suffers as financial situation continues to worsen.</p> <p>Continued delays and uncertainty surrounding review of local government funding impacts on KCC's</p>	<p>Unsustainable financial situation and potential drawdown from reserves, ultimately resulting in s114 notice.</p> <p>Failure to delivery statutory obligations and duties or achieve social value.</p> <p>Potential for partner or provider failure – including sufficiency gaps in provision.</p> <p>Reduction in resident satisfaction and reputational damage.</p> <p>Increased and unplanned pressure on resources.</p> <p>Decline in performance.</p> <p>Legal challenge resulting in reputational damage to the Council.</p> <p>Impact on Council Tax.</p>	<p>On behalf of CMT:</p> <p>Zena Cooke, Corporate Director Finance (Section 151 Officer)</p> <p>Responsible Cabinet Member(s):</p> <p>All Cabinet Members</p>	<p>Likely (4)</p> <p>Target Residual Likelihood</p> <p>Likely (4)</p>	<p>Major (5)</p> <p>Target Residual Impact</p> <p>Serious (4)</p> <p>Timescale to Target</p> <p>1-2 years</p>	

The overall settlement for 2022-23 was insufficient to fully fund forecast demand and cost growth pressures facing services across the council (even after setting challenging targets to bear down on future cost growth).

medium term financial planning.

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. The Council is now part of the DfE Safety Valve programme and, as part of this, will need to bring High Needs spending back into balance over the medium term and contribute to repaying the historic deficit.

There are a number of geopolitical uncertainties in the current environment which additionally impact on the financial and operating environment. As a result of economic uncertainty, there are

inflation, interest rate 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.	Zena Cooke, 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, 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.	Zena Cooke, Corporate Director Finance (Section 151 Officer)
Financial analysis conducted after each budget statement	Dave Shipton, Head of Finance (Policy, Strategy and Planning)
Ensure evidence of any additional KCC spend required to cover impacts relating to 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, Corporate Director (CYPE) / Christine McInnes, Director of Education / Dave Shipton, Head of Finance (Policy, Strategy and Planning)
Engagement with County Councils Network, 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 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.	Richard Smith, Corporate Director ASCH / Zena Cooke, Corporate Director Finance	
Verbal presentation and paper to Cabinet on the impact of the Levelling Up white paper.	David Whittle Director SPRCA	
Regular review of HM Treasury forecasts and Government planned spending levels for local government	Zena Cooke, Corporate Director Finance	
Action Title	Action Owner	Planned Completion Date
Outcomes Based Budgeting approach being developed to strengthen links between outcomes and funding, using robust analysis and evidence, with resource envelopes issued	Zena Cooke, Corporate Director Finance	April 2023 (review)
Robust plan to be developed urgently to reduce current year overspend in order to reduce potential calls on reserves and spending growth pressures in subsequent years.	Zena Cooke, Corporate Director Finance (Section 151 Officer)	December 2022
Robust plan for 2023/24 to be developed. To be implemented over the next 2-3 months.	Zena Cooke, Corporate Director Finance (Section 151 Officer)	January 2023
Quarterly budget meetings between Cabinet Member for Finance and Corporate Director for Finance with Cabinet Members and Corporate Directors as relevant.	Zena Cooke, Corporate Director Finance (Section 151 Officer)	January 2023

Officer directorate sessions with CEO and S151 Officer being developed to review latest budget situation and proposed actions.

Zena Cooke, Corporate
Director Finance (Section 151
Officer)

January 2023

Risk ID	CRR0014	Risk Title	Cyber & Information Security Resilience			
Source / Cause of Risk	Risk Event	Consequence	Risk Owner(s)	Current Likelihood	Current Impact	
Malicious (intentional) actions against KCC from individuals, cyber criminals and state sponsored attacks.	Confidentiality, integrity and availability of data or systems is negatively impacted or compromised leading to loss of service, data breaches and other significant business interruptions.	Data Protection breach and consequent Information Commissioner's Office (ICO) sanction.	Lisa Gannon, Director of Technology	Likely (4)	Major (5)	
Human error leading to staff revealing information or taking actions which assist malicious actor in being able to affect systems or data, including responding to phishing emails and losing account credentials.		Damages claims. Reputational Damage. Potential significant impact on business interruption if systems require shutdown until magnitude of issue is investigated.	Ben Watts, General Counsel and KCC Data Protection Officer Paul Royel, Director HR/OD	Target Residual Likelihood Likely (4)	Target Residual Impact Major (5)	
Compromise of physical security controls and/or infrastructure including unauthorised access to data centres, network cables and natural disaster (flood, fires etc.)		Loss or corruption of data. Loss of key systems potentially impacting ability to deliver statutory services. Partners unable to discharge their duties	Responsible Cabinet Member(s): Peter Oakford, Finance, Corporate and Traded Services			Timescale to Target At Target
Supply chain compromise including vulnerabilities in purchased equipment and supplier system breaches.		Complaints	Shellina Prendergast Communications, Engagement, People and Partnerships			
Gaps in existing resources and capabilities, including technological controls and resource challenges in provider's operational teams.						

Control Title	Control Owner
<p>Multiple layers of logical, physical and administrative security controls Defence in depth is a key cyber security concept that the Authority adheres to, involving multiple layers of security control for protection from various threats.</p>	<p>James Church ICT Compliance & Risk Manager</p>
<p>Security engagement, training and awareness. Ongoing program of security engagement, training and awareness, upskilling staff to reduce human error. This includes communications, e-learning and training for staff.</p>	<p>James Church ICT Compliance & Risk Manager</p>
<p>Supply chain risk management Program of activities to reduce supply chain risk, including tracking supplier security assurances.</p>	<p>James Church ICT Compliance & Risk Manager</p>
<p>Investment in and implementation of new controls and technologies including capabilities of M365 E5 licenses. Cyber security threats are constantly evolving and therefore new tools and capabilities are required to keep up and mitigate the risk.</p>	<p>Dave Lindsay Interim Head of Technology, Commissioning and Strategy</p>
<p>Frequent security audits, penetration tests and compliance submissions External review of security posture provides validation that our controls work and are being managed effectively.</p>	<p>James Church ICT Compliance & Risk Manager</p>
<p>Internal assurance programme including audits, risk assessment and vulnerability management Completion of internal audits and assurance audits to ensure cyber is being managed effectively. Continuing to action audit recommendations via the Consolidated Security Action Plan. Risk assessments completed on new implementations to ensure that cyber risks are highlighted and treated. Vulnerability management activities to identify and treat vulnerabilities in good time.</p>	<p>James Church ICT Compliance & Risk Manager</p>
<p>Data Protection and Information Governance training is mandatory and requires staff to refresh periodically. Progress rates monitored regularly.</p>	<p>Ben Watts, General Counsel and KCC Data Protection Officer / Paul Royel, Director HR/OD</p>
<p>Additional messages warning staff of cyber threats are being sent out regularly.</p>	<p>Diane Trollope, Head of Engagement and Consultation</p>

<p>Messages to encourage increased awareness of information security amongst staff are communicated to align with key implementation milestones of the ICT Transformation Programme.</p>	<p>Diane Trollope, Head of Engagement and Consultation</p>	
<p>Action Title</p>	<p>Action Owner</p>	<p>Planned Completion Date</p>
<p>Cloud migration and reducing reliance on physical infrastructure Activities to migrate away from physical infrastructure to the cloud which has increased resilience and stronger physical security controls.</p>	<p>Dave Lindsay Interim Head of Technology, Commissioning and Strategy</p>	<p>January 2023</p>
<p>Commissioning and procurement processes include cyber standards and requirements Ensuring that new products and services are built with the Authority's minimum requirements for cyber security.</p>	<p>James Church ICT Compliance & Risk Manager</p>	<p>June 2023</p>

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	
<p>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.</p> <p>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.</p> <p>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.</p> <p>Recovery from the Covid-19 pandemic has added additional pressures, further threatening sustainability of the market.</p>	<p>Social Care market particularly domiciliary care is not sustainable.</p> <p>Inability to obtain the right kind of provider supply at affordable prices.</p> <p>Significant numbers of care home closures or service failures.</p> <p>Increases in hand backs of care</p> <p>Providers choose not to tender for services at Local Authority funding levels or accept service users with complex needs.</p>	<p>Gaps in the care market for certain types of care or in geographical areas meaning difficulty in placing some service users.</p> <p>Unable to offer care packages immediately leading to delays with discharging from Health Services</p> <p>Reduction in quality of care provided due to workforce pressures</p>	<p>Richard Smith, Corporate Director ASCH, in collaboration with Clare Maynard, Interim Strategic Commissioner</p> <p>Responsible Cabinet Member(s): Clair Bell, Adult Social Care and Public Health</p>	<p>V. Likely (5)</p> <p>Target Residual Likelihood Possible (3)</p>	<p>Major (5)</p> <p>Target Residual Impact Major (5)</p> <p>Timescale to Target 3+ years</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.

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.

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.

Simon Mitchell, Strategic Commissioning

New contracts commenced relating to Disability and Mental Health Residential Care services.

Simon Mitchell, Strategic Commissioning

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 Stephens, 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
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 Stephens, 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	Jim Beale, Assistant Director ASCH
Adult Social Care Pressures Plan 2022/23 - 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
Continue to work innovatively with partners, including health services, districts and boroughs, and providers to identify any efficiencies across the wider sector.	ASCH Divisional Directors
Contract for Discharge Services presented to Cabinet Committee and approved by the Cabinet Member.	Paul Stephens, Senior Commissioning Manager
Quarterly market pressure reports to ASCH DMT	Simon Mitchell, Strategic Commissioning
Pipeline prioritisation tool is in place for Strategic Commissioning projects, shared with DivMT and Director of Strategy Policy, Relationships and Corporate Assurance	Michael Bridger, Commissioning Standards Manager

Analytics of the current market, and potential future market to ensure appropriate provision for regulated/unregulated care. Three sets of performance data to be triangulated (Analytic/Performance Data/Budget)	Simon Mitchell, Strategic Commissioning	
Key performance information in relation to strategic commissioning arrangements will be shared with the Corporate Management Team on a regular basis, commencing November 2022.	Clare Maynard, Interim Strategic Commissioner	
Development of micro providers market with partner Community Catalysts. Quarterly contract management reviews take place including focus on performance against targets (engagement and set up).	Paula Parker, Head of Portfolio Management, ASCH	
Action Title	Action Owner	Planned Completion Date
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 Stephens, Senior Commissioning Manager	December 2022 (Review)

Risk ID	CRR0039	Risk Title	Information Governance			
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
<p>The Council is required to maintain the confidentiality, integrity and proper use, including disposal of data under the Data Protection Act 2018, which is particularly challenging given the volume of information handled by the authority on a daily basis.</p> <p>The Council has regulatory obligations into the management of SAR/FOI/EIR requests</p> <p>United Kingdom General Data Protection Regulations (UK GDPR) came into effect that have introduced significantly increased obligations on all data controllers, including the Council.</p> <p>The Covid-19 pandemic has introduced new risks e.g., staff adapting to new ways of working and increasing information security threats.</p> <p>There is insufficient resource available to undertake comprehensive oversight / assurance activity that provides assurance on compliance with existing information governance standards.</p>	<p>Failure to embed the appropriate processes, procedures and behaviours to meet regulations.</p> <p>Failure to meet regulatory reporting deadlines</p> <p>Information security incidents (caused by both human error and / or system compromise) resulting in loss of personal data or breach of privacy / confidentiality.</p> <p>Council accreditation for access to government and partner ICT data, systems and network is withdrawn.</p> <p>Cantium Business Solutions prioritises commercial work or does not undertake information governance compliance work in an appropriate and timely fashion.</p> <p>Providers processing KCC data fail to embed the appropriate processes and behaviours.</p>	<p>Information Commissioner's Office sanction (e.g., undertaking, assessment, improvement, enforcement or monetary penalty notice issued against the Authority).</p> <p>Increased risk of litigation.</p> <p>Reputational damage.</p>	<p>Ben Watts, General Counsel and Data Protection Officer in collaboration with David Whittle, Senior Information Risk Owner</p> <p>Responsible Cabinet Member(s):</p> <p>Roger Gough, Leader</p> <p>Shellina Prendergast Communications, Engagement, People and Partnerships</p> <p>Peter Oakford, Deputy Leader and Cabinet Member for Corporate and</p>	<p>V. Likely (5)</p> <p>Target Residual Likelihood</p> <p>Possible (3)</p>	<p>Significant (3)</p> <p>Target Residual Impact</p> <p>Significant (3)</p> <p>Timescale to Target</p> <p>1-2 years</p>	

<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>Traded Services</p>
<p>Control Title</p>	<p>Control Owner</p>
<p>Staff are required to complete mandatory training on Information Governance and Data Protection and refresh their knowledge every two years as a minimum.</p>	<p>Ben Watts, General Counsel and KCC Data Protection Officer / Paul Royel, Director HR and OD</p>
<p>Senior Information Risk Owner for the Council appointed with training and support to undertake the role.</p>	<p>David Whittle, Director SPRCA</p>
<p>ICT Commissioning function has necessary working/contractual relationship with the Cantium Business Solutions to require support on KCC ICT compliance and audit.</p>	<p>Dave Lindsay, Interim Head of ICT Commissioning and Strategy</p>
<p>Caldicott Guardian appointed with training and support to undertake the role</p>	<p>Richard Smith, Corporate Director ASCH</p>
<p>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.</p>	<p>Ben Watts, General Counsel and KCC Data Protection Officer</p>
<p>Management Guide/operating modules on Information Governance in place, highlighting key policies and procedures.</p>	<p>Ben Watts, General Counsel and KCC Data Protection Officer</p>
<p>Privacy notices as well as procedures/protocols for investigating and reporting data breaches reviewed and</p>	<p>Caroline Dodge, Team Leader</p>

updated		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
Cloud migration and reducing reliance on physical infrastructure Activities to migrate away from physical infrastructure to the cloud which has increased resilience and stronger physical security controls.	Dave Lindsay Interim Head of Technology, Commissioning and Strategy	January 2023
Data breach process to be enhanced by automated system, changes include auto reminders to services where further information is required. More data will be available on service performance in relation to breach management and also allow for timely escalation where appropriate	Ben Watts, General Counsel and KCC Data Protection Officer	January 2023
Working from Home Information Governance and Records Management audit implementation of recommendations	Ben Watts, General Counsel / David Whittle, Director SPRCA	December 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 flows through the organisation	Michael Thomas-Sam, Chair of Cross-Directorate Information Governance Working Group	March 2023 (completion of updates in outstanding areas)

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 being introduced including the new Entry/Exit System (EES). KCC has been working with partners at a local and national level to assess potential implications for the county and prepare for various scenarios.	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): David Brazier, Highways & Transport	Target Residual Likelihood Possible (4)	Target Residual Impact 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 detrimental impact on county's economic competitiveness, attractiveness for inward investment and quality of life for Kent residents.	Mike Hill, Community & Regulatory Services			Timescale to Target 1-2 years
		Significant increase in imported goods subject to statutory checks by Trading Standards including consumer goods and animal				

	<p>feeds. 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.	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	Steve Rock, Head of Trading

Emergency Planning, Infrastructure etc.		Standards
Applying for Government funding to support improving access to the Borders.		Simon Jones, Corporate Director GET
Recruited additional staff for Port Team and animal health officers to provide capacity.		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 (review)
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	March 2023
Preparation for impact of implementation of EES system.	Simon Jones, Corporate Director GET	May 2023

Risk ID	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.</p> <p>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>	<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).</p> <p>Members agree a budget requiring unrealistic and undeliverable efficiency savings leading to significant in-year overspends.</p> <p>Statutory officers (S151, Monitoring Officer, Head of Paid Service) are required to use their powers to intervene or alert the Council to inappropriate/illegal decision-making.</p>	<p>Decisions challenged under judicial review on the appropriateness of the decision-making within KCC.</p> <p>Monitoring Officer / Head of Paid Service statutory report to Council.</p> <p>Reputational damage to the Council.</p> <p>S114 Notice issued by the S151 Officer.</p>	<p>David Cockburn, Chief Executive Officer</p> <p>Zena Cooke, Corporate Director Finance (s151 Officer)</p> <p>Ben Watts, General Counsel and Monitoring Officer</p> <p>Responsible Cabinet Member(s):</p> <p>Roger Gough, Leader of the Council</p> <p>Peter Oakford, Deputy Leader and Cabinet Member for Corporate and</p>	Possible (3)	Major (5)
				Target Residual Likelihood	Target Residual Impact
				V. Unlikely (1)	Major (5)
					Timescale to Target TBC

Traded Services	
Control Title	Control Owner
KCC's Strategic Statement 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	Zena Cooke, Corporate Director Finance (Section 151 Officer)
Effective internal audit arrangements in place and robust monitoring arrangements for the delivery of internal audit recommendations to Governance & Audit Committee	Zena Cooke, Corporate Director Finance (Section 151 Officer)
Appropriately detailed and timely financial monitoring reports considered by Cabinet and Cabinet Committees	Zena Cooke, Corporate Director Finance (Section 151 Officer)
Governance reviews from across the local government sector are analysed to identify any lessons learned and reported to relevant stakeholders, including Governance & Audit Committee.	Zena Cooke, Corporate Director Finance (Section 151 Officer)
Appropriate officer development and training programme in place and overseen by CMT	Paul, Royel, Director HR and OD
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 Informal Governance arrangements and Operating Standards	David Whittle, Director SPRCA	March 2023
Implementation of activities to support move to Chief Executive Officer (CEO) Operating Model approved by County Council.	David Cockburn, CEO	April 2023

Risk ID	CRR0049	Risk Title	Fraud and Error			
<p>Source / Cause of risk</p> <p>As with any organisation, there is an inherent risk of fraud and/or error that must be acknowledged and proactively managed.</p> <p>The fraud threat posed during emergency situations is higher than at other times, and all public bodies should be attuned to the risks facing their organisations and the public sector. This is further impacted by inflation and the cost-of-living crisis.</p> <p>It is critical that management implements a sound system of internal control and always demonstrates commitment to it, and that investment in fraud prevention and detection technology and resource is sufficient.</p> <p>This includes ensuring that new emerging fraud/error issues are sufficiently risk assessed.</p>	<p>Risk Event</p> <p>Failure to prevent or detect significant acts of fraud or error from internal or external sources, in that within any process or activity there are:</p> <ul style="list-style-type: none"> - false representations are made to make a gain or expose another to a loss - failure to notify a change of circumstances to make a gain or expose another to a loss - abuses their position, in which they are expected to safeguard to make a gain or expose another to a loss. <p>Given the size and complexity of KCC, with a significant number of payments going to a wide range of suppliers and other public bodies, whom have a legitimate need to amend their bank details, that this process is used to submit a fraudulent change of bank details (mandate fraud) to KCC in order to divert funds.</p>	<p>Consequence</p> <p>Financial loss leading to pressures on budgets that may impact the provision of services to service users and residents</p> <p>Reputational damage, particularly if the public see others gaining services or money that are not entitled to, leading to resentment by the public against others.</p>	<p>Risk Owner</p> <p>On behalf of CMT:</p> <p>Zena Cooke, Corporate Director Finance (Section 151 Officer)</p> <p>Responsible Cabinet Member(s):</p> <p>Peter Oakford, Finance, Corporate and Traded Services</p>	<p>Current Likelihood</p> <p>Very likely (5)</p> <p>Target Residual Likelihood</p> <p>Very likely (5)</p>	<p>Current Impact</p> <p>Moderate (2)</p> <p>Target Residual Impact</p> <p>Minor (1)</p> <p>Timescale to Target</p> <p>TBC</p>	

Control Title	Control Owner
KCC is part of the Kent Intelligence Network (KIN), a joint project between 12 district councils, Medway Council, Kent Fire & Rescue and Kent County Council which analyses and data matches financial and personal information to allow fraudulent activity in locally administered services to be detected more proactively within Kent	Nick Scott, Operations Manager, Kent Intelligence Network / James Flannery, Counter-Fraud Manager KCC
Training and awareness raising is conducted periodically	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	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.	James Flannery, Counter-Fraud Manager
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
Process maps are in place to inform Control Team on the correct process to request a change of bank details.	Mark Sage, Corporate Accountant
Training of staff involved in the updating of bank details is in place to inform them of the agreed process.	Mark Sage, Corporate Accountant
Guidance is available on the Finance Page on KNet to inform those who receive change of bank details on the agreed process and this is communicated to payment, commissioning and contract management teams across KCC.	Mark Sage, Corporate Accountant
Mandate fraud risks are communicated as part of the fraud awareness sessions.	James Flannery, Counter-Fraud Manager
Any queries received on missing payments from suppliers is cross checked against recent change of bank requests to alert a possible mandate fraud.	Mark Sage, Corporate Accountant
Response Plan is in place within the Control Team to deal with any actual mandate frauds that have been identified.	Mark Sage, Corporate Accountant
Communication of mandate fraud / cyber security to KCC supply chain.	Clare Maynard, Strategic Commissioner

Risk ID	CRR0050	Risk Title	CBRNE incidents, communicable diseases and incidents with a public health implication			
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
<p>The Council, along with other Category 1 Responders in the County, has a legal duty to establish and deliver containment actions and contingency plans to reduce the likelihood, and impact, of high impact incidents and emergencies.</p> <p>The Director of Public Health has a legal duty to gain assurance from the National Health Service and 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, resurgence of Covid-19, and/or management of a potential twin-demic of seasonal flu and Covid-19.</p>	<p>Insufficient capacity / resource to deliver response and recovery concurrently for a prolonged period, including potential future wave(s) of Covid-19.</p>	<p>Potential increased harm or loss of life if response is not effective.</p> <p>Increased financial cost in terms of damage control and insurance costs.</p> <p>Adverse effect on local businesses and the Kent economy.</p> <p>Possible public unrest and significant reputational damage.</p> <p>Legal actions and intervention for failure to fulfil KCC's obligations under the Civil Contingencies Act or other associated legislation.</p>	<p>On behalf of CMT:</p> <p>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> <p>Timescale to Target</p> <p>1-2 years</p>	
Control Title			Control Owner			
Utilising data sets from ONS and UKHSA and local health partners to give a picture of Covid19 across Kent.			Anjan Ghosh, Director of Public Health			
<p>Director of Public Health now has oversight of the delivery of immunisation and vaccination programmes in Kent through the Health Protection Board</p> <p>Director of Public Health has regular teleconferences with the UK Health Security Agency UK Health Security</p>			Anjan Ghosh, Director of Public Health			

Agency office on the communication of infection control issues	
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 local outbreak management 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
Local Outbreak Management 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 Kent Resilience Forum, Kent and Medway Integrated Care Board and other key partners	Anjan Ghosh, Director of Public Health
vaccination rollout for both covid and flu supported, including autumn booster with focus on vulnerable staff and clients	Anjan Ghosh, Director of Public Health
Floor standards with a number of triggers have been agreed with the Corporate Management Team for guidance to be issued to staff when triggers met.	Anjan Ghosh, Director of Public Health
If all triggers are breached at a local level, the matter will be escalated to CMT and Health Protection Board to consider reinstating Kent Resilience Forum command structures for non-pharmaceutical interventions and further measures contingent on central government guidance.	Anjan Ghosh, Director of Public Health
Public Health infection prevention and control nurse attends Kent and Medway Infection Control Committee	Ellen Schwartz Deputy Director of Public Health

Risk ID	CRR0052	Risk Title	Impacts of Climate Change on KCC services			
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
Impacts of Climate Change, particularly in relation to extreme weather events on KCC and the services KCC provides or commissions.	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)	Timescale to Target 3+ years
	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 (loss 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 Bourner, 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 Bourner, Drainage Asset Manager	December 2022 (review)

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>Zena Cooke, 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>Timescale to Target</p> <p>3+ years</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 considered during the budget setting process.	Zena Cooke, 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	
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	
Action Title	Action Owner	Planned Completion Date
External funding bid for 'priority school build programme' (DfE) has been submitted, awaiting outcome.	James Sanderson, Head of Property Operations	December 2022 (review)
Lobbying central Government re capital grants relating to Highways.	Haroona Chughtai, Director Highways and Transportation	December 2022

Extensive lobbying of Government in relation to capital funding.

Zena Cooke, Corporate
Director Finance

January 2023 (review)

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.	Financial loss leading to pressures on budgets that may impact the provision of services to service users and residents	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.	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.	Responsible Cabinet Member(s):	TBC	TBC	Timescale to Target
Fraud and Error – fraud within supply chains or errors with payments to suppliers.	Suppliers becoming insolvent.		Roger Gough, Leader of the Council			1-2 years
Serious and Organised Crime – inadvertently contracting with Organised Crime Groups within supply chains.	Loss of/access to KCC data		Peter Oakford, Finance, Corporate and Traded Services			
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, rising inflation 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	
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	
Inflation clauses are written into some but not all contracts commissioned via Strategic Commissioning. Corporate Finance have been provided with data as to where inflation clauses exist Where impact of inflation on contracts is being managed by negotiation and reported to Finance Business Partners.	Clare Maynard, Interim Strategic Commissioner	
Providers encouraged to register their premises with energy companies to ensure that if there is a loss of power, they will have same energy privileges as hospitals.	Clare Maynard, Interim Strategic Commissioner	
Action Title	Action Owner	Planned Completion Date
Review of the 'Spending the Council's Money policy to ensure it is fit for purpose	Clare Maynard, Interim Strategic Commissioner	January 2023
Post implementation review of the Commission Standards Tools and Templates.	Michael Bridger, Commissioning Standards Manager	January 2023
Working group set up to review risk of Serious and Organised Crime (SOC) in supply chain and update procedures accordingly.	Natalie Liddiard, SOC Coordinator	March 2023

Risk ID	CRR0056	Risk Title	Special Educational Needs and Disabilities (SEND) Delivery and High Needs Funding			
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
The Kent local area inspection by Ofsted and the CQC for children with SEND took place in January 2019. This inspection found nine significant areas of weakness across the local area which resulted in a Written Statement of Action being issued.	Insufficient improvement in areas identified within Ofsted timescales and children with SEND do not meet sufficient progress within the available financial resource.	Adverse impact on outcomes for vulnerable young people. Dissatisfaction from families.	Sarah Hammond, Corporate Director CYPE	Very Likely (5)	Major (5)	
In September 2022, the Local Area was revisited by Inspectors from both Ofsted and the CQC, who found that the area had not made sufficient progress in addressing any of the significant weaknesses.	Inability to manage within budget and reduce accumulated deficit on Dedicated Schools Grant reserve.	Potential for legal action if statutory time limits or processes are not met.		Target Residual Likelihood	Target Residual Impact	Timescale to Target
This has now reverted to the DfE and NHSE for consideration of next steps. An Accelerated Progress Plan (APP) will be required to be formalised by the Local Area against which Outcome and Impact based KPIs will be scrutinised and addressed.		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.	Responsible Cabinet Member(s): Rory Love, Education & Skills	Likely (4)	Serious (4)	3+ years
In addition, 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 a forecast deficit of £140m on the DSG reserve for 31st March 2023.

The Council is now part of the DfE Safety Valve programme and as part of this, will need to bring High Needs spending back into balance over the medium term and contribute to repaying the historic deficit.

Corresponding pressure on some of KCC's non-DSG SEND related budgets e.g. SEN Home to School Transport, is also being experienced.

Consequently, meeting the needs of children and young people with SEND within available resources is becoming ever more challenging.

The ability to forecast costs in future years is difficult.

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 / Rory Love, Cabinet Member, Education and Skills / Sarah Hammond, Corporate Director (CYPE)
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.	Zena Cooke, Corporate Director Finance (Section151 Officer) / Christine McInnes, Director of Education
SEND Transformation Board 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.	Sarah Hammond, Corporate Director CYPE (KCC lead)
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, Corporate Director CYPE (KCC lead)
Kent Joint SEND vision established	Sarah Hammond, 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, Corporate Director CYPE (KCC lead)
Robust programme management in place, ensuring appropriate integration between workstreams and delivery plan.	Sarah Hammond, 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, Corporate Director CYPE (KCC lead)

Action Title	Action Owner	Planned Completion Date
Implementation of SEND Accelerated Progress Plan Inclusion workstream to better address the relationship between learner need, outcomes, provision and cost in addition to reviewing externally commissioned arrangements including independent providers, home tuition and therapy service, to ensure Value for Money.	Sarah Hammond, Corporate Director CYPE	March 2023 (review)
County Approach to Inclusive Education – approach to reduce number of children requiring EHCPs and Special Schools by developing more inclusive mainstream schools across the County.	Christine McInnes, Director of Education	March 2023 (review)
To agree a financial recovery plan with the DfE.	Zena Cooke, Corporate Director Finance / John Betts	December 2022
SEND Improvement Programme, which includes delivery of requirements detailed in the Kent Accelerated Progress Plan, covering three key workstreams relating to: <ol style="list-style-type: none"> 1) Health related, Systems, Post-16 and Alternative Provisions 2) Inclusion, Early Years and Mainstream 3) Parental Engagement, SEN process and structure, and Communication Strategy 	Sarah Hammond, Corporate Director CYPE	April 2023 (review)

Risk ID	CRR0057	Risk Title	Home to School Transport			
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
Home to School transport is available for SEND children with specific criteria in place. This requires close collaboration between services across the Council to ensure children are assessed and contractual arrangements for transport are put in place and communicated in a timely manner. There are multiple points of Governance across multiple business delivery points and multiple directorates.	Capacity risk of insufficient vehicles to take assessed children to school, along with lack of available drivers in driver/taxi sector.	Not meeting statutory duties or fulfilling parent / carer expectations regarding provision of appropriate access to education for all children.	Sarah Hammond, Corporate Director CYPE	Likely (4)	Serious (4)	
	Financial risk due to increased financial pressures and increased costs for service providers, with a forecast overspend of £8.2m in this financial year.	Implications on demand for school places.	Simon Jones, Corporate Director GET	Target Residual Likelihood	Target Residual Impact	
	Increased pressure on Officer time in relation to demand for school places.	Reputational damage if children not provided with transport in sufficient timescales.	Responsible Cabinet Member(s):	Unlikely (2)	Significant (3)	
As children transition between schools, there are additional pressure points where schools and parents need to keep the Local Authority up to date of any changes to ensure the relevant teams are aware of new applicants and/or changes to current arrangements in sufficient time.	Reputational risk linked to insufficient communications and expectation management.		Rory Love, Education & Skills		Timescale to Target	
It is anticipated that Home to School Transport will be impacted by any changes to			David Brazier, Highways and Transportation		TBC	

<p>subsidised bus routes from October 2022 onwards.</p> <p>Early Help and Care Plan (EHCP) numbers are currently rising across Kent (link to CRR0056), putting additional demand on resources and capacity in the market.</p>		
Control Title		Control Owner
Home to School Transport Board in place which is now meeting monthly, chaired by Cabinet Member for Education and Skills.		Sarah Hammond, Corporate Director CYPE
Increase in resource within the relevant teams.		Simon Jones. Corporate Director GET
Ongoing identification work of all children with an EHCP, currently open to social work or early help, who have not applied for transport. The relevant social workers due to contact all parents to offer support.		Sarah Hammond, Corporate Director CYPE
Action Title	Action Owner	Planned Completion Date
Management Action Plan coming out of Internal Audit Review, overseen by Governance and Audit Committee	Sarah Hammond, Corporate Director CYPE	March 2023 (review)
Work to improve inclusion and for more children to be educated in their local school, including Accelerated Progress Plan and Safety Valve work.	Sarah Hammond, Corporate Director CYPE	March 2023 (review)
Communications Strategy drafted.	Sarah Hammond, Corporate Director CYPE	January 2023 (review)
Automation of the process where possible, including consideration of implementation of Travel Service Optimiser (TSO)	Simon Jones. Corporate Director GET / Sarah Hammond, Corporate Director	March 2023 (review)

CYPE		
End to end process review	Simon Jones, Corporate Director GET / Sarah Hammond, Corporate Director CYPE	March 2023 (review)

Risk ID	CRR0058	Risk Title	Recruitment and retention of the workforce			
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
Attracting, and retaining staff continues to be reported as a challenge across directorates.	Insufficient staff to meet service demands	Impact on productivity (could be positive or negative)	On behalf of CMT	TBC	TBC	
Risks relating to the workforce equate to a third of total risks being monitored by KCC	Inability to progress service development	Impact on delivery of statutory functions.	Paul Royel – Director of HR OD	Target Residual Likelihood	Target Residual Impact	
Rolling turnover rate has increased in 2021/22, reaching 14% in March 22 compared to 9% March 2021. Turnover rates for Q1 and Q2 2022 are higher than national averages for the sector.	Impact on budgets from use of agency staff/contractors to fill roles.	Lack of experienced staff with specialist skills	Responsible Cabinet Member(s):	TBC	TBC	Timescale to Target
There is a need to ensure that a suitably qualified, skilled and experienced workforce is in place to deliver services.		Loss of corporate memory	Shellina Prendergast			
National skills shortages in key areas, such as social work, driving, and technical roles for example surveyors, and public health consultants are adding to difficulties with filling vacancies and increasing competition between employers.		Reliance on interim and agency staff	Communications, Engagement, People and Partnerships			
The proximity of Kent to London presents challenges regarding pay structure. Employers in		Low staff morale				
		Impact on delivery of projects to expected time scales				
		Reputational damage				

<p>London may offer improved pay offers to attract those into key roles.</p> <p>Buoyant market for the workforce opportunities to work remotely provide applicants with greater flexibility and choice of workplace</p>		
Control Title	Control Owner	
Regular engagement with recognised trades unions.	Paul Royel, Director HR and OD	
People Strategy for 2022-2027 approved by Personnel Committee	Paul Royel, Director HR and OD	
KCC's Organisation Design principles have been refreshed to ensure they remain fit for purpose.	Paul Royel, Director HR and OD	
Promoting even more regular communications between managers and their teams while working remotely via "Good Conversations" tools etc.	Diane Trollope, OD and Engagement	
KCC's values, behaviours and culture embedded by managers, linked to KCC Strategic Reset programme.	Diane Trollope, OD and Engagement	
Annual workforce profile report for the Personnel Committee gives detailed analysis on staffing levels and provides comparator information on previous years	Paul Royel, Director HR and OD	
Action Title	Action Owner	Planned Completion Date
Communication, implementation and measurement of the impact of the People Strategy.	Paul Royel, Director HR and OD	December 2022 (review)