



# **KCC Corporate Risk Register**

For presentation to Governance & Audit Committee 18/05/2023

## 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	Timescale to Target (baseline summer 2022 unless otherwise stated).
CRR0001	Safeguarding – protecting vulnerable children	Medium (15)	Medium (15)	↔	At Target
CRR0002	Safeguarding – protecting adults at risk	High (20)	Medium (15)	↔	1-2 Years
CRR0003	Securing resources to aid economic recovery and enabling infrastructure	High (25)	High (16)	↔	3+ Years
CRR0004	Simultaneous Emergency Response and Resilience	Medium (15)	Medium (15)	↓	At Target
CRR0009	Future financial and operating environment for local government	High (20)	High (16)	↔	1-2 Years
CRR0014	Cyber and information security resilience	High (20)	High (20)	↔	At Target
CRR0015	Managing and working with the social care market	High (25)	Medium (15)	↔	3+ Years
CRR0039	Information Governance	Medium (15)	Medium (9)	↓	1-2 Years
CRR0042	Border fluidity, infrastructure, and regulatory arrangements	High (25)	High (16)	↔	1-2 Years
CRR0045	Maintaining effective governance and decision making in a challenging financial and operating environment for local government	Medium (15)	Low (5)	↑	TBC

CRR0049	Fraud and Error	High (10)	Low (5)	↓	Within 1 Year
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	Medium (15)	Medium (15)	↓	At Target
CRR0052	Impacts of Climate Change on KCC Services	High (25)	High (16)	↔	3+ Years
CRR0053	Capital Programme affordability (impacts on performance and statutory duties)	High (25)	High (16)	↔	3+ Years
CRR0056	SEND Delivery Improvement and High Needs Funding shortfall	High (25)	High (16)	Merged risk	3+ Years
CRR0057	Home To School Transport Pressures	High (16)	Medium (12)	New Risk	1-2 Years
CRR0058	Recruitment and Retention of the workforce	High (16)	Medium (9)	New Risk	1-2 Years

\*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			
<b>Source / Cause of risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>	
The Council must fulfil its statutory obligations to effectively safeguard vulnerable children 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 Children, Young People and Education (CYPE)	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.				
	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.		<b>Target Residual Likelihood</b>	<b>Target Residual Impact</b>	
	Spike(s) in demand impact on robustness of controls	Serious operational and financial consequences.	<b>Responsible Cabinet Member(s):</b>	Possible (3)	Major (5)	
		Attract possible intervention from a national regulator for failure to discharge corporate and executive responsibilities.	On behalf of Cabinet:			<b>Timescale to Target</b>
			Sue Chandler, Integrated Children’s Services			At target
			Rory Love, Education and Skills			
			Mike Hill (Lead Member for PREVENT)			
During Lockdown some children were absent from school and some partners were less visible, undertaking fewer home visits to vulnerable children, increasing demand on statutory children’s services. As a result, there has been an increase in the risk to children under 5. This has introduced uncertain impacts for children’s mental health and resilience and the potential for latent demand to build. We are starting to see more complex demand within the system as a result of a more complex working environment. There is also an						

impact on absentee and non-attendance levels within schools.	
<b>Control Title</b>	<b>Control Owner</b>
Active strategy in place to attract, recruit and retain social workers through a variety of routes with particular emphasis on experienced social workers.	Kevin Kasaven, Director of County Services / 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.	Kevin Kasaven, Director of County Services
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, Director of County Services
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, Director of County Services –
Safeguarding and Quality Assurance Unit conducts audits, reviews of practice, identifies themes and patterns for accountable managers to respond and provides challenge.	Kevin Kasaven, Director of County Services –
Multi Agency Public Protection arrangements (MAPPA) in place	Kevin Kasaven, Director of County Services
Kent & Medway Prevent Duty Delivery Board (chaired by KCC) oversees the activity of the Kent and Medway	Richard Smith, Corporate Director ASCH

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.	
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	Kevin Kasaven, Director of County Services / Stuart Collins, Director Operational Integrated Services
Extensive staff training - Quality Assurance Framework has been rolled out and Integrated Children's Services team has received mandatory training related to this	Kevin Kasaven, Director of County Services –/ Stuart Collins, Director Operational Integrated Childrens Services
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, Assistant Director Contest and Serious Organised Crime (SOC),
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, Assistant Director Contest and Serious Organised Crime (SOC),
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, Assistant Director Contest and Serious Organised Crime (SOC),
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, Assistant Director Contest and Serious Organised Crime (SOC)

Semi-regional PREVENT model of delivery across Kent & Medway developed	Nick Wilkinson, Assistant Director Contest and Serious Organised Crime (SOC)	
Adolescent risk management process agreed, and approach signed off.	Stuart Collins, Director Operational Integrated Children's Services	
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 Operational Integrated Children's Services	
Education Safeguarding Team in place as part of the contract with The Education People	Christine McInnes, Director of Education and SEND	
"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, offering external assurance that mechanisms in place have been robust.	Sarah Hammond, Corporate Director, Children, Young People and Education (CYPE)	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Recommendations from recent Independent Local Authority Children's inspection to improve SMART planning and reduce drift in progressing children's plans. Framework for a Child in Need (CIN) implemented and panel being implemented across the districts. The framework allows 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	July 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	June 2023

### Examples of Committee reports of relevance to this risk since November 2022:

Health Overview & Scrutiny Committee 28 March 2023	Item 4 – Child and Adolescent Mental Health Services (CAMHS) tier 4 position  <a href="https://democracy.kent.gov.uk/documents/g9052/Public%20reports%20pack%2028th-Mar-2023%2010.00%20Health%20Overview%20and%20Scrutiny%20Committee.pdf?T=10">https://democracy.kent.gov.uk/documents/g9052/Public%20reports%20pack%2028th-Mar-2023%2010.00%20Health%20Overview%20and%20Scrutiny%20Committee.pdf?T=10</a>
Kent Community Safety Partnership 21 March 2023	Item D2 – Kent and Medway PREVENT Duty Board Update (Restricted)  <a href="https://democracy.kent.gov.uk/documents/g9145/Public%20reports%20pack%2021st-Mar-2023%2010.00%20Kent%20Community%20Safety%20Partnership.pdf?T=10">https://democracy.kent.gov.uk/documents/g9145/Public%20reports%20pack%2021st-Mar-2023%2010.00%20Kent%20Community%20Safety%20Partnership.pdf?T=10</a>
CYPE Cabinet Committee 17 January 2023	Item 8 – Kent Safeguarding Children Multi- Agency Partnership Annual Report  <a href="https://democracy.kent.gov.uk/documents/g9101/Public%20reports%20pack%2017th-Jan-2023%2010.00%20Childrens%20Young%20People%20and%20Education%20Cabinet%20Committee.pdf?T=10">https://democracy.kent.gov.uk/documents/g9101/Public%20reports%20pack%2017th-Jan-2023%2010.00%20Childrens%20Young%20People%20and%20Education%20Cabinet%20Committee.pdf?T=10</a>



<b>Risk ID</b>	<b>CRR0002</b>	<b>Risk Title</b>	<b>Safeguarding – protecting adults at risk</b>			
<b>Source / Cause of risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>	
<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><b>Responsible Cabinet Member(s):</b></p> <p>Clair Bell, Adult Social Care and Public Health</p> <p>Mike Hill (Lead Member for PREVENT)</p>	<p>Likely (4)</p> <p><b>Target Residual Likelihood</b> Possible (3)</p>	<p>Major (5)</p> <p><b>Target Residual Impact</b> Major (5)</p> <p><b>Timescale to Target</b> 1-2 years</p>	

to act to prevent vulnerable people from being drawn into terrorism.	
<b>Control Title</b>	<b>Control Owner</b>
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
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
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 / 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, Assistant Director Contest and Serious Organised Crime (SOC),
PREVENT training strategy in place and regularly reviewed.	Nick Wilkinson, Assistant Director Contest and Serious Organised Crime (SOC),
Semi-regional PREVENT model of delivery across Kent and Medway developed.	Nick Wilkinson, Assistant Director Contest and Serious Organised Crime (SOC),
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, Assistant Director Contest and Serious Organised Crime (SOC),
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, Assistant Director Contest and Serious Organised Crime (SOC),
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, Assistant Director Contest and Serious Organised Crime (SOC),
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
Quality Assurance Framework in place	Sarah Denson, Assistant Director
Practice Framework in place	Sarah Denson, Assistant Director
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
Quality Assurance Board oversees quality of practice, meets on a quarterly basis.	Sarah Denson, Assistant Director

Programme of training events to support practitioners to develop knowledge and skills as part of continuing professional development.	Sarah Denson, Assistant Director–	
Performance improvement plan monitors safeguarding activity and supports managers to identify safeguarding concerns for closure	Sarah Denson, Assistant Director	
KCC is a partner in multi-agency public protection arrangements (MAPPA) for managing sexual and violent offenders. Sarah Denson is first point of contact for Level 3 meetings which occur on a fortnightly basis	Sarah Denson, Assistant Director	
Additional safeguarding training has been commissioned and is available to support the transition/embedding in localities	Sarah Denson, Assistant Director	
Weekly briefings have been delivered over the month of April for Community Managers and Senior Practitioners	Sarah Denson, Assistant Director	
Engagement with Health via the Integrated Care Board, Health and Quality Meetings, and Area Directors attend Health Care Partnership meetings	Sarah Denson Assistant Director and all ASCH Assistant Directors	
Strong relationships with the Local Resilience Forum	Sarah Denson, Assistant Director	
Strategic Safeguarding Reviews are undertaken by the Strategic Safeguarding Unit. Learning from reviews are communicated and where relevant action plans are put in place and monitored for completion. Key messages are shared with SMT	Sarah Denson, Assistant Director	
Corporate and operational risk is regularly discussed at both SMT and DMT. Risks are escalated as required	Richard Smith – Corporate Director ASCH	
Local partnership meeting (Alliance) with on a quarterly basis where issues around provision and safeguarding are shared	Alyson Wagget – Assistant Director	
Countywide Autism and Learning Disability Partnership Leadership Meeting features safeguarding as an agenda item.	Alyson Wagget – Assistant Director	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
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	October 2023
Briefing being provided in relation to Government’s decision to suspend Liberty Protection Safeguards changes.	Maureen Stirrup, Head of Deprivation of Liberty Standards	May 2023

**Examples of Committee reports of relevance to this risk since November 2022:**

<p>Kent Community Safety Partnership 21 March 2023</p>	<p>Item B3 – Multi-Agency Risk Assessment Conference (MARAC) Update</p> <p><a href="https://democracy.kent.gov.uk/documents/g9145/Public%20reports%20pack%2021st-Mar-2023%2010.00%20Kent%20Community%20Safety%20Partnership.pdf?T=10">https://democracy.kent.gov.uk/documents/g9145/Public%20reports%20pack%2021st-Mar-2023%2010.00%20Kent%20Community%20Safety%20Partnership.pdf?T=10</a></p>
<p>Kent Community Safety Partnership 21 March 2023</p>	<p>Item D2 – Kent and Medway PREVENT Duty Board Update (Restricted)</p> <p><a href="https://democracy.kent.gov.uk/documents/g9145/Public%20reports%20pack%2021st-Mar-2023%2010.00%20Kent%20Community%20Safety%20Partnership.pdf?T=10">https://democracy.kent.gov.uk/documents/g9145/Public%20reports%20pack%2021st-Mar-2023%2010.00%20Kent%20Community%20Safety%20Partnership.pdf?T=10</a></p>
<p>Kent Community Safety Partnership 21 March 2023</p>	<p>Item D3 – Kent and Medway Joint Exploitation Group Update</p> <p><a href="https://democracy.kent.gov.uk/documents/g9145/Public%20reports%20pack%2021st-Mar-2023%2010.00%20Kent%20Community%20Safety%20Partnership.pdf?T=10">https://democracy.kent.gov.uk/documents/g9145/Public%20reports%20pack%2021st-Mar-2023%2010.00%20Kent%20Community%20Safety%20Partnership.pdf?T=10</a></p>
<p>Adult Social Care Cabinet Committee 18 January 2023</p>	<p>Item 7 – Kent and Medway Safeguarding Adults Board Annual Report April 2021 – March 2022</p> <p><a href="https://democracy.kent.gov.uk/documents/g9064/Public%20reports%20pack%2018th-Jan-2023%2014.00%20Adult%20Social%20Care%20Cabinet%20Committee.pdf?T=10">https://democracy.kent.gov.uk/documents/g9064/Public%20reports%20pack%2018th-Jan-2023%2014.00%20Adult%20Social%20Care%20Cabinet%20Committee.pdf?T=10</a></p>
<p>Adult Social Care Cabinet Committee 17 November 2022</p>	<p>Item 9 – Deprivation of Liberty Safeguards &amp; Liberty Protection Safeguards</p> <p><a href="https://democracy.kent.gov.uk/documents/g9063/Public%20reports%20pack%2017th-Nov-2022%2014.00%20Adult%20Social%20Care%20Cabinet%20Committee.pdf?T=10">https://democracy.kent.gov.uk/documents/g9063/Public%20reports%20pack%2017th-Nov-2022%2014.00%20Adult%20Social%20Care%20Cabinet%20Committee.pdf?T=10</a></p>

<b>Risk ID</b>	<b>CRR0003</b>	<b>Risk Title</b>	<b>Securing resources to aid economic recovery and enabling infrastructure</b>			
<b>Source / Cause of Risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>	
<p>The economy in Kent &amp; 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><b>Responsible Cabinet Member(s):</b> On behalf of Cabinet:</p> <p>Derek Murphy Economic Development</p>	<p>V. Likely (5)</p> <p><b>Target Residual Likelihood</b> Likely (4)</p>	<p>Major (5)</p> <p><b>Target Residual Impact</b> Serious (4)</p> <p><b>Timescale to Target</b> 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>	
<b>Control Title</b>	<b>Control Owner</b>
Multi-agency Kent and Medway Employment Task Force has been established.	David Smith, Head of Business and Enterprise (KCC lead)
Specific business support packages, including the Kent & Medway Business Fund, Economic Recovery and Resilience Plan, Arts Investment Fund etc.	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.
Government consultations on proposals for reform of the planning system in England considered and responded to.	Tom Marchant, Head of Strategic Planning and Policy

Monitoring of socio-economic data and trends and development of responses to changed economic trends.	David Smith, Head of Business and Enterprise.	
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	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Kent Design Guide to be published – will influence and provide people with expectations and standards that we expect.	Simon Jones, Corporate Director GET	December 2023
Developer Contributions Guide update – will influence and provide people with expectations and standards that we expect.	Simon Jones, Corporate Director GET	July 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 a Kent and Medway Economic Framework 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)	June 2023
Identify the various funding opportunities available and develop a funding framework for accessing the right investment, for the right project, at the right time.	Stephanie Holt-Castle, Director of Growth and Communities (KCC lead)	October 2023 (review)
Development of Kent and Medway Infrastructure Mapping Platform (IMP) – a digital tool consolidating and publishing key local growth and infrastructure data used to coordinate the planning and delivery of ‘good growth’	Tom Marchant, Head of Strategic Planning and Policy	September 2023 (review)
Development of the Kent and Medway Infrastructure Proposition – an infrastructure plan for the county	Tom Marchant, Head of Strategic Planning and Policy	December 2023 (review)



## Examples of Committee reports of relevance to this risk since November 2022:

<p>Environment and Transport Cabinet Committee 19 January 2023</p>	<p>Item 9 – 22/00111 Folkestone A brighter future Levelling Up Fund Round 2 Bid</p> <p><a href="https://democracy.kent.gov.uk/documents/g9034/Public%20reports%20pack%2019th-Jan-2023%2010.00%20Environment%20Transport%20Cabinet%20Committee.pdf?T=10">https://democracy.kent.gov.uk/documents/g9034/Public%20reports%20pack%2019th-Jan-2023%2010.00%20Environment%20Transport%20Cabinet%20Committee.pdf?T=10</a></p>
<p>Environment and Transport Cabinet Committee 19 January 2023</p>	<p>Item 13 – 22/00114 Transport for the South East (TfSE) Strategic Investment Plan</p> <p><a href="https://democracy.kent.gov.uk/documents/g9034/Public%20reports%20pack%2019th-Jan-2023%2010.00%20Environment%20Transport%20Cabinet%20Committee.pdf?T=10">https://democracy.kent.gov.uk/documents/g9034/Public%20reports%20pack%2019th-Jan-2023%2010.00%20Environment%20Transport%20Cabinet%20Committee.pdf?T=10</a></p>
<p>Growth, Economic Development and Communities Cabinet Committee 11 January 2023</p>	<p>Item 7 - Kent and Medway Business Fund Bi-Annual Monitoring Q2</p> <p><a href="https://democracy.kent.gov.uk/documents/b23512/Kent%20and%20Medway%20Business%20Fund%20Bi-Annual%20Monitoring%20Q2%202022-2023%20updated%2011th-Jan-2023%2010.00%20Grow.pdf?T=9">https://democracy.kent.gov.uk/documents/b23512/Kent%20and%20Medway%20Business%20Fund%20Bi-Annual%20Monitoring%20Q2%202022-2023%20updated%2011th-Jan-2023%2010.00%20Grow.pdf?T=9</a></p>
<p>Cabinet 1 December 2022</p>	<p>Item 6 – Developer Contributions Guide</p> <p><a href="https://democracy.kent.gov.uk/documents/g8992/Public%20reports%20pack%2001st-Dec-2022%2010.00%20Cabinet.pdf?T=10">https://democracy.kent.gov.uk/documents/g8992/Public%20reports%20pack%2001st-Dec-2022%2010.00%20Cabinet.pdf?T=10</a></p>
<p>Growth, Economic Development and Communities Cabinet Committee 22 November 2022</p>	<p>Item 9 - 22/0098 Further Investment of Getting Building Funding</p> <p><a href="https://democracy.kent.gov.uk/documents/g9069/Public%20reports%20pack%2022nd-Nov-2022%2014.00%20Growth%20Economic%20Development%20and%20Communities%20Cabinet%20Commi.pdf?T=10">https://democracy.kent.gov.uk/documents/g9069/Public%20reports%20pack%2022nd-Nov-2022%2014.00%20Growth%20Economic%20Development%20and%20Communities%20Cabinet%20Commi.pdf?T=10</a></p>

<b>Risk ID</b>	<b>CRR0004</b>	<b>Risk Title</b>	<b>Simultaneous Emergency Response, Recovery and Resilience</b>			
<b>Source / Cause of Risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>	
<p>The County Council, along with other Category 1 Responders, 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 informed by accelerating climate change linked severe weather impacts, national and international security threats, severe weather incidents, '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>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 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 additional strain on capacity and resource.</p>	<p>Potential increased harm or loss of life if response is not effective.</p> <p>Serious threat to delivery of critical services.</p> <p>Significant harm to the natural and built 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><b>Responsible Cabinet Member(s):</b></p> <p>On behalf of Cabinet:  Mike Hill, Community &amp; Regulatory Services</p>	<p>Possible (3)</p> <p><b>Target Residual Likelihood</b> Possible (3)</p>	<p>Major (5)</p> <p>Major (5)</p> <p><b>Timescale to Target</b> At Target</p>	

Control Title	Control Owner
Management of financial impact to include Bellwin scheme.	Cath Head, Head of Finance (Operations)
KCC contribute to Kent Resilience Forum planning 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 maintains a Major Emergency Plan which 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 /
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	Tony Harwood, Resilience and Emergencies Manager /

(CEC).		
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	
Coordination of KCC preparations for potential power outages across the County ensuring continuity of front-line services	Tony Harwood, Resilience and Emergencies Manager.	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
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	April 2023
Procure contract for resilient air wave radio communications which will function regardless of any wider loss of power	Tony Harwood, Resilience and Emergency Planning Manager	October 2023
Emergency planning team are supporting with establishing command and control hubs for multi-agency responses where there is existing contingency power supply by way of generators.	Tony Harwood, Resilience and Emergency Planning Manager	October 2023
Emergency Planning Team are leading on the identification and creation of operational hubs where contingency power exists in the form of generators. These hubs will be available for KCC to deliver operational activities should there be loss of power.	Tony Harwood, Resilience and Emergency Planning Manager	October 2023

**Examples of Committee reports of relevance to this risk since November 2022:**

<p>Kent Flood Risk Management Committee 21 March 2023</p>	<p>Item 8 – Introduction to the work of the KCC Sustainable Drainage Team and Schedule 3 of the Flood and Water Management Act</p> <p><a href="https://democracy.kent.gov.uk/documents/g9130/Public%20reports%20pack%2021st-Mar-2023%2014.00%20Kent%20Flood%20Risk%20Management%20Committee.pdf?T=10">https://democracy.kent.gov.uk/documents/g9130/Public%20reports%20pack%2021st-Mar-2023%2014.00%20Kent%20Flood%20Risk%20Management%20Committee.pdf?T=10</a></p>
<p>Kent Flood Risk Management Committee 21 March 2023</p>	<p>Item 9 – Environment Agency and Met Office Alerts and Warnings and KCC severe weather response activity.</p> <p><a href="https://democracy.kent.gov.uk/documents/g9130/Public%20reports%20pack%2021st-Mar-2023%2014.00%20Kent%20Flood%20Risk%20Management%20Committee.pdf?T=10">https://democracy.kent.gov.uk/documents/g9130/Public%20reports%20pack%2021st-Mar-2023%2014.00%20Kent%20Flood%20Risk%20Management%20Committee.pdf?T=10</a></p>

<b>Risk ID</b>	<b>CRR0009</b>	<b>Risk Title</b>	<b>Future financial and operating environment for Local Government</b>			
<b>Source / Cause of risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner (s)</b>	<b>Current Likelihood</b>	<b>Current Impact</b>	
<p>The Autumn Statement 2022 set out the Government’s high level public plans to 2027-28. Detailed departmental plans (including local government) were set out up to 2024-25. This included additional grant announcements for social care and increased council tax referendum limits for 2023-24 and 2024-25. This included additional grant announcements for social care and increased council tax referendum limits for 2023-24 and 2024-25.</p> <p>The local government finance settlement announced in December 2022 provided detailed allocations for 2023-24 with guiding principles for the additional amounts available for social care in 2024-25.</p> <p>We know from the spending plans that any further growth in resources is likely to be limited and that further savings are likely to be required, although without detailed spending plans it is difficult to predict how significant these will be or how much of the</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 deliver 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><b>Responsible Cabinet Member(s):</b></p> <p>All Cabinet Members</p>	<p>Likely (4)</p> <p><b>Target Residual Likelihood</b></p> <p>Likely (4)</p>	<p>Major (5)</p> <p><b>Target Residual Impact</b></p> <p>Serious (4)</p> <p><b>Timescale to Target</b></p> <p>1-2 years</p>	

additional funding for 2023-24 and 2024/25 will be included in the baseline for future settlements.

The long-awaited Fair Funding review of local authority funding has been further delayed for at least two years (until 2025-26) as have the reforms to social care charging.

The overall settlement for 2023-24 was insufficient to fully fund forecast demand and cost growth pressures facing services across the council (even after additional funding for social care). The spending growth for 2023-24 was extraordinary in that it had to include the full year effect of forecast overspending from 2022-23 as well as forecast future price increases significantly above the government's target and forecast future demand. Savings rely on more significant policy decisions than previous budgets and increased income from other sources (including fees and charges and company dividends).

Uncertainty also applies to services funded via ring-fenced specific grants. Of particular concern is the special educational

medium term financial planning.



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 CRR0056) 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 geo-political uncertainties in the current environment which additionally impact on the financial and operating environment. As a result of economic uncertainty, there are inflation, interest rate and cost pressures that we need to manage, alongside decreased purchasing power.

<b>Control Title</b>	<b>Control Owner</b>
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)

Independent review of savings proposals and growth estimates	Zena Cooke, Corporate Director Finance (Section 151 Officer)
Forecasts for future spending growth to be revised as necessary once estimates become more certain and only finalised in controllable budgets once uncertainties have been resolved.	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 Chancellor of the Exchequer Budget Statement to review potential implications for future local government settlements.	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)
Regular monitoring and oversight of progress against KCC's 'Safety Valve' agreement with the Department for Education (DfE)	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	David Whittle, Director SPRCA / Amanda Beer, Deputy Chief

operating environment more broadly.	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 with the potential for significant financial implications for the Council including adult and children's social care, changes to waste collection arrangements etc.	Richard Smith, Corporate Director ASCH / Sarah Hammond, Corporate Director CYPE / Simon Jones, Corporate Director GET / Zena Cooke, Corporate Director Finance	
Ongoing policy analysis of the devolution agenda and devolution deals agreed by the government	David Whittle Director SPRCA	
Regular review of HM Treasury forecasts and Government planned spending levels for local government	Zena Cooke, Corporate Director Finance	
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)	
Monthly budget reviews involving the Chief Executive Officer, section 151 Officer and Corporate Directors to scrutinise progress against agreed budget savings.	David Cockburn, Chief Executive Officer / Zena Cooke, Corporate Director Finance (Section 151 Officer)	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Outcomes Based Budgeting approach being developed to strengthen links between outcomes and funding within resource envelopes, using robust analysis and evidence that includes aligning performance and finance information. using robust analysis and evidence, with resource envelopes issued	Zena Cooke, Corporate Director Finance	April 2024 (review)

Robust plan for 2024/25 and medium term to be developed earlier in the planning cycle.

Zena Cooke, Corporate  
Director Finance (Section 151  
Officer)

November 2023

### Examples of Committee reports of relevance to this risk since November 2022:

Cabinet 30 March 2023	Item 7 – Financial Monitoring Report  <a href="https://democracy.kent.gov.uk/documents/g8995/Public%20reports%20pack%2030th-Mar-2023%2010.00%20Cabinet.pdf?T=10">https://democracy.kent.gov.uk/documents/g8995/Public%20reports%20pack%2030th-Mar-2023%2010.00%20Cabinet.pdf?T=10</a>
County Council 9 February 2023	Item 6 – Capital Programme 2023_33 & Revenue Budget 23_24  <a href="https://democracy.kent.gov.uk/documents/g9026/Public%20reports%20pack%2009th-Feb-2023%2009.30%20County%20Council.pdf?T=10">https://democracy.kent.gov.uk/documents/g9026/Public%20reports%20pack%2009th-Feb-2023%2009.30%20County%20Council.pdf?T=10</a>
Scrutiny Committee 25 January 2023	Item A6 - Draft 10 year Capital Programme, Revenue Budget 2023-24 and MTFP  <a href="https://democracy.kent.gov.uk/documents/g9013/Public%20reports%20pack%2025th-Jan-2023%2014.00%20Scrutiny%20Committee.pdf?T=10">https://democracy.kent.gov.uk/documents/g9013/Public%20reports%20pack%2025th-Jan-2023%2014.00%20Scrutiny%20Committee.pdf?T=10</a>
Cabinet 5 January 2023	Item 5 - Provisional Local Government Finance Settlement  <a href="https://democracy.kent.gov.uk/documents/g8993/Public%20reports%20pack%2005th-Jan-2023%2010.00%20Cabinet.pdf?T=10">https://democracy.kent.gov.uk/documents/g8993/Public%20reports%20pack%2005th-Jan-2023%2010.00%20Cabinet.pdf?T=10</a>

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

<b>Control Title</b>	<b>Control Owner</b>
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.	James Church ICT Compliance & Risk Manager
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.	James Church ICT Compliance & Risk Manager
Supply chain risk management Program of activities to reduce supply chain risk, including tracking supplier security assurances.	James Church ICT Compliance & Risk Manager
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.	Dave Lindsay Interim Head of Technology, Commissioning and Strategy
Frequent security audits, penetration tests and compliance submissions External review of security posture provides validation that our controls work and are being managed effectively.	James Church ICT Compliance & Risk Manager
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.	James Church ICT Compliance & Risk Manager
Data Protection and Information Governance training is mandatory and requires staff to refresh periodically. Progress rates monitored regularly.	Ben Watts, General Counsel and KCC Data Protection Officer / Paul Royel, Director HR/OD
Additional messages warning staff of cyber threats are being sent out regularly.	Diane Christie, Head of OD and Engagement
Messages to encourage increased awareness of information security amongst staff are communicated to align with key implementation milestones of the ICT Transformation Programme.	Diane Christie, Head of OD and Engagement

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	May 2023
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.	James Church, ICT Compliance and Risk Manager	June 2023

<b>Risk ID</b>	<b>CRR0015</b>	<b>Risk Title</b>	<b>Managing and working with the social care market</b>			
<b>Source / Cause of Risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>	
<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><b>Responsible Cabinet Member(s):</b> Clair Bell, Adult Social Care and Public Health</p>	<p>V. Likely (5)</p> <p><b>Target Residual Likelihood</b> Possible (3)</p>	<p>Major (5)</p> <p><b>Target Residual Impact</b> Major (5)</p> <p><b>Timescale to Target</b> 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 Stephen, Senior Commissioning Manager

Ongoing Contract Monitoring, working in partnership with the Access to Resources team.

Clare Maynard, Interim Strategic Commissioner

Opportunities for joint commissioning and procurement in partnership with key agencies (i.e., Health) being regularly explored, including joint work regarding the provision of dementia nursing beds.

Clare Maynard, Interim Strategic Commissioner

Regular engagement with provider and trade organisations

Clare Maynard, Interim Strategic Commissioner

Older Persons Accommodation Strategy refreshed, which analyses demand and need and sets the future vision and direction for accommodation to support vulnerable Kent residents alongside the Adult Social Care Strategy - Your Life, Your Wellbeing	Richard Smith, Corporate Director ASCH
Ensuring contracts have indexation clauses built-in, managed through contract monitoring.	Michael Bridger, Commissioning Standards Manager
Analytics function utilises data to inform decision making before moving commissioning activity forward.	Matt Wagner, Interim Chief Analyst
Care in the Home Services refresh completed bringing Supported Living Services under the Care in the Home Umbrella.	Paul Stephen, Senior Commissioning Manager
Care and Support in the Home Services contract combines homecare and community based supporting independence services.	Paul Stephen, Senior Commissioning Manager
Analytical work is being conducted on assessments and reviews in adult social care to help inform key commissioning activity, including winter planning and impact of Covid.	Matt Wagner, Interim 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 Stephen, 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	Louise Merchant, 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	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Conversations around recommissioning of care and support in the home framework and home care framework have commenced – options paper being drafted, including lessons learned.	Paul Stephen, Senior Commissioning Manager	April 2023 (Review)

#### Examples of Committee reports of relevance to this risk since November 2022:

Adult Social Care Cabinet Committee 15 March 2023	Item 11 - Revision of Rates Payable and Charges Levied for Adult Social Care Services in 2023-24  <a href="https://democracy.kent.gov.uk/documents/g9065/Public%20reports%20pack%2015th-Mar-2023%2014.00%20Adult%20Social%20Care%20Cabinet%20Committee.pdf?T=10">https://democracy.kent.gov.uk/documents/g9065/Public%20reports%20pack%2015th-Mar-2023%2014.00%20Adult%20Social%20Care%20Cabinet%20Committee.pdf?T=10</a>
Health Overview and Scrutiny Committee 31 March 2023	Item 4 – Kent and Medway Integrated Care Strategy  <a href="https://democracy.kent.gov.uk/documents/g9051/Agenda%20frontsheet%2031st-Jan-2023%2010.00%20Health%20Overview%20and%20Scrutiny%20Committee.pdf?T=0">https://democracy.kent.gov.uk/documents/g9051/Agenda%20frontsheet%2031st-Jan-2023%2010.00%20Health%20Overview%20and%20Scrutiny%20Committee.pdf?T=0</a>

<b>Risk ID</b>	<b>CRR0039</b>	<b>Risk Title</b>	<b>Information Governance</b>			
<b>Source / Cause of risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>	
<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 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><b>Responsible Cabinet Member(s):</b></p> <p>Roger Gough, Leader</p> <p>Shellina Prendergast Communications and People</p> <p>Peter Oakford, Deputy Leader and Cabinet Member for Finance, Corporate and</p>	<p>V. Likely (5)</p> <p><b>Target Residual Likelihood</b></p> <p>Possible (3)</p>	<p>Significant (3)</p> <p><b>Target Residual Impact</b></p> <p>Significant (3)</p> <p><b>Timescale to Target</b></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><b>Control Title</b></p>	<p><b>Control Owner</b></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>

Privacy notices as well as procedures/protocols for investigating and reporting data breaches reviewed and updated.	Caroline Dodge, Team Leader Information Resilience & Transparency	
Information Resilience and Transparency team in place, providing business information governance support.	Caroline Dodge, Team Leader Information Resilience & Transparency	
Cross Directorate Information Governance Working Group in place.	Michael Thomas-Sam, Strategic Business Adviser Social Care	
Corporate Information Governance Group established, chaired by the DPO and including the SIRO and Caldecott Guardian acting as a point of escalation for information governance issues and further escalation to the Corporate Management Team if required	Ben Watts, General Counsel and KCC Data Protection Officer	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
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	May 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	June 2023
Working from Home Information Governance and Records Management audit implementation of recommendations	Ben Watts, General Counsel / David Whittle, Director SPRCA	June 2023
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	June 2023 (completion of updates in outstanding areas)
Paper to CMT regarding FOI statutory returns	Ben Watts, General Counsel and KCC Data Protection Officer	June 2023

**Examples of Committee reports of relevance to this risk since November 2022:**

Governance & Audit Committee 26 January 2023	Item 5 – Annual Governance Statement  <a href="https://democracy.kent.gov.uk/documents/g9125/Public%20reports%20pack%2026th-Jan-2023%2014.00%20Governance%20and%20Audit%20Committee.pdf?T=10">https://democracy.kent.gov.uk/documents/g9125/Public%20reports%20pack%2026th-Jan-2023%2014.00%20Governance%20and%20Audit%20Committee.pdf?T=10</a>
Governance & Audit Committee 26 January 2023	Item 8 – External Audit Progress Report  <a href="https://democracy.kent.gov.uk/documents/g9125/Public%20reports%20pack%2026th-Jan-2023%2014.00%20Governance%20and%20Audit%20Committee.pdf?T=10">https://democracy.kent.gov.uk/documents/g9125/Public%20reports%20pack%2026th-Jan-2023%2014.00%20Governance%20and%20Audit%20Committee.pdf?T=10</a>

<b>Risk ID</b>	<b>CRR0042</b>	<b>Risk Title</b>	<b>Border fluidity, infrastructure and regulatory arrangements</b>			
<b>Source / Cause of risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>	
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.	<b>Responsible Cabinet Member(s):</b>  David Brazier, Highways & Transport	<b>Target Residual Likelihood</b>  Possible (4)	<b>Target Residual Impact</b>  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			<b>Timescale to Target</b> 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>
<b>Control Title</b>	<b>Control Owner</b>
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 Emergency Planning, Infrastructure etc.	Steve Rock, Head of Trading Standards	
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	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
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	July 2023 (review)
Preparation for impact of implementation of EES system.	Simon Jones, Corporate Director GET	November 2023

**Risk ID CRR0045 Risk Title Maintaining effective governance and decision making in a challenging financial and operating environment for local government.**

<b>Source / Cause of risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>
<p>The continuation of a challenging financial and operating environment for Local Government (see risk CRR0009) will require difficult policy decisions to be made in a timely manner, which requires continued effective governance and decision making as well as robust internal control mechanisms. Examples from other local authorities has shown the impact that ineffective decision making can have on financial resilience. KCC's constitution explicitly references the demarcation of Member and Officer roles which consequently places dependency on the effectiveness of the member governance of the Council. Elected Members may require additional training and expertise to enable capability of effective challenge.</p>	<p>Members are unwilling or unable to agree necessary policy (service) decisions to deliver a legally balanced budget and sustainable medium-term financial plan (MFTP).</p>	<p>Decisions challenged under judicial review on the appropriateness of the decision-making within KCC.</p>	<p>David Cockburn, Chief Executive Officer</p>	<p>Possible (3)</p>	<p>Major (5)</p>
	<p>Members agree a budget requiring unrealistic and undeliverable efficiency savings leading to significant in-year overspends.</p>	<p>Monitoring Officer / Head of Paid Service statutory report to Council.</p>	<p>Zena Cooke, Corporate Director Finance (s151 Officer)</p>	<p><b>Target Residual Likelihood</b> V. Unlikely (1)</p>	<p><b>Target Residual Impact</b> Major (5)</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>Reputational damage to the Council.</p> <p>S114 Notice issued by the S151 Officer.</p>	<p>Ben Watts, General Counsel and Monitoring Officer</p>	<p><b>Responsible Cabinet Member(s):</b> Roger Gough, Leader of the Council  Peter Oakford, Deputy Leader and Cabinet Member for Corporate and</p>	<p><b>Timescale to Target</b> TBC</p>

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
Appropriate performance reporting of service and corporate performance to Cabinet, Cabinet Committee and Full Council	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
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Review of KCC Informal Governance arrangements and Operating Standards	David Whittle, Director SPRCA	July 2023
Completion of the activities required, including the review of the Constitution, to ensure that the Chief Executive Officer (CEO) has a fit for purpose support and governance structure (as agreed by the County Council) to continue the effective discharge of duties.	David Cockburn, CEO / Ben Watts, General Counsel	September 2023

**Examples of Committee reports of relevance to this risk since November 2022:**

Cabinet 30 March 2023	Item 8 – Quarterly Performance Report  <a href="https://democracy.kent.gov.uk/documents/g8995/Public%20reports%20pack%2030th-Mar-2023%2010.00%20Cabinet.pdf?T=10">https://democracy.kent.gov.uk/documents/g8995/Public%20reports%20pack%2030th-Mar-2023%2010.00%20Cabinet.pdf?T=10</a>
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<p>Governance &amp; Audit Committee 16 March 2023</p>	<p>Item 4 - Review of the Terms of Reference for the Governance and Audit Committee</p> <p><a href="https://democracy.kent.gov.uk/documents/g9126/Public%20reports%20pack%2016th-Mar-2023%2010.00%20Governance%20and%20Audit%20Committee.pdf?T=10">https://democracy.kent.gov.uk/documents/g9126/Public%20reports%20pack%2016th-Mar-2023%2010.00%20Governance%20and%20Audit%20Committee.pdf?T=10</a></p>
<p>County Council 9 February 2023</p>	<p>Item 5 – Section 25 Assurance Statement</p> <p><a href="https://democracy.kent.gov.uk/documents/g9026/Public%20reports%20pack%2009th-Feb-2023%2009.30%20County%20Council.pdf?T=10">https://democracy.kent.gov.uk/documents/g9026/Public%20reports%20pack%2009th-Feb-2023%2009.30%20County%20Council.pdf?T=10</a></p>
<p>Cabinet 26 January 2023</p>	<p>Item 7 – Strategic Reset Programme</p> <p><a href="https://democracy.kent.gov.uk/documents/g8994/Public%20reports%20pack%2026th-Jan-2023%2010.00%20Cabinet.pdf?T=10">https://democracy.kent.gov.uk/documents/g8994/Public%20reports%20pack%2026th-Jan-2023%2010.00%20Cabinet.pdf?T=10</a></p>
<p>Governance &amp; Audit Committee 26 January 2023</p>	<p>Item 5 – Annual Governance Statement</p> <p><a href="https://democracy.kent.gov.uk/documents/g9125/Public%20reports%20pack%2026th-Jan-2023%2014.00%20Governance%20and%20Audit%20Committee.pdf?T=10">https://democracy.kent.gov.uk/documents/g9125/Public%20reports%20pack%2026th-Jan-2023%2014.00%20Governance%20and%20Audit%20Committee.pdf?T=10</a></p>
<p>Governance &amp; Audit Committee 26 January 2023</p>	<p>Item 11 - Review of the Risk Management Strategy Policy and Programme</p> <p><a href="https://democracy.kent.gov.uk/documents/g9125/Public%20reports%20pack%2026th-Jan-2023%2014.00%20Governance%20and%20Audit%20Committee.pdf?T=10">https://democracy.kent.gov.uk/documents/g9125/Public%20reports%20pack%2026th-Jan-2023%2014.00%20Governance%20and%20Audit%20Committee.pdf?T=10</a></p>
<p>Scrutiny Committee 7 December 2022</p>	<p>Item C4 - Scrutiny Committees role in relation to KCC's SEND provision</p> <p><a href="https://democracy.kent.gov.uk/documents/g9012/Public%20reports%20pack%2007th-Dec-2022%2014.00%20Scrutiny%20Committee.pdf?T=10">https://democracy.kent.gov.uk/documents/g9012/Public%20reports%20pack%2007th-Dec-2022%2014.00%20Scrutiny%20Committee.pdf?T=10</a></p>

Risk ID	CRR0049	Risk Title	Fraud and Error			
<p><b>Source / Cause of risk</b></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><b>Risk Event</b></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"> <li>- false representations are made to make a gain or expose another to a loss.</li> <li>- failure to notify a change of circumstances to make a gain or expose another to a loss.</li> <li>- abuses their position, in which they are expected to safeguard to make a gain or expose another to a loss.</li> </ul> <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><b>Consequence</b></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><b>Risk Owner</b></p> <p>On behalf of CMT:</p> <p>Zena Cooke, Corporate Director Finance (Section 151 Officer)</p> <p><b>Responsible Cabinet Member(s):</b></p> <p>Peter Oakford, Finance, Corporate and Traded Services</p>	<p><b>Current Likelihood</b></p> <p>Very likely (5)</p> <p><b>Target Residual Likelihood</b></p> <p>Very likely (5)</p>	<p><b>Current Impact</b></p> <p>Moderate (2)</p> <p><b>Target Residual Impact</b></p> <p>Minor (1)</p> <p><b>Timescale to Target</b></p> <p>Within 1 year</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 and is included in the Counter-Fraud action plan.	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. This supports the work of the KIN.	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
The Corporate Management Team is required to engage the Counter Fraud Team regarding all new policies, initiatives and strategies as per the anti-fraud and corruption strategy and have relevant fraud risk assessments and mitigating controls in place on specific fraud risks associated with their areas.	Corporate Management Team /
Systems of internal control which aim to prevent fraud and increase the likelihood of detection e.g. financial controls such as authorisation of payments and spend.	Corporate Management Team
Commissioning standards reviewed, including rules relating to "Spending the Council's Money", which have been clarified to ensure relevant controls are in place to mitigate e.g., declarations of interest for procurement fraud, authorisation levels etc.	Clare Maynard, Interim Strategic Commissioner / Zena Cooke, Corporate Director



	Finance
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 and supply chain.	Clare Maynard, Strategic Commissioner / James Flannery, Counter-Fraud Manager

**Examples of Committee reports of relevance to this risk since November 2022:**

Governance & Audit Committee 26 January 2023	Item 9 – Counter Fraud Update  <a href="https://democracy.kent.gov.uk/documents/g9125/Public%20reports%20pack%2026th-Jan-2023%2014.00%20Governance%20and%20Audit%20Committee.pdf?T=10">https://democracy.kent.gov.uk/documents/g9125/Public%20reports%20pack%2026th-Jan-2023%2014.00%20Governance%20and%20Audit%20Committee.pdf?T=10</a>
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Risk ID implication	CRR0050	Risk Title CBRNE incidents, communicable diseases and incidents with a public health				
<p><b>Source / Cause of risk</b></p> <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><b>Risk Event</b></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><b>Consequence</b></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><b>Risk Owner</b></p> <p>On behalf of CMT:</p> <p>Anjan Ghosh Director of Public Health</p> <p><b>Responsible Cabinet Member(s):</b></p> <p>Clair Bell, Adult Social Care and Public Health</p>	<p><b>Current Likelihood</b></p> <p>Possible (3)</p> <p><b>Target Residual Likelihood</b></p> <p>Possible (3)</p>	<p><b>Current Impact</b></p> <p>Major (5)</p> <p><b>Target Residual Impact</b></p> <p>Major (5)</p> <p><b>Timescale to Target</b></p> <p>At Target</p>	
<b>Control Title</b>			<b>Control Owner</b>			
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			
Director of Public Health now has oversight of the delivery of immunisation and vaccination programmes in Kent through the Health Protection Board Director of Public Health has regular teleconferences with the UK Health Security Agency UK Health Security			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 <b>local</b> 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			
<p><b>Source / Cause of risk</b></p> <p>Impacts of Climate Change, particularly in relation to extreme weather events on KCC and the services KCC provides or commissions.</p>	<p><b>Risk Event</b></p> <p>Adverse impacts on KCC services – buildings (loss of stranded assets), staff (sickness and lower productivity), service users, and the public.</p>	<p><b>Consequence</b></p> <p>Sustained deterioration of public health and increasing health inequalities across the county.</p> <p>Economic impacts from asset destruction / deterioration, service disruption and recovery costs of extreme weather events.</p> <p>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.</p> <p>Negative impact on Kent economy and wellbeing of Kent residents. Inability to keep public safe and moving around the network.</p>	<p><b>Risk Owner</b></p> <p>On behalf of CMT:</p> <p>Simon Jones Corporate Director, Growth Environment and Transport</p> <p><b>Responsible Cabinet Member</b></p> <p>Susan Carey Cabinet Member for Environment</p>	<p><b>Current Likelihood</b></p> <p>Very Likely (5)</p> <p><b>Target Residual Likelihood</b></p> <p>Likely (4)</p>	<p><b>Current Impact</b></p> <p>Major (5)</p> <p><b>Target Residual Impact</b></p> <p>Serious (4)</p> <p><b>Timescale to Target</b></p> <p>3+ years</p>	

Reputational damage due to customer dissatisfaction.		
<b>Control Title</b>	<b>Control Owner</b>	
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	
ISO 14001 accreditation (the international standard for Environmental Management Systems) implemented and maintained	Matthew Williams, Sustainable Estates Programme Manager	
Estate rationalisation and building in additional measures to reduce emissions.	Rebecca Spore, Director of Infrastructure	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Adaptation Programme actions - Kent wide plan e.g. building differently, active travel, farming practices, flood management, partnership working – 2050 target.	Helen Shulver, Interim Head of Sustainable Business and Communities	September 2023 (review)

<b>Risk ID</b>	<b>CRR0053</b>	<b>Risk Title</b>	<b>Capital Programme Affordability (impacts on performance and statutory duties)</b>			
<b>Source / Cause of risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>	
<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.</p>	<p>Impact on ability to meet operational requirements and/or statutory duties.</p> <p>Inability to invest in new infrastructure.</p> <p>Inability to invest in new infrastructure.</p> <p>Increase in maintenance backlogs.</p> <p>Emergency works on essential sites are prioritised to avoid serious health and safety incidents, with knock-on impacts for non-priority sites.</p> <p>Reputational damage as a result of building closures or impacts on service delivery</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 (potentially serious) associated with asset degradation.</p> <p>Inability to meet statutory duties e.g., lack of appropriate school place provision. Non-priority sites 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 with the possibility of reactive costs which may create a revenue pressure.</p>	<p>On behalf of CMT:</p> <p>Zena Cooke, Corporate Director Finance (Section 151 Officer)</p> <p><b>Responsible Cabinet Member(s):</b></p> <p>Peter Oakford</p> <p>Cabinet Member for Corporate and Traded Services</p>	<p>Very Likely (5)</p> <p><b>Target Residual Likelihood</b></p> <p>Likely (4)</p>	<p>Major (5)</p> <p><b>Target Residual Impact</b></p> <p>Serious (4)</p> <p><b>Timescale to Target</b></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> <p>The level of borrowing to fund the capital programme is not sustainable and the impact on the revenue budget is significant.</p>	<p>Delays result in additional inflationary costs.</p> <p>Funding annual rolling programmes from borrowing is unsustainable.</p>
<b>Control Title</b>	<b>Control Owner</b>
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
The most urgent works will be completed on the agreed prioritised sites	Jo Taylor, Head of Project Management, Property division
10-year capital programme published as part of the 23-33 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
Health and Safety Team in place in advisory capacity to ensure compliance to Government and HSE and guidelines.	Maria Kelly – Interim Head of Health and Safety

Review of KCC estate – Future Assets Programme. Business cases for each of the three workstreams are being developed (Office Estate, Community Buildings, Specialist Assets) with associated consultations.	Rebecca Spore, Director of Infrastructure	
Lobbying central Government re capital grants relating to Highways.	Haroona Chughtai, Director Highways and Transportation	
Extensive lobbying of Government in relation to capital funding.	Zena Cooke, Corporate Director Finance	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
External funding bid for ‘priority school build programme’ (DfE) has been submitted, awaiting confirmation of total funded costs.	James Sanderson, Head of Property Operations	June 2023 (review)
Identify alternative funding options for annual rolling programmes to reduce the reliance on borrowing.	Cath Head (Head of Finance Operations)	October 2023 (review)

**Examples of Committee reports of relevance to this risk since November 2022:**

County Council 8 March 2023	Item 13 – Capital Programme 2023_33 & Revenue Budget 23_24  <a href="https://democracy.kent.gov.uk/documents/g9026/Public%20reports%20pack%2009th-Feb-2023%2009.30%20County%20Council.pdf?T=10">https://democracy.kent.gov.uk/documents/g9026/Public%20reports%20pack%2009th-Feb-2023%2009.30%20County%20Council.pdf?T=10</a>
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Risk ID	CRR0056	Risk Title Special Educational Needs and Disabilities (SEND) Delivery Improvement and High Needs Funding shortfall				
<p><b>Source / Cause of risk</b></p> <p>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.</p> <p>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.</p> <p>In March 2023 an Improvement Notice was issued to KCC An Improvement Plan (Accelerated Progress Plan - APP) is required to be formalised by the Local Area against which Outcome and Impact based KPIs will be scrutinised and addressed.</p> <p>In addition, the demand for Special Educational Needs</p>	<p><b>Risk Event</b></p> <p>Insufficient improvement in areas identified within Ofsted timescales and children with SEND do not meet sufficient progress within the available financial resource.</p> <p>Inability to manage within budget and reduce accumulated deficit on Dedicated Schools Grant reserve.</p>	<p><b>Consequence</b></p> <p>Adverse impact on outcomes for vulnerable young people.</p> <p>Dissatisfaction from families.</p> <p>Potential for legal action if statutory time limits or processes are not met.</p> <p>Continued funding of deficit on the DSG reserve by net surplus balances in other reserves becomes unsustainable, impacting on the financial resilience of the Council.</p> <p>Should the Secretary of State not be satisfied with the Council's progress at any stage, she may choose to invoke her statutory powers of intervention (s497A Education Act 1996) to direct the Council to take any further actions deemed necessary to secure the improvements required in SEND services.</p>	<p><b>Risk Owner</b></p> <p>Sarah Hammond, Corporate Director CYPE</p> <p><b>Responsible Cabinet Member(s):</b></p> <p>Rory Love, Education &amp; Skills</p>	<p><b>Current Likelihood</b></p> <p>Very Likely (5)</p> <p><b>Target Residual Likelihood</b></p> <p>Likely (4)</p>	<p><b>Current Impact</b></p> <p>Major (5)</p> <p><b>Target Residual Impact</b></p> <p>Serious (4)</p> <p><b>Timescale to Target</b></p> <p>3+ years</p>	

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 £147m on the DSG reserve for 31<sup>st</sup> 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 (see CRR0057).

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)
KCC SEND Transformation Strategic Board in place, with responsibility for coordinating activity and tracking improvement progress, reporting into the partnership Strategic Improvement and Assurance 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)
Independently chaired Strategic Improvement and Assurance Board established, including representation from the Local Authority (including Members and cross directorate colleagues), Health, Learning and Teaching settings, representatives of parents and carers, and where appropriate young people.	Sarah Hammond, Corporate Director CYPE (KCC lead)
Robust programme management in place, ensuring appropriate alignment between project workstreams and overall programme delivery arrangements.	Sarah Hammond, Corporate Director CYPE (KCC lead)
Kent and Medway Children and Young People's Programme Board joint governance mechanism with Health partners (sub-group of Integrated Care Board)	Sarah Hammond, Corporate Director CYPE (KCC lead and Chair of Board)
KCC has entered into a "Safety Valve" agreement with the Department for Education (DfE), enabling Kent County Council (KCC) to receive funding over a 5-year period to substantially fund the accumulated deficit on the Dedicated Schools Grant (DSG) High Needs Block (HNB). The agreement requires commitment to areas of review and improvement identified by Department for Education (DfE) to bring in year spend in line with the in-year budget by 2027/28. A financial contribution from the Council is also expected.	Zena Cooke, Corporate Director Finance / John Betts, Finance

Action Title	Action Owner	Planned Completion Date
The Council will produce for approval by the Department for Education (DfE) and NHS England (“NHSE”) an Improvement Plan (Accelerated Progress Plan) to deliver appropriate and sustainable improvement, covering the areas identified in the Ofsted and CQC revisit report of 9 November 2022, as well as recommendations made by the Department.	Sarah Hammond, Corporate Director CYPE / Christine McInnes, Director Education and SEND (KCC leads)	May 2023
County Approach to Inclusive Education (CATIE)– 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	June 2023 (review)
SEND Improvement Programme, which includes delivery of requirements detailed in the Kent Accelerated Progress Plan, covering three key workstreams relating to: 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	May 2023 (review)
Implementation of SEND 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	June 2023 (review)

**Examples of Committee reports of relevance to this risk since November 2022:**

SEND Sub Committee 22 March 2023	Item 7 – SEND Transformation Progress Update  <a href="https://democracy.kent.gov.uk/documents/g9287/Public%20reports%20pack%2022nd-Mar-2023%2014.00%20SEND%20Sub-Committee.pdf?T=10">https://democracy.kent.gov.uk/documents/g9287/Public%20reports%20pack%2022nd-Mar-2023%2014.00%20SEND%20Sub-Committee.pdf?T=10</a>
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<b>Risk ID</b>	<b>CRR0057</b>	<b>Risk Title Home to School Transport pressures</b>				
<b>Source / Cause of risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>	
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 in this financial year.	Implications on demand for school places.	Simon Jones, Corporate Director GET	<b>Target Residual Likelihood</b> Possible (3)	<b>Target Residual Impact</b> Serious (4)	
	Increased pressure on officer time in relation to demand for school places.	Reputational damage if children not provided with transport in sufficient timescales.	<b>Responsible Cabinet Member(s):</b> Rory Love, Education & Skills  David Brazier, Highways and Transportation		<b>Timescale to Target</b> 1-2 years	
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.					
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.		
<b>Control Title</b>	<b>Control Owner</b>	
Home to School Transport Board in place, chaired by Cabinet Member for Education and Skills.	Christine McInnes, Director of Education / Philip Lightowler, Transportation	
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	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Implementation of management action plan coming out of Internal Audit Review of SEN Transport, overseen by Governance and Audit Committee	Sarah Hammond, Corporate Director CYPE Simon Jones, Corporate Director GET / Ben Watts, General Counsel	July 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 (cross-reference to CRR0056).	Sarah Hammond, Corporate Director CYPE	October 2023 (review)
Review findings and respond to Home To School Transport Policy and Post 16 Transport Policy Statement consultations	Sarah Hammond, Corporate Director CYPE	September 2023
Automation of the process where possible, including consideration of implementation of Travel Service Optimiser (TSO)	Simon Jones. Corporate Director GET / Sarah Hammond, Corporate Director CYPE	July 2023 (review)

**Examples of Committee reports of relevance to this risk since November 2022:**

Governance & Audit Committee 16 March 2023	Item 10 - SEND Transport Review Management Response - Progress Update  <a href="https://democracy.kent.gov.uk/documents/b23971/SEND%20Transport%20Review%20Management%20Response%20-%20Progress%20Update%2016th-Mar-2023%2010.00%20Governance%20and%20Aud.pdf?T=9">https://democracy.kent.gov.uk/documents/b23971/SEND%20Transport%20Review%20Management%20Response%20-%20Progress%20Update%2016th-Mar-2023%2010.00%20Governance%20and%20Aud.pdf?T=9</a>
Scrutiny Committee 23 February 2023	Item C2 - Home to School Transport  <a href="https://democracy.kent.gov.uk/documents/g9014/Public%20reports%20pack%2023rd-Feb-2023%2010.00%20Scrutiny%20Committee.pdf?T=10">https://democracy.kent.gov.uk/documents/g9014/Public%20reports%20pack%2023rd-Feb-2023%2010.00%20Scrutiny%20Committee.pdf?T=10</a>

<b>Risk ID</b>	<b>CRR0058</b>	<b>Risk Title</b>	<b>Recruitment and retention of the workforce</b>			
<b>Source / Cause of risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>	
Attracting, and retaining staff continues to be reported as a challenge across directorates.	Workforce capacity challenges - insufficient staff to meet service demands.	Impact on productivity	On behalf of CMT	Likely (4)	Serious (4)	
Risks relating to the workforce equate to a third of total risks being monitored by KCC.	Inability to progress service development.	Impact on performance and / or delivery of statutory functions.	Paul Royel – Director of HR OD	<b>Target Residual Likelihood</b>	<b>Target Residual Impact</b>	
Rolling turnover rate has increased to over 15% in the latter half of 2022, standing at 15.1% at end of January 2023, compared to 14.7% % in April 22 and 9% in March 2021. Turnover rates for Q1 and Q2 2022 were in line with comparator authorities in the sector.	Impact on budgets from use of agency staff/contractors to fill roles.	Lack of experienced staff with specialist skills	<b>Responsible Cabinet Member(s):</b>	Possible (3)	Significant (3)	
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			<b>Timescale to Target</b>
National skills shortages in key areas, such as social work, Trading Standards, Coroners 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	Communication s and People			1-2 years
		Low staff morale				
		Impact on delivery of projects to expected time scales.				
		Employer and Service Reputational damage				



The proximity of Kent to London presents challenges regarding pay in some parts of the county.

Buoyant market for the workforce opportunities to work remotely provide applicants with greater flexibility and choice of workplace.

<b>Control Title</b>	<b>Control Owner</b>
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 set out and periodically refreshed and monitored 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 Christie, Head of OD and Engagement
KCC's values, behaviours and culture embedded by managers, linked to KCC Strategic Reset programme.	Diane Christie, Head of OD and Engagement
Workforce profile report for the Personnel Committee gives detailed analysis on staffing levels and provides comparator information on previous years – now being provided more regularly to Personnel Committee for Member oversight and scrutiny.	Paul Royel, Director HR and OD
Workforce planning and appropriate career development and succession planning mechanisms in place.	Paul Royel, Director HR and OD
Regular staff survey conducted, followed by facilitation of engagement and action plans with senior management. Includes predictive analytics to explore key drivers of intention to leave to enable appropriate responses to develop.	Diane Christie, Head of OD and Engagement

Targeted advice, support and interventions available via HR business partners for areas of particular recruitment / retention concern relating to key roles.	Paul Royel, Director HR and OD
<b>Action Title</b>	<b>Action Owner</b>
Communication, implementation, and measurement of the impact of the People Strategy.	Paul Royel, Director HR and OD
Implementation of action plans arising from latest staff survey (conducted December 2022)	Corporate Management Team
	June 2023

**Examples of Committee reports of relevance to this risk since November 2022:**

County Council 23 March 2023	Item 9 – Pay Policy Statement 2023-24  <a href="https://democracy.kent.gov.uk/documents/g9014/Public%20reports%20pack%2023rd-Feb-2023%2010.00%20Scrutiny%20Committee.pdf?T=10">https://democracy.kent.gov.uk/documents/g9014/Public%20reports%20pack%2023rd-Feb-2023%2010.00%20Scrutiny%20Committee.pdf?T=10</a>
Personnel Committee 8 March 2023	Item 4 – Workforce Profile Update  <a href="https://democracy.kent.gov.uk/documents/g9020/Public%20reports%20pack%2008th-Mar-2023%2014.00%20Personnel%20Committee.pdf?T=10">https://democracy.kent.gov.uk/documents/g9020/Public%20reports%20pack%2008th-Mar-2023%2014.00%20Personnel%20Committee.pdf?T=10</a>
Personnel Committee 8 March 2023	Item 6 – Staff Survey Results  <a href="https://democracy.kent.gov.uk/documents/g9020/Public%20reports%20pack%2008th-Mar-2023%2014.00%20Personnel%20Committee.pdf?T=10">https://democracy.kent.gov.uk/documents/g9020/Public%20reports%20pack%2008th-Mar-2023%2014.00%20Personnel%20Committee.pdf?T=10</a>