



## **KCC Corporate Risk Register**

For Presentation to Cabinet on 4<sup>th</sup> January 2024

## 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 May 2023	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 (25)	High (16)	↑	1-2 Years
CRR0014	Cyber and information security resilience	High (20)	High (20)	↔	At Target
CRR0015	Sustainability of 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	Medium (15)	Low (5)	↔	TBC

CRR0049	Fraud and Error	Medium (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 assets, performance and statutory duties)	High (25)	High (16)	↔	3+ Years
CRR0056	SEND Delivery Improvement and High Needs Funding shortfall	High (25)	High (16)	↔	3+ Years
CRR0057	Home To School Transport Pressures	High (16)	Medium (12)	↔	1-2 Years
CRR0058	Recruitment and Retention of the workforce	High (16)	Medium (9)	↔	1-2 Years
CRR0059	Significant failure to bring forecast budget overspend under control within budget level assumed	High (25)	Medium (9)	New Risk	Within 1 Year (baseline summer 2023)
CRR0060	Reinforced Autoclaved Aerated Concrete	Medium (15)	Low (5)	New Risk	Within 1 Year (baseline summer 2023)
CRR0061	CQC Assurance readiness	Medium (15)	TBC	New Risk	TBC
CRR0062	Provider Failure (Adult Social Care)	Medium (15)	Medium (9)	New Risk	TBC
CRR0063	Capacity to accommodate and care for Unaccompanied Asylum-Seeking (UAS) Children	High (25)	High (20)	Re-Entry	TBC
CRR0064	Delivery of Effective Adult Social Care Services	High (20)	Medium (15)	New Risk	Within 1 Year (baseline December 2023)

\*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)

<b>Risk ID</b>	<b>CRR0001</b>	<b>Risk Title</b>	<b>Safeguarding – protecting vulnerable children</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>	
The Council must fulfil its statutory obligations to effectively safeguard vulnerable children in a complex and challenging environment.	Failure to fulfil statutory safeguarding obligations.	Incident of serious harm or death of a vulnerable child.	Sarah Hammond, Corporate Director	Possible (3)	Major (5)	
In addition, the Counter Terrorism and Security Act 2015 sets out the Government’s “Prevent Duty” and requires the Local Authority to act to prevent people from being drawn into terrorism, with a focus on the need to safeguard children at risk of radicalisation.	Failure to meet the requirements of the “Prevent Duty” placed on Local Authorities.	Serious impact on vulnerable people.	People and Education (CYPE)			
During Lockdown some children were absent from school and some partners were less visible, undertaking fewer home visits to vulnerable children, increasing demand on statutory children’s services. As a result, there has been an increase in the risk to children under 5. This has introduced uncertain impacts for children’s mental health and resilience and the potential for latent demand to build. We are starting to see more complex demand within the system as a result of a more complex working environment. There is also an	Safeguarding risks are not identified to / by KCC in a timely fashion.	Impact on ability to recruit the quality of staff critical to service delivery.		<b>Target Residual Likelihood</b>	<b>Target Residual Impact</b>	<b>Timescale to Target</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)	At target
		Attract possible intervention from a national regulator for failure to discharge corporate and executive responsibilities.	On behalf of Cabinet:			
			Sue Chandler, Integrated Children’s Services			
			Rory Love, Education and Skills			
			Clair Bell (Lead Member for PREVENT)			

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 Integrated Services (Early Help and Preventative Services lead)
Extensive staff training - Quality Assurance Framework has been rolled out and Integrated Children's Services team has received mandatory training related to this	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.	Carolann James, Interim 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	Carolann James, Interim 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)
Processes for managing frequent placement moves have been refreshed, including introduction of a placement stability tool to identify placement fragility and provide the right support at the right time to avoid placement breakdown.	Leemya McKeown, Assistant Director – Professional Standards and Quality Assurance
A Child in Need (CIN) panel process has been launched across children's social workers, allowing staff to better understand the experience of CIN, which over the process of around 5 weeks facilitates management	Leemya McKeown, Assistant Director – Professional



oversight of all CIN, creating clearer throughput of work.

Standards and Quality  
Assurance

<b>Risk ID</b>	<b>CRR0002</b>	<b>Risk Title</b>	<b>Safeguarding – protecting adults at risk</b>			
Source / Cause of risk	<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 adults, in a complex and challenging environment e.g., challenges relating to demand for services and consistent quality of care in the provider market.	Failure to fulfil statutory obligations.	Incident of serious harm or death of a <b>adults at risk</b>	Richard Smith Corporate Director Adult Social Care and Health (ASCH)	Likely (4)	Major (5)	
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.	Failure to meet the requirements of the "Prevent Duty" placed on Local Authorities.	Serious impact on adults at risk		<b>Target Residual Likelihood</b>	<b>Target Residual Impact</b>	
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.	Safeguarding risks are not identified to / by KCC in a timely fashion.	Serious impact on ability to recruit the quality of staff critical to service delivery.	<b>Responsible Cabinet Member(s):</b>	Possible (3)	Major (5)	
Adult Social Care (ASC) offered a safeguarding consultation service until December 2021. There was an increase in concerns being raised via the KASAF forms once this service stopped. In addition, in March 2022, ASC introduced an online safeguarding referral	Spike(s) in demand impact on quality of controls	Serious operational and financial consequences.	Dan Watkins, Adult Social Care and Public Health			<b>Timescale to Target</b> 1-2 years
		Attract possible intervention from a national regulator for failure to discharge corporate and executive responsibilities.	Clair Bell (Lead Member for PREVENT)			

form for members of the public and professionals to use and ceased the use of the Kent Adult Safeguarding Alert Forms (KASAF) forms. There is a significant upturn in safeguarding concerns received via the online form (42% increase 23/24 compared to 1<sup>st</sup> quarter last year). It has been noted that not all safeguarding concerns submitted require a safeguarding response and that the online form could be used incorrectly for a Care Needs Assessment or other contact from ASC. This has been noted when a person is waiting for a care needs assessment. In April 2023, the Locality Operating Model commenced, this model moved safeguarding into the place-based teams with additional snr practitioner capacity given to each team. The optimum levels of staffing across the county have not yet been realised and the skill mix within the existing cohort of staff needs to be reviewed to ensure that this is adequate to meet the demand within the localities.

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 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– Strategic Safeguarding, Policy, Practice & Quality Assurance
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, Director
KCC Safeguarding Competency Framework in place, including Mental Capacity Act requirements.	Sarah Denson, Assistant Director– Strategic Safeguarding, Policy, Practice & Quality Assurance
KCC Safeguarding Competency Framework reviewed to ensure currency and look for areas for improvement.	Sarah Denson, Assistant Director– Strategic Safeguarding, Policy, Practice & Quality Assurance

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– Strategic Safeguarding, Policy, Practice & Quality Assurance
Quality Assurance Framework in place and continuing embedding of regular audit cycles continue.	Sarah Denson, Assistant Director– Strategic Safeguarding, Policy, Practice & Quality Assurance

Continuing embedding of the Practice Framework. Training programme for the 10 Core Skills Topics identified to support with the embedding of the practice framework.	Sarah Denson, Assistant Director– Strategic Safeguarding, Policy, Practice & Quality Assurance
Programme of training events includes specific training to support practitioners to develop knowledge and skills as part of continuing professional development. Manager training commenced July 2022.	Sarah Denson, Assistant Director– Strategic Safeguarding, Policy, Practice & Quality Assurance
Quality Assurance Board oversees quality of practice, meets on a quarterly basis.	Sarah Denson, Assistant Director– Strategic Safeguarding, Policy, Practice & Quality Assurance
Performance improvement plan monitors safeguarding activity and supports managers to identify safeguarding concerns for closure	Sarah Denson, Assistant Director– Strategic Safeguarding, Policy, Practice & Quality Assurance
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– Strategic Safeguarding, Policy, Practice & Quality Assurance
Additional safeguarding training has been commissioned and is available to support the transition/embedding in localities	Sarah Denson, Assistant Director– Strategic Safeguarding, Policy, Practice & Quality Assurance
Weekly briefings have been delivered for Community Managers and Senior Practitioners and a practice process map for safeguarding provided for all practitioners	Sarah Denson, Assistant Director– Strategic Safeguarding, Policy, Practice & Quality Assurance
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, Policy, Practice & Quality Assurance

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– Strategic Safeguarding, Policy, Practice & Quality Assurance
Strategic Safeguarding Team are completing Monthly Dip Sample audits of safeguarding concern and enquiry closures to ensure compliance with the Care Act and appropriate and proportionate actions taken to ensure the person at risk is safe.	Sarah Denson, Assistant Director– Strategic Safeguarding, Policy, Practice & Quality Assurance
Workshops x3 (2 cohorts) held through the month of July for Senior Practitioners acting as Designated Safeguarding Officer by Practice Development Officer Team with oversight from Principal Social Worker	Sarah Denson, Assistant Director– Strategic Safeguarding, Policy, Practice & Quality Assurance
Continuous Improvements for Safeguarding have been identified following the commencing of the Locality Operating Model April 23 and work is in progress to improve practice, support equity of experience across the County and streamline process. An updated Practice & Process map has been completed and practice guidance document to complement the Kent and Medway Safeguarding Adults Board multi-agency safeguarding policy is due Aug 2023	Sarah Denson, Assistant Director– Strategic Safeguarding, Policy, Practice & Quality Assurance
Mutual aid across the County is used where able to mitigate risks if demand for service is outstripped by the resource available	All Assistant Directors
Recruitment processes continue to fill identified vacancies for both Snr Practitioner and experienced Social Worker	All Assistant Directors
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
Cabinet Member briefing in relation to Government's decision to suspend Liberty Protection Safeguards changes.	Maureen Stirrup, Head of Deprivation of Liberty Standards
Monthly audits of safeguarding closures to continue by Strategic Safeguarding Unit. CTM's and AD's informed if any remedial work is required to ensure a person's safety. Actions are put in place to address themes identified across the County	Sarah Denson, Assistant Director– Strategic Safeguarding, Policy, Practice & Quality Assurance
Continuous Improvements for Safeguarding have been identified following the commencing of the Locality	Sarah Denson, Assistant

<p>Operating Model and work is ongoing to improve practice, support equity of experience across the County and streamline process.  An updated Practice &amp; Process map has been completed and practice guidance has been circulated to the workforce and is available on TRiX.  Project work to continually improve safeguarding is ongoing</p>	<p>Director– Strategic Safeguarding, Policy, Practice &amp; Quality Assurance</p>	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
<p>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</p>	<p>Vicki Minkiewicz Principal Social Worker</p>	<p>March 2024</p>
<p>Review arrangements for local level partnership meetings (formerly Alliance Meetings) to align to the new working model</p>	<p>Alyson Wagget – Assistant Director</p>	<p>April 2024</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).</p> <p>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,</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>including Section 106 contributions, Community Infrastructure Levy and other growth levers.</p> <p>The 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	
The KCC Developer Contributions Guide has been updated and presented to elected Members at Growth, Economic Development and Communities Cabinet Committee, who endorsed the decision to proceed with formal policy adoption of the updated guide that will influence and provide stakeholders with the expectations and standards that KCC expects.	Simon Jones, Corporate Director GET	
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
Producing Local Transport Plan 5 and approval by County Council (draft plan for consultation)	Lee Burchill, Local Growth Fund Programme Manager	March 2024 (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)	January 2024 (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	June 2024 (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)

Risk ID	CRR0004	Risk Title	Simultaneous Emergency Response, Recovery and Resilience			
<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>The recovery from the COVID-19 pandemic is putting significant strain on organisational capacity and resources.</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</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</p>	<p>On behalf of CMT: Rebecca Spore, Director of Infrastructure</p> <p><b>Responsible Cabinet Member(s):</b> On behalf of Cabinet:  Clair Bell, Community &amp; Regulatory Services</p>	<p>Possible (3)</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> At Target</p>	

	challenges could place additional strain on capacity and resource.	associated legislation.
<b>Control Title</b>		<b>Control Owner</b>
	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

<p>KCC and local Kent Resilience Forum partners have tested preparedness for chemical, biological, radiological, nuclear and explosives (CBRNE) incidents and communicable disease outbreaks in line with national requirements.</p>	<p>Tony Harwood, Resilience and Emergencies Manager / Anjan Ghosh, Director of Public Health / Andy Jeffery KCC Manager, Kent Resilience Team</p>
<p>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</p>	<p>Tony Harwood, Resilience and Emergencies Manager</p>
<p>KCC Business Continuity Management Policy and overarching Business Continuity Plan in place, underpinned by business continuity plans at service level.</p>	<p>Rebecca Spore, Director Infrastructure</p>
<p>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.</p>	<p>Rebecca Spore, Director Infrastructure</p>
<p>KRF and KCC Command and Control structures planned and in place to deal with simultaneous events.</p>	<p>Rebecca Spore, Director Infrastructure</p>
<p>Kent &amp; 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.</p>	<p>Richard Smith, Corporate Director ASCH</p>
<p>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.</p>	<p>Anjan Ghosh, Director of Public Health / Andy Jeffery, KCC Manager, Kent Resilience Team</p>

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 (CEC).	Tony Harwood, Resilience and Emergencies Manager /
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.
Emergency Planning Team have identified 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 Emergencies Manager.
Resilient air wave radio communications have been purchased which will function regardless of any wider loss of power		Tony Harwood, Resilience and Emergencies Manager.
Emergency planning team have identified command and control hubs for multi-agency responses where there is existing contingency power supply by way of generators.		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 2024
Structure of Emergency Planning function is being reviewed to ensure more resources are available to support teams and services	Rebecca Spore Director Infrastructure	December 2023



Risk ID	CRR0009	Risk Title	Future financial and operating environment for Local Government			
<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. 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>No further monies were allocated to local authorities in the 2023 Autumn Statement. 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 additional funding for 2023-24 and 2024/25 will be included in</p>	<p>Forecast budget monitoring as at 30<sup>th</sup> Sept 2023/24 showed a £36m overspend for the year.</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 medium term financial planning.</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>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> 1-2 years</p>	

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 needs and disability (SEND) provision funded by the

<p>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.</p> <p>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.</p>	
<b>Control Title</b>	<b>Control Owner</b>
Budget Recovery Strategy – <i>Securing Kent's Future</i> – set, to address the in-year and future years financial pressures the council is facing and the specific and broader action that can be taken to return the council to financial sustainability.	Roger Gough, Leader of the Council / Amanda Beer, Chief Executive Officer
Strategic Reset Programme established and reprioritised to focus on key budget delivery programmes.	Amanda Beer, Chief Executive / Elizabeth Sanderson, SRP Strategic Lead

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 Quarterly Performance Report monitors key performance and activity information for KCC commissioned or delivered services. Regularly reported to Cabinet.	Matthew Wagner, Interim Chief Analyst, KCC	
Ongoing monitoring and modelling of changes in supply and demand in order to inform strategies and service planning going forward.	Matthew Wagner, Interim 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.	Amanda Beer, 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 being developed earlier in the planning cycle, including delivery plans to support major savings.	Zena Cooke, Corporate Director Finance (Section 151 Officer)	January 2024.

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

Cyber standards and risk assessment have been included into the central ICT commissioning framework and a new risk assessment process is being finalised with expected completion by the end of September.	James Church ICT Compliance & Risk Manager	
Supply chain risk management programme including keeping an inventory of all ICT suppliers and third-party data transfers, cyber requirements built into procurement, regular assurance of supplier security to ISO 27001 and Cyber Essentials, and regular risk assessments carried out to identify supply chain risks.	James Church ICT Compliance & Risk Manager	
<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	December 2023



Risk ID	CRR0015	Risk Title	Sustainability of the social care market			
<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>	
Local Authorities have a statutory duty to provide a viable and sustainable social care market to meet the needs of the local population who meet Care Act eligibility.	Social Care market not sustainable.	Gaps in the care market for certain types of care or in geographical areas meaning difficulty in placing some service users.	Richard Smith, Corporate Director ASCH	V. Likely (5)	Major (5)	
The main risks associated with care market instability are:	Inability to obtain the right kind of provider supply at affordable prices.	Unable to offer care packages immediately leading to delays with discharging from Health Services	<b>Responsible Cabinet Member(s):</b>	<b>Target Residual Likelihood</b>	<b>Target Residual Impact</b>	
Financial – As a result of the increasing cost and complexity of demand for services and constrained local authority budgets compounded by recent inflation.	Increases in hand backs of care.	Reduction in quality of care provided due to workforce pressures.	Dan Watkins, Adult Social Care and Public Health	Possible (3)	Major (5)	
Workforce - inflation running at a high level and cost of living crisis affecting adult social care workforce, which is paid less favourably than comparative sectors leading to high vacancy levels, and high staff turnover rates particularly in the home care sector.	Providers choose not to tender for services at Local Authority funding levels or accept service users with complex needs.	Significant numbers of care home closures or service failures.				<b>Timescale to Target</b> 3+ years
There are particular challenges in Kent in the residential sector, compounded by the impact of inflation on existing contract arrangements which are eight						

years old and are no longer fit for purpose.

Recovery from the Covid-19 pandemic has added additional pressures, further threatening sustainability of the market. 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.

<b>Control Title</b>	<b>Control Owner</b>
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, Assistant Director for Adults 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.	Simon Mitchell, Assistant Director for Adults Commissioning
Ongoing Contract Monitoring, working in partnership with the Access to Resources team.	Simon Mitchell, Assistant Director for Adults Commissioning
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.	Simon Mitchell, Assistant Director for Adults Commissioning
Regular engagement with provider and trade organisations	Simon Mitchell, Assistant Director for Adults Commissioning
Older Persons Accommodation Strategy refreshed, which analyses demand and need and sets the future	Richard Smith, Corporate

vision and direction for accommodation to support vulnerable Kent residents alongside the Adult Social Care Strategy - Your Life, Your Wellbeing	Director ASCH
Ensuring contracts have indexation clauses built-in, managed through contract monitoring.	Michael Bridger, Commercial and Procurement Standards and Improvement Manager
Analytics function utilises data to inform decision making before moving commissioning activity forward.	Matt Wagner, Interim Chief Analyst
Analytical work is being conducted on assessments and reviews in adult social care to help inform key commissioning activity, including winter planning.	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, Director ASCH
Adult Social Care Pressures Plan 2022/23 - outlining the strategic and operational response to a range of factors including, 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
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
Quarterly market pressure reports to ASCH DMT	Simon Mitchell, Assistant Director for Adults Commissioning
Pipeline prioritisation tool is in place for Strategic Commissioning projects, shared with DivMT and Director of Strategy Policy, Relationships and Corporate Assurance	Michael Bridger, Commercial and Procurement Standards and Improvement 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, Assistant Director for Adults Commissioning
Development of micro providers market with partner Community Catalysts. Quarterly contract management reviews take place including focus on performance against targets (engagement and set up).	Paula Parker, Head of Portfolio Management, ASCH

Action Title	Action Owner	Planned Completion Date
ASCH Commissioning Intentions document being drafted.	Simon Mitchell, Assistant Director for Adults Commissioning	February 2024
External consultant engaged to review existing commissioning arrangements, commencing October 2023.	Simon Mitchell, Assistant Director for Adults Commissioning / Richard Smith, Corporate Director ASCH	February 2024
Following Commissioning redesign, a review of existing locality quality monitoring arrangements	Simon Mitchell, Assistant Director for Adults Commissioning / ASCH Directors	February 2024

<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 has introduced new risks e.g., staff adapting to new ways of working and increasing information security threats.</p> <p>There is insufficient resource available to undertake comprehensive oversight / assurance activity that provides assurance on compliance with existing information governance standards.</p>	<p>Failure to embed the appropriate processes, procedures and behaviours to meet regulations.</p> <p>Failure to meet regulatory reporting deadlines.</p> <p>Information security incidents (caused by both human error and / or system compromise) resulting in loss of personal data or breach of privacy / confidentiality.</p> <p>Council accreditation for access to government and partner ICT data, systems and network is withdrawn.</p> <p>Cantium Business Solutions prioritises commercial work or does not undertake information governance compliance work in an appropriate and timely fashion.</p> <p>Providers processing KCC data fail to embed the appropriate processes and behaviours.</p>	<p>Information Commissioner's Office sanction (e.g., undertaking, assessment, improvement, enforcement or monetary penalty notice issued against the Authority).</p> <p>Increased risk of litigation.</p> <p>Reputational damage.</p> <p>Bias presenting in AI algorithms impacting outcomes and decision making.</p> <p>Loss of trust in automated decisions</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>Dylan Jeffrey Communications and Democratic Services</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> Possible (3)</p>	<p>Significant (3)</p> <p><b>Target Residual Impact</b> Significant (3)</p> <p><b>Timescale to Target</b> 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>Failure to manage data lawful when using automated decision making via algorithms.</p>	<p>Poor data quality negatively impacts AI algorithms</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>

Management Guide/operating modules on Information Governance in place, highlighting key policies and procedures.	Ben Watts, General Counsel and KCC Data Protection Officer	
Privacy notices as well as procedures/protocols for investigating and reporting data breaches reviewed and updated.	Caroline Dodge, Team Leader Information Resilience & Transparency	
Information Resilience and Transparency team in place, providing business information governance support.	Caroline Dodge, Team Leader Information Resilience & Transparency	
Cross Directorate Information Governance Working Group in place.	Michael Thomas-Sam, Strategic Business Adviser Social Care	
Corporate Information Governance Group established, chaired by the DPO and including the SIRO and Caldecott Guardian acting as a point of escalation for information governance issues and further escalation to the Corporate Management Team if required	Ben Watts, General Counsel and KCC Data Protection Officer	
Implementation of recommendations from working from home and records management audits	Ben Watts, General Counsel and KCC Data Protection Officer	
Data breach process enhanced by automated system, changes included auto reminders to services where further information is required. More data is available on service performance in relation to breach management and also allow for timely escalation where appropriate	Peter Healey – GLD Delivery 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	December 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 – Implementation of recommendations from Internal Audit of data mapping.	Hannah Rumball, Chair of Cross-Directorate Information Governance Working Group	March 2024 (review)

<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>  Neil Baker, Highways & Transport  Clair Bell, Community & Regulatory Services	<b>Target Residual Likelihood</b>  Possible (4)	<b>Target Residual Impact</b>  Serious (4)	<b>Timescale to Target</b>  1-2 years
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.  Significant increase in imported goods subject to statutory checks by Trading Standards				



	including consumer goods and animal 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.
<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	January 2024 (review)
Preparation for impacts - two separate but interconnected schemes that will affect non-EU citizens travelling to most EU countries; of the EU Entry/Exit System (EES) and the EU European Travel Information and Authorisation System (ETIAS).	Simon Jones, Corporate Director GET	January 2024 (review)

<b>Risk ID</b>	<b>CRR0045</b>	<b>Risk Title</b>	<b>Maintaining effective governance and decision making in a challenging financial and operating environment</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 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 (MTFP).</p>	<p>Decisions challenged under judicial review on the appropriateness of the decision-making within KCC.</p>	<p>Amanda Beer, 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></p> <p>V. Unlikely (1)</p>	<p><b>Target Residual Impact</b></p> <p>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></p> <p>Roger Gough, Leader of the Council</p> <p>Peter Oakford, Deputy Leader and Cabinet Member for Corporate and Traded Services</p>		<p><b>Timescale to Target</b></p> <p>TBC</p>

<b>Control Title</b>	<b>Control Owner</b>
Budget Recovery Strategy – <i>Securing Kent's Future</i> – set, to address the in-year and future years financial pressures the council is facing and the specific and broader action that can be taken to return the council to financial sustainability.	Roger Gough, Leader of the Council / Amanda Beer, Chief Executive Officer
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	
Following the publication of the 2021/22 AGS, a dedicated team was assembled within the Governance, Law and Democracy function to improve the awareness and application of governance and decision making across the Council.	Ben Watts, General Counsel and KCC Data Protection Officer	
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.	Amanda Beer, CEO / Ben Watts, General Counsel	
<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	March 2024

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</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>

<p>details (mandate fraud) to KCC in order to divert funds.</p>	
<b>Control Title</b>	<b>Control Owner</b>
<p>KCC is part of the Kent Intelligence Network (KIN), a joint project between 12 district councils, Medway Council, Kent Fire &amp; 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.</p>	<p>Nick Scott, Operations Manager, Kent Intelligence Network / James Flannery, Counter-Fraud Manager KCC</p>
<p>Training and awareness raising is conducted periodically and is included in the Counter-Fraud action plan.</p>	<p>James Flannery, Counter-Fraud Manager</p>
<p>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.</p>	<p>Dave Shipton, Head of Finance (Policy, Strategy and Planning)</p>
<p>Internal Audit includes proactive fraud work in its annual audit plan, identifying potential areas where frauds could take place and checking for fraudulent activity.</p>	<p>Jonathan Idle, Head of Internal Audit</p>
<p>Whistleblowing Policy in place for the reporting of suspicions of fraud or financial irregularity</p>	<p>James Flannery, Counter-Fraud Manager</p>
<p>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.</p>	<p>James Flannery, Counter-Fraud Manager</p>
<p>Anti-fraud and corruption strategy in place and reviewed annually.</p>	<p>James Flannery, Counter-Fraud Manager</p>
<p>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.</p>	<p>Corporate Management Team</p>

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, Head of Commercial / 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, Head of Commercial / James Flannery, Counter-Fraud Manager



<b>Risk ID</b>	<b>CRR0050</b>	<b>Risk Title</b>	<b>CBRNE incidents, communicable diseases and incidents with a public health implication</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, along with other Category 1 Responders in the County, has a legal duty to establish and deliver containment actions and contingency plans to reduce the likelihood, and impact, of high impact incidents and emergencies.</p> <p>The Director of Public Health has a legal duty to gain assurance from the National Health Service and UK Health Security Agency that plans are in place to mitigate risks to the health of the public including outbreaks of communicable diseases e.g., Pandemic Influenza, resurgence of Covid-19, and/or management of a potential twin-demic of seasonal flu and Covid-19.</p>	<p>Insufficient capacity / resource to deliver response and recovery concurrently for a prolonged period, including potential future wave(s) of Covid-19.</p>	<p>Potential increased harm or loss of life if response is not effective.</p> <p>Increased financial cost in terms of damage control and insurance costs.</p> <p>Adverse effect on local businesses and the Kent economy.</p> <p>Possible public unrest and significant reputational damage.</p> <p>Legal actions and intervention for failure to fulfil KCC's obligations under the Civil Contingencies Act or other associated legislation.</p>	<p>On behalf of CMT:</p> <p>Anjan Ghosh Director of Public Health</p> <p><b>Responsible Cabinet Member(s):</b></p> <p>Dan Watkins, Adult Social Care and Public Health</p>	<p>Possible (3)</p> <p><b>Target Residual Likelihood</b></p> <p>Possible (3)</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			
<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>	
Impacts of Climate Change, particularly in relation to extreme weather events on KCC and the services KCC provides or commissions.	Adverse impacts on KCC services – buildings (loss of stranded assets), staff (sickness and lower productivity), service users, and the public.	Sustained deterioration of public health and increasing health inequalities across the county.  Economic impacts from asset destruction / deterioration, service disruption and recovery costs of extreme weather events.  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.  Negative impact on Kent economy and wellbeing of Kent residents. Inability to keep public safe and moving around the network.	On behalf of CMT:  Simon Jones Corporate Director, Growth Environment and Transport	Very Likely (5)	Major (5)	
				<b>Target Residual Likelihood</b>	<b>Target Residual Impact</b>	<b>Timescale to Target</b>
			<b>Responsible Cabinet Member</b>  Roger Gough, Leader of the Council	Likely (4)	Serious (4)	3+ years

	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	Matt Smyth, Director of Environment and Waste	
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.	Matt Smyth, Director of Environment and Waste	January 2024 (review)

Risk ID	CRR0053	Risk Title	Capital Programme Affordability (impacts on assets, performance and statutory duties)			
<p><b>Source / Cause of risk</b></p> <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</p>	<p><b>Risk Event</b></p> <p>Impact on ability to meet operational requirements and/or statutory duties.</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><b>Consequence</b></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.</p> <p>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</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</p> <p>Cabinet Member for Corporate and Traded Services</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>	

<p>impacting on the capital programme significantly.</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>create a revenue pressure.</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>
<p>Asset safety factors associated with our assets are considered during the budget setting process.</p>	<p>Zena Cooke, Corporate Director Finance (Section 151 Officer)</p>
<p>An annual programme of planned preventative maintenance is undertaken at KCC sites by the relevant Facilities Management contract partners</p>	<p>Tony Carty, Head of Facilities Management</p>
<p>The most urgent works will be completed on the agreed prioritised sites.</p>	<p>Jo Taylor, Head of Project Management, Property division</p>
<p>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.</p>	<p>Cath Head, Head of Finance (Operations)</p>
<p>Infrastructure is working with Area Education Officers to communicate to schools regarding their obligations for maintenance and their responsibilities for repairs under financial thresholds</p>	<p>James Sanderson, Head of Property Operations</p>
<p>Health and Safety Team in place in advisory capacity to ensure compliance to Government and HSE and guidelines.</p>	<p>Maria Kelly – Interim Head of Health and Safety</p>

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.	Haroon Chughtai, Director Highways and Transportation	
Extensive lobbying of Government in relation to capital funding.	Zena Cooke, Corporate Director Finance	
External funding bid for 'schools rebuilding programme' (DfE) was submitted, and successful for Birchington Primary School.	James Sanderson, Head of Property Operations	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Review of annual rolling programmes to reduce the reliance on borrowing.	Cath Head (Head of Finance Operations) / Dave Shipton Head of Finance (Policy, Planning & Strategy)	February 2024 (review)

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

The Council has produced 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.

<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Delivery of SEND Improvement Programme, which includes delivery of requirements detailed in the Kent Accelerated Progress Plan,	Sarah Hammond, Corporate Director CYPE	Regular review and scrutiny throughout the year.

<b>Risk ID</b>	<b>CRR0057</b>	<b>Risk Title</b>	<b>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>	<b>Target Residual Impact</b>	
		Reputational damage if children not provided with transport in sufficient timescales.	<b>Responsible Cabinet Member(s):</b> Rory Love, Education & Skills	Possible (3)	Serious (4)	
			Neil Baker, 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.						
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 which is now meeting monthly, 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	January 2024 (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	Regular review and scrutiny throughout the year.
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	January 2024 (review)

<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	Peter Oakford			<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	Cabinet Member for Corporate and Traded Services			1-2 years
		Low staff morale				
		Impact on delivery of projects to expected timescales.				
		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 Trollope, Head of OD and Engagement
KCC's values, behaviours and culture embedded by managers, linked to KCC Strategic Reset programme.	Diane Trollope, 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 Trollope, 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
Communications and engagement campaigns will be delivered to support the implementation and embedding of People Strategy priorities. In particular, building awareness, understanding and use of our employee package will support staff retention.	Kate Nowowiecki – Engagement Development Manager HROD
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)	Implementation of action plans arising from latest staff survey (conducted December 2022)
Change Support Hub provides a suite of tools, knowledge, models, videos and change related resources to support leaders, managers, staff, and project delivery teams. The aim of the Change Hub is to aid employees to build change understanding and skills at a time right for them, to support the delivery of KCC ambitions through its many change programmes.	Jan Hawkes – Organisation Development Strategy Manager
'Managing Now' a suite of management development activities provide, clarity and guidance for KCC managers on their responsibilities and accountabilities, including focus on key areas, such as digital, hybrid, equality, inclusiveness and performance management.	Jan Hawkes – Organisation Development Strategy Manager



Risk ID: CRR0059	<b>Risk Title: Significant failure to bring forecast budget overspend under control within budget level assumed.</b> <i>(cross-reference to CRR0009 – Medium Term Financial and Operating Environment)</i>				
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
<p>The Council is under a legal duty to set a balanced and sustainable budget and maintain adequate reserves such that it can deliver its statutory responsibilities and priorities.</p> <p>The overall forecast revenue position for as at 30<sup>th</sup> September 2023-24 shows a £36m overspend before management action and additional grant.</p> <p>The forecast overspend comes on top of the £47.1m overspend in 2022-23, which has already reduced the Council's usable reserves. The 2023-24 budget did not replenish the general reserves drawn down at the end of 2022-23, this replenishment will need to be included in future budgets.</p> <p>The most significant overspends (and budgeted spending growth) in both 2022-23 and 2023-24 are</p>	<p>Risk of significant adverse variance to the level of savings and income agreed in KCC's budget.</p> <p>Spending growth pressures exceed forecasts.</p>	<p>Council reserves pushed below a sustainable position.</p> <p>Impact on service delivery</p> <p>More imminent danger of financial failure – ultimately issuing of s114 notice by Corporate Director Finance (s151 Officer)</p> <p>Negative impact on MTFP three-year plan</p>	<p>On behalf of CMT:</p> <p>Zena Cooke, Corporate Director Finance (s151 Officer)</p> <p><b>Responsible Cabinet Member</b></p> <p>On behalf of Cabinet:</p> <p>Peter Oakford, Finance, Corporate and Traded Services</p>	<p>V. Likely (5)</p> <p><b>Target Residual Likelihood</b></p> <p>Possible (3)</p>	<p>Major (5)</p> <p><b>Target Residual Impact</b></p> <p>Significant (3)</p>

<p>in adult social care and children's services.</p> <p>Urgent action is required to bring revenue spending down to a sustainable level, both within the current financial year and over the medium term (see risk CRR0009) to safeguard the council's financial resilience and viability.</p>	
<b>Control Title</b>	<b>Control Owner</b>
Council's Budget Strategy, confirmed at County Council Budget meeting in February 2023, confirms key principles to abide by.	Zena Cooke, Corporate Director Finance (s151 Officer)
Finance and performance monitoring progress reports will be considered at every Cabinet meeting to ensure the focus on Securing Kent's Future remains until the council's financial position is stabilised.	Zena Cooke, Corporate Director Finance (s151 Officer)
Section 151 Officer meeting weekly with the Leader, Deputy Leader (Cabinet Member for Finance), Chief Executive Officer and Monitoring Officer to provide progress updates.	Zena Cooke, Corporate Director Finance (s151 Officer)
Equality Impact Assessment screening will be completed for any alternative and / or additional savings necessary under the recovery plan.	Relevant Corporate Director(s)
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. Includes central collation of business case information for all savings and income within the approved budget 2023/24.	Zena Cooke, Corporate Director Finance (s151 Officer) / CMT
Quarterly budget meetings between Cabinet Member and Finance and Corporate Directors	Zena Cooke, Corporate Director Finance (s151 Officer)
Analytics function used to undertake detailed analysis of the main areas of overspend.	Matt Wagner, Interim Chief Analyst
Resource Accountability Statements signed by Corporate Directors.	Ben Watts, General Counsel / CMT

Any adverse variations to agreed savings / income are swiftly identified with compensating actions agreed with management.	Corporate Management Team	
Budget Recovery Plan – <i>Securing Kent's Future</i> , developed to address in-year forecast overspend and outline a pathway to future financial sustainability. This includes focusing predominantly on the material spending areas of council activity and those with the greatest forecast variances from the approved budget in adults and children's services.	Corporate Management Team	
Analysis and enhancements to financial reporting introduced to better identify the underlying drivers for the main budget variances and the impacts and dependencies of management action and policy choices to reduce the forecast overspend.	Zena Cooke, Corporate Director, Finance	
Any adverse variations to agreed savings / income are swiftly identified with compensating actions agreed with management.	Corporate Management Team	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
To maximise scope of effective scrutiny by all Members, there will be a review of meetings and agendas to ensure appropriate focus on core activity on the budget, key decisions and performance relating to "Securing Kent's Future".	Ben Watts, General Counsel	January 2024
Review of Council's Financial Regulations (and delegation levels within), "Spending the Council's Money" and Code of Corporate Governance, to ensure they remain fit for purpose in the current environment.	Zena Cooke, Corporate Director Finance / Clare Maynard / Ben Watts, General Counsel	January 2024
Robust delivery plan information being developed for 2024/25 – milestones, risks, dependencies etc.	Dave Shipton, Head of Finance (Policy, Strategy and Planning) / Corporate Directors	January 2024

<b>Risk ID</b>	<b>CRR0060</b>	<b>Risk Title</b>	<b>Reinforced Autoclaved Aerated Concrete (RAAC)</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>RAAC is a lightweight form of precast concrete, frequently used in public sector buildings in the UK from the mid-1960s to at least the mid-1980s. It is mainly found in roofs, although occasionally in floors and walls. It is less durable than traditional concrete and there have been problems as a result, which could have significant safety consequences.</p> <p>RAAC is now life-expired and liable to collapse – this has already happened in 2018 in a school in Kent with no notice. Following the collapse in 2018 KCC commissioned a validation exercise of schools (excluding academies and voluntary aided schools) and the corporate landlord estate to identify RAAC. The exercise highlighted 12 schools with high potential for RAAC, following inspection and testing, 3 positive results for RAAC were found at 3 schools. KCC took adequate steps at the time to implement</p>	<p>Unidentified RAAC could become unstable and lead to unsafe building/collapse without warning.</p>	<p>More properties are identified as having RAAC meaning threat to delivery of critical services.</p> <p>Capital/revenue costs of potential remediation work/temporary accommodation are not within agreed budgets.</p> <p>Potential disruption to schools/service delivery while investigations are ongoing.</p> <p>Perception that previously inspected buildings are not safe when there is wider communication about the issue.</p>	<p>On behalf of CMT: Rebecca Spore, Director of Infrastructure</p> <p><b>Responsible Cabinet Member(s):</b> On behalf of Cabinet:  Peter Oakford, Finance, Corporate and Traded Services</p>	<p>Possible (3)</p> <p><b>Target Residual Likelihood</b> Very unlikely (1)</p>	<p>Major (5)</p> <p>Major (5)</p> <p><b>Timescale to Target</b> Within 1 Year</p>	

a strategy for remediation. In 2021 the Department for Education published a guide for responsible bodies to help identify RAAC.

Kent County Council (KCC), as the Local Authority, is responsible for the maintenance of Community and Voluntary Controlled school buildings in Kent. This responsibility is taken seriously, with continuous maintenance and modernisation programmes in place to ensure that the school estate is fit for purpose. Included within these programmes are routine building checks that identify possible future maintenance issues with accommodation.

Recently another instance of RAAC has been identified at a KCC maintained primary school and as a result, KCC is re-surveying the school estate.

Further information being made available to DfE over the Summer of 2023 regarding performance of

Potential loss of life if an incident occurs at a time when a building is occupied.

<p>RAAC material has led to the DfE changing the guidance previously issued earlier in 2023 and requiring complete closure of affected areas where it is present until mitigation works have been completed.</p>	
<b>Control Title</b>	<b>Control Owner</b>
Review of the 2018/19 condition survey,	James Sanderson, Head of Property Operations
New condition surveys for schools and corporate landlord estate to identify potential RAAC	James Sanderson, Head of Property Operations
Temporary remedial action is underway at the primary school where RAAC was identified.	James Sanderson, Head of Property Operations
DfE have communicated to all schools regarding RAAC risk	James Sanderson, Head of Property Operations
Joint task group is in place with Education	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
Existing arrangements in schools via Hard FM contract for identification and reporting of building issues	James Sanderson, Head of Property Operations
Kent Schools (Local Authority responsibility) written to in relation to RAAC and Diocesan schools and Academies written to in relation to their responsibilities	James Sanderson, Head of Property Operations
Ongoing engagement with the Department for Education (DfE) RAAC Team to obtain funding for remediation works. DfE have agreed to fund all capital expenditure in relation to remediation of RAAC in schools.	James Sanderson, Head of Property Operations
Care providers have been written to regarding their contractual responsibilities for health and safety. Where providers identify RAAC they are to advise contract managers who are liaising with Health and Safety colleagues for advice and guidance	Maria Kelly – Interim Head of Health and Safety

Communications sent to all landlords where KCC have staff or services in them	Rebecca Spore	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Remainder of corporate landlord estate to be surveyed	James Sanderson, Head of Property Operations	December 2023

Risk ID	CRR0061	Risk Title	CQC Assurance readiness			
<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>	
As part of the Health and Care Act 2022 the CQC have new regulatory powers to oversee the quality and performance of both Local Authorities and Integrated Care Systems (ICS) using as single assessment framework alongside the existing inspection responsibilities they hold for providers of regulated activity.	Insufficient capacity and capability of available resource within project and operational teams to deliver reform changes in required timescales.	The Health and Care Act 2022, introduces a new power for the Secretary of State to intervene when it is considered that a Local Authority is failing to meet its duties.	On behalf of CMT:  Richard Smith Corporate Director Adult Social Care and Health (ASCH)	Possible (3)	Major (5)	
The CQC will apply the Local Authority Assurance Assessment framework and the reviews will focus on how well KCC is meeting its duties under Part One of the Care Act.	Insufficient funding to support the reform and policy changes are unachievable.	Negatively impacting relationships with providers and partners - loss of confidence	<b>Responsible Cabinet Member(s):</b>	<b>Target Residual Likelihood</b>	<b>Target Residual Impact</b>	<b>Timescale to Target</b>
	Failure to embed the Kent Story into practice and delivery.	Unable to meet the requirements of 18 (3) of the Care Act 2014.	Dan Watkins, Adult Social Care and Public Health	TBC	TBC	TBC
The assessment framework is available here: <a href="#">Assessment framework for local authority assurance - Care Quality Commission (cqc.org.uk)</a>	Person's voice is not reflected in decision making regarding their care.	Negative inspection report from CQC impacting the reputation of the Authority.				
Formal assessments will start from December 2023, with the aim to undertake all local authority assessments within two years.		Negatively impacting relationships with customers, carers and families - loss of confidence				



<b>Control Title</b>	<b>Control Owner</b>
Southeast Region ADASS self-assessment complete.	Sarah Denson Assistant Director
Continued embedding of the Practice Framework and Quality Framework to drive improvements to 'be the best we can be'.	Sarah Denson Assistant Director
Programme of training events including the 10 Core Skills Topics identified to support with the embedding of the Practice Framework to support practitioners to develop knowledge and skills as part of continuing professional development. (SD)	Sarah Denson Assistant Director
Regular liaison between Director Adult Social Care and the Director of Care Quality Commission (RS)	Richard Smith Corporate Director ASCH
Regular communication to the ASCH workforce on work in progress to support preparations for CQC inspection	Sarah Denson Assistant Director
Locality Commissioners meet regularly with Local Inspectors of the CQC. Strategic Commissioning also meet with Care Quality Commission and Public Health to share intelligence (Simon Mitchell)	Simon Mitchell, Assistant Director for Adults Commissioning
Regular engagement with Head of Finance (Policy, Planning & Strategy) and Revenue Manager.	Michelle Goldsmith Finance Business Partner
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 ASCH
KCC is a statutory partner to the Kent & Medway Safeguarding Adults Board – a statutory service which exists to make sure that all partner agencies are working together to help and protect adults with care and support needs in the Kent and Medway area who may be experiencing, or are at risk of, abuse or neglect, and unable to protect themselves. 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
KCC Safeguarding Competency Framework in place, including Mental Capacity Act requirements.	Sarah Denson Assistant Director
Attendance at the Southeast region ADASS networking groups where information is shared from LGA, DHSC, and opportunities to share intelligence/best practise	Richard Smith Corporate Director ASCH
QA Board commenced January 2023 person with lived experience as chair. Purpose to oversee the quality of social care practice and ensure recommendations and actions to improve practice and support learning culture are taken forward.	Sarah Denson Assistant Director
Regular engagement with provider and trade organisations	Clare Maynard, Head of Commerical
CMT and Cabinet Members have been engaged and briefed on ADASS self-assessment output	Helen Gillivan Director

Weekly/Fortnightly Project Team meetings to review progress, risks and blockers for escalation to DMT	Helen Gillivan Director	
Regular progress report to DMT including any escalations	Helen Gillivan Director	
Engagement with CYPE and GET to shared lessons learned/best practice	Helen Gillivan Director	
Internal Audit to complete test reviews of two quality statements and feedback finding to ASCH	Debbie Chisholm/Hannah Barton – Internal Auditor	
Resource delivery plan has been updated following completion of self-assessment. This identified additional resource required, Funding from draw down agreed by Corporate Director for Finance and agreement to commence recruitment to posts. Regular updates provided to SRP following additional resources being released.	Helen Gillivan Director	
Delivery action plan has been developed following self-assessment and internal audit review.	Helen Gillivan Director	
Delivery plan to be prioritised with immediate actions between now and September for CQC arrival		
Transitions Panel with stakeholders from Childrens and Adult social care to be developed as the access point for all young people entering into adult services. Currently in place for East Kent and occurs bimonthly. Panels to be established in North and West Kent	Susan Ashmore	
Culture growth workshop for ASCH leadership team – supporting culture change across the workforce	Richard Smith /Jan Hawkes	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Reviewing delivery plan to ensure that it is embedded in work focusing on sustainability and integration	Jim Beale, Director	January 2024
Working with Social Care Institute for Excellence to co-produce work on long term strategy for resourcing and ensuring the ‘person’s voice’ is embedded.	Jim Beale, Director	January 2024 (review)
Transitions workshop for both adult and children’s teams	Susan Ashmore	January 2024

<b>Risk ID</b>	<b>CRR0062</b>	<b>Risk Title</b>	<b>Provider failure</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>	
KCC commission a significant proportion of adult social care out to the private and voluntary sectors.	There is a risk that a provider/s is/are unable to continue to provide a service, or that that they fail to do so to the required level or required quality standard.	Gaps in the care market for certain types of care or in geographical areas meaning difficulty in placing some service users.	On behalf of CMT:	Very Likely (5)	Significant (3)	
The stability and sustainability of commissioned services are paramount to continued service delivery. In the event that one or more of these [major] provider becomes unstable or fails or is impacted by an emergency which forces closure, there is a risk of disruption to service delivery, which could result in service users being put at risk, impact the ability for KCC to deliver its statutory duty, financial impacts and reputational and legal consequences.	Increases in hand backs of care.	Unable to offer care packages immediately leading to delays with discharging from Health Services	Richard Smith Corporate Director	<b>Target Residual Likelihood</b>	<b>Target Residual Impact</b>	
	Providers choose not to tender for services at Local Authority funding levels or accept service users with complex needs.	Key provider unable to deliver services leading to KCC not meeting statutory requirements.	Adult Social Care and Health (ASCH)	Possible (3)	Significant (3)	
	Significant numbers of care home closures or service provider failures.	Financial loss leading to pressures on budgets that may impact the provision of services to service users and residents.	<b>Responsible Cabinet Member(s):</b>			<b>Timescale to Target</b>
	An emergency forces the provider to temporarily close.	Reputational damage	Dan Watkins, Adult Social Care and Public Health			1-2 years
The current social care system is under significant strain as a result of the challenging economic environment with increasing costs, inflationary pressures, increasing interest rates, rising energy costs, complexity of demand for services, high vacancy levels, and high staff						

turnover rates and constrained local authority budgets all having an impact on providers resilience and ability to deliver.	Reduction in quality of care provided due to workforce pressures
<b>Control Title</b>	<b>Control Owner</b>
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
Regular engagement with provider and trade organisations	Clare Maynard, Head of Commercial
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, Head of Commercial
Quarterly market pressure reports to ASCH DMT	Simon Mitchell, Assistant Director for Adults Commissioning
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, Assistant Director for Adults Commissioning
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
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, Head of Commercial
Weekly meeting with Cabinet Member to share latest position on the state of the social care market.	Richard Smith, Corporate

	Director ASCH / Simon Mitchell, Assistant Director for Adults Commissioning	
Providers are required to complete an annual self-assessment covering a number of issues including solvency.		
Care home closure process in place	Simon Mitchell, Assistant Director for Adults Commissioning	
Provider Master List is retained and RAG rated (e.g CQC rating, Ops visits, Commissioning visits, Safeguarding alert). Utilised by locality commissioning to target key providers with appropriate support	Simon Mitchell, Assistant Director for Adults Commissioning	
Weekly sanctions (contract, safeguarding, practice) is held, providers are rated, level 3 ratings are embargoed from new placements until issues resolved.	Simon Mitchell, Assistant Director for Adults Commissioning	
Annual fee uplift process for providers on framework	Clare Maynard – Head of Commercial	
Locality Commissioners support – regular audits, support with actions plans and policy where required	Simon Mitchell, Assistant Director for Adults Commissioning	
Regular senior level meeting, engaging senior stakeholder to support providers where possible	Jim Beale, Director / Mark Albiston, Director / Simon Mitchell, Assistant Director for Adults Commissioning	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Review of responsibility for assessment of provider Business Continuity Planning arrangements to ensure there is appropriate expertise in place	Simon Mitchell, Assistant Director for Adults Commissioning	December 2023
A review of existing locality commissioning quality monitoring arrangements	Simon Mitchell, Assistant Director for Adults Commissioning /ASCH Directors	December 2023

<b>Risk ID</b>	<b>CRR0063</b>	<b>Risk Title</b>	<b>Capacity to accommodate and care for Unaccompanied Asylum-Seeking (UAS) Children</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>	<b>Target Residual Likelihood</b>	<b>Target Residual Impact</b>
<p>In recent years, large numbers of unaccompanied children have arrived in the UK and claimed asylum. Because almost all of these children enter the UK in Kent, KCC is the local authority responsible for accommodating and looking after them in the first instance, in addition to those who already live in its area.</p> <p>Due to significant numbers of UAS children arrivals over a sustained period of time, and deficiencies in the operation and enforcement of the National Transfer Scheme (NTS), in September 2021 KCC and the Home Office agreed a protocol setting out how KCC would manage this situation in future. As a result of a recent High Court Judgement, this protocol can no longer be applied in its current form, meaning that the Council is required to accommodate and look after all UAS children arriving into the County, pending transfer</p>	<p>Insufficient resource (people and finances) to provide suitable social work assessment capacity, placements and support for UAS children in a timely fashion.</p>	<p>Impacts on vulnerable young people (both UAS children and potential knock-on impacts for Kent looked after children)</p>	<p>On behalf of CMT:</p> <p>Sarah Hammond, Corporate Director CYPE</p>	V. Likely (5)	Major (5)		
	<p>Shortfall in funding the full cost associated with fulfilling the Council's statutory duties, particularly in relation to additional costs arising from the High Court Judgement.</p>	<p>Inability to fulfil statutory duties effectively.</p> <p>Significant additional budget pressures on the Authority, impacting on its financial resilience.</p> <p>Legal consequences.</p> <p>Reputational damage.</p>	<p>Responsible Cabinet Member</p> <p>Sue Chandler, Integrated Children's Services</p>	V. Likely (5)	Serious (4)		

<p>to other local authorities under the National Transfer Scheme. This presents numerous pressures on an already stretched service, and for the council as a whole.</p>		
<b>Control Title</b>	<b>Control Owner</b>	
Representations made to Government for additional support to deal with UAS children costs.	Roger Gough, Leader of the Council / Sue Chandler, Cabinet Member for Integrated Children's Services	
The Council has utilised / re-purposed available buildings to increase accommodation capacity in the short term.	Rebecca Spore, Director Infrastructure	
UAS child numbers are continually monitored and reviewed to assess capacity and aid planning.	Louise Fisher, Assistant Director Front Door Service, ICS	
Best endeavours are being applied to ensure assessments are completed for every child that arrives in port and find appropriate placements, despite resourcing challenges.	Louise Fisher, Assistant Director Front Door Service, ICS	
UAS children Project Board in place to coordinate support efforts across the organisation.	Sarah Hammond, Corporate Director CYPE	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Claim for Judicial Review issued against Secretary of State in relation to the adequacy of the National Transfer Scheme.	Sarah Hammond, Corporate Director CYPE / Benjamin Watts, General Counsel	December 2023
Intensive negotiations taking place with Home Office and Department for Education on how to ensure suitable placements are provided for unaccompanied children, in line with our duties.	Sarah Hammond, Corporate Director CYPE	January 2024 (review)
Commissioning of a new facility to operate as a safe care reception centre.	Christy Holden, Head of Strategic Commissioning, CYPE	December 2023

Registering of reception centres with Ofsted to meet regulations coming into effect in autumn 2023.

Louise Fisher, Assistant  
Director – Front Door Service

December 2023 (review)



<b>Risk ID</b>	<b>CRR0064</b>	<b>Risk Title</b>	<b>Risk of Failing to Deliver Effective Adult Social Care Services</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 at risk of failing to deliver effective Adult Social Care services and there is the potential to not meet requirements of statutory services under the Care Act 2014, the Mental Health Act 1983, the Mental Capacity Act 2005 and associated legislation, and the regulatory requirements of the Care Quality Commission.</p> <p>The Council has been impacted by:</p> <ul style="list-style-type: none"> <li>- continual reduction in Central Government funding</li> <li>- Demographic changes</li> <li>- Increased demand for services</li> <li>- Demand led statutory services which can be difficult to predict</li> <li>- Increasing costs due to increasing complexity of health and social care needs.</li> <li>- Increasing costs due to cost-of-living pressure/inflation/interest rates/utilities.</li> <li>- increasing costs from social care market providers</li> <li>- recruitment and retention of staff</li> <li>- recovering from the impacts of the Covid-19 pandemic on the sector, including the NHS Recovery Plan</li> </ul>	<p>Impact on outcomes for people who draw on care and support and unpaid carers.</p> <p>Potential that people will come to harm and the Council will be unable to ensure that their safeguarding statutory duty under S.42 of the Care Act 2014 will be fully met.</p> <p>Non-compliance with Care Act 2014, the Mental Health Act 1983, the Mental Capacity Act 2005 and associated legislation, and the regulatory requirements of the Care Quality Commission.</p>	<p>Failure to fulfil our duty of care could result in serious harm or detriment or in extremely rare cases death to a person with significant impact on families, carers and support networks. This could in turn result in prosecution, having to pay compensation and a negative impact on the reputation of the Council.</p> <p>Reputational impact. Public perception of the council being willing to accept poor standards of care. Low public confidence in social care.</p> <p>A loss of trust in the Council's ability to safeguard people who live in Kent.</p>	<p>On behalf of CMT:</p> <p>Richard Smith Corporate Director</p> <p>Adult Social Care and Health (ASCH)</p> <p><b>Responsible Cabinet Member(s):</b></p> <p>Dan Watkins, Adult Social Care and Public Health</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> Within 1 year</p>	

	Overspending on the budget which may impact the wider council.	
<b>Control Title</b>		<b>Control Owner</b>
Enhanced governance and assurance arrangements to increase oversight and control of issues relating to performance, finance and operational challenges.		ASCH Directors
Targeted plans to deliver sustainable adult social care budget. <ul style="list-style-type: none"> <li>• Reprofitting of targets to deliver savings</li> <li>• Phase 2 of the Adult Social Care restructure</li> <li>• Activity and outcomes in terms of people and finance tracked to ensure all system work is concluded and any identified savings can be realised at the earliest opportunity.</li> </ul>		ASCH Directors
Recruitment of a time limited Data Quality officer to identify and resolve DQ issues on Mosaic and improve accuracy of performance and financial reporting.		ASCH Directors
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Review of workstreams across the Directorate to ensure that all available resources are directed towards the delivery of statutory functions, savings and efficiency plans and all non-essential work is stepped down.	Mark Albiston ASCH Director	December 2023 (Review)
Analysis of the workforce deployment, team size, and composition to ensure we are achieving the full benefit of the restructure	Mark Albiston ASCH Director	December 2023 (Review)
Plans to ensure we maintain a highly skilled and effective workforce through specific recruitment and retention activity	Mark Albiston ASCH Director	January 2024 (Review)
External consultancy analysis of the opportunities to work to prevent, delay, and reduce need for care and support to inform our preventative strategy	Mark Albiston ASCH Director	February 2024