



KCC Corporate Risk Register

Corporate Risk Register – January 2012

VERSION HISTORY

Version Date	Document Version	Document Revision History	Revisions	Document Author / Reviser	Version Approval Date	Version Approver Name
December 2011	1.01	Initial Development Copy		Corp. Risk Manager	Not Applicable	CMT and Cabinet
December 2011	1.02	Second Development Copy		Corp. Risk Manager	Not Applicable	CMT and Cabinet
December 2011	1.03	Third Development Copy		Corp. Risk Manager	Not Applicable	CMT and Cabinet
December 2011	1.04	Initial Draft for Cabinet Member Approval	Final draft submitted to Cab. Members & CMT for approval	Corp. Risk Manager	3 rd Jan 2012	Cabinet
December 2011	1.05	First Approved Version	Includes changes requested by Cab. Members following review of V1.04	Corp. Risk Manager	3 rd Jan 2012	Cabinet

Summary Risk Profile

PROBABILITY	Very Likely				8. Academies Independence from KCC	10. Demand Management
	Likely			3. Economic Climate 9. Health Reform	2. Safeguarding	
	Possible			1. Data & Information Mgmt 7. Governance & Internal Control 11. Responsiveness to Emerging Gov Reforms & Directives	4. Civil Contingencies & Resilience 5. Organisation Transformation 6. Localism	
	Unlikely					
	Very Unlikely					
		Minor	Moderate	Significant	Serious	Major
IMPACT						

Note: Written Risk Titles indicate 'Current' Risk Level and numbered boxes correspond to the Risk ID number and their respective 'Target' Risk Level.

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Risk ID	Risk Title	Data and Information Management			
Description The Council is reliant on accurate and timely data and information to determine sound decisions and plans, conduct operations and deliver services. It is also required by the Data Protection Act to maintain confidentiality, integrity and proper use of the data. With the Government's 'Open' agenda, increased flexible working patterns of staff, and increased partnership working and use of multiple information repositories, controls on data management and security have become complex and important. The corruption, misuse, misplacement, loss or theft of the data and information could disrupt the council's ability to function effectively and result in unwelcome adverse publicity or legal action.	Threat Poor decision making due to ineffective use of or insufficient availability of data and information sharing. Loss, misrepresentation or unauthorised disclosure of sensitive data. Malicious attacks and sabotage	Implication Under performance. Breach of Data Protection Act leading to legal actions, fines, adverse publicity, and additional remedial and data protection costs. Disablement of critical/vital services leading to failure to meet duties and to protect people, finances and assets	Risk Owner On behalf of CMT: Director Governance & Law Responsible Cabinet Member(s): Business Strategy, Performance & Health Reform Finance & Business Support	Current Probability Possible	Current Impact Significant
Control Title Appointment of a Senior Information Risk Officer				Control Owner Corporate Director Business Strategy & Support	
Formal appointment of Information Governance Manager				Director of Governance & Law	
Caldicott Guardians appointed in FSC and C&C Directorates				Corporate Director Families & Social Care	
Coherent county wide strategy and protocols on sharing information between agencies. Information Governance Programme Board's Information sharing agreement in place.				Information Governance Programme Board	
Centralised resilience and transparency team				Team Leader- Information Resilience & Transparency team	
Action Title		Action Owner		Progress (% Complete)	Planned Completion Date
SIRO action plan including Information Governance SORP (to include FOI, DPA, EIR policies & protocols, good practice guidance on records management, data classification, information security, appropriate storage media, email and fax usage, privacy notices, use of databases)		Director Governance & Law Business Strategy & Support		10%	December 2012
Instigation of information asset register and identification of information asset owners		Records Manager		40%	July 2012
Standard terms and conditions for orders/contracts <£50k value		Head of Strategic Procurement		0%	December 2012
Mandatory Information Governance training for all staff		Corporate Director Human Resources		0%	December 2012

Probability and Impact Scales					
Probability	Very Unlikely	Unlikely	Possible	Likely	Very Likely
Impact	Minor	Moderate	Significant	Serious	Major

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Risk ID	2	Risk Title	Safeguarding				
Description		Threat	Implication	Risk Owner	Current Probability	Current Impact	
The Council must fulfil its statutory obligations to effectively safeguard vulnerable adults and children. Its ability to fulfil this obligation could be affected by the adequacy of its controls, management and operational practices or if demand for its services exceeded its capacity and capability.		Insufficiently robust management grip, performance management or quality assurance Incident of serious harm or death of a vulnerable adult or child	Insufficient rigor in maintaining threshold application/inconsistency Increase in referrals and service demand resulting in unmanageable caseloads/workloads for social workers Serious impact on vulnerable people Decline in performance and effective service delivery leading to critical inspection findings and reputational damage Serious impact on ability to recruit the quality of staff critical to service delivery. Serious operational and financial consequences Attract possible intervention from a national regulator for failure to discharge corporate and executive responsibilities	Corporate Director Families & Social Care Responsible Cabinet Member(s): Specialist Children's Services Adult Social Care & Public Health	Likely Target Residual Probability Possible	Serious Target Residual Impact Significant	
Control Title				Control Owner			
Consistent scrutiny and performance monitoring through Improvement Core Group, district deep dives and audit activity				Corporate Director Families & Social Care			
Reduction in caseloads and robust caseload monitoring				Corporate Director Families & Social Care			
Significant work undertaken to increase rigour and managerial grip in Duty and Initial Assessment Teams				Corporate Director Families & Social Care			
Implementation of Central Duty Service to ensure increase in consistency and threshold application				Corporate Director Families & Social Care			
FSC management team monitors social work vacancies and agrees strategies for urgent situations				Corporate Director Families & Social Care			
Active strategy in place to attract and recruit social workers through a variety of routes with particular emphasis on experienced social workers. Detailed programme of training				Corporate Director Families & Social Care			
CMT, FSC Directorate Management Team and the Cabinet Member for Adult Social Care and Public Health receive quarterly safeguarding performance reports				Director of Strategic Commissioning			
Programme of internal and external audits for adult safeguarding case files with regards to FSC and KMPT. The results of these audits are reported to FSC Directorate Management Team and the Cabinet Member for Adult Social Care and Public Health. The findings of KMPT external audits are also reported to KMPT colleagues in the Adult Safeguarding Unit and to the KMPT Programme Board				Director of Strategic Commissioning			
KMPT safeguarding action plan was developed following an external audit in February 2011. The action plan is monitored by the Head of Adult Safeguarding for FSC and the Head of Adult Safeguarding for KMPT. Highlight reports are produced for the KMPT Programme Board to advise Board				Director of LD / MH			

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members of progress towards the action plan			
FSC Strategic Adults Safeguarding Board provides a strategic countywide overview of adult safeguarding within FSC and monitors progress towards the FSC Strategic Adult Safeguarding action plan		Director of Strategic Commissioning	
Safeguarding Vulnerable Adults Co-ordinators work closely with Contracting colleagues where there are safeguarding concerns in the independent sector using Quality in care framework		Director of Strategic Commissioning	
Action Title	Action Owner	Progress (% Complete)	Planned Completion Date
Service restructure	Director of Children's Services	Planning is at advanced stage	April 2012
Continued work to strengthen delivery of early intervention/prevention services	Director of Strategic Commissioning	Commissioning and Procurement Plan Supplier Framework in place	Spring 2012
Practice improvement programme to strengthen practice across Children and Families Teams	Director of Children's Services	Good Progress made	End of July 2012
Preparation for full announced inspection of Safeguarding and Looked After children	Director of Children's Services	Commenced work	Ongoing
Ongoing development of further strategies to support recruitment so that we attract and retain high calibre social workers and managers. Use of competent agency social workers and managers on temporary basis to fill vacancies	Director of Human Resources		Ongoing
A structured mechanism for feeding back lessons learnt from assessment, regulation and inspection needs to be implemented	Director of Strategic Commissioning		Ongoing
Ongoing monitoring of FSC safeguarding action plan by the FSC Strategic Adults Safeguarding Board. Ongoing monitoring of KMPT safeguarding action plan	Director of Strategic Commissioning		
SGVA Co-ordinator meetings continue to take place on a monthly basis. These meetings are an opportunity to share best practice and raise ongoing issues. The workplan for the group continues to be monitored	Director of Strategic Commissioning		Ongoing
An exercise is underway to identify which levels of safeguarding training have been undertaken by staff in the independent sector and to signpost providers to where they can access information about safeguarding training	Director of Strategic Commissioning		February 2012

Probability and Impact Scales					
Probability	Very Unlikely	Unlikely	Possible	Likely	Very Likely
Impact	Minor	Moderate	Significant	Serious	Major

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Risk ID 3	Risk Title	Economic Climate				
<p>Description</p> <p>The Council carries significant responsibility for encouraging and enabling growth in the County's economy. Our aim to 'grow the economy' is becoming increasingly challenging in the current economic climate. Our programme of work includes ambitious plans to assist local businesses; to ensure local people have the right skills as well as delivering enabling infrastructure.</p> <p>The Council has already anticipated and adapted its plans to provide for the current economic scenario. If the current economic climate continues or worsens or other regions re-stimulate their economies more quickly than Kent, then the Council's ability to deliver its plans for economic growth will be constrained. Without growth the county residents will have less disposable income, face increased levels of unemployment and deprivation which could lead to heightened social and community tensions</p>	<p>Threat</p> <p>Prolonged adverse, uneven or worse than anticipated economic situation leads to reduced income, business exodus, unplanned increase in costs, and demand for Council services beyond capacity to deliver</p> <p>Our ability to deliver an enabling infrastructure becomes constrained</p>	<p>Implication</p> <p>Stalled/low economic and jobs growth</p> <p>The Council finds it increasingly difficult to meet growing demand for services and support, putting vulnerable people at greater risk</p> <p>Reduced S106 contributions</p> <p>Increased levels of unemployment which could cause social tensions</p> <p>Kent becomes a less viable place for inward investment and business</p>	<p>Risk Owner</p> <p>Corporate Director Business Strategy & Support and Head of Paid Service</p> <p>(Corporate Director Enterprise & Environment)</p> <p>Responsible Cabinet Member(s):</p> <p>Regeneration & Enterprise</p> <p>Environment, Highways & Waste</p>	<p>Current Probability</p> <p>Likely</p> <p>Target Residual Probability</p> <p>Likely</p>	<p>Current Impact</p> <p>Significant</p> <p>Target Residual Impact</p> <p>Significant</p>	
Control Title		Control Owner				
Robust budgeting and financial planning- MTFP		Corporate Director Finance & Procurement				
A process for monitoring delivery of the savings has been agreed at the February CMT and will be reported through CMT, Cabinet members and the Budget IMG		Corporate Director Finance & Procurement				
An additional £5m has been put into Reserves to cover the risk of overspend		Corporate Director Finance & Procurement				
Analysis and refreshing of forecasts to maintain the level of understanding which feeds into the relevant areas of the medium term plan and the business planning process.		Director Business Strategy				
Implementation of strategic transport schemes outlined in Growth without Gridlock		Director Planning & Environment				
Key infrastructure is identified and planned for as part of District Local Plans		Director Planning & Environment				
Infrastructure is provided as part of new developments		Director Economic Development				
Action Title	Action Owner	Progress (% Complete)	Planned Completion Date			
Monitor key socio-economic indicators and forecasts	Director Business Strategy	Ongoing action	Ongoing			
Plan and deliver a 'Budget for Growth' – identifying priorities that will stimulate and accelerate jobs growth in the next 3 years	Director of Economic	50%	March 2012			

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Development			
Consider how best to market Kent for inward investment	Director of Economic Development	75%	March 2012
Use of £10m capital and £500k revenue allocations to develop and pump prime transport schemes in Growth without Gridlock	Director Planning & Environment	Ongoing action – schemes are at various stages of development	Ongoing
Influence District Local Plans	Director Planning & Environment	Ongoing action – Local Plans are at various stages of development and review	Ongoing
Ensure infrastructure is provided through financial arrangements such as S106 and CIL	Director Economic Development	Ongoing action	Ongoing

Probability and Impact Scales					
Probability	Very Unlikely	Unlikely	Possible	Likely	Very Likely
Impact	Minor	Moderate	Significant	Serious	Major

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Risk ID	Risk Title	Civil Contingencies and Resilience				
Description	Threat	Implication	Risk Owner	Current Probability	Current Impact	
<p>The Council, along with other Category 1 Responders in the County have a legal duty to establish and deliver containment actions and contingency plans to reduce the likelihood, and impact, of high impact incidents and emergencies and severe / extreme weather conditions. Their ability to effectively manage incidents and maintain critical services could be undermined if they are unprepared or have ineffective emergency and business continuity plans and associated activities.</p>	<p>Rise in civil emergency and high impact incidents and failure to deliver suitable planning measures, respond to and manage these events when they occur.</p>	<p>Potential increased loss of life if response is not effective. Serious threat to delivery of critical services. Increased financial cost in terms of damage control and insurance costs. Adverse effect on local businesses and the Kent economy. Possible public unrest and significant reputational damage Legal actions and intervention for failure to fulfill KCC's obligations under the Civil Contingencies Act or other associated legislation.</p>	<p>Corporate Director Customer & Communities</p>	Possible	Serious	
			<p>Responsible Cabinet Member(s): Customer & Communities</p>	<p>Target Residual Probability Possible</p>	<p>Target Residual Impact Serious</p>	
Control Title				Control Owner		
<p>Legally required multi-agency Kent Resilience Forum in place, with work driven by risk and impact based on Kent's Community Risk Register. Key roles of group include:</p> <ul style="list-style-type: none"> • Intelligence gathering and forecasting; • Regular training exercises and tests; • Task & Finish groups addressing key issues. • Plan writing • Capability building 				Head of Emergency Planning		
<p>Critical functions have been identified across KCC as a basis for effective Business Continuity Management (BCM). Other BCM planning and response measures being developed</p>				Head of Emergency Planning		
<p>Management of financial impact to include Bellwin scheme</p>				Finance Strategy Manager		
<p>Maintenance & delivery of emergency procedures, plans and capabilities in place to respond to a broad range of challenges.</p>				Head of Emergency Planning		
<p>Olympics: dedicated Kent Olympics Resilience Manager in place and comprehensive planning for the 2012 Olympic & Paralympic Games</p>				Head of Emergency Planning and Olympics Resilience Manager		
<p>System in place for ongoing monitoring of severe weather events (SWIMS)</p>				Programmes & Partnerships Manager, Sustainability & Climate Change		
<p>Implementation of Kent's Adaption Action Plan 2011-2013</p>				Programmes & Partnerships Manager, Sustainability & Climate Change		
<p>Local multi-agency flood response plans in place.</p>				Head of Emergency Planning		
<p>Winter Resilience Planning Group & action plan in place.</p>				Head of Emergency Planning		

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Action Title	Action Owner	Progress (% Complete)	Planned Completion Date
Continued implementation and monitoring of Olympics Resilience Plan	Olympics Resilience Manager	70%	August 2012
Implementation of business continuity recommendations contained in PWC audit.	Head of Emergency Planning	90%	January 2012
Continue to review Business Impact Analysis to reflect new structure and all inter-dependencies.	Head of Emergency Planning	75%: Data is in from all directorates and work is ongoing to load on to Mataco system	March 2012
Continue to maintain and develop the broad range of planning and response capabilities associated with this area.	Head of Emergency Planning	ongoing	ongoing
Further work to protect critical functions, including appropriate training.	Head of Emergency Planning	ongoing	ongoing
Continue to conduct regular exercises and rehearsals of plans Work to improve internal and external communications in the event of an incident (Communications Plan being developed)	Head of Emergency Planning	50%	March 2012
Implementation of action plan to improve overall resilience of Contact Centre	Head of Emergency Planning / Head of Contact Centre	25%: Work has begun on BCM for Contact Centre	September 2012
Work to improve ICT resilience arrangements.	Director of Information & Communication Technology	25%: Work has begun on BCM for Contact Centre	September 2012

Probability and Impact Scales					
Probability	Very Unlikely	Unlikely	Possible	Likely	Very Likely
Impact	Minor	Moderate	Significant	Serious	Major

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Risk ID 5	Risk Title	Organisational Transformation				
Description The Council is undergoing rapid change in order to deliver Bold Steps for Kent. A programme of major structural, operational and cultural transformation is underway. Staff reductions are being made because of budget pressures. The move towards more strategic commissioning and other changes to ways of working requires new skill sets and the changing environment for local government requires new behaviours from all staff. A “one council” approach to workforce planning is essential to ensure we have the right numbers of suitably skilled staff in the right places. The combination of losing experienced staff, recruiting new staff, and ensuring existing staff have the right skills and behaviours is a major challenge, and if not managed successfully could result in failure to deliver expected outcomes and benefits, and critical services may be impeded.	Threat Failure to manage the transformation process through adequate planning and resources Lack of appropriate skills and capacity to move to alternative delivery process Loss of excellent staff due to scale of changes	Implication Failure to deliver key services, to maintain quality of services provided and to achieve financial savings required, leading to reputational damage and further pressure on services.	Risk Owner On behalf of CMT: Corporate Director Human Resources Responsible Cabinet Member(s): Business Strategy, Performance & Health Reform Democracy & Partnerships Customer & Communities	Current Probability Possible Target Residual Probability Unlikely	Current Impact Serious Target Residual Impact Serious	
Control Title		Control Owner				
Delivery of organisational development plan		Corporate Director (Human Resources)				
Delivery of change to keep succeeding		Corporate Director (Human Resources)				
Staff care policy in place		Corporate Director (Human Resources)				
Workforce strategy with private sector providers		Corporate Director (Human Resources)				
Investment in training		Head of Paid Service				
More effective use of professional staffing resources on more complex issues		Head of Paid Service				
Succession planning		Corporate Director (Human Resources)				
Reputational management of senior posts		Head of Paid Service/Corporate Director (Human Resources)				
Work to develop internal control structures has been initiated		Director (Governance & Law)/ Director of Business Strategy				
Action Title		Action Owner	Progress (% Complete)	Planned Completion Date		
Improve programme and project management across KCC to identify the wider implications, timing and impact of separate initiatives including business change management		Head of Business Intelligence, Performance & Risk				

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Improved scheduling of changes involving support staff	Corporate Director (Human Resources)
Cross referencing between initiatives	Head of Business Intelligence, Performance & Risk
Improved strategic communications and open dialogue	Director (Communications & Engagement)
Improved management of redundancy criteria	Corporate Director (Human Resources)
Ongoing development of the Organisational Development Action Plan?	Corporate Director (Human Resources)

Probability and Impact Scales					
Probability	Very Unlikely	Unlikely	Possible	Likely	Very Likely
Impact	Minor	Moderate	Significant	Serious	Major

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Risk ID	Risk Title	Localism						
Risk ID 6	Risk Title	Localism	Description	Threat	Implication	Risk Owner	Current Probability	Current Impact
			<p>Bold Steps for Kent envisages place-based commissioning for some KCC services, pooling budgets into a single commissioning pot for each district. It also identifies considerable opportunity for a more joined-up approach and greater efficiencies if there is a single district-based commissioning plan that is shared by KCC Members and District Councillors. In addition, the Localism Bill paves the way for the Right to Buy public assets, the Right to Challenge the provision of public services and the Right to Bid to provide services, all of which potentially bring still greater complexity into the way in which services are commissioned and delivered. But unless this agenda is managed effectively, including relationships with partners and providers, key objectives will not be achieved.</p>	<p>Failure to establish and maintain locality based arrangements within required timescales</p>	<p>Delay in decision making due to complexity of this agenda Failure to deliver required transformation fast enough. Failure of devolved services, leading to reputational damage for KCC and the need to take back responsibility for the service. Loss of economies of scale for service delivery and failure to deliver required budget savings. Breakdown in critical relationships</p>	<p>Corporate Director Customer & Communities</p> <p>Responsible Cabinet Member(s): Democracy & Partnerships Customer & Communities</p>	<p>Possible</p> <p>Target Residual Probability Possible</p>	<p>Serious</p> <p>Target Residual Impact Serious</p>
Control Title							Control Owner	
KCC Future Service Options Programme in progress, preparing KCC for the implications of the "Right to Challenge". Risks to delivery of this programme are being monitored. Local Members will be involved in making recommendations for future service delivery.							Policy Manager Business Strategy & Support	
<i>Vision for Kent</i> – the county's community strategy, developed with partners across the county.							Kent Partnership Manager	
Locality Board Programme Plan in place, with governance arrangements being developed. A KCC steering group has been established. Roles & responsibilities are being developed and agreed for KCC staff who work with Locality Boards, along with a communications plan for stakeholders, including the public.							Business Transformation Manager, Service Improvement	
Action Title			Action Owner		Progress (% Complete)		Planned Completion Date	
Locality arrangements to be responsible for refreshing the <i>Vision for Kent</i> sections covering their respective localities.			Strategic Relationships Advisor		15%		Discussion at March 12 Kent Forum	
Ensure local government partners are engaged through Kent Joint Chiefs and Locality Boards			Strategic Relationships Advisor		Ongoing		Ongoing	
Staff briefings to be held on KCC issues of importance to Locality Boards			Director of Service Improvement		To be Confirmed December 11		To be Confirmed	
Data & Intelligence mechanisms for Locality Boards being established			Director of Service Improvement		10%		Evolving- partly dependent on ERP	

Probability and Impact Scales					
Probability	Very Unlikely	Unlikely	Possible	Likely	Very Likely
Impact	Minor	Moderate	Significant	Serious	Major

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Risk ID 7	Risk Title	Governance and Internal Control				
<p>Description</p> <p>The Council has legal responsibilities to ensure that adequate governance arrangements are in place to help the Council achieve its statutory responsibilities and to protect the Council's assets and finances. In the increasingly complex multi agency working environment and the current economic climate with increased budgetary cuts and organisational change - organisations need to update their governance arrangements and internal controls to successfully implement change programmes, achieve organisational objectives and safeguard their assets and reputation. If the Council's Governance arrangements are deficient, ineffective or unresponsive then the Council may encounter financial loss, service / operational disruption and prosecution.</p>	<p>Threat</p> <p>Major governance and internal control failure within the Council and / or its key suppliers</p>	<p>Implication</p> <p>Major reputational damage and financial loss</p> <p>Fail external inspection/audit</p> <p>Loss of confidence in the Council and possible government intervention.</p>	<p>Risk Owner</p> <p>Corporate Director Finance & Procurement</p> <p>(Director Governance & Law Business Strategy and Support)</p> <p>Responsible Cabinet Member(s):</p> <p>Democracy & Partnerships</p> <p>Finance & Business Support</p>	<p>Current Probability</p> <p style="text-align: center;">Possible</p> <p>Target Residual Probability</p> <p style="text-align: center;">Unlikely</p>	<p>Current Impact</p> <p style="text-align: center;">Significant</p> <p>Target Residual Impact</p> <p style="text-align: center;">Moderate</p>	
Control Title		Control Owner				
Constitution		Director of Governance & Law				
Code of Corporate Governance		Director of Governance & Law				
Blue Book		Corporate Director of Human Resources				
Kent Manager		Corporate Director of Human Resources				
Governance and Audit Committee		Corporate Director of Finance & Procurement				
Standards Committee		Director of Governance & Law				
Overview and Scrutiny Committees		Director of Governance & Law				
Action Title		Action Owner	Progress (% Complete)	Planned Completion Date		
Revised Code of Corporate Governance to be included in Constitution		Director of Governance & Law				
Constitution to be updated to take full account of the CIPFA 'Statement on the role of the Chief Financial Officer in Local Government (2010)		Director of Governance & Law				
The roles of scrutiny and regulatory committees to be clarified following the restructure of the authority. An assessment to be completed regarding what scrutiny committees are required, and their roles clarified and detailed in the Constitution		Director of Governance & Law				

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Consideration to be given as to the viability of extending the Forward Plan to ensure proper transparency and accountability for decisions taken by officers within their delegated limits	Director of Governance & Law
New scheme of officer delegations required	Director of Governance & Law

Probability and Impact Scales					
Probability	Very Unlikely	Unlikely	Possible	Likely	Very Likely
Impact	Minor	Moderate	Significant	Serious	Major

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Risk ID	Risk Title				
8	Academies independence from KCC				
Description The Academies Act 2010 enabled schools to become independent from KCC. Academies will get separate funding some of which will be taken away from the Council resulting in reduced funds being available for the support of the remaining local authority schools. Although funding and control is passed to schools KCC remains accountable for educational performance for all state maintained schools including Academies	Threat Insufficient funding remains available to support remaining Local Authority schools to perform effectively Provisions of the Education Act 2011 substantially limit local authorities' ability to monitor and intervene effectively in all categories of schools. This constrains KCC's duty to secure high standards for all pupils	Implication Budgetary pressure on KCC to maintain adequate support to remaining Local Authority Discontent among Local Authority Schools for lack of support. Poor performance among all Schools due to lack of ability to influence Academies or resource Local Authority schools effectively KCC will retain the overall responsibility for the educational standards of the pupils in the County - Reputational damage as people perceive KCC to be responsible	Risk Owner Corporate Director Education, Learning & Skills Responsible Cabinet Member(s): Education, Learning & Skills	Current Probability Very Likely Target Residual Probability Likely	Current Impact Serious Target Residual Impact Significant
Control Title		Control Owner			
The potential implications of the Act have been identified and mapped		Corporate Director ELS			
Commercial Transfer Agreement templates have been devised that limit KCC's liability although these are subject to individual negotiation with converting schools and their legal advisers		Corporate Director ELS			
Action Title		Action Owner	Progress (% Complete)	Planned Completion Date	
Lobbying central government		Director- School Resources	50%	12 July 2012	
KCC is delegating more services from April 2012 which begins to reduce the funding gap between schools and academies, moves services onto a traded basis and mitigates against the impact of current academy funding methodology		Director- School Resources		Date of end of consultation	

Probability and Impact Scales					
Probability	Very Unlikely	Unlikely	Possible	Likely	Very Likely
Impact	Minor	Moderate	Significant	Serious	Major

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Risk ID	Risk Title	Health Reform					
Description The Health and Social Care Bill is currently progressing through parliament and should receive Royal Assent in 2012. The Department of Health's time table for the transition to the new arrangements requires the majority of the activity and new organisations in place by April 2013. KCC is closely monitoring the progress of the Bill and its implications so that it is as prepared as it can be to implement the reforms once approved.	Threat Reform funding and deliverability are more challenging than anticipated and we fail to prepare for worst case scenario and to take an influential role in the co-ordination and implementation of local arrangements. Following successful delivery / implementation the predefined outcomes and benefits are unachievable. Not enough Public Health resource to cover services	Implication Existing arrangements are undermined by changes to health structures during and after implementation leading to additional costs particularly in adult social services (cost shunting). Existing arrangements for health and social care deteriorate whilst waiting for new arrangements to get underway leading to ineffective health and social care provision for citizens of Kent – potentially damaging lives and Council reputation. Major financial and legal backlash / repercussions from Central Government. Cuts in Public Health Services	Risk Owner Corporate Director Families & Social Care (Director of Public Health) Responsible Cabinet Member(s): Business Strategy, Performance & Health Reform Adult Social Care & Public Health	Current Probability Likely	Current Impact Significant	Target Residual Probability Possible	Target Residual Impact Moderate
Control Title		Control Owner					
Local transition plan has been developed by KCC and Medway Directors of Public Health		Director of Public Health					
KCC has had a designated cabinet portfolio holder Cabinet		Leader of the Council					
NHS / KCC Strategic Oversight Board established		Director of Public Health					
Establishment of a Health & Wellbeing Board chaired by Cabinet member		Director of Governance & Law					
Cabinet Member attends PCT Cluster Board		Cabinet Member for Business Strategy Performance & Health Reform					
Action Title	Action Owner	Progress (% Complete)	Planned Completion Date				
Preparing a local transition plan alongside that being produced by the South East Coast region	Director of Public Health	100%					
Cabinet member will assume a central role at a strategic level.	Cabinet Member for Business strategy, Performance & Health reform	100%	On Going				
An HR framework is being developed as part of the work of the transition planning group	Director of Public Health	0% Department of Health to publish					
Dedicated resource to be commissioned to ensure that any transfer of funding is fair and equitable and the interests of the Council are protected.	Director of Public Health	On Going	On Going				

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KCC/NHS Reform Budget

Director of Strategic Commissioning

CMM agreement
for Investment

March 2012

Probability and Impact Scales

Probability	Very Unlikely	Unlikely	Possible	Likely	Very Likely
Impact	Minor	Moderate	Significant	Serious	Major

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Risk ID 10	Risk Title	Demand Management				
Description KCC recognises that to effectively operate its services within budget limitations and effect preventative early intervention it must examine its operations and services and how they match customer expectations and demand. If the Council does not correctly assess, understand and deal with demand, changing demographics, customer expectations and delivery channels; and redesign and align its services and operations accordingly then it will find it increasingly difficult to fulfil its statutory duties and satisfy customer needs.	Threat Council fails to determine, manage and resource to future demand and its services are then unable to meet future customer requirements.	Implication Customer dissatisfaction with service provision, increased and unplanned pressure on resources and cycle of decline in performance. Fulfilling statutory obligations and duties become increasing difficult against rising expectations Increase the need to provide minimum appropriate services which may be interpreted by the public as reduction or withdrawal of services. May have unintended consequences on some of the Council's strategic objectives. Individual or class action legal challenge resulting in adverse reputational damage to the image of the Council.	Risk Owner Corporate Director Families & Social Care Responsible Cabinet Member(s): Adult Social Care & Public Health Specialist Children's Services Customer & Communities	Current Probability Very Likely Target Residual Probability Likely	Current Impact Major Target Residual Impact Serious	
Control Title		Control Owner				
Analysis and refreshing of forecasts to maintain the level of understanding which feeds into the relevant areas of the MTFP and the business planning process		Director of Strategic Commissioning				
Multi-agency protocols regarding placement of children and Adults in Kent are in place		Director of Strategic Commissioning				
Plans developed to reduce the number of LAC and ongoing discussions with high placing LA's for out of area placements		Director of Children's Services				
Market the benefits of enablement support to existing and potential service users, their families and key partners and ensure there is sufficient capacity in the market to provide Enablement Services		Director of Strategic Commissioning				
Continue to support early intervention and support services that make a difference in terms of delaying the need for more expensive social care support		Director of Children's Services				
Joint commissioning of services with health, in particular for people with dementia		Director of Strategic Commissioning				
Take advantage of every opportunity to make contracting and procurement controls drive value for money further		Director of Strategic Commissioning				
Develop better understanding of demand profile and respond as early as possible to have the greatest impact on demand management		Director of Strategic Commissioning				
Continue with the drive to make telecare one of routine community care services		Director of OP/PD and LD/MH				
Maintain the use of price reduction tools to obtain value for money in relation to the commissioning of expensive specialist residential accommodation		Director of Strategic Commissioning				

Corporate Risk Register – January 2012

Action Title	Action Owner	Progress (% Complete)	Planned Completion Date
Reduce the number of LAC	Director of Children's Services	Working to agreed targets	ongoing
Ensure that Looked After Children receive appropriate levels of support and services through effective multi-agency intervention that is responsive to their needs.	Director of Children's Services	LAC Team established	ongoing
Re-focus early intervention and prevention services – both direct and commissioned- is specifically to address this pressure and to ensure improved outcomes for children and young people	Director of Strategic Commissioning	Commissioning plans developed	End of 2012/13
Establish the Central Referral Unit to help with the effective management of safeguarding cases	Director of Children's Services	Significant progress made, recruitment in progress, identified resources Plan in progress to incorporate adult social care and health	Implementation, 23 January 2012
Institute a refreshed Transformation Programme focused on budget saving covering the term of the MTFP timeframe	Director of Strategic Commissioning	Transformation strategy to be in place by March 2012	2014/15
Continue to challenge other local authorities on ordinary residence matters	Director of OP/PD and LD/MH		ongoing
Implementation of Customer Service Strategy	Director of Community & Cultural Services		

Probability and Impact Scales					
Probability	Very Unlikely	Unlikely	Possible	Likely	Very Likely
Impact	Minor	Moderate	Significant	Serious	Major

Corporate Risk Register – January 2012

Risk ID	Risk Title	Responsiveness to Emerging Government Reforms and Directives					
Description KCC must remain responsive to and be prepared for Government Reforms and Directives and endeavour to implement them efficiently and effectively. The scope, scale and frequency of reforms and directives could become overwhelming and KCC may not have sufficient financial resources or ability to implement or accommodate the required changes on time and within cost to meet Government expectations	Threat Fail to effectively monitor Central Government activity (Horizon Scanning) Inability to predict / forecast implications on KCC strategic priorities, and business plans and finances. Fail to take advantage of new initiatives and opportunities Fail to establish reasonable contingent actions to minimise impact	Implication KCC falls behind other regions in its development impacting national reputation, economy and future opportunities. KCC unable to implement changes effectively and realise predicted benefits attracting undesirable government attention, penalties or intervention and reputational damage. Existing services malfunction as resources are drawn to government priorities and KCC goes into operational 'melt down'.	Risk Owner Corporate Director Business Strategy & Support and Head of Paid Service Responsible Cabinet Member(s): Business Strategy, Performance & Health Reform	Current Probability Possible	Current Impact Significant	Target Residual Probability Possible	Target Residual Impact Moderate
Control Title		Control Owner					
Horizon scanning by Business Strategy team		Director of Business Strategy					
Briefing on emerging government policy by policy staff		Head of Policy & Strategic Relationships					
CMT/Cabinet and DMT discussions on significant issues in order to inform risk assessment strategic business planning		Director of Business Strategy					
Engagement with national and local working groups and networks to influence government policy and get early warning of developments		Head of Policy & Strategic Relationships					
Work with other local government authorities to increase level of influence		Head of Policy & Strategic Relationships					
Engaging where possible in pilot schemes to test and assess new initiatives		Head of Policy & Strategic Relationships					
Action Title	Action Owner	Progress (% Complete)	Planned Completion Date				
Current controls will be strengthened by the Business Strategy restructure which will enable KCC to take a more holistic and strategic approach to this risk, including making connections across the professional networks attended by professional staff in service Directorates	Head of Policy & Strategic Relationships	0%	March 2012				
Development of modelling capability within Business Intelligence will support improved forecasting	Head of Business Intelligence, Performance & Risk	20%	March 2013				
Development of business transformation capability through the Service Improvement Division will help ensure effective implementation of change	Business Transformation Programme Manager	0%	March 2012				
A refreshed risk framework will enhance our capability to capture and drive contingent actions to minimize impact of risks	Head of Business Intelligence, Performance & Risk	20%	June 2012				

Probability and Impact Scales					
Probability	Very Unlikely	Unlikely	Possible	Likely	Very Likely
Impact	Minor	Moderate	Significant	Serious	Major