



# **KCC Corporate Risk Register**

## **Autumn 2012 Refresh**

**PRESENTED TO CABINET – 03/12/12**

## 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 <sup>rd</sup> 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 <sup>rd</sup> Jan 2012	Cabinet
July 2012	1.06	Second Approved Version	Includes DMT updates and changes determined at Joint CMT / Cab. Mtg plus addition of Welfare Reform risk	Corp. Risk Manager	17 <sup>th</sup> July 2012	CMT and Cabinet members
November 2012	1.07	Draft for Cabinet approval	Includes changes to articulation of risks and areas highlighted by Corporate Risk Team QA. Two new risks added and three transferred to directorate registers	Corp. Risk Manager	3 <sup>rd</sup> Dec 2012	Cabinet

## Summary Risk Profile

Low	Medium	High
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Risk No.**	Risk Title	Current Risk Rating	Target Risk Rating
CRR 1	Data and Information Management	12	9
CRR 2	Safeguarding	16	12
CRR 3	Economic Growth	12	12
CRR 4	Civil Contingencies and Resilience	12	9
CRR 5	Organisational Transformation	12	8
CRR 6	Localism	9	9
CRR 9	Health Reform	12	6
CRR 10	Management of Social Care Demand	25	16*
CRR 12	Welfare Reform Act	16	9
CRR 13	Delivery of Medium Term Financial Plan savings	12	2
CRR 14	Procurement	9	6

\*Interim position, as we clearly would wish to reduce this risk further. Early intervention and transformational initiatives are being pursued and the impact of them will need to be evaluated before exploration of further mitigating actions.

\*\*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 ID	CRR1	Risk Title	Data and Information Management			
<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 is reliant on vast amount of good, quality 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.		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  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.	Under performance.  Breach of Data Protection Act leading to legal actions, fines, adverse publicity, and additional remedial and data protection costs.  Significant interruption of vital services leading to failure to meet duties and to protect people, finances and assets  Potential damage to KCC's reputation	On behalf of CMT:  Director Governance & Law  <b>Responsible Cabinet Member(s):</b>  Business Strategy, Performance & Health Reform	Likely (4)  <b>Target Residual Likelihood</b>  Possible (3)	Significant (3)  <b>Target Residual Impact</b>  Significant (3)
<b>Control Title</b>					<b>Control Owner</b>	
Senior Information Risk Officer in place					Corporate Director Business Strategy & Support	
Centralised resilience and transparency team in place.					Team Leader- Information Resilience & Transparency team	
Caldicott Guardians in place in FSC and C&C Directorates (FSC Guardian has lead role for KCC), protecting confidentiality of service user information and enabling appropriate information sharing.					Corporate Director Families & Social Care	
Coherent county wide strategy and protocols on sharing information between agencies. Kent & Medway Information Governance Programme Board's Information sharing agreement in place.					Integrated Youth Services Effective Practice & Performance Manager	
ICT Strategy in place.					Director of ICT	
Interim Information Governance e-Learning package available to Kent Managers and other staff on request					Corporate Director Human Resources	
<b>Action Title</b>			<b>Action Owner</b>		<b>Planned Completion Date</b>	
SIRO action plan including Information Governance management guidance (to include Freedom Of Information, Data Protection, Environmental Information Requests 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		December 2012	
Instigation of information asset register and identification of information asset owners			Records Manager		March 2013	
Standard terms and conditions for orders/contracts <£50k value relating to information security			Head of Strategic Procurement		December 2012	
Implementation of recommendations from Data Quality Audits			Head of Internal Audit/Corporate Performance Manager		February 2013	
Introduction of Information Governance e-learning package for all staff			Corporate Director Human Resources		February 2013	

Improvement in Information Security & Information Risk Management arrangements as evidenced by a satisfactory NHS Information Governance Toolkit return

Corporate Director Families & Social Care / Director of Governance & Law / Director of ICT

February 2013

Risk ID	CRR2	Risk Title	Safeguarding				
		<b>Source / Cause of risk</b> The Council must fulfil its statutory obligations to effectively safeguard vulnerable adults and children.	<b>Risk Event</b> Insufficiently robust management grip, performance management or quality assurance  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.  Insufficient rigor in maintaining threshold application/inconsistency  Increase in referrals and service demand resulting in unmanageable caseloads/ workloads for social workers  Decline in performance and effective service delivery leading to critical inspection findings and reputational damage	<b>Consequence</b> Serious impact on vulnerable people  Serious impact on ability to recruit the quality of staff critical to service delivery.  Serious operational and financial consequences  Attract possible intervention from a national regulator for failure to discharge corporate and executive responsibilities  Incident of serious harm or death of a vulnerable adult or child	<b>Risk Owner</b> Corporate Director Families & Social Care  <b>Responsible Cabinet Member(s):</b>  Specialist Children's Services  Adult Social Care & Public Health	<b>Current Likelihood</b> Likely (4)  <b>Target Residual Likelihood</b> Possible (3)	<b>Current Impact</b> Serious (4)  <b>Target Residual Impact</b> Serious (4)
<b>Control Title</b>				<b>Control Owner</b>			
Consistent scrutiny and performance monitoring through Divisional Management Team, District 'Deep Dives' and audit activity				Corporate Director Families & Social Care			
Reduction in caseloads per social worker 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			
Central Duty Service & Central Referral Unit now in place 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 & Public Health and Specialist Children's Services receive quarterly safeguarding performance reports.				Corporate Director Families & Social Care			
Programme of internal and external audits for adult safeguarding case files with regards to FSC and Kent & Medway Partnership Trust (KMPT) in place. Peer reviews of safeguarding arrangements conducted by Essex County Council.				Corporate Director Families & Social Care			
Performance management of safeguarding is part of the Improvement Plan in place between KCC (FSC directorate) and KMPT.				Director of Learning Disability & Mental Health			
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				Corporate Director Families & Social Care			
Safeguarding Vulnerable Adults (SGVA) coordinators work closely with Contracting colleagues where there are safeguarding concerns in the				Corporate Director Families & Social Care			

independent sector using 'Quality in care' framework		
Regular 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 take place on a monthly basis. These meetings are an opportunity to share best practice and raise ongoing issues. The work plan for the group continues to be monitored	Director of Strategic Commissioning	
Exercise to map levels of safeguarding training completed by staff in the independent sector conducted. Providers signposted to where they can access information about safeguarding training	Director of Strategic Commissioning	
New, fit-for-purpose Specialist Children's Services structure introduced.	Director of Specialist Children's Services	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Continued work to strengthen delivery of early intervention/prevention services. Services being commissioned to phased timetable according to Commissioning and Procurement Plan Supplier Framework.	Director of Strategic Commissioning	March 2013
Practice improvement programme to strengthen practice across Children and Families Teams	Director of Specialist Children's Services	November 2012
Preparation for full unannounced inspection of Safeguarding and Looked After children	Director of Specialist Children's Services	Ongoing until inspection
Ongoing development of further strategies and campaigns 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	Corporate Director of Families & Social Care / Corporate Director of Human Resources	January 2013 - regular reviews as part of Improvement Plan
A structured mechanism for feeding back lessons learnt from assessment, regulation and inspection needs to be implemented	Director of Strategic Commissioning / Director of Specialist Children's Services	March 2013
Review of Kent Safeguarding and Children in Care Improvement Plan in light of findings from recent peer review and establishment and implementation of key actions, including: <ul style="list-style-type: none"> <li>Production of long-term vision for Children's Services in KCC</li> <li>Strengthening of Kent Safeguarding Children Board Arrangements</li> <li>Continued embedding of improved quality of practice and application of thresholds.</li> </ul>	Director of Specialist Children's Services	November 2012 Ongoing (March 2013 review) Ongoing (Dec 12 review)

Risk ID	CRR3	Risk Title	Economic Growth					
<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 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.		Prolonged adverse, uneven or worse than anticipated economic situation		Stalled/low economic and jobs growth		Corporate Director Business Strategy & Support and Head of Paid Service	Likely (4)	Significant (3)
		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.		The Council finds it increasingly difficult to fund KCC services across Kent and deal with the impact of growth on communities.		(Corporate Director Enterprise & Environment)	<b>Target Residual Likelihood</b> Likely (4)	<b>Target Residual Impact</b> Significant (3)
		Community Infrastructure Levy (CIL) payments, Section 106 contributions and other growth levers do not cover the cost of infrastructure		Kent becomes a less viable place for inward investment and business		<b>Responsible Cabinet Member(s):</b>  Regeneration & Economic Development		
				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				
				Reduced income, business exodus, unplanned increase in costs, and demand for Council services beyond capacity to deliver				
				Our ability to deliver an enabling infrastructure becomes constrained				
<b>Control Title</b>						<b>Control Owner</b>		
KCC's 20 year transport delivery plan, <i>Growth without Gridlock</i> sets out the key transport drivers for change which will help to facilitate and stimulate economic growth in the County. Implementation plan in place and regularly monitored.						Director Planning & Environment		
Key infrastructure is identified and planned for as part of District Local Plans and Infrastructure Delivery Plans.						Director Planning & Environment		
Planning & Environment and Economic & Spatial Development teams working with each individual District on composition of infrastructure plans including priorities for the CIL and Section 106 contributions, from which gaps can be ascertained						Director Economic & Spatial Development / Director of Planning & Environment		
Dedicated Economic & Spatial Development (commissioning) team and Regeneration Projects delivery team in place to lead on this agenda.						Director of Economic & Spatial Development		
Delivery of £5m Regional Growth Fund to improve rail journey times to East Kent and boost job opportunities						Director of Planning & Environment		



Delivery of £35m Expansion East Kent loan scheme to growth businesses in East Kent, with the aim of creating 5,000 jobs and attracting £320m of private sector investment.	Director of Economic & Spatial Development	
£20m Regional Growth funding secured for Thames Gateway Innovation, Growth and Enterprise (TIGER) programme to provide direct financial support to businesses in North Kent and Thurrock with the potential for growth with the aim of creating 3,400 jobs (new and safeguarded) and attracting a further £400m in private sector investment (subject to Member approval)	Director of Economic & Spatial Development	
Kent Forum Housing Strategy refreshed	Strategic Housing Advisor	
"Grow For It" East Kent launched showcasing East Kent for inward investors.	Director of Economic & Spatial Development	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Use of capital and revenue allocations to develop and pump prime transport schemes in Growth without Gridlock	Director Planning & Environment	March 2013 (review)
Economic & Spatial Devt SMT review of "critical" programmes/projects at SMT meetings and review of KPIs to ensure continued appropriateness and relevance	Director Economic & Spatial Development	March 2013 (review)
Ensure future infrastructure is provided through financial arrangements such as Section 106 and Community Infrastructure Levy. Meetings being established with each District Council to understand priorities.	Director Economic & Spatial Development / Director of Planning & Environment	March 2013 (review)
'High Growth' Kent initiative supporting high growth business in Kent	Head of Business Engagement & Economic Devt.	December 2014
Decision on award for Kent & Medway Broadband Programme as part of Broadband Delivery UK (BDUK) initiative.	Economic Devt Manager	April 2013
Launch of "Incubator" Programme to support the provision of incubator and start-up workspace in key locations.	Director Economic & Spatial Devt	November 2012
Continued business engagement via Business Advisory Board (BAB) and sector conversations	Director Economic & Spatial Devt	March 2013 (review) BAB meetings are Bi-monthly.
Ensure effective governance arrangements in place for the South East Local Enterprise Partnership Local Transport Body, to enable prioritisation of transport infrastructure	Director of Planning & Environment	April 2013
Working with Network Rail, ensure delivery of phase 1 journey time improvement scheme to East Kent	Director of Planning & Environment	December 2013

Risk ID	CRR4	Risk Title	Civil Contingencies 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>
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.		<p>Failure to deliver suitable planning measures, respond to and manage these events when they occur.</p> <p>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>Potential increased loss of life if response is not effective.</p> <p>Serious threat to delivery of critical services.</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 fulfill KCC's obligations under the Civil Contingencies Act or other associated legislation.</p>	<p>Corporate Director</p> <p>Customer &amp; Communities</p> <p><b>Responsible Cabinet Member(s):</b></p> <p>Customer &amp; Communities</p>	<p>Possible (3)</p> <p><b>Target Residual Likelihood</b></p> <p>Possible (3)</p>	<p>Serious (4)</p> <p><b>Target Residual Impact</b></p> <p>Significant (3)</p>
<b>Control Title</b>					<b>Control Owner</b>	
<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"> <li>• Intelligence gathering and forecasting;</li> <li>• Regular training exercises and tests;</li> <li>• Task &amp; Finish groups addressing key issues.</li> <li>• Plan writing</li> <li>• Capability building</li> </ul>					Head of Community Safety & Emergency Planning	
Critical functions identified across KCC as a basis for effective Business Continuity Management (BCM).					Head of Community Safety & Emergency Planning	
Management of financial impact to include Bellwin scheme					Finance Strategy Manager	
Maintenance & delivery of emergency procedures, plans and capabilities in place to respond to a broad range of challenges.					Head of Community Safety & Emergency Planning	
System in place for ongoing monitoring of severe weather events (SWIMS)					Programmes & Partnerships Manager, Sustainability & Climate Change	
Implementation of Kent's Adaptation Action Plan 2011-2013					Programmes & Partnerships Manager, Sustainability & Climate Change	
Local multi-agency flood response plans in place.					Head of Community Safety & Emergency	

		Planning
Winter Resilience Planning Group & action plan in place.		Head of Community Safety & Emergency Planning
ICT resilience improvements made to underlying data storage, data centre capability and network resilience. Funds approved for further work to improve services that utilise Microsoft SharePoint such as KNet and Kent.gov in line with Customer Services strategy.		Director of Information & Communication Technology
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Other BCM planning and response measures being developed	Emergency Planning Manager	March 2013 (review)
Implementation of business continuity recommendations contained in Price Waterhouse Cooper (PWC) audit.	Emergency Planning Manager	January 2013
Continue to review Business Impact Analysis to reflect new structure and all inter-dependencies.	Emergency Planning Manager	March 2013
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)	Emergency Planning Manager	March 2013
Finalisation of Business Continuity Management Plan for the Contact Centre to improve overall resilience.	Emergency Planning Manager / Operations Manager Contact Point	March 2013
Further development of ICT Disaster Recovery & Business Continuity Plans	Director of Information & Communication Technology / Emergency Planning Manager	March 2013 (review)
Upgrading of corporate email service to increase level of resilience	Director of Information & Communication Technology	November 2012
New digital telephone service to be introduced with added resiliency	Director of Information & Communication Technology	December 2012
Upgrading / enhancement to Automated call distribution system, Customer Relationship Management System and services that utilise MS SharePoint (e.g. Kent.gov and KNet) and underlying software, including training provision to ensure KCC has a sustainable support capability for these services.	Director of Information & Communication Technology	March 2013

Risk ID	CRR5	Risk Title	Organisational Transformation				
<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 is undergoing rapid change in order to deliver <i>Bold Steps for Kent</i> . 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.		<p>Failure to manage the transformation process through adequate planning and resources</p> <p>Lack of appropriate skills and capacity to move to alternative delivery process</p> <p>Loss of excellent staff due to scale of changes</p> <p>Failure to deliver expected outcomes and benefits, and critical services may be impeded.</p>		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.	On behalf of CMT: Corporate Director Human Resources	Likely (3)*	Serious (4)
					<b>Responsible Cabinet Member(s):</b>	<b>Target Residual Likelihood</b>	<b>Target Residual Impact</b>
					Business Strategy, Performance & Health Reform	Unlikely (2)	Serious (4)
<p>*While the overall risk has diminished for the organisation over the last year because of controls put in place and that many significant restructures have been completed successfully, there is still risk relating to the adult transformation programme and change in ways of working. The score for this area in isolation would remain at 4.</p>							
<b>Control Title</b>					<b>Control Owner</b>		
An Organisational Development Plan is in place, outlining KCC's key people activities from 2011-2015, including clear objectives and planned outcomes. Progress is monitored by HR divisional management team, Directorate Management Teams, Corporate Management Team and Corporate Board. Outcomes being monitored and challenged by Performance & Evaluation Board as appropriate.					Corporate Director (Human Resources)		
Delivery of <i>Change to keep Succeeding</i> restructuring programme. Timelines are published on KNet together with information on current and completed restructures.					Corporate Director (Human Resources)		
Directorate action plans in place and reviewed annually					Organisational Devt Group leads		
Staff care policy in place					Corporate Director (Human Resources)		
Centralised training budget and training plan in place delivered by Organisational Development Training Group, including leadership and Kent Manager programmes					Corporate Director (Human Resources)		
Professional staffing resources dedicated to more complex issues					Corporate Director (Human Resources)		
Governance & Internal Control mechanisms refreshed to align with new organisational arrangements (i.e. KCC constitution and Code of Corporate Governance.					Director (Governance & Law)		
Programme Office in place providing independent assurance of significant transformational programme and project management and their interdependencies across KCC to ensure appropriate benefits realisation. Reports to Corporate Board and Budget Programme Board as appropriate.					Head of Policy & Strategic Relationships		
<b>Action Title</b>				<b>Action Owner</b>		<b>Planned Completion Date</b>	
Delivery of the Organisational Development & People Plan through action plans for each of the five areas of people management activity:				Corporate Management Team		March 2013 (review)	

<ul style="list-style-type: none"> <li>• Resourcing;</li> <li>• Development;</li> <li>• Performance;</li> <li>• Transformation;</li> <li>• Retention</li> </ul> <p>Directorate action plans to be reviewed annually</p>		
Further work to develop Succession Planning across the organisation via Organisational Development Groups	Corporate Director (Human Resources)	March 2013 (review)
Implementation of Internal Communications Campaign	Director Communications & Engagement	February 2013 (launch)
Revision of KCC employee Terms & Conditions to reflect the changing shape of the workforce	Corporate Director (Human Resources)	April 13 (beginning of implementation)

Risk ID	CRR6	Risk Title	Localism			
<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>
Bold Steps for Kent envisages place-based commissioning for some KCC services, 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 Act 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.		Right to Challenge may not be conducive to the overall aims of Localism or corporate priorities  Locality Boards fail to deliver effective & efficient place-based provision arrangements  Delay in decision making due to complexity of this agenda  Breakdown in critical relationships	Failure to deliver required transformation fast enough.  Loss of economies of scale for service delivery and failure to deliver required budget savings.  Procurement & Commissioning process for locality arrangements becomes resource intensive / duplicates effort.  Key Bold Steps for Kent objectives not achieved.	Corporate Director  Customer & Communities  <b>Responsible Cabinet Member(s):</b>  Customer & Communities	Possible (3)  <b>Target Residual Likelihood</b> Possible (3)	Significant (3)  <b>Target Residual Impact</b> Significant (3)
<b>Control Title</b>				<b>Control Owner</b>		
Extensive preparatory work has taken place, including KCC Future Service Options Programme, preparing KCC for the implications of the "Right to Challenge" legislation, which was enacted on 27 <sup>th</sup> June 2012. Phase 1 of Make, Buy, Sell programme completed. First tranche of services included in first Expression of Interest (EOI) window agreed. Local Members to be involved in making recommendations for future service delivery.				Strategic Business Advisor, Business Strategy & Support		
Vision for Kent in place – the county's community strategy, developed with partners across the county.				Strategic Relationships Advisor		
Local Government partners are engaging through Kent Joint Chiefs and Locality Boards				Strategic Relationships Advisor		
Senior level engagement – KCC Directors are represented at each Locality Board				Corporate Management Team		
Thematic briefings held on KCC issues of importance to Locality Boards				Director of Service Improvement		
Locality Board Programme Plan in place and governance arrangements developed. A KCC steering group has been established. Roles & responsibilities have been developed and agreed for KCC staff who work with Locality Boards, along with a communications plan for stakeholders, including the public.				Head of Business Transformation , Service Improvement		
Management Information 'dashboards' developed across localities				Director of Service Improvement / Head of Business Intelligence / Strategic Relationships Advisor		
Support given to Locality Boards via Community Engagement Officers				Head of Consultation & Engagement		
<b>Action Title</b>		<b>Action Owner</b>		<b>Progress</b>	<b>Planned Completion Date</b>	
Phase 2 of 'Make Buy Sell' reviews to be agreed by Corporate Board in 2013/14.		Director of Service Improvement / Head of Policy & Strategic Relationships		N/A	July 2013	

Risk ID	CRR9	Risk Title	Health Reform				
<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 enactment of the Health and Social Care Bill gives KCC, as an upper tier Authority, a new duty to take appropriate steps to improve the health of the people.</p> <p>As well as the Act introducing a generic duty, it also requires KCC to undertake a number of specific steps including establishing a Health and Wellbeing Board; development of an enhanced Joint Strategic Needs Assessment (JSNA) under the auspices of the Health and Wellbeing Board; Commissioning Kent Health Watch; assuming statutory responsibility for some of the key locality-led elements of the new national Public Health System; and appointing (by statute) a Director of Public Health.</p> <p>In effect, this means that KCC becomes an integral part of this new national system providing locality-led leadership and oversight of public health (PH) in the County together with responsibilities in delivering some key public health services from the 1 April 2013.</p> <p>To support these new responsibilities the Authority will receive a ring-fenced budget and the transfer of most of the existing NHS staff currently working in public health in Kent.</p>		<p>The changes outlined in the Act to the NHS, including the changes to the national Public Health system prove overly difficult to achieve in the timescales set</p> <p>Following successful delivery / implementation the predefined outcomes and benefits are unachievable.</p> <p>Not enough Public Health resource is transferred to cover the delivery of services.</p> <p>Insufficient resource to support Health and Well Being Board and related sub-architecture.</p>		<p>Existing arrangements would be undermined by changes to health structures during and after implementation leading to additional costs particularly in adult social services (cost shunting).</p> <p>Existing arrangements for health and social care may 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.</p> <p>Inadequate budgets provided by Central Govt to sustain current levels of locality-led Public Health services.</p> <p>Business Continuity issues due to delay in the development and management of essential new complex partnerships between KCC and the NHS.</p> <p>Potential increase in debt owed to KCC by outgoing NHS organisations Ability and commitment of successor bodies to continue with Section 31, 75 and 256 agreements.</p> <p>The possibility of unsafe practices in health protection as a consequence of responsibilities for this domain of Public Health being split between Public Health England, the National Commissioning Board and the Local Authority.</p>	<p>Corporate Director Families &amp; Social Care (Director of Public Health)</p> <p><b>Responsible Cabinet Member(s):</b></p> <p>Business Strategy, Performance &amp; Health Reform</p> <p>Adult Social Care &amp; Public Health</p>	<p>Likely (3)</p> <p><b>Target Residual Likelihood</b> Possible (2)</p>	<p>Significant (4)</p> <p><b>Target Residual Impact</b> Moderate (3)</p>
<b>Control Title</b>					<b>Control Owner</b>		
Local transition plan has been developed by KCC and Medway Directors of Public Health alongside that produced by the South East Coast region.					Director of Public Health		
KCC has a designated Cabinet Portfolio Holder for NHS reforms, who has assumed a central role at strategic level					Leader of the Council		
Virtual Health & Wellbeing Board Steering Group established					Director of Public Health		

Establishment of a shadow Health & Wellbeing Board chaired by Cabinet Member	Director of Governance & Law	
KCC Public Health Transition Project Team established, reporting to the Corporate Director of Families & Social Care	Corporate Director Families & Social Care	
Dedicated resource commissioned to ensure that any transfer of funding is fair and equitable and the interests of the Council are protected.	Director of Public Health	
KCC/NHS reform budget agreed by Cabinet Members	Director of Strategic Commissioning	
Secondment of a consultant from the Health Protection Agency to consider and to write the procedures underpinning the delivery of safe services	Director of Public Health	
PCT cluster working group established co-chaired by the two Directors of Public Health in Kent & Medway to oversee and mitigate the risk of unsafe public health service emerging	Director of Public Health	
Cabinet Member attends PCT Cluster Board	Cabinet Member for Business Strategy Performance & Health Reform	
KCC Public Health Transition project plans in place	Director of Public Health	
Joint Commissioning Board and sub groups for children's services established to identify joint priorities to improve outcomes	Director of Strategic Commissioning	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
An HR framework is being developed as part of the work of the transition planning group	Director of Public Health	March 2013
Alignment of the Families & Social Care Transformation Programmes with Commissioning plans of Clinical Commissioning Groups (CCGs)	Director of Strategic Commissioning Director of Older People & Physical Disability	April 2013
Transition of shadow Health & Wellbeing Board into full status.	Head of Policy & Strategic Relationships	April 2013
Development of a strategic approach to commissioning Kent Health watch	Director of Public Health	April 2013
Engage and work with the emerging Kent CCGs on both adult and children's health services	Corporate Director Families & Social Care	April 2013
Continue work to integrate Health & Social Care services	Director of Older People & Physical Disability	April 2013
Influence central government bodies to remove barriers to integration and to promote partnership working.	Director of Public Health	April 2013
Complete NHS Information Governance Toolkit return (cross-reference to Data and Information Management risk – CRR1)	Director of Families & Social Care / Director of Governance & Law / Director of ICT	February 2013



Risk ID	CRR10	Risk Title	Management of Social Care Demand			
<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 recognises that to effectively operate its services within budget limitations and affect preventative early intervention it must examine its operations and services and how they match customer expectations and demand.		Council fails to determine, manage and resource to future demand and its services are then unable to meet future customer requirements.  Fulfilling statutory obligations and duties becomes increasingly difficult against rising expectations	Customer dissatisfaction with service provision. Increased and unplanned pressure on resources Decline in performance. Legal challenge resulting in adverse reputational damage to the Council.	Corporate Director Families & Social Care  <b>Responsible Cabinet Member(s):</b> Adult Social Care & Public Health  Specialist Children's Services	Very Likely (5)  <b>Target Residual Likelihood</b> Likely (4)	Major (5)  <b>Target Residual Impact</b> Serious (4)
<b>Control Title</b>					<b>Control Owner</b>	
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	
Monitoring, vigilance and challenge regarding the placement of children and Adults in Kent.					Director of Strategic Commissioning	
Plans developed to manage the number of children in care and ongoing discussions with high placing LA's placing children in care in Kent.					Director of Specialist Children's Services	
Adult Social Care Transformation Programme Blueprint and Preparation Plan agreed by Cabinet, including six identified transformation themes.					Corporate Director Families & Social Care	
Benefits of enablement support to existing and potential service users, their families and key partners being marketed. Work is linked into the Adult Transformation Programme 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 and helps improve quality of life					Director of Specialist Children's Services	
Joint commissioning of services with health, in particular for people with dementia, long term conditions and for carers.					Director of Strategic Commissioning Director of Older People & Physical Disability	
Utilise opportunities 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	
Continued drive to maximise the use of Telecare as part of the mainstream community care services					Director of Older People & Physical Disability and Director of Learning Disability and Mental Health	
Maintain the use of appropriate tools to obtain value for money in relation to the commissioning of expensive specialist residential accommodation					Director of Strategic Commissioning	
<b>Action Title</b>			<b>Action Owner</b>		<b>Planned Completion Date</b>	
Ensure the appropriate number of children in care			Director of Specialist Children's Services		March 2013 (review)	

Ensure that children in care receive appropriate levels of support and services through effective multi-agency intervention that is responsive to their needs.	Director of Specialist Children's Services	March 2013
Re-focusing of early intervention and prevention services (both direct and commissioned)- is specifically designed to address this pressure and to ensure improved outcomes for children and young people	Director of Strategic Commissioning	March 2013
Evaluation of Central Referral Unit, which has been introduced to help with the effective management of safeguarding cases	Director of Specialist Children's Services	December 2012
Adult Social Care Transformation Programme - delivery of outputs from planning phase.	Director of Strategic Commissioning	December 2012
Continue to challenge other local authorities on ordinary residence matters	Director of Older People & Physical Disability and Learning Disability & Mental Health	March 2013 (review)
Jointly develop risk stratification tools with Health to better target interventions.	Director of Older People and Physical Disability Services	April 2013
Public Health & Social Care to ensure effective provision of information, advice and guidance and to promote self management to reduce dependency	Director of Public Health / Director of Older People and Physical Disability Services	April 2013
Continue to support investment in preventative services through voluntary sector partners	Director of Strategic Commissioning	March 2013
Implementation of Customer Service Strategy with emphasis on personalisation, incentivisation, demand management and localism	Director of Customer Services	March 2015

Risk ID	12	Risk Title	Welfare Reform Act				
<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 Welfare Reform Act 2012 puts into law many of the proposals set out in the 2010 white paper <i>Universal Credit: Welfare that Works</i>. It aims to bring about a major overhaul of the benefits system and the transference of significant centralised responsibilities to local authorities. The Act presents KCC with two major challenges; firstly to determine and implement the schemes and operations required to effectively comply with the Act on time and to specification and secondly to be prepared to manage the uncertain affects and outcomes that the changes may have on Kent and its people.</p>		<p>Failure to develop and deliver effective schemes and operations within statutory deadlines, specification and budget.</p> <p>The financial models and budgets and funding sources underpinning the new schemes prove to be inadequate and allocation of payments and grants has to become prioritised against more challenging criteria.</p> <p>The impact of the reforms in regions outside of Kent could trigger the influx of significant numbers of 'Welfare' dependent peoples to Kent.</p> <p>Failure to plan appropriately to deal with potential consequences.</p>	<p>Failure to meet statutory obligations has major legal, financial and reputational repercussions for KCC.</p> <p>Ineffective delivery of schemes and operations to customers compounds demand on KCC and partner services.</p> <p>An increase in households falling below poverty thresholds with vulnerable people becoming exposed to greater risk.</p> <p>New schemes and operations are undermined by a negative impact on Kent's demographic profile.</p> <p>Insufficient employment to meet additional demand and to fill the publics' 'funding gap' places additional challenges for adult and child safeguarding and demand for social support.</p> <p>Increasing deprivation leads to increase in social unrest and criminal activity.</p>	<p>Corporate Director Customer &amp; Communities</p> <p>Corporate Director Families &amp; Social Care</p> <p>(Corporate Director of Finance &amp; Procurement)</p> <p><b>Responsible Cabinet Member(s):</b></p> <p>Finance &amp; Procurement</p> <p>Customer &amp; Communities</p> <p>Older People's Services</p>	<p>Likely (4)</p> <p><b>Target Residual Likelihood</b> Possible (3)</p>	<p>Serious (4)</p> <p><b>Target Residual Impact</b> Significant (3)</p>	
	<b>Control Title</b>					<b>Control Owner</b>	
	Cross-party Informal Members Group established to consider developments					Cabinet Member for Older People's Services (including Public Health)	
Key work streams and outputs to prepare for changes identified and detailed in a Welfare Reform Implementation, Response and Monitoring Plan					Head of Policy & Strategic Relationships		
Initial analysis of impacts conducted by KCC Business Intelligence & external partners to give an indication of scale of implications					Research & Evaluation Manager, Business Intelligence		
Analysis and research into potential implications for service users, claimants and KCC of introduction of Personal independence Payment to replace Disability Living allowance for working age claimants from April 2013					Research & Evaluation Manager, Business Intelligence		
Housing Strategy team working with South East Housing associations to consider likely impact on sector					Strategic Housing Advisor		
KCC working with Billing authorities & other major preceptors to design scheme which offers support to the most vulnerable whilst managing reduction in funding					Finance Strategy Manager		
<b>Action Title</b>				<b>Action Owner</b>	<b>Complete)</b>	<b>Planned Completion Date</b>	
Localisation of Social Fund – firm proposals for local scheme to be produced for decision				Policy Manager, Business Strategy & Support		January 2013	

Universal Credit – Continue work with DWP to establish local delivery aspects in terms of face-to-face support	Head of Service – Customer Relationship Unit	April 2013
Total Benefit Cap – Update initial analysis to gain further insight into implications and produce a briefing on the impact on residents and services in Kent (best and worst case scenarios)	Research & Evaluation Manager, Business Intelligence	January 2013
Development of mechanism to track benefit cap migration into Kent and reach agreement on its use with District Councils.	Research & Evaluation Manager, Business Intelligence	November 2012 (mechanism developed) January 2013 (consensus with Districts)
Council Tax Benefit localisation - finalise details of scheme in conjunction with Districts and include necessary changes into 2013/14 budget and Medium Term Financial Plan	Finance Strategy Manager	January 2013

Risk ID	CRR13	Risk Title	Delivery of Savings			
<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 ongoing difficult economic climate has led to significant reductions in funding to the public sector and Local Government in particular. KCC has already made significant cost savings and still needs to make ongoing year-on-year savings in order to "balance its books."	The required savings from key programmes or efficiency initiatives are not achieved.	Urgent alternative savings need to be found which could have an adverse impact on service users and/or residents of Kent.  Reputational damage to the council.	On behalf of CMT: Corporate Director Finance & Procurement  <b>Responsible Cabinet Member(s):</b>  Finance & Business Support	Possible (3)  <b>Target Residual Likelihood</b> Very unlikely (1)	Serious (4)  <b>Target Residual Impact</b> Moderate (2)	
<b>Control Title</b>				<b>Control Owner</b>		
Robust budgeting and financial planning in place via Medium Term Financial Planning (MTFP) process				Corporate Director (Finance & Procurement)		
Process for monitoring delivery of savings is in place, including a Budget Programme Board to scrutinise progress.				Corporate Director (Finance & Procurement)		
Robust monitoring and forecasting of arrangements in place relating to the KCC budget as a whole				Corporate Director (Finance & Procurement)		
Programme Office in place providing independent assurance of significant transformational programme and project management across KCC to ensure appropriate benefits realisation, including delivery of savings. Reports to Corporate Board and Budget Programme Board as appropriate.				Head of Policy & Strategic Relationships		
Procedures for appropriate consultation in place (including Equality Impact Assessments) when decisions relating to changes in services are being considered				Head of Consultation & Engagement		
<b>Action Title</b>		<b>Action Owner</b>			<b>Planned Completion Date</b>	
Ensure existing controls and mechanisms remain robust during the coming years					March 2013 (review)	
Work closely with District Councils to finalise arrangements for localisation of council tax (cross-reference to Risk 12 Welfare Reform)					January 2013	
Delivery of Social Care Transformation Programme					2014/15	

Risk ID	CRR14	Risk Title	Procurement			
<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 transformation programme set out in <i>Bold Steps for Kent</i> , the Authority is moving towards more strategic commissioning arrangements. This will put even greater emphasis on the importance of robust procurement and commissioning arrangements and contract management.		Commercial or contractual failure of suppliers A procurement process is challenged because it is considered to be discriminatory or to have failed to adhere to procedures set out in procurement law. Potential conflict between best price and <i>Bold Steps for Kent</i> objectives Non-delivery of procurement savings	Providers fail to deliver expected benefits. Service users / residents of Kent suffer – potential legal, financial and reputational implications. Procurement processes may have to be halted / restarted, which has service and financial implications	On behalf of CMT: Corporate Director Finance & Procurement  <b>Responsible Cabinet Member(s):</b>  Finance & Business Support	Possible (3)  <b>Target Residual Likelihood</b> Unlikely (2)	Significant (3)  <b>Target Residual Impact</b> Significant (3)
<b>Control Title</b>				<b>Control Owner</b>		
KCC Procurement Strategy sets out the strategic approach to procurement across the Authority				Head of Procurement		
<i>Spending the Council's Money</i> – Code of Practice setting out how strategic approach to procurement is to be achieved at operational level.				Head of Procurement		
Procurement Board in place, establishing clear agreed relationships, support, information flow, governance structures and accountability between different levels of commissioning and procurement.				Head of Procurement		
iProcurement rolled out, as an online way of making and managing requisitions and purchases				Head of Procurement		
Some Procurement training in place (see action below)				Head of Procurement		
Category Management approach established				Head of Procurement		
Procedures for appropriate consultation in place (including Equality Impact Assessments) where procurement and commissioning decisions are being considered				Head of Consultation & Engagement		
<b>Action Title</b>		<b>Action Owner</b>			<b>Planned Completion Date</b>	
Promote procurement training for KCC managers as part of <i>the Kent Manager</i> standard		Head of Procurement			March 13 (review)	
Completion of Category Management strategies		Head of Procurement			January 2013 (review)	
Jointly develop procurement protocol with Legal Services to clarify the respective responsibilities of these two functions and service managers.		Head of Procurement / Director of Governance & Law			January 2013	