



# Customer & Communities Risk Register

## January 2013

## SUMMARY RISK PROFILE

Low = 1-6
Medium = 8-15
High = 16-25

Risk No.	Risk Title	Current Risk Rating	Target Risk Rating
1	Reduction or cessation of external funding, grants and partner contributions / funding levels to support additional responsibilities	20	12
2	Reduction in fee income as a result of economic downturn or increased competition	16	12
3	Implementation of the Troubled Families multi-agency Programme	12	4
4	Delivery and embedding of the KCC-wide Customer Service Strategy	16	8
5	Transformation of services involving new service models	8	3
6	Information Management (Security & Sharing)	9	4

Risk ID	CC01	Risk Title	Reduction or cessation of external funding, grants and partner contributions / funding levels to support additional responsibilities			
<b>Source / Cause of Risk</b>		<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner(s)</b>	<b>Current Likelihood</b>	<b>Current Impact</b>
Several services across the directorate rely on external funding and grants, including partner contributions		Greater than planned for reduction or cessation of external funding, grants and partner contributions.	Insufficient budget or major overspend.	Directorate Management Team	Very Likely (5)	Serious (4)
		Dehypotheication of grants means the directorate loses track of reductions.			<b>Target Residual Likelihood</b> Likely (4)	<b>Target Residual Impact</b> Significant (3)
<b>Control Title</b>					<b>Control Owner</b>	
Lobbying takes place for continuation of funding at local and national level as appropriate					Directorate Management Team	
Exit Strategies prepared as appropriate					Directorate Management Team	
Development of flexible cost base i.e. reduction of fixed costs					Directorate Management Team	
Routine budget monitoring and early identification of risks					Directorate Management Team	
Regular meetings, MOU's negotiated for longer terms					Directorate Management Team	
<b>Action Title</b>			<b>Action Owner</b>	<b>Planned Completion Date</b>		
Integrated Youth Service to focus on community based remand management approaches to reduce potential impact from transfer of funding liability for remand management from Youth Justice Board to the Local Authority.			Asst Head of Integrated Youth Services (Youth Offending)	Ongoing (review Apr 13)		
Ensure transitional funding arrangements from public health and clinical commissioning groups are able to sustain investment in substance misuse services.			Head of Commissioned Services	Ongoing (review Oct 13)		
Work with Arts Council and the arts sector to develop alternative management models and strategies for inward investment in Kent			Head of Culture and Sport	March 2013		
Attract filming in Kent through managing location requests, permits, Kent Development fund, to grow and maintain the <i>Kent Production Guide</i> .			Head of Culture and Sport	March 2014		
Formalise relationship with the new National Trading Standards Board and national Tactical Tasking and Coordination group. Negotiate projects and secure contracts/funding.			Head of Regulatory Services Group	March 2014		
Working with partners through the Future Library Strategy to create local volunteering capacity to support library service delivery			Service Improvement Programme Manager	March 2014		
Agree a 10 point plan for joint working between KCC and the Arts council to ensure Kent receives maximum backing.			Head of Culture and Sport.	March 2014		
Support and contribute to the Kent customer Service Group (Joint Kent Chiefs) to drive forward collaboration and joint investment.			Head of Service Customer Relationship	March 2014		
Lever funding into sports, arts and culture in Kent			Head of Culture and Sport	March 2014		
Countryside Management Partnerships - build a partnership model of funding with district councils and for other public and private sector organizations to lever in £9 for every £1			Head of Regulatory Services Group	March 2014		

invested by KCC.		
Lever in funding to enhance the Public Rights of Way network	PRoW and Access Manager	March 2014

Risk ID	CC02	Risk Title	Reduction in fee income as a result of economic downturn or increased competition				
		<b>Source / Cause of Risk</b> Several services across the directorate rely on the generation of fee income to "balance their books".	<b>Risk Event</b> Fee income sources reduce e.g. as a result of the economic downturn or increased competition	<b>Consequence</b> Additional efficiency savings would need to be found from the relevant service(s) and / or other parts of the directorate.	<b>Risk Owner(s)</b> Directorate Management Team	<b>Current Likelihood</b> Likely (4) <b>Target Residual Likelihood</b> Likely (4)	<b>Current Impact</b> Serious (4) <b>Target Residual Impact</b> Significant (3)
<b>Control Title</b>						<b>Control Owner</b>	
Monitoring and controls on provision for fee returns						Directorate Management Team	
Evaluation of Marketing strategies						Heads of Services	
Mechanisms for varying costs in response to variations in income						Directorate Management Team	
Regular activity monitoring highlights potential issues						Directorate Management Team	
<b>Action Title</b>				<b>Action Owner</b>		<b>Planned Completion Date</b>	
Pilot new pricing strategy in Community Learning & Skills service to increase business				Commercial Development Manager		Sept 13	
Increase fee income from adult education programmes from those who can afford to pay				Head of Adult Learning		March 2014	
Produce site master plans for key Country Parks to ensure that development and income generating efforts are best targeted				Head of Country Parks		February 2014	
Extend income generation projects and opportunities at Country Parks				Head of Country Parks		March 2014	
Develop income opportunities for Contact Point				Contact Point Operations Manager		March 2014	
Review and reset Marketing / Sales function in Community Learning & Skills service to support commercial development				Commercial Development Manager		January 2014	
Look to increase new income generating opportunities and drive down costs within Countryside Management				Head of Regulatory Services		March 2014	
Review of Libraries, Registration and Archives income strategy (including Bexley model)				Head of Libraries, Registrations and Archives		December 2013	
Review of Integrated Youth Services Outdoor Education offering – investigate opportunities relating to expansion of services offered.				Asst Head of Integrated Youth Service (Youth Work)		March 2014	

Risk ID	CC03	Risk Title	Implementation of the Troubled Families multi-agency Programme				
<b>Source / Cause of Risk</b>		<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner(s)</b>	<b>Current Likelihood</b>	<b>Current Impact</b>	
The government is committed to working with local authorities and their partners to help 120,000 troubled families in England turn their lives around by 2015.		Specific targets set by Govt are not met within the 3-year time period.	Potential waste / duplication of resources.	Director of Service Improvement	Possible (3)	Serious (4)	
The Troubled Families Programme in Kent aims to turn around the lives of over 2,500 of the most troubled families across the County.			Reputational damage to KCC.		<b>Target Residual Likelihood</b>	<b>Target Residual Impact</b>	
					Unlikely (2)	Moderate (2)	
<b>Control Title</b>					<b>Control Owner</b>		
Proactive management utilising the financial and operational performance frameworks.					Head of Business Transformation & Programmes		
Robust Programme Management including multi-agency Steering Group					Head of Business Transformation & Programmes		
Regular oversight from Budget Programme Board					Corporate Director Finance & Procurement		
Staff employed from a mix of central and local organisations					Head of Business Transformation & Programmes		
<b>Action Title</b>			<b>Action Owner</b>		<b>Planned Completion Date</b>		
Development of local partnerships			Head of Business Transformation & Partnerships		Ongoing – (March 2013 review)		
Ensure the year 2 cohort of families is identified, prioritized and engaged to deliver the Programme benefits.			Head of Business Transformation & Partnerships		March 2014		
Ensure multi-agency workshops have taken place to promote service transformation and redesign			Head of Business Transformation & Partnerships		March 2014		
To begin the Programme analysis and submit outcome reports to the DCLG and submit claims for Payment by Results to the Dept for Communities & Local Govt.			Head of Business Transformation & Partnerships		March 2014		
Make sport and arts offer available for use in work with Troubled Families.			Head of Sport and Culture		March 2014		

Risk ID	CC04	Risk Title	Delivering and embedding the KCC-wide Customer Service Strategy			
<b>Source / Cause of Risk</b>		<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner(s)</b>	<b>Current Likelihood</b>	<b>Current Impact</b>
The Customer Services Strategy is a key KCC wide strategy led by the Customer Services division on behalf of KCC.		Insufficient organisation-wide engagement with the delivery and embedding of the Strategy.	Expected savings from improved customer service, including the 'channel shift' agenda not delivered in full.	On behalf of the Corporate Management Team (CMT):	Likely (4)	Serious (4)
As well as a number of benefits, there are significant savings attached to successful achievement.				Director of Customer Services	<b>Target Residual Likelihood</b> Unlikely (2)	<b>Target Residual Impact</b> Serious (4)
<b>Control Title</b>					<b>Control Owner</b>	
Leadership and scrutiny from the Corporate Management Team, Budget Programme Board and Performance & Evaluation Board					Corporate Management Team	
Customer Services Group (involving senior officers from across the Authority) provides oversight.					Director of Customer Services	
Clear deliverables for the organisation are set out as part of the business planning process					Director of Customer Services	
Funding secured for KCC web renewal, Customer Relationship Management system etc.					Director of Customer Services	
Communications Plan in place					Head of Service - Customer Relationship	
Capital funding secured to support key ICT elements of the Strategy					Director of ICT / Director of Communications & Engagement	
Web renewal initiative agreed					Director of Communications & Engagement	
<b>Action Title</b>			<b>Action Owner</b>		<b>Planned Completion Date</b>	
Bid for capital funding to cover web renewal, CRM etc.			Head of Service – Customer Relationship		March 2013	
Establish the underpinning Quality framework for the Customer Services strategy, implementation and performance in collaboration with Business Strategy & Support Directorate, including a corporate solution for corporate service feedback.			Head of Service Customer Relationships		November 2013	
Produce and action Phase 2 of the Customer Service strategy Communication Plan.			Quality and Assurance Manager / Head of Internal Communications		June 2013	
Develop skills and competence within the Customer relationships team			Head of Service - Customer Relationship		March 2014	
Embed the online based Catapult system (idea generation) to capture improvement ideas from all front line teams.			Process Change Programme Manager		Pilot underway in Contact Centre. Wider roll out autumn 2013	
Develop and maintain Gateway delivery partnerships within KCC and with external public sector partners.			Operations Manager Gateway		March 2014	
Customer Services Training for all staff			Head of Service - Customer Relationship		February 2013 onwards	

Risk ID	CC05	Risk Title	Transformation of services involving new service models			
<b>Source / Cause of Risk</b>		<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner(s)</b>	<b>Current Likelihood</b>	<b>Current Impact</b>
Services within the directorate (e.g. Libraries, Youth Services) are undergoing significant change, involving the movement to new models of service delivery.		Potential disjointed, inconsistent, unsustainable or non-strategic mix of services and delivery vehicles.  Commissioned services do not deliver as expected	Potential reduction in services or the quality of such services thereby causing reputational issues for the Authority.	Director of Customer Services / Director of Service Improvement	Unlikely (2)  <b>Target Residual Likelihood</b> V. Unlikely (1)	Serious (4)  <b>Target Residual Impact</b> Significant (3)
<b>Control Title</b>					<b>Control Owner</b>	
Clear frameworks for decision-making are established and set by services for local boards					Relevant Heads of Services	
Continual engagement with the public and partners at a local level.					Relevant Heads of Services	
Regular interface with Locality Boards through the Design Process.					Relevant Heads of Services	
Oversight by Programme Board involving relevant Cabinet Member and Corporate Director					Corporate Director Customer & Communities	
Future Library Services Steering Group in place to monitor all risks with input from Communication, Consultation & Engagement, HR, Legal and Property Services teams					Head of Libraries, Registration & Archives	
Regular meetings of locality vice chairs and community engagement officers					Head of Business Transformation & Programmes	
<b>Action Title</b>			<b>Action Owner</b>		<b>Planned Completion Date</b>	
Planned review of current approach in Libraries May - Aug 2013			Head of Libraries, Registration & Archives		September 2013	
Develop appropriate decision making process, consultation and improvement plan within Libraries.			Head of Libraries, Registration & Archives		March 2014	
Future Library Strategy (FLS) actions: Continued programme of engagement and discussions with communities and potential partners. Consider process of Right to Challenge/expression of interest window.			Head of Libraries, Registration & Archives		March 2014	
New Youth Work Providers to undergo quality assurance visits by Integrated Youth Services (IYS) Officers within first six months of delivery			Asst Head of Integrated Youth Services (Youth Work)		July 2013	
Review of new IYS service delivery model 12 months after implementation			Head of Integrated Youth Services		January 2014	
Implement new revised framework for Contact Point/Contact Centre service model and performance indicators.			Head of Service – Customer Relationship		March 2014	
Develop future service delivery model for Gateway by identifying operating options, future funding and partnerships across Kent			Operations Manager – Gateway		March 2014	
Work with partners to develop multi-agency hubs incorporating libraries e.g. Swanley and Herne Bay			Head of Libraries, Registration & Archives		March 2014	
Integrated Youth Services to play an integral role in the roll out and delivery of a county-			Head of Integrated Youth Services		July 2013	

wide Kent Integrated Adolescent Support Service (KIASS) – review and report on the models of working with KIASS and assess opportunity for greater collaboration		
Develop the CLS 'Enterprise Unit' (social enterprise business model) and governance options in preparation for a member decision on future service delivery / commissioning	Head of Community Learning & Skills	By March 2014
Drive the opportunity to create a partnership model that will enable the externalization of Kent Supported Employment (KSE)	Head of Commissioned Services	December 2013

Risk ID	CC06	Risk Title	Information Management (Security & Sharing)			
<b>Source / Cause of Risk</b>		<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner(s)</b>	<b>Current Likelihood</b>	<b>Current Impact</b>
In some services personal details of individual service users needs to be held (e.g. Supporting People, Contact Point), or other sensitive information e.g. contracts.  Information will also need to be shared appropriately to enable effective joint working.  New initiatives such as Troubled Families require appropriate processes to be devised or aligned with new responsibilities		Poor data security leads to personal information being lost or stolen.  Failure to appropriately share information, either with other internal functions, or external agencies / partners.	Potential threat to individuals.  Reputational damage for KCC.  Fine or other action from the Information Commissioners' Office.	Directorate Management Team	Possible (3)  <b>Target Residual Likelihood</b> Unlikely (2)	Significant (3)  <b>Target Residual Impact</b> Moderate (2)
<b>Control Title</b>					<b>Control Owner</b>	
KCC Data security information and advice promoted					Directorate Management Team	
Adherence to Kent & Medway Information Sharing Protocol					Asst Head of Integrated Youth Services	
Nominated Caldicott Guardian for the directorate					Director of Service Improvement	
Standard Operating Procedure (SOP) devised and agreed by KCC Legal Services					Head of Business Transformation & Programmes	
Laptop and memory stick encryption in high risk areas					Directorate Management Team	
Secure email addresses used for youth justice related emails and for multi-agency exchanges (i.e. Troubled Families Programme)					Director of Service Improvement	
<b>Action Title</b>			<b>Action Owner</b>		<b>Planned Completion Date</b>	
Cooperation with work led by KCC Records Manager regarding compilation of Information Asset Register and identification of Information Asset Owners across the directorate			Heads of Services		March 2013	
Ensure sign off for draft Standard (SOP) for Troubled Families Programme, an agreed protocol for the appropriate sharing of data.			Director of Service Improvement		February 2013	
Targeted review of encrypted devices within the directorate			TBC		TBC	