



KCC Corporate Risk Register

PRESENTED TO GOVERNANCE & AUDIT COMMITTEE

JULY 2013

Corporate Risk Register

Summary Risk Profile

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

Risk No.**	Risk Title	Current Risk Rating	Target Risk Rating
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 9	Health Reform	8	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
CRR 15	Ash Dieback	12	9

*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			
Source / Cause of risk		Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
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 Responsible Cabinet Member(s): Corporate & Democratic Services	Likely (4) Target Residual Likelihood Possible (3)	Significant (3) Target Residual Impact Significant (3)
Control Title					Control Owner	
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	
Information Governance e-Learning package available via Kent Manager and to other staff on request					Corporate Director Human Resources	
Action Title			Action Owner		Planned Completion Date	
Implementation of revised SIRO action plan			Director Governance & Law		February 2014	
Instigation of information asset register and identification of information asset owners			Records Manager		July 2013	
Implementation of recommendations from Data Quality Audits			Relevant Heads of Services		July 2013 (review)	
Monitor Information Security & Information Risk Management supporting procedures and processes to ensure realisation of benefits			Corporate Director Families & Social Care / Director of Governance & Law / Director of ICT		February 2014	

Risk ID	CRR2	Risk Title	Safeguarding			
Source / Cause of risk		Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
The Council must fulfil its statutory obligations to effectively safeguard vulnerable adults and children.		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	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	Corporate Director Families & Social Care Responsible Cabinet Member(s): Specialist Children's Services Adult Social Care & Public Health	Likely (4) Target Residual Likelihood Possible (3)	Serious (4) Target Residual Impact Serious (4)
Control Title				Control Owner		
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	
Practice improvement Programme in place to strengthen practice across Children and Families Team	Director of Specialist Children's Services	
Long-term vision for Children's Services in KCC established	Corporate Director Families & Social Care	
Action Title	Action Owner	Planned Completion Date
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	October 2013 (review)
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	July 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	September 2013 (review)
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"> Strengthening of Kent Safeguarding Children Board Arrangements Practice Improvement Programme (Phase 2) focusing on best practice, recording and supervision 	Director of Specialist Children's Services	October 2013 (review) October 2013 (review)

Risk ID	CRR3	Risk Title	Economic Growth			
Source / Cause of Risk		Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
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)	Target Residual Likelihood Likely (4)	Target Residual Impact 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	Responsible Cabinet Member(s):		
			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	Economic Development		
			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			
Control Title					Control Owner	
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	
"Incubator" Programme in place to support the provision of incubator and start up workspace in key locations.	Director of Economic & Spatial Development	
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	
Continued business engagement via Business Advisory Board (BAB) and sector conversations	Director Economic & Spatial Development	
Contract awarded for Kent & Medway Broadband Programme as part of Broadband Delivery UK (BDUK) initiative	Economic Development Manager	
Action Title	Action Owner	Planned Completion Date
NB: The actions in place to mitigate the risk aim to contain the level of risk at its current level, as the current level of risk would be likely to increase otherwise.		
Use of capital and revenue allocations to develop and pump prime transport schemes in Growth without Gridlock.	Director Planning & Environment	March 2014 (review)
'High Growth' Kent initiative supporting high growth business in Kent	Head of Business Engagement & Economic Development.	December 2014
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	July 2013
Working with Network Rail, ensure delivery of phase 1 journey time improvement scheme to East Kent	Director of Planning & Environment	July 2013

Risk ID	CRR4	Risk Title	Civil Contingencies and Resilience			
Source / Cause of Risk		Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
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.		Failure to deliver suitable planning measures, respond to and manage these events when they occur. 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.	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.	Corporate Director Customer & Communities Responsible Cabinet Member(s): Community Services	Possible (3) Target Residual Likelihood Possible (3)	Serious (4) Target Residual Impact Significant (3)
Control Title					Control Owner	
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:					Head of Community Safety & Emergency Planning	
<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 						
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	
Business Impact Analysis built into the annual business planning process for future management from within each service	Emergency Planning Manager	
Upgraded Corporate email service in place, providing increased level of resilience	Director of Information & Communication Technology	
Action Title	Action Owner	Planned Completion Date
Implementation of 7 recommendations contained in the 2012/13 Business Continuity and Resilience Planning Audit	Emergency Planning Manager	October 2013
Continue to conduct regular exercises and rehearsals of plans – test two plans per directorate, where there would be significant impact on welfare or business reputation.	Emergency Planning Manager (coordination role)	October 2013
Finalisation of Business Continuity Management Plan for the Contact Centre to improve overall resilience.	Emergency Planning Manager / Operations Manager Contact Point	November 2013
Implementation of Improvement Plan 2013/14 relating to ICT Disaster Recovery & Business Continuity arrangements	Director of Information & Communication Technology / Emergency Planning Manager	September 2013
New digital telephone service to be introduced with added resiliency	Director of Information & Communication Technology	July 2013
Upgrading / enhancement to Automated call distribution system,	Director of Information & Communication Technology	September 2013
Implementation of Customer Relationship Management System and services that utilise MS Dynamics, including training provision to ensure KCC has a sustainable support capability for these services	Director of Information & Communication Technology	TBC
Implementation of Content Management System and services that utilise MS SharePoint (e.g. Kent.gov and KNet) and related software, including training provision to ensure KCC has a sustainable support capability for these services	Director of Information & Communication Technology	December 2013

Risk ID	CRR5	Risk Title	Organisational Transformation			
Source / Cause of Risk		Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
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.	<p>On behalf of CMT: Corporate Director Human Resources</p> <p>Responsible Cabinet Member(s):</p> <p>Corporate & Democratic Services</p>	<p>Possible (3)*</p> <p>Target Residual Likelihood</p> <p>Unlikely (2)</p>	<p>Serious (4)</p> <p>Target Residual Impact</p> <p>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.		
Control Title					Control Owner	
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	
"Doing things Differently" internal communications campaign in place					Director of Communications & Engagement	

Action Title	Action Owner	Planned Completion Date
Delivery of the Organisational Development & People Plan through action plans for each of the five areas of people management activity - Resourcing; Development; Performance; Transformation; Retention Directorate action plans to be reviewed annually	Corporate Management Team	December 2013 (review)
Further work to develop Succession Planning across the organisation via Organisational Development Groups	Corporate Director (Human Resources)	December 2013 (review)
Revision of KCC employee Terms & Conditions to reflect the changing shape of the workforce	Corporate Director (Human Resources)	30 September 2013

Risk ID	CRR9	Risk Title	Health Reform			
Source / Cause of Risk		Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
<p>The Health & Social Care Act came into effect in April 2013 giving KCC, as an upper tier Authority, a new duty to take appropriate steps to improve and protect the health of the local population.</p> <p>The Act also required KCC to undertake a number of specific steps, which has led to the establishment of a Health and Wellbeing Board and sub-architecture; the publication of a joint Health & Wellbeing Strategy produced by KCC in partnership with Clinical Commissioning Groups; development of an enhanced Joint Strategic Needs Assessment (JSNA) under the auspices of the Health and Wellbeing Board; the commissioning of Kent Health Watch as a consumer champion for healthcare in Kent; and the adoption of statutory responsibility for some of the key locality-led elements of the new national Public Health System.</p> <p>In effect, this means that KCC is now an integral part of this new national system providing locality-led leadership and oversight of public health (PH) in the County together with responsibilities for delivering some key public health services.</p> <p>To support these new responsibilities the Authority has a ring-fenced budget and the majority of NHS staff currently working in public health in Kent have transferred to KCC.</p>		<p>Focus on delivery deteriorates during the post transition "settlement period"</p> <p>Failure to maximise opportunities presented for health & social care integration, and ensure changes achieve maximum impact.</p>	<p>Ineffective health and social care provision for citizens of Kent.</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>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, NHS England, Clinical Commissioning Groups and the Local Authority.</p>	<p>Corporate Director Families & Social Care</p> <p>Corporate Director Business Strategy & Support</p> <p>(Director of Public Health)</p> <p>Responsible Cabinet Member(s):</p> <p>Education & Health Reform</p> <p>Adult Social Care & Public Health</p>	<p>Unlikely (2)</p> <p>Target Residual Likelihood</p> <p>Unlikely (2)</p>	<p>Serious (4)</p> <p>Target Residual Impact</p> <p>Significant (3)</p>
Control Title					Control Owner	
KCC has a designated Cabinet Portfolio Holder for Health Reform, who has assumed a central role at strategic level					Leader of the Council	
Virtual Health & Wellbeing Board Steering Group established					Director of Public Health	
Quality and Safety Assurance Framework established and documented for Public Health					Director of Public Health	
Health & Wellbeing Board and CCG-level Health & wellbeing Board sub-committees established					Cabinet Member for Education & Health Reform	
Health Protection Committee established with Directors of Public Health in Kent & Medway as Chairs					Director of Public Health	

Joint Commissioning Board Strategy & Commissioning plans established with Clinical Commissioning Groups		Director of Strategic Commissioning
Action Title	Action Owner	Planned Completion Date
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	October 2013 (review)
Establish a public health commissioning board	Director of Public Health	July 2013
Engage and work with the Kent CCGs on both adult and children's health services	Corporate Director Families & Social Care	October 2013 (review)
Commissioning intentions: integration of CCG business planning cycle to Health & Wellbeing Board and sub-architecture's agenda planning	Head of Policy & Strategic Relationships	October 2013 (review)
Ensure agreed protocols are in place for the communication of Public Health issues and emergencies, including dissemination of information and advice	Director of Communications & Engagement / Director of Public Health	TBC

Risk ID	CRR10	Risk Title	Management of Social Care Demand			
Source / Cause of Risk		Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
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 Responsible Cabinet Member(s): Adult Social Care & Public Health Specialist Children's Services	Very Likely (5) Target Residual Likelihood Likely (4)	Major (5) Target Residual Impact Serious (4)
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	
Monitoring, vigilance and challenge regarding the placement of children and Adults in Kent.					Director of Strategic Commissioning	
Lobby the Treasury to investigate Ordinary Residence matters in more detail as a national funding issue.					Corporate Director Finance & Procurement	
Pack developed to guide operational staff in their response to Ordinary Residence requests by other Local Authorities					Director of Learning Disability & Mental Health	
Legal Services are engaged where required to support KCC when challenging other Authorities to accept Ordinary Residence re responsibilities					Director of Learning Disability & Mental Health	
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
Adult Social Care Transformation Programme – outputs from planning phase delivered		Director of Strategic Commissioning
Action Title	Action Owner	Planned Completion Date
Ensure the appropriate number of children in care	Director of Specialist Children's Services	October 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	October 2013 (review)
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	October 2013 (review)
Jointly develop risk stratification tools with Health to better target interventions.	Director of Older People and Physical Disability Services	October 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	September 2013 (review)
Continue to support investment in preventative services through voluntary sector partners	Director of Strategic Commissioning	October 2013 (review)

Risk ID	12	Risk Title	Welfare Reform Act								
Source / Cause of Risk	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.	Risk Event	Failure to develop and deliver effective schemes and operations within statutory deadlines, specification and budget. 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. The impact of the reforms in regions outside of Kent could trigger the influx of significant numbers of 'Welfare' dependent peoples to Kent. Failure to plan appropriately to deal with potential consequences.	Consequence	Failure to meet statutory obligations has major legal, financial and reputational repercussions for KCC. Ineffective delivery of schemes and operations to customers compounds demand on KCC and partner services. An increase in households falling below poverty thresholds with vulnerable people becoming exposed to greater risk. New schemes and operations are undermined by a negative impact on Kent's demographic profile. 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. Increasing deprivation leads to increase in social unrest and criminal activity.	Risk Owner	Corporate Director Customer & Communities Corporate Director Families & Social Care (Corporate Director of Finance & Procurement) Responsible Cabinet Member(s): Finance & Procurement Community Services Adult Social Care & Public Health	Current Likelihood	Likely (4)	Current Impact	Serious (4)
							Target Residual Likelihood	Possible (3)	Target Residual Impact	Significant (3)	
Control Title						Control Owner					
Welfare Reform sub-group of Kent Chief Execs Group in place											
Regular reporting to Corporate Board						Head of Policy & Strategic Relationships					
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 / Head of Business Intelligence					
Initial analysis of impacts conducted by KCC Business Intelligence & external partners to give an indication of scale of implications of benefits cap						Research & Evaluation Manager, Business Intelligence / Head of Policy & Strategic Relationships					
Initial analysis of potential impact of Personal Independence Payment (PIP) conducted						Research & Evaluation Manager, Business Intelligence					
Briefings given to Managers and staff in Families & Social Care directorate to raise awareness of potential implications of changes						Policy Manager, Business Strategy & Support					
Housing Strategy team working with South East Housing associations to consider likely impact on sector						Strategic Housing Advisor					
Mechanism developed to track benefit cap migration into Kent						Research & Evaluation Manager, Business Intelligence					

Arrangements for Council Tax Benefit Localisation scheme in place	Finance Strategy Manager	
Social Fund Project Board established to oversee implementation of the pilot scheme & service model approved by the Board.	Cabinet Member Customer & Communities	
Welfare Reform report produced to improve understanding of key issues	Research & Evaluation Manager	
Working with Local Authorities in Essex and Suffolk to share intelligence	Research & Evaluation Manager	
Comprehensive method of tracking inward migration in place	Research & Evaluation Manager	
Action Title	Action Owner	
Planned Completion Date		
Universal Credit – Continue work with DWP to establish local delivery aspects in terms of face-to-face support	Head of Service – Customer Relationship Unit	August 2013 (review)
Close monitoring of demand and performance of Kent Support and Assistance Service (localised social fund) to inform planning of 2014/15 programme	Director of Service Improvement	July 2013 (review)
Protocol is being developed by London Councils with KCC input with the aim of ensuring the most vulnerable families are not placed outside of London as a result of benefit changes	Head of Business Intelligence	August 2013
Six monthly in-depth Research & Evaluation updates will be delivered with interim bulletins if significant changes are identified earlier.	Head of Business Intelligence	December 2013

Risk ID	CRR13	Risk Title	Delivery of Savings			
Source / Cause of Risk		Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
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 Responsible Cabinet Member(s): Finance & Procurement	Possible (3) Target Residual Likelihood Very unlikely (1)	Serious (4) Target Residual Impact Moderate (2)
Control Title				Control Owner		
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		
Arrangements for localisation of council tax agreed with District Councils (cross reference to Risk 12 Welfare Reform)				Finance Strategy Manager		
Action Title		Action Owner			Planned Completion Date	
Ensure existing controls and mechanisms remain robust during the coming years		Corporate Director Finance & Procurement			December 2013 (review)	
Delivery of Social Care Transformation Programme		Corporate Director Families & Social Care			2014/15	
Additional monitoring of council tax collections		Head of Financial Strategy			December 2013 (review)	

Risk ID	CRR14	Risk Title	Procurement								
Source / Cause of Risk	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.	Risk Event	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	Consequence	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	Risk Owner	On behalf of CMT: Corporate Director Finance & Procurement Responsible Cabinet Member(s): Finance & Procurement	Current Likelihood	Possible (3)	Current Impact	Significant (3)
								Target Residual Likelihood	Unlikely (2)	Target Residual Impact	Significant (3)
Control Title								Control Owner			
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			
Procurement training for KCC managers, as part of the Kent Manager standard, in place								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			
Procurement and Legal Services joint protocol with Legal Services in place to clarify the respective responsibilities of these two functions and service managers								Head of Procurement/Director of Governance & Law			
Action Title				Action Owner				Planned Completion Date			
Completion of Category Management strategies				Head of Procurement				December 2013 (review)			

Risk ID	CRR15	Risk Title	Ash Dieback			
Source / Cause of Risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
Outbreak of Ash Dieback (Chalara Fraxinea) within the county.	There is a risk that significant numbers of ash trees may be affected by this disease thereby having a significant impact of the landscape of Kent. (Research suggests that as many as 95% of ash trees may become affected). Such events would have a dramatic effect on budgetary planning, in managing the impact of identifying and removing diseased trees, and re-prioritising of resources.	Large areas of woodland and individual trees may become infected, leading to difficulties identifying, treating and removing trees from both public and private sites, including KCC premises. In addition such work would bring with it health and safety issues as well as environmental issues, This would be at a significant unplanned cost.	Corporate Director Customer and Communities Corporate Director Enterprise and Environment. Responsible Cabinet Member(s): Community Services Transport & Environment	Likely (4) Target Residual Likelihood Possible (3)	Significant (3) Target Residual Impact Significant (3)	
Control Title			Control Owner			
Direct link set up between KCC Emergency Planning, Defra, Food & Environment Research Agency (Fera), Forestry Commission & local partners in Kent, to ensure a consistent approach in dealing with the outbreak (November 2012).			Emergency Planning Manager/Director of Planning and Environment.			
Interim bio-security precautions established and ratified by Martin Ward, UK Chief Plant Health Officer (November 2012).			Emergency Planning Manager/Director of Planning and Environment.			
Local Strategic Co-ordinating Group (SCG) established and led by KCC Emergency Planning/Planning and Environment.			Emergency Planning Manager/Director of Planning and Environment.			
Multi-agency gold strategy developed to manage the response in Kent, Agreed by all partners & published November 2012.			Emergency Planning Manager/Director of Planning and Environment.			
Defra interim Chalara Control Plan published December 2012.			Emergency Planning Manager/Director of Planning and Environment.			
National strategy being published			Emergency Planning Manager			
Ash Dieback Summit held in Kent on 18 th December 2012 (featuring various national and international experts and other interested parties).			Emergency Planning Manager/Director of Planning and Environment.			
Local multi-agency Action plan in place to implement key actions in the strategy and the Defra Chalara Control Plan			Emergency Planning Manager/Director of Planning and Environment.			
System for ongoing monitoring of outbreaks now in place			Emergency Planning Manager			
Forestry Commission Chalara public information notices distributed to KCC Teams and a range of partners for installation at public open spaces across Kent.			Emergency Planning Manager			

Trading Standards produces and publicises guidance around "Rogue Traders" profiteering from the outbreak		Emergency Planning Manager
Action Title	Action Owner	Planned Completion Date
Further communications and briefings to all Senior staff in KCC during the growing season	Emergency Planning Manager/Director of Planning and Environment.	July 2013 (review)
Communications strategy to be developed	Emergency Planning Manager	September 2013
Result of findings of survey being conducted by Country Parks to understand the implications to the county of tree numbers.	Emergency Planning Manager	September 2013
Baseline asset and tree safety audit being carried out for Ash trees on public land	Emergency Planning Manager	September 2013
Assess potential scale for monitoring and felling of dead and dying Ash trees adjacent to transport routes (inc footways, bridleways, road and transport networks).	Emergency Planning Manager	September 2013
Develop on-line Ash dieback forum for sharing best practice.	Emergency Planning Manager	September 2013
Development of a tree strategy for Kent and Medway.	Emergency Planning Manager	April 2014