



KCC Corporate Risk Register

FOR PRESENTATION TO CABINET – 2ND DECEMBER 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	9	9
CRR 2	Safeguarding	15	10
CRR 3	Economic Growth Infrastructure	12	12
CRR 4	Civil Contingencies and Resilience	12	9
CRR 5	Future operating environment for local government	20	10
CRR 7	Governance & Internal Control	12	8
CRR 9	Integration Transformation Fund for Health & Social Care	12	8
CRR 10	Management of Social Care Demand	25	16*
CRR 12	Welfare Reform changes	12	9
CRR 13	Delivery of 2013/14 and 2014/15 savings	16	4
CRR 14	Procurement	16	8

*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.

NB: Current & Target risk ratings: The 'current' risk rating refers to the current level of risk taking into account any mitigating controls already in place. The 'target residual' rating represents what is deemed to be a realistic level of risk to be achieved once any additional actions have been put in place. On some occasions the aim will be to contain risk at current level.

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 amounts 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 and Government's Code of Connection (CoCo) 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. KCC falls victim to cyber attacks or sabotage	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 Additional funds required to comply with Government's CoCo requirements Potential damage to KCC's reputation	On behalf of CMT: Director Governance & Law Responsible Cabinet Member(s): Corporate & Democratic Services	Possible (3) Target Residual Likelihood Possible (3)	Significant (3) Target Residual Impact Significant (3)
Control Title					Control Owner	
Senior Information Risk Officer in place with revised action plan					Corporate Director Business Strategy & Support	
Information Security Policy in place					Director of Governance & Law	
Centralised resilience and transparency team in place.					Team Leader- Information Resilience & Transparency team	
ICT Security and Service Transition Team in place					Director of ICT	
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	
Electronic Communications User Policy, Virus reporting procedure and social media guidelines in place					Director of ICT	
Information Governance e-Learning package available to all staff					Director of Governance & Law	
Discussions in place with Government regarding requirements of the Code of Connection					Director of ICT	
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		December 2013	

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
All staff to complete Information Governance e-learning training	Director of Governance & Law	December 2013

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	Serious impact on vulnerable people	Corporate Director Families & Social Care	Possible (3)	Major (5)
		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.	Serious impact on ability to recruit the quality of staff critical to service delivery.	Responsible Cabinet Member(s):	Target Residual Likelihood	Target Residual Impact
		Insufficient rigor in maintaining threshold application/inconsistency	Serious operational and financial consequences	Specialist Children's Services	Unlikely (2)	Major (5)
		Increase in referrals and service demand resulting in unmanageable caseloads/ workloads for social workers	Attract possible intervention from a national regulator for failure to discharge corporate and executive responsibilities	Adult Social Care & Public Health		
		Decline in performance and effective service delivery leading to critical inspection findings and reputational damage	Incident of serious harm or death of a vulnerable adult or child			
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				Director of Specialist Children's Services		
Significant work undertaken to increase rigour and managerial grip in Duty and Initial Assessment Teams				Director of Specialist Children's Services		
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				Director of Specialist Children's Services / Corporate Director Human Resources		
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 independent sector using 'Quality in care' framework				Corporate Director Families & Social Care		

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	
Children's Quality Monitoring Framework in place	Director of Specialist Children's Services	
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	January 2014 (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	January 2014 (review)
A structured mechanism for feeding back lessons learnt from assessment, regulation and inspection needs to be implemented	Director of Strategic Commissioning /	January 2014 (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	December 2013 (review)
Implementation of Social Work Contract programme	Director of Specialist Children's Services	January 2014 (review)
Implementation of transformation programme for children's services	Director of Specialist Children's Services	January 2014 (review)

Risk ID	CRR3	Risk Title	Economic Growth Infrastructure			
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' has been extremely challenging due to the economic climate of the past few years.		Community Infrastructure Levy (CIL) payments, Section 106 contributions and other growth levers do not cover the cost of infrastructure.	The Council finds it increasingly difficult to fund KCC services across Kent and deal with the impact of growth on communities.	Corporate Director Business Strategy & Support and Head of Paid Service	Likely (4)	Significant (3)
In particular, the Council seeks access to resources to develop the enabling infrastructure for economic development and regeneration.			Kent becomes a less viable place for inward investment and business	(Corporate Director Enterprise & Environment)	Target Residual Likelihood Likely (4)	Target Residual Impact Significant (3)
			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	Responsible Cabinet Member(s): 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 Districts 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 team in Economic Development 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	
Delivery of Thames Gateway Innovation, Growth and Enterprise (TIGER) programme to growth businesses in North Kent and Thurrock, with the aim of creating 3,400 jobs (new and safeguarded) and attracting a further £400m in private sector investment.					Director of Economic & Spatial Development	

Delivery of £5.5m ESCALATE innovation and growth fund to growth businesses in West Kent, Maidstone and part of East Sussex, with the aim of creating 998 jobs (new and safeguarded) and attracting a further £111m in private sector investment.	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	
Governance arrangements in place for the South East Local Enterprise Partnership Local Transport Body	Director of Planning & Environment	
Action Title 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.	Action Owner	Planned Completion Date
Use of capital and revenue allocations to develop and pump prime transport schemes in <i>Growth without Gridlock</i> .	Director Planning & Environment	March 2014 (review)
'High Growth' Kent initiative supporting high growth business in Kent	Head of Business Engagement & Economic Development.	December 2014
Working with Network Rail, ensure delivery of journey time improvement scheme to East Kent	Director of Planning & Environment	January 2014 (review)
Ensure key strategic transport projects are included in the next round of Local Growth Fund award	Director of Planning & Environment	March 2014 (review)

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, has a legal duty to establish and deliver containment actions and contingency plans to reduce the likelihood, and impact, of high impact incidents and emergencies and severe / extreme weather conditions.		<p>Failure to deliver suitable planning measures, respond to and manage these events when they occur.</p> <p>Critical services 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 Customer & Communities</p> <p>Responsible Cabinet Member(s): Community Services</p>	<p>Possible (3)</p> <p>Target Residual Likelihood Unlikely (2)</p>	<p>Serious (4)</p> <p>Target Residual Impact Serious (4)</p>
Control Title					Control Owner	
<p>Legally required multi-agency Kent Resilience Forum in place, with work driven by risk and impact based on Kent's Community Risk Register. Key roles of group include:</p> <ul style="list-style-type: none"> • Intelligence gathering and forecasting; • Regular training exercises and tests; • Task & Finish groups addressing key issues. • Plan writing • Capability building 					Head of 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 ICT	
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 ICT	
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	November 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)	December 2013
Exploration of Business Continuity Management Plan for the Contact Point to improve overall resilience.	Emergency Planning Manager / Operations Manager Contact Point	January 2014
Implementation of Improvement Plan 2013/14 relating to ICT Disaster Recovery & Business Continuity arrangements	Director of Information & Communication Technology / Emergency Planning Manager	January 2014
Upgrading / enhancement to Automated call distribution system,	Director of Information & Communication Technology	January 2014
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 Customer Services / Director of Information & Communication Technology	January 2014 (review)
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
Explore alternative methods of delivery of KCC statutory and partnership responsibilities for Community Safety and Emergency Planning through formal collaboration and more efficient and effective use of resources at both the strategic and operational level.	Director of Service Improvement	December 2013

Risk ID	CRR5	Risk Title	Future operating environment for local government			
Source / Cause of Risk		Risk Event	Consequence	Risk Owner(s)	Current Likelihood	Current Impact
The extension of public sector austerity beyond the current Parliament, the continuing growth in pressures and a radical public service reform agenda being pursued by the Coalition Government means that KCC, like many local authorities, is faced with significant uncertainty and enormous challenges.		Failure to respond appropriately to the challenges faced and to be able to shape a new resilient and financially sustainable fit-for-purpose Authority in the timescales required.	Services of insufficient quality to support the needs of the people of Kent Unsustainable financial overspend Reduction in resident satisfaction and reputational damage	Corporate Directors Responsible Cabinet Member(s): Business Strategy, Audit & Transformation	Likely (4) Target Residual Likelihood Unlikely (2)	Major (5) Target Residual Impact Major (5)
Control Title					Control Owner	
"Facing the Challenge: Whole-Council Transformation" paper approved at County Council – sets out how the Authority will position itself to meet the anticipated financial challenges, outlines a future vision for the Council and a whole-council transformation approach					Leader of the Council	
Version 1 of Transformation Plan (Facing the Challenge: Delivering Better Outcomes) presented to County Council outlining a phased roadmap for transformation					Leader of the Council	
Director of Transformation appointed to support delivery of the transformation agenda					Leader of the Council	
Effective operation of Transformation Board in order to gain wider engagement of political groups					Leader of the Council	
Effective operation of Transformation Advisory Group to ensure overall performance of transformation programme is on track to deliver					Director of Transformation	
Resources plan developed to ensure sufficiency of apparatus to deliver Facing the Challenge agenda					Director of Transformation	
Framework for engagement developed to support the transformation agenda.					Change Engagement Manager	
Corporate Portfolio Office in place charged with identifying and managing dependencies across all programmes and projects					Head of Corporate Portfolio Office	
Service Review model developed to flexibly deliver both in-depth reviews challenging fundamental assumptions about how and why we deliver services and provide a 'troubleshooting' function for the Leader.					Director of Transformation	
Internal communications plan for <i>Facing the Challenge</i> developed					Director of Communications & Engagement	
Action Title			Action Owner		Planned Completion Date	
Realignment of top-tier posts to support the transformation (subject to approval by County Council in Dec 13)			Leader of the Council		April 2014	
Corporate Management Team developing detailed proposals for further phases of integration			Corporate Management Team		April 2014	
CMT to put in place mechanisms to ensure that staff are engaged at every level on the wider changes occurring in KCC, as well as changes affecting their own areas of work			Corporate Director Human Resources / Director of		December 2013 (review)	

	Transformation	
Improve professional capacity and capability of project and programme delivery as a distinct skill set within KCC	Director of Transformation	January 2014 (review)
Further develop key skills across the organization as an essential enabler of transformation, including commercial acumen and contract management	Corporate Director Human Resources	April 2014 (review)
Conduct financial analysis of <i>Facing the Challenge</i> programme	Corporate Director Finance & Procurement	December 2013 (review)
Establishment of sufficient Change Portfolio arrangements	Portfolio Senior Responsible Owners (SROs)	November 2013
Ensure early identification of decision-making, governance and approval routes for Facing the Challenge programme	Director of Transformation / Portfolio SROs	January 2014 (review)

Risk ID CRR7					
Risk Title Governance and Internal Control					
Source / cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
The Council has legal responsibilities to ensure that adequate governance arrangements are in place to help the Council achieve its statutory responsibilities and to protect the Council's assets and finances. This is particularly important during the current period of significant change.	Major governance and internal control failure within the Council and / or its key suppliers e.g.:	Reputational damage and financial loss	Corporate Director Finance & Procurement	Possible (3)	Serious (4)
	Appropriate decision making processes not followed. Significant fraud activity undetected Governance models do not keep pace with changes to operating models	Fail external inspection/audit Loss of confidence in the Council and possible government intervention.	(Director Governance & Law) Responsible Cabinet Member(s): Corporate & Democratic Services Finance & Procurement	Target Residual Likelihood Unlikely (2)	Target Residual Impact Serious (4)
Control Title				Control Owner	
KCC Constitution Incorporating: Articles of the Constitution; Statement of Executive Arrangements; Allocation and Delegation of Functions and Responsibilities; Policy Framework; Procedure Rules; Resource Management Responsibilities Statement; Ethical Behavior Codes and Protocols; Members' Allowances Scheme; Management Structure; Member Details and Code of Corporate Governance				Director of Governance & Law	
Code of Corporate Governance in place in line with CIPFA/SOLACE guidelines. References evidence of KCC operating controls, procedures, practices, policies, rules, regulatory rules, schemes, systems of internal control, plans, strategies, etc.				Director of Governance & Law	
Blue Book – Kent Scheme manual sets out the detail of Kent Scheme terms and conditions of employment, legal references and other relevant links for all staff.				Corporate Director of Human Resources	
Kent Manager - defines managers' role clearly, setting out exactly what is required of KCC managers				Corporate Director of Human Resources	
Governance and Audit Committee & Internal Audit roles				Corporate Director of Finance & Procurement	
Standards Committee, Scrutiny Committee & Cabinet Committee roles				Director of Governance & Law	
Scheme of delegation to officers approved by Cabinet.				Director of Governance & Law	
Counter Fraud Team – anti-fraud strategy in place				Corporate Director of Finance & Procurement	
Annual Governance Statement Process				Director of Governance & Law	
Action Title		Action Owner		Planned Completion Date	
Additional training on decision making processes where required		Director of Governance & Law		January 2014 (review)	
Managers to seek guidance from Democratic Services officers at an early stage to ascertain the appropriate route for decisions.		Relevant Managers		March 2014 (review)	

Risk ID	CRR9	Risk Title	Integration Transformation Fund (Health & Social Care)			
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 Government's spending review in June 2013 announced an Integration Transformation Fund, which provides an opportunity to create a shared plan for the totality of health & social care activity and expenditure.</p> <p>The plan for 2015/16 needs to start in 2014 and form part of a five-year strategy for health & social care.</p> <p>A fully integrated service calls for a step change in current arrangements to share information, staff, money and risk.</p> <p>There are a number of national conditions attached to the Fund.</p>		<p>Service delivery requirements suffer during the major integration programme.</p> <p>Failure to maximise opportunities presented for health & social care integration, and ensure changes achieve maximum impact.</p> <p>Performance fails to meet Govt "pay-for-performance" standards or national conditions tied to funding.</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>Corporate Director Families & Social Care</p> <p>Responsible Cabinet Member(s):</p> <p>Education & Health Reform</p> <p>Adult Social Care & Public Health</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>
Control Title					Control Owner	
KCC has designated Cabinet Portfolio Holders for Public Health and Health Reform, who have assumed central roles at strategic level					Leader of the Council	
Quality and Safety Assurance Framework drafted 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	
Public Health Steering Group established					Director of Public Health	
Agreement for Communications support in the event of a public health emergency					Director of Communications & Engagement	
Kent chosen as one of 14 pioneers of health & social care integration in the UK					Corporate Director Families & Social Care (KCC lead)	
Integration Pioneer Steering Group established as an informal group of the Health & Wellbeing Board to provide strategic direction and oversee successful delivery of health & social care in Kent					Director of Older People & Physical Disability (KCC lead)	

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	January 2014 (review)
Engage and work with the Kent CCGs on both adult and children's health services	Corporate Director Families & Social Care	January 2014 (review)
Development of a shared Clinical Commissioning Group and KCC integrated health & social care commissioning plan, owned by the Health & Wellbeing Board, ready for ministerial approval	Corporate Director Families & Social Care (KCC lead)	February 2014

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 is unable to determine, manage and resource to future demand and its services consequently do not 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	
Pack developed to guide operational staff in their response to Ordinary Residence requests by other Local Authorities					Director of Learning Disability & Mental Health	
Lobby the Treasury to investigate Ordinary Residence matters in more detail as a national funding issue.					Corporate Director Finance & Procurement	
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	
Health & Social Care Integration Programme in place with a strategic objective of proactively tackling demand for health & social care services	Director of Older People & Physical Disability	
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	January 2014 (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	January 2014 (review)
Jointly develop risk stratification tools with Health to better target interventions.	Director of Older People and Physical Disability Services	January 2014
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	January 2014 (review)
Continue to support investment in preventative services through voluntary sector partners	Director of Strategic Commissioning	January 2014 (review)

Risk ID	12	Risk Title	Welfare Reform changes			
Source / Cause of Risk		Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
The Welfare Reform Act 2012 put 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 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.	Failure to meet statutory obligations. Ineffective delivery of schemes and operations to customers compounds demand on KCC and partner services.	Corporate Director Customer & Communities	Possible (3)	Serious (4)
KCC needs to be prepared to manage the uncertain affects and outcomes that the changes may have on the people of Kent.		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.	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.	Corporate Director Families & Social Care (Corporate Director of Finance & Procurement) Responsible Cabinet Member(s): Finance & Procurement Community Services Adult Social Care & Public Health	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	
Contacts established 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	January 2014 (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	December 2013 (review)
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 2013/14 and 2014/15 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 Potential adverse impact on whole-council transformation plans. Reputational damage to the council.	On behalf of CMT: Corporate Director Finance & Procurement Responsible Cabinet Member(s): Finance & Procurement	Likely (4) Target Residual Likelihood Very unlikely (1)	Serious (4) Target Residual Impact Serious (4)
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 - monitoring of key milestones			Corporate Director Families & Social Care		January 2014 (review)	
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 KCC's whole-council transformation programme 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 Ineffective contract management – KCC fails to act as a strong enough 'client'. Procurement and commissioning functions not appropriately aligned.	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 Failure to secure optimum value for money from service providers.	Risk Owner	On behalf of CMT: Corporate Director Finance & Procurement Responsible Cabinet Member(s): Finance & Procurement	Current Likelihood	Serious (4)	Current Impact	Serious(4)
								Target Residual Likelihood	Unlikely (2)	Target Residual Impact	Serious (4)
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 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)			
Review of commissioning and procurement arrangements in KCC				Head of Procurement / Director of Strategic Commissioning / Director of Service Improvement				December 2013			

