



KCC Corporate Risk Register

FOR PRESENTATION TO GOVERNANCE & AUDIT COMMITTEE – 24TH JULY 2014

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	Access to resources to aid economic growth and enabling infrastructure	12	8
CRR 4	Civil Contingencies and Resilience	12	8
CRR 7	Governance & Internal Control	12	8
CRR 9	Better Care Fund (Health & Social Care Integration)	12	8
CRR 10(a)	Management of Adult Social Care Demand	20	12
CRR 10(b)	Management of Demand – Specialist Children's Services	20	12
CRR 12	Welfare Reform changes	12	9
CRR 13	Delivery of 2014/15 savings	12	4
CRR 14	Procurement	9	6
CRR 17	Future operating environment for local government	20	10
CRR 18	PSN – Non-compliance with Code of Connection	8	4
CRR 19	Implications of the Care Act 2014	15	6

*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.

Likelihood & Impact Scales					
Likelihood	Very Unlikely (1)	Unlikely (2)	Possible (3)	Likely (4)	Very Likely (5)
Impact	Minor (1)	Moderate (2)	Significant (3)	Serious (4)	Major (5)

Corporate Risk Register Risk Profile

Current Risk Profile						Target Risk Profile					
Likelihood	Very Likely	5									
	Likely	4								10a 17 10b	
	Possible	3			1	3 7 12 18	4 9 13	2	10a 10b		
	Unlikely	2									
	Very Unlikely	1									
Risk Rating Matrix			1	2	3	4	5				
			Minor	Moderate	Significant	Serious	Major				
			Impact								

1	Data and Information Management
2	Safeguarding
3	Access to Resources to aid Economic Growth and Enabling Infrastructure
4	Civil Contingencies and Resilience
7	Governance and Internal Control
9	Better Care Fund (Health & Social Care Integration)
10(a)	Management of Adult Social Care Demand

10 (b)	Management of Demand – Specialist Children’s Services
12	Welfare Reform Changes
13	Delivery of 2014/15 Savings
14	Procurement
17	Future Operating Environment for Local Government
18	PSN – Non-compliance with Code of Connection
19	Implications of the Care Act 2014

Risk ID CRR1	Risk Title	Data and Information Management					
Source / Cause of risk 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.	Risk Event 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	Consequence 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	Risk Owner On behalf of CMT: Geoff Wild, Director Governance & Law	Current Likelihood Possible (3)	Current Impact Significant (3)		
			Responsible Cabinet Member(s): Gary Cooke, Corporate & Democratic Services	Target Residual Likelihood Possible (3)	Target Residual Impact Significant (3)		
Control Title Senior Information Risk Officer in place. Revised SIRO action plan and risk register in place and regularly reviewed.				Control Owner David Cockburn, Corporate Director Strategic and Corporate Services			
Information Security Policy in place				Geoff Wild, Director Governance & Law			
Centralised resilience and transparency team in place.				Caroline Dodge, Team Leader-Information Resilience & Transparency team			
ICT Security and Service Transition Team in place				Peter Bole, Director ICT			
Corporate Director Social Care Health & Wellbeing nominated as KCC Caldicott Guardian, protecting confidentiality of service user information and enabling appropriate information sharing.				Andrew Ireland, Corporate Director SCHWB			
Coherent county wide strategy and protocols on sharing information between agencies. Kent & Medway Information Governance Programme Board's Information sharing agreement in place.				Charlie Beaumont, Education & Young People Services			

Risk ID CRR1	Risk Title	Data and Information Management	contd;
	ICT Strategy in place.		Peter Bole, Director ICT
	Electronic Communications User Policy, Virus reporting procedure and social media guidelines in place		Peter Bole, Director ICT
	Information Governance e-Learning package available to all staff		Geoff Wild, Director Governance & Law
	Discussions in place with Government regarding requirements of the Code of Connection (cross reference to CRR 18)		Peter Bole, Director ICT
	Information Asset Register established including identification of information asset owners		Geoff Wild, Director Governance & Law
	Revised SIRO action plan and risk register in place and regularly reviewed		Geoff Wild, Director Governance & Law
	Information Security & Information Risk Management supporting procedures and processes are monitored to ensure realisation of benefits		Andrew Ireland, Corporate Director SCHWB/Geoff Wild, Director Governance & Law/Peter Bole, Director ICT
Action Title	Action Owner	Planned Completion Date	
All staff to complete Information Governance e-learning training	Geoff Wild, Director Governance & Law	July 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	Serious impact on vulnerable people	Andrew Ireland, Corporate Director SCHWB	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	Peter Oakford, 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	Graham Gibbens, 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					Andrew Ireland, Corporate Director SCHWB	
Independent scrutiny by Kent Safeguarding Children Board						
Manageable caseloads per social worker and robust caseload monitoring					Mairead MacNeil, Director Specialist Children's Services	
Significant ongoing work to increase rigour and managerial grip in Duty and Initial Assessment Teams					Mairead MacNeil, Director Specialist Children's Services	

Risk ID	CRR2	Risk Title	Safeguarding	contd;
		Central Duty Service & Central Referral Unit now in place to ensure increase in consistency and threshold application		Andrew Ireland, Corporate Director SCHWB
		SCHWB management team monitors social work vacancies and agrees strategies for urgent situations		Andrew Ireland, Corporate Director SCHWB
		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		Mairead MacNeil, Director Specialist Children's Services / Amanda Beer, Corporate Director Human Resources
		CMT, SCHWB Directorate Management Team and the Cabinet Member for Adult Social Care & Public Health and Specialist Children's Services receive quarterly safeguarding performance reports.		Andrew Ireland, Corporate Director SCHWB
		Programme of internal and external audits for adult safeguarding case files with regards to SCHWB and Kent & Medway Partnership Trust (KMPT) in place. Peer reviews of safeguarding arrangements conducted by Essex County Council.		Andrew Ireland, Corporate Director SCHWB
		Performance management of safeguarding is part of the Improvement Plan in place between KCC (SCHWB directorate) and KMPT.		Penny Southern, Director Learning Disability & Mental Health
		SCHWB Strategic Adults Safeguarding Board provides a strategic countywide overview of adult safeguarding within SCHWB and monitors progress towards the SCHWB Strategic Adult Safeguarding action plan		Andrew Ireland, Corporate Director SCHWB
		Safeguarding Vulnerable Adults (SGVA) coordinators work closely with Contracting colleagues where there are safeguarding concerns in the independent sector using 'Quality in care' framework		Andrew Ireland, Corporate Director SCHWB
		Regular monitoring of SCHWB safeguarding action plan by the SCHWB Strategic Adults Safeguarding Board. Ongoing monitoring of KMPT safeguarding action plan		Mark Lobban, Director Commissioning SCHWB
		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		Mark Lobban, Director Commissioning SCHWB
		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		Mark Lobban, Director Commissioning SCHWB
		Practice Development Programme in place to strengthen practice across Children and Families Teams		Mairead MacNeil, Director Specialist Children's Services
		Long-term vision for Children's Services in KCC established		Andrew Ireland, Corporate Director SCHWB
		Ofsted action plans monitored at bi-monthly Kent Corporate Parenting Group (KCPG)/Corporate Parenting Panel (CPP) meetings		Mairead MacNeil, Director Specialist Children's Services

Risk ID	CRR2	Risk Title	Safeguarding	contd;
Children's Quality Monitoring Framework in place				Mairead MacNeil, Director Specialist Children's Services
Action Title		Action Owner		Planned Completion Date
Continued work to strengthen delivery of early help, intervention and prevention services. Services being commissioned to phased timetable according to Commissioning and Procurement Plan Supplier Framework.		Mark Lobban, Director Commissioning SCHWB/Angela Slaven, Interim Director Early Help & Preventative Services		July 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		Andrew Ireland, Corporate Director SCHWB /Amanda Beer, Corporate Director Human Resources		September 2014 (review)
A structured mechanism for feeding back lessons learnt from assessment, regulation and inspection needs to be implemented		Mairead MacNeil, Director Specialist Children's Services		July 2014 (review)
Feed any outstanding work actions from the Ofsted Action Plans/Children's (social care) Transformation programme (which combines continued improvement with efficiency) into business as usual activity		Mairead MacNeil, Director Specialist Children's Services		September 2014 (review)
Implementation of transformation programme for children's services, including Social Work Contract Programme		Mairead MacNeil, Director Specialist Children's Services		September 2014 (review)
Audit of Children in Need (CIN) cases to be undertaken		Mairead MacNeil, Director Specialist Children's Services		August 2014
Annex A Peer review to be conducted (relates to management information requirements as part of Ofsted Inspection Framework)		Mairead MacNeil, Director Specialist Children's Services		August 2014

Risk ID CRR3	Risk Title	Access to resources to aid economic growth and enabling infrastructure				
Source / Cause of Risk		Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
The Council seeks access to resources to develop the enabling infrastructure for economic growth and regeneration.		Inability to secure sufficient contributions from development to support growth.	Key opportunities for growth missed.	Mike Austerberry, Interim Corporate Director	Possible (3)	Serious (4)
However, in parts of Kent, there is a significant gap between the costs of the infrastructure required to support growth and the Council’s ability to secure sufficient funds through s106 contributions, Community Infrastructure Levy and other growth levers to pay for it. This is especially the case in the east of the county.		Failure to attract sufficient funding via the Local Growth Fund and other public funds to both support the cost of infrastructure and aid economic growth and regeneration.	The Council finds it increasingly difficult to fund KCC services across Kent and deal with the impact of growth on communities.	Growth, Environment and Transport)	Target Residual Likelihood	Target Residual Impact
At the same time, Government funding for infrastructure (for example via the new Local Growth Fund) is limited and competitive and increasingly linked with the delivery of housing and employment outputs. Several local transport schemes proposed will require preparatory work without knowledge of funding allocation in order to deliver on time.			Kent becomes a less attractive location for inward investment and business	Responsible Cabinet Member(s):	Unlikely (2)	Serious (4)
			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	Mark Dance, Economic Development		
			Our ability to deliver an enabling infrastructure becomes constrained			
Control Title					Control Owner	
Unlocking the Potential being prepared as Kent and Medway growth strategy to secure future Government infrastructure funds					Barbara Cooper, Director Economic & Spatial Development	
KCC’s 20 year transport delivery plan, Growth without Gridlock 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.					Paul Crick, Director Environment Planning & Enforcement	
Key infrastructure is identified and planned for as part of District Local Plans and Infrastructure Delivery Plans.					Paul Crick, Director Environment Planning & Enforcement	
Environment Planning & Enforcement and Economic 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 identified					Barbara Cooper, Director Economic & Spatial Development / Paul Crick, Director Environment	

			Planning & Enforcement
Risk ID CRR3	Risk Title	Access to resources to aid economic growth and enabling infrastructure	contd;
Coordinated approach in place between Development Investment Team and service directorates			Barbara Cooper, Director Economic & Spatial Development
Dedicated team in Economic Development in place to lead on major sites across Kent.			Barbara Cooper, Director Economic & Spatial Development
Economic Development SMT review of "critical" programmes/projects and review of KPIs to ensure continued appropriateness and relevance			Barbara Cooper, Director Economic & Spatial Development
Strong engagement of private sector through Kent and Medway Economic Partnership (KMEP), Business Advisory Board and Kent Developer' Group			Barbara Cooper, Director Economic & Spatial Development
Action Title	Action Owner		Planned Completion Date
Development of proposed Growth Deal via Strategic Economic Plan to secure future government funding	Ross Gill, Economic Strategy & Policy Manager		July 2014
Maintain coordinated dialogue with developers, Districts and KCC service directorates	Nigel Smith, Head of Development		April 2015
Development of programme of transport interventions to deliver growth	Ann Carruthers, Transport Strategy Delivery Manager		April 2015

Risk ID CRR4	Risk Title	Civil Contingencies and Resilience				
Source / Cause of Risk 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.	Risk Event Failure to deliver suitable planning measures, respond to and manage these events when they occur. Critical services are unprepared or have ineffective emergency and business continuity plans and associated activities.	Consequence 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.	Risk Owner Mike Austerberry, Interim Corporate Director Growth, Environment & Transport	Current Likelihood Possible (3)	Current Impact Serious (4)	
			Responsible Cabinet Member(s): Mike Hill, Community Services	Target Residual Likelihood Unlikely (2)	Target Residual Impact Serious (4)	

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: <ul style="list-style-type: none">Intelligence gathering and forecasting;Regular training exercises and tests;Task & Finish groups addressing key issues.Plan writingCapability building	Stuart Beaumont, Head of Community Safety & Emergency Planning
Critical functions identified across KCC as a basis for effective Business Continuity Management (BCM).	Stuart Beaumont, Head of Community Safety & Emergency Planning

Risk ID CRR4	Risk Title	Civil Contingencies and Resilience	contd;
	Management of financial impact to include Bellwin scheme		Dave Shipton, Head of Financial Strategy
	Maintenance & delivery of emergency procedures, plans and capabilities in place to respond to a broad range of challenges.		Stuart Beaumont, Head of Community Safety & Emergency Planning
	System in place for ongoing monitoring of severe weather events (SWIMS)		Carolyn McKenzie, Sustainability & Climate Change Manager
	Implementation of Kent's Climate Adaptation Action Plan		Carolyn McKenzie, Sustainability & Climate Change Manager
	Local multi-agency flood response plans in place for each district / borough in Kent, in addition to overarching flood response plan for Kent		Stuart Beaumont, Head of Community Safety & Emergency Planning
	Winter Resilience Planning Group & action plan in place.		Stuart Beaumont, 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.		Peter Bole, Director ICT
	Upgraded corporate email service in place, providing increased level of resilience		Peter Bole, Director ICT
	Business Continuity Management Plan in place to improve overall resilience for Contact Point		Christopher Smith, Operations Manager Contact Point
	On-going programme of review relating to Disaster Recovery and Business Continuity		Peter Bole, Director ICT
	Infrastructure in place to ensure that KCC has a sustainable support capability for services that use MS SharePoint (e.g. Kent.gov. and KNet)		Peter Bole, Director ICT
	Kent Integrated Resilience Team in place		Stuart Beaumont, Head of Community Safety & Emergency Planning
	Debriefs conducted to provide a structured and accountable basis for learning lessons from Christmas and New Year storms and floods in order to further refine planning and response categories		Paul Crick, Director Environment Planning & Enforcement
	Multi-Agency recovery structures are in place at the Strategic and Tactical levels & working effectively.		Paul Crick, Director Environment Planning & Enforcement

Risk ID CRR4	Risk Title	Civil Contingencies and Resilience	contd;	
Action Title			Action Owner	Planned Completion Date
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.			Tony Harwood, Senior Resilience Officer (Lead role)	August 2014
Upgrading / enhancement to Automated call distribution system,			Peter Bole, Director ICT	September 2014 (review)
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			Jane Kendal, Head of Customer Contact	July 2014 (review)
Explore alternative methods of delivery of KCC statutory and partnership responsibilities for Community Safety through formal collaboration and more efficient and effective use of resources at both the strategic and operational level.			Stuart Beaumont, Head of Community Safety & Emergency Planning	April 2015
Delivery of KCC-led multi-agency Recovery Strategy & Plan			Paul Crick, Director Environment Planning & Enforcement	September 2014
Bid for emergency financial assistance from Government to aid funding of recovery in Kent			Dave Shipton, Head of Financial Strategy	July 2014
Implement recommendations from internal and external debriefs into the Christmas/New Year 2013 -14 storms and floods and other recent emergencies.			Paul Crick, Director Environment Planning & Enforcement	September 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	Andy Wood, Corporate Director Finance & Procurement	Possible (3)	Serious (4)
	Appropriate decision making processes not followed.	Fail external inspection/audit		Target Residual Likelihood	Target Residual Impact
	Significant fraud activity undetected	Loss of confidence in the Council and possible government intervention.	(Geoff Wild, Director Governance & Law)	Unlikely (2)	Serious (4)
	Governance models do not keep pace with changes to operating models		Responsible Cabinet Member(s): Gary Cooke, Corporate & Democratic Services John Simmonds, Finance & Procurement		
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				Geoff Wild, Director 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.				Geoff Wild, Director 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.				Amanda Beer, Corporate Director Human Resources	
Kent Manager - defines managers' role clearly, setting out exactly what is required of KCC managers				Amanda Beer, Corporate Director	

			Human Resources
Risk ID CRR7	Risk Title	Governance and Internal Control	contd;
	Governance and Audit Committee & Internal Audit roles		Andy Wood, Corporate Director Finance & Procurement
	Standards Committee, Scrutiny Committee & Cabinet Committee roles		Geoff Wild, Director Governance & Law
	Scheme of delegation to officers approved by Cabinet.		Geoff Wild, Director Governance & Law
	Counter Fraud Team – anti-fraud strategy in place		Andy Wood, Corporate Director Finance & Procurement
	Annual Governance Statement Process		Geoff Wild, Director Governance & Law
	Management guide for Alternative Service Delivery Models produced		Neeta Major, Head of Internal Audit
	Joint Accountability protocol revised to take into account the top tier realignment		KICSB Kent Integrated Children's Services Board Geoff Wild
	Support is available from Democratic Services officers to managers seeking guidance at an early stage to ascertain the appropriate route for decisions		Relevant Managers
Action Title	Action Owner		Planned Completion Date
Additional training on decision making processes where required	Geoff Wild, Director Governance & Law		July 2014 (review)
Develop decision making guidance and publish on KNet	Louise Whitaker, Democratic Services Manager (Executive)		July 2014

Risk ID CRR9 Risk Title Better Care Fund (Health & Social Care Integration)						
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 (now relabelled Better Care Fund), which provides an opportunity to create a shared plan for 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>	Service delivery requirements suffer during the major integration programme.	Ineffective health and social care provision for citizens of Kent.	Andrew Ireland, Corporate Director SCHWB	Possible (3)	Serious (4)	
	Failure to maximise opportunities presented for health & social care integration, and ensure changes achieve maximum impact.	Business Continuity issues due to delay in the development and management of essential new complex partnerships between KCC and the NHS.	Responsible Cabinet Member(s):	Target Residual Likelihood	Target Residual Impact	
	Governance arrangements for pooled budgets unclear		Roger Gough, Education & Health Reform Graham Gibbens, Adult Social Care & Public Health	Unlikely (2)	Serious (4)	
Control Title				Control Owner		
KCC has designated Cabinet Portfolio Holders for Public Health and Health Reform, who have assumed central roles at strategic level				Paul Carter, Leader of the Council		
Quality and Safety Assurance Framework drafted for Public Health				Andrew Scott-Clark, Interim Director Public Health		
Health & Wellbeing Board and CCG-level Health & wellbeing Board sub-committees established				Roger Gough, Cabinet Member Education & Health Reform		
Health Protection Committee established with Directors of Public Health in Kent & Medway as Chairs				Andrew Scott-Clark, Interim Director Public Health		
Joint Commissioning Board Strategy & Commissioning plans established with Clinical Commissioning Groups				Mark Lobban, Director Commissioning SCHWB		

Risk ID CRR9	Risk Title	Better Care Fund (Health & Social Care Integration)	contd;
	Public Health Steering Group established		Andrew Scott-Clark, Interim Director Public Health
	Agreement for Communications support in the event of a public health emergency		Marcus Chrysostomou, Head of External Communications
	Kent chosen as one of 14 pioneers of health & social care integration in the UK		Andrew Ireland, Corporate Director SCHWB(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		Anne Tidmarsh, Director Older People & Physical Disability (KCC lead)
	Shared Clinical Commissioning Group and KCC integrated health and social care commissioning plan approved		Andrew Ireland, Corporate Director SCHWB
Action Title	Action Owner	Planned Completion Date	
Engage and work with the Kent CCGs on both adult and children's health services	Andrew Ireland, Corporate Director SCHWB	July 2014 (review)	
Clarify governance arrangements for pooled budgets with Clinical Commissioning Groups via the Health & Wellbeing Board	Andrew Ireland, Corporate Director SCHWB (KCC lead)	August 2014	
KCC / CCG stakeholder event to be held	Andrew Ireland, Corporate Director SCHWB (KCC lead)	July 2014	
Further integrated plan update to be submitted to the September Health and Wellbeing Board	Andrew Ireland, Corporate Director SCHWB	September 2014	

Risk ID CRR10(a)	Risk Title	Management of Adult Social Care Demand				
Source / Cause of Risk Adult social care services across the country are facing growing pressures. Overall demand for adult social care services in Kent continues to increase due to factors such as increasing numbers of young adults with long-term complex care needs and Ordinary Residence issues. This is all to be managed against a backdrop of reductions in Government funding, implications arising from the implementation of the Care Act, a recent Supreme Court ruling that may lead to increases in Deprivation of Liberty Assessments and longer term demographic pressures.	Risk Event Council is unable to manage and resource to future demand and its services consequently do not meet future statutory obligations and/or customer expectations.	Consequence Customer dissatisfaction with service provision. Increased and unplanned pressure on resources. Decline in performance. Legal challenge resulting in adverse reputational damage to the Council. Financial pressures on other council services.	Risk Owner Andrew Ireland, Corporate Director SCHWB	Current Likelihood Likely (4)	Current Impact Major (5)	
			Responsible Cabinet Member(s): Graham Gibbens, Adult Social Care & Public Health	Target Residual Likelihood Possible (3)	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			Andrew Ireland, Corporate Director SCHWB/ Mark Lobban, Director Commissioning SCHWB			
Implementation of Adults Transformation partnership programme underway including: Care Pathways, Commissioning & Procurement and Optimisation			Mark Lobban, Director Commissioning SCHWB/Anne Tidmarsh, Director Older People & Physical Disability/Penny Southern, Director Learning Disability & Mental Health			
Monitoring, vigilance and challenge regarding the placement of Adults into Kent by other local authorities.			Mark Lobban, Director Commissioning SCHWB			
Lobby the Treasury to investigate Ordinary Residence matters in more detail as a national funding issue.			Andy Wood, Corporate Director Finance & Procurement			
Legal Services are engaged where required to support KCC when challenging other Authorities to accept Ordinary Residence re: responsibilities			Penny Southern, Director Learning Disability & Mental Health			

Risk ID CRR10(a)	Risk Title	Management of Adult Social Care Demand	contd;
	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		Mark Lobban, Director Commissioning SCHWB
	Joint commissioning of services with health, in particular for people with dementia, long term conditions and for carers (links to Better Care Fund – see Risk CRR9.		Mark Lobban, Director Commissioning SCHWB/ Anne Tidmarsh, Director Older People & Physical Disability
	Utilise opportunities to make contracting and procurement controls drive value for money further		Mark Lobban, Director Commissioning SCHWB
	Develop better understanding of demand profile and respond as early as possible to have the greatest impact on demand management		Mark Lobban, Director Commissioning SCHWB
	Continued drive to maximise the use of Telecare as part of the mainstream community care services		Anne Tidmarsh, Director Older People & Physical Disability and Penny Southern, Director 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		Mark Lobban, Director Commissioning SCHWB
	Health & Social Care Integration Programme in place with a strategic objective of proactively tackling demand for health & social care services		Anne Tidmarsh, Director Older People & Physical Disability
	Risk stratification tools devised. Now being used by GP's		Anne Tidmarsh, Director Older People & Physical Disability
	Briefings being provided in relation to key elements of the Care Bill and their potential implications for KCC		Michael Thomas-Sam, Strategic Business Advisor, SCHWB
	Care Act Preparation Programme established as part of the Adults Transformation Change Portfolio to ensure implementation of Care Act. (See risk CRR 19)		Michael Thomas-Sam, Strategic Business Advisor, SCHWB
	Twice-yearly Adults Transformation progress updates reported to Cabinet Committee		Mark Lobban, Director Commissioning, SCHWB
	Continued support for investment in preventative services through voluntary sector partners		Mark Lobban, Director Commissioning SCHWB

Risk ID CRR10(a)	Risk Title	Management of Adult Social Care Demand	contd;
	Briefing on implications of Supreme Court ruling relating to Deprivation of Liberty Assessments issued		Andrew Ireland, Corporate Director, SCHWB
Action Title	Action Owner	Planned Completion Date	
Public Health & Social Care to ensure effective provision of information, advice and guidance to all potential and existing service users, and to promote self-management to reduce dependency	Andrew Scott-Clark, Interim Director Public Health / Anne Tidmarsh, Director Older People and Physical Disability Services	September 2014 (review)	
Tracking and monitoring impact of delivery of Adult Social Care Transformation Programme	Andrew Ireland, Corporate Director SCHWB	September 2014 (review)	
Detailed Care Act Programme plan to be completed for approval by the Adults Transformation Board	Michael Thomas-Sam, Strategic Business Advisor, SCHWB	July 2014	
Initial analysis being conducted to identify likely extent of demand for Deprivation of Liberty assessments	Mark Lobban, Director Commissioning SCHWB	June 2014	

Risk ID CRR10(b)		Management of Demand – Specialist Children’s Services				
Source / Cause of Risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
<p>Local Authorities continue to face increasing demand for specialist children’s services due to a variety of factors, including consequences of highly publicised child protection incidents and serious case reviews, and policy/legislative changes.</p> <p>At a local level KCC is faced with additional demand challenges such as those associated with significant numbers of Unaccompanied Asylum Seeking Children (UASC) There are also particular ‘pressure points’ in several districts.</p> <p>These challenges need to be met as specialist children’s services face increasingly difficult financial circumstances and operational challenges such as recruitment and retention of permanent qualified social workers.</p>	<p>High volumes of work flow into specialist children’s services leading to unsustainable pressure being exerted on the service.</p>	<p>Additional financial pressures placed on other parts of the Authority at a time of severely diminishing resources.</p>	<p>Andrew Ireland, Corporate Director SCHWB</p>	<p>Likely (4)</p>	<p>Major (5)</p>	
		<p>Children’s services performance declines as demands become unmanageable.</p>	<p>Patrick Leeson, Corporate Director EYPS</p>	<p>Target Residual Likelihood</p> <p>Possible (3)</p>	<p>Target Residual Impact</p> <p>Serious (4)</p>	
		<p>Failure to deliver statutory obligations and duties or achieve social value.</p>	<p>Responsible Cabinet Member(s):</p>			
		<p>Ultimately an impact on outcomes for children, young people and their families.</p>	<p>Peter Oakford, Specialist Children’s Services</p>			
Control Title				Control Owner		
<p>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</p>				<p>Andrew Ireland, Corporate Director SCHWB / Mark Lobban, Director Commissioning SCHWB</p>		
<p>Kent Integrated Adolescent Support Service (KIASS) aims to reduce demands by enabling swift access to specific additional and early help, particularly for the most disadvantaged and vulnerable young people, to meet their needs quickly and flexibly.</p>				<p>Patrick Leeson, Corporate Director EYPS</p>		
<p>Plans developed to appropriately manage the number of children in care</p>				<p>Mairead MacNeil, Director Specialist Children’s Services</p>		
<p>Intensive focus on ensuring early help to reduce the need for specialist children’s support services.</p>				<p>Patrick Leeson, Corporate Director EYPS / Andrew Ireland, Corporate Director SCHWB</p>		

Risk ID CRR10(b)	Risk Title	Management of Demand – Specialist Children’s Services	contd;
	Utilise opportunities to make contracting and procurement controls drive value for money further		Mark Lobban, Director Commissioning SCHWB
	Continued support for investment in preventative services through voluntary sector partners		Mark Lobban, Director Commissioning SCHWB
	Maintain the use of appropriate tools to obtain value for money in relation to the commissioning of expensive specialist residential and independent fostering accommodation		Mark Lobban, Director Commissioning SCHWB
	Dedicated Children in Care project action plan being presented to June 2014 Children’s Transformation Board		Mairead MacNeil, Director Specialist Children’s Services
	Continued support for investment in preventative services through voluntary sector partners		Mark Lobban, Director Commissioning SCHWB
Action Title	Action Owner	Planned Completion Date	
Ensure the appropriate number of looked after children in care (subject to continual monitoring) including ensuring appropriate thresholds for intervention	Mairead MacNeil, Director Specialist Children’s Services	September 2014 (review)	
Ensure that children in care receive appropriate levels of support and services through effective multi-agency intervention that is responsive to their needs.	Mairead MacNeil, Director Specialist Children’s Services	September 2014 (review)	
Implement a programme of work to deliver integrated, early help and prevention service for the 0-19s and their families that is streamlined, responsive and effective in terms of reducing demand for acute services and managing need at the appropriate level/tier of support.	Patrick Leeson, Corporate Director EYPS	September 2014 (review)	
Diagnostic work for children’s services being scoped with aid of efficiency partner	Mairead MacNeil, Director Specialist Children’s Services	August 2014	

Risk ID CRR 12	Risk Title	Welfare Reform changes				
Source / Cause of Risk 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. KCC needs to be prepared to manage the uncertain affects and outcomes that the changes may have on the people of Kent.		Risk Event 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. 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.	Consequence Failure to meet statutory obligations. 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 Andrew Ireland, Corporate Director SCHWB Responsible Cabinet Member(s): Graham Gibbens, Adult Social Care & Public Health	Current Likelihood Possible (3) Target Residual Likelihood Possible (3)	Current Impact Serious (4) Target Residual Impact Significant (3)
Control Title		Control Owner				
Welfare Reform sub-group of Kent Chief Execs Group in place						

Risk ID CRR 12	Risk Title	Welfare Reform changes	contd;
	Key work streams and outputs to prepare for changes identified and detailed in a Welfare Reform Implementation, Response and Monitoring Plan		David Whittle, Head of Policy & Strategic Relationships / Richard Hallett, Head of Business Intelligence
	Ongoing analysis of impacts conducted by Policy & Strategic Relationships and Business Intelligence teams plus external partners to give an indication of scale of implications of reforms. Mechanism developed to track benefit migration into Kent.		Richard Hallett, Head of Business Intelligence /David Whittle, Head of Policy & Strategic Relationships
	Six-month in-depth research update produced to aid monitoring of potential impacts		David Whittle, Head of Policy & Strategic Relationships & Richard Hallett, Head of Business Intelligence
	Briefings given to Managers and staff in SCHWB directorate to raise awareness of potential implications of changes		Policy Manager, Strategic & Corporate Services & Benefits Manager, Finance
	Council Tax Benefit Localisation scheme in place		Dave Shipton, Head of Financial Strategy
	Kent Support and Assistance Service pilot scheme operating		Graham Gibbens, Cabinet Member Adult Social Care & Public Health
	Contacts established with other Local Authorities and interested partners to share intelligence		Eileen McKibbin, Research & Evaluation Manager, Business Intelligence
Action Title	Action Owner	Planned Completion Date	
Universal Credit – Local Support Service Framework (LSSF) Continue work with DWP to establish local delivery aspects in terms of face-to-face support	Jane Kendal, Head Customer Contact	September2014 (review)	
Close monitoring of demand and performance of Kent Support and Assistance Service (localised social fund) to inform planning of future programme	Mark Lobban, Director Commissioning SCHWB	August 2014(review)	

Risk ID CRR13	Risk Title	Delivery of 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: Andy Wood, Corporate Director Finance & Procurement Responsible Cabinet Member(s): John Simmonds, Finance & Procurement	Possible (3) 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					Andy Wood, Corporate Director (Finance & Procurement)	
Process for monitoring delivery of savings is in place, including a Budget Programme Board to scrutinise progress.					Andy Wood, Corporate Director (Finance & Procurement)	
Robust monitoring and forecasting of arrangements in place relating to the KCC budget as a whole					Andy Wood, Corporate Director (Finance & Procurement)	
Corporate Portfolio 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.					Paul McCallum, Head of Corporate Portfolio Office	
Procedures for appropriate consultation in place (including Equality Impact Assessments) when decisions relating to changes in services are being considered					Steve Charman, Head of Consultation & Engagement	
Arrangements for localisation of council tax agreed with District Councils (cross reference to Risk 12 Welfare Reform)					Dave Shipton, Head of Financial Strategy	
Re-introduction of savings PIDS to ensure personal accountability for delivery of savings					Andy Wood, Corporate Director Finance & Procurement	
Controls and mechanisms remain robust					Andy Wood, Corporate Director Finance & Procurement	

Risk ID CRR13	Risk Title	Delivery of 2014/15 savings	contd;	
Action Title			Action Owner	Planned Completion Date
NB: Risk is largely to be mitigated to target level via existing controls outlined above				
Management action plan being devised to address potential 2014/15 budget issues in children's services			Mairead MacNeil, Director Specialist Children's Services	August 2014

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	Consequence	Risk Owner	Current Likelihood	Current Impact	
	Commercial or contractual failure of suppliers	Providers fail to deliver expected benefits.	On behalf of CMT:	Possible (3)	Significant (3)	
	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.	Service users / residents of Kent suffer – potential legal, financial and reputational implications.	David Cockburn, Corporate Director Strategic and Corporate Services	Target Residual Likelihood	Target Residual Impact	
	Potential conflict between best price and <i>Bold Steps for Kent</i> objectives	Procurement processes may have to be halted / restarted, which has service and financial implications	Andy Wood, Corporate Director Finance & Procurement	Unlikely (2)	Significant (3)	
	Non-delivery of procurement savings	Failure to secure optimum value for money from service providers.	Responsible Cabinet Member(s):			
	Ineffective contract management – KCC fails to act as a strong enough ‘client’.					
	Procurement and commissioning functions not appropriately aligned.					

Risk ID CRR14	Risk Title	Procurement	contd;
	iProcurement rolled out, as an online way of making and managing requisitions and purchases		Henry Swan, Head of Procurement
	Procurement training for KCC managers, as part of the Kent Manager standard, in place		Henry Swan, Head of Procurement
	Category Management approach established		Henry Swan, Head of Procurement
	Procedures for appropriate consultation in place (including Equality Impact Assessments) where procurement and commissioning decisions are being considered		Steve Charman, Head of Consultation & Engagement
	Procurement and Legal Services joint protocol in place to clarify the respective responsibilities of these two functions and service managers		Henry Swan, Head of Procurement/Geoff Wild, Director Governance & Law
Action Title	Action Owner	Planned Completion Date	
Development of a commissioning workstream within the Business Capability change portfolio to deliver the recommendations set out in the May 2014 County Council paper Facing the Challenge: Towards a Strategic Commissioning Authority.	David Cockburn, Corporate Director, Strategic & Corporate Services (supported by Olivia Crill, Project Manager) / Andy Wood, Corporate Director Finance & Procurement	Oct 2014 (review)	

Risk ID CRR17	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): Paul Carter, Business Strategy, Audit & Transformation	Likely (4)	Major (5)
					Target Residual Likelihood Unlikely (2)	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					Paul Leader, 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					Paul Carter, Leader of the Council/Transformation Advisory Group	
Corporate Directors are providing managerial leadership for the transformation agenda and ensuring resources for delivering transformation are adequate and appropriate to ensure successful delivery, alongside maintaining focus on ‘business as usual’ activity, and meeting regularly to ensure effective oversight of programme management					Corporate Directors	
Director of Transformation appointed to support delivery of the transformation agenda					Paul Carter, Leader of the Council	
Corporate Directors meet regularly to ensure effective coordination of officer level programme coordination					Corporate Directors	
Effective operation of Transformation Board in order to gain wider engagement of political groups					Paul Carter, Leader of the Council/Transformation Advisory Group	
Effective operation of Transformation Advisory Group as the vehicle through which strategic management and oversight of delivery takes place.					Paul Carter, Leader of the Council	
Resources plan developed to ensure sufficiency of apparatus to deliver Facing the Challenge agenda					John Burr, Director Transformation	
Framework for engagement developed to support the transformation agenda.					Diane Trollope, Change/Engagement Manager	
Corporate Portfolio Office in place charged with identifying and managing dependencies across all programmes and					Paul McCallum, Head of	

projects			Corporate Portfolio Office
Risk ID CRR17	Risk Title	Future operating environment for local government	contd;
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.			John Burr, Director Transformation
Communications and Engagement strategy for <i>Facing the Challenge</i> developed			Diane Trollope, Change/Engagement Manager
Change Portfolio arrangements established			Portfolio Senior Responsible Officers (SROs)
Top-tier posts realigned to support transformation			Paul Carter, Leader of the Council
Agreed approach with Democratic Services on decision making, governance and approval routes for <i>Facing the Challenge</i> programme			John Burr, Director Transformation/ Portfolio Senior Responsible Officers (SROs)
Staff development and Leadership & Management frameworks established to further develop key skills, including commercial acumen and contract management, across the organization as an essential enabler of transformation			Amanda Beer, Corporate Director Human Resources
Action Title	Action Owner		Planned Completion Date
Development of interventions to improve professional capacity and capability of project and programme delivery as a distinct skill set within KCC	Janet Hawkes, Professional Development Adviser		July 2014 (review)
Further financial modelling required ascertaining savings attributable to change portfolios once Blueprints have been established – 3 year spending plan being devised	Andy Wood, Corporate Director Finance & Procurement		June 2014 (review)
Further development of Change Portfolio arrangements	Portfolio Senior Responsible Officers (SROs)		July 2014

Risk ID CRR 18	Risk Title	Public Sector Network - Compliance with Code of Connection				
Source / Cause of Risk The Public Services Network is the successor to the Government Connect Secure Extranet (GCSx) and Government Secure Intranet (GSi). The PSN is a UK government Wide Area Network, whose main purpose is to enable connected organisations, including local authorities and central government, to communicate electronically and securely at low protective marking levels. The customer Code of Connection (CoCo) provides a minimum set of security standards that organisations must adhere to when joining the PSN. Due to the Government's zero-tolerance approach a number of local authorities need to make changes to current policies / ways of working that requires additional investment. Ongoing compliance with the standard will have a number of potential impacts on KCC objectives.	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
	Short Term: KCC judged to be non-compliant with Government's Code of Connection	Short Term: Reputational damage	David Cockburn, Corporate Director	Unlikely (2)	Serious (4)	
	Longer Term: Additional investment in technology required to meet standards without commensurate increase in productivity.	Longer Term: Impact on "Doing things Differently" objectives – less technology choices available. Financial implications	Strategic & Corporate Services Peter Bole, Director ICT	Target Residual Likelihood V. Unlikely (1)	Target Residual Impact Serious (4)	
			Responsible Cabinet Member(s):			
			Gary Cooke, Corporate & Democratic Services			
Control Title				Control Owner		
Thorough analysis of potential impacts of satisfying the CoCo compliance conducted				Peter Bole, Director ICT		
Impact analysis conducted for adoption of Baseline Personnel Security Standards (BPSS)				Peter Bole, Director ICT/Amanda Beer, Corporate Director HR		
CMT commitment to comply communicated to Public Services Network Authority (PSNA)				Corporate Management Team		
Project plan devised to achieve compliance				Peter Bole, Director ICT		
KCC compliant with current Code of Connection standards				Peter Bole, Director ICT		
Action Title		Action Owner		Planned Completion Date		

Action plan to meet requirements for compliance in April 2015			Peter Bole, Director ICT		September 2014 (review)	
Risk ID	CRR 19	Risk Title	Implications of the Care Act 2014			
Source / Cause of risk		Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
The Care Act 2014 establishes a new legal framework for care and support services. The new law marks the biggest change to care and support law in England since 1948. The changes will have significant implications for Kent residents and Kent County Council, in terms of both opportunities and risks.		Costs of implementation may not be fully funded.	Additional financial pressure	Andrew Ireland, Corporate Director Social Care Health & Wellbeing	Possible (3)	Major (5)
		The effect of the changes in law on the existing cost differential between the Local Authority and a self-funder may erode.			Increase in demand for services in addition to existing demand pressures (see CRR 10a risk)	Target Residual Likelihood
		Significant increase in people coming forward for care and financial assessments.	Confusion and dissatisfaction of residents and potential service users	Responsible Cabinet Member(s):	Unlikely (2)	Significant (3)
		The public may not understand the reforms.				
		Appropriate systems enhancement may not be completed within 2016 timescales				
Control Title					Control Owner	
Care Act Programme established to ensure KCC is well placed to deliver its new responsibilities and that Kent residents who need social care, their carers and local providers are able to take advantage of the developments coming. Programme Board contains representatives from across KCC and efficiency partner.					Andrew Ireland, Corporate Director Social Care Health & Wellbeing (SCHWB)	
Adults Transformation Board to oversee the Care Act Programme, setting direction, approving decisions and ensuring successful implementation					Andrew Ireland, Corporate Director SCHWB	
Care Act Programme is part of the wider Adults Transformation Change Portfolio to ensure appropriate linkages with other programmes in the portfolio, ensuring that they are “Care Act proof”.					Andrew Ireland, Corporate Director SCHWB	
Regular briefings for elected Members and other stakeholders being held					Care Act Policy Lead Manager	
Action Title			Action Owner		Planned Completion Date	
Outline Programme Plan in place including a number of projects:						
Costs modelling – to ensure that KCC has a full understanding of the total costs			Finance Business Partner / Principal		September 2014	

involved in implementing the Care Act				Accountant (Projects)	
Risk ID	CRR 19	Risk Title	Implications of the Care Act 2014	contd;	
		Communications – to provide clear and accurate communication to inform the public, service staff and providers about forthcoming changes		Communications Account Manager, Social Care	October 2014 (review)
		Workforce capacity, planning and training – ensuring the necessary capacity and that all relevant staff receive appropriate training prior to implementation		Professional Development Advisor, Social Care	January 2015
		Commissioning – ensuring that duties regarding preventative services, information & advice, independent advocacy, the facilitation of independent financial advice and oversight of care markets are implemented		Head of Commissioning (Community Support) / Head of Commissioning (Accommodation solutions)	January 2015
		Financial assessment and charging – to address the changes in assessment, including the residential means-test threshold, and changes to charging, including the extension of powers to charge		Assessment & Income Client Services Manager	November 2014
		Safeguarding – to address safeguarding aspects of the Care Act, including making arrangements for the Adult Safeguarding Board		Head of Adult Safeguarding	November 2014
		IT and information systems – to provide effective and timely changes to IT and finance systems		ICT Applications Team Manager	July 2014 (review)
		Detailed programme plan to be submitted to Adults Transformation Board		Care Act Programme Manager	July 2014