



KCC Corporate Risk Register

FOR PRESENTATION TO GOVERNANCE & AUDIT COMMITTEE - 29TH JANUARY 2015

Corporate Risk Register - Summary Risk Profile

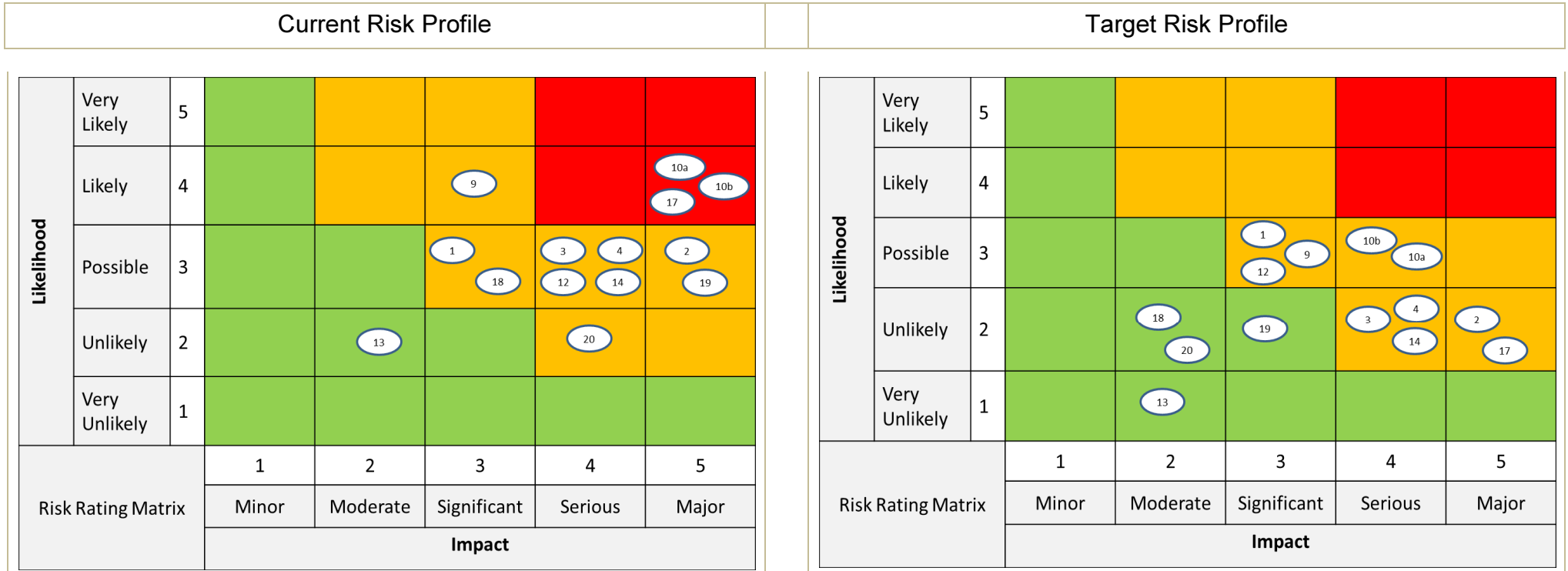
Low = 1-6
Medium = 8-15
High =16-25

Risk No.*	Risk Title	Current Risk Rating	Direction of Travel since 24 th July	Target Risk Rating
CRR 1	Data and Information Management	Medium (9)	↔	Medium (9)
CRR 2	Safeguarding	Medium (15)	↔	Medium (10)
CRR 3	Access to resources to aid economic growth and enabling infrastructure	Medium (12)	↔	Medium (8)
CRR 4	Civil Contingencies and Resilience	Medium (12)	↔	Medium (8)
CRR 9	Better Care Fund (Health & Social Care Integration)	Medium (12)	↔	Medium (9)
CRR 10(a)	Management of Adult Social Care Demand	High (20)	↔	Medium (12)
CRR 10(b)	Management of Demand – Specialist Children’s Services	High (20)	↔	Medium (12)
CRR 12	Welfare Reform changes	Medium (12)	↔	Medium (9)
CRR 13	Delivery of 2014/15 savings	Low (4)	↓	Low (2)
CRR 14	Development of strategic commissioning authority governance arrangements	Medium (12)	Revised risk	Medium (8)
CRR 17	Future operating & financial environment for local government	High (20)	↔	Medium (10)
CRR 18	PSN – Implications of compliance with Code of Connection security standards	Medium (9)	↑	Low (4)
CRR 19	Implications of the Care Act 2014	Medium (15)	↔	Low (6)
CRR 20	Banking Reform Act	Medium (8)	New Risk	Low (4)

*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.

Corporate Risk Register Risk Profile – as at January 2015



1	Data and Information Management
2	Safeguarding
3	Access to Resources to aid Economic Growth and Enabling Infrastructure
4	Civil Contingencies and Resilience
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	Development of Strategic Commissioning Authority Governance Arrangements
17	Future Operating & Financial Environment for Local Government
18	PSN – Implications of compliance with Code of Connection Security Standards
19	Implications of the Care Act 2014
20	Banking Reform Act

Risk ID CRR1	Risk Title	Data and Information Management					
<p>Source / Cause of risk</p> <p>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.</p> <p>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.</p>	<p>Risk Event</p> <p>Information security incidents resulting in loss of personal data or breach of privacy/confidentiality</p> <p>Data Subject complaint upheld by Information Commissioners Office (ICO)</p> <p>Failure to achieve either annual PSN or NHS Information Governance certification</p>	<p>Consequence</p> <p>ICO sanction (eg undertaking, assessment, improvement, enforcement or monetary penalty notice) issued against the Authority.</p> <p>Reputational damage.</p> <p>Damages claims.</p> <p>Cost of remediation.</p> <p>Access to PSN and/or NHS connected services revoked or restricted resulting in significant interruption to services.</p>	<p>Risk Owner</p> <p>On behalf of CMT:</p> <p>Geoff Wild, Director Governance & Law</p> <p>Peter Bole, Director ICT</p> <p>Responsible Cabinet Member(s):</p> <p>Gary Cooke, Corporate & Democratic Services</p>	<p>Current Likelihood</p> <p>Possible (3)</p>	<p>Current Impact</p> <p>Significant (3)</p>		
				<p>Target Residual Likelihood</p> <p>Possible (3)</p>	<p>Target Residual Impact</p> <p>Significant (3)</p>		
				<p>Control Title</p> <p>Senior Information Risk Officer supported by Information Governance cross-directorate group.</p>		<p>Control Owner</p> <p>David Cockburn, Corporate Director Strategic and Corporate Services</p>	
				<p>SIRO IG Action Plan and Information Risk Register in place and regularly reviewed</p>		<p>Geoff Wild, Director Governance & Law</p>	
				<p>Information Governance policies and procedures in place and monitored.</p>		<p>Geoff Wild, Director Governance & Law</p>	
<p>Information Governance Management Framework in place</p>		<p>Geoff Wild, Director Governance & Law</p>					
<p>Information Resilience and Transparency team providing business information governance support</p>		<p>Caroline Dodge, Team Leader- Information Resilience & Transparency team</p>					

Information Assurance maturity monitoring procedure in place.	Geoff Wild, Director Governance & Law/Peter Bole, Director ICT	
Contractor information assurance procedure in place	Mark Lobban, Director Commissioning SCHWB	
Corporate Director Social Care Health & Wellbeing is KCC Caldicott Guardian, protecting confidentiality of service user information and enabling appropriate information sharing. Caldicott Guardian Support Officers nominated in relevant services	Andrew Ireland, Corporate Director SCHWB	
County wide protocols in place for information sharing between agencies and governed by Kent & Medway Information Governance Partnership Board. Information Sharing Designated Officers nominated in relevant services.	Charlie Beaumont, Education & Young People Services	
ICT Security and Service Transition Team operational.	Peter Bole, Director ICT	
Electronic Communications User Policy, Virus reporting procedure and social media guidelines in place	Peter Bole, Director ICT	
Information Governance training completed by employees, contractors and temporary staff. Specialist training needs identified and training plan in place. Information Governance training plan in place and monitored.	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	
Corporate Information Asset Register established and risk assessments in progress.	Geoff Wild, Director Governance & Law	
Information risk assessments completed for systems processing personal data and for new/change projects	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	
Public Service Network (PSN) code of compliance information security standard achieved	Peter Bole, Director ICT	
NHS Information Governance Toolkit 'satisfactory' rating achieved	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	March 2015

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	On behalf of CMT:	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.	Andrew Ireland, Corporate Director SCHWB	Target Residual Likelihood	Target Residual Impact
		Insufficient rigor in maintaining threshold application/inconsistency	Serious operational and financial consequences	Responsible Cabinet Member(s):	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	Peter Oakford Specialist Children's Services		
		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	Graham Gibbens, Adult Social Care & Public Health		
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					Independent Chair Kent Safeguarding Children Board	
Manageable caseloads per social worker and robust caseload monitoring					Philip Segurola, Interim Director Specialist Children's Services	
Significant ongoing work to increase rigour and managerial grip in Duty and Initial Assessment Teams					Philip Segurola, Interim Director Specialist Children's Services	

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	Philip Segurola, Interim 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.	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
Education Safeguarding Team in place	Sue Rogers, Director Education Quality & Standards
Practice Development Programme in place to strengthen practice across Children and Families Teams	Philip Segurola, Interim Director Specialist Children's Services
Ofsted action plans monitored at bi-monthly Kent Corporate Parenting Group (KCPG)/Corporate Parenting Panel (CPP) meetings	Philip Segurola, Interim Director Specialist Children's Services
Children's Quality Monitoring Framework in place	Philip Segurola, Interim Director Specialist Children's Services
Annexe A Peer Review conducted by West Sussex	Philip Segurola, Interim Director Specialist Children's Services
New improvement action plan published and monitored through the Specialist Children's Services Divisional Management Team	Philip Segurola, Interim Director Specialist Children's Services
Audit of Children in Need (CIN) cases undertaken	Philip Segurola, Interim Director Specialist Children's Services

Action Title	Action Owner	Planned Completion Date
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	December 2014 (review)
Implementation of transformation programme for children's services, including Social Work Contract Programme	Philip Segurola, Interim Director Specialist Children's Services	January 2015 (review)
Learning from the Annex A Peer review to be addressed by Specialist Children's Services Divisional Management Team and other colleagues as necessary	Philip Segurola, Interim Director Specialist Children's Services	December 2014
Safeguarding aspects of the Care Act being addressed (see risk CRR19)	Nick Sherlock, Head of Adult Safeguarding	December 2014

Risk ID CRR3	Risk Title Access to resources to aid economic growth and enabling infrastructure					
<p>Source / Cause of Risk</p> <p>The Council seeks access to resources to develop the enabling infrastructure for economic growth and regeneration.</p> <p>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.</p> <p>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.</p>	<p>Risk Event</p> <p>Inability to secure sufficient contributions from development to support growth.</p> <p>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.</p>	<p>Consequence</p> <p>Key opportunities for growth missed.</p> <p>The Council finds it increasingly difficult to fund KCC services across Kent and deal with the impact of growth on communities.</p> <p>Kent becomes a less attractive location for inward investment and business</p> <p>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</p> <p>Our ability to deliver an enabling infrastructure becomes constrained</p>	<p>Risk Owner</p> <p>Barbara Cooper, Corporate Director Growth, Environment and Transport</p> <p>Responsible Cabinet Member(s):</p> <p>Mark Dance, Economic Development</p>	<p>Current Likelihood</p> <p>Possible (3)</p> <p>Target Residual Likelihood</p> <p>Unlikely (2)</p>	<p>Current Impact</p> <p>Serious (4)</p> <p>Target Residual Impact</p> <p>Serious (4)</p>	
Control Title				Control Owner		
<i>Unlocking the Potential</i> being prepared as Kent and Medway growth strategy to secure future Government infrastructure funds				David Smith, Director Economic & Spatial Development		
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.				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				David Smith, Director Economic & Spatial Development / Paul Crick, Director Environment Planning &		

		Enforcement
Coordinated approach in place between Development Investment Team and service directorates		David Smith, Director Economic & Spatial Development
Dedicated team in Economic Development in place to lead on major sites across Kent.		David Smith, Director Economic & Spatial Development
Economic Development SMT review of "critical" programmes/projects and review of KPIs to ensure continued appropriateness and relevance		David Smith, Director Economic & Spatial Development
Strong engagement of private sector through Kent and Medway Economic Partnership (KMEP), Business Advisory Board and Kent Developer' Group		David Smith, Director Economic & Spatial Development
Growth Deal allocation announced, July 2014, allocating funds for specific identified schemes in Kent and Medway		Ross Gill, Economic Strategy & Policy Manager
Action Title	Action Owner	Planned Completion Date
Maintain coordinated dialogue with developers, Districts and KCC service directorates	Nigel Smith, Head of Development	April 2015 (review)
Development & delivery of programme of transport interventions to deliver growth to utilise first round of Local Growth Fund monies	Ann Carruthers, Transport Strategy Delivery Manager	April 2015
Bidding for second round of Local Growth Fund 2 monies	David Smith, Director Economic & Spatial Development	December 2014

Risk ID CRR4	Risk Title Civil Contingencies and Resilience				
<p>Source / Cause of Risk</p> <p>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>	<p>Risk Event</p> <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>Consequence</p> <p>Potential increased harm or 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>Risk Owner</p> <p>On behalf of CMT</p> <p>Barbara Cooper, Corporate Director Growth, Environment & Transport</p> <p>Responsible Cabinet Member(s):</p> <p>Mike Hill, Community Services</p>	<p>Current Likelihood</p> <p>Possible (3)</p> <p>Target Residual Likelihood</p> <p>Unlikely (2)</p>	<p>Current Impact</p> <p>Serious (4)</p> <p>Target Residual Impact</p> <p>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 			<p>Stuart Beaumont, Head of Community Safety & Emergency Planning (KCC lead)</p>		
<p>Critical functions identified across KCC as a basis for effective Business Continuity Management (BCM).</p>			<p>Stuart Beaumont, Head of Community Safety & Emergency Planning</p>		

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.	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
Kent Resilience Team in place bringing together personnel from KCC, Kent Police and Kent Fire and Rescue Service in an integrated and co-located team to deliver enhanced emergency planning and business continuity in Kent	Stuart Beaumont, Head of Community Safety & Emergency Planning
Multi-Agency recovery structures are in place at the Strategic and Tactical levels & working effectively.	Paul Crick, Director Environment Planning & Enforcement
KCC Community Wardens trained as Incident Liaison Officers	Stuart Beaumont, Head of Community Safety & Emergency Planning
Pan-Kent Flood Group established to oversee implementation of multi-agency recommendations arising from lessons learnt from Christmas and New Year floods 2013/14	Paul Crick, Director Environment Planning & Enforcement
KCC and local Kent Resilience Forum partners have tested preparedness for Ebola outbreak in line with national requirements. The Director of Public Health has additionally sought and gained assurance from the local Public Health England office and the NHS on preparedness and maintaining business continuity.	Andrew Scott-Clark, Acting Director Public Health
'Introduction to Emergency Planning' e-learning package available to all staff	Stuart Beaumont, Head of

		Community Safety & Emergency Planning
Emergency planning strategic level training completed by Senior Management in the Autumn 2014		Paul Crick, Director Environment Planning & Enforcement
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)	March 2015 (review)
Upgrading / enhancement to Automated call distribution system	Peter Bole, Director ICT/Jane Kendal, Head of Service, Customer Experience	January 2015 (review)
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	December 2014 (review)
Senior management on-call rota being devised and agreed	Paul Crick, Director Environment Planning & Enforcement	December 2014
Emergency planning training being rolled out	Paul Crick, Director Environment Planning & Enforcement	December 2014 (Tactical)
Recruitment of additional emergency reservists to aid emergency responses	Paul Crick, Director Environment Planning & Enforcement	December 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 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>Government announced in July 2014 that over 25% of the total BCF monies are being held back and ring-fenced to support acute hospital trusts where BCF activity fails to achieve targets to reduce emergency hospital admissions. This moves the burden of risk from hospitals into other sectors such as social care.</p>	<p>The new regulations may reduce the money available to support social care services through the BCF by 50%</p>	<p>Failure to maximise opportunities presented for health & social care integration, and ensure changes achieve maximum impact.</p> <p>Additional budget pressures.</p>	<p>Andrew Ireland, Corporate Director SCHWB</p>	<p>Likely (4)</p>	<p>Significant (3)</p>	
	<p>Plans to reduce hospital admissions are destabilised</p> <p>Governance arrangements for pooled budgets unclear</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				Paul Carter, Leader of the Council		
Health & Wellbeing Board and CCG-level Health & Wellbeing Board sub-committees established				Roger Gough, Cabinet Member Education & Health Reform		
Joint Commissioning Board Strategy & Commissioning plans established with Clinical Commissioning Groups				Mark Lobban, Director Commissioning SCHWB		
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)
Detailed delivery plans being developed with CCG areas		Andrew Ireland, Corporate Director SCHWB
Joint Area Team, CCG and KCC group established		Andrew Ireland, Corporate Director SCHWB
Revised integrated BCF plan submitted by Health & Wellbeing Board to BCF Programme Director and agreed with support		Andrew Ireland, Corporate Director SCHWB
Action Title	Action Owner	Planned Completion Date
Establishment of Partnership Board to oversee the delivery of the BCF plan and finalise governance arrangements (inc. section 75 agreement)	Andrew Ireland, Corporate Director SCHWB/Andy Wood, Corporate Director Finance & Procurement	March 2015
Develop understanding of NHS 'Five Year Forward Plan' and what this means for BCF implementation in Kent	Andrew Ireland, Corporate Director SCHWB	February 2015

Risk ID CRR10(a)	Risk Title	Management of Adult Social Care Demand				
Source / Cause of Risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
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.	Council is unable to manage and resource to future demand and its services consequently do not meet future statutory obligations and/or customer 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. Financial pressures on other council services.	Andrew Ireland, Corporate Director SCHWB Responsible Cabinet Member(s): Graham Gibbens, Adult Social Care & Public Health	Likely (4)	Major (5)	Target Residual Likelihood Possible (3) Target Residual Impact Serious (4)
Control Title			Control Owner			
Regular 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 progressing 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			
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			
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			Mark Lobban, Director Commissioning SCHWB			

Enablement Services		
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	
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.	Michael Thomas-Sam, Strategic Business Advisor, SCHWB	
Continued support for investment in preventative services through voluntary sector partners	Mark Lobban, Director Commissioning SCHWB	
Briefing on implications of Supreme Court ruling relating to Deprivation of Liberty Assessments issued	Andrew Ireland, Corporate Director, SCHWB	
Analysis conducted to identify the likely event of demand for Deprivation of Liberty Assessments	Mark Lobban, Director Commissioning, 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	December 2014 (review)
Lobby the Treasury to investigate Ordinary Residence matters in more detail as a national funding issue	Andy Wood, Corporate Director Finance & Procurement/Penny Southern, Director Learning	February 2015

Disability & Mental Health		
Continual review and monitoring of demand in relation to Deprivation of Liberty Assessments	Mark Lobban, Director Commissioning, SCHWB	December 2014 (review)
Delivery of Adults Transformation Phase 2 Design including: <ul style="list-style-type: none"> • Agreement of baselines and key performance indicators against which progress/savings will be monitored • Establishment of Programme Management Office to ensure the right change initiatives are being delivered and to coordinate delivery of change initiatives in the right way • Development of detailed implementation plan for phase 2 	Mark Lobban, Director Commissioning SCHWB	April 2015

Risk ID CRR10(b)	Risk Title Management of Demand – Specialist Children’s Services				
<p>Source / Cause of Risk</p> <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>Risk Event</p> <p>High volumes of work flow into specialist children’s services leading to unsustainable pressure being exerted on the service.</p>	<p>Consequence</p> <p>Children’s services performance declines as demands become unmanageable.</p> <p>Failure to deliver statutory obligations and duties or achieve social value.</p> <p>Additional financial pressures placed on other parts of the Authority at a time of severely diminishing resources.</p> <p>Ultimately an impact on outcomes for children, young people and their families.</p>	<p>Risk Owner</p> <p>Andrew Ireland, Corporate Director SCHWB</p> <p>Patrick Leeson, Corporate Director EYPS</p> <p>Responsible Cabinet Member(s):</p> <p>Peter Oakford, Specialist Children’s Services</p>	<p>Current Likelihood</p> <p>Likely (4)</p> <p>Target Residual Likelihood</p> <p>Possible (3)</p>	<p>Current Impact</p> <p>Major (5)</p> <p>Target Residual Impact</p> <p>Serious (4)</p>
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	
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.				Patrick Leeson, Corporate Director EYPS	
Plans developed to appropriately manage the number of children in care (subject to continual monitoring)				Philip Segurola, Interim Director Specialist Children’s Services	
Intensive focus on ensuring early help to reduce the need for specialist children’s support services.				Patrick Leeson, Corporate Director EYPS / Andrew Ireland, Corporate Director 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		Philip Segurola, Interim Director Specialist Children's Services
Scoping of diagnostic work for children's services with aid of efficiency partner has been completed		Philip Segurola, Interim Director Specialist Children's Services
Early Help & Preventative Services one year plan 2014/15 produced setting out priorities for service development and change and ambitious targets to improve outcomes for children, young people and families		Florence Kroll, Director of Early Help & Preventative Services
Action Title	Action Owner	Planned Completion Date
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	December 2014 (review)
In-house fostering capacity to be developed and assertive monitoring of all children in care performance milestones	Philip Segurola, Interim Director Specialist Children's Services	January 2015
Specialist Children's Services, Early Help and External Spend teams involved in 'sandbox' approach, providing an opportunity to test out new and innovative service design concepts	Patrick Leeson, Corporate Director, Education & Young People's Services/Andrew Ireland, Corporate Director SCHWB	December 2014
Implementation of Unified 0-25 programme with projects targeted within Specialist Children's Services, Early Help and Prevention and External Spend	Patrick Leeson, Corporate Director, Education & Young People's Services/Andrew Ireland, Corporate Director SCHWB	December 2015

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. An increase in households falling below poverty thresholds with vulnerable people becoming exposed to greater risk. Increasing deprivation leads to increase in social unrest and criminal activity. Additional pressure on KCC services e.g. school places	Risk Owner Andrew Ireland, Corporate Director SCHWB Responsible Cabinet Member(s): Graham Gibbens, Adult Social Care & Public Health	Current Likelihood Possible (3)	Current Impact Serious (4)	
				Target Residual Likelihood Possible (3)	Target Residual Impact Significant (3)	
Control Title			Control Owner			
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			
Policy & research updates produced periodically to aid monitoring of potential impacts			David Whittle, Head of Policy & Strategic Relationships/Richard Hallett, Head of Business Intelligence			
Kent Support and Assistance Service pilot scheme operating			Graham Gibbens, Cabinet Member Adult Social Care & Public Health			
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 of Service, Customer Experience	March 2015 (review)			
Options for the future of Kent Support & Assistance Service to be discussed in light		Mark Lobban, Director	December 2014			

of potential changes to Government funding arrangements from April 2015	Commissioning SCHWB	
Update on potential impacts of welfare reform changes to be provided to aid understanding	David Whittle, Head of Policy & Strategic Relationships/Richard Hallett, Head of Business Intelligence	January 2015

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	Unlikely (2) Target Residual Likelihood Very unlikely (1)	Moderate (2) Target Residual Impact Moderate (2)	
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.				Elizabeth Beadle, 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		
Savings PIDS are used 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
Action Title	Action Owner	Planned Completion Date
Management action plans being devised and agreed to address potential 2014/15 budget issues in several areas	Corporate Directors	December 2014

Risk ID CRR14	Risk Title	Development of strategic commissioning authority governance arrangements				
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 and ensuring robust and responsive governance arrangements remain in place	Risk Event Lack of understanding of what a commissioning authority is and how it should operate KCC's governance arrangements do not keep pace with changes to operating models of its services leading to risk of governance & internal control failure. Too much or too little KCC oversight of any alternative delivery models introduced. Ineffective contract management – KCC fails to act as a strong enough 'client'. Procurement and commissioning functions not appropriately aligned. Lack of appropriate skills to facilitate a commissioning approach	Consequence Failure to secure optimum value for money from service providers.	Risk Owner All Corporate Directors	Current Likelihood Possible (3)	Current Impact Serious (4)	
		Decisions taken that are not based on understanding of customer need Loss of confidence in the Council and/or financial loss.	Responsible Cabinet Member(s): Paul Carter, Business Strategy, Audit, Transformation	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 and Spending the Council's money – Code of Practice, sets out how strategic approach to procurement is to be achieved at operational level.				Henry Swan, Head of Procurement		
Commissioning & Procurement Board in place, establishing clear agreed relationships, support, information flow, governance structures and accountability between different levels of commissioning and procurement.				Henry Swan, Head of Procurement		
Procurement training for KCC managers, as part of the Kent Manager standard, in place				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		
Governance & Audit Committee (inc. Trading Activities sub-group) and Internal Audit roles				Andy Wood, Corporate Director		

		Finance & Procurement
Management Guide for Alternative Service Delivery Models produced		Neeta Major, Strategic Financial Advisor
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
Protocol relating to companies in which KCC has an interest in place – establishes processes and provides additional controls to ensure such companies are run according to rules of good governance		Geoff Wild, Director Governance & Law/Andy Wood, Corporate Director Finance & Procurement
“Guidance on Local Authority Companies” available to assist anyone with the Council wishing to set up a company		Andy Wood, Corporate Director Finance & Procurement/ Geoff Wild, Director Governance & Law
Cross-directorate Commissioning Support Working Group meets regularly to move the agenda forward		Olivia Crill, Project Manager
Member working group established to build understanding of the role of elected Members in a commissioning authority, with Commissioning Advisory Board in place		Councillor Hotson
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	March 2015
Development of outcomes framework for KCC that has coherence with existing statutory outcomes frameworks, for consideration by County Council	David Whittle, Head of Policy & Strategic Relationships	December 2014
Review the Council’s Leadership & Management Framework to ensure leadership of effective commissioning becomes an integral part	Amanda Beer, Corporate Director Human Resources	March 2015
Further development and rollout of Contract Management training across the council	Henry Swan, Head of Procurement	February 2015
Completion of Procurement & Commissioning review	Andy Wood, Corporate Director Finance & Procurement	January 2015
Ensure key governance & control mechanisms (e.g. KCC constitution) are refreshed and communicated as required if new operating models are introduced	Geoff Wild, Director Governance & Law/All of Corporate Management Team	March 2015 (review)

Develop decision making guidance and publish on KNet		Louise Whitaker, Democratic Services Manager (Executive)		December 2014	
Risk ID CRR17	Risk Title Future operating & financial 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. It is estimated that on top of significant savings already delivered, another £206m are required between 2015/16 and 2017/18. There is uncertainty for Local Government over the next spending round.	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. Quality of services suffers as financial situation continues to worsen. Financial settlement from Government is less than anticipated for 2015 onwards.	Unsustainable financial situation. Reduction in resident satisfaction and reputational damage.	Corporate Directors Responsible Cabinet Member(s): Paul Carter, 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			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		
Robust budgeting and financial planning in place via Medium Term Financial Planning (MTFP) process			Andy Wood, Corporate Director Finance & Procurement		
Processes in place for monitoring delivery of savings and budget as a whole, including Budget Programme Board to scrutinise progress			Andy Wood, Corporate Director Finance & Procurement		
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 and co-ordination of officer level programme management			Corporate Directors		
Effective operation of Cross-party Advisory 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	
Corporate Portfolio Office in place charged with identifying and managing dependencies across all programmes and projects	Elizabeth Beadle, Head of Corporate Portfolio Office	
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, project management and contract management, across the organisation as an essential enabler of transformation	Amanda Beer, Corporate Director Human Resources	
Three year cash limits allocated across the organisation to aid planning	Andy Wood, Corporate Director Finance and Procurement	
Action Title	Action Owner	Planned Completion Date
Commissioning Framework being developed for KCC as part of move towards a strategic commissioning authority.	Olivia Crill, Project Manager	March 2015
Development of interventions to improve professional capacity and capability of project and programme delivery as a distinct skill set within KCC	Julie Cudmore, Workforce Development Manager	December 2014 (review)

Risk ID CRR 18	Risk Title	Public Sector Network – Implications of Compliance with Code of Connection Security Standards				
Source / Cause of Risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
The Public Services Network 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 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.	Additional investment in technology required to meet standards without commensurate increase in productivity.	Impact on "Doing things Differently" objectives – less technology choices available. Financial implications	David Cockburn, Corporate Director Strategic & Corporate Services Peter Bole, Director ICT Responsible Cabinet Member(s): Gary Cooke, Corporate & Democratic Services	Possible (3) Target Residual Likelihood Unlikely (2)	Significant (3) Target Residual Impact Moderate (2)	
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 September 2015		Peter Bole, Director ICT	April 2015 (review)			

Continuing liaison with Government on evolving security standards to encourage risk-based, proportionate approach	Peter Bole, Director ICT	April 2015 (review)
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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.	<p>Costs of implementation may not be fully funded.</p> <p>The effect of the changes in law on the existing cost differential between the Local Authority and a self-funder may erode.</p> <p>Significant increase in people coming forward for care and financial assessments.</p> <p>The public may not understand the reforms.</p> <p>Appropriate systems enhancement may not be completed within 2016 timescales</p>	<p>Additional financial pressure</p> <p>Increase in demand for services in addition to existing demand pressures (see CRR 10a risk)</p> <p>Confusion and dissatisfaction of residents and potential service users</p>	<p>Andrew Ireland, Corporate Director Social Care Health & Wellbeing</p> <p>Responsible Cabinet Member(s):</p> <p>Graham Gibbens, Adult Social Care and Public Health</p>	<p>Possible (3)</p> <p>Target Residual Likelihood</p> <p>Unlikely (2)</p>	<p>Major (5)</p> <p>Target Residual Impact</p> <p>Significant (3)</p>	

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	
Costs have been modelled to give KCC an understanding of the total costs involved in implementing the Care Act	Michelle Goldsmith, Finance Business Partner	
Action Title	Action Owner	Planned Completion Date

Programme Plan in place including a number of projects:		
Communications – to provide clear and accurate communication to inform the public, service staff and providers about forthcoming changes	Andrew Bose, Communications Account Manager, Social Care	January 2015 (review)
Workforce capacity, planning and training – ensuring the necessary capacity and that all relevant staff receive appropriate training prior to implementation	Andrea Cahill, 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	Emma Hanson, 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	Michelle Vickery, Assessment & Income Client Services Manager	December 2014
Safeguarding – to address safeguarding aspects of the Care Act, including making arrangements for the Adult Safeguarding Board	Nick Sherlock, Head of Adult Safeguarding	December 2014
IT and information systems – to provide effective and timely changes to IT and finance systems	Linda Harris, ICT Applications Team Manager	April 2015 (review)
Consideration of whether to adopt national standard eligibility criteria	Andrew Ireland, Corporate Director SCHWB	December 2014

Risk ID CRR 20 DRAFT		Risk Title Banking Reform Act			
<p>Source / Cause of risk</p> <p>Bail in risk stemming from the enactment of the following legislation:</p> <ul style="list-style-type: none"> - Banking Reform Act 2013 - Bank Recovery and Resolution Directive 2015 - Deposit Guarantee Scheme Directive 2015 <p>Unsecured investments in a bank that fails are not protected. KCC may make unsecured deposits with various banks in accordance with its Treasury Strategy</p>	<p>Risk Event</p> <p>KCC making an unsecured deposit is a financial risk. The Council losing a significant proportion of its unsecured deposits in the event of a bank failing is both a financial risk and reputational risk.</p>	<p>Consequence</p> <p>The immediate consequence for KCC of a bank failing could be illiquidity and KCC perhaps unable to pay its bills. It could borrow short term to cover its liquidity requirements but would be subject to interest rate exposure. This is a financing risk. The Council in due course could suffer a significant financial loss and possible reduction in its reserves. Potential impact on service delivery. Reputational damage.</p>	<p>Risk Owner</p> <p>Andy Wood, Corporate Director Finance & Procurement</p> <p>Responsible Cabinet Member(s):</p> <p>John Simmonds, Finance & Procurement</p>	<p>Current Likelihood</p> <p>Unlikely (2)</p> <p>Target Residual Likelihood</p> <p>Unlikely (2)</p>	<p>Current Impact</p> <p>Serious (4)</p> <p>Target Residual Impact</p> <p>Moderate (2)</p>
Control Title					Control Owner
KCC receives expert advice from Arlingclose about banks' stability and viability and they will advise accordingly. The Council also takes account of credit ratings and other risk metrics.					Alison Mings, Treasury & Investments Manager
The Treasury Management Strategy provides for diversification into tradable assets, many of which are secured and therefore not subject to bail in, which may be sold to realise cash. The TMS also sets limits for unsecured deposits with a single bank, as well as group, sector and country limits.					Alison Mings, Treasury & Investments Manager
KCC has a Treasury Management Advisory Group to oversee the Treasury Strategy. The issue of Bail in has been on the agenda and plans agreed to mitigate the risks					Nick Vickers, Head of Financial Services
Action Title		Action Owner		Planned Completion Date	
Treasury Strategy to be revised to limit the exposure to the Council		Nick Vickers, Head of Financial Services		31 March 2015	