

By: Paul Carter, Leader and Cabinet Member for Business Strategy, Audit and Transformation
David Cockburn, Corporate Director Strategic & Corporate Services and Head of Paid Service

To: Governance and Audit Committee – 23rd July 2015

Subject: **CORPORATE RISK REGISTER**

Classification: Unrestricted

Summary:

Governance & Audit Committee receives the Corporate Risk Register every six months for assurance purposes. The register is presented to the Committee along with an overview of the changes since last presented and an outline of the ongoing process of monitoring and review.

FOR ASSURANCE

1. Introduction and background

1.1 The Corporate Risk Register is maintained by the Corporate Risk Team on behalf of Cabinet and the Corporate Management Team. The register is formally reviewed annually each autumn, but is a 'living document' and is reviewed and updated in-year to reflect any significant new risks or changes in risk exposure that may arise due to internal or external events; and to track progress against mitigating actions.

2. Corporate Risk Register

2.1 The Corporate Risk Register contains fourteen risks. Changes since the register was last reported to Governance & Audit Committee in January 2015 are summarised as follows:

- The delivery of savings risk for 2014/15 has been closed and replaced with a new risk for the current year of 2015/16. This is in addition to the medium term financial risk already on the register (CRR 17).
- CRR 2: Safeguarding of children and vulnerable adults – the Social Care Health & Wellbeing directorate risk relating to safeguarding has been split into two risks to reflect the differing contexts of adult and children's protection issues. These risks are currently rated as 'high' and as a result the corporate risk has been amended to reflect this. The upcoming formal refresh of the corporate risk register will include discussion with Risk Owners as to whether the corporate risk should also be split, with the risk rating then reviewed accordingly.
- CRR 18 - Public Services Network Code of Compliance security standards. KCC has continued to comply with these Government security standards. The risk level has been reduced from 'amber' to 'green' and KCC will continue to liaise with Government on the evolving standards.

- 2.2 Out of the fourteen risks there are four areas of risk currently rated as 'high', nine rated as 'medium' and one rated as 'low'. The high risks relate to the management of demand in both adults and children's social care; safeguarding; and the future financial and operating environment / landscape for local government. All risks have mitigating actions in place that aim to achieve a target residual rating of 'medium' or 'low'.
- 2.3 Further details of these risks, including controls and mitigating actions, are contained in appendix 1.
- 2.4 The Corporate Risk Team supports directorates to ensure that the Corporate Risk Register is underpinned by directorate and divisional / service risk registers, from which risks will be escalated in accordance with KCC's Risk Management Policy. Directorate risk registers are formally reviewed quarterly by Directorate Management Teams and on an annual basis by Cabinet Committees.
- 2.5 The Corporate Risk Register was last presented to this Committee in January 2015, where two recommendations were made:
- 2.5.1 The first was that consideration should be given to inclusion of potential staffing implications arising from transformation. Consequently, the future financial and operating environment for local government risk (CRR 17) now includes an additional consequence relating to potential staffing implications. Several controls have been listed to demonstrate how this consequence is being mitigated.
- 2.5.2 Secondly, it was recommended that explicit reference should be made to fraud within the corporate risk register. Consequently, the Head of Internal Audit was commissioned to look at local government comparators in respect of inherent fraud and corruption risks in Kent and whether it warranted specific inclusion into the corporate risk register.
- 2.5.3 The fraud benchmarking results (to be reported to this Committee in October) indicated that KCC is at no higher risk of fraud and corruption, but that the County Council is more successful at detecting and investigating fraud. Therefore the current stance of Cabinet Members and the Corporate Management Team is that instead of including fraud as a single risk on the corporate risk register each Directorate undertakes its own fraud risk assessment and such risks are managed at that level unless they are of such significance they should be escalated to the corporate level, in line with KCC's Risk Management Policy.
- 2.6 In addition to these formal recommendations, a risk event relating to Regional Growth Fund programmes has been added to corporate risk CRR 3 in response to a point raised at the last Governance & Audit Committee meeting, along with associated controls.

3. Monitoring, Review and Reporting

- 3.1 There is a particular focus on ensuring that key mitigating actions are identified and progress monitored. The risks within the Corporate Risk Register, their current risk level and progress against mitigating actions are reported quarterly to Cabinet via the Quarterly Performance Report.
- 3.2 In addition, the corporate risks relevant to each Cabinet Committee were reported in the spring 2015 round of Committees along with directorate risk registers, allowing for discussion of these risks with the relevant Risk Owners and responsible Cabinet Members.
- 3.3 The more formal annual review of the Corporate Risk Register is taking place in the autumn, involving meetings with individual members of the Cabinet and Corporate Management Team.

4. Recommendations

- 4.1 The Governance and Audit Committee is asked to:
 - a) NOTE the assurance provided in relation to the development, maintenance and review of the Corporate Risk Register.

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KCC Corporate Risk Register

FOR PRESENTATION TO GOVERNANCE & AUDIT COMMITTEE 23RD JULY 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 29 th January	Target Risk Rating
CRR 1	Data and Information Management	Medium (9)	↔	Medium (9)
CRR 2	Safeguarding	High (16)	↑	Medium (9)
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)	Risk Closed	Low (2)
CRR 14	Development of strategic commissioning authority governance arrangements	Medium (12)	↔	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	Low (6)	↓	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)
CRR 21	Delivery of 2015/16 Savings	Medium (12)	New Risk	Low (2)

*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

Current Risk Profile		Target Risk Profile	
1	Data and Information Management	12	Welfare Reform Changes
2	Safeguarding	14	Development of Strategic Commissioning Authority Governance Arrangements
3	Access to Resources to aid Economic Growth and Enabling Infrastructure	17	Future Operating & Financial Environment for Local Government
4	Civil Contingencies and Resilience	18	PSN – Implications of compliance with Code of Connection Security Standards
9	Better Care Fund (Health & Social Care Integration)	19	Implications of the Care Act 2014
10(a)	Management of Adult Social Care Demand	20	Banking Reform Act
10(b)	Management of Demand – Early Help and Specialist Children’s Services	21	Delivery of 2015/16 Savings

Risk ID	CRR1	Risk Title	Data and Information Management			
Source / Cause of risk		Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
<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.</p> <p>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>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>ICO sanction (e.g. 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>On behalf of CMT:</p> <p>Geoff Wild, Director Governance & Law</p> <p>Rebecca Spore, Director Infrastructure</p> <p>Responsible Cabinet Member(s):</p> <p>Gary Cooke, Corporate & Democratic Services</p>	<p>Possible (3)</p> <p>Target Residual Likelihood</p> <p>Possible (3)</p>	<p>Significant (3)</p> <p>Target Residual Impact</p> <p>Significant (3)</p>
Control Title					Control Owner	
Senior Information Risk Officer (SIRO) supported by Information Governance cross-directorate group.					David Cockburn, Corporate Director Strategic and Corporate Services	
SIRO Information Governance Action Plan and Information Risk Register in place and regularly reviewed					Geoff Wild, Director Governance & Law	
Information Governance policies and procedures in place and monitored.					Geoff Wild, Director Governance & Law	

Information Governance Management Framework in place	Geoff Wild, Director Governance & Law
Information Resilience and Transparency team providing business information governance support	Caroline Dodge, Team Leader- Information Resilience & Transparency team
Information Assurance maturity monitoring procedure in place.	Geoff Wild, Director Governance & Law/Paul Day, Interim Head of Profession for 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.	Paul Day, Interim Head of Profession for ICT
Electronic Communications User Policy, Virus reporting procedure and social media guidelines in place	Paul Day, Interim Head of Profession for 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)	Paul Day, Interim Head of Profession for 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/ Paul Day, Interim Head of Profession for ICT	
Public Service Network (PSN) code of compliance information security standard achieved	Paul Day, Interim Head of Profession for ICT	
NHS Information Governance Toolkit 'satisfactory' rating achieved	Paul Day, Interim Head of Profession for ICT	
Action Title	Action Owner	Planned Completion Date
Targeting of those staff yet to complete Information Governance Training	Geoff Wild, Director Governance & Law	September 2015
Information Commissioners Office (ICO) audit to identify good practice and areas for improvement	Geoff Wild, Director Governance & Law	September 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.		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.	<p>Serious impact on vulnerable people</p> <p>Serious impact on ability to recruit the quality of staff critical to service delivery.</p> <p>Serious operational and financial consequences</p> <p>Attract possible intervention from a national regulator for failure to discharge corporate and executive responsibilities</p> <p>Incident of serious harm or death of a vulnerable adult or child</p>	<p>On behalf of CMT:</p> <p>Andrew Ireland, Corporate Director SCHWB</p> <p>Responsible Cabinet Member(s):</p> <p>Peter Oakford Specialist Children's Services</p> <p>Graham Gibbens, Adult Social Care & Public Health</p>	<p>Likely (4)</p> <p>Target Residual Likelihood</p> <p>Possible (3)</p>	<p>Serious (4)</p> <p>Target Residual Impact</p> <p>Significant (3)</p>
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, Acting Director Specialist Children's Services
Significant ongoing work to increase rigour and managerial grip in Duty and Initial Assessment Teams	Philip Segurola, Acting 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, Acting Director Specialist Children's Services / Amanda Beer, Corporate Director Engagement, Organisational Design & Development
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 Disabled Children Adult 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	Gillian Cawley, Director Education Quality & Standards
Practice Development Programme in place to strengthen practice across Children and Families Teams	Philip Segurola, Acting Director Specialist Children's Services
Ofsted action plans monitored at bi-monthly Kent Corporate Parenting Group (KCPG)/Corporate Parenting Panel (CPP) meetings	Philip Segurola, Acting Director Specialist Children's Services
Children's Quality Monitoring Framework in place	Philip Segurola, Acting Director Specialist Children's Services
Annexe A Peer Review conducted by West Sussex	Philip Segurola, Acting Director Specialist Children's Services
New improvement action plan published and monitored through the Specialist Children's Services Divisional Management Team	Philip Segurola, Acting Director Specialist Children's Services
Audit of Children in Need (CIN) cases undertaken	Philip Segurola, Acting Director Specialist Children's Services
Learning from the Annex A Peer review being progressed by Specialist Children's Services Divisional Management Team	Philip Segurola, Acting Director Specialist Children's Services
Children's Development Plan, jointly owned by Specialist Children's Services and Early Help and Preventative Services, in place and updated to address recommendations arising from recent Child Sexual Exploitation (CSE) themed inspection and actions identified during a recent external review.	Philip Segurola, Acting Director Specialist Children's Services
Safeguarding aspects of the Care Act being led by the Multi-Agency	Andrew Ireland, Corporate

Safeguarding Adults Board.	Director SCHWB
Staff briefings held on implications of the Care Act	Andrew Ireland, Corporate Director SCHWB
The 'Making Safeguarding Personal' (MSP) initiative launched	Nick Sherlock, Head of Adult Safeguarding
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 Engagement, Organisational Design & Development
October 2015 (review)	
Implementation of transformation programme for children's services, including Social Work Contract Programme	Philip Segurola, Acting Director Specialist Children's Services
October 2015 (review)	
Safeguarding aspects of the Care Act being addressed (see risk CRR19) including: <ul style="list-style-type: none"> Completion and launch of the Capability Framework 	Nick Sherlock, Head of Adult Safeguarding
October 2015	
Delivery of key actions to tackle Children's Sexual Exploitation (CSE) and Trafficking as part of the Children's Development Plan	Philip Segurola, Acting Director Specialist Children's Services
July 2015 (review)	

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
<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 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>Additionally, the Department of Business, Innovation and Skills</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>Insufficient return on investment from Regional Growth Fund schemes or significant level of default on loans.</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>Reputational risk</p>	<p>Barbara Cooper, Corporate Director Growth, Environment and Transport</p> <p>Responsible Cabinet Member(s):</p> <p>Mark Dance, Economic Development</p>	<p>Possible (3)</p> <p>Target Residual Likelihood</p> <p>Unlikely (2)</p>	<p>Serious (4)</p> <p>Target Residual Impact</p> <p>Serious (4)</p>

has allocated £55m to KCC for three schemes that provide funds for companies with investment plans that will lead to job creation.	
Control Title	Control Owner
<i>Unlocking the Potential</i> prepared as Kent and Medway growth strategy to secure future Government infrastructure funds	David Smith, Director Economic 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	Stephanie Holt, Interim Director Environment Planning & Enforcement
Key infrastructure is identified and planned for as part of District Local Plans and Infrastructure Delivery Plans, plus work has been commissioned to develop a Growth and Infrastructure Framework for Kent and Medway	Stephanie Holt, Interim 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 Development / Stephanie Holt, Interim Director Environment Planning & Enforcement
Coordinated approach in place between Development Investment Team and service directorates	David Smith, Director Economic Development
Dedicated team in Economic Development in place, working with other KCC directorates, to lead on major sites across Kent.	David Smith, Director Economic Development
Economic Development SMT review of "critical" programmes/projects and review of KPIs to ensure continued appropriateness and relevance	David Smith, Director Economic Development
Strong engagement of private sector through Kent and Medway Economic Partnership (KMEP), Business Advisory Board and Kent Developer' Group	David Smith, Director Economic Development
Growth Deal allocation announced, July 2014, allocating funds for specific identified schemes in Kent and Medway	Ross Gill, Economic Strategy & Policy Manager

Monitoring framework in place for Regional Growth Fund (RGF) programmes covering the issuing and management of contract agreements with regular reports reviewed by Growth, Economic Development & Communities Cabinet Committee.	Jacqui Ward, Regional Growth Fund Programme Manager	
KCC Internal Audit and external Auditor commissioned on an annual basis to conduct audits on the compliance of the RGF process and administration of the schemes, including governance, decision making and outcomes	Jacqui Ward, Regional Growth Fund Programme Manager	
Action Title	Action Owner	Planned Completion Date
Maintain coordinated dialogue with developers, Districts and KCC service directorates	Nigel Smith, Head of Development	September 2015 (review)
Development of Growth and Infrastructure Framework for Kent & Medway – to set out infrastructure requirements to support growth across Kent to 2031	Ann Carruthers, Interim Deputy Director Environment Planning & Enforcement	August 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 harm or 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 On behalf of CMT Barbara Cooper, Corporate Director Growth, Environment & Transport Responsible Cabinet Member(s): Mike Hill, Community Services	Current Likelihood Possible (3) Target Residual Likelihood Unlikely (2)	Current Impact Serious (4) 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; 						Mike Overbeke, Head of Public Protection (for Kent Resilience Team)	

<ul style="list-style-type: none"> • Regular training exercises and tests; • Task & Finish groups addressing key issues. • Plan writing • Capability building 	Activity)/Ann Carruthers, Interim Deputy Director Environment Planning & Enforcement
Critical functions identified across KCC as a basis for effective Business Continuity Management (BCM).	Ann Carruthers, Interim Deputy Director Environment Planning & Enforcement
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.	Tony Harwood, Resilience and Emergencies Manager
System in place for ongoing monitoring of severe weather events (SWIMS)	Carolyn McKenzie, Head of Sustainable Business and Communities
Implementation of Kent's Climate Adaptation Action Plan	Carolyn McKenzie, Head of Sustainable Business and Communities
Local multi-agency flood response plans in place for each district / borough in Kent, in addition to overarching flood response plan for Kent	Mike Overbeke, Head of Public Protection
Winter Resilience Planning Group & action plan in place.	Mike Overbeke, Head of Public Protection
ICT resilience improvements made to underlying data storage, data centre capability and network resilience.	Paul Day, Interim Head of Profession for 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	Paul Day, Interim Head of Profession for 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	Mike Overbeke, Head of Public Protection
Multi-Agency recovery structures are in place at the Strategic and Tactical levels & working effectively.	Stephanie Holt, Interim Director Environment Planning & Enforcement
KCC Community Wardens trained as Incident Liaison Officers	Mike Overbeke, Head of Public Protection
Pan-Kent Flood Group established to oversee implementation of multi-agency recommendations arising from lessons learnt from Christmas and New Year floods 2013/14	Stephanie Holt, Interim 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, Director Public Health
'Introduction to Emergency Planning' e-learning package available to all staff	Ann Carruthers, Interim Deputy Director Environment Planning & Enforcement
Emergency planning training rolled out at strategic, tactical and operational levels	Ann Carruthers, Interim Deputy Director Environment Planning & Enforcement
Operations Loki, Hawk and Ragnarok exercises conducted in March 2015 testing different elements of KCC emergency and business continuity arrangements	Tony Harwood, Resilience & Emergencies Manager
Senior Management on-call rota devised and agreed	Ann Carruthers, Interim Deputy Director Environment Planning & Enforcement
Upgraded/enhanced automated call distribution system introduced offering improved resilience	Paul Day, Interim Head of

		Profession for ICT/Jane Kendal, Head of Service – Customer Relationship
Emergency Reservists have been recruited to aid emergency responses		Stephanie Holt, Interim Director Environment Planning & Enforcement
Action Title	Action Owner	Planned Completion Date
Continue to conduct regular exercises and rehearsals of plans	Tony Harwood, Resilience & Emergencies Manager (lead role)	March 2016 (review)
Implement recommendations from internal and external debriefs into the Christmas/New Year 2013 -14 storms and floods and other recent emergencies.	Stephanie Holt, Interim Director Environment Planning & Enforcement	March 2016 (review)
Ensure staff complete mandatory eLearning Emergency Planning Training	Corporate Management Team	October 2015

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>Plans to reduce hospital admissions are destabilised</p> <p>Governance arrangements for pooled budgets unclear</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>Responsible Cabinet Member(s):</p> <p>Roger Gough, Education & Health Reform</p> <p>Graham Gibbens, Adult Social Care & Public Health</p>	<p>Likely (4)</p> <p>Target Residual Likelihood</p> <p>Possible (3)</p>	<p>Significant (3)</p> <p>Target Residual Impact</p> <p>Significant (3)</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	
KCC has developed an understanding of, and is well placed to implement, the NHS 'Five Year Forward View'	Andrew Ireland, Corporate Director SCHWB	
BCF Finance and Performance Group established, consisting of CCG/KCC Chief Finance Officers	Andy Wood, Corporate Director Finance & Procurement/Andrew Ireland, Corporate Director SCHWB	
Action Title	Action Owner	Planned Completion Date
Establishment of BCF Internal Assurance Group to include senior	Andy Wood, Corporate	July 2015

managers and policy representatives

Director Finance &
Procurement

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	Target Residual Impact	
				Possible (3)	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 Disabled Children Adult 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 Disabled Children Adult Learning Disability & Mental Health
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 Disabled Children Adult 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	Michael Thomas-Sam,

for KCC		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
Public Health & Social Care ensures effective provision of information, advice and guidance to all potential and existing service users, promoting self-management to reduce dependency		Andrew Scott-Clark, Director Public Health/ Anne Tidmarsh, Director Older People and Physical Disability Services
Best Interest Assessments (BIA) training package in place to be delivered as part of a rolling programme twice yearly		Mark Lobban, Director Commissioning, SCHWB
Action Title	Action Owner	Planned Completion Date
Continual review and monitoring of demand in relation to Deprivation of Liberty Assessments	Mark Lobban, Director Commissioning, SCHWB	October 2015 (review)
Delivery of Adults Transformation Phase 2 Design including: <ul style="list-style-type: none"> Further development of detailed implementation plan for phase 2 	Mark Lobban, Director Commissioning SCHWB	July 2015 (review)

Risk ID	CRR10(b)	Risk Title	Management of Demand – Early Help and Specialist Children’s Services			
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
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. 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. 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.	High volumes of work flow into specialist children’s services leading to unsustainable pressure being exerted on the service.	Children’s services performance declines as demands become unmanageable. Failure to deliver statutory obligations and duties or achieve social value. Additional financial pressures placed on other parts of the Authority at a time of severely diminishing resources. Ultimately an impact on outcomes for children, young people and their families.	Andrew Ireland, Corporate Director SCHWB Patrick Leeson, Corporate Director EYPS Responsible Cabinet Member(s): Peter Oakford, Specialist Children’s Services	Likely (4)	Major (5)	
				Target Residual Likelihood	Target Residual Impact	
				Possible (3)	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 / Philip Segurola, Acting Director			

	Specialist Children's Services
The Early Help and Preventative Services Programme is working to ensure that vulnerable families can access the right support through open access services or through targeted casework.	Florence Kroll, Director of Early Help and Preventative Services
Plans developed to appropriately manage the number of children in care (subject to continual monitoring)	Philip Segurola, Acting 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, Acting Director Specialist Children's Services
Scoping of diagnostic work for children's services with aid of efficiency partner has been completed	Philip Segurola, Acting Director Specialist Children's Services
Early Help & Preventative Services have outlined priorities for service development and change, including ambitious targets to improve outcomes for children, young people and families	Florence Kroll, Director of Early Help & Preventative Services
New and innovative service design concepts tested in 'sandbox' to inform the business case and associated projections	Patrick Leeson, Corporate Director, Education & Young People's Services/Andrew Ireland, Corporate Director SCHWB

Weekly Management Information reports track key children in care milestones		Philip Segurola, Acting Director Specialist Children's Services
Action Title	Action Owner	Planned Completion Date
In-house fostering capacity to be developed and assertive monitoring of all children in care performance milestones	Philip Segurola, Acting Director Specialist Children's Services	September 2015 (review)
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	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	Target Residual Likelihood	Target Residual Impact
The Welfare Reform Act 2012 put into law many of the proposals set out in the 2010 white paper <i>Universal Credit: Welfare that Works</i> . It aims to bring about a major overhaul of the benefits system and the transference of significant centralised responsibilities to local authorities. KCC needs to be prepared to manage the uncertain affects and outcomes that the changes may have on the people of Kent.	The impact of the reforms in regions outside of Kent could trigger the influx of significant numbers of 'Welfare' dependent peoples to Kent. Failure to plan appropriately to deal with potential consequences. The financial models and budgets and funding sources underpinning the new schemes prove to be inadequate and allocation of payments and grants has to become prioritised against more challenging criteria.	Failure to meet statutory obligations. 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	Andrew Ireland, Corporate Director SCHWB Responsible Cabinet Member(s): Graham Gibbens, Adult Social Care & Public Health	Possible (3)	Serious (4)	Possible (3)	Significant (3)
Control Title				Control Owner			
Ongoing analysis and tracking of impacts conducted by Strategy, Policy & Assurance and Strategic Business Intelligence & Development teams plus external partners to give an indication of scale of implications of reforms. Mechanism developed to track benefit migration into Kent.				Richard Hallett, Lead Officer for Business Intelligence /David Whittle, Director Strategy, Policy, Relationships and Corporate Assurance			
Policy & research updates produced periodically to aid monitoring of potential impacts				David Whittle, Director Strategy, Policy, Relationships and Corporate Assurance/Richard Hallett, Lead Officer for Business			

		Intelligence
Kent Support and Assistance Service operating as the County's local welfare assistance scheme		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 Relationship	September 2015 (review)
Local Welfare Assistance future options being considered	Mark Lobban, Director of Commissioning	July 2015

Risk ID	CRR14	Risk Title	Development of strategic commissioning authority arrangements			
Source / Cause of Risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
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 effective procurement, commissioning and contract management arrangements and may also involve establishment of alternative service delivery models, for which KCC would need appropriate levels of oversight.	Lack of understanding of what a commissioning authority is and how it should operate Too much or too little KCC oversight of any alternative delivery models introduced. Ineffective contract management – KCC fails to act as an 'intelligent client'. Lack of appropriate skills to facilitate a commissioning approach	Failure to secure optimum value for money from service providers and / or failure to secure achievement of desired outcomes. Loss of confidence in the Council and/or financial loss.	All Corporate Directors Responsible Cabinet Member(s): Paul Carter, Business Strategy, Audit, Transformation	Possible (3) Target Residual Likelihood Unlikely (2)	Serious (4) 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			Diane Trollope, Head of Engagement & Consultation/Akua			

	Agyepong, Corporate Lead, Equality & Diversity
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, Transformation Manager
Commissioning Network established, drawing on expertise from across the Authority and facilitating sharing of best practice and learning.	Olivia Crill, Transformation Manager
KCC Commissioning Framework developed and approved by County Council	David Whittle, Director Strategy, Policy, Relationships and Corporate Assurance
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
Strategic Statement for KCC developed that has coherence with existing statutory outcomes	David Whittle, Director Strategy, Policy,

frameworks – approved by County Council March 2015	Relationships and Corporate Assurance	
Procurement & Commissioning review undertaken	Andy Wood, Corporate Director Finance & Procurement	
Contract Management training being rolled out to those involved in managing contracts across the Council	Henry Swan, Head of Procurement	
The commissioning toolkit – a single repository for commissioning related tools, guidance and best practice – launched on KNet	Olivia Crill, Transformation Manager	
Decision making guidance available on KNet, promoting utilisation of existing formal decision making mechanisms	Louise Whitaker, Democratic Services Manager (Executive)	
Constitution regularly refreshed as required including new operating models	Geoff Wild, Director Governance & Law/All of Corporate Management Team	
Action Title	Action Owner	Planned Completion Date
Opportunities for potential savings from improved commissioning & procurement practice being explored.	Andy Wood, Corporate Director Finance & Procurement	December 2015
Customer Service Policy is being consulted on, setting out the approach to our customers as we become a strategic commissioning authority	Jane Kendal, Head of Service - Customer Relationship	July 2015

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.	<p>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.</p> <p>Quality of services suffers as financial situation continues to worsen.</p> <p>Financial settlement from Government is less than anticipated for 2015 onwards.</p> <p>Strain on management capacity and / or managers not being 'equipped' to meet the different demands of their roles in the new environment.</p>	<p>Unsustainable financial situation.</p> <p>Reduction in resident satisfaction and reputational damage.</p> <p>Potential implications for staff wellbeing morale and engagement</p>	<p>Corporate Directors</p> <p>Responsible Cabinet Member(s):</p> <p>Paul Carter, Business Strategy, Audit & Transformation</p>	Likely (4)	Major (5)	
				Target Residual Likelihood	Target Residual Impact	
				Unlikely (2)	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 Assurance function and devolved Portfolio Management Offices in place charged with identifying and managing dependencies across all programmes and projects	Elizabeth Sanderson, Corporate Assurance Manager / Change Portfolio Delivery Managers
Communications and Engagement Strategy for <i>Facing the Challenge</i> developed	Diane Trollope, Head of Engagement & Consultation
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	Amanda Beer, Corporate Director Engagement,

organisation as an essential enabler of transformation	Organisational Design & Development	
A range of support is available to all staff including an online tool to assess and increase resilience; training on how to recognize people showing signs of mental health issues; a Health Promotion Strategy that supports physical and mental wellbeing.	Amanda Beer, Corporate Director Engagement, Organisational Design & Development	
A suite of performance information is regularly reviewed and monitored to identify potential issues regarding staff retention	Amanda Beer, Corporate Director Engagement, Organisational Design & Development	
Commissioning Framework for KCC approved by County Council	Olivia Crill, Transformation Manager	
Commissioning toolkit launched – a single repository for commissioning related tools, guidance and best practice.	Olivia Crill, Transformation Manager	
Strategic Statement for KCC developed that has coherence with existing statutory outcomes frameworks – approved by County Council March 2015	David Whittle, Director Strategy, Policy, Relationships and Corporate Assurance	
Action Title	Action Owner	Planned Completion Date
Roll out of Project & Programme Management training including:	Julie Cudmore, Workforce Development Manager	September 2015 (review)
<ul style="list-style-type: none"> Bespoke risk management blended learning programme – OCG Risk Management Critical Success Factor workshops Accredited Business Case evaluation programme 		September 2015
		October 2015
		September 2015

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	
<p>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 the PSN.</p> <p>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.</p>	<p>Additional investment in technology required to meet standards without commensurate increase in productivity.</p>	<p>Impact on “Doing things Differently” objectives – less technology choices available. Financial implications</p>	<p>David Cockburn, Corporate Director Strategic & Corporate Services</p> <p>Rebecca Spore, Director Infrastructure</p> <p>Responsible Cabinet Member(s):</p> <p>Gary Cooke, Corporate & Democratic Services</p>	<p>Unlikely (2)</p> <p>Target Residual Likelihood Unlikely (2)</p>	<p>Significant (3)</p> <p>Target Residual Impact Moderate (2)</p>	
Control Title				Control Owner		
Thorough analysis of potential impacts of satisfying the CoCo compliance conducted				Paul Day, Interim Head of Profession for ICT		

Impact analysis conducted for adoption of Baseline Personnel Security Standards (BPSS)	Paul Day, Interim Head of Profession for ICT/Amanda Beer, Corporate Director Engagement, Organisational Design & Development	
CMT commitment to comply communicated to Public Services Network Authority (PSNA)	Corporate Management Team	
Project plan devised to achieve compliance	Paul Day, Interim Head of Profession for ICT	
KCC compliant with current Code of Connection standards	Paul Day, Interim Head of Profession for ICT	
Continued liaison with Government on evolving security standards to encourage risk-based, proportionate approach	Paul Day, Interim Head of Profession for ICT	
Action Title	Action Owner	Planned Completion Date
Action plan to meet requirements for compliance in September 2015	Paul Day, Interim Head of Profession for ICT	September 2015 (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	Target Residual Likelihood	Target Residual 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>Prohibition on delegation of certain functions e.g. safeguarding may necessitate additional resource burden</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>Unlikely (2)</p>	<p>Major (5)</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
Phase 1 programme of training, webinars and e-learning in place	Andrea Cahill, Professional Development Advisor, Social Care
Additional capacity to manage predicted demand on carers assessments and independent advocacy services in place	Emma Hanson, Head of Commissioning (Community Support)
Safeguarding aspects of Care Act 2014 being addressed (see CRR2)	Nick Sherlock, Head of Adult Safeguarding
Interim operational process developed relating to functions that cannot be delegated pending independent legal advice	Nick Sherlock, Head of Adult Safeguarding
Deep dive review of implications of the Care Act 2014 undertaken by LGA	Andrew Ireland, Corporate Director, SCHWB
Effective communication of accurate information in relation to Universal Deferred Payments	Michelle Vickery, Assessment & Income Client Services Manager
Communications to inform public, service staff and providers on forthcoming changes to the Care Act developed	Andrew Bose, Communications Account Manager, Social Care
Action Title	Action Owner
Programme Plan in place including a number of projects:	

<p>IT and information systems – to provide effective and timely changes to IT and finance systems to include:</p> <ul style="list-style-type: none"> • Ensure changes required for April 2016 including implementation of Care Accounts 	<p>Linda Harris, ICT Applications Team Manager</p>	<p>September 2015 (review)</p>
<p>Phase 2 Workforce Development Planning to commence March/April 2015</p>	<p>Andrea Cahill, Professional Development Advisor, Social Care</p>	<p>November 2015</p>
<p>Prepare for implications of increase in residential means test threshold.</p>	<p>Michelle Vickery, Assessment & Income Client Services Manager</p>	<p>December 2015</p>

Risk ID	CRR 20	Risk Title	Banking Reform Act			
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
Bail in risk stemming from the enactment of the following legislation: - Banking Reform Act 2013 - Bank Recovery and Resolution Directive 2015 - Deposit Guarantee Scheme Directive 2015 Unsecured investments in a bank that fails are not protected. KCC may make unsecured deposits with various banks in accordance with its Treasury Strategy	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.	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.	Andy Wood, Corporate Director Finance & Procurement Responsible Cabinet Member(s): John Simmonds, Finance & Procurement	Unlikely (2)	Serious (4)	
				Target Residual Likelihood	Target Residual Impact	
				Unlikely (2)	Moderate (2)	
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				Nick Vickers, Head of		

Bail in has been on the agenda and plans agreed to mitigate the risks	Financial Services	
The Treasury Strategy has been revised to limit the exposure to the Council	Nick Vickers, Head of Financial Services	
Monthly forecasting against budgets	Nick Vickers, Head of Financial Services	
Six monthly progress reports against budgeted savings presented to Governance & Audit Committee	Nick Vickers, Head of Financial Services	
Action Title	Action Owner	Planned Completion Date
Implementation of the revised Treasury Strategy	Nick Vickers, Head of Financial Services	March 2016

Risk ID	CRR21	Risk Title	Delivery of 2015/16 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)	Serious (4)	
				Target Residual Likelihood	Target Residual Impact	
				Very unlikely (1)	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 Assurance Office in place providing independent assurance of significant transformational programme and project management across KCC to ensure appropriate benefits realisation,			Elizabeth Sanderson, Corporate Assurance			

including delivery of savings. Reports to Corporate Board and Budget Programme Board as appropriate.	Manager	
Procedures for appropriate consultation in place (including Equality Impact Assessments) when decisions relating to changes in services are being considered	Diane Trollope, Head of Engagement & Consultation/Akua Agyepong, Corporate Lead, Equality & Diversity	
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	
Outline savings plans received for all significant budget savings	Corporate Directors and Director Group	
Six monthly update reports on progress against budgeted savings presented to Governance & Audit Committee	Corporate Directors and Director Group	
Action Title	Action Owner	Planned Completion Date
NB: Risk to be managed down to target residual level via existing controls outlined above		