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To: Governance and Audit Committee – 21st July 2016

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 14 risks. Changes since the register was last reported to Governance & Audit Committee in January 2016 are summarised as follows:
- a) The delivery of 2015/16 savings risk has been closed, with KCC once again achieving a balanced budget position;
 - b) A risk relating to delivery of 2016/17 savings has been added and is rated as 'medium' at this stage, while a corporate risk relating to the identification of, and planning for, delivery of 2017/18 budget savings has also been added to the register.
 - c) The level of risk for CRR 9 – Health & Social Care Integration was raised from amber to red to reflect the potential repercussions of knock-on impacts from stresses in the health care system. In addition, an action to contribute to the development of Sustainability and Transformation plans by summer 2016 was added.

- d) The risk description for CRR 23 – managing and embedding sustainable change has been amended to give more focus on the Council's evolution to a strategic commissioning authority.
- e) CRR 3: Access to resources to aid economic growth and enabling infrastructure has been raised from amber to red as there is increasing pressure to secure external funding with much reduced resources, and the delivery environment we are operating in is becoming increasingly complex, which introduces additional cost burdens.
- f) The EU referendum was initially mentioned as context for the Future Operating Environment for Local Government risk (CRR 17). More recently, in light of the result, potential implications are being closely monitored in the coming weeks and months to see what specific risks or opportunities arise for KCC.
- g) The 'Prevent' counter terrorism work has been reflected as part of the Civil Contingencies and Resilience Risk (CRR 4). It was previously only highlighted as part of the safeguarding risks for adults and children.
- h) The current and target 'impact' ratings for the safeguarding risks CRR2a and CRR2b have been amended to more accurately reflect the severity of consequences should they occur. Specifically, the current impact rating has changed from 4 out of 5 ('serious') to 5 out of 5 ('major'), while the target rating has increased from 3 out of 5 ('significant') to 5 out of 5 ('major'). The 'likelihood' ratings remain at 4 out of 5 ('likely') currently, with 3 out of 5 ('possible') as a target. This means that the total risk score is 20, with a target rating of 15.
- i) CRR 22: As a result of previous feedback from the Governance & Audit Committee, the risk description has been amended to reference the risk of Unaccompanied Asylum Seeking Children (UASC) not being taken on by other Local Authorities, as well as the consequence of a serious potential impact on young people.
- j) Cyber security has been more explicitly referenced in the Civil Contingencies and Resilience Risk (CRR 4).

2.2 Another consideration being discussed with Corporate Directors and Cabinet Members as part of the upcoming formal annual refresh is Redbridge Council's recent acquisition of leasing rights for 208 properties at the Howe Barracks site in Canterbury, in which they intend to place their homeless families from summer 2016. If there is proliferation of such a move by other local authorities (sudden and sizeable increase rather than incremental rise) it could add to the pressure on local services. Further work will be carried out to assess the level of risk, especially if intelligence shows that this approach is likely to become more widespread.

2.3 Out of the 14 risks there are 9 areas of risk currently rated as 'high' and five rated as 'medium'. The high risks relate to the management of demand in both adults and children's social care; safeguarding (both vulnerable adults

and children); the future financial and operating environment / landscape for local government; implications of the significant increase in Unaccompanied Asylum Seeking Children; access to resources to aid economic growth and infrastructure; health and social care integration; and identification of, and planning for, delivery of 2017/18 savings. All risks have mitigating actions in place that aim to achieve a target residual rating of 'medium' or 'low'.

- 2.4 Further details of these risks, including controls and mitigating actions, are contained in appendix 1.
- 2.6 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.

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. Updates against actions due for review or completion in quarter 1 of 2016/17 have been requested from action owners and will be reported in the next Quarterly Performance Report presented to Cabinet on 26th September 2016.
- 3.2 In addition, the corporate risks relevant to each Cabinet Committee are reported in the spring round of Committees each year 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

21ST JULY 2016

Corporate Risk Register - Summary Risk Profile

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

Risk No.*	Risk Title	Current Risk Rating	Target Risk Rating	Direction of Travel since Jan 2016
CRR 1	Data and Information Management	9	9	↔
CRR 2(a)	Safeguarding – protecting vulnerable children	20	15	**
CRR 2(b)	Safeguarding – protecting vulnerable adults	20	15	**
CRR 3	Access to resources to aid economic growth and enabling infrastructure	16	8	↑
CRR 4	Civil Contingencies and Resilience	12	8	↔
CRR 9	Health & Social Care Integration (inc. Better Care Fund)	16	9	↑
CRR 10(a)	Management of Adult Social Care Demand	20	12	↔
CRR 10(b)	Management of Demand – Early Help and Preventative Services and Specialist Children's Services	20	12	↔
CRR 12	Welfare Reform and Work Act	12	9	↔
CRR 17	Future financial and operating environment for local government	20	12	↔
CRR 22	Implications of increased numbers of Unaccompanied Asylum Seeking Children (UASC)	20	12	↔
CRR 23	Managing and embedding sustainable change	12	6	↔
CRR 24	Delivery of 2016/17 savings	12	2	New
CRR 25	Identification of, and planning to deliver, 2017/18 savings	16	2	New

*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.

**The 'impact' rating for the risk has been amended to 5 out of 5 ('major') to more accurately reflect the severity of consequences should they occur

Risk ID	CRR1	Risk Title	Data and Information Management			
Source / Cause of risk The Council is reliant on vast amounts of good quality data and information to determine sound decisions and plans, conduct operations and deliver services. It is also required by the Data Protection Act and Government's Code of Connection (CoCo) to maintain confidentiality, integrity and proper use of the data. With the Government's 'Open' agenda, increased flexible working patterns of staff, and increased partnership working and use of multiple information repositories, controls on data management and "cyber" security have become complex and important.		Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
		Information security incidents resulting in loss of personal data or breach of privacy/confidentiality.	ICO sanction (e.g. undertaking, assessment, improvement, enforcement or monetary penalty notice) issued against the Authority.	On behalf of CMT: Geoff Wild, Director Governance & Law	Possible (3)	Significant (3)
		Data Subject complaint upheld by Information Commissioners Office (ICO).		Rebecca Spore, Director Infrastructure		
		Failure to achieve either annual PSN or NHS Information Governance certification.	Reputational damage.		Target Residual Likelihood	Target Residual Impact
			Damages claims.		Possible (3)	Significant (3)
			Cost of remediation.	Responsible Cabinet Member(s):		
			Access to PSN and/or NHS connected services revoked or restricted resulting in significant interruption to services.	Gary Cooke, Corporate & Democratic Services		
Control Title					Control Owner	
Senior Information Risk Officer supported by Information Governance cross-directorate group.					David Cockburn, Corporate Director Strategic and Corporate Services	
SIRO IG 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/Michael Lloyd, Head of Technology Commissioning & Strategy
Contractor information assurance procedure in place	Mark Lobban, Director Commissioning SCHW
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 SCHW
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 Compliance and Risk Team operational.	Michael Lloyd, Head of Technology Commissioning & Strategy
Electronic Communications User Policy, Virus reporting procedure and social media guidelines in place	Michael Lloyd, Head of Technology Commissioning & Strategy
Information Governance training completed by significant number of 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	Michael Lloyd, Head of Technology Commissioning & Strategy
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 SCHW/Geoff Wild, Director Governance & Law/

	Michael Lloyd, Head of Technology Commissioning & Strategy	
Public Service Network (PSN) code of compliance information security standard achieved	Michael Lloyd, Head of Technology Commissioning & Strategy	
NHS Information Governance Toolkit 'satisfactory' rating achieved	Michael Lloyd, Head of Technology Commissioning & Strategy	
Information Governance Training re-launched. Training to be completed every 2 years	Geoff Wild, Director Governance & Law	
Cyber security controls in place	Kathy Stevens, ICT Compliance and Risk Manager	
Action Title	Action Owner	Planned Completion Date
Implement recommendations arising from the Information Commissioner's Office (ICO) audit	Geoff Wild, Director Governance & Law	July 2016
Continuous development of cyber-security monitoring and response processes	Kathy Stevens, ICT Compliance and Risk Manager	September 2016 (review)

Risk ID	CRR2(a)	Risk Title	Safeguarding – protecting vulnerable children			
	Source / Cause of risk The Council must fulfil its statutory obligations to effectively safeguard vulnerable children. In addition, the Government’s “Prevent Duty” requires the Local Authority to act to prevent people from being drawn into terrorism, with a focus on the need to safeguard children at risk of being drawn into terrorism.	Risk Event 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. Failure to meet the requirements of the new “Prevent Duty” placed on Local Authorities.	Consequence Serious impact on vulnerable people.	Risk Owner On behalf of CMT: Andrew Ireland, Corporate Director Social Care Health & Wellbeing (SCHW)	Current Likelihood Likely (4)	Current Impact Major (5)
			Serious impact on ability to recruit the quality of staff critical to service delivery.			
			Serious operational and financial consequences.			
			Attract possible intervention from a national regulator for failure to discharge corporate and executive responsibilities.			
			Incident of serious harm or death of a vulnerable child.			
Control Title					Control Owner	
Consistent scrutiny and performance monitoring through Divisional Management Team, District ‘Deep Dives’ and audit activity					Andrew Ireland, Corporate Director SCHW / Philip Segurola, Director Specialist Children’s Services	
Independent scrutiny by Kent Safeguarding Children Board					Independent Chair Kent Safeguarding Children Board	
Manageable caseloads per social worker and robust caseload monitoring					Philip Segurola, Director Specialist Children’s Services	

SCHWB management team monitors social work vacancies and agrees strategies for urgent situations	Andrew Ireland, Corporate Director SCHW
Active strategy in place to attract, recruit <i>and retain</i> social workers through a variety of routes with particular emphasis on experienced social workers. Detailed programme of training	Philip Segurola, Director Specialist Children's Services / Amanda Beer, Corporate Director Engagement, Organisational Design & Development
Multi-agency public protection arrangements in place	Andrew Ireland, Corporate Director, SCHW
Extensive staff training – Specialist Children's Services and Early Help and Preventative services are adopting the 'Signs of Safety' model of intervention, a standardised child-focused model of risk analysis, risk management and safety planning.	Philip Segurola, Director of Specialist Children's Services
Regular reporting on safeguarding takes place quarterly for Directors and Cabinet Members, with an annual report for elected Members, to allow for scrutiny of progress.	Andrew Ireland, Corporate Director, SCHW
KCC has led a multi-agency review of existing arrangements in light of the new Prevent Duty	Nick Wilkinson, KCC Prevent Lead Officer
Prevent Duty Delivery Board established to oversee the activity of the Kent Channel Panel, co-ordinate Prevent activity across the County and report to other relevant strategic bodies in the county (including reporting route to the Kent Safeguarding Children Board)	Andrew Ireland, Corporate Director, SCHW
Kent Channel panel (early intervention mechanism providing tailored support to people who have been identified as at risk of being drawn into terrorism) established.	Nick Wilkinson, KCC Prevent Lead Officer
Awareness of the responsibility for schools to be alert to signs of radicalisation has been raised (e.g. via education e-bulletin with links to online training materials and specific contacts for information and advice	Patrick Leeson, Corporate Director Education and Young People's Services (EYPS)
Safeguarding and Quality Assurance Unit has been restructured to include additional child protection and Independent Reviewing Officer capacity	Philip Segurola, Director of Specialist Children's Services
Education Safeguarding Team in place	Gillian Cawley, Director Education Quality & Standards
Children's Development Plan, jointly owned by Specialist Children's Services, Early Help and Preventative Services and Children's Commissioning team, in place and updated to address recommendations arising from Child Sexual Exploitation (CSE) themed inspection and actions identified during a recent external	Philip Segurola, Director Specialist Children's Services

review.		
Multi-agency Crime and Sexual Exploitation Panel (MACSE) established to provide a strategic, county-wide, cross-agency response to CSE.		Andrew Ireland, Corporate Director, SCHW (KCC lead)
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 SCHW / Amanda Beer, Corporate Director Engagement, Organisational Design & Development	September 2016 (review)
Implementation of transformation programme for children's services, including Social Work Contract Programme <ul style="list-style-type: none"> Complete a piece of diagnostic work related to the point of access into Children's Services 	Philip Segurola, Director Specialist Children's Services	October 2016 (review)
Delivery of key actions to tackle Children's Sexual Exploitation (CSE) and Trafficking as part of the Children's Development Plan	Philip Segurola, Director Specialist Children's Services	June 2016 (review)
Ensure any necessary training and procedures to support professionals working with children where there are concerns regarding their vulnerability to radicalisation are embedded as part of existing safeguarding arrangements	Patricia Denney, Assistant Director Children's Safeguarding and Quality Assurance	June 2016
Awareness-raising 'Prevent' training for identified key staff and specific training for those working with people directly at risk	Nick Wilkinson, KCC Prevent Lead Officer	June 2016

Risk ID	CRR2(b)	Risk Title	Safeguarding – protecting vulnerable adults						
	Source / Cause of risk The Council must fulfil its statutory obligations to effectively safeguard vulnerable adults. In addition, the Government’s “Prevent Duty” requires the Local Authority to act to prevent people from being drawn into terrorism.	Risk Event 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. Failure to meet the requirements of the new “Prevent Duty” placed on Local Authorities.	Consequence Serious impact on vulnerable people.	Risk Owner On behalf of CMT: Andrew Ireland, Corporate Director SCHW	Current Likelihood Likely (4)	Current Impact Major (5)			
			Serious impact on ability to recruit the quality of staff critical to service delivery.						
			Serious operational and financial consequences.	Responsible Cabinet Member: Graham Gibbens, Adult Social Care & Public Health Mike Hill (Lead Member for PREVENT)	Possible (3)	Major (5)			
			Attract possible intervention from a national regulator for failure to discharge corporate and executive responsibilities.						
			Incident of serious harm or death of a vulnerable adult.						
			Control Title					Control Owner	
			Multi agency public protection arrangements in place					Andrew Ireland, Corporate Director SCHW	
Safeguarding Vulnerable Adults Board in place with key agencies. The Board is now on a statutory footing following implementation of the Care Act.					Andrew Ireland, Corporate Director SCHW				
Consistent scrutiny and performance monitoring through divisional management teams, ‘deep dives’ and audit activity.					Divisional Directors / Head of Adult Safeguarding				
Regular reporting on safeguarding takes place quarterly for Directors and Cabinet Members, with an annual report for elected Members, to allow for scrutiny of progress.					Andrew Ireland, Corporate Director SCHW				
In Kent a joint Winterbourne Steering Group has been established to learn lessons from Winterbourne and is working to an action plan					Penny Southern, Director DCALDMH				

Safeguarding improvement plan in place for Older People and Physical Disability service	Anne Tidmarsh, Director OPPD	
Prevent Duty Delivery Board established to oversee the activity of the Kent Channel Panel, co-ordinate Prevent activity across the County and report to other relevant strategic bodies in the county	Andrew Ireland, Corporate Director SCHW	
KCC has led a multi-agency review of existing arrangements in light of the new Prevent Duty	Nick Wilkinson, KCC Prevent Lead Officer	
Kent Channel panel (early intervention mechanism providing tailored support to people who have been identified as at risk of being drawn into terrorism) established at district and borough level.	Nick Wilkinson, KCC Prevent Lead Officer	
Capability framework for safeguarding and the mental capacity act introduced	Mark Lobban, Director of Commissioning SCHW / Nick Sherlock, Head of Adult Safeguarding	
Action Title	Action Owner	Planned Completion Date
Develop and roll-out a new package of multi-agency training ensuring it reflects Care Act changes	Nick Sherlock, Head of Adult Safeguarding	October 2016
Implement actions arising from recent internal audit – actions included in Safeguarding Action Plans	Nick Sherlock, Head of Adult Safeguarding	September 2016
Ensure any necessary training and procedures to support professionals working with vulnerable adults where there are concerns regarding their vulnerability to radicalisation are embedded within existing safeguarding arrangements	Nick Sherlock Head of Adult Safeguarding	June 2016
Awareness-raising ‘Prevent’ training for identified key staff and specific training for those working with people directly at risk	Nick Wilkinson, KCC Prevent Lead Officer	June 2016 (review)
Independent audit of case files commissioned across all client categories	Nick Sherlock, Head of Adult Safeguarding	September 2016

Risk ID	CRR3	Risk Title	Access to resources to aid economic growth and enabling infrastructure			
Source / Cause of Risk		Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
The Council seeks access to resources to develop the enabling infrastructure for economic growth and regeneration.		Inability to secure sufficient contributions from development to support growth.	Key opportunities for growth missed.	Barbara Cooper, Corporate Director Growth, Environment and Transport	Likely (4)	Serious (4)
However, in parts of Kent, there is a significant gap between the costs of the infrastructure required to support growth and the Council's ability to secure sufficient funds through s106 contributions, Community Infrastructure Levy and other growth levers to pay for it. This is especially the case in the east of the county.		Failure to attract sufficient funding via the Local Growth Fund and other public funds to both support the cost of infrastructure and aid economic growth and regeneration.	The Council finds it increasingly difficult to fund KCC services across Kent (e.g. schools) and deal with the impact of growth on communities.	Responsible Cabinet Member(s): Mark Dance, Economic Development Matthew Balfour, Environment & Transport	Target Residual Likelihood	Target Residual Impact
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.		Insufficient return on investment from Regional Growth Fund schemes or significant level of default on loans.	Kent becomes a less attractive location for inward investment and business.		Unlikely (2)	Serious (4)
			Our ability to deliver an enabling infrastructure becomes constrained. Reputational risk.			
Control Title				Control Owner		
Growth and Infrastructure Framework for Kent and Medway published, setting out the infrastructure needed to deliver planned growth				Katie Stewart, 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 / Katie Stewart, 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	
Infrastructure Funding Group established and receives regular performance reports, potential issues for resolution and highlights funding gaps etc.	Barbara Cooper, Corporate Director, Growth, Environment and Transport	
Strong engagement of private sector through Kent and Medway Economic Partnership (KMEP), Business Advisory Board and Kent Developer’ Group	David Smith, Director Economic Development	
Strong engagement with South East LEP and with central Government to ensure that KCC is in a strong position to secure resources from future funding rounds	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	
Continued coordinated dialogue with developers, Districts and KCC service directorates	Nigel Smith, Head of Development	
Action Title	Action Owner	Planned Completion Date
Produce Kent’s Local Transport Plan 4 – the next iteration of ‘Growth without Gridlock’	Tom Marchant, Head of Strategic Planning & Policy	January 2017
Growth & Infrastructure Framework – progress the key actions arising from the framework	Tom Marchant, Head of Strategic Planning & Policy	July 2016 (review)

Influencing local plans and major applications – coordinating KCC's response to and providing expert advice around developments e.g. Ebbsfleet Development Corporation and Paramount Park	Tom Marchant, Head of Strategic Planning & Policy	June 2016 (review)
Progress proposals for a more consistent and comprehensive approach to early engagement and provision of advice for developers on major development proposals, involving a single point of contact at senior County Council officer level.	Nigel Smith, Head of Development	January 2017 (business case)

Risk ID	CRR4	Risk Title	Civil Contingencies and Resilience			
Source / Cause of Risk		Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
<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.</p> <p>This includes the Counter-terrorism and Security Act 2015, which contains a duty to have due regard to the need to prevent people from being drawn into terrorism.</p> <p>The Director of Public Health has a legal duty to gain assurance from the National Health Service and Public Health England that plans are in place to mitigate risks to the health of the public including outbreaks of communicable diseases e.g. Pandemic Influenza.</p> <p>Ensuring that the Council works effectively with partners to respond to, and recover from, emergencies and service interruption is becoming increasingly important in light of recent national and international security threats, severe weather incidents and the increasing threat of 'cyber attacks' (links to CRR 1).</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>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>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>Possible (3)</p> <p>Target Residual Likelihood</p> <p>Unlikely (2)</p>	<p>Serious (4)</p> <p>Target Residual Impact</p> <p>Serious (4)</p>

Control Title	Control Owner
<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 	Mike Overbeke, Head of Public Protection (for Kent Resilience Team Activity)
Kent Resilience Forum has a Health sub-group to ensure coordinated health services and Public Health England planning and response is in place	Andrew Scott-Clark, Director of Public Health
Kent Resilience Forum Severe Weather Advisory Group established to convene in the event of a severe weather incident.	Mike Overbeke, Head of Public Protection
Critical functions identified across KCC as a basis for effective Business Continuity Management (BCM).	Tony Harwood, Resilience and Emergencies Manager
The Director of Public Health works through local resilience fora to ensure effective and tested plans are in place for the wider health sector to protect the local population from risks to public health.	Andy Scott-Clark, Director of Public Health
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.	Michael Lloyd, Head of Technology Commissioning & Strategy
Cyber security controls in place	Kathy Stevens, ICT Compliance and Risk Manager
On-going programme of review relating to ICT Disaster Recovery and Business Continuity	Michael Lloyd, Head of Technology Commissioning & Strategy
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.	Katie Stewart, Director Environment Planning & Enforcement
KCC Community Wardens trained as Incident Liaison Officers	Mike Overbeke, Head of Public Protection
KCC and local Kent Resilience Forum partners have tested preparedness for chemical, biological, radiological, nuclear and explosives (CBRNE) incidents and communicable disease outbreaks 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
KCC jointly with Medway Council Public Health dept maintain an on-call rota on behalf and with Public Health England to ensure preparedness for implementing the Scientific, Technical Advisory Cell (STAC) in the event of a major incident with implications for the health of the public	Andrew Scott-Clark, Director of Public Health
'Introduction to Emergency Planning' e-learning package available to all staff	Tony Harwood, Resilience and Emergencies Manager
Emergency planning training rolled out at strategic, tactical and operational levels. KCC Resilience Programme in place to deliver further training opportunities	Katie Stewart, Director Environment Planning & Enforcement
Exercises regularly conducted to test different elements of KCC emergency and business continuity	Tony Harwood, Resilience &

arrangements with partners (e.g. 'Fort Invicta' November 2015 and Exercise 'Thor' December 2015).	Emergencies Manager	
Senior Management on-call rota devised and agreed	Katie Stewart, Director Environment Planning & Enforcement	
Learning and potential improvements to business continuity plans in light of recent loss of ICT systems captured	Katie Stewart, Director Environment Planning & Enforcement	
Emergency Reservists have been recruited to aid emergency responses	Katie Stewart, Director Environment Planning & Enforcement	
Prevent Duty Delivery Board established to oversee the activity of the Kent Channel Panel, co-ordinate Prevent activity across the County and report to other relevant strategic bodies in the county	Andrew Ireland, Corporate Director SCHW	
Kent Channel panel (early intervention mechanism providing tailored support to people who have been identified as at risk of being drawn into terrorism) established at district and borough level.	Nick Wilkinson, KCC Prevent Lead Officer	
KCC Business Continuity Plan in place	Katie Stewart, Director Environment, Planning & Enforcement	
Reporting arrangements have been reviewed to include appropriate elected Member oversight of KCC Business Continuity arrangements.	Katie Stewart, Director Environment, Planning & Enforcement	
Action Title	Action Owner	Planned Completion Date
Review sufficiency of KCC emergency and resilience resource	Katie Stewart, Director Environment, Planning & Enforcement	September 2016 – Phase 1 April 2017 – Phase 2
Cabinet Office resilience training scheduled for Summer 2016	Katie Stewart, Director Environment, Planning & Enforcement	September 2016
Continually review and ensure robust processes for management of IT security incidents	Kathy Stevens, ICT Compliance and Risk Manager	October 2016 (review)
Review Business Continuity arrangements for Contact Point with service provider.	Chris Smith, Intelligent client – subject expert (telephony)	September 2016

Risk ID	CRR9	Risk Title	Health & Social Care Integration (inc. Better Care Fund)				
Source / Cause of Risk The health & social care ‘system’ is under extreme pressure to cope with increasing levels of demand and financial constraints. Consequently, there is an urgent need to develop integrated health & social care services to meet these challenges. The integration agenda presents local authorities with both opportunities and risks.		Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
		Pressures within the health sector have repercussions for social care.	Additional budget pressures.	Andrew Ireland, Corporate Director SCHW	Likely (4)	Serious (4)	
		Insufficient Better Care Fund monies to support preventative services, which means plans to reduce hospital admissions are destabilised.	Gaps between services or in some instances duplication of services or inefficient use of the available joint resources.	Responsible Cabinet Member(s): Roger Gough, Education & Health Reform	Target Residual Likelihood Possible (3)	Target Residual Impact Significant (3)	
		Failure to maximise opportunities presented for health & social care integration, and ensure changes achieve maximum impact.		Graham Gibbens, Adult Social Care & Public Health			
		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 SCHW		
		Joint Strategic Needs Assessment helps to support joint health & social care commissioning activity			Andrew Ireland, Corporate Director SCHW		
Kent chosen as one of 25 pioneers of health & social care integration in the UK, which is giving renewed impetus to the integration programme in Kent. An Integration Pioneer Steering Group is in place with other 20 stakeholder members to provide strategic direction and oversee successful delivery of health & social care in Kent.			Anne Tidmarsh, Director OPPD(KCC lead)				
Detailed delivery plans being developed with CCG areas			Andrew Ireland, Corporate				

	Director SCHW	
Joint Area Team, CCG and KCC group established	Andrew Ireland, Corporate Director SCHW	
Reporting arrangements are in place to support integrated working, including reports to Health & Wellbeing Boards, Clinical Commissioning Groups and Vanguard Groups.	Anne Tidmarsh, Director OPPD	
KCC has developed an understanding of, and is well placed to implement, the NHS ‘Five Year Forward View’	Andrew Ireland, Corporate Director SCHW	
The Better Care Fund will help the integration programme and the development of joined up working and commissioning	Anne Tidmarsh, Director OPPD	
BCF Finance and Performance Group established, consisting of CCG/KCC Chief Finance Officers as well as a BCF Internal Assurance Group	Andy Wood, Corporate Director Finance & Procurement/ Andrew Ireland, Corporate Director SCHW	
Programme management arrangements in place for integration, with a programme plan and associated local action plans. Activity coordinated by a programme manager.	Anne Tidmarsh, Director OPPD	
Implementation of local Better Care Fund action plans being monitored by BCF delivery groups	Anne Tidmarsh, Director OPPD	
Detailed performance returns in place to report Pioneer programme progress to the new models of care team at NHSE	Anne Tidmarsh, Director OPPD	
Action Title	Action Owner	Planned Completion Date
Work towards greater connectivity of information systems via a shared integration plan	Anne Tidmarsh, Director OPPD	June 2016 (review)
Ensure adherence to the Continuing Healthcare (CHC) framework and monitor joint working arrangements to prevent cost shunting	Mark Lobban, Director Commissioning SCHW / Penny Southern, Director CDLDMH / Anne Tidmarsh, Director OPPD	September 2016 (review)
Contribute to the development of five-year, place-based Sustainability and Transformation Plans	Andrew Ireland, Corporate Director SCHW	June 2016

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

	Commissioning SCHW	
Legal Services are engaged where required to support KCC when challenging other Authorities to accept Ordinary Residence re: responsibilities	Penny Southern, Director DCALDMH	
Joint commissioning of services with health, in particular for people with dementia, long term conditions and for carers (links to <i>Health & Social Care Integration agenda</i> – see Risk CRR9).	Mark Lobban, Director Commissioning SCHW/ Anne Tidmarsh, Director OPPD	
Continued drive to maximise the use of Telecare as part of the mainstream community care services	Anne Tidmarsh, Director OPPD and Penny Southern, Director DCALDMH	
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 SCHW	
Health & Social Care Integration Programme in place with a strategic objective of proactively tackling demand for health & social care services	Anne Tidmarsh, Director OPPD	
Risk stratification tools devised. Now being used by GP's	Anne Tidmarsh, Director OPPD	
Continued support for investment in preventative services through voluntary sector partners	Mark Lobban, Director Commissioning SCHW	
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 OPPD	
Best Interest Assessments (BIA) training package in place to be delivered as part of a rolling programme twice yearly	Mark Lobban, Director Commissioning, SCHW	
Continual review and monitoring of demand in relation to Deprivation of Liberty assessments (DoLs)	Nick Sherlock, Head of Adult Safeguarding	
Action Title	Action Owner	Planned Completion Date
Implementation of Adults Transformation Phase 2 Design <ul style="list-style-type: none">Implementation activities complete in all areas for Phase 2 projects in OPPD –Full roll out of Your Life Your Home	Mark Lobban, Director Commissioning SCHW	June 2016
Development of a project to explore a systemic approach to Demand Management for Care Leavers	David Whittle, Director Strategy, Policy & Assurance	June 2016 (review)

Risk ID	CRR10(b)	Risk Title	Management of Demand – Early Help and Preventative Services 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.		High volumes of work flow into early help and preventative services and specialist children’s services leading to unsustainable pressure being exerted on them.	Children’s services performance declines as demands become unmanageable.	Andrew Ireland, Corporate Director SCHW	Likely (4)	Major (5)
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.			Failure to deliver statutory obligations and duties or achieve social value.	Patrick Leeson, Corporate Director EYPS	Target Residual Likelihood	Target Residual Impact
These challenges need to be met as early help and preventative services and specialist children’s services face increasingly difficult financial circumstances and operational challenges such as recruitment and retention of permanent qualified social workers.			Additional financial pressures placed on other parts of the Authority at a time of severely diminishing resources.	Responsible Cabinet Member(s): Peter Oakford, Specialist Children’s Services	Possible (3)	Serious (4)
			Ultimately an impact on outcomes for children, young people and their families.			
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 SCHW / Philip Segurola, Director Specialist Children’s Services		
The Early Help and Preventative Services Programme is working to ensure that vulnerable families can				Florence Kroll, Director Early		

access the right support through open access services or through targeted casework.	Help and Preventative Services	
Plans developed to appropriately manage the number of children in care (subject to continual monitoring)	Philip Segurola, 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 SCHW	
Continued support for investment in preventative services through voluntary sector partners	Mark Lobban, Director Commissioning SCHW	
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 SCHW	
Scoping of diagnostic work for children’s services with aid of efficiency partner has been completed	Philip Segurola, 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 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, EYPS/Andrew Ireland, Corporate Director SCHW	
Weekly Management Information reports track key children in care milestones	Philip Segurola, Director Specialist Children’s Services	
Kent Safeguarding Children Board has developed a ‘threshold’ document that outlines the criteria required to by partners when making a referral	Mark Janaway, KSCB Programme and Performance Manager	
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, Director Specialist Children’s Services	October 2016 (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, EYPS/Andrew Ireland, Corporate Director SCHW	June 2016 (review)

Work with partners to ensure that they understand the Kent Safeguarding Children Board thresholds and can accurately apply these when making referrals i.e. via training, workshops, audits and reviews of policies.

Mark Janaway, KSCB
Programme and Performance
Manager

September 2016 (review)

Risk ID	CRR 12	Risk Title	Welfare Reform and Work Act			
Source / Cause of Risk		Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
The Welfare Reform Act 2012 put into law many of the proposals set out in the 2010 white paper <i>Universal Credit: Welfare that Works</i> . It aims to bring about a major overhaul of the benefits system and the transference of significant centralised responsibilities to local authorities.		The impact of the reforms in regions outside of Kent could trigger the influx of significant numbers of 'Welfare' dependent peoples to Kent.	An increase in households falling below poverty thresholds with vulnerable people becoming exposed to greater risk.	Andrew Ireland, Corporate Director SCHW	Possible (3)	Serious (4)
KCC needs to be prepared to manage the uncertain affects and outcomes that the changes may have on the people of Kent. This now includes assessment of potential impacts of the Welfare Reform & Work Act 2016.		Failure to plan appropriately to deal with potential consequences.	Additional pressure on KCC services e.g. demand for adults and children's social care.	Responsible Cabinet Member(s): Graham Gibbens, Adult Social Care & Public Health	Target Residual Likelihood Possible (3)	Target Residual Impact Significant (3)
Control Title					Control Owner	
Ongoing analysis and tracking of impacts conducted by Strategy, Policy & Assurance and Strategic Business Development & Intelligence teams plus external partners to give an indication of scale of implications of reforms. Mechanism developed to track benefit migration into Kent.					Emma Mitchell, Director Strategic Business Development & 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/Emma Mitchell, Director Strategic Business Development & Intelligence	
Kent Support and Assistance Service operating as the County's local welfare assistance scheme					Mark Lobban, Director of Commissioning	

Action Title	Action Owner	Planned Completion Date
Review of local welfare assistance scheme	Mark Lobban, Director Commissioning SCHW	September 2016
Policy Briefing on latest Welfare Reform changes outlined in the Welfare and Reform Act 2016.	David Whittle, Director Strategy, Policy, Relationships and Corporate Assurance	October 2016

Risk ID	CRR 17	Risk Title	Future financial and operating environment for Local Government			
	Source / Cause of risk	Risk Event	Consequence	Risk Owner (s)	Current Likelihood	Current Impact
	The operating environment for local government will continue to change during the coming years, presenting both opportunities and risks for the Council and its partners / service providers.	Additional spending demands and continued public sector austerity measures threaten financial sustainability of KCC, its partners and service providers.	Unsustainable financial situation.	All Corporate Directors	Likely (4)	Major (5)
	For example, the Comprehensive Spending Review and associated Local Government settlement is expected to require a further 30% of savings in real terms during the next 4 years, which could threaten delivery of local services across the county, while the Local Government, Cities and Devolution Act could have wide-ranging implications, including the potential for significant Local Government reorganisation.	Increase in the National Living Wage could severely impact on local markets.	Potential for partner or provider failure – including sufficiency gaps in provision.	Responsible Cabinet Member (s): All Cabinet Members	Target Residual Likelihood Possible (3)	Target Residual Impact Serious (4)
	Business rate retention may present opportunities for the Council.	Quality of KCC commissioned / delivered services suffers as financial situation continues to worsen.	Reduction in resident satisfaction and reputational damage.			
	A National Living Wage was introduced from April 2016 and Govt has developed proposals to combine Local Authority pension funds.	Failure to capitalise on opportunities presented by the Government’s devolution agenda.				
The EU referendum result in June 2016 adds additional uncertainty, with potentially significant impacts.						

Control Title		Control Owner
Robust budgeting and financial planning in place via Medium Term Financial Planning (MTFP) process, including stakeholder consultation.		Andy Wood, Corporate Director Finance & Procurement
Processes in place for monitoring delivery of savings and budget as a whole.		Andy Wood, Corporate Director Finance & Procurement
KCC Strategic Statement 2015-2020 and annual report outline key strategic outcomes that the Authority aims to achieve during this period.		Leader of the Council
KCC Commissioning Framework promotes commissioner understanding of markets and potential signs of provider stress.		Emma Mitchell, Director Strategic Business Development and Intelligence
KCC Quarterly Performance Report monitors key performance and activity information for KCC commissioned or delivered services. Regularly reported to Cabinet.		Richard Fitzgerald, Business Intelligence Manager – Performance
Ongoing oversight of implications relating to proposed Local Authority pension fund changes		Nick Vickers, Head of Financial Services
Financial analysis of medium term Kent public sector / provider landscape post-Comprehensive Spending Review conducted		Dave Shipton, Head of Financial Strategy
Support being provided to the Leader of the County Council in his role as Chair of the County Councils Network.		David Whittle, Director Strategy, Policy, Relationships and Corporate Assurance
Action Title	Action Owner	Planned Completion Date
Work proactively with Government regarding how the new business rate retention scheme can be most effectively implemented	Dave Shipton, Head of Financial Strategy	June 2016 (review)
Continual engagement regarding devolution between KCC, District Councils, other partners and Government	David Whittle, Director Strategy, Policy, Relationships and Corporate Assurance	July 2016
Lobby Government for a needs-led approach to Grant distribution	Andy Wood, Corporate Director Finance & Procurement	December 2016

Risk ID	CRR22	Risk Title	Implications of increased numbers of Unaccompanied Asylum seeking children (UASC)			
Source / Cause of risk		Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
Since May 2015 there has been an unprecedented increase in the numbers of UASC arriving in Kent, which places increased pressure on all aspects of specialist children's services delivery. This issue is the source of a number of risks.		There is a risk that there will be insufficient accommodation, social work assessment capacity and support for UASC.	Serious impact on vulnerable young people.	Andrew Ireland, Corporate Director, SCHW	Very Likely (5)	Serious (4)
		Shortfall in funding the full cost associated with fulfilling the Council's statutory duties.	The Council would be unable to fulfil its statutory duties effectively.	Responsible Cabinet Member(s):	Target Residual Likelihood	Target Residual Impact
		Risk that other Local Authorities do not voluntarily accept UASC that arrive in Kent in sufficient numbers.	Additional budget pressures on the Authority if UASC costs are not fully funded by Govt.	Peter Oakford, Specialist Children's Services	Possible (3)	Serious (4)
Control Title					Control Owner	
An additional temporary reception centre has been opened to help cope with demand					Philip Segurola. Director of Specialist Children's Services	
Staffing capacity has been increased, particularly the asylum duty team, Independent Reviewing Officer (IRO) service and District teams					Philip Segurola, Director of Specialist Children's Services	
Daily updates – senior management are reviewing arrival rates, capacity and accommodation and support requirements with management action taken as required.					Philip Segurola, Director of Specialist Children's Services	
Action Title			Action Owner		Planned Completion Date	
Continue to make representations to Government for reimbursement of the full costs of fulfilling our statutory duties for UASC.			Andrew Ireland, Corporate Director SCHW		March 2017	
Continue to review staffing levels, increasing where required			Philip Segurola, Director of Specialist Children's Services		July 2016 (review)	
The Authority is looking to strengthen the position of a dispersal scheme with the Home Office			Philip Segurola, Director of Specialist Children's Services		July 2016 (review)	

Risk ID	CRR23	Risk Title	Managing and embedding sustainable change			
Source / Cause of risk	The Authority is developing a strategic commissioning approach, as it looks to transform and respond to the challenging local government environment. This includes exploring alternative service delivery models as well as embedding commissioning principles for ‘internally commissioned’ services. This involves the development of appropriate ‘client-side’ arrangements.	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
		Insufficient programme control on key change activity.	Potential to fall short of achieving financial and non-financial benefits if changes introduced are not fully embedded.	All Corporate Directors	Likely (4)	Significant (3)
		Insufficient management capacity and / or capability in key skill areas to support sustained change.	Disproportionate effort could be spent on areas of change that do not provide the greatest return on investment.	Responsible Cabinet Member: Paul Carter, Leader of the Council	Target Residual Likelihood Unlikely (2)	Target Residual Impact Significant (3)
		‘Client-side’ commissioner arrangements not developed in time to drive effective relationships with, and performance management of, suppliers.	Potential implications for staff wellbeing, morale and engagement.			
Control Title				Control Owner		
Corporate Directors are providing managerial leadership for the change agenda and ensuring resources for delivering change are adequate and appropriate to ensure successful delivery and meeting regularly to ensure effective oversight and co-ordination of officer level programme management.				Corporate Directors		
Corporate Assurance function and devolved Portfolio Delivery Manager / Portfolio Management Office arrangements in place charged with managing dependencies and improving support for key programmes and projects				Mark Scrivener, Corporate Risk and Assurance Manager / Change Portfolio Delivery Managers		
Project and Programme Managers network established to support development of key project and programme management skills and knowledge and sharing of good practice. Programme and project toolkit re-launched.				Jan Hawkes, Senior Organisation Development Advisor / Diane Trollope, Head of Engagement & Consultation		
Workforce planning strategy 2015-2020 and annual report outlines how the Council is planning for the future in terms of skills development, role definitions and employee mindset. Includes action plan.				Amanda Beer, Corporate Director Engagement,		

	Organisation Development and Design
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 change.	Amanda Beer, Corporate Director Engagement, Organisation Design & Development
A suite of performance information is regularly reviewed and monitored to identify potential issues regarding staff recruitment, retention, health and engagement	Amanda Beer, Corporate Director Engagement, Organisation Design and Development
Strategic Business Development & Intelligence function brings together activities which support effective commissioning and leads on the management of KCC's large contracts.	Emma Mitchell, Director Strategic Business Development & Intelligence
Commissioning network and toolkit in place to support development of key commissioning knowledge and skills and sharing of good practice	Commercial Manager, Strategic Business Development & Intelligence
Procedures for appropriate consultation in place when decisions relating to changes in services are being considered	Diane Trollope, Head of Engagement & Consultation
Workforce and succession planning tools available to aid managers	Julie Cudmore, Head of Organisation Development
Skills transfer stipulations built into contracts of external efficiency partners / consultants to ensure internal staff develop relevant skills and build capability	Emma Mitchell, Director Strategic Business Development & Intelligence
Governance arrangements reviewed to clarify Member roles and responsibilities around becoming a strategic commissioning authority e.g. Transformation Advisory Group, Commissioning Advisory Board, Cabinet Committees etc.	David Whittle, Director Strategy, Policy, Relationships and Corporate Assurance
Best practice in relation to development of business cases has been shared with KCC project and programme managers and promoted via the project and programme management toolkit	Elizabeth Sanderson, Corporate Assurance Manager
Roles and responsibilities for Officers charged with the strategic commissioning of services and those responsible for operational delivery of services have been clarified.	Corporate Directors

Action Title	Action Owner	Planned Completion Date
Introduce programme and project management training for key stakeholders (other than programme / project managers) to promote awareness of their respective roles & responsibilities e.g. Senior Responsible Officers and those responsible for benefits realisation).	Jan Hawkes, Senior Organisation Development Advisor	September 2016
Improve mapping of dependencies and impacts across major change programmes and projects, including impacts on 'business as usual' activity.	Mark Scrivener, Corporate Risk and Assurance Manager / Change Portfolio Delivery Managers	August 2016 (review)

Risk ID	CRR24	Risk Title	Delivery of 2016/17 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, at a time when spending pressures on councils are increasing.		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.	On behalf of CMT: Andy Wood, Corporate Director Finance & Procurement	Possible (3)	Serious (4)
KCC has already made significant cost savings and still needs to make ongoing year-on-year savings in order to “balance its books.”			Potential adverse impact on whole-council transformation plans.	Responsible Cabinet Member(s): John Simmonds, Finance & Procurement	Target Residual Likelihood Very unlikely (1)	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	
Procedures for appropriate consultation in place when decisions relating to changes in services are being considered					Diane Trollope, Head of Engagement & Consultation/	
Controls and mechanisms remain robust					Andy Wood, Corporate Director Finance & Procurement	
Savings plans developed 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.		

Risk ID	CRR25	Risk Title	Identification of, and planning to deliver 2017/18 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, at a time when spending pressures on councils are increasing.		Robust plans to achieve the required savings are not developed in time to enable implementation and realisation of benefits in 2017/18.	Urgent alternative savings need to be found which could have an adverse impact on service users and/or residents of Kent.	On behalf of CMT: Andy Wood, Corporate Director Finance & Procurement	Likely (4)	Serious (4)
KCC has already made significant cost savings and still needs to make significant ongoing year-on-year savings in order to “balance its books”.		Plans are not aligned with Cabinet Member priorities.	Potential adverse impact on council transformation plans. Reputational damage to the council.	Responsible Cabinet Member(s): John Simmonds, Finance & Procurement	Target Residual Likelihood Very unlikely (1)	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 Delivery 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	
Procedures for appropriate consultation in place when decisions relating to changes in services are being considered					Diane Trollope, Head of Engagement & Consultation/	
Arrangements for localisation of council tax agreed with District Councils (cross reference to Risk 12 Welfare Reform)					Dave Shipton, Head of Financial Strategy	
Controls and mechanisms remain robust					Andy Wood, Corporate Director Finance & Procurement	
Indicative cash limits and savings targets allocated to Corporate Directors to allow early planning.					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
Directors to report back on further savings options for 2017/18	Corporate Directors	June 2016
Corporate Board to consider further savings options	Andy Wood, Corporate Director Finance & Procurement	July 2016