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To: Governance and Audit Committee – 25<sup>th</sup> January 2017

Subject: **CORPORATE RISK REGISTER**

Classification: Unrestricted

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### **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**

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## **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 sixteen risks. This includes two new corporate risks that have been escalated from directorate risk registers (CRR 27 and CRR28) and one that is a specific risk in its own right (CRR 26 relating to cyber security). Changes since the register was last reported to Governance & Audit Committee in July 2016 are summarised as follows:

- CRR 1: Data and information management - this risk is being closed and replaced by a more specific risk around cyber and information security threats and associated IT and organisational resilience concerns (CRR 26);
- CRR 9: The Health & Social Care integration risk has been re-modelled around Sustainability and Transformation Plan delivery rather than Better Care Fund;
- CRR 12: The context of this risk has been refined to acknowledge community cohesion concerns that could arise from any significant migration into Kent in concentrated areas, in addition to pressures on social care, school places etc.
- CRR 23: The risk is refined slightly to more explicitly cover risks and opportunities as KCC's approach to strategic commissioning evolves.

- CRR 24: Delivery of 2016/17 savings - this risk has been raised from amber to red due to the continuing projected overspend. Additional mitigation options are being discussed by the Corporate Management Team and Cabinet should the position not improve considerably by January.
  - CRR 27: A social care risk has been escalated to the corporate register regarding care market concerns, including sustainability of care home and domiciliary care markets.
  - CRR 28: An Education and Young People's Services directorate risk has been escalated to the corporate risk register. This relates to the delivery of new school places being constrained by capital budget pressures and dependency on the Education Funding Agency (EFA) to deliver a number of Free School projects on time and to an appropriate standard.
  - Opportunities and risks for Kent associated with the referendum result for the UK to leave the European Union are being taken into consideration in the context of each existing corporate risk in the coming months; a number of impacts are likely to be longer term, although the fall in the pound (not necessarily entirely connected to 'Brexit') and associated inflation risk is of more immediate concern.
- 2.2 Individual meetings held with Cabinet Members and CMT demonstrated that there is clarity on what are seen as the main risks, both in relation to respective portfolios / directorates and wider KCC concerns. There remains a strong correlation between these views and risks already captured on directorate or corporate risk registers, which would indicate that the current risk management identification process is robust, although there is the continuing need to be alert to new or emerging risks.
- 2.3 In light of the refresh of the register, mitigating actions are subject to ongoing review to ensure continued relevance, especially where the context of a number of risks is changing. This will lead to a number of new mitigations being identified.
- 2.4 Out of the sixteen risks there are thirteen areas of risk currently rated as 'high' and three rated as 'medium'. The high risks relate to the management of demand in both adults and children's social care; managing and working with the social care market; safeguarding (both vulnerable adults and children); health & social care integration; delivery of 2016/17 and 2017/18 savings; cyber and information security threats; delivery of new school places and dependency on the Education Funding Agency; access to resources to aid economic growth and infrastructure; the future financial and operating environment for local government; and implications of large numbers of Unaccompanied Asylum Seeking Children being looked after by KCC. All risks have mitigating actions in place that aim to achieve a target residual rating of 'medium' or 'low'.
- 2.5 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 3 of 2016/17 have been requested from action owners and will be reported in the next Quarterly Performance Report presented to Cabinet on 27<sup>th</sup> March 2017.
- 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 took place in the autumn, involving meetings with individual members of the Cabinet and Corporate Management Team. The refreshed register reflects their input and was presented to Cabinet on 12<sup>th</sup> December 2016.

### **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**

**25/01/17**

## 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 July 2016
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	9	↔
CRR 4	Civil Contingencies and Resilience	12	8	↔
CRR 9	Health & Social Care Integration – delivery of Sustainability and Transformation plan	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	Potential implications associated with significant migration into Kent	12	8	↔
CRR 17	Future financial and operating environment for local government	20	12	↔
CRR 22	Implications of high numbers of Unaccompanied Asylum Seeking Children (UASC)	20	12	↔
CRR 23	Evolution of strategic commissioning approach	12	6	↔
CRR 24	Delivery of 2016/17 savings	16	2	↑
CRR 25	Delivery of 2017/18 savings	16	2	↔
CRR 26	Cyber and information security threats	16	6	NEW
CRR 27	Managing and working with the social care market	20	9	NEW
CRR 28	Delivery of new school places is constrained by capital budget pressures and dependency on the Education Funding Agency	20	9	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.

<b>Risk ID</b>	<b>CRR2(a)</b>	<b>Risk Title</b>	<b>Safeguarding – protecting vulnerable children</b>			
	<p><b>Source / Cause of risk</b></p> <p>The Council must fulfil its statutory obligations to effectively safeguard vulnerable children.</p> <p>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.</p>	<p><b>Risk Event</b></p> <p>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 recruit and retain suitably experienced and qualified permanent staff.</p> <p>Failure to meet the requirements of the new "Prevent Duty" placed on Local Authorities.</p>	<p><b>Consequence</b></p> <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 child.</p>	<p><b>Risk Owner</b></p> <p>On behalf of CMT:</p> <p>Andrew Ireland, Corporate Director Social Care Health &amp; Wellbeing (SCHW)</p> <p><b>Responsible Cabinet Member(s):</b></p> <p>Peter Oakford Specialist Children's Services</p> <p>Mike Hill (Lead Member for PREVENT)</p>	<p><b>Current Likelihood</b></p> <p>Likely (4)</p> <p><b>Target Residual Likelihood</b></p> <p>Possible (3)</p>	<p><b>Current Impact</b></p> <p>Major (5)</p> <p><b>Target Residual Impact</b></p> <p>Major (5)</p>
	<b>Control Title</b>		<b>Control Owner</b>			
	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, Head of Youth Justice and Safer Kent
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, Prevent and Channel Strategic Manager
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	Graham Willett, Interim Director Education Quality & Standards
A revised Elective Home Education policy approved that includes interaction with child where there are welfare concerns and where other agencies have been involved with the family. Awareness raising taking	Keith Abbott, Director Education Planning & Access; Scott Bagshaw, Head of



place with other practitioners		Admissions & Transport
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 review.		Philip Segurola, Director Specialist Children's Services
Multi-function officer group helping to define key steps and approach to aid any future inquiries or investigations that may arise relating to alleged historical abuse		Andrew Ireland, Corporate Director, SCHW
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)
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
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	March 2017 (review)
Implementation of transformation programme for children's services, including Social Work Contract Programme <ul style="list-style-type: none"> <li>Complete a piece of diagnostic work related to the point of access into Children's Services</li> </ul>	Philip Segurola, Director Specialist Children's Services	March 2017 (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	December 2016 (review)
Awareness-raising 'Prevent' training for identified key staff and specific training for those working with people directly at risk	Nick Wilkinson, Prevent and Channel Strategic Manager	February 2017 (review)

Risk ID	CRR2(b)	Risk Title	Safeguarding – protecting vulnerable adults			
	<p><b>Source / Cause of risk</b></p> <p>The Council must fulfil its statutory obligations to effectively safeguard vulnerable adults.</p> <p>In addition, the Government's "Prevent Duty" requires the Local Authority to act to prevent people from being drawn into terrorism.</p>	<p><b>Risk Event</b></p> <p>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> <p>Failure to meet the requirements of the new "Prevent Duty" placed on Local Authorities.</p>	<p><b>Consequence</b></p> <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.</p>	<p><b>Risk Owner</b></p> <p>On behalf of CMT:</p> <p>Andrew Ireland, Corporate Director SCHW</p> <p><b>Responsible Cabinet Member:</b></p> <p>Graham Gibbens, Adult Social Care &amp; Public Health</p> <p>Mike Hill (Lead Member for PREVENT)</p>	<p><b>Current Likelihood</b></p> <p>Likely (4)</p> <p><b>Target Residual Likelihood</b></p> <p>Possible (3)</p>	<p><b>Current Impact</b></p> <p>Major (5)</p> <p><b>Target Residual Impact</b></p> <p>Major (5)</p>
<b>Control Title</b>		<b>Control Owner</b>				
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 / Annie Ho, Interim 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				
Transforming Care Programme established to implement policy objectives of moving people into more		Penny Southern, Director				

suitable care settings.		DCALDMH
Safeguarding improvement plans in place for Older People and Physical Disability and Disabled Children, Learning Disability and Mental Health services		Anne Tidmarsh, Director OPPD / Penny Southern, Director DCLDMH
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, Prevent and Channel Strategic Manager
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, Prevent and Channel Strategic Manager
Management Action Plan arising from recent internal audit – progress monitored regularly and reported to Countywide Adult Safeguarding Board		Annie Ho, Interim Head of Adult Safeguarding
Capability framework for safeguarding and the mental capacity act introduced		Mark Lobban, Director of Commissioning SCHW
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Review of Kent and Medway Safeguarding Adults Board Learning and Development Competence Framework being undertaken.	Annie Ho, Interim Head of Adult Safeguarding	April 2017 (review)
Awareness-raising 'Prevent' training for identified key staff and specific training for those working with people directly at risk	Nick Wilkinson, Prevent and Channel Strategic Manager	February 2017 (review)
Independent audit of case files commissioned across all client categories	Annie Ho, Interim Head of Adult Safeguarding	February 2017

Risk ID	CRR3	Risk Title	Access to resources to aid economic growth and enabling infrastructure			
<b>Source / Cause of Risk</b>		<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>
<p>The Council seeks access to resources to develop the enabling infrastructure for economic growth, regeneration and health</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. 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>The EU referendum result has created uncertainty over levels of EU funding available for projects in the longer term.</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 (e.g. schools, waste services) and deal with the impact of growth on communities.</p> <p>Kent becomes a less attractive location for inward investment and business.</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><b>Responsible Cabinet Member(s):</b></p> <p>Mark Dance, Economic Development</p> <p>Matthew Balfour, Environment &amp; Transport</p>	<p>Likely (4)</p> <p><b>Target Residual Likelihood</b></p> <p>Possible (3)</p>	<p>Serious (4)</p> <p><b>Target Residual Impact</b></p> <p>Significant (3)</p>
<b>Control Title</b>					<b>Control Owner</b>	
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	Dave Hughes, Head of Business and Enterprise	
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	
KCC is actively engaged in preparation of local plans across Kent and Medway, responding to all consultations.	Tom Marchant, Head of Strategic Planning & Policy	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
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 – interim refresh being conducted including reviewing key actions arising from the framework	Tom Marchant, Head of Strategic Planning & Policy	December 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
Liaison with Canterbury Christ Church University regarding their research on impact of Brexit on Kent and the Kent economy	David Smith, Director of Economic Development	January 2017

<b>Risk ID</b>	<b>CRR4</b>	<b>Risk Title</b>	<b>Civil Contingencies and Resilience</b>					
			<b>Source / Cause of Risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>
			<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 responses associated with the Counter-terrorism and Security Act 2015 (CONTEST).</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 and its providers 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 26).</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>Lack of preparedness for new or emerging threats.</p> <p>Lack of resilience in the supply chain hampers effective response to incidents.</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 &amp; Transport</p> <p><b>Responsible Cabinet Member(s):</b> Mike Hill, Community Services</p>	<p>Possible (3)</p> <p><b>Target Residual Likelihood</b> Unlikely (2)</p>	<p>Serious (4)</p> <p><b>Target Residual Impact</b> 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"> <li>• Intelligence gathering and forecasting;</li> <li>• Regular training exercises and tests;</li> <li>• Task &amp; Finish groups addressing key issues.</li> <li>• Plan writing</li> <li>• Capability building</li> </ul>	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
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 (EPE)
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 EPE
Exercises regularly conducted to test different elements of KCC emergency and business continuity arrangements with partners (e.g. 'Fort Invicta' November 2015 and Exercise 'Thor' December 2015).	Tony Harwood, Resilience & Emergencies Manager
Senior Management on-call rota devised and agreed	Katie Stewart, Director EPE
Learning and potential improvements to business continuity plans in light of loss of ICT systems captured	Katie Stewart, Director EPE
Emergency Reservists have been recruited to aid emergency responses	Katie Stewart, Director EPE
Prevent Duty Delivery Board established to oversee the activity of the Kent Channel Panel, co-ordinate	Andrew Ireland, Corporate

Prevent activity across the County and report to other relevant strategic bodies in the county	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, Head of Youth Justice and Safer Kent	
KCC Business Continuity Plan in place	Katie Stewart, Director EPE	
Reporting arrangements have been reviewed to include appropriate elected Member oversight of KCC Business Continuity arrangements.	Katie Stewart, Director EPE	
IT security incidents are logged and reviewed from an IT and wider Information Governance perspective	Kathy Stevens, ICT Risk and Compliance Manager	
Cabinet Office resilience training delivered	Katie Stewart, Director EPE	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Review sufficiency of KCC and Kent Resilience Team emergency and resilience resource	Katie Stewart, Director Environment, Planning & Enforcement	December 2016 – Phase 1 April 2017 – Phase 2
Work to understand local implications of any potential increase in national security threat level in future	Katie Stewart, Director Environment, Planning & Enforcement	January 2017
Review Business Continuity and emergency preparedness arrangements for Contact Point with service provider	Chris Smith, Intelligent Client – subject expert (telephony)	December 2016

<b>Risk ID</b>	<b>CRR9</b>	<b>Risk Title</b>	<b>Health &amp; Social Care Integration – delivery of Sustainability and Transformation Plans</b>			
<b>Source / Cause of Risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>	
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.  A local Sustainability and Transformation Plan (STP) is being developed to outline a ‘place-based’ plan for the future of health and care services in Kent,	Failure to maximise opportunities presented for health & social care integration, and ensure changes achieve maximum impact.  Pressures within the acute health sector result in repercussions for social care and threaten successful implementation of the STP.  Insufficient Better Care Fund monies to support preventative services, which means plans to reduce hospital admissions are destabilised.  Lack of ‘system’ leadership. Insufficient Local Authority involvement.	Collapse of Health and Social Care system  Gaps between services or in some instances duplication of services or inefficient use of the available joint resources.  Additional budget pressures.	Andrew Ireland, Corporate Director SCHW  <b>Responsible Cabinet Member(s):</b> Roger Gough, Education & Health Reform  Graham Gibbens, Adult Social Care & Public Health	Possible (3)  <b>Target Residual Likelihood</b> Unlikely (2)	Major (5)  <b>Target Residual Impact</b> Serious (4)	
<b>Control Title</b>			<b>Control Owner</b>			
KCC has designated Cabinet Portfolio Holders for Public Health and Health Reform, who have assumed central roles			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			
KCC Members and Officers are part of local Sustainability and Transformation governance arrangements			Paul Carter, Leader of the Council / Roger Gough, Cabinet Member Education & Health Reform			

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 Implementation 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)	
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	
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	
Kent Integrated Dataset provides population level data from health and adult social care that is used to perform analysis to inform decisions about commissioning and management of health and care services across the county.	Gerrard Abi-Aad, Head of Health Intelligence	
Joint working takes place with Health partners to ensure adherence to the Continuing Healthcare (CHC) framework	SCHW Directors	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Contribute to the implementation of five-year, place-based Sustainability and Transformation Plans	Andrew Ireland, Corporate Director SCHW	June 2017 (review)
Revision of Joint Strategic Needs Assessment (JSNA) to support joint health & social care commissioning activity.	Andrew Scott-Clark, Director Public Health	September 2017 (review)
Revision of Health & Wellbeing Strategy	David Whittle, Director Strategy, Policy & Assurance	June 2017 (review)
Monitor implications associated with any changes to the Better Care Fund from 2018-19	Andy Wood, Corporate Director Finance & Procurement	July 2017 (review)
'Your Life, Your Wellbeing' transformation programme aims to prepare KCC adult social care for integration	Andrew Ireland, Corporate Director SCHW	April 2017 (review)

<b>Risk ID</b>	<b>CRR10(a)</b>	<b>Risk Title</b>	<b>Management of Adult Social Care Demand</b>			
<b>Source / Cause of risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>	
Adult social care services across the country are facing growing pressures. Overall demand and cost 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 SCHW  <b>Responsible Cabinet Member(s):</b> Graham Gibbens, Adult Social Care & Public Health	Likely (4)	Major (5)	
				<b>Target Residual Likelihood</b>	<b>Target Residual Impact</b>	
				Possible (3)	Serious (4)	
<b>Control Title</b>				<b>Control Owner</b>		
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 &amp; 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)	Mark Lobban, Director Commissioning, SCHW	
Systematic methodology for demand management agreed and delivered by Strategic Business Development and Intelligence (SBDI) division.	Vincent Godfrey, Director SBDI	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Progression of Adults 'Your Life Your Wellbeing' programme	Andrew Ireland, Corporate Director SCHW	December 2016

<b>Risk ID</b>	<b>CRR10(b)</b>	<b>Risk Title</b>	<b>Management of Demand – Early Help and Preventative Services and Specialist Children’s Services</b>			
<b>Source / Cause of risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>	
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 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.	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. 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 SCHW  Patrick Leeson, Corporate Director EYPS  <b>Responsible Cabinet Member(s):</b> Peter Oakford, Specialist Children’s Services	Likely (4)	Major (5)	
				<b>Target Residual Likelihood</b>	<b>Target Residual Impact</b>	
				Possible (3)	Serious (4)	
<b>Control Title</b>			<b>Control Owner</b>			
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 Segurolo, 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.	Stuart Collins, Interim Director Early 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	
Maintain the use of appropriate tools to obtain value for money in relation to the commissioning of expensive specialist residential and independent fostering accommodation	Philip Segurola, Director Specialist Children's Services / 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	Stuart Collins, Interim Director Early Help & Preventative Services	
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 and have been working with partners to promote aid appropriate application.	Mark Janaway, Programme and Performance Manager	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
In-house fostering capacity to be developed and assertive monitoring of all children in care performance milestones	Philip Segurola, Director Specialist Children's Services	March 2017 (review)
Phase 2 of 0-25 Programme to define and implement a new way of delivering services to the children and young people of Kent to improve outcomes and reduce costs.	Patrick Leeson, Corporate Director EYPS	May 2017 (review)



Risk ID	CRR 12	Risk Title	Potential implications associated with significant migration into Kent			
<b>Source / Cause of Risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>	
Migration to Kent is not a new phenomenon and is an inevitable outcome of being a London-peripheral authority, symptomatic of differentials in housing markets across the country and the desirability of living in the county.	Influx of significant numbers of 'welfare dependent' or vulnerable people into the county, either due to welfare reform or other factors, particularly if migration is into concentrated areas.	Potential impact on community cohesion in parts of the county.	Corporate Management Team	Possible (3)	Serious (4)	
Welfare reform policy changes (e.g. Housing Benefit cap) combined with an overheating London housing market and lack of affordable housing options drives London residents and councils to more affordable temporary and permanent accommodation in Kent.	Failure to plan appropriately to deal with potential consequences.	Additional pressure on KCC services e.g. demand for adults and children's social care.	<b>Responsible Cabinet Member(s):</b> Graham Gibbens, Adult Social Care & Public Health  Mike Hill, Community Services  Peter Oakford, Specialist Children's Services	<b>Target Residual Likelihood</b> Possible (3)	<b>Target Residual Impact</b> Significant (3)	
KCC needs to be prepared to manage the uncertain affects and outcomes that any significant migration into the county may have on local communities, as this may well lead to additional pressure on KCC services.						
<b>Control Title</b>			<b>Control Owner</b>			
Welfare reform - 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.			Vincent Godfrey, 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 SPRCA / Vincent Godfrey, Director Strategic Business Development & Intelligence
Kent Support and Assistance Service operating as the County's local welfare assistance scheme		Mark Lobban, Director of Commissioning
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Local Steering Group being established involving KCC and District Council partners to coordinate activity to respond to concerns over any potential proliferation of large-scale placement of those with housing need into Kent.	Paul Carter, Leader of the Council (KCC Lead)	January 2017 (review)

<b>Risk ID</b>	<b>CRR 17</b>	<b>Risk Title</b>	<b>Future financial and operating environment for Local Government</b>			
<b>Source / Cause of risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner (s)</b>	<b>Current Likelihood</b>	<b>Current Impact</b>	
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. Government funding is set to continue reducing over the medium term and the business rate retention scheme due to be implemented by 2020 may present opportunities but also threat to the Council. The Local Government, Cities and Devolution Act could have wide-ranging implications, including the potential for significant Local Government reorganisation. The EU referendum result in June 2016 has added additional uncertainty to the environment.	Additional spending demands and continued public sector austerity measures threaten financial sustainability of KCC, its partners and service providers.  Quality of KCC commissioned / delivered services suffers as financial situation continues to worsen.	Unsustainable financial situation.  Potential for partner or provider failure – including sufficiency gaps in provision.  Reduction in resident satisfaction and reputational damage.	All Corporate Directors  <b>Responsible Cabinet Member (s):</b> All Cabinet Members	Likely (4)	Major (5)	
<b>Control Title</b>				<b>Control Owner</b>		
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 Quarterly Performance Report monitors key performance and activity information for KCC				Richard Fitzgerald, Business Intelligence Manager –		

commissioned or delivered services. Regularly reported to Cabinet.		Performance
Ongoing oversight of implications relating to proposed Local Authority pension fund changes		Nick Vickers, Head of Financial Services
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
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Work proactively with Government regarding how the new business rate retention scheme can be most effectively implemented	Dave Shipton, Head of Financial Strategy	December 2016 (review)
Continual engagement regarding devolution between KCC, District Councils, other partners and Government	David Whittle, Director Strategy, Policy, Relationships and Corporate Assurance	July 2017
Engage with Government for a fair-funding needs formula for Grant distribution	Andy Wood, Corporate Director Finance & Procurement	June 2017 (review)
Financial analysis of medium term Kent public sector / provider landscape post Autumn Statement 2016 and Budget 2017	Dave Shipton, Head of Financial Strategy	November / December 2016 (Autumn Statement) / Autumn 2017 (Budget)

<b>Risk ID</b>	<b>CRR22</b>	<b>Risk Title</b>	<b>Implications of increased numbers of Unaccompanied Asylum seeking children (UASC)</b>			
<b>Source / Cause of risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>	
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)	
In addition, a significant number of these children will turn 18 in the coming months, requiring care leaver support.	Shortfall in funding the full cost associated with fulfilling the Council's statutory duties. Risk that other Local Authorities do not voluntarily accept UASC that arrive in Kent in sufficient numbers.	The Council would be unable to fulfil its statutory duties effectively. Additional budget pressures on the Authority if UASC costs are not fully funded by Govt.	<b>Responsible Cabinet Member(s):</b> Peter Oakford, Specialist Children's Services	<b>Target Residual Likelihood</b> Possible (3)	<b>Target Residual Impact</b> Serious (4)	
<b>Control Title</b>				<b>Control Owner</b>		
UASC multi-agency Partnership Board established to take a strategic overview of whole system of services contributing to and impacted upon in managing the needs of UASC in Kent and to provide opportunities for shared learning.				Philip Segurola, Director of Specialist Children's Services		
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		
Specialist Children's Services continue to work extremely closely with colleagues in the UASC arm of the UK Visas and Immigration service to ensure new arrivals, as well as children which arrived prior to the 1st July are transferred to the care of Other Local Authorities in the most timely and child-centred way				Philip Segurola, Director of Specialist Children's Services		
A National Transfer Scheme has been launched to encourage all local authorities to volunteer to support unaccompanied asylum-seeking children (UASC) so there is a more even distribution of caring responsibilities across the country.						

<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
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	December 2016 (review)
Lobby Government for a mandatory dispersal scheme	Andrew Ireland, Corporate Director SCHW / Leader, Cabinet Member and other elected Members	December 2016 (review)

<b>Risk ID</b>	<b>CRR23</b>	<b>Risk Title</b>	<b>Evolution of Strategic Commissioning Approach</b>				
<b>Source / Cause of risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>	<b>Target Residual Likelihood</b>	<b>Target Residual Impact</b>
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.	Insufficient programme control on key change activity.  Insufficient management capacity and / or capability in key skill areas to support sustained change.  'Client-side' commissioner arrangements not developed in time to drive effective relationships with, and performance management of, suppliers.	Potential to fall short of achieving financial and non-financial benefits if changes introduced are not fully embedded.  Disproportionate effort could be spent on areas of change that do not provide the greatest return on investment.  Potential implications for staff wellbeing, morale and engagement.	All Corporate Directors  <b>Responsible Cabinet Member:</b>  Paul Carter, Leader of the Council	Likely (4)	Significant (3)	Unlikely (2)	Significant (3)
<b>Control Title</b>				<b>Control Owner</b>			
Corporate Directors are providing managerial leadership for the change agenda and ensuring resources for delivering change are sufficient.				Corporate Directors			
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 mind-set. 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			
Strategic Business Development & Intelligence function brings together activities which support effective commissioning and leads on the management of KCC's strategic contracts.				Vincent Godfrey, Director Strategic Business Development & Intelligence			
Commissioning network and toolkit in place to support development of key commissioning knowledge and				Steve Lusk, Commercial			

skills and sharing of good practice	Manager	
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	Vincent Godfrey, Director Strategic Business Development & Intelligence	
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	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Rolling programme of reviews of contract management arrangements for major contracts.	Vincent Godfrey, Director Strategic Business Development & Intelligence	March 2017 (review)
Review Governance arrangements to clarify Member roles and responsibilities around the evolving strategic commissioning authority approach.	David Whittle, Director Strategy, Policy, Relationships and Corporate Assurance	July 2017



<b>Risk ID</b>	<b>CRR24</b>	<b>Risk Title</b>	<b>Delivery of 2016/17 savings</b>			
<b>Source / Cause of Risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>	
The ongoing difficult public finances situation and economic uncertainty continue to mean 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	Likely (4)	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. Reputational damage to the council.	<b>Responsible Cabinet Member(s):</b> John Simmonds, Finance & Procurement	<b>Target Residual Likelihood</b> Very unlikely (1)	<b>Target Residual Impact</b> Moderate (2)	
<b>Control Title</b>				<b>Control Owner</b>		
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		

Recruitment moratorium in place		Andy Wood, Corporate Director Finance & Procurement
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Action plan to address overspend in Specialist Children's Services	Philip Segurola, Director Specialist Children's Services	March 2017
Additional mitigations being discussed by Corporate Directors should situation not improve by January.	Corporate Directors	January 2017

<b>Risk ID</b>	<b>CRR25</b>	<b>Risk Title</b>	<b>Delivery of 2017/18 savings</b>				
		<p><b>Source / Cause of Risk</b></p> <p>The ongoing difficult public finances situation and economic uncertainty continue to mean significant reductions in funding to the public sector and Local Government in particular, at a time when spending pressures on councils are increasing.</p> <p>KCC has already made significant cost savings and still needs to make significant ongoing year-on-year savings in order to “balance its books”.</p>	<p><b>Risk Event</b></p> <p>Robust plans to achieve the required savings are not developed in time to enable implementation and realisation of benefits in 2017/18.</p> <p>Plans are not aligned with Cabinet Member priorities.</p>	<p><b>Consequence</b></p> <p>Urgent alternative savings need to be found which could have an adverse impact on service users and/or residents of Kent.</p> <p>Potential adverse impact on council transformation plans.</p> <p>Reputational damage to the council.</p>	<p><b>Risk Owner</b></p> <p>On behalf of CMT: Andy Wood, Corporate Director Finance &amp; Procurement</p> <p><b>Responsible Cabinet Member(s):</b> John Simmonds, Finance &amp; Procurement</p>	<p><b>Current Likelihood</b></p> <p>Likely (4)</p> <p><b>Target Residual Likelihood</b></p> <p>Very unlikely (1)</p>	<p><b>Current Impact</b></p> <p>Serious (4)</p> <p><b>Target Residual Impact</b></p> <p>Moderate (2)</p>
<b>Control Title</b>						<b>Control Owner</b>	
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	
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	

<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Corporate Management Team and Cabinet discussing how current gap in 2017/18 budget is to be closed.	Corporate Directors	February 2017

<b>Risk ID</b>	<b>CRR26</b>	<b>Risk Title</b>	<b>Cyber and information security threats</b>			
<b>Source / Cause of Risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner(s)</b>	<b>Current Likelihood</b>	<b>Current Impact</b>	
<p>The Council has a duty to protect personal and other sensitive data that it holds on its staff, service users and residents of Kent.</p> <p>KCC repels a high number of cyber-attacks on a daily basis, although organisations across all sectors are experiencing an increasing threat in recent times and must ensure that all reasonable methods are employed to mitigate them, both in terms of prevention and preparedness of response in the event of any successful attack.</p> <p>KCC's ICT Strategy will move the Authority's technology to cloud based services. It is important to harness these new capabilities in terms of both IT security and resilience, whilst emerging threats are understood and managed.</p> <p>In information terms the other factor is human. Technology can only provide a level of protection. Our staff must have a strong awareness of their responsibilities in terms of IT and information security.</p>	<p>Successful cyber-attack (e.g. 'phishing' scam) leading to loss or unauthorised access to sensitive business data.</p> <p>Significant business interruption caused by a successful attack.</p>	<p>Data Protection breach and consequent Information Commissioner's Office (ICO) sanction.</p> <p>Damages claims</p> <p>Reputational Damage</p> <p>Potential significant impact on business interruption if systems require shutdown until magnitude of issue is investigated.</p>	<p>Corporate Management Team</p> <p><b>Responsible Cabinet Member(s):</b> Gary Cooke, Corporate &amp; Democratic Services</p>	<p>Likely (4)</p> <p><b>Target Residual Likelihood</b> Possible (3)</p>	<p>Serious (4)</p> <p><b>Target Residual Impact</b> Moderate (2)</p>	

Control Title	Control Owner	
ICT Compliance and Risk Team operational	Michael Lloyd, Head of Technology Commissioning and Strategy	
Continual awareness raising of key risks amongst the workforce and manager oversight	Michael Lloyd, Head of Technology Commissioning and Strategy / Internal Communications function / All Managers	
Electronic Communications User Policy, Virus reporting procedure and social media guidelines in place	Michael Lloyd, Head of Technology Commissioning and Strategy	
Cyber security controls in place	Kathy Stevens, ICT Compliance and Risk Manager	
Mandatory Data Protection and Information Governance training	Ben Watts, General Counsel (Interim)	
Action Title	Action Owner	Planned Completion Date
Implementation of ICT Transformation Programme includes actions to further strengthen ICT resilience, with systems and software compliance with various UK Standards.	Michael Lloyd, Head of Technology Commissioning and Strategy	March 2017 (review)

<b>Risk ID</b>	<b>CRR27</b>	<b>Risk Title</b>	<b>Managing and working with the social care market</b>			
<b>Source / Cause of Risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>	
A significant proportion of adult social care is commissioned out to the private and voluntary sectors. This offers and value for money but also means that KCC is dependent on a buoyant market to achieve best value and give service users optimal choice and control.	Care home and domiciliary care markets are not sustainable	Gaps in the care market for certain types of care or in geographical areas meaning difficulty in placing some service users.	Andrew Ireland, Corporate Director SCHW	Likely (4)	Major (5)	
Factors such as the introduction of the National Living Wage, potential inflationary pressures and uncertainty over care market workforce status in light of the vote to leave the EU mean that the care market is under pressure.	Inability to obtain provider supply at affordable prices		<b>Responsible Cabinet Member(s):</b>	<b>Target Residual Likelihood</b>	<b>Target Residual Impact</b>	
	Significant numbers of care home closures or service failures		Graham Gibbens, Cabinet member for Adult Social Care and Public Health	Possible (3)	Significant (3)	
	Providers choose not to tender for services at Local Authority funding levels or accept service users with complex needs.					
<b>Control Title</b>			<b>Control Owner</b>			
Risk based approach is applied to monitoring providers			Andrew Ireland, Corporate Director SCHW / Mark Lobban, Director of Commissioning SCHW			
Opportunities for joint commissioning in partnership with key agencies (i.e. Health) being regularly explored			Andrew Ireland, Corporate Director SCHW / Mark Lobban, Director of Commissioning SCHW			
An Accommodation Strategy is in place, developed with partners and key stakeholders.			Mark Lobban, Director of Commissioning SCHW			
Regular market mapping and price increase pressure tracking			Andrew Ireland, Corporate Director SCHW / Mark Lobban,			

	Director of Commissioning SCHW
Regular meetings with provider and trade organisations	Andrew Ireland, Corporate Director SCHW / Mark Lobban, Director of Commissioning SCHW
Placement data is regularly tracked through the County Placement Team	Mark Lobban, Director of Commissioning SCHW
Ongoing monitoring of Home Care market and market coverage following Home Care retender	Mark Lobban, Director of Commissioning SCHW
Commissioning and Access to Resources functions in place to ensure KCC gets value for money while maintaining productive relationships with providers	Andrew Ireland, Corporate Director SCHW / Mark Lobban, Director of Commissioning SCHW
<b>Action Title</b>	<b>Action Owner</b>
<b>Planned Completion Date</b>	
Ensure as far as practically possible that the market is able to offer choice in the new market conditions opened up by personalisation	Mark Lobban, Director of Commissioning SCHW
December 2016	
Work to ensure there is sufficient local foster and residential care for disabled children to reduce the need for out of county placements.	Mark Lobban, Director of Commissioning SCHW
December 2016 (review)	
Project to improve quality of care in independent sector, with further work to operationalise it.	Mark Lobban, Director of Commissioning SCHW
January 2017	
Residential and nursing re-let: implementation phase following the tender.	Mark Lobban, Director of Commissioning SCHW
December 2016	
Implementation of key actions arising from the Accommodation Strategy	Mark Lobban, Director of Commissioning SCHW
May 2017 (review)	



<b>Risk ID</b>	<b>CRR28</b>	<b>Risk Title</b>	<b>Delivery of New School Places is constrained by capital budget pressures and dependency upon the Education Funding Agency (EFA)</b>			
<b>Source / Cause of risk</b>		<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>
<p>A significant expansion of schools is required to accommodate major population growth in the short term to medium term (primary age) and medium to long term (secondary age). The "Basic Need" capital grant from Dept of Education (DfE) will not fund the expansion in full.</p> <p>A funding gap to deliver the programme for schools will be created by cost pressures from higher than expected build costs, low contributions from developers and increases in pupil demand.</p> <p>Whilst the funding gap identified with the Kent Commissioning Plan has been closed, the delivery of the plan is highly dependent upon securing 15 Free Schools in Kent over the period and that the EFA complete the Free School projects on time and to an appropriate standard.</p>		The expansion required may not be delivered, meaning KCC is not able to provide appropriate school places.	The duty to provide sufficient school places is not met, which may lead to legal action against the council. Some children have to travel much further to attend a school, with a resulting impact on the transport budget.	Patrick Leeson, Corporate Director EYPS	Very Likely (5)	Serious (4)
				<b>Responsible Cabinet Member(s):</b>	<b>Target Residual Likelihood</b>	<b>Target Residual Impact</b>
				Roger Gough, Cabinet Member for Education & Health Reform	Possible (3)	Significant (3)
<b>Control Title</b>					<b>Control Owner</b>	
The Kent Commissioning Plan contains the forecast expansion numbers and locations. A school expansion programme has been mapped, costed and kept under review.					Keith Abbott, Director Education Planning and Access	
The school expansion programme is under member scrutiny and review by relevant Education and Property					Keith Abbott, Director	

programme boards/forums/committees.	Education Planning and Access	
EYPS capital monitoring mechanism with Member involvement now created	Keith Abbott, Director Education Planning and Access	
Policy and operations to secure sufficient developer contributions are overseen by Growth and Infrastructure Group.	Keith Abbott, Director Education Planning and Access/Katie Stewart, Director Environment, Planning and Enforcement	
A bid has been made for extra funding under the priority school building programme Phase 2	Keith Abbott, Director Education Planning and Access	
Negotiations have taken place with District Councils regarding allocation of contributions	David Adams, Area Education Officer (SK)/Jared Nehra, Area Education Officer (WK)/Ian Watts, Area Education Officer (NK), Marisa White, Area Education Officer (EK)	
Close working with the EFA and lobbying of the DFE/EFA. This included raising the issue in the KCC response to the Education White Paper and the Leader raised this via the County Council's Network.	Keith Abbott, Director Education Planning and Access	
Regular meetings with EFA officials to monitor progress at individual project level and identify ways in which KCC can help progress these projects. First meeting held on 28/11/16	Keith Abbott, Director Education Planning and Access	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
To develop contingency plans for alternative interim accommodation for each Free School project	Keith Abbott, Director Education Planning and Access/ David Adams, Area Education Officer (SK)/Jared Nehra, Area Education Officer (WK)/Ian Watts, Area Education Officer (NK), Marisa	January 2017 (review)

	White, Area Education Officer (EK)	
Discussions with senior EFA staff and Keith Abbott/Rebecca Spore to follow in the coming months	Keith Abbott, Director Education Planning and Access	January 2017