

From: Susan Carey, Cabinet Member for Customers, Communication and Performance

David Cockburn, Corporate Director for Strategic & Corporate Services and Head of Paid Service

To: Cabinet – 3rd December 2018

Decision No: N/A

Subject: Corporate Risk Register

Classification: Unrestricted

Past Pathway of Paper: N/A

Future Pathway of Paper: Governance and Audit Committee – 23rd Jan 2019

Electoral Division: ALL

Summary: This paper presents a ‘snapshot’ of the Corporate Risk Register for the Authority, summarising the main changes since last presented.

Cabinet Members are asked to NOTE the report.

1. Background

1.1 The Corporate Risk Register is a ‘living document’ and is regularly reviewed and updated to reflect any significant new risks or changes in risk exposure that arise due to internal or external events; and to track progress against mitigating actions. It is subject to a more formal review each autumn.

2. Corporate Risk Register (appendix 1)

2.1 The latest version of the Corporate Risk Register is attached at appendix 1. It has been refreshed to reflect key themes arising from meetings with individual Corporate Management Team, Cabinet Members and Directorate Management Teams during the autumn. Comments arising from presentation of corporate risks to Cabinet Committees and the Governance & Audit Committee during the year have also been taken into account.

2.2 The meetings during the autumn demonstrated a strong consensus on what are seen as the main risks for KCC, 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 registers or the corporate risk register, which would indicate that the current risk

management process is robust. However, as always, the context of the risks continually changes, and as a result the corporate risk register has been revised to reflect the points made.

2.3 The main changes to the register since last presented to Cabinet are summarised below:

- CRR0004 Civil Contingencies and Resilience: The current risk rating has been increased due to the continued uncertainty surrounding potential implications of a 'no-deal' Brexit scenario and the potential for Brexit contingency planning to detract focus from other, more 'routine' exercising of controls.
- CRR0005 Implementation of Local Care and Prevention agenda in Kent: Previous concerns relating to broader governance have been addressed and it was felt that the focus of the risk should be narrowed to concentrate on the opportunity risks of implementing Local Care and the Prevention agenda with partners. The level of risk for this re-scoped risk has been assessed as 'medium' at this stage.
- CRR0007 Resourcing implications arising from children's services demand: The risk has been more specifically defined to relate to demand challenges, with further integration of services for children (the 'Change for Kent Children' programme) seen as part-mitigation for the risk.
- CRR0008 Potential implications associated with significant migration into Kent: This risk concentrated on potential bulk placements of vulnerable households into the county, which can then have significant impacts in localities, including increasing demand for KCC services. While the risk still exists, there have been no bulk placements since 2016, so it has been taken off as a specific standalone risk and fed into the CYPE demand risk CRR0007. This action can be reversed if intelligence suggests that the level of risk is increasing again.
- CRR0009 Future financial and operating environment for local government: The level of risk had previously been reduced slightly due to additional social care monies received from Government but has been revised back up from 16 to 20 as we await details of the Government's Spending Review in mid-2019 as well as the outcome of the fair-funding review.
- CRR0016 Delivery of new school places constrained by capital budget pressures and dependency of the Education and Skills Funding Agency: The current rating has reduced slightly as amendments to the Kent Commissioning Plan are made in response to issues arising and contingency arrangements are made as required in specific parts of the county, although it is still high.
- CRR0039 Information Governance: For the past 18 months the risk related to implementation of General Data Protection Regulations (GDPR). While

there will still need to be emphasis on embedding the relevant systems and processes, the risk has reverted to a general information governance one.

- CRR0041: Maintaining a healthy and effective workforce. The current level of risk has been raised, although this is largely on anecdotal evidence at this stage. Therefore, the level of risk will be reviewed again once results of the recent comprehensive staff survey have been analysed.
- NEW RISK - High Needs funding and Special Educational Needs and Disabilities (SEND). Concerns were raised on several occasions and consequently, this risk has been escalated from the CYPE directorate register due to its significance.
- NEW RISK – Effectiveness of governance within a Member-led Authority: Over the past 12-18 months there have been numerous warnings from local authorities, auditors and professional bodies regarding the parlous state of local government finances, with the first section 114 notice in 20 years issued earlier this year. This brings into sharp focus the criticality of robust council governance.

2.4 Potential upcoming risks: There is significant strain on the capital budget due to continuing demands for additional statutory and discretionary spend that are unaffordable without additional borrowing, which gears further potentially unsustainable pressure on the revenue budget. There is the potential for a corporate risk to be considered relating to this, and / or a treasury management risk should it be felt that our investment strategy requires further borrowing. These risks are being considered as budget discussions develop.

2.4.1 Challenges relating to management and maintenance of KCC's estate and community assets were raised on several occasions in the context of demands on the capital budget, although there are clearly other aspects to be considered such as health & safety. Further analysis of directorate and divisional risk registers is being undertaken to see whether there is cause to introduce a corporate risk based on aggregated exposure.

2.5 Conversations with Risk Owners have included discussion about 'target' residual levels of risk. In particular, how realistic several of them were considering the complex nature of some of the risks; what level of control it is possible for us as a council to exert due to dependencies on other stakeholders at a local and national level; and the cost of mitigation. As a result, the target residual risk rating has increased for several risks:

- CRR0006: Resourcing implications arising from increasing adult social care need.
- CRR0013: Delivery of in-year savings within agreed budgets.
- CRR0015: Managing and working with the social care market.
- CRR0042: Post-Brexit border systems, infrastructure and regulatory arrangements.

2.6 Risk Connectivity – linked to the point above, the refresh this year has again highlighted the connectivity between our corporate risks. For instance:

- CRR0009 (financial and operating outlook for local government) is the broad medium-term risk that underpins much of our corporate risk profile and limits options to mitigate by financial means.
- Our high risks relating to demand for children's services and adult social care are key factors to take into consideration in relation to our safeguarding risks.
- Our cyber-attack risk would have information governance and business continuity related implications.

2.7 As referred to above, several risks have also been updated as part of usual practice, to reflect contextual changes, new controls or new risk owners.

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

3. Monitoring and Review

3.1 The corporate risks led by each Corporate Director are presented to the relevant Cabinet Committees annually, alongside existing arrangements for presentation of directorate risks.

3.2 The corporate register is also presented to Governance & Audit Committee twice yearly for assurance purposes, and the Internal Audit function uses the register as one source of information to inform its audit plan for the coming year.

3.3 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 to Cabinet quarterly via the Quarterly Performance Report.

4. Recommendation

4.1 Cabinet is asked to NOTE the refreshed Corporate Risk Register.

Report Author:

- *Mark Scrivener, Corporate Risk & Assurance Manager*
- *Tel: 03000 416660*
- *Email: mark.scrivener@kent.gov.uk*

Relevant Director:

- *David Whittle, Director of Strategy, Policy, Relationships and Corporate Assurance*
- *Tel: 03000 416833*
- *Email: david.whittle@kent.gov.uk*



KCC Corporate Risk Register

For presentation to Cabinet – 3rd December 2018

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 2018
CRR0001	Safeguarding – protecting vulnerable children	15	15	↔
CRR0002	Safeguarding – protecting vulnerable adults	20	15	↔
CRR0003	Access to resources to aid economic growth and enabling infrastructure	16	12	↔
CRR0004	Civil Contingencies and Resilience	16	12	↑
CRR0005	Implementation of Local Care and Prevention with Health partners in Kent	12	8	**
CRR0006	Resourcing implications arising from increasing complex adult social care demand	20	15	↔ (target increased)
CRR0007	Resourcing implications arising from children’s services demand	20	12	↔
CRR0009	Future financial and operating environment for local government	20	12	↑
CRR0011	Embedding KCC’s strategic commissioning approach and consistency of commissioning standards	9	6	↔
CRR0013	Delivery of in-year savings within agreed budgets	9	4	↔ (target increased)
CRR0014	Cyber-attack threats and their implications	16	12	↔
CRR0015	Managing and working with the social care market	20	15	↔ (target increased)
CRR0016	Delivery of new school places is constrained by capital budget pressures and dependency on the Education and Skills Funding Agency	16	12	↓
CRR0039	Information Governance	12	8	↔
CRR0040	Opportunities and risks associated with KCC’s Local Authority Trading Companies	12	4	↔
CRR0041	Maintaining a healthy and effective workforce	12	8	↑
CRR0042	Post-Brexit border systems, infrastructure and regulatory arrangements	20	16	↔ (target increased)

CRR0044	High Needs Funding and adequacy of support for children with SEND	20	12	NEW
CRR0045	Effectiveness of governance within a Member-led authority	10	5	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.

** Context of the risk has been changed, hence direct comparison of score not applicable.

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.

Risk ID	CRR0001	Risk Title	Safeguarding – protecting vulnerable children			
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
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. This risk links to the demand for children's services risk (CRR0007).	Ability to fulfil statutory obligations affected by demand for services exceeding capacity and capability, or adequacy of management and operational practice. Failure to recruit and retain suitably experienced and qualified permanent staff. Failure to meet the requirements of the "Prevent Duty" placed on Local Authorities.	Serious impact on vulnerable people. 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.	Matt Dunkley Corporate Director Children, Young People and Education (CYPE) Responsible Cabinet Member(s): Roger Gough Children, Young People and Education Mike Hill (Lead Member for PREVENT)	Possible (3)	Major (5)	
Control Title				Control Owner		
Consistent scrutiny and performance monitoring through Divisional Management Team, District 'Deep Dives' and audit activity.				Sarah Hammond, Director of Integrated Services (Children's Social Work Lead)		
Independent scrutiny by Kent Safeguarding Children Board.				Independent Chair Kent Safeguarding Children Board		
Manageable caseloads per social worker and robust caseload monitoring. Social work vacancies monitored with action taken to address as required.				Sarah Hammond, Director of Integrated Services (Children's Social Work Lead)		

Active strategy in place to attract, recruit and retain social workers through a variety of routes with particular emphasis on experienced social workers.	Sarah Hammond, Director of Integrated Services (Children's Social Work Lead)/ Amanda Beer, Corporate Director Engagement, Organisational Design & Development (EODD)
Multi-agency public protection arrangements in place.	Risthardh Hare, Interim Assistant Director Safeguarding and Quality Assurance
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.	Sarah Hammond, Director of Integrated Services (Children's Social Work Lead) / Stuart Collins, Director Integrated Services (Early Help and Preventative Services Lead)
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.	Matt Dunkley, Corporate Director, CYPE
Prevent Duty Delivery Board (chaired by KCC) oversees the activity of the Kent Channel Panel, co-ordinating Prevent activity across the County and reporting to other relevant strategic bodies in the county (including reporting route to the Kent Safeguarding Children Board).	Penny Southern, Corporate Director, Adult Social Care and Health (ASCH)
Kent Channel Panel (early intervention mechanism providing tailored support to people who have been identified as at risk of being drawn into terrorism) in place.	Nick Wilkinson, Prevent and Channel Strategic Manager
Multi-agency risks, threats and vulnerabilities group focuses on PREVENT, gangs, Modern slavery, human trafficking and online safeguarding matters.	Nick Wilkinson, Prevent and Channel Strategic Manager
Safeguarding and Quality Assurance Unit conducts audits, reviews of practice and provides challenge.	Sarah Hammond, Director of Integrated Services (Children's Social Work Lead)
Education Safeguarding Team in place.	Claire Ray, Principal Officer Education Safeguarding, The Education People
A revised Elective Home Education policy approved that includes interaction with children where there are	Keith Abbott, Director

welfare concerns and where other agencies have been involved with the family. Awareness raising taking place with other practitioners.	Education Planning & Access/ Scott Bagshaw, Head of Admissions & Transport	
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.	Risthardh Hare, Interim Assistant Director Safeguarding and Quality Assurance	
Multi-agency Crime and Sexual Exploitation Panel (MACSE) provides a strategic, county-wide, cross-agency response to Child Sexual Exploitation.	Matt Dunkley Corporate Director, CYPE (KCC lead)	
Three year PREVENT training strategy being rolled out. Staff intranet site dedicated to Prevent. Information also available on KCC website.	Nick Wilkinson, Prevent and Channel Strategic Manager	
Integrated practice model in place.	Sarah Hammond, Director of Integrated Services (Children's Social Work Lead) / Stuart Collins, Director Integrated Services (Early Help and Preventative Services Lead)	
Detailed understanding of requirements for Joint Targeted Area Inspections.	Sarah Hammond, Director of Integrated Services (Children's Social Work Lead)	
Kent and Medway Gangs Strategy 2018-21 outlines the multi-agency approach to ending the criminal exploitation of vulnerable children and adults by gangs.	Stuart Collins, Director Integrated Services (Early Help and Preventative Services lead)	
Action Title	Action Owner	Planned Completion Date
Preparation for new multi-agency safeguarding arrangements in response to Children & Social Work Act requirements.	Matt Dunkley, Corporate Director CYPE / David Whittle, Director SPRCA	April 2019 (review)

Risk ID	CRR0002	Risk Title	Safeguarding – protecting vulnerable adults			
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
The Council must fulfil its statutory obligations to effectively safeguard vulnerable adults.	Ability to fulfil statutory obligations affected by demand for services exceeding capacity and capability; adequacy of practice; or quality of care in the provider market.	Serious impact on vulnerable people.	Penny Southern, Corporate Director Adult Social Care and Health (ASCH)	Likely (4)	Major (5)	
The change from 'safeguarding alerts' to 'safeguarding enquiries' has led to a significant increase in the number of safeguarding concerns received. There has also been an increase in domestic abuse referrals.	Failure to meet the requirements of the "Prevent Duty" placed on Local Authorities.	Serious impact on ability to recruit the quality of staff critical to service delivery.		Target Residual Likelihood	Target Residual Impact	
In addition, the Government's "Prevent Duty" requires the Local Authority to act to prevent people from being drawn into terrorism.		Serious operational and financial consequences.	Responsible Cabinet Member:	Possible (3)	Major (5)	
This risk links to the demand risk (CRR0006).		Attract possible intervention from a national regulator for failure to discharge corporate and executive responsibilities.	Graham Gibbens, Adult Social Care and Public Health			
		Incident of serious harm or death of a vulnerable adult.	Mike Hill (Lead Member for PREVENT)			
Control Title			Control Owner			
Dedicated safeguarding team in place with countywide overview.			Annie Ho, Head of Adult Safeguarding			
Multi agency public protection arrangements in place.			Annie Ho, Head of Adult Safeguarding			
Kent & Medway Safeguarding Adults Board in place with key agencies. The Board is on a statutory footing following implementation of the Care Act.			Penny Southern, Corporate Director ASCH			
Consistent scrutiny and performance monitoring through divisional management teams, 'deep dives' and audit activity.			Divisional Directors / Annie Ho, Head of Adult Safeguarding			
Regular reporting on safeguarding takes place for Directors and elected Members to allow for scrutiny of			Penny Southern, Corporate			

progress.	Director ASCH	
Quarterly Safeguarding Directorate Management Team provides additional dedicated focus to the issue.	Penny Southern, Corporate Director ASCH	
Prevent Duty Delivery Board (chaired by KCC) oversees the activity of the Kent Channel Panel, co-ordinating Prevent activity across the County and reporting to other relevant strategic bodies in the county.	Penny Southern, Corporate Director ASCH	
Multi-agency risks, threats and vulnerabilities group focuses on PREVENT, gangs, modern slavery, human trafficking and online safeguarding matters.	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) in place.	Nick Wilkinson, Prevent and Channel Strategic Manager	
Three year PREVENT training strategy approved by the Corporate Management Team.	Nick Wilkinson, Prevent and Channel Strategic Manager	
Capability framework for safeguarding and the mental capacity act introduced.	Annie Ho, Head of Adult Safeguarding	
Kent and Medway Safeguarding Adults Board Learning and Development Competence Framework is reviewed annually.	Annie Ho, Head of Adult Safeguarding	
New framework for safeguarding practice developed as part of the new ASCH operating model.	Annie Ho, Head of Adult Safeguarding / Divisional Directors	
Action Title	Action Owner	Planned Completion Date
Commission independent audits of case files across all client categories to complement internal reviews and audits.	Annie Ho, Head of Adult Safeguarding	March 2019

Risk ID	CRR0003	Risk Title	Access to resources to aid economic growth and enabling infrastructure			
Source / Cause of Risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
<p>The Council seeks access to resources to develop the enabling infrastructure for economic growth, 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.</p> <p>At the same time, Government funding for infrastructure is limited and competitive and increasingly linked with the delivery of housing and employment outputs.</p> <p>A UK Shared Prosperity Fund will replace EU structural funds, with further clarity to be provided on how to access, and links with Local Enterprise Partnerships (also being reviewed) and the development of Local Industrial Strategies.</p>	<p>Inability to secure sufficient contributions from development to support growth.</p> <p>Funders do not recognise Kent priorities for investment.</p> <p>Lack of resources to continuously shape and determine bids.</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 (GET)</p> <p>Responsible Cabinet Member(s): Mark Dance, Economic Development Mike Whiting, Planning, Highways, Transport & Waste</p>	<p>Likely (4)</p> <p>Target Residual Likelihood Possible (3)</p>	<p>Serious (4)</p> <p>Target Residual Impact Serious (4)</p>	
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 (EPE)		

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 EPE	
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	
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	
KCC is actively engaged in preparation of local plans across Kent and Medway, responding to all consultations.	Tom Marchant, Head of Strategic Planning & Policy	
Local Transport Plan 4 produced and approved by County Council.	Tom Marchant, Head of Strategic Planning & Policy	
Organisation Development plan is targeting gaps in resources to support bids.	GET Directorate Management Team	
KCC has responded to the Government's 'Strengthened Local Enterprise Partnerships' review.	David Smith, Director Economic Development	
Action Title	Action Owner	Planned Completion Date
Contribute to refresh of Strategic Economic Plan.	Barbara Cooper, Corporate Director Growth, Environment and Transport	January 2019
Engage with stakeholders to draw up an agreed Enterprise & Productivity Strategy 2018-2050.	David Smith, Director Economic Development	February 2019
Respond to consultation on Government's UK Shared Prosperity Fund.	David Smith, Director Economic Development	December 2018
Work with LEP partners to implement new LEP arrangements arising from the 'Strengthened Local Enterprise Partnerships' review as appropriate.	David Smith, Director Economic Development	April 2019

Risk ID	CRR0004	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 major incidents and emergencies.</p> <p>This includes responses associated with the Government's Counter-terrorism Strategy (CONTEST) 2018.</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, threats of 'cyber attacks' and uncertainties around implication of a 'no-deal' Brexit.</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 resilience in the supply chain hampers effective response to incidents.</p> <p>Focus on 'no-deal' Brexit contingency planning means less opportunity to progress other aspects of emergencies and resilience agenda.</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 (GET)</p> <p>Responsible Cabinet Member(s):</p> <p>Mike Hill, Community & Regulatory Services</p>	<p>Likely (4)</p> <p>Target Residual Likelihood</p> <p>Possible (3)</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. Includes sub-groups relating to Health and Severe Weather.</p>			<p>Mike Overbeke, Head of Public Protection (for Kent Resilience Team Activity)</p>			

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.	Cath Head, Head of Finance (Operations)
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.	Fiona Gaffney, Head of Resilience and Emergency Planning and Kent Resilience Team Manager (KCC)
On-going programme of review relating to ICT Disaster Recovery and Business Continuity arrangements. ICT resilience improvements are embedded as part of the ICT Transformation Programme.	Rebecca Spore, Director of Infrastructure
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 over the short term.	Katie Stewart, Director Environment Planning & Enforcement (EPE)
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.	Andrew Scott-Clark, Director Public Health
Emergency planning training rolled out at strategic, tactical and operational levels. KCC Resilience Programme in place to deliver further training opportunities and exercises regularly conducted to test different elements of KCC emergency and business continuity arrangements with partners.	Katie Stewart, Director EPE
Updated and expanded Duty and Recovery Director rota introduced.	Katie Stewart, Director EPE
KCC Business Continuity Management Policy and overarching Business Continuity Plan in place, underpinned by business continuity plans at service level.	Katie Stewart, Director EPE
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.	Penny Southern, Corporate Director ASCH

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	
Ongoing development of a counter-terrorism local profile.	Nick Wilkinson, Prevent and Channel Strategic Manager	
Quality Assurance approach introduced for business continuity plans to emphasise service accountability. This includes the testing of interdependencies between KCC business continuity plans and those of 3 rd parties.	Katie Stewart, Director EPE	
Fire Safety Guidance provided by KCC reviewed and updated.	Flavio Walker, Head of Health & Safety	
Local procedures have been and are being continually reviewed and refined for occasions the national threat level increases to critical. This includes an update of the Corporate Business Continuity Plan.	Katie Stewart, Director EPE	
New approach to Business Continuity Governance arrangements implemented, to enable increased focus on directorate Issues and complement KCC's cross-directorate Resilience group.	Fiona Gaffney, Head of Resilience and Emergency Planning and Kent Resilience Team Manager (KCC)	
Kent Resilience Forum Local Authorities Emergency Planning group's mutual aid arrangements with District Councils and other councils across the region undertaken.	Fiona Gaffney, Head of Resilience and Emergency Planning and Kent Resilience Team Manager (KCC)	
Action Title	Action Owner	Planned Completion Date
Exercise the procedures for a move in national threat level.	Katie Stewart, Director EPE	March 2019
Respond to any issues arising from most recent audit of KCC Business Continuity arrangements.	Corporate Management Team	February 2019
Building resilience into Multi-agency recovery structures for a longer time response.	Katie Stewart, Director EPE	March 2019
KCC services to review business continuity arrangements taking potential no-deal Brexit scenarios into consideration (cross-reference to CRR0042).	Service Managers	December 2018

Risk ID	CRR0005	Risk Title	Implementation of Local Care and Prevention with Health partners in Kent			
Source / Cause of Risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
<p>The health & social care 'system' is under extreme pressure to cope with increasing levels of demand and financial constraints.</p> <p>National government policy for integration of health and social care as part of how to meet these challenges.</p> <p>NHS national policy is for health commissioners and providers to come together and develop place-based plans. KCC is part of the Kent and Medway Sustainability and Transformation Partnership (STP) and this partnership will evolve to form an integrated care system (ICS).</p> <p>Integration can only happen at local level around GP clusters. It is important that KCC understands the opportunities and challenges of an ICS and also the upcoming NHS 10-year plan and social care Green Paper.</p> <p>Care Quality Commission now conducts reviews of health and social care 'systems' to find out how services are working together to care for people aged 65 and over.</p>	<p>Failure to maximise opportunities for appropriate health & social care integration and ensure changes achieve maximum benefit.</p> <p>Pressures within the acute health sector result in repercussions for social care and threaten successful implementation of joint working arrangements.</p> <p>Improved Better Care Fund monies earmarked for social care geared to addressing pre-determined NHS targets and priorities.</p> <p>Performance issues in the Health Sector have knock-on implications for KCC.</p> <p>Failure to meet statutory duties around the sufficiency of the care market, care quality and safeguarding.</p> <p>Opportunity cost from spending time and resources on STP and system design which is subject to change from NHS England.</p> <p>Lack of understanding within KCC of NHS policy and regulatory environment; and</p>	<p>Further deterioration in the financial and service sustainability of Health and Social Care system in Kent and Medway.</p> <p>Additional budget pressures transferred to social care as system monies are used to close acute and primary care service gaps.</p> <p>Legal challenge/judicial review of decisions and decision-making framework for integrated decisions.</p> <p>Social care and public health service priorities determined by NHS, not KCC.</p> <p>Capitated provider contracts dominated by NHS budgets and targets.</p> <p>Focus on STP and ACP workstreams prevents more local and agile improvements/joint working being</p>	<p>Penny Southern, Corporate Director Adult Social Care & Health (ASCH)</p> <p>Vincent Godfrey, Strategic Commissioner</p> <p>Responsible Cabinet Member(s): Paul Carter Leader of the Council Catherine Rankin Cabinet Member for Strategic Commissioning Graham Gibbens, Cabinet Member for Adult Social Care and Public Health</p>	<p>Possible (3)</p> <p>Target Residual Likelihood Unlikely (2)</p>	<p>Serious (4)</p> <p>Target Residual Impact Serious (4)</p>	

vice versa, lack of understanding of local authority legislative, policy and democratic environment in NHS.

undertaken.
Erosion of long-term working relationships between NHS and local government.
Reputational damage to either KCC or NHS or both in Kent.
Adverse outcome from CQC local system review.

Control Title	Control Owner
KCC has a designated Cabinet Member Portfolio for Health Reform and Cabinet Member for Strategic Commissioning.	Paul Carter, Leader of the Council
Local Care Implementation Board in place.	Paul Carter, Leader of the Council
Regular internal STP co-ordination meetings chaired by the Leader.	Paul Carter, Leader of the Council
Establishment of a Health Reform and Public Health Cabinet Committee to provide non-executive member oversight and input of KCC involvement in the STP.	Ben Watts, General Counsel
Senior KCC political and officer representation on the STP Programme Board.	Penny Southern, Corporate Director ASCH
Senior KCC level officer representation on the East Kent ICS, and emerging West, North and Medway ICS.	Penny Southern, Corporate Director ASCH
Senior KCC level officer representation across STP workstreams.	Penny Southern, Corporate Director ASCH
KCC STP Secretariat established to manage and monitor ongoing engagement and activity.	Penny Southern, Corporate Director ASCH
County Council agreed framework for KCC engagement within the STP – ongoing monitoring and control taking place through STP Secretariat.	Penny Southern, Corporate Director ASCH

A joint KCC and Medway Health and Wellbeing Board for STP related matters/issues has been established.	David Whittle, Director SPRCA	
KCC has appointed an elected Member to the STP non-executive oversight group.	Paul Carter, Leader of the Council	
Action Title	Action Owner	Planned Completion Date
Engagement with the new NHS Strategic Commissioner for Kent and Medway and alignment of strategic commissioning intentions with KCC Strategic Commissioner.	Vincent Godfrey, Strategic Commissioner	January 2019 (review)
Delivery of the Adult Social Care and Health Local Care Implementation Plan.	Penny Southern, Corporate Director ASCH	March 2019 (review)
Assess NHS 10-year plan and impact on the STP.	David Whittle, Director SPRCA	January 2019

Risk ID	CRR0006	Risk Title	Resourcing implications arising from increasing complex adult social care demand			
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
Adult social care services across the country are facing growing pressures. The cost of adult social care services in Kent continues to increase due to the complexity of presenting need, including increasing numbers of young adults with long-term complex care needs. This is all to be managed against a backdrop of reductions in Government funding, implications arising from the implementation of the Care Act, increases in Deprivation of Liberty Assessments, impacts associated with reducing budgets of partner agencies and longer-term demographic pressures. Adult social care services are part of a complex system to meet needs, which requires the whole system to work cohesively.	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.	Penny Southern, Corporate Director Adult Social Care and Health (ASCH) Responsible Cabinet Member(s): Graham Gibbens, Adult Social Care and Public Health	Likely (4)	Major (5)	
Control Title				Control Owner		
Regular analysis and refreshing of forecasts to maintain the level of understanding of volatility of demand, which feeds into the relevant areas of the MTFP and the business planning process.				Penny Southern, Corporate Director ASCH		
Continued support for investment in preventative services through voluntary sector partners.				Penny Southern, Corporate Director ASCH / Vincent Godfrey, Strategic Commissioner		
Public Health & Social Care ensures effective provision of information, advice and guidance to all potential				Andrew Scott-Clark, Director		

and existing service users, promoting self-management to reduce dependency.	Public Health/ ASCH Divisional Directors	
Best Interest Assessments (BIA) training package delivered as part of a rolling programme twice yearly.	Annie Ho, Head of Adult Safeguarding	
Continual review and monitoring of demand in relation to Deprivation of Liberty assessments (DoLs) with external resources brought in as necessary. Increased data cleansing has led to an improved overview of backlog cases.	Annie Ho, Head of Adult Safeguarding	
Targeted use of additional social care monies received from Government, investing in services which evidence suggests will have the greatest impact.	Penny Southern, Corporate Director ASCH	
Action Title	Action Owner	Planned Completion Date
Implementation of Kent Integration and Better Care Fund plan.	Penny Southern, Corporate Director ASCH	December 2018 (review)
Embedding of new operating model for Adult Social Care and Health, including Promoting Wellbeing approach to help manage demand.	Penny Southern, Corporate Director ASCH	April 2019 (review)
Agree approach for utilisation of additional social care monies for 2018/19.	Penny Southern, Corporate Director ASCH	January 2019

Risk ID	CRR0007	Risk Title	Resourcing implications arising from Children's Services demand			
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, a marked increase in children with Special Educational Needs and Disabilities (SEND) and policy/legislative changes. At a local level KCC is faced with 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. The Council needs to remain aware of London Boroughs, utilising higher per-capita funding and large capital/reserve budgets to procure sites in Kent to ease their overspends on housing/homelessness, due to potential demand implications.	High volumes of work flow into early help and preventative services (EHPS) and specialist children's services (SCS) leading to unsustainable pressure being exerted on them (recognising seasonal spikes such as end of term). Failure to maximise opportunities offered by integration of EHPS and SCS where appropriate.	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.	Matt Dunkley, Corporate Director CYPE Responsible Cabinet Member(s): Roger Gough Children, Young People and Education	Likely (4)	Major (5)	
				Target Residual Likelihood	Target Residual Impact	
				Possible (3)	Serious (4)	
Control Title			Control Owner			

The Early Help and Preventative Services Programme is working to ensure that vulnerable families can access the right support through intensive work in Early Help Units and Step Down Panels, open access services or through targeted casework.	Stuart Collins, Director Integrated Services (Early Help and Preventative Services Lead)	
Intensive focus on ensuring early help to reduce the need for specialist children's support services.	Matt Dunkley, Corporate Director CYPE	
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, Director Integrated Services (Early Help and Preventative Services Lead)	
Kent Safeguarding Children Board 'threshold' document outlines the criteria required by partners when making a referral and have been working with partners to promote aid appropriate application.	Mark Janaway, Programme and Performance Manager	
The Specialist Children's Services budget has been increased to compensate for the additional demand.	Dave Shipton, Acting Section 151 Officer	
Relationships with London Councils which allow us to understand / test their intentions on an individual site basis.	David Whittle, Director SPRCA	
Action Title	Action Owner	Planned Completion Date
Implementation of Change for Children in Kent programme.	Matt Dunkley, Corporate Director, CYPE	April 2019
Implementation of Front Door Integration Project to better manage 'front door' referrals.	Sarah Hammond, Director of Integrated Services (Children's Social Work Lead)	December 2018

Risk ID	CRR0009	Risk Title	Future financial and operating environment for Local Government			
Source / Cause of risk	Risk Event	Consequence	Risk Owner (s)	Current Likelihood	Current Impact	
<p>The operating environment for local government is likely to continue to change during the coming years, presenting both opportunities and risks for the Council and its partners / service providers.</p> <p>Government funding has continued to reduce, with a number of councils showing signs of financial stress and warning of moves toward a 'minimum service offer', including the issuing of the first section 114 notice for over 20 years.</p> <p>While KCC is not in this position, continuing budget challenges will necessitate difficult policy decisions being made regarding the future of services.</p> <p>The Government's Spending Review in 2019; the Social Care Green Paper; NHS 10-year plan; current uncertainties relating to implications of Brexit and ongoing challenges to secure funding for essential infrastructure to keep pace with housing growth will all affect the operating framework for the Council.</p> <p>Limits on our ability to levy additional council tax without a</p>	<p>Additional unfunded spending demands and continued real-terms funding reductions threaten the financial sustainability of KCC, its partners and service providers.</p> <p>In order to set a balanced budget the council is likely to have to continue to make significant year on year savings.</p> <p>Quality of KCC commissioned / delivered services suffers as financial situation continues to worsen.</p> <p>Insufficient Government Grant available to provide sufficient number of school places.</p>	<p>Unsustainable financial situation, ultimately resulting in s114 notice.</p> <p>Potential for partner or provider failure – including sufficiency gaps in provision.</p> <p>Reduction in resident satisfaction and reputational damage.</p>	<p>On behalf of CMT:</p> <p>Zena Cooke, Corporate Director Finance</p> <p>Responsible Cabinet Member (s): All Cabinet Members</p>	<p>Likely (4)</p> <p>Target Residual Likelihood Possible (3)</p>	<p>Major (5)</p> <p>Target Residual Impact Serious (4)</p>	

referendum are still in place.		
Control Title	Control Owner	
Robust budgeting and financial planning in place via Medium Term Financial Planning (MTFP) process, including stakeholder consultation.	Dave Shipton, Acting Section 151 Officer	
Processes in place for monitoring delivery of savings and budget as a whole.	Dave Shipton, Acting Section 151 Officer	
KCC Strategic Statement 2015-2020 and annual report outline key strategic outcomes that the Authority aims to achieve during this period.	Paul Carter, Leader of the Council	
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, Business Partner (external funding)	
Support being provided to the Leader of KCC in his role as Chair of the County Councils Network (CCN).	David Whittle, Director SPRCA	
Financial analysis conducted after each budget statement.	Dave Shipton, Acting Section 151 Officer	
Engagement with CCN, other local authorities and Government of potential opportunities and issues around devolution and public reform.	David Whittle, Director SPRCA	
Continued engagement with Government for a fair Basic Need allocation to meet the demand for school places.	Keith Abbott, Director Education Planning and Access	
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, Acting Section 151 Officer	January 2019 (review)
Engage with Government for a fair-funding needs formula for Grant distribution and tariffs/top ups under business rate retention.	Dave Shipton, Acting Section 151 Officer	January 2019 (review)

Assess implications of the NHS 10-year plan.	David Whittle, Director SPRCA	January 2019
Ensure appropriate response to Government Spending Review 2019.	Dave Shipton, Acting Section 151 Officer	June 2019
Assess impact of and respond to social care green paper.	Penny Southern, Corporate Director ASCH	January 2019

Risk ID	CRR0011	Risk Title	Embedding KCC's Strategic Commissioning approach and consistency of commissioning standards				
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	Target Residual Likelihood	Target Residual Impact
<p>The Authority has developed a strategic commissioning approach, which is a journey in changing the systems, culture and approach the organisation takes to achieving its strategic outcomes.</p> <p>The approach aims to meet the need for comprehensive, professional strategic commissioning advice to all directorates across the Authority and requires a whole council ethos, as well as clarity of responsibility and accountability.</p>	<p>Insufficient management capacity and / or capability in key skill areas to support sustained change.</p> <p>Lack of clarity over which activities can be defined as strategic commissioning as distinct from the specification of service outcomes.</p> <p>Lack of buy-in to whole-council ethos to support the changes required.</p>	<p>Potential to fall short of achieving benefits if changes introduced are not fully embedded.</p>	<p>In collaboration with CMT:</p> <p>Vincent Godfrey, Strategic Commissioner</p> <p>Responsible Cabinet Member:</p> <p>Catherine Rankin, Cabinet Member for Strategic Commissioning</p>	<p>Possible (3)</p> <p>Unlikely (2)</p>	<p>Significant (3)</p> <p>Significant (3)</p>		
Control Title				Control Owner			
Senior role of Strategic Commissioner appointed, reporting to the Head of Paid Service, to oversee the delivery of strategic commissioning expertise.				David Cockburn, Head of Paid Service			
Building capacity and capability in commissioning is a key area of KCC's Organisation Development action plan.				Julie Cudmore, Head of Organisation Development			
Cabinet Member role for Strategic Commissioning created.				Paul Carter, Leader of the Council			
Rolling programme of reviews of contract management arrangements for major contracts embedded into Business as Usual and reported on regularly.				Vincent Godfrey, Strategic Commissioner			
<i>Commissioning Success: A strategy to improve lives by ensuring every pound spent in Kent is delivering better outcomes for Kent's residents, communities and businesses through successful commissioning</i>				Vincent Godfrey, Strategic Commissioner			

developed as part of a co-design process.		
KCC has established a Strategic Commissioning Division to strengthen commissioning capability, and lead and shape commissioning activity, which has been restructured as a vehicle for achievement of business strategy.	Vincent Godfrey, Strategic Commissioner	
Commissioning Standards Framework Group provides strategic oversight and agreement by executive Members and senior professional officers of the proposed minimum standards for strategic commissioning activity throughout the life cycle which will make up the Commissioning Framework.	Catherine Rankin, Cabinet Member for Strategic Commissioning	
KCC informal Governance arrangements refreshed to include continued focus on improving quality of commissioning activity.	Vincent Godfrey, Strategic Commissioner	
Action Title	Action Owner	Planned Completion Date
Work towards Chartered Institute of Procurement and Supply (CIPS) Excellence accreditation for the organisation.	Vincent Godfrey, Strategic Commissioner	October 2019

Risk ID	CRR0013	Risk Title	Delivery of in-year savings within agreed budgets			
Source / Cause of Risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
The ongoing difficult public financial 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.	Robust plans to achieve the required savings are not developed in time to enable implementation and realisation of benefits.	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: Zena Cooke, Corporate Director Finance	Possible (3)	Significant (3)	
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. Depletion of the Council’s financial reserves. Reputational damage to the council.	Responsible Cabinet Member(s): Peter Oakford, Finance and Traded Services	Target Residual Likelihood Unlikely (2)	Target Residual Impact Minor (1)	
Control Title				Control Owner		
Robust budgeting and financial planning in place via Medium Term Financial Planning (MTFP) process.				Dave Shipton, Acting Section 151 Officer		
Process for monitoring delivery of savings is in place, including a Budget Delivery Group to scrutinise progress.				Dave Shipton, Acting Section 151 Officer		
Robust monitoring and forecasting of arrangements in place relating to the KCC budget as a whole.				Dave Shipton, Acting Section 151 Officer		
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.				Dave Shipton, Acting Section 151 Officer		
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				Corporate Directors and		

Committee.	Director Group
Continued engagement with the Home Office for a fair settlement for Unaccompanied Asylum-Seeking Children (UASC), particularly Care Leavers.	Matt Dunkley, Corporate Director, CYPE
Action Title	Action Owner
Planned Completion Date	
NOTE: Level of risk is expected to decrease during the year by effective operation of existing controls.	

Risk ID	CRR0014	Risk Title	Cyber-attack threats and their implications
----------------	----------------	-------------------	--

Source / Cause of Risk	Risk Event	Consequence	Risk Owner(s)	Current Likelihood	Current Impact
<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 (within resource constraints), 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>Rebecca Spore, Director Infrastructure</p> <p>Ben Watts, General Counsel and KCC Data Protection Officer</p> <p>Amanda Beer, Corporate Director Engagement, Organisational Design & Development.</p> <p>Responsible Cabinet Member(s): Eric Hotson, Corporate & Democratic Services</p>	Likely (4)	Serious (4)
				Target Residual Likelihood	Target Residual Impact
				Possible (3)	Serious (4)
Control Title				Control Owner	
Systems are configured in line with best practice security controls proportionate to the business information				Kathy Stevens, ICT	

being handled. Systems are risk assessed and reviewed to ensure compliance is maintained.	Compliance and Risk Manager	
Staff are required to abide by IT policies that set out the required behaviour of staff in the use of the technology provided. These policies are reviewed on an annual basis for appropriateness.	Kathy Stevens, ICT Compliance and Risk Manager	
Continual awareness raising of key risks amongst the workforce and manager oversight.	Internal Communications function / Michael Lloyd, Head of Technology Commissioning and Strategy / / All Managers	
Electronic Communications User Policy, Virus reporting procedure and social media guidelines in place.	Rebecca Spore, Director Infrastructure	
External reviews of the Authority's security compliance are carried out to maintain accreditation and confirm best practice is applied.	Kathy Stevens, ICT Compliance and Risk Manager	
Persistent monitoring of threats, network behaviours and data transfers to seek out possible breaches and take necessary action.	Kathy Stevens, ICT Compliance and Risk Manager	
Data Protection and Information Governance training is mandatory and requires staff to refresh periodically. Progress rates monitored regularly.	Ben Watts, General Counsel	
Further training introduced relating to cyber-crime, cyber security and social engineering to raise staff awareness and knowledge.	Rebecca Spore, Director Infrastructure	
Messages to encourage increased awareness of information security amongst staff are to be communicated to align with key implementation milestones of the ICT Transformation Programme.	Diane Trollope, Head of Engagement and Consultation	
Procedures to address data breaches from KCC 'client side' perspective are covered within the Infrastructure business continuity plan.	Kathy Stevens, ICT Compliance and Risk Manager	
Monthly updated remediation plans produced for the Director of Infrastructure and Senior Information Risk Owner. Quarterly reporting to the Directorate Management Team.	Kathy Stevens, ICT Compliance and Risk Manager	
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.	Rebecca Spore Director of Infrastructure	March 2019
Liaise with service partners / providers to ensure clarity regarding support available and respective responsibilities to address data breaches should they occur.	Kathy Stevens, ICT Compliance and Risk Manager	December 2018

Develop a Cyber incident response policy which strengthens the responsibilities and accountabilities across the Authority.

Kathy Stevens, ICT
Compliance and Risk Manager

December 2018

Risk ID	CRR0015	Risk Title	Managing and working with the social care market				
Source / Cause of Risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	Target Residual Likelihood	Target Residual Impact
A significant proportion of adult social care is commissioned out to the private and voluntary sectors. This offers 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.	Penny Southern, Corporate Director ASCH, in collaboration with Vincent Godfrey, Strategic Commissioner	Likely (4)	Major (5)	Possible (3)	Major (5)
Factors such as the introduction of the National Living Wage, potential inflationary pressures and uncertainty over care market workforce in light of new settled status arrangements mean that the care market is under pressure.	Inability to obtain the right kind of provider supply at affordable prices.	Significant numbers of care home closures or service failures.	Responsible Cabinet Member(s): Graham Gibbens, Adult Social Care and Public Health Catherine Rankin, Strategic Commissioning				
	Providers choose not to tender for services at Local Authority funding levels or accept service users with complex needs.						
Control Title			Control Owner				
Opportunities for joint commissioning and procurement in partnership with key agencies (i.e. Health) being regularly explored, including joint work regarding the provision of dementia nursing beds.			Vincent Godfrey, Strategic Commissioner				
As part of the Commissioning Success model, Analytics function to ensure good quality data to inform decision making before moving commissioning activity forward.			Richard Fitzgerald, Business Intelligence Manager, Performance / Steph Smith, Head of Performance and Information				

Regular meetings with provider and trade organisations.	Vincent Godfrey, Strategic Commissioner	
Ongoing Contract Monitoring, working in partnership with the Access to Resources team.	Clare Maynard, Head of Commissioning Portfolio – Outcome 2 and 3	
Ongoing monitoring of Home Care market and market coverage. Commissioners and operational managers reviewing the capacity of the Home Care market with a view to developing a strategy to ensure market coverage.	Jo Empson, Commissioning Manager, Community Support	
Ensuring contracts have indexation clauses built-in, managed through contract monitoring.	Georgina Aplin, Head of Commissioning Support	
KCC is part of local and regional Quality Surveillance Groups that systematically bring together the different parts of the health and care system to share information, identify and mitigate risks to quality, including those relating to care providers.	Penny Southern, Corporate Director ASCH (KCC lead)	
Ongoing work to improve maturity of the market	Vincent Godfrey, Strategic Commissioner	
Action Title	Action Owner	Planned Completion Date
Recommissioning of Homecare, Supporting Independence Service and discharge to assess as part of the 'Care in the Home' project.	Jo Empson, Commissioning Manager, Community Support	April 2019
Implementation of refreshed Accommodation Strategy, developed with partners and key stakeholders. Need to have Extra Care beds onstream by 2020.	Clare Maynard, Head of Commissioning Portfolio – outcome 2 and 3	April 2019 (review)

Risk ID	CRR0016	Risk Title Delivery of New School Places is constrained by capital budget pressures and dependency upon the Education and Skills Funding Agency (ESFA)				
Source / Cause of risk		Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
<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 a number of Free Schools in Kent over the period and that the ESFA complete the Free School projects on time and to an appropriate standard.</p>		<p>The expansion required may not be delivered, meaning KCC is not able to provide appropriate school places.</p> <p>Further upward demand pressures beyond what is forecast.</p>	<p>Some children have to travel much further to attend a school, with a resulting impact on the transport budget.</p> <p>The duty to provide sufficient school places is not met, which may lead to legal action against the council.</p>	<p>Matt Dunkley, Corporate Director CYPE</p>	<p>Likely (4)</p>	<p>Serious (4)</p>
				Responsible Cabinet Member(s):	Target Residual Likelihood	Target Residual Impact
				<p>Roger Gough, Children, Young People and Education</p>	<p>Likely (4)</p>	<p>Significant (3)</p>
Control Title					Control Owner	
<p>The Kent Commissioning Plan contains the forecast expansion numbers and locations. A school expansion programme has been mapped, costed and kept under review.</p>					<p>Keith Abbott, Director Education Planning and Access</p>	

The school expansion programme is under member scrutiny and review by relevant Education and Property programme boards/forums/committees.	Keith Abbott, Director Education Planning and Access	
CYPE capital monitoring mechanism with Member involvement now created.	Education Planning and Access DivMT	
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.	Area Education Officers	
Close working with the ESFA and lobbying of the DfE/ESFA, Secretary of State and Kent MPs raising of the issue via the County Councils Network.	Keith Abbott, Director Education Planning and Access / Cabinet Member CYPE / Leader of the Council	
Regular meetings with ESFA officials to monitor progress at individual project level and identify ways in which KCC can help progress these projects. (Local delivery)	Keith Abbott, Director Education Planning and Access	
Contingency plans for alternative interim accommodation for each Free School project are being developed on a case-by-case basis i.e. temporary expansions to schools to meet immediate pressures, or the allocation of available places within existing schools.	Keith Abbott, Director Education Planning and Access	
Action Title	Action Owner	Planned Completion Date
Put forward bids for selective schools expansion fund.	Keith Abbott, Director of Education	April 2019

Risk ID	CRR0039	Risk Title	Information Governance			
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
<p>The Council is required to maintain the confidentiality, integrity and proper use of data under the Data Protection Act 2018.</p> <p>General Data Protection Regulations (GDPR) came into effect that have introduced significantly increased obligations on all data controllers, including the Council.</p> <p>There is insufficient resource available to undertake comprehensive oversight / assurance activity that provides assurance on compliance with existing information governance standards.</p> <p>There is a critical dependency on one of the Council's Local Authority Trading Companies (CBS) to support Information Governance compliance for the KCC systems and network.</p> <p>KCC services' requirement for non-standard systems creates vulnerabilities.</p>	<p>Failure to embed the appropriate processes and procedures to meet the new regulations.</p> <p>Information security incidents (caused by both human error and / or system compromise) resulting in loss of personal data or breach of privacy / confidentiality.</p> <p>Council accreditation for access to government and partner ICT data, systems and network is withdrawn.</p> <p>Cantium Business Solutions prioritises commercial work or does not undertake information governance compliance work in an appropriate and timely fashion.</p>	<p>Information Commissioner's Office sanction (e.g. undertaking, assessment, improvement, enforcement or monetary penalty notice issued against the Authority).</p> <p>Serious breaches under GDPR could attract a fine of €20m.</p> <p>Increased risk of litigation.</p> <p>Reputational damage.</p>	<p>Ben Watts, General Counsel and Data Protection Officer in collaboration with</p> <p>David Whittle, Senior Information Risk Owner</p> <p>Responsible Cabinet Member:</p> <p>Eric Hotson, Corporate & Democratic 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		
Data Protection Officer in place to act as designated contact with the Information Commissioner's Office				Ben Watts, General Counsel		

Caldicott Guardian appointed with training and support to undertake the role.	Penny Southern, Corporate Director ASCH	
Senior Information Risk Owner for the Council appointed with training and support to undertake the role.	David Whittle, Director SPRCA	
Corporate Information Governance group to allow for effective management of information governance risks and issues between the DPO, SIRO and Caldicott Guardian.	Ben Watts, General Counsel	
Management Guide / Operating Morals on Information Governance in place, highlighting key policies and procedures.	Caroline Dodge, Team Leader Information Resilience & Transparency	
A number of policies and procedures are in place including KCC Information Governance Policy; Information Governance Management Framework; Information Security Policy; Data Protection Policy; Freedom of Information Policy; and Environmental Information Regulations Policy all in place and reviewed regularly.	Ben Watts, General Counsel	
Staff are required to complete mandatory training on Information Governance and Data Protection and refresh their knowledge every two years as a minimum.	Ben Watts, General Counsel / Amanda Beer, Corporate Director EODD	
ICT Commissioning function has necessary working / contractual relationship with the Cantium Business Solutions to require support on KCC ICT compliance and audit.	Rebecca Spore, Director of Infrastructure	
Information Resilience and Transparency team in place, providing business information governance support.	Caroline Dodge, Team Leader Information Resilience & Transparency	
Privacy notices as well as procedures/protocols for investigating and reporting data breaches reviewed and updated.	Caroline Dodge, Team Leader Information Resilience & Transparency	
Action Title	Action Owner	Planned Completion Date
Finalise implementation of any outstanding actions arising from 2016 Information Commissioner's Office (ICO) audit.	Ben Watts, General Counsel	January 2019
Refresh of cross-directorate Information Governance Working Group, with key risks and issues raised to the Corporate IG group.	Lauren McCann, Principal Solicitor	November 2018
Development of stand-alone Information Governance risk register.	David Whittle, SPRCA	January 2019

Risk ID	CRR0040	Risk Title	Opportunities and risks associated with KCC's Local Authority Trading Companies (LATCos)			
<p>Source / Cause of risk</p> <p>KCC has established a number of wholly-owned companies delivering a wide range of professional services that can bring benefits such as a change in culture and a more commercial approach to delivering services; more freedom to invest; the ability to secure new external clients; and the ability to grow the business and return a dividend to the Council as shareholder.</p> <p>As with any new company start up, there will also be risks to be managed.</p> <p>With the number of wholly-owned companies increasing, the council has reached a cross-over point where the wider objectives of the shareholder (KCC) is of at least the same importance as the individual needs of the new companies.</p> <p>KCC does not make the necessary internal changes / decisions (e.g. internal commissioning arrangements) necessary to support the delivery of the agreed business plans of trading companies.</p>	<p>Risk Event</p> <p>Expected financial dividends not met or return on investment takes longer than planned to achieve.</p> <p>One or more company acts in a way that does not fit with KCC's values.</p> <p>Council attempts to manage or run individual companies rather than acting as shareholder to extract the maximum value and benefit for the council in terms of both financial return and delivery of our identified outcomes as the owner of the businesses.</p> <p>Insufficient quality of service from company to KCC 'client'</p>	<p>Consequence</p> <p>Additional pressures on Council budget.</p> <p>Reputational damage.</p> <p>Companies may not be able to take advantage of commercial opportunities if decision-making is restricted.</p>	<p>Risk Owner</p> <p>KCC Shareholder Boards</p> <p>Responsible Cabinet Member:</p> <p>Peter Oakford, Finance and Traded Services</p> <p>Supported by:</p> <p>Richard Long, Cabinet Lead for Traded Services</p>	<p>Current Likelihood</p> <p>Likely (4)</p> <p>Target Residual Likelihood</p> <p>Unlikely (2)</p>	<p>Current Impact</p> <p>Significant (3)</p> <p>Target Residual Impact</p> <p>Moderate (2)</p>	
Control Title		Control Owner				

Governance: shareholder and company boards exist for KCC-owned companies with respective roles, with matters reserved for shareholder decision outlined.	Ben Watts, General Counsel	
Cultural and change factors are built into the planning for proposed creation of alternative service delivery models.	Julie Cudmore, Head of Organisation Development	
KCC's Group Audit function conducts audits for KCC-owned companies.	Robert Patterson, Head of Internal Audit	
Robust business cases developed for proposed new companies, subject to Member and Officer scrutiny – including consideration of market potential, governance arrangements etc.	Relevant Cabinet Member and Corporate Director.	
KCC company governance and ownership reviewed with regular updates given to Policy & Resources Cabinet Committee.	Richard Long, Cabinet Lead for Traded Services / David Cockburn, Head of Paid Service / Ben Watts, General Counsel / Dave Shipton, Acting Section 151 Officer	
Action Title	Action Owner	Planned Completion Date
The Council is effecting changes to the constitution and Member scrutiny to support effective oversight and input by Members.	Ben Watts, General Counsel	December 2018
Implementation of holding arrangements for KCC's companies.	Ben Watts, General Counsel	April 2019 (review)
To develop exit strategies in relation to all businesses from a commissioning and shareholder perspective against various potential outcomes.	Relevant commissioners / Share holder Boards	December 2018 (review)
Accommodation solution agreed to support Cantium Business Solutions requirement for co-location of staff as per agreed Business Plan.	Rebecca Spore, Director – Infrastructure	April 2019

Risk ID	CRR0041	Risk Title	Maintaining a healthy and effective workforce			
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
KCC's workforce makes a vital contribution to the delivery of the Council's strategic outcomes, through its energy, commitment and hard work.	Low morale or stress related to organisational change or other factors.	Negative impact on productivity and levels of service.	Corporate Management Team	Possible (3)	Serious (4)	
Staff across the organisation need to be healthy, motivated and have the right skills to help the organisation develop.	Increased sickness levels. Lack of depth / resilience of key personnel or teams.			Target Residual Likelihood	Target Residual Impact	
It is important that this continues through challenging times, with significant change becoming the new reality and further year-on-year efficiencies being required to meet difficult budgetary challenges.	Increasing demands on staff leads to insufficient capacity.		Responsible Cabinet Member: Eric Hotson, Corporate and Democratic Services	Unlikely (2)	Serious (4)	
Control Title				Control Owner		
Refreshed approach to managing people and performance focusing in particular on regular, high quality conversations between managers and staff and emphasising management accountability and employee engagement.				Amanda Beer, Corporate Director, EODD		
Annual staff survey (Employment Value Proposition – EVP) builds insight by looking at the perceived balance between what the organisation offers staff and what employees bring to the job.				Amanda Beer, Corporate Director, EODD		
Wellbeing initiatives and health promotions for staff.				Paul Royel, Head of Human Resources (HR) and Organisation Development (OD)		
Arrangements in place for active monitoring and response to absence.				Paul Royel, Head of HR and OD		
Employee engagement strategy in place.				Paul Royel, Head of HR and		

		OD
iResilience tools available.		Amanda Beer, Corporate Director EODD
Staff care services provide professional occupational health, counselling (Support Line); coaching and mediation services to help ensure staff are physically, emotionally and mentally well.		Mark Scott, Chief Executive Cantium Business Solutions
Suite of key performance indicators being monitored as early warning indicators e.g. retention, absence.		Amanda Beer, Corporate Director EODD
Directorate Organisation Development groups share best practice and facilitates communication on key OD issues.		Julie Cudmore, Head of Organisation Development
Service redesigns take account of capacity and capability issues ensuring resources are allocated appropriately.		Corporate Management Team
Significant and positive engagement with staff representatives.		Paul Royel, Head of Human Resources (HR) and Organisation Development (OD)
Comprehensive leadership and management training & development offer available.		Paul Royel, Head of Human Resources and Organisation Development
Action Title	Action Owner	Planned Completion Date
Analyse findings from autumn 2018 staff survey, share results and work with CMT to respond accordingly.	Amanda Beer, Corporate Director EODD	January 2019

Risk ID	CRR0042	Risk Title	Post-Brexit border systems, infrastructure and regulatory arrangements			
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
The personnel, procedures, systems and physical infrastructure necessary to provide sufficient capacity and capability for fast and efficient flow of goods and people through the Dover / Continental Ports and Eurotunnel in accordance post-Brexit requirements are not in place as required.	That the 'implementation period' agreed between UK leaving the EU is not enacted leading to immediate third country status for the UK on 29 March 2019.	Significant slowdown in the existing flow of goods and people through the Kent Ports leads to long delays in accessing Dover Ports and Eurotunnel.	Barbara Cooper, Corporate Director Growth, Environment & Transport	Likely (4)	Major (5)	
KCC is reliant on coherent, coordinated governance across Government to aid the Local Authority and partners locally in planning their contingency arrangements.	That the implementation period agreed between the UK and EU is insufficient to develop the personnel, procedures, systems and physical infrastructure in time to support post-Brexit border arrangements.	Temporary closure or permanent changes to all or part of the M20 or M26 to support Operation Stack / Brock and other mitigations for port delays.	Responsible Cabinet Member	Target Residual Likelihood	Target Residual Impact	
	That a customs arrangement between the UK and EU is not agreed and there are delays in the physical transport of people / goods across the border.	Significant reduction in the capacity of the Kent Highway Network, with consequential increase in local and pan-Kent road journey times, impacting on local residents and businesses.	Mike Whiting, Planning, Highways, Transport & Waste	Likely (4)	Serious (4)	
	That the Government does not provide sufficient capital and revenue financial support to departments, agencies, local authorities and other infrastructure stakeholders necessary to address the personnel, procedures and physical infrastructure to support post-Brexit border arrangements.	Significant long-term detrimental impact on county's economic competitiveness, attractiveness for inward investment and quality of life for Kent residents.	Mike Hill, Community Services			
Control Title			Control Owner			

Regular engagement with senior colleagues in relevant Government Departments on the impacts and implications of Brexit on KCC's regulatory responsibilities relating to Trading Standards and the resilience of Kent highways.	Barbara Cooper, Corporate Director GET	
KCC membership and co-chair of the Kent Border Planning Steering Group and associated working groups such as Emergency Planning, Infrastructure etc.	Katie Stewart, Director Environment, Planning and Enforcement	
Internal KCC co-ordination through a Brexit Co-ordination Group and Informal Members Group.	David Whittle, Director SPRCA	
KCC leads and manages the Kent Strategic Freight Forum.	Barbara Cooper, Corporate Director, GET	
KCC membership and support to the Kent Resilience Forum Brexit Sub-Group.	Fiona Gaffney, Head of Resilience and Emergency Planning	
KCC involvement in Operation Fennel Tactical Group (multi-agency planning group for potential disruption at Port of Dover and Eurotunnel).	Barbara Cooper, Corporate Director, GET (KCC lead)	
KCC response to the Highways England M20 consultation on interim on-highway solution in place for the implementation period endorsed.	Katie Stewart, Director EPE	
Action Title	Action Owner	Planned Completion Date
Engaging with Government on exercise(s) testing emergency response capability in relation to potential post-Brexit scenarios.	Fiona Gaffney, Head of Resilience and Emergency Planning	Ongoing
KCC services to review business continuity arrangements, taking potential no-deal Brexit scenarios into consideration.	Service Managers	December 2018
KCC exploring opportunities with the Ministry for Housing, Communities and Local Government (MHCLG) regarding funding for the direct impacts of Brexit in the county.	Katie Stewart, Director Environment, Planning and Enforcement	February 2019

Risk ID	CRR0044	Risk Title	High Needs Funding and adequacy of support for children with SEND			
<p>Source / Cause of risk</p> <p>The Children and Families Act 2014 introduced significant changes to Special Educational Needs arrangements (SEN) through the duty to ensure that the views, wishes and feelings of parents are heard, leading to a raising of expectations of parents.</p> <p>The number of Children and Young People with SEND (Special Educational Needs and Disability) is rising faster than the underlying growth in population. Kent is now maintaining over 10,500 Education Health and Care Plans (EHCP) which represents a growth of over 40% in the last 4 years. In addition, the incidence of EHCPs being maintained and issued to young people aged 19+ has grown exponentially.</p> <p>The available budget is not enough to address the growth in demand, and the level of Dedicated Schools Grant (DSG) High Needs Funding is effectively capped for the next 4 years.</p> <p>KCC needs to address a backlog of Educational Psychology assessments.</p>	<p>Risk Event</p> <p>There is a risk that the SEN service within KCC will fail to deliver an acceptable service to parents and children requiring SEN services within Kent, and/or fails to meet statutory time limits for providing support.</p>	<p>Consequence</p> <p>Unless processes and practices are reviewed and made to be more efficient and effective, families may fail to receive a supportive, acceptable service from SEN within Kent.</p> <p>Families feel neglected and unsupported.</p> <p>Ultimately the delivery of such a level of service could lead to legal action if statutory time limits or processes are not met.</p>	<p>Risk Owner</p> <p>Matt Dunkley Corporate Director CYPE</p> <p>Responsible Cabinet Member(s):</p> <p>Roger Gough Children, Young People and Education</p>	<p>Current Likelihood</p> <p>Likely (4)</p> <p>Target Residual Likelihood</p> <p>Possible (3)</p>	<p>Current Impact</p> <p>Major (5)</p> <p>Target Residual Impact</p> <p>Serious (4)</p>	
Control Title		Control Owner				

A Special Educational Needs Action Plan has been prepared.	Louise Langley, Interim Head of SEN	
SEN Provision Evaluation Officers now support SEN Teams with ensuring schools have used their best endeavours to seeking Statutory Assessment and the views of schools are considered.	Louise Langley, Interim Head of SEN	
Recruitment and Retention arrangements for Educational Psychologists are competitive and enable us to recruit and retain staff in or most critical and demanding roles and teams.	Andrew Heather, Principal Educational Psychologist	
Action Title	Action Owner	Planned Completion Date
Triage backlog of Educational Psychology assessments and consider priorities.	Andrew Heather, Principal Educational Psychologist.	January 2019
Moderation of EHCPs to ensure compliance to expected standards.	Louise Langley, Interim Head of SEN	January 2019
Weekly placement panels to be implemented for Independent School Placements (with a view that local provision is preferred).	Louise Langley, Interim Head of SEN	January 2019
CYPE Service Development Team to support a delivery of improvements by developing a service development project.	Louise Langley, Interim Head of SEN	January 2019
Ensure that contracts with independent schools stipulate financial penalties for low or non-attendance of pupils.	Louise Langley, Interim Head of SEN	January 2019
Increase the numbers of pre-emptive meetings and mediation with parents to seek resolution.	Louise Langley, Interim Head of SEN	January 2019
Increase mainstream schools' capacity to meet SEN provision.	Louise Langley, Interim Head of SEN	July 2019
Work with the Disabled Children's Service to develop joint pathways into adulthood for post 16 and post 19 SEND young people.	Louise Langley, Interim Head of SEN	April 2019
For young people with the most severe and complex needs, develop a process for working with social care and health to support and plan lifespan pathways from year 10 annual reviews onwards.	Louise Langley, Interim Head of SEN	January 2019

Risk ID	CRR0045	Risk Title: Effectiveness of governance within a Member-led authority				
<p>Source / Cause of risk</p> <p>The continuation of a challenging financial and operating environment for Local Government (see risk CRR0009) will require difficult policy decisions to be made in a timely manner, which requires continued effective governance and robust internal control mechanisms.</p> <p>At a strongly Member-led Authority such as KCC, this places dependency / risk on the effectiveness of the member governance of the Council. It is crucial that the Council avoids some of the inherent risks such as:</p> <p>Over reliance on informal governance arrangements and political group meetings to direct officers and make decisions outside of formal statutory decision-making and scrutiny arrangements.</p> <p>Policy options regarding the service offer of the Council are not adequately or appropriately considered within the budget development/approval process.</p> <p>Failure of the governance</p>	<p>Risk Event</p> <p>Members are unwilling or unable to agree necessary policy (service) decisions to deliver a legally balanced budget and sustainable medium-term financial plan (MFTP).</p> <p>Members agree a budget requiring unrealistic and undeliverable efficiency savings leading to significant in-year overspends.</p> <p>Officers act on direction from members which has no basis in statutory decision making or the Council's constitution.</p> <p>Statutory officers (S151, Monitoring Officer, Head of Paid Service) are required to use their powers to intervene or alert the Council to inappropriate/illegal decision-making.</p>	<p>Consequence</p> <p>Decisions challenged under judicial review on the appropriateness of the decision-making within KCC.</p> <p>Monitoring Officer / Head of Paid Service statutory report to Council.</p> <p>Reputational damage to the Council.</p> <p>S114 Notice issued by the S151 Officer.</p>	<p>Risk Owner</p> <p>Paul Carter, Leader of the Council</p> <p>David Cockburn, Head of Paid Service</p>	<p>Current Likelihood</p> <p>Unlikely (2)</p> <p>Target Residual Likelihood</p> <p>Very Unlikely (1)</p>	<p>Current Impact</p> <p>Major (5)</p> <p>Target Residual Impact</p> <p>Major (5)</p>	

structures of the of the council
(Cabinet, Cabinet Committee, Full
Council, Scrutiny
Committee/Governance & Audit)
to provide robust internal and
external oversight, scrutiny and
challenge of budget options and
delivery of agreed MTFP savings
programme.

Unwillingness of elected Members
to appropriately consider advice
from professional / statutory
officers and / or professional /
statutory officers failing in their
duty to provide robust
professional advice needed by
Members to effectively discharge
their member leadership role.

Control Title	Control Owner
Strategic Statement agreed by County Council and published setting out medium-term objectives and priorities of the Council.	Paul Carter, Leader of the Council
MTFP and Budget Book agreed by Full Council and support/briefing provided for all political groups by officers on budget development options.	Zena Cooke, Corporate Director of Finance
Key and significant decision-making process in place for Executive decisions and appropriately published Forward Plan of Executive Decisions.	Ben Watts, General Counsel
Transformation plans and/or business cases for strategic change underpinning MTFP shared with non-executive members through Cabinet Committees as part of the executive decision-making arrangements.	David Cockburn, Head of Paid Service
Member and Officer codes of conduct in place and robustly monitored and enforced.	Ben Watts, General Counsel
Member development and training programme in place and overseen by Selection and Member Services Committee.	Ben Watts, General Counsel
Appropriate officer development and training programme in place and overseen by CMT.	Amanda Beer, Corporate Director – EODD

Appropriately detailed and timely financial monitoring reports considered by Cabinet and Cabinet Committees.	Zena Cooke, Corporate Director of Finance	
Appropriate performance reporting of service and corporate performance to Cabinet, Cabinet Committee and Full Council.	David Cockburn, Head of Paid Service	
Effective internal audit arrangements in place and robust monitoring arrangements for the delivery of internal audit recommendations to Governance & Audit Committee.	Zena Cooke, Corporate Director of Finance	
Provision for Chief Officers to seek written direction from Executive Members within the KCC Constitution.	Ben Watts, General Counsel	
Annual Governance Statement (AGS) arrangements in place with returns made across both senior and statutory officers.	Ben Watts., General Counsel	
Appropriate and effective corporate risk management procedures in place for the Council.	David Whittle, Director – SPRCA	
Democratic Services appropriately resourced to support effective Committee governance and scrutiny arrangements.	Ben Watts. General Counsel	
Action Title	Action Owner	Planned Completion Date
Informal member governance arrangements authorised by the KCC Constitution, jointly agreed by the Head of Paid Service and the Leader and set out published document on KNet.	David Whittle, Director SPRCA	December 2018
New 'operating standards' for KCC officers to be published on KNet.	David Whittle, Director SPRCA	December 2018
Development of single Strategic Delivery Plan for KCC.	David Whittle, Director SPRCA	March 2019
Refresh of the KCC constitution.	Ben Watts, General Counsel	April 2019