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To: Governance and Audit Committee – 22nd January 2020

Subject: **CORPORATE RISK REGISTER**

Classification: Unrestricted

Summary:

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

FOR ASSURANCE

1. Introduction and background

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

2. Corporate Risk Register

2.1 The 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 considered. It was last presented to Cabinet on 2nd December 2019.

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:

2.3.1 New Risks

- CRR0046 – Adequacy of support for children with Special Educational Needs and Disabilities (SEND) – implementation of Kent Local Area SEND Written Statement of Action. At last year's refresh, a directorate SEND risk was escalated to the corporate risk register, covering concerns relating to High Needs funding and adequacy of support for children with SEND. However, given the severity of both elements of the risk, it has been split into two corporate risks. Therefore, risk CRR0044 is now more tightly focused on the High Needs Funding risk, while this risk concentrates on the practice elements.
- CRR0047 – Maintenance and Modernisation of KCC Estate: While there has been significant investment in parts of our property estate over time, there continues to be strain on the Authority's capital budget due to ongoing demands for additional statutory and discretionary spend. As our property assets age, it is becoming increasingly challenging to ensure that they continue to be maintained to a sufficient standard, so that they remain safe, avoid significant business disruption, and are fit-for-purpose, in terms of supporting new ways of working and meeting our environmental objectives.
- CRR0048 – Fraud and Error: In any organisation, particularly a large and complex organisation such as KCC, there is an inherent risk of fraud and / or errors that result in financial loss for the council. The Counter-Fraud team is conducting further proactive work with directorates, raising awareness and assisting services with fraud risk assessments. While a number of controls are in place, complacency must always be guarded against, and a corporate risk has been created to ensure visibility, particularly until the current tranche of organisation-wide work has been completed and reviewed, to ensure any key areas of risk are identified, assessed and proactively managed.

2.3.2 Changes to risk ratings for existing risks

- CRR0002 – Safeguarding – protecting vulnerable adults: This risk has been reassessed from a 'high' rating of 20 to a 'medium' rating of 15 after review by the Corporate Director and her Directorate Management Team. This reflects the confidence in controls in place and is now at the same level as the children's safeguarding risk.
- CRR0039 – Information Governance: This risk has been raised from 'medium' to 'high' in the light of the increasing obligations and implications caused by the adoption of the Data Protection Act 2018 and the General Data Protection Regulation. Improved reporting procedures and awareness have led to increasing numbers of reported data breaches across the organisation which, in addition to the continued high risk to data security posed by cyber threats, means the overall risk is now considered "high". As part-mitigation, the Council is investigating options to optimise automated controls where appropriate, as well as reviewing methods for recording and identification of patterns or trends.

- CRR0016 – Delivery of new school places is constrained by capital budget pressures and dependency on the Education and Skills Funding Agency. This risk remains ‘high’ and has been raised from a score of 16 to 20, to reflect uncertainty due to ongoing debate with the Department for Education regarding the revised Basic Need funding formula and the lack of a confirmed Basic Need allocation for 2021/22.
- CRR0040 – Financial, Governance and Service Delivery risks associated with KCC’s Local Authority Trading Companies. The risk has been re-titled to more accurately reflect the risk events, while the level of risk has come down slightly, from a score of 12 to 9, to reflect confidence in the risk mitigations so far. The risk will be subject to further review once implementation of holding arrangements for KCC’s companies is finalised.
- CRR0042 – Post-Brexit border systems, infrastructure and regulatory arrangements. Given recent national developments, the risk now focuses on the potential for the future relationship between the UK and EU to not be agreed by the end of the implementation period in December 2020 and consequent KCC impacts. The likelihood aspect of the risk score has been listed as ‘possible’ at this stage, although the level of risk will be regularly reviewed throughout the year.
- CRR0004 – Civil Contingencies and Resilience. The level of risk has been reassessed and given a risk rating of 20, up from 16. This is due to the impact score being revised from 4 ‘serious’ to 5 ‘major’, to reflect the fact that a consequence of the risk could be, “Potential increased harm or loss of life if response is not effective.” This links to a wider review of all corporate risks to ensure that any consequences relating to serious harm to people are listed first and attract a maximum impact score of 5 out of 5.

2.3.3 Risks removed from the corporate register

- CRR0013 – Delivery of in-year savings within agreed budgets. The financial environment continues to be challenging, requiring continued savings to be made and no room for complacency. However, ensuring the council delivers its budget each year is essentially a ‘business as usual’ task, with well established, robust monitoring and reporting mechanisms in place that enable mitigating action to be taken when necessary. While this risk is to be removed, the medium-term financial and operating environment risk (CRR0009) remains on the register as a ‘high’ rated risk.
- CRR0041 – Maintaining a healthy and effective workforce. KCC’s workforce makes a vital contribution to the delivery of the Council’s strategic outcomes, through its energy, commitment and hard work and staff across the organisation need to be healthy, motivated and have the right skills to help the organisation to develop. To reflect this importance, there are a number of approaches and tools in place to engage staff and support their wellbeing and resilience. The council’s comprehensive staff survey asks several questions relating to capacity and wellbeing, and while there will be variations across the organisation, the overall KCC picture has been positive. Therefore, rather

than continue with a generic risk such as this, it is felt that the focus should be on risks flagged at directorate or divisional / service level that are more specific, with further analysis to be conducted to highlight any patterns or trends that require a corporate response. It should also be noted that workforce related risks and issues are embedded within several existing corporate risks i.e. recruitment and retention of qualified social workers etc.

- CRR0011 – Embedding KCC’s strategic commissioning approach and consistency of commissioning standards. This risk was originally added to the corporate risk register several years ago as the Authority announced its intention to become a strategic commissioning authority and set out a list of 10 commissioning principles that have been adopted. While there are still packages of work in progress, i.e. to fully embed consistent commissioning standards, this is becoming ‘business as usual’ work and more value can be added by monitoring and corporate oversight of any more specific risks at directorate or divisional / service level.
- 2.4 Several risks have also been updated as part of usual practice, to reflect contextual changes, new controls or new risk owners. For instance, CRR0005, Implementation of Local Care and Prevention agenda in Kent has been significantly revised to take account of the latest health and social care landscape.
- 2.5 While not formally entering onto the Corporate Risk Register at this stage, conversations with CMT and Cabinet also covered risks and opportunities associated with the environment agenda; as well as ensuring safe working environments for staff - areas that will be explored in more detail as the corporate register evolves. It is also possible that a strategic risk relating to markets, where they are not capable of meeting KCC requirements in terms of cost and / or quality could be added, subject to further analysis.
- 2.6 This corporate risk register refresh has taken place against a backdrop of significant uncertainty at national level and a number of these risks will require revisiting in the coming weeks, as the new Government progresses its agenda and matters of relevance to our corporate risks move forward.
- 2.7 Out of the nineteen risks 11 are currently rated as ‘high’ and 8 rated as ‘medium’, which is the same overall position as last year. All risks have mitigating actions in place that aim to achieve a target residual rating of ‘medium’ or ‘low’.
- 2.8 Further details of these risks, including controls and mitigating actions, are contained in appendix 1.
- 2.9 The Corporate Risk Team supports directorates to ensure that the Corporate Risk Register is underpinned by directorate and divisional / service risk registers, from which risks will be escalated in accordance with KCC’s Risk Management Policy.

3. Monitoring, Review and Reporting

- 3.1 There is a particular focus on ensuring that key mitigating actions are identified and progress monitored. The risks within the Corporate Risk Register, their current risk level and progress against mitigating actions are reported quarterly to Cabinet via the Quarterly Performance Report. Updates against actions due for review or completion in quarter 3 of 2019/20 have been requested from action owners and will be reported in the next Quarterly Performance Report presented to Cabinet on 23rd March 2020.
- 3.2 In addition, the corporate risks relevant to each Cabinet Committee are reported in the spring round of Committees each year along with directorate risks, allowing for discussion of these with the relevant Risk Owners and responsible Cabinet Members.
- 3.3 The Internal Audit function uses the register as a source of information to inform its audit plan for the coming year.
- 3.4 Assurance Mapping – The Internal Audit and Corporate Risk functions are collaborating to map what assurances exist against existing controls listed for the council's corporate risks, with benefits to include highlighting any gaps in assurance or potential duplicative work. This will help guide future audit planning and ensure that the listed controls are effective mitigations that support the risk ratings stated.

4. Recommendations

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

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KCC Corporate Risk Register

DRAFT

FOR PRESENTATION TO GOVERNANCE & AUDIT COMMITTEE ON 22/01/2020

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 2019
CRR0001	Safeguarding – protecting vulnerable children	15	15	↔
CRR0002	Safeguarding – protecting vulnerable adults	15	15	↓
CRR0003	Access to resources to aid economic growth and enabling infrastructure	16	12	↔
CRR0004	Civil Contingencies and Resilience	20	15	↑ (Impact re-assessed)
CRR0005	Development of Integrated Care System (ICS) / Integrated Care Programmes (ICPs) in Kent and Medway NHS system	12	8	Revised Risk
CRR0006	Resourcing implications arising from increasing complex adult social care demand	20	15	↔
CRR0007	Resourcing implications arising from children’s services demand	15	12	↔
CRR0009	Future financial and operating environment for local government	20	12	↔
CRR0014	Cyber-attack threats and their implications	16	12	↔
CRR0015	Managing and working with the social care market	20	15	↔
CRR0016	Delivery of New School Places is constrained by capital budget pressures and dependency upon the Basic Need allocation and the Education and Skills Funding Agency (ESFA)	20	12	↑
CRR0039	Information Governance	16	8	↑
CRR0040	Financial, governance and service delivery risks associated with KCC’s Local Authority Trading Companies	9	4	↓
CRR0042	Post-Brexit border systems, infrastructure and regulatory arrangements	15	12	↓
CRR0044	High Needs Funding shortfall	20	12	↔
CRR0045	Effectiveness of governance within a Member-led Authority	10	5	↔

CRR0047	Adequacy of support for children with Special Educational Needs and Disabilities (SEND) – response to Written Statement of Action	20	10	NEW
CRR0048	Maintenance and modernisation of the KCC estate	16	12	NEW
CRR0049	Fraud and Error	12	6	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.

Likelihood & Impact Scales					
Likelihood	Very Unlikely (1)	Unlikely (2)	Possible (3)	Likely (4)	Very Likely (5)
Impact	Minor (1)	Moderate (2)	Significant (3)	Serious (4)	Major (5)

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 a complex and challenging environment. e.g. the challenge of recruiting and retaining suitably experienced and qualified permanent staff.	Failure to fulfil statutory safeguarding obligations. Failure to meet the requirements of the “Prevent Duty” placed on Local Authorities.	Incident of serious harm or death of a vulnerable child. Serious impact on vulnerable people. Impact on ability to recruit the quality of staff critical to service delivery.	Matt Dunkley Corporate Director Children, Young People and Education (CYPE)	Possible (3)	Major (5)	
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.		Serious operational and financial consequences. Attract possible intervention from a national regulator for failure to discharge corporate and executive responsibilities.	Responsible Cabinet Member(s): Sue Chandler, Integrated Children’s Services Richard Long, Education and Skills Mike Hill (Lead Member for PREVENT)	Target Residual Likelihood Possible (3)	Target Residual Impact Major (5)	
This risk links to the demand for children’s services risk (CRR0007).						
Control Title					Control Owner	
Consistent scrutiny and performance monitoring through Divisional Management Team, “Performance, Challenge and support” meetings and audit activity					Sarah Hammond, Director of Integrated Services (Children’s Social Work Lead) / Matt Dunkley, Corporate Director, CYPE	
Kent Safeguarding Children Multi-Agency Partnership (KSCMP)_arrangements in place, replacing the previous Kent Safeguarding Children Board.					Matt Dunkley, Corporate Director CYPE (KCC	

	representative on Executive Board) / David Whittle, Director SPRCA
New KSCMP arrangements include a Scrutiny and Assurance Framework.	David Whittle, Director SPRCA
“Section 11” audit conducted periodically to provide assurance that relevant agencies and individuals are co-operating to safeguard children and promote their welfare, with feedback and follow-up.	Mark Janaway, Performance and Programme Manager, KSCMP
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 People and Communications
Multi-agency public protection arrangements (MAPPA) in place	Kevin Kasaven, Assistant Director Safeguarding and Quality Assurance
Extensive staff training – Integrated Children’s Services are rolling out a new practice framework	Sarah Hammond, Director of Integrated Services (Children’s Social Work Lead) / Stuart Collins, Director Integrated Services (Early Help and Preventative Services Lead)
Children’s Assurance Board established to give assurance to the rest of the council, including safeguarding arrangements. Now includes review of qualitative audit information and triangulates with quantitative picture.	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
KCC cross-directorate PREVENT group meets regularly and ensures the PREVENT duty is embedded across the organisation. Regular updates are provided to the Corporate Management Team	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, identifies themes and patterns for accountable managers to respond to and provides challenge.	Kevin Kasaven, Assistant Director, Safeguarding and Quality Assurance
Practice Forums being introduced into each area to offer support for Practitioners, bring case examples and cover key themes	Kevin Kasaven, Assistant Director, Safeguarding and Quality Assurance.
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 welfare concerns and where other agencies have been involved with the family. Awareness raising taking place with other practitioners	Keith Abbott, Director 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	Kevin Kasaven, 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)
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
Embedding of new multi-agency safeguarding children arrangements including Scrutiny and Assurance Framework	David Whittle, Director SPRCA / Matt Dunkley Corporate Director, CYPE	March 2020 (review)
Approval and launch of new adolescent risk management process	Stuart Collins, Director Integrated Services (Early Help and Preventative Services lead)	December 2019
'Deep dive' activity to investigate vacancy rates for staff that reflects factors such as maternity leave.	Sarah Hammond, Director of Integrated Services (Children's Social Work Lead)	December 2019
Further development of Kent & Medway PREVENT action plan with colleagues in Medway Council	Nick Wilkinson, Prevent and Channel Strategic Manager	March 2020 (review)
Agree appropriate level of resource to enable effective delivery of the new Kent Safeguarding Children Multi-Agency Partnership arrangements	David Whittle, Director SPRCA	March 2020

Risk ID	CRR0002	Risk Title	Safeguarding – protecting vulnerable adults			
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
<p>The Council must fulfil its statutory obligations to effectively safeguard vulnerable adults, in a complex and challenging environment e.g. challenges relating to demand for services and consistent quality of care in the provider market.</p> <p>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.</p> <p>In addition, the Government’s “Prevent Duty” requires the Local Authority to act to prevent people from being drawn into terrorism.</p> <p>This risk links to the demand risk (CRR0006).</p>	<p>Failure to fulfil statutory obligations.</p> <p>Failure to meet the requirements of the “Prevent Duty” placed on Local Authorities.</p>	<p>Incident of serious harm or death of a vulnerable adult.</p> <p>Serious impact on vulnerable people.</p> <p>Serious impact on ability to recruit the quality of staff critical to service delivery.</p> <p>Serious operational and financial consequences.</p> <p>Attract possible intervention from a national regulator for failure to discharge corporate and executive responsibilities.</p>	<p>Penny Southern, Corporate Director Adult Social Care and Health (ASCH)</p> <p>Responsible Cabinet Member(s):</p> <p>Clair Bell, Adult Social Care and Public Health</p> <p>Mike Hill (Lead Member for PREVENT)</p>	<p>Possible (3)</p> <p>Target Residual Likelihood</p> <p>Possible (3)</p>	<p>Major (5)</p> <p>Target Residual Impact</p> <p>Major (5)</p>	
Control Title			Control Owner			
Dedicated safeguarding team in place with countywide overview			Julie Davidson, Head of Adult Safeguarding			
Multi agency public protection arrangements in place			Julie Davidson, 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 / Julie Davidson, Head of Adult Safeguarding
Regular reporting on safeguarding takes place for Directors and elected Members to allow for scrutiny of progress	Penny Southern, Corporate 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	Julie Davidson, Head of Adult Safeguarding
Kent and Medway Safeguarding Adults Board Learning and Development Competence Framework is reviewed annually	Julie Davidson, Head of Adult Safeguarding
New framework for safeguarding practice developed as part of the new ASCH operating model	Julie Davidson, Head of Adult Safeguarding / Divisional Directors

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 is due to 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 and meet KCC's statutory duties.</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 housing 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): Mike Whiting, Economic Development</p> <p>Michael Payne, Highways & Transport</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)			

Teams across the Growth, Environment and Transport directorate work with each individual District on composition of local infrastructure plans including priorities for the CIL and Section 106 contributions, to articulate needs for the demands on services	David Smith, Director Economic Development / Katie Stewart, Director EPE	
Single Monitoring System (SMS) is used to track individual s106 planning obligations from the Council's initial request for developer contributions through to the issue of invoice for payment.	Economic Development / EPE	
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 its Local Industrial Strategy 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	
Local Transport Plan 4 produced and approved by County Council	Tom Marchant, Head of Strategic Planning & Policy	
KCC has responded to the Government's 'Strengthened Local Enterprise Partnerships' review	David Smith, Director Economic Development	
Action Title	Action Owner	Planned Completion Date
Engage with stakeholders to draw up an agreed Enterprise & Productivity Strategy 2018-2050	David Smith, Director Economic Development	March 2020
Respond to consultation on Government's UK Shared Prosperity Fund when available	David Smith, Director Economic Development	TBC – once consultation has been launched.
Work with LEP partners to implement new LEP arrangements arising from the 'Strengthened Local Enterprise Partnerships' review as appropriate, including contributing to the development of a Local Industrial Strategy	David Smith, Director Economic Development	April 2020
Refresh of Growth and Infrastructure Framework	Katie Stewart, Director EPE	March 2020 (proposal sign-off) March 2021 (completion)
Re-establishment of an infrastructure funding group, covering areas such as local plans, management of planning applications etc.	Tom Marchant, Head of Strategic Planning & Policy	February 2020

Risk ID	CRR0004	Risk Title	Civil Contingencies and Resilience				
Source / Cause of Risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	Target Residual Likelihood	Target Residual 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. 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 implications 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>On behalf of Cabinet:</p> <p>Mike Hill, Community & Regulatory Services</p> <p>Susan Carey, Environment</p>	<p>Likely (4)</p> <p>Possible (3)</p>	<p>Major (5)</p> <p>Major (5)</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	Andrew 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	Lisa Guthrie, KCC Manager, Kent Resilience Team
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	Andrew Cole, Head of ICT Strategy and Commissioning
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 / Katie Stewart, Director EPE
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	Katie Stewart, Director EPE	
Kent Resilience Forum Local Authorities Emergency Planning group's mutual aid arrangements with District Councils and other councils across the region undertaken	Lisa Guthrie, KCC Manager, Kent Resilience Team	
KCC services have reviewed business continuity arrangements, taking potential no-deal Brexit scenarios into consideration (cross-reference to CRR0042), with coordination via Directorate Resilience Groups	Service Managers / Directorate Resilience Chairs	
KCC has a Major Emergency Plan that is refreshed regularly	Tony Harwood, Resilience and Emergencies Manager	
Action Title	Action Owner	Planned Completion Date
Continued preparations for implications of potential no-deal Brexit, including reviewing the post-event multi-agency approach to 'Recovery' phase that is led by KCC, supply chain implications etc.	Barbara Cooper, Corporate Director GET	January 2020 (review)
Implement a work programme to deliver Kent County Council compliance with the Radiation (Emergency Preparedness and Public Information) Regulations 2019, including amendments to the Dungeness Offsite Emergency Plan	Tony Harwood, Resilience and Emergencies Manager	May 2020
Review of Kent Resilience Forum Local Authorities Emergency Planning group's mutual aid arrangements with District Councils and other councils across the region	Fiona Gaffney, Head of Resilience and Emergency Planning and Kent Resilience Team Manager (KCC)	February 2020

Risk ID	CRR0005	Risk Title	Development of ICS/ICP in Kent and Medway NHS system			
Source / Cause of Risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
The Kent & Medway NHS system is under significant pressure with increasing levels of demand driving across financial deficits across commissioner and provider budgets, placing pressure on the Kent & Medway NHS system control total.	Failure to develop more partnership and aligned health & social care services and commissioning at both ICS and ICP level places pressure on system finances and hinders highest possible quality of care.	Further deterioration in the financial and service sustainability of health and social care services in Kent and Medway.	Penny Southern, Corporate Director Adult Social Care & Health (ASCH)	Possible (3)	Serious (4)	
In response the NHS in Kent and Medway forming an Integrated Care System (ICS) with 8 CCGs merging to form the basis of the System Commissioner, above four ICPs (Integrated Care Partnerships) and 42 PCN's (Primary Care Networks).	Development of four ICP generates additional demand/work on strategic leadership of KCC, particularly in ASCH and Public Health which has significant opportunity costs, including impact on business as usual activity.	Additional budget pressures transferred to social care as system monies are used to close acute and primary care service gaps.	Vincent Godfrey, Strategic Commissioner	Target Residual Likelihood	Target Residual Impact	
The policy intent of structural reform is to deliver better strategic planning and delivery of health and social care services at place-based community level and shift from acute to primary and community level services.	Multiple ICP's leads to differences in form, function and relationships between ICPs and the ICS and/or KCC which increases system complexity and leads to variation which increase costs/risks.	Legal challenge/judicial review of decisions and decision-making framework for joint decisions.	Andrew Scott-Clark, Director Public Health	Unlikely (2)	Serious (4)	
The relative roles and responsibilities between the proposed ICS and the emerging ICPs in Kent is still under development. The final legal structure and functional responsibilities of ICPs is still	System complexity leads to failure to meet statutory duties around the sufficiency of the care market, care quality and safeguarding.	Social care and public health priorities not sufficiently factored into/shaping emerging ICS/ICP plans and priorities, weakening integrated approach.	Responsible Cabinet Member(s): Roger Gough, Leader of the Council			
		Focus on structural changes workstreams prevents more agile improvements/joint	Clair Bell, Adult Social Care and Public Health			

under development and may require primary legislative change. Regulators (CQC / Ofsted) increasing review health and care services and the commissioning/performance of those services and 'system' level.	Lack of understanding within KCC of NHS policy and regulatory environment; and vice versa, lack of understanding of local authority legislative, policy and democratic environment in NHS.	working being undertaken. Reputational damage to either KCC or NHS or both in Kent. Adverse outcome from CQC local system review.
Control Title		Control Owner
Health Reform and Public Health Cabinet Committee provides non-executive member oversight and input of KCC involvement in the STP		Ben Watts, General Counsel
Senior KCC political and officer representation on the System Transformation Executive Board and System Commissioner Steering Group		Penny Southern, Corporate Director ASCH Andrew Scott-Clark, Director Public Health Vincent Godfrey, Strategic Commissioner
Senior KCC level officer representation on the East Kent, West, North and Medway & Swale ICP Development Boards		Penny Southern, Corporate Director ASCH
County Council agreed framework for KCC engagement within the STP		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
Public Health Leadership for the STP Prevention workstream		Andrew Scott-Clark, Director Public Health
Working through KCC Public Health partnership with the Kent Community Healthcare Foundation Trust (KCHFT) to ensure Public Health improvement programmes are linked and delivered alongside Local Care through Primary Care Networks and other primary care providers (e.g. community pharmacy)		Andrew Scott-Clark, Director Public Health
Action Title	Action Owner	Planned Completion Date

Review appropriate level of KCC representation at subject specific ICP boards once the governance has been finalised in each ICP.	Penny Southern, Corporate Director ASCH	April 2020 (review)
Implementation of Adult Social Care and Health whole system Programme of change to deliver social care outcomes in a more efficient and sustainable way.	Penny Southern, Corporate Director ASCH	May 2020 (review)

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 public sector funding restraint, 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): Clair Bell, Adult Social Care and Public Health	Likely (4)	Major (5)	
Control Title				Target Residual Likelihood	Target Residual Impact	
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				Possible (3)	Major (5)	
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 and existing service users, promoting self-management to reduce dependency	Andrew Scott-Clark, Director Public Health/ ASCH Divisional Directors
Best Interest Assessments (BIA) training package delivered as part of a rolling programme twice yearly	Julie Davidson, Interim 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	Julie Davidson, Interim 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. Set out in Kent Integration and Better Care Fund plan.	Penny Southern, Corporate Director ASCH
New operating model for Adult Social Care and Health, including Promoting Wellbeing approach to help manage demand	Penny Southern, Corporate Director ASCH
Action Title	Action Owner
Planned Completion Date	
Development of a Whole System Programme of Change - conduct a whole system assessment across Adult Social Care & Health (ASCH) to future-proof the services facing these challenges.	Helen Gillivan, Head of Business Delivery Unit, ASCH
	April 2020 (review)

Risk ID	CRR0007	Risk Title	Resourcing implications arising from Children's Services demand (excludes SEND – covered in CRR0044)			
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, policy/legislative changes etc. At a local level KCC is faced with particular 'pressure points' in several districts. These challenges need to be met as 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 workflow into integrated children's services leading to unsustainable pressure being exerted on them (recognising seasonal spikes).	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 and potentially difficult policy decisions required. Ultimately an impact on outcomes for children, young people and their families.	Matt Dunkley, Corporate Director CYPE Responsible Cabinet Member(s): Sue Chandler, Integrated Children's Services	Possible (3)	Major (5)	
				Target Residual Likelihood	Target Residual Impact	
				Possible (3)	Serious (4)	
Control Title				Control Owner		
The <i>Change for Kent Children</i> 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 Children's 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	
'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, Kent Safeguarding Children Multi-agency Partnership	
The Children's Social Work budget has been adjusted to compensate for additional demand	Cath Head, Head of Finance (Operations)	
Relationships with London Councils allow us to understand / test their intentions on an individual site basis regarding any large-scale potential purchasing of land.	Debra Exall, Strategic Relationships Advisor	
Action Title	Action Owner	Planned Completion Date
Implementation of Change for Kent Children programme – phase 2	Matt Dunkley, Corporate Director, CYPE	April 2020 (review)
Examination of re-referrals following social work assessments that led to no further action, to develop greater understanding of the nature of this type of demand	Sarah Hammond, Director Integrated Children's Services (Social Work lead)	December 2019

Risk ID	CRR0009	Risk Title	Future financial and operating environment for Local Government			
<p>Source / Cause of risk</p> <p>Uncertainty over the funding settlement beyond 2020-21 in the absence of Spending Review. Whilst some aspects of the revenue budget and medium term financial plan can be predicted with reasonable accuracy (particularly spending pressures, tax base, full year effect of current year savings and savings already identified in existing plan) the uncertainty over the funding settlement means that there are a wide range of scenarios regarding the unfunded gap. Some of the scenarios would require the council to make substantial savings in order to balance the budget posing a significant risk to the council's financial sustainability and robustness of reserves.</p> <p>The uncertainty also applies to services funded via ring-fenced specific grants. Of particular concern is the special educational needs and disability (SEND) provision funded by the Dedicated Schools Grant (DSG). The high needs block of DSG has not kept pace with the substantial increase in demand for SEND (see</p>	<p>Risk Event</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. Quality of KCC commissioned / delivered services suffers as financial situation continues to worsen.</p> <p>Delays and uncertainty surrounding Spending / Fair Funding reviews impacts on KCC's medium term financial planning.</p>	<p>Consequence</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>Risk Owner (s)</p> <p>On behalf of CMT:</p> <p>Zena Cooke, Corporate Director Finance (Section 151 Officer)</p> <p>Responsible Cabinet Member(s):</p> <p>All Cabinet Members</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>	

<p>CRR0044) despite additional injections savings resulting is deficit accruing on DSG spending.</p> <p>The uncertainty also applies to capital expenditure funded by grants. In particular, if the basic need grant is insufficient to provide the number of school places identified in the commissioning plan the authority may not have capacity to incur additional borrowing costs to make up for the shortfall.</p>	
Control Title	Control Owner
Robust budgeting and financial planning in place via Medium Term Financial Planning (MTFP) process, including stakeholder consultation	Zena Cooke, Corporate Director Finance (Section 151 Officer)
Processes in place for monitoring delivery of savings and budget as a whole	Zena Cooke, Corporate Director Finance (Section 151 Officer)
KCC Strategic Statement 2015-2020 and annual report outline key strategic outcomes that the Authority aims to achieve during this period	Roger Gough, Leader of the Council
KCC Quarterly Performance Report monitors key performance and activity information for KCC commissioned or delivered services. Regularly reported to Cabinet	Rachel Kennard, Chief Analyst
Ongoing oversight of implications relating to proposed Local Authority pension fund changes	Nick Vickers, Head of Financial Services
Financial analysis conducted after each budget statement	Dave Shipton, Head of Finance (Policy, Strategy and Planning)
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, Head of Finance (Policy, Strategy and Planning)	June 2020 (review)
Engage with Government for a fair-funding needs formula for Grant distribution and tariffs/top ups under business rate retention	Dave Shipton, Head of Finance (Policy, Strategy and Planning)	June 2020 (review)
Ensure appropriate response to Government Spending Review 2020	Dave Shipton, Head of Finance (Policy, Strategy and Planning)	September 2020
Assess impact of and respond to social care green paper	Penny Southern, Corporate Director ASCH	TBC – once paper is available
Assess implications arising from design of the UK Shared Prosperity Fund (cross-reference to CRR0003)	David Smith, Director Economic Development	TBC – once consultation is launched
Lobby Government for appropriate funding for KCC to cover the impacts of Brexit e.g. new burdens imposed.	Dave Shipton, Head of Finance (Policy, Strategy and Planning)	December 2019 and ongoing
Lobby Government regarding High Needs funding concerns	Dave Shipton Head of Finance (Policy, Strategy and Planning)/ Matt Dunkley, Corporate Director CYPE	June 2020 (review)
Development of new KCC Strategic Statement 2020-2025, recognising the challenging environment and setting out refreshed strategic priorities.	David Whittle, Director SPRCA	March 2020

Risk ID	CRR0014	Risk Title	Cyber-attack threats and their implications			
<p>Source / Cause of Risk</p> <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>Risk Event</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>Consequence</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>Risk Owner(s)</p> <p>Rebecca Spore, Director Infrastructure</p> <p>Ben Watts, General Counsel and KCC Data Protection Officer</p> <p>Amanda Beer, Corporate Director People and Communications</p> <p>Responsible Cabinet Member(s):</p> <p>Peter Oakford, Finance, Corporate and Traded Services</p> <p>Shellina Prendergast, Communications, Engagement and People</p> <p>Roger Gough, Leader</p>	<p>Current Likelihood</p> <p>Likely (4)</p> <p>Target Residual Likelihood</p> <p>Possible (3)</p>	<p>Current Impact</p> <p>Serious (4)</p> <p>Target Residual Impact</p> <p>Serious (4)</p>	

Control Title	Control Owner
Systems are configured in line with best practice security controls proportionate to the business information being handled. Systems are risk assessed and reviewed to ensure compliance is maintained	Kathy Stevens, ICT 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 / Rebecca Spore, Director Infrastructure / All Managers
Electronic Communications User Policy, Virus reporting procedure and social media guidelines in place	Andrew Cole, Head of ICT Strategy and Commissioning
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	Kathy Stevens, Compliance and Risk Manager
Messages to encourage increased awareness of information security amongst staff are being 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
A Cyber incident response and management policy has been developed which strengthens the responsibilities and accountabilities across the Authority	Kathy Stevens, ICT Compliance and Risk Manager

Changes and additions to security controls remains an on-going theme as the Authority updates and embraces new technologies.		Andrew Cole, Head of ICT Strategy and Commissioning
Action Title	Action Owner	Planned Completion Date
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	March 2020
Implementation of action plan in response to findings of independent cyber-security and resilience review	Andrew Cole, Head of ICT Strategy and Commissioning	TBC – once reviewed by Corporate Information Governance Group

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	
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)	
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. Providers choose not to tender for services at Local Authority funding levels or accept service users with complex needs.		Responsible Cabinet Member(s): Clair Bell, Adult Social Care and Public Health Roger Gough, Leader of the Council	Target Residual Likelihood Possible (3)	Target Residual Impact Major (5)	
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				Rachel Kennard, Chief Analyst		
Regular engagement 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 review the capacity of the Home Care market with a view to developing a strategy to ensure market coverage	Clare Maynard, Head of Commissioning Portfolio – Outcome 2 and 3	
Ensuring contracts have indexation clauses built-in, managed through contract monitoring	Kieran Hannan, Strategic Commissioning	
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)	
Older Person's accommodation strategy refreshed, which analyses demand and need and sets the future vision and direction for accommodation to support vulnerable Kent residents alongside the Adult Social Care Strategy – Your Life, Your Wellbeing.	Penny Southern, Corporate Director ASCH	
Phase 1 of Care and Support in the Home Services contract live, combining homecare and community based supporting independence services. This has reduced the number of care packages being placed off contract	Tracey Schneider, Commissioning Manager	
Ongoing work to improve maturity of the market	Vincent Godfrey, Strategic Commissioner	
Action Title	Action Owner	Planned Completion Date
Community Support Market Position Statement being refreshed, to inform market shaping, oversight and sustainability	Simon Mitchell, Interim Commissioner	March 2021
Implementation of phase 2 of the Care in the Home Services refresh, bringing the various Discharge services and Supported Living Services under the Care in the Home Umbrella.	Tracey Schneider, Commissioning Manager	April 2020
Commissioning of Disability and Mental Health Residential Care services, including consideration of changes to current sleep-in arrangements. Procurement stages align with phase 2 of the Care in the Home Services contracts	Paula Watson, Senior Commissioner	April 2020

Analytical work is being conducted on assessments and reviews in adult social care to help inform key commissioning activity

Rachel Kennard, Chief Analyst

March 2020 (review)

Risk ID	CRR0016	Risk Title	Delivery of New School Places is constrained by capital budget pressures and dependency upon the Basic Need allocation and 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 (see risk CRR0003) 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>There is still uncertainty regarding the 2021/2022 Basic Need allocation, which means that the</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 must 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>Responsible Cabinet Member(s): Richard Long, Education and Skills</p>	<p>Very Likely (5)</p> <p>Target Residual Likelihood Likely (4)</p>	<p>Serious (4)</p> <p>Target Residual Impact Significant (3)</p>	

council will need to enter into contracts without certainty over future funding.	
Control Title	Control Owner
The Kent Commissioning Plan contains the forecast expansion numbers and locations. A school expansion programme has been mapped, costed and kept under review	Keith Abbott, Director Education Planning and Access
The school expansion programme is under member scrutiny and review by relevant Education and Property 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
Lobbying continues - meetings with senior officials from the ESFA and civil servants to outline and evidence the risks and issues	Keith Abbott, Director of Education, Planning and Access / Rebecca Spore, Director of Infrastructure	January 2020 (review)

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, including disposal of data under the Data Protection Act 2018, which is particularly challenging given the volume of information handled by the authority on a daily basis.</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 David Whittle, Senior Information Risk Owner</p> <p>Responsible Cabinet Member(s):</p> <p>Roger Gough, Leader</p> <p>Shellina Prendergast, Communications, Engagement and People</p>	<p>Likely (4)</p> <p>Target Residual Likelihood Unlikely (2)</p>	<p>Serious (4)</p> <p>Target Residual Impact 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 Modules 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 People and Communications	
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
Investigate the costs and benefits of introducing additional information governance controls utilising capabilities of Microsoft Office 365	David Whittle, Director SPRCA/Ben Watts, General	January 2020

Counsel

Review methods of recording data breaches and identification / analysis of trends

Ben Watts, General Counsel

March 2020

Risk ID	CRR0040	Risk Title	Financial, governance and service delivery 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 increased number of wholly-owned companies, 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</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>Ben Watts, General Counsel</p> <p>Zena Cooke, Corporate Director Finance (Section 151 Officer)</p> <p>Responsible Cabinet Member(s):</p> <p>Peter Oakford, Finance, Corporate and Traded Services</p>	<p>Current Likelihood</p> <p>Possible (3)</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>	

trading companies.		
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	Diane Trollope, Head of Engagement and Consultation	
KCC's Group Audit function conducts audits for KCC-owned companies	Francesca Chivers Audit Manager	
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	Peter Oakford, Cabinet Member for Finance, Corporate and Traded Services / Ben Watts, General Counsel / Zena Cooke, Corporate Director Finance (Section 151 Officer)	
Action Title	Action Owner	Planned Completion Date
Finalise implementation of holding arrangements for KCC's companies	Ben Watts, General Counsel	March 2020

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 agreement on the future relationship between the UK and the EU is not reached by the end of the 'implementation period' leading to immediate third country status for the UK after 31 st December 2020.	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	Possible (3)	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 Brock and other mitigations for port delays.	Responsible Cabinet Member(s): Michael Payne, Highways & Transport	Target Residual Likelihood Possible (3)	Target Residual Impact Serious (4)	
	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 Hill, Community & Regulatory Services			
	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	Significant long-term detrimental impact on county's economic competitiveness, attractiveness for inward investment and quality of life for Kent residents.				

<p>infrastructure to support post-Brexit border arrangements.</p>	
Control Title	Control Owner
<p>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</p>	<p>Barbara Cooper, Corporate Director GET</p>
<p>KCC membership and co-chair of the Kent Border Planning Steering Group and associated working groups such as Emergency Planning, Infrastructure etc.</p>	<p>Barbara Cooper, Corporate Director GET</p>
<p>KCC membership and support to the Kent Resilience Forum</p>	<p>Mike Overbeke, Head of Public Protection</p>
<p>Operation Fennel strategic plan in place</p>	<p>Barbara Cooper, Corporate Director GET (KCC lead)</p>
<p>KCC involvement in Operation Fennel Strategic and Tactical Groups (multi-agency planning groups for potential disruption at Port of Dover and Eurotunnel). KCC to chair Strategic Group as arrangements revert back to planning phase.</p>	<p>Barbara Cooper, Corporate Director GET (KCC lead)</p>
<p>KCC contribution to multi-agency communications in the 'response' phase, and leadership of communications in the 'planning' and 'recovery' phases</p>	<p>Christina Starte, Head of Communications</p>
<p>KCC cross-directorate Resilience Forum reviews latest situation regarding Brexit preparedness</p>	<p>Stephanie Holt-Castle, Interim Director Special Projects</p>
<p>KCC Brexit Lead Officer appointed, as key liaison with Government departments for Brexit planning.</p>	<p>Barbara Cooper, Corporate Director GET</p>
<p>KCC services are continually reviewing business continuity arrangements, taking potential no-deal Brexit scenarios into consideration (cross-reference to CRR004), with coordination via Directorate Resilience Groups</p>	<p>Service Managers / Directorate Resilience Group Chairs</p>
<p>Funding secured via Government Depts for direct impact costs of Brexit in the county</p>	<p>Barbara Cooper, Corporate Director GET</p>

Action Title	Action Owner	Planned Completion Date
KCC continues to make a case for further funding from the Ministry of Housing, Communities and Local Government (MHCLG) and Department for Transport (DfT) for direct impact costs of Brexit in the county.	Barbara Cooper, Corporate Director GET	January 2020(review)
Continued preparations for implications of potential no-deal Brexit, including reviewing the post-event multi-agency approach to 'Recovery' phase that is led by KCC, supply chain implications etc. (cross-reference to CRR0004).	Barbara Cooper, Corporate Director GET	January 2020 (review)

Risk ID	CRR0044	Risk Title	High Needs Funding shortfall			
<p>Source / Cause of risk</p> <p>The pressure on the High Needs budget within Kent has been identified as the highest revenue budget risk. The demand for Special Educational Needs and Disability (SEND) support is rising and at a much faster rate than the school age population, and the Council's Dedicated Schools Grant (DSG) budget is overspending on the High Needs Block and has already accrued a deficit on the DSG reserve.</p> <p>Corresponding pressure on some of KCC's non-DSG SEND related budgets e.g. SEN Home to School Transport, is also being experienced.</p> <p>Consequently, meeting the needs of children and young people with SEND within available resources is becoming ever more challenging.</p> <p>The ability to forecast costs in future years is difficult.</p> <p>The Department for Education (DfE) is introducing tighter reporting requirements on local authorities who have a deficit in their DSG account.</p>	<p>Risk Event</p> <p>Inability to manage within budget going forward.</p> <p>Inability to reduce accumulated deficit on Dedicated Schools Grant reserve.</p>	<p>Consequence</p> <p>Continued funding of deficit on the DSG reserve by net surplus balances in other reserves becomes unsustainable, impacting on the financial resilience of the Council.</p> <p>Impact on support for children with SEND (cross reference to CRR0047).</p>	<p>Risk Owner</p> <p>Matt Dunkley, Corporate Director CYPE</p> <p>Responsible Cabinet Member(s): Richard Long, Education & Skills</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	
Continual lobbying of Government on two matters; increased funding in both the short and medium term, and structural changes to government policy to help reduce the demand i.e. via County Council Network, Association of Directors' of Children's Services. Includes provision of evidence of the impact of the High Needs pressures on the quality of education children receive, schools, other providers and the Local Authority.	Roger Gough, Leader of the Council and /Richard Long, Cabinet Member Education & Skills / Matt Dunkley, Corporate Director CYPE	
KCC conducted a review of provision of pupils in mainstream schools with High Needs, introducing changes aiming to ensure the number of High Needs pupils in mainstream schools does not contribute to the current budget pressures.	Janice Venn, Finance Business Partner / Keith Abbott, Director of Education Planning and Access	
Specific top up funding rates provided for SEND pupils placed in mainstream schools for eligible children and young people, agreed with Schools' Funding Forum.	Janice Venn, Finance Business Partner / Keith Abbott, Director of Education Planning and Access	
Block payment arrangement negotiated with Further Education colleges for 2018-19 and 2019-20. For this early confirmation and certainty in funding colleges are expected to absorb inflationary pressures and provide support to any growth in the number of post 16 young people with High Needs.	Janice Venn, Finance Business Partner / Keith Abbott, Director of Education Planning and Access	
Action Title	Action Owner	Planned Completion Date
<p>Implementation of SEND Written Statement of Action to better address the relationship between learner need, outcomes, provision and cost.</p> <p>Including:</p> <ul style="list-style-type: none"> - Building capacity and an inclusive ethos in mainstream schools to improve teaching and confidence in supporting more children with higher levels of need. - Tighter commissioning arrangements to drive down the cost of placements in Independent Non-Maintained Special Schools 	Matt Dunkley, Corporate Director CYPE	March 2020 (review)
Further develop block payment funding arrangements with Further Education colleges, in order to provide stability in High Needs funding to both parties	Janice Venn, Finance Business Partner	April 2020 (review)

As required by the DfE, a recovery plan is to be produced (if accumulated DSG reserve deficit balance exceeds 1% of total DSG allocation) outlining how KCC can bring in-year spending in line with in-year funding, and fully repay the accumulated deficit on the DSG reserve account. To be presented to the Schools' Funding Forum and approved by the Council's Section 151 Officer

Keith Abbott, Director of
Education Planning and
Access / Zena Cooke,
Corporate Director Finance
(Section 151 Officer).

May 2020

Risk ID	CRR0045	Risk Title	Effectiveness of governance within a Member-led Authority			
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
<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>KCC's constitution explicitly references its Member-led / Officer managed demarcation, which consequently 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>Professional / statutory officers failing in their duty to provide robust professional advice needed by Members to effectively discharge their member leadership role, or unwillingness of elected Members to appropriately consider advice from professional / statutory officers.</p> <p>Over reliance on informal governance arrangements and</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>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>Roger Gough, Leader of the Council</p> <p>David Cockburn, Head of Paid Service</p>	<p>Unlikely (2)</p> <p>Target Residual Likelihood</p> <p>Very Unlikely (1)</p>	<p>Major (5)</p> <p>Target Residual Impact</p> <p>Major (5)</p>	

political group meetings to direct officers and make decisions outside of formal statutory decision-making and scrutiny arrangements.

Policy options regarding the service offer of the Council are not adequately or appropriately considered within the budget development/approval process.

Failure of the governance structures 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.

Control Title	Control Owner
Strategic Statement agreed by County Council and published setting out medium-term objectives and priorities of the Council	Roger Gough, 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 Finance (Section 151 Officer)
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 People and Communications	
Appropriately detailed and timely financial monitoring reports considered by Cabinet and Cabinet Committees	Zena Cooke, Corporate Director Finance (Section 151 Officer)	
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 Finance (Section 151 Officer)	
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	
Informal governance arrangements authorised by the KCC Constitution have been published on KNet, as a practical guide for how officers work with elected Members to help them support effective decision making for our service users, residents and communities.	David Whittle, Director SPRCA	
New operating standards for KCC officers that support KCC's constitution published on KNet, signposting officers to essential policy information and additional guidance on specific topics, to help officers discharge their responsibilities effectively.	David Whittle, Director SPRCA	
A single Strategic Delivery Plan for KCC has been developed	David Whittle, Director SPRCA	
Action Title	Action Owner	Planned Completion Date
Further amendments to KCC's Constitution	Ben Watts, General Counsel	May 2020
Review of informal governance arrangements	David Whittle, Director SPRCA	March 2020

Review of KCC Operating Standards	David Whittle, Director SPRCA	March 2020
Ongoing review of effectiveness of Cabinet Committees and consideration of alternative arrangements	Roger Gough, Leader / Ben Watts, General Counsel	June 2020 (review)

Risk ID	CRR0047	Risk Title	Adequacy of support for children with Special Educational Needs and Disabilities (SEND) – implementation of Kent Local Area SEND Written Statement of Action			
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
Ofsted and the Care Quality Commission (CQC) conducted a joint inspection of the local area of Kent in early 2019, to judge the effectiveness of the area in implementing the disability and special educational needs reforms set out in the Children and Families Act 2014.	Insufficient improvement in areas identified within set timescales.	Adverse impact on outcomes for vulnerable young people. Dissatisfaction from families. Potential for legal action if statutory time limits or processes are not met.	Matt Dunkley, Corporate Director CYPE	Likely (4)	Major (5)	
While a number of strengths were identified, a number of weaknesses and areas of concern were raised.			Responsible Cabinet Member(s):	Target Residual Likelihood	Target Residual Impact	
In response to these concerns a programme has been identified across both KCC and Clinical Commissioning Groups to implement the changes and improvements required.			Sue Chandler, Integrated Children's Services	Unlikely (2)	Major (5)	
The programme is being delivered against a challenging backdrop of significant increases in demand and a shortfall in High Needs funding (see risk CRR0044).						
Control Title				Control Owner		
0-25 Health and Wellbeing Board is the strategic board for children's services that oversees delivery of these services in Kent				Matt Dunkley, Corporate Director CYPE (KCC lead)		

SEND Improvement Board established, to ensure collaborative working across education, health and social care, to have a strategic overview of services and drive the operational workstreams that have been developed to address each area of significant weakness	Matt Dunkley, Corporate Director CYPE (KCC lead)	
SEND Change for Kent Children Board in place, with responsibility for coordinating activity and tracking progress across the five identified workstreams in the Written Statement of Action	Keith Abbott, Director of Education Planning and Access	
Action Title	Action Owner	Planned Completion Date
Kent Joint SEND vision to be finalised in conjunction with parents, which will be used to guide the actions within the Written Statement of Action and development of the new SEND strategy.	Matt Dunkley, Corporate Director CYPE (KCC lead)	December 2019
Development of a local area SEND Strategy in collaboration with partners, which goes beyond the Written Statement of Action to enable sustained improvement and transform Kent's SEND offer	Keith Abbott, Director of Education Planning and Access	July 2020 (review)
In collaboration with partners, implement the Kent Written Statement of Action, covering five key workstreams relating to: -Parental engagement and co-production -Inclusive practice and the outcomes, progress and attainment of children and young people. -Quality of Education, Health and Care Plans -Joint commissioning and governance -Service provision	Keith, Abbott, Director of Education, Planning and Access / Head of SEN Assessment and Placement / Rachel Jones, Director of Acute Strategy and Partnerships (NHS)	March 2020 (review)
Inform Government-commissioned review into support for children with SEND	Matt Dunkley, Corporate Director CYPE / Keith Abbott, Director Education Planning and Access.	Ongoing

Risk ID	CRR0048	Risk Title	Maintenance and modernisation of KCC Estate			
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
While there has been significant investment in parts of our estate over time, there will never be enough funding available to satisfy all aspirations relating to modernisation of our estate. It is becoming increasingly challenging to ensure that all of our property assets are maintained to a sufficient standard, so that they are safe and fit-for-purpose. As parts of our estate age (e.g. some of our schools and our corporate headquarters), maintenance and / or modernisation costs will increase, and will be sub-optimal in terms of our environmental footprint and supporting new working practices. Ongoing investment to maintain and modernise our estate continues to compete with the other priorities to protect frontline services from effects of public sector funding restraint. Property asset considerations need to be viewed as part of a strategic picture alongside technology and people strategies and the appetite for change tested.	Insufficient investment in KCC estate to ensure it remains safe and fit-for-purpose.	Business interruption due to increasing level of reactive / emergency repairs required, or parts of the estate decommissioned (in whole or partially) if deemed unsafe. Adverse impact on achievement of environmental targets. Adverse impact on opportunities to rethink current working practices and adopt new ways of working. Impact on staff morale and productivity.	On behalf of CMT: Rebecca Spore, Director of Infrastructure Responsible Cabinet Member(s): Peter Oakford, Finance, Corporate and Traded Services	Likely (4)	Serious (4)	
				Target Residual Likelihood	Target Residual Impact	
				Possible (3)	Serious (4)	

Control Title	Control Owner	
Service Asset Utilisation Board reviews how service strategies align with use of assets and potential for changes	Barbara Cooper, Corporate Director GET	
Safety factors associated with our assets are given priority during the budget setting process.	Zena Cooke, Corporate Director Finance (Section 151 Officer)	
An annual programme of planned preventative maintenance is undertaken at KCC sites by the relevant Facilities Management contract partners	Vikram Bhatia, Infrastructure Commissioning	
Property commissioning function takes a 'hands on' approach to building compliance management	Vikram Bhatia, Infrastructure Commissioning	
Action Title	Action Owner	Planned Completion Date
Revisit KCC's Property Asset Strategy, reviewing the principles and ensuring an effective locality offer matched to need, in the context of financial constraints	Rebecca Spore, Director of Infrastructure	February 2020 (review)
Development of rolling 3-year Condition Programme in order to gain a clearer picture of long-term backlog of works	James Sanderson, Strategic Capital Programme Manager	March 2020 (review)
Consolidated lifecycle plan to be developed for properties	Lifecycle Programme Manager	March 2020 (review)

Risk ID	CRR0049	Risk Title	Fraud and Error			
Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
As with any organisation, there is an inherent risk of fraud and/or error that must be acknowledged and proactively managed. It is critical that management implements a sound system of internal control and demonstrates commitment to it at all times, and that investment in fraud prevention and detection technology and resource is sufficient. This includes ensuring that new emerging fraud/error issues are sufficiently risk assessed.	Failure to prevent or detect significant acts of fraud or error from either internal or external sources.	Financial Loss. Reputational damage.	Zena Cooke, Corporate Director Finance (Section 151 Officer)	Possible (3)	Serious (4)	
			Responsible Cabinet Member(s):	Target Residual Likelihood	Target Residual Impact	
			Peter Oakford, Finance, Corporate and Traded Services	Unlikely (2)	Significant (3)	
Control Title				Control Owner		
Anti-fraud and corruption strategy in place and reviewed annually				James Flannery, Counter-Fraud Manager		
Systems of internal control which aim to prevent fraud and increase the likelihood of detection				Corporate Management Team/Statutory Officers		
Internal Audit includes proactive fraud work in its annual audit plan, identifying potential areas where frauds could take place and checking for fraudulent activity.				Jonathan Idle, Head of Internal Audit		
Training and awareness raising is conducted periodically				James Flannery, Counter-Fraud Manager / Amanda		

		Beer, Corporate Director People and Communications
Preventing Bribery Policy in place, presenting a clear and precise framework to understand and implement the arrangements required to comply with the Bribery Act 2010		James Flannery, Counter-Fraud Manager
Whistleblowing Policy in place for the reporting of suspicions of fraud or financial irregularity		James Flannery, Counter-Fraud Manager
KCC is part of the Kent Intelligence Network (KIN), a joint project between 12 district councils, Medway Council, Kent Fire & Rescue and Kent County Council which analyses and data matches financial and personal information to allow fraudulent activity in locally administered services to be detected more proactively within Kent		Nick Scott, Operations Manager, Kent Intelligence Network / James Flannery, Counter-Fraud Manager (KCC lead)
An agreed Memorandum of Understanding is in effect with partners (District Councils, Police and Fire Service) outlining the minimum standards expected to be applied by collection authorities (District Councils) to address fraud and error relating to council tax and business rates. Additional work jointly funded to identify and investigate high risk cases based on each authority's share of the tax base.		Dave Shipton, Head of Finance (Policy, Strategy and Planning)
Action Title	Action Owner	Planned Completion Date
Review levels of proactive and reactive counter-fraud work to ensure an optimum balance and address the impact of the scale of referrals received upon the team's ability to deliver preventative work and proactive fraud work, which returns savings and other benefits to the Council	James Flannery, Counter-Fraud Manager	TBC
Fraud risk assessments have been developed by the Counter-Fraud team and are being considered by service directorates to aid awareness and facilitate appropriate mitigations.	Directorate Management Teams	March 2020 (review)
Review existing arrangements for segregation of duties, with focus on high risk areas e.g. commissioning/procurement	James Flannery, Counter-Fraud Manager	March 2020 (review)