APPENDIX 2 - Directorate Risk Registers - Summary Risk Profile

Risk No.	Risk Title	Current Risk Rating	Target Risk Rating	Direction of Travel since January 2021
AH0005	<u>Continued pressures on public sector funding impacting on revenue and capital budgets</u> The recruitment and retention of staff continues to be a challenge for Adult Social Care and the wider care sector. There is a need to ensure that a suitably qualified and experienced workforce is in place to deliver services. This includes making sure critical roles are filled with staff who have the right skill set. Staff feel engaged and supported within the workplace.	20	16	⇔
AH0033	<u>Workforce – recruitment and retention of staff</u> The recruitment and retention of staff continues to be a challenge for Adult Social Care and the wider care sector. There is a need to ensure that a suitably qualified and experienced workforce is in place to deliver services. This includes making sure critical roles are filled with staff who have the right skill set. Staff feel engaged and supported within the workplace.	20	9	⇧
AH0038	<u>Information Governance</u> Responsibility of UK GDPR and Data Protection (2018) obligations are the responsibility of all ASCH staff and staff need to have a strong understanding of obligations, consequences and processes and working arrangements to ensure social care clients' data is looked after throughout their whole journey. It is paramount that strong Information Governance arrangements and working practices are in place to ensure social care clients' data is looked after throughout their whole journey. Adult Social Care & Health (ASCH) directorate are responsible for ensuring continued compliance with UK GDPR and Data Protection (2018) obligations. Failure to comply could lead to losses of information	12	9	NEW RISK

	and data breaches which would have an impact on social care clients and cause reputational consequences. It could also mean a loss of access to data (e.g., health) and the success of this directorate is dependent on sharing information with multiple organisations to provide the best possible care and support to an individual. In significant circumstances failure to comply could also lead to fines or sanctions.				
AH0011	Business disruption Impact of emergency or major business disruption on the ability of the Directorate to provide essential services to meet its statutory obligations. The potential of a multitude of business resilience measures impacting together.	12	9		⇩
AH0037	Information Asset Management Fit for purpose configuration of ASC systems to enable data quality, consistency and trust of data.	12	6	NEW RISK	
AH0035	Future Models Delivery of large-scale change programmes across both KCC and Adult Social Care and Health ensuring alignment of priorities and proportionality. Risk that Adult Social Care and Health work in silo and miss joint working opportunities.	9	6	NEW RISK	
CY0038	Potential increase in NEETs following Covid-19 Due to young people being out of school for a significant period of time during lockdown which may result in an increased number of young people not returning to education, employment or training.	12	12		⇔
CY0034	Business Continuity and Resilience There is a risk that critical services are unprepared or have	12	8		⇔

	ineffective emergency and business continuity plans.			
CY0009	<u>Children not in full time education not receiving a suitable education</u> Due to the complexities and amount of data involved, and the integration of the restructure involving Early Help and Children's Services, there is a risk that professionals working with a C&YP may not be aware that children are not accessing education and therefore are failing to receive an adequate education.	12	6	⇔
CY0032	<u>Information Governance</u> There is a risk that the Directorate may fail to manage data in accordance with the GDPR regulations and data is lost, misused or inappropriately disclosed.	9	6	⇔
CY0039	<u>Performance of the Liberi and EHM business applications.</u> Over the weekend of 30/31 January 2021, Kent ICT systems experienced an outage which impacted Liquid Logic. This resulted in a collapse of the EHM and Liberi platforms meaning that there are practice-based risks, including safeguarding concerns. Reputational risk to KCC. Impact on statutory return completion.	8	8	RE-OPENED RISK
CY0030	<u>Management of the CYPE Directorate in year budget</u> Due to increasing levels of budgetary restraint and an increase in demand for some statutory provisions, particularly around home to school transport, as well as the increasing pupil population, there is a risk that the Directorate will fail to deliver its budget.	6	6	⇔
GT0001	<u>Health and Safety and wellbeing considerations</u> There are risks to staff wellbeing as a result of prolonged	20	10	⇔

	pressures relating to coronavirus response and recovery efforts. The risk also considers health and safety factors regarding the safe operation of KCC services for service users.			
GT0004	Skills shortage and capacity issues to apply for funding and manage contracts and projects There is a risk that KCC will be unable to satisfactorily submit suitable business cases and manage the projects due to a shortage of staff with the appropriate skill set within KCC. In addition, it is possible that the Authority will be unable to attract or retain suitably trained project managers as the private sector remains competitive in this area.	20	6	⇧
GT0025	Capital Investment and Asset Management Insufficient funding set aside/available to maintain existing and future demand. Budget is insufficient to adequately maintain our 8,700km road network and associated assets worth around £19.8bn. Funding risk for other services such as PROW and Windmills and waste sites.	15	9	NEW RISK
GT0008	Ash Dieback There is a risk that significant numbers of ash trees may be affected by this disease leading to the destruction of the Ash species in the County. In addition, the costs associated with monitoring and dealing with the removal of infected trees are increasing annually and this could impact on the budget for the services involved.	12	12	⇔
GT0021	Internal services provided to the Directorate do not meet an acceptable standard	12	9	⇩

	There is a risk that the quality of the internal services that are provided to the Directorate do not meet required standards, causing a reduction in the performance of the Directorate's services in the eyes of the public and service users.			
GT0003	Directorate preparedness for, management of and impact of severe weather incidents Failure by key services in GET to deliver suitable planning measures, respond to and manage these events when they occur. This includes gaining assurance over delivery of services down the supply chain.	12	9	⇩
GT0026	Net Zero and Insufficiency of Funding Additional infrastructure not provided to achieve our strategic priorities. This is both relating to funding risk and delivery risk.	12	9	NEW RISK
GT0024	Information Governance There is a risk that the Directorate may fail to manage data in accordance with the UK GDPR regulations and data is lost, misused or inappropriately disclosed.	12	6	⇔
GT0020	Identification, planning and delivery of Medium-Term Financial Plan targets There is a risk that Medium Term Financial Plan (MTFP) budget targets are not met, including the risk of greater than planned for reductions or cessation of external funding and grants; variations in service activity or new service pressures arising that require additional savings and income generation.	12	4	⇩
GT0019	Delivery of in-year budget targets There is a risk that budget targets are not met, including the risk	12	4	⇔

	of greater than planned for reductions or cessation of external funding and grants or reduced funding. Risk of costs from any aborted capital projects being charged back to the directorate creating additional in-year pressures.			
ST0023	Workforce capacity across the directorate Insufficient capacity to maintain day-to-day delivery, including supporting service changes across the Authority. Lack of depth / resilience of key staff or succession plans not sufficiently robust.	16	12	⇔