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To: Governance and Audit Committee – 24<sup>th</sup> July 2019

Subject: **CORPORATE RISK REGISTER**

Classification: Unrestricted

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### **Summary:**

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

### **FOR ASSURANCE**

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## **1. Introduction and background**

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

## **2. Monitoring, Review and Reporting of the Corporate Risk Register**

2.1 The Council has a Risk Management Policy & Strategy, which is reviewed by this Committee annually each January. This contains information about KCC's organisational Risk Management Framework, including the process for monitoring of key risks across the Authority and the hierarchy of risk registers. It is available on KCC's intranet site.

2.2 There is a small Corporate Risk Team supporting 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.

2.3 Corporate risks of relevance to each Cabinet Committee are reported to them annually, along with directorate risks, allowing for discussion and scrutiny of these risks with the relevant Risk Owners and responsible Cabinet Members present.

- 2.4 There is a focus on ensuring that key mitigating actions are identified, and progress monitored. The risks within the Corporate Risk Register, their current risk level and progress against mitigating actions are reported quarterly to Cabinet via the Quarterly Performance Report. Updates against actions due for review or completion in quarter 1 of 2019/20 have been requested from action owners and will be reported in the next Quarterly Performance Report presented to Cabinet on 23<sup>rd</sup> September 2019.

### **3. Corporate Risk Register**

- 3.1 The Corporate Risk Register contains 19 risks, of which 10 areas of risk are currently rated as 'high' and 9 rated as 'medium'. All risks have mitigating actions that either aim to ensure the risk is maintained at current level, or to achieve a reduced target residual rating.
- 3.2 Since last reported to Governance and Audit Committee in January 2019, three changes to risk scores have been made to the corporate risk register:
- 3.2.1 CRR0042 - post Brexit border systems, infrastructure and regulatory arrangements was raised from 20 to 25 due to the continuing uncertainty at national level and the fact that a deal between the UK and EU has not yet been reached. It is important that services remain prepared for a potential no-deal scenario and that lead-in times to 'stand up' contingency arrangements again are clear. There is an ongoing dependency on Government Departments to provide additional information, advice and guidance to aid Local Authorities and their partners in their preparations.
- 3.2.2 CRR0007 - the corporate risk relating to resourcing implications arising from cost of demand for children's services has been reduced slightly from 20 (high) to 15 (medium), in part due to the impact of integration work. It is noted, however, that demands on children's services relating to Special Educational Needs and Disabilities (SEND) are covered separately in another corporate risk and that risk remains high.
- 3.2.3 CRR0041 – maintaining a healthy and effective workforce risk has come back down from 12 to 8 (medium) due to positive responses to relevant aspects of our staff survey and implementation of an action plan, although there will always be pockets of capacity and capability challenges within services that will need managing.
- 3.3 The in-year budgetary risk level for KCC has been reviewed based on early indications from BRAG (Blue, Red, Amber, Green) monitoring. It currently sits at 9 (medium) but will be kept under review.
- 3.4 CRR0009 relating to the medium-term financial risk has been updated to reflect the potential for a one-year settlement for local government before the next 3-year Spending Review due to uncertainties at national level, one of the consequences being the impact on the Council's ability to conduct effective medium-term planning. The risk is currently scored at 20 (high).

- 3.5 CRR0003: Access to resources to aid economic growth and enabling infrastructure. This risk is being reviewed to ensure that concerns around delays to infrastructure projects as well as lack of access to funding, and continued housing pressures are sufficiently captured.
- 3.6 Risks relating to the potential for unintended consequences arising from the expected cap on public sector exit payments are being considered. The Government has launched a specific consultation on how the cap should be implemented and in due course a further briefing will be given to Personnel Committee on the implications.
- 3.7 Governance & Audit Committee back in January questioned the removal of the migration risk relating to bulk placements into Kent from the corporate risk register as a specific risk. To the best of our knowledge there is no intelligence at this stage to suggest further bulk placements are imminent. The situation will be kept under review.
- 3.8 Further details of these risks, including controls and mitigating actions, are contained in appendix 1.
- 3.9 The Corporate Risk Register is due for its more comprehensive refresh during the autumn, involving consultation with all CMT and Cabinet Members. This includes asking questions such as:
- a) Are the key risks still relevant?
  - b) Is the scope of the risks appropriate?
  - c) Has anything occurred which could impact upon them?
  - d) Have risk appetite or tolerance levels changed?
  - e) Are related performance / early warning indicators available and appropriate?
  - f) Are the controls in place effective?
  - g) Has the current risk level changed and if so, is it decreasing or increasing?
  - h) How realistic is the 'target' level of risk and over what period is it expected to be achieved (if not already)?
  - i) If the risk is increasing what further actions might be needed?
  - j) If risk exposure is decreasing can controls be relaxed?
  - k) Are there risks that need to be discussed with, or communicated to, other functions across the Council or with other stakeholders?
- 3.10 Views from Governance and Audit Committee are welcome to feed into the review.

#### **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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# **APPENDIX 1**

## **KCC Corporate Risk Register**

**FOR PRESENTATION TO GOVERNANCE & AUDIT COMMITTEE ON 24/07/2019**

## 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 January 2019
CRR0001	Safeguarding – protecting vulnerable children	15	15	↔
CRR0002	Safeguarding – protecting vulnerable adults	20	15	↔
CRR0003	Access to resources to aid economic growth and enabling infrastructure	16	12	↔
CRR0004	Civil Contingencies and Resilience	16	12	↔
CRR0005	Implementation of Local Care and Prevention with Health partners in Kent	12	8	↔
CRR0006	Resourcing implications arising from increasing complex adult social care demand	20	15	↔
CRR0007	Resourcing implications arising from children’s services demand	15	12	↓
CRR0009	Future financial and operating environment for local government	20	12	↔
CRR0011	Embedding KCC’s strategic commissioning approach and consistency of commissioning standards	9	6	↔
CRR0013	Delivery of in-year savings within agreed budgets	9	4	↔
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 on the Education and Skills Funding Agency	16	12	↔
CRR0039	Information Governance	12	8	↔
CRR0040	Opportunities and risks associated with KCC’s Local Authority Trading Companies	12	4	↔
CRR0041	Maintaining a healthy and effective workforce	8	8	↓
CRR0042	Post-Brexit border systems, infrastructure and regulatory arrangements	25	20	↑

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

\*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)

<b>Risk ID</b>	<b>CRR0001</b>	<b>Risk Title</b>	<b>Safeguarding – protecting vulnerable children</b>			
<b>Source / Cause of risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>	
The Council must fulfil its statutory obligations to effectively safeguard vulnerable children.  In addition, the Government's "Prevent Duty" requires the Local Authority to act to prevent people from being drawn into terrorism, with a focus on the need to safeguard children at risk of being drawn into terrorism.  This risk links to the demand for children's services risk (CRR0007).	Ability to fulfil statutory obligations affected by demand for services exceeding capacity and capability, or adequacy of management and operational practice.  Failure to recruit and retain suitably experienced and qualified permanent staff.  Failure to meet the requirements of the "Prevent Duty" placed on Local Authorities.	Serious impact on vulnerable people.  Impact on ability to recruit the quality of staff critical to service delivery.  Serious operational and financial consequences.  Attract possible intervention from a national regulator for failure to discharge corporate and executive responsibilities.  Incident of serious harm or death of a vulnerable child.	Matt Dunkley Corporate Director Children, Young People and Education (CYPE)  <b>Responsible Cabinet Member(s):</b>  Roger Gough Children, Young People and Education  Mike Hill (Lead Member for PREVENT)	Possible (3)	Major (5)	
<b>Control Title</b>				<b>Control Owner</b>		
Consistent scrutiny and performance monitoring through Divisional Management Team, District 'Deep Dives' and audit activity				Sarah Hammond, Director of Integrated Services (Children's Social Work Lead)		
Independent scrutiny by Kent Safeguarding Children Board				Independent Chair Kent Safeguarding Children Board		
Manageable caseloads per social worker and robust caseload monitoring. Social work vacancies monitored with action taken to address as required				Sarah Hammond, Director of Integrated Services (Children's Social Work Lead)		

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

place with other practitioners	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)	
Detailed understanding of requirements for Joint Targeted Area Inspections	Sarah Hammond, Director of Integrated Services (Children's Social Work Lead)	
Kent and Medway Gangs Strategy 2018-21 outlines the multi-agency approach to ending the criminal exploitation of vulnerable children and adults by gangs	Stuart Collins, Director Integrated Services (Early Help and Preventative Services lead)	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Preparation for new multi-agency safeguarding arrangements in response to Children & Social Work Act requirements	Matt Dunkley, Corporate Director CYPE / David Whittle, Director SPRCA	September 2019

Risk ID	CRR0002	Risk Title	Safeguarding – protecting vulnerable adults			
<b>Source / Cause of risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>	
The Council must fulfil its statutory obligations to effectively safeguard vulnerable adults.	Ability to fulfil statutory obligations affected by demand for services exceeding capacity and capability; adequacy of practice; or quality of care in the provider market.	Serious impact on vulnerable people.	Penny Southern, Corporate Director Adult Social Care and Health (ASCH)	Likely (4)	Major (5)	
The change from 'safeguarding alerts' to 'safeguarding enquiries' has led to a significant increase in the number of safeguarding concerns received. There has also been an increase in domestic abuse referrals.	Failure to meet the requirements of the "Prevent Duty" placed on Local Authorities.	Serious impact on ability to recruit the quality of staff critical to service delivery.	<b>Responsible Cabinet Member:</b> Clair Bell, Adult Social Care and Public Health  Mike Hill (Lead Member for PREVENT)	<b>Target Residual Likelihood</b> Possible (3)	<b>Target Residual Impact</b> Major (5)	
In addition, the Government's "Prevent Duty" requires the Local Authority to act to prevent people from being drawn into terrorism.		Serious operational and financial consequences.				
This risk links to the demand risk (CRR0006)		Attract possible intervention from a national regulator for failure to discharge corporate and executive responsibilities.				
		Incident of serious harm or death of a vulnerable adult.				
<b>Control Title</b>			<b>Control Owner</b>			
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	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Develop an action plan for safeguarding audits	Julie Davidson, Head of Adult Safeguarding	June 2019

Risk ID	CRR0003	Risk Title	Access to resources to aid economic growth and enabling infrastructure			
<p><b>Source / Cause of Risk</b></p> <p>The Council seeks access to resources to develop the enabling infrastructure for economic growth, regeneration and health.</p> <p>However, in parts of Kent, there is a significant gap between the costs of the infrastructure required to support growth and the Council's ability to secure sufficient funds through s106 contributions, Community Infrastructure Levy and other growth levers to pay for it.</p> <p>At the same time, Government funding for infrastructure is limited and competitive and increasingly linked with the delivery of housing and employment outputs.</p> <p>A UK Shared Prosperity Fund will replace EU structural funds, with further clarity to be provided on how to access, and links with Local Enterprise Partnerships (also being reviewed) and the development of Local Industrial Strategies.</p>	<p><b>Risk Event</b></p> <p>Inability to secure sufficient contributions from development to support growth.</p> <p>Funders do not recognise Kent priorities for investment.</p> <p>Lack of resources to continuously shape and determine bids.</p>	<p><b>Consequence</b></p> <p>Key opportunities for growth missed.</p> <p>The Council finds it increasingly difficult to fund KCC services across Kent (e.g. schools, waste services) and deal with the impact of growth on communities.</p> <p>Kent becomes a less attractive location for inward investment and business.</p> <p>Our ability to deliver an enabling infrastructure becomes constrained.</p> <p>Reputational risk.</p>	<p><b>Risk Owner</b></p> <p>Barbara Cooper, Corporate Director Growth, Environment and Transport (GET)</p> <p><b>Responsible Cabinet Member(s):</b></p> <p>Mark Dance, Economic Development</p> <p>Mike Whiting, Planning, Highways, Transport &amp; Waste</p>	<p><b>Current Likelihood</b></p> <p>Likely (4)</p> <p><b>Target Residual Likelihood</b></p> <p>Possible (3)</p>	<p><b>Current Impact</b></p> <p>Serious (4)</p> <p><b>Target Residual Impact</b></p> <p>Serious (4)</p>	

<b>Control Title</b>	<b>Control Owner</b>	
Growth and Infrastructure Framework for Kent and Medway published, setting out the infrastructure needed to deliver planned growth	Stephanie Holt-Castle, Interim Director Environment Planning & Enforcement (EPE)	
Environment Planning & Enforcement and Economic Development teams working with each individual District on composition of infrastructure plans including priorities for the CIL and Section 106 contributions, from which gaps can be identified	David Smith, Director Economic Development / Stephanie Holt-Castle, Interim Director EPE	
Coordinated approach in place between Development Investment Team and service directorates	David Smith, Director Economic Development	
Dedicated team in Economic Development in place, working with other KCC directorates, to lead on major sites across Kent	David Smith, Director Economic Development	
Strong engagement of private sector through Kent and Medway Economic Partnership (KMPE), Business Advisory Board and Kent Developer Group	David Smith, Director Economic Development	
Strong engagement with South East LEP and with central Government to ensure that KCC is in a strong position to secure resources from future funding rounds	Dave Hughes, Head of Business and Enterprise	
KCC is actively engaged in preparation of local plans across Kent and Medway, responding to all consultations	Tom Marchant, Head of Strategic Planning & Policy	
Local Transport Plan 4 produced and approved by County Council	Tom Marchant, Head of Strategic Planning & Policy	
Organisation Development plan is targeting gaps in resources to support bids.	GET Directorate Management Team	
KCC has responded to the Government's 'Strengthened Local Enterprise Partnerships' review	David Smith, Director Economic Development	
KCC has contributed to the refresh of the Strategic Economic Plan, now entitled 'Economic Strategy Statement'	Barbara Cooper, Corporate Director Growth, Environment and Transport	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
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	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	David Smith, Director Economic Development	April 2020

Risk ID	CRR0004	Risk Title	Civil Contingencies and Resilience			
<p><b>Source / Cause of Risk</b></p> <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 implication of a 'no-deal' Brexit.</p>	<p><b>Risk Event</b></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><b>Consequence</b></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><b>Risk Owner</b></p> <p>On behalf of CMT:</p> <p>Barbara Cooper, Corporate Director Growth, Environment &amp; Transport (GET)</p> <p><b>Responsible Cabinet Member(s):</b></p> <p>On behalf of Cabinet:</p> <p>Mike Hill, Community &amp; Regulatory Services</p>	<p><b>Current Likelihood</b></p> <p>Likely (4)</p> <p><b>Target Residual Likelihood</b></p> <p>Possible (3)</p>	<p><b>Current Impact</b></p> <p>Serious (4)</p> <p><b>Target Residual Impact</b></p> <p>Serious (4)</p>	
<b>Control Title</b>					<b>Control Owner</b>	
<p>Legally required multi-agency Kent Resilience Forum in place, with work driven by risk and impact based on Kent's Community Risk Register. Includes sub-groups relating to Health and Severe Weather</p>					<p>Mike Overbeke, Head of Public Protection (for Kent Resilience Team Activity)</p>	

The Director of Public Health works through local resilience fora to ensure effective and tested plans are in place for the wider health sector to protect the local population from risks to public health	Andy Scott-Clark, Director of Public Health
Management of financial impact to include Bellwin scheme	Cath Head, Head of Finance (Operations)
Implementation of Kent's Climate Adaptation Action Plan	Carolyn McKenzie, Head of Sustainable Business and Communities
Local multi-agency flood response plans in place for each district / borough in Kent, in addition to overarching flood response plan for Kent	Fiona Gaffney, Head of Resilience and Emergency Planning and Kent Resilience Team Manager (KCC)
On-going programme of review relating to ICT Disaster Recovery and Business Continuity arrangements. ICT resilience improvements are embedded as part of the ICT Transformation Programme	Rebecca Spore, Director of Infrastructure
Kent Resilience Team in place bringing together personnel from KCC, Kent Police and Kent Fire and Rescue Service in an integrated and co-located team to deliver enhanced emergency planning and business continuity in Kent	Mike Overbeke, Head of Public Protection
Multi-Agency recovery structures are in place at the Strategic and Tactical levels & working effectively over the short term	Stephanie Holt-Castle, Interim Director Environment Planning & Enforcement (EPE)
KCC and local Kent Resilience Forum partners have tested preparedness for chemical, biological, radiological, nuclear and explosives (CBRNE) incidents and communicable disease outbreaks in line with national requirements	Andrew Scott-Clark, Director Public Health
Emergency planning training rolled out at strategic, tactical and operational levels. KCC Resilience Programme in place to deliver further training opportunities and exercises regularly conducted to test different elements of KCC emergency and business continuity arrangements with partners	Stephanie Holt-Castle, Interim Director EPE
Updated and expanded Duty and Recovery Director rota introduced	Stephanie Holt-Castle, Interim Director EPE
KCC Business Continuity Management Policy and overarching Business Continuity Plan in place, underpinned by business continuity plans at service level	Stephanie Holt-Castle, Interim 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 <sup>rd</sup> parties	Stephanie Holt-Castle, Interim 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	Stephanie Holt-Castle, Interim Director EPE	
New approach to Business Continuity Governance arrangements implemented, to enable increased focus on directorate issues and complement KCC's cross-directorate Resilience group	Fiona Gaffney, Head of Resilience and Emergency Planning and Kent Resilience Team Manager (KCC)	
Kent Resilience Forum Local Authorities Emergency Planning group's mutual aid arrangements with District Councils and other councils across the region undertaken	Fiona Gaffney, Head of Resilience and Emergency Planning and Kent Resilience Team Manager (KCC)	
KCC services have reviewed business continuity arrangements, taking potential no-deal Brexit scenarios into consideration (cross-reference to CRR0042)	Service Managers	
KCC's Major Emergency Plan refreshed in April 2019	Tony Harwood, Resilience and Emergencies Manager	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Continued preparations for implications of potential no-deal Brexit	Barbara Cooper, Corporate Director Growth, Environment and Transport	October 2019

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

Erosion of long-term working relationships between NHS and local government.

Reputational damage to either KCC or NHS or both in Kent.

Adverse outcome from CQC local system review.

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

County Council agreed framework for KCC engagement within the STP – ongoing monitoring and control taking place through STP Secretariat	Penny Southern, Corporate Director ASCH	
A joint KCC and Medway Health and Wellbeing Board for STP related matters/issues has been established	David Whittle, Director SPRCA	
KCC has appointed an elected Member to the STP non-executive oversight group	Paul Carter, Leader of the Council	
Public Health Leadership for the STP Prevention workstream	Andrew Scott-Clark, Director Public Health	
Assessment undertaken on NHS 10-year plan and its impact on the STP	David Whittle, Director SPRCA	
Public Health provides advice to the Service Commissioning Board as per KCC statutory requirement	Andrew Scott-Clark, Director Public Health	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Delivery of the Adult Social Care and Health Local Care Implementation Plan	Penny Southern, Corporate Director ASCH	September 2019 (review)
Delivery of Kent and Medway STP Prevention Plan	Andrew Scott-Clark, Director Public Health	September 2019 (review)
10-year plan and Kent JSNA/Case for Change	Andrew Scott-Clark, Director Public Health	August 2019

<b>Risk ID</b>	<b>CRR0006</b>	<b>Risk Title</b>	<b>Resourcing implications arising from increasing complex adult social care demand</b>			
<b>Source / Cause of risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>	
Adult social care services across the country are facing growing pressures. The cost of adult social care services in Kent continues to increase due to the complexity of presenting need, including increasing numbers of young adults with long-term complex care needs.  This is all to be managed against a backdrop of reductions in Government funding, implications arising from the implementation of the Care Act, increases in Deprivation of Liberty Assessments, impacts associated with reducing budgets of partner agencies and longer-term demographic pressures.  Adult social care services are part of a complex system to meet needs, which requires the whole system to work cohesively.	Council is unable to manage and resource to future demand and its services consequently do not meet future statutory obligations and/or customer expectations.	Customer dissatisfaction with service provision.  Increased and unplanned pressure on resources.  Decline in performance.  Legal challenge resulting in adverse reputational damage to the Council.  Financial pressures on other council services.	Penny Southern, Corporate Director Adult Social Care and Health (ASCH)  <b>Responsible Cabinet Member(s):</b> Clair Bell, Adult Social Care and Public Health	Likely (4)	Major (5)	
<b>Control Title</b>				<b>Target Residual Likelihood</b>	<b>Target Residual Impact</b>	
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						Andrew Scott-Clark, Director

and existing service users, promoting self-management to reduce dependency	Public Health/ ASCH Divisional Directors	
Best Interest Assessments (BIA) training package delivered as part of a rolling programme twice yearly	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	Penny Southern, Corporate Director ASCH	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Implementation of Kent Integration and Better Care Fund plan	Penny Southern, Corporate Director ASCH	June 2019 (review)
Embedding of new operating model for Adult Social Care and Health, including Promoting Wellbeing approach to help manage demand	Penny Southern, Corporate Director ASCH	September 2019 (review)

<b>Risk ID</b>	<b>CRR0007</b>	<b>Risk Title</b>	<b>Resourcing implications arising from Children's Services demand (excludes SEND – covered in CRR0044)</b>			
<b>Source / Cause of risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>	
Local Authorities continue to face increasing demand for specialist children's services due to a variety of factors, including consequences of highly publicised child protection incidents and serious case reviews, a marked increase in children with Special Educational Needs and Disabilities (SEND) and policy/legislative changes.	High volumes of workflow into Early Help and Preventative Services (EHPS) and Specialist Children's Services (SCS) leading to unsustainable pressure being exerted on them (recognising seasonal spikes such as end of term).	Children's services performance declines as demands become unmanageable.	Matt Dunkley, Corporate Director CYPE	Possible (3)	Major (5)	
At a local level KCC is faced with particular 'pressure points' in several districts.	Failure to maximise opportunities offered by integration of EHPS and SCS where appropriate.	Failure to deliver statutory obligations and duties or achieve social value.	<b>Responsible Cabinet Member(s):</b> Roger Gough Children, Young People and Education	<b>Target Residual Likelihood</b> Possible (3)	<b>Target Residual Impact</b> Serious (4)	
These challenges need to be met as early help and preventative services and specialist children's services face increasingly difficult financial circumstances and operational challenges.		Additional financial pressures placed on other parts of the Authority at a time of severely diminishing resources.				
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.		Ultimately an impact on outcomes for children, young people and their families.				

<b>Control Title</b>	<b>Control Owner</b>	
The Change for Kent Children Programme is working to ensure that vulnerable families can access the right support through intensive work in Early Help Units and Step-Down Panels, open access services or through targeted casework	Stuart Collins, Director Integrated Services (Early Help and Preventative Services Lead)	
Intensive focus on ensuring early help to reduce the need for specialist children's support services	Matt Dunkley, Corporate Director CYPE	
Early Help & Preventative Services have outlined priorities for service development and change, including ambitious targets to improve outcomes for children, young people and families	Stuart Collins, Director Integrated Services (Early Help and Preventative Services Lead)	
Kent Safeguarding Children Board 'threshold' document outlines the criteria required by partners when making a referral and have been working with partners to promote aid appropriate application	Mark Janaway, Programme and Performance Manager	
The Children's Social Work budget has been increased to compensate for the additional demand	Dave Shipton, Acting Section 151 Officer	
Relationships with London Councils which allow us to understand / test their intentions on an individual site basis	David Whittle, Director SPRCA	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Implementation of Change for Children in Kent programme – phase 2	Matt Dunkley, Corporate Director, CYPE	September 2019 (review)

<b>Risk ID</b>	<b>CRR0009</b>	<b>Risk Title</b>	<b>Future financial and operating environment for Local Government</b>			
<b>Source / Cause of risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner (s)</b>	<b>Current Likelihood</b>	<b>Current Impact</b>	
<p>Uncertainty over the funding settlement for 2020-21 in the absence of Spending Review and current hiatus in government. 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 2020-21 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 CRR0044) despite additional</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>Unsustainable financial situation, ultimately resulting in s114 notice.</p> <p>Potential for partner or provider failure – including sufficiency gaps in provision.</p> <p>Reduction in resident satisfaction and reputational damage.</p>	<p>On behalf of CMT:</p> <p>Dave Shipton, Acting Section 151 Officer</p> <p><b>Responsible Cabinet Member (s):</b> All Cabinet Members</p>	<p>Likely (4)</p> <p><b>Target Residual Likelihood</b> Possible (3)</p>	<p>Major (5)</p> <p><b>Target Residual Impact</b> Serious (4)</p>	

injections savings resulting is deficit accruing on DSG spending.

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.

<b>Control Title</b>	<b>Control Owner</b>
Robust budgeting and financial planning in place via Medium Term Financial Planning (MTFP) process, including stakeholder consultation	Dave Shipton, Acting Section 151 Officer
Processes in place for monitoring delivery of savings and budget as a whole	Dave Shipton, Acting Section 151 Officer
KCC Strategic Statement 2015-2020 and annual report outline key strategic outcomes that the Authority aims to achieve during this period	Paul Carter, Leader of the Council
KCC Quarterly Performance Report monitors key performance and activity information for KCC commissioned or delivered services. Regularly reported to Cabinet	Steph Smith, Head of Performance & Information Management
Ongoing oversight of implications relating to proposed Local Authority pension fund changes	Nick Vickers, Business Partner (external funding)
Support being provided to the Leader of KCC in his role as Chair of the County Councils Network (CCN)	David Whittle, Director SPRCA
Financial analysis conducted after each budget statement	Dave Shipton, Acting Section 151 Officer
Engagement with CCN, other local authorities and Government of potential opportunities and issues around devolution and public reform	David Whittle, Director SPRCA
Continued engagement with Government for a fair Basic Need allocation to meet the demand for school places	Keith Abbott, Director Education Planning and

		Access
Action Title	Action Owner	Planned Completion Date
Work proactively with Government regarding how the new business rate retention scheme can be most effectively implemented	Dave Shipton, Acting Section 151 Officer	June 2019 (review)
Engage with Government for a fair-funding needs formula for Grant distribution and tariffs/top ups under business rate retention	Dave Shipton, Acting Section 151 Officer	June 2019 (review)
Ensure appropriate response to Government Spending Review 2019	Dave Shipton, Acting Section 151 Officer	September 2019
Assess impact of and respond to social care green paper	Penny Southern, Corporate Director ASCH	September 2019
Assess implications arising from design of the UK Shared Prosperity Fund (cross-reference to CRR0003)	David Smith, Director Economic Development	July 2019
Lobby Government for appropriate funding for KCC to cover the impacts of Brexit e.g. new burdens imposed.	Dave Shipton, Acting Section 151 Officer	April 2019 and ongoing
Lobby Government regarding High Needs funding concerns	Dave Shipton, Acting Section 151 Officer / Matt Dunkley, Corporate Director CYPE	September 2019

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

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

<b>Risk ID</b>	<b>CRR0013</b>	<b>Risk Title</b>	<b>Delivery of in-year savings within agreed budgets</b>			
<b>Source / Cause of Risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>	
The ongoing difficult public financial situation and economic uncertainty continue to mean significant reductions in funding to the public sector and Local Government in particular, at a time when spending pressures on councils are increasing.	Robust plans to achieve the required savings are not developed in time to enable implementation and realisation of benefits.	Urgent alternative savings need to be found which could have an adverse impact on service users and/or residents of Kent.	On behalf of CMT: Dave Shipton, Acting Section 151 Officer	Possible (3)	Significant (3)	
KCC has already made significant cost savings and still needs to make significant ongoing year-on-year savings in order to “balance its books”.	Plans are not aligned with Cabinet Member priorities.	Potential adverse impact on council transformation plans.  Depletion of the Council’s financial reserves.  Reputational damage to the council.	<b>Responsible Cabinet Member(s):</b> Peter Oakford, Finance and Traded Services	<b>Target Residual Likelihood</b> Unlikely (2)	<b>Target Residual Impact</b> Moderate (2)	
<b>Control Title</b>			<b>Control Owner</b>			
Robust budgeting and financial planning in place via Medium Term Financial Planning (MTFP) process			Dave Shipton, Acting Section 151 Officer			
Process for monitoring delivery of savings is in place, including a Budget Delivery Group to scrutinise progress			Dave Shipton, Acting Section 151 Officer			
Robust monitoring and forecasting of arrangements in place relating to the KCC budget as a whole			Dave Shipton, Acting Section 151 Officer			
Procedures for appropriate consultation in place when decisions relating to changes in services are being considered			Diane Trollope, Head of Engagement & Consultation			
Controls and mechanisms remain robust			Dave Shipton, Acting Section 151 Officer			
Indicative cash limits and savings targets allocated to Corporate Directors to allow early planning			Corporate Directors and Director Group			
Six monthly update reports on progress against budgeted savings presented to Governance & Audit Committee			Corporate Directors and Director Group			

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

<b>Risk ID</b>	<b>CRR0014</b>	<b>Risk Title</b>	<b>Cyber-attack threats and their implications</b>
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Source / Cause of Risk	Risk Event	Consequence	Risk Owner(s)	Current Likelihood	Current Impact
<p>The Council has a duty to protect personal and other sensitive data that it holds on its staff, service users and residents of Kent.</p> <p>KCC repels a high number of cyber-attacks on a daily basis, although organisations across all sectors are experiencing an increasing threat in recent times and must ensure that all reasonable methods are employed to mitigate them (within resource constraints), both in terms of prevention and preparedness of response in the event of any successful attack.</p> <p>KCC's ICT Strategy will move the Authority's technology to cloud based services. It is important to harness these new capabilities in terms of both IT security and resilience, whilst emerging threats are understood and managed.</p> <p>In information terms the other factor is human. Technology can only provide a level of protection. Our staff must have a strong awareness of their responsibilities in terms of IT and information security.</p>	<p>Successful cyber-attack (e.g. 'phishing' scam) leading to loss or unauthorised access to sensitive business data.</p> <p>Significant business interruption caused by a successful attack.</p>	<p>Data Protection breach and consequent Information Commissioner's Office (ICO) sanction.</p> <p>Damages claims.</p> <p>Reputational Damage.</p> <p>Potential significant impact on business interruption if systems require shutdown until magnitude of issue is investigated.</p>	<p>Rebecca Spore, Director Infrastructure</p> <p>Ben Watts, General Counsel and KCC Data Protection Officer</p> <p>Amanda Beer, Corporate Director People and Communications</p> <p><b>Responsible Cabinet Member(s):</b> Eric Hotson, Corporate &amp; Democratic Services</p>	<p>Likely (4)</p> <p><b>Target Residual Likelihood</b> Possible (3)</p>	<p>Serious (4)</p> <p><b>Target Residual Impact</b> Serious (4)</p>
<b>Control Title</b>				<b>Control Owner</b>	
Systems are configured in line with best practice security controls proportionate to the business information				Kathy Stevens, ICT	

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

with various UK Standards

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

June 2019

Risk ID	CRR0015	Risk Title	Managing and working with the social care market				
<b>Source / Cause of Risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>	<b>Target Residual Likelihood</b>	<b>Target Residual Impact</b>
A significant proportion of adult social care is commissioned out to the private and voluntary sectors. This offers value for money but also means that KCC is dependent on a buoyant market to achieve best value and give service users optimal choice and control.	Care home and domiciliary care markets are not sustainable.	Gaps in the care market for certain types of care or in geographical areas meaning difficulty in placing some service users.	Penny Southern, Corporate Director ASCH, in collaboration with Vincent Godfrey, Strategic Commissioner	Likely (4)	Major (5)	Possible (3)	Major (5)
Factors such as the introduction of the National Living Wage, potential inflationary pressures and uncertainty over care market workforce in light of new settled status arrangements mean that the care market is under pressure.	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.		<b>Responsible Cabinet Member(s):</b> Clair Bell, Adult Social Care and Public Health  Catherine Rankin Strategic Commissioning				
<b>Control Title</b>						<b>Control Owner</b>	
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						Steph Smith, Head of Performance & Information Management	
Regular meetings with provider and trade organisations						Vincent Godfrey, Strategic Commissioner	
Ongoing Contract Monitoring, working in partnership with the Access to Resources team						Clare Maynard, Head of	

		Commissioning Portfolio – Outcome 2 and 3
Ongoing monitoring of Home Care market and market coverage. Commissioners and operational managers review the capacity of the Home Care market with a view to developing a strategy to ensure market coverage		Jo Empson, Commissioning Manager, Community Support
Ensuring contracts have indexation clauses built-in, managed through contract monitoring		Georgina Aplin, Head of Commissioning Support
KCC is part of local and regional Quality Surveillance Groups that systematically bring together the different parts of the health and care system to share information, identify and mitigate risks to quality, including those relating to care providers		Penny Southern, Corporate Director ASCH (KCC lead)
Ongoing work to improve maturity of the market		Vincent Godfrey, Strategic Commissioner
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Implementation of refreshed Accommodation Strategy, developed with partners and key stakeholders.	Clare Maynard, Head of Commissioning Portfolio – outcome 2 and 3	July 2019 (review)

<b>Risk ID</b>	<b>CRR0016</b>	<b>Risk Title Delivery of New School Places is constrained by capital budget pressures and dependency upon the Education and Skills Funding Agency (ESFA)</b>				
<b>Source / Cause of risk</b>		<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>
<p>A significant expansion of schools is required to accommodate major population growth in the short term to medium term (primary age) and medium to long term (secondary age). The "Basic Need" capital grant from Dept of Education (DfE) will not fund the expansion in full.</p> <p>A funding gap to deliver the programme for schools will be created by cost pressures from higher than expected build costs, low contributions from developers and increases in pupil demand.</p> <p>Whilst the funding gap identified with the Kent Commissioning Plan has been closed, the delivery of the plan is highly dependent upon securing a number of Free Schools in Kent over the period and that the ESFA complete the Free School projects on time and to an appropriate standard.</p>		<p>The expansion required may not be delivered, meaning KCC is not able to provide appropriate school places.</p> <p>Further upward demand pressures beyond what is forecast.</p>	<p>Some children have to travel much further to attend a school, with a resulting impact on the transport budget.</p> <p>The duty to provide sufficient school places is not met, which may lead to legal action against the council.</p>	<p>Matt Dunkley, Corporate Director CYPE</p>	<p>Likely (4)</p>	<p>Serious (4)</p>
				<b>Responsible Cabinet Member(s):</b>	<b>Target Residual Likelihood</b>	<b>Target Residual Impact</b>
				<p>Roger Gough, Children, Young People and Education</p>	<p>Likely (4)</p>	<p>Significant (3)</p>
<b>Control Title</b>					<b>Control Owner</b>	
<p>The Kent Commissioning Plan contains the forecast expansion numbers and locations. A school expansion programme has been mapped, costed and kept under review</p>					<p>Keith Abbott, Director Education Planning and Access</p>	

The school expansion programme is under member scrutiny and review by relevant Education and Property programme boards/forums/committees	Keith Abbott, Director Education Planning and Access	
CYPE capital monitoring mechanism with Member involvement now created	Education Planning and Access DivMT	
Policy and operations to secure sufficient developer contributions are overseen by Growth and Infrastructure Group	Keith Abbott, Director Education Planning and Access/Stephanie Holt-Castle, Interim 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	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Put forward bids for the next wave of selective schools' expansion fund	Keith Abbott, Director of Education	July 2019

<b>Risk ID</b>	<b>CRR0039</b>	<b>Risk Title</b>	<b>Information Governance</b>			
<b>Source / Cause of risk</b>		<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>
<p>The Council is required to maintain the confidentiality, integrity and proper use of data under the Data Protection Act 2018.</p> <p>General Data Protection Regulations (GDPR) came into effect that have introduced significantly increased obligations on all data controllers, including the Council.</p> <p>There is insufficient resource available to undertake comprehensive oversight / assurance activity that provides assurance on compliance with existing information governance standards.</p> <p>There is a critical dependency on one of the Council's Local Authority Trading Companies (CBS) to support Information Governance compliance for the KCC systems and network.</p> <p>KCC services' requirement for non-standard systems creates vulnerabilities.</p>		<p>Failure to embed the appropriate processes and procedures to meet the new regulations.</p> <p>Information security incidents (caused by both human error and / or system compromise) resulting in loss of personal data or breach of privacy / confidentiality.</p> <p>Council accreditation for access to government and partner ICT data, systems and network is withdrawn.</p> <p>Cantium Business Solutions prioritises commercial work or does not undertake information governance compliance work in an appropriate and timely fashion.</p>	<p>Information Commissioner's Office sanction (e.g. undertaking, assessment, improvement, enforcement or monetary penalty notice issued against the Authority).</p> <p>Serious breaches under GDPR could attract a fine of €20m.</p> <p>Increased risk of litigation.</p> <p>Reputational damage.</p>	<p>Ben Watts, General Counsel and Data Protection Officer in collaboration with David Whittle, Senior Information Risk Owner</p> <p><b>Responsible Cabinet Member:</b></p> <p>Eric Hotson, Corporate &amp; Democratic Services</p>	<p>Possible (3)</p> <p><b>Target Residual Likelihood</b></p> <p>Unlikely (2)</p>	<p>Serious (4)</p> <p><b>Target Residual Impact</b></p> <p>Serious (4)</p>
<b>Control Title</b>					<b>Control Owner</b>	
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	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Consider introduction of additional information governance controls, utilising capabilities of Microsoft Office 365	David Whittle, Director SPRCA / Ben Watts, General Counsel	September 2019

Risk ID	CRR0040	Risk Title	Opportunities and risks associated with KCC's Local Authority Trading Companies (LATCos)			
<p><b>Source / Cause of risk</b></p> <p>KCC has established a number of wholly-owned companies delivering a wide range of professional services that can bring benefits such as a change in culture and a more commercial approach to delivering services; more freedom to invest; the ability to secure new external clients; and the ability to grow the business and return a dividend to the Council as shareholder.</p> <p>As with any new company start up, there will also be risks to be managed.</p> <p>With the number of wholly-owned companies increasing, the council has reached a cross-over point where the wider objectives of the shareholder (KCC) is of at least the same importance as the individual needs of the new companies.</p> <p>KCC does not make the necessary internal changes / decisions (e.g. internal commissioning arrangements) necessary to support the delivery of the agreed business plans of trading companies.</p>	<p><b>Risk Event</b></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><b>Consequence</b></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><b>Risk Owner</b></p> <p>KCC Shareholder Boards</p> <p><b>Responsible Cabinet Member:</b></p> <p>Peter Oakford, Finance and Traded Services</p> <p>Supported by:</p> <p>Richard Long, Cabinet Lead for Traded Services</p>	<p><b>Current Likelihood</b></p> <p>Likely (4)</p> <p><b>Target Residual Likelihood</b></p> <p>Unlikely (2)</p>	<p><b>Current Impact</b></p> <p>Significant (3)</p> <p><b>Target Residual Impact</b></p> <p>Moderate (2)</p>	

<b>Control Title</b>	<b>Control Owner</b>	
Governance: shareholder and company boards exist for KCC-owned companies with respective roles, with matters reserved for shareholder decision outlined	Ben Watts, General Counsel	
Cultural and change factors are built into the planning for proposed creation of alternative service delivery models	Julie Cudmore, Head of Organisation Development	
KCC's Group Audit function conducts audits for KCC-owned companies	Samantha Buckland, Strategic 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	Richard Long, Cabinet Lead for Traded Services / David Cockburn, Head of Paid Service / Ben Watts, General Counsel / Dave Shipton, Acting Section 151 Officer	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
The Council is effecting changes to the constitution and Member scrutiny to support effective oversight and input by Members	Ben Watts, General Counsel	September 2019
Implementation of holding arrangements for KCC's companies	Ben Watts, General Counsel	September 2019 (review)
Accommodation solution agreed to support Cantium Business Solutions requirement for co-location of staff as per agreed Business Plan	Rebecca Spore, Director Infrastructure	June 2019

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

Employee engagement strategy in place	Paul Royel, Head of HR and OD
iResilience tools available	Amanda Beer, Corporate Director People and Communications
Staff care services provide professional occupational health, counselling (Support Line); coaching and mediation services to help ensure staff are physically, emotionally and mentally well	Mark Scott, Chief Executive Cantium Business Solutions
Suite of key performance indicators being monitored as early warning indicators e.g. retention, absence	Amanda Beer, Corporate Director People and Communications
Directorate Organisation Development groups share best practice and facilitates communication on key OD issues	Julie Cudmore, Head of Organisation Development
Service redesigns take account of capacity and capability issues ensuring resources are allocated appropriately	Corporate Management Team
Significant and positive engagement with staff representatives	Paul Royel, Head of Human Resources (HR) and Organisation Development (OD)
Comprehensive leadership and management training & development offer available	Paul Royel, Head of Human Resources and Organisation Development
Autumn 2018 staff survey Directorate action plans available for all staff to review	CMT

Risk ID	CRR0042	Risk Title Post-Brexit border systems, infrastructure and regulatory arrangements				
<p><b>Source / Cause of risk</b></p> <p>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.</p> <p>KCC is reliant on coherent, coordinated governance across Government to aid the Local Authority and partners locally in planning their contingency arrangements.</p>	<p><b>Risk Event</b></p> <p>That the ‘implementation period’ agreed between UK leaving the EU is not enacted leading to immediate third country status for the UK on 12 April 2019.</p> <p>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.</p> <p>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.</p> <p>That the Government does not provide sufficient capital and revenue financial support to departments, agencies, local authorities and other infrastructure stakeholders necessary to address the personnel, procedures and physical infrastructure to support post-Brexit border arrangements.</p>	<p><b>Consequence</b></p> <p>Significant slowdown in the existing flow of goods and people through the Kent Ports leads to long delays in accessing Dover Ports and Eurotunnel.</p> <p>Temporary closure or permanent changes to all or part of the M20 or M26 to support Operation Brock and other mitigations for port delays.</p> <p>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.</p> <p>Significant long-term detrimental impact on county’s economic competitiveness, attractiveness for inward investment and quality of life for Kent residents.</p>	<p><b>Risk Owner</b></p> <p>Barbara Cooper, Corporate Director Growth, Environment &amp; Transport</p> <p><b>Responsible Cabinet Members</b></p> <p>Mike Whiting, Planning, Highways, Transport &amp; Waste</p> <p>Mike Hill, Community Services</p>	<p><b>Current Likelihood</b></p> <p>Very Likely (5)</p> <p><b>Target Residual Likelihood</b></p> <p>Very Likely (5)</p>	<p><b>Current Impact</b></p> <p>Major (5)</p> <p><b>Target Residual Impact</b></p> <p>Serious (4)</p>	

<b>Control Title</b>	<b>Control Owner</b>	
Regular engagement with senior colleagues in relevant Government Departments on the impacts and implications of Brexit on KCC's regulatory responsibilities relating to Trading Standards and the resilience of Kent highways	Barbara Cooper, Corporate Director GET	
KCC membership and co-chair of the Kent Border Planning Steering Group and associated working groups such as Emergency Planning, Infrastructure etc.	Barbara Cooper, Corporate Director GET	
Internal KCC co-ordination through a Brexit Co-ordination Group and Informal Members Group	David Whittle, Director SPRCA	
KCC leads and manages the Kent Strategic Freight Forum	Barbara Cooper, Corporate Director, GET	
KCC membership and support to the Kent Resilience Forum	Fiona Gaffney, Head of Resilience and Emergency Planning	
Operation Fennel strategic plan submitted, receiving full support of the Secretary of State for Transport	Barbara Cooper, Corporate Director GET	
KCC involvement in Operation Fennel Tactical Group (multi-agency planning group for potential disruption at Port of Dover and Eurotunnel)	Barbara Cooper, Corporate Director, GET (KCC lead)	
KCC contribution to multi-agency communications in the 'response' phase, and leadership of communications in the 'planning' and 'recovery' phases	Christina Starte, Head of Communications	
KCC services have reviewed business continuity arrangements, taking potential no-deal Brexit scenarios into consideration (cross-reference to CRR004)	Service Managers	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
KCC 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	June 2019

Risk ID	CRR0044	Risk Title	High Needs Funding and adequacy of support for children with SEND			
<p><b>Source / Cause of risk</b></p> <p>The Children and Families Act 2014 introduced significant changes to Specialist Educational Needs (SEN) through the duty to ensure that the views, wishes and feelings of parents are heard, leading to a raising of expectations of parents.</p> <p>The number of Children and Young People with Specialist Educational Needs and Disability (SEND) is rising faster than the underlying growth in population. Kent is now maintaining over 11,900 Education Health and Care Plans (EHCP) which represents a growth of over 58% in the last years. In addition, the incidence of EHCP's being maintained and issued to young people aged 19+ has grown exponentially.</p> <p>The available budget is not enough to address the growth in demand, and the level of DSG High Needs Funding is effectively capped for the next 4 years.</p> <p>KCC needs to address a backlog of over 650 Educational Psychology assessments.</p>	<p><b>Risk Event</b></p> <p>There is a risk that the SEN service within KCC will fail to deliver an acceptable service to parents and children requiring SEN services within Kent, and/or fails to meet statutory time limits for providing support.</p>	<p><b>Consequence</b></p> <p>Unless processes and practices are reviewed and made to be more efficient and effective, families may fail to receive a supportive, acceptable service from SEN within Kent. Families feel neglected and supported. Ultimately the delivery of such a level of service could lead to legal action if statutory time limits or processes are not met.</p>	<p><b>Risk Owner</b></p> <p>Matt Dunkley Corporate Director CYPE</p>	<p><b>Current Likelihood</b></p> <p>Likely (4)</p>	<p><b>Current Impact</b></p> <p>Major (5)</p>	
				<p><b>Target Residual Likelihood</b></p> <p>Possible (3)</p>	<p><b>Target Residual Impact</b></p> <p>Serious (4)</p>	
<p><b>Control Title</b></p>			<p><b>Control Owner</b></p>			

**Responsible Cabinet Member(s):**  
Roger Gough  
Children, Young People and Education

Continual lobbying of Government to highlight the matter at national level i.e. via County Council Network, Association of Directors' of Children's Services	Paul Carter, Leader of the Council / Roger Gough, Cabinet Member CYPE / Matt Dunkley, Corporate Director CYPE	
Recruitment and Retention arrangements for Educational Psychologists are competitive and enable us to recruit and retain staff in our most critical and demanding roles and teams	Andrew Heather (Principal Educational Psychologist)	
A Written Statement of Action has been prepared	Louise Langley (Interim Head of SEN)	
SEN Provision Evaluation Officers now support SEN Teams with ensuring schools have used their best endeavours to seeking Statutory Assessment and the views of schools are considered	Louise Langley (Interim Head of SEN)	
Weekly placement panels implemented for independent school placements (with a view that local provision is preferred).	Louise Langley (Interim Head of SEN)	
CYPE Service Development Team supporting improvements by developing a service development project.	Louise Langley (Interim Head of SEN)	
Contracts with independent schools stipulate financial penalties for low or non-attendance of pupils	Louise Langley (Interim Head of SEN)	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Moderation of EHCP's to ensure compliance to expected standards	Louise Langley Interim Head of SEN	January 2020
Increase the numbers of pre-emptive meetings and mediation with parents to seek resolution	Louise Langley Interim Head of SEN	July 2019
Increase mainstream school's capacity to meet SEN provision	Louise Langley Interim Head of SEN	July 2020
Work with the Disabled Children's Service to develop joint pathways into adulthood for post 16 and post 19 SEND young people	Louise Langley Interim Head of SEN	September 2019
For young people with the most severe and complex needs, develop a process for working with social care and health to support and plan lifespan pathways from year 10 annual reviews onwards	Louise Langley Interim Head of SEN	September 2019
Appointment of additional posts to provide additional focus on quality issues	Matt Dunkley, Corporate	May 2019

and early resolution of complaints	Director, CYPE
QA (Quality Assurance) Panels are to be created to moderate EHCP's and ensure quality	Louise Langley Interim Head of SEN July 2019

Risk ID	CRR0045	Risk Title: Effectiveness of governance within a Member-led Authority				
<p><b>Source / Cause of risk</b></p> <p>The continuation of a challenging financial and operating environment for Local Government (see risk CRR0009) will require difficult policy decisions to be made in a timely manner, which requires continued effective governance and robust internal control mechanisms.</p> <p>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 political group meetings to direct officers and make decisions</p>	<p><b>Risk Event</b></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 (MTEP).</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><b>Consequence</b></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><b>Risk Owner</b></p> <p>Paul Carter, Leader of the Council</p> <p>David Cockburn, Head of Paid Service</p>	<p><b>Current Likelihood</b></p> <p>Unlikely (2)</p> <p><b>Target Residual Likelihood</b></p> <p>Very Unlikely (1)</p>	<p><b>Current Impact</b></p> <p>Major (5)</p> <p><b>Target Residual Impact</b></p> <p>Major (5)</p>	

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.

<b>Control Title</b>	<b>Control Owner</b>
Strategic Statement agreed by County Council and published setting out medium-term objectives and priorities of the Council	Paul Carter, Leader of the Council
MTFP and Budget Book agreed by Full Council and support/briefing provided for all political groups by officers on budget development options	Dave Shipton, Acting 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	Dave Shipton, Acting 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	Dave Shipton, Acting 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