

## APPENDIX 1: KCC Corporate Risk Register

### Risk Register - Corporate Risk Register

Current Risk Level Summary

<b>Green</b>	<b>0</b>	<b>Amber</b>	<b>5</b>	<b>Red</b>	<b>11</b>	<b>Total</b>	<b>16</b>
		Current Risk Level Changes					
		1	-13			1	-13

0	1	1	0	5
0	0	1	1	5
0	0	0	1	0
0	0	0	0	1
0	0	0	0	0

Risk Ref	Risk Title and Event	Assigned To	Last Review date	Next Review				
CRR0009	<b>Future financial and operating environment for Local Government</b>	John Betts	10/01/2025	31/01/2025				
<p>Levels of spending and growth pressures across services outstrip the Council's core spending power, threatening the financial sustainability of KCC, its partners and service providers.</p> <p>In order to set a balanced budget, the council is likely to have to continue to make significant year on year savings.</p> <p>Quality of KCC commissioned / delivered services suffers as financial situation continues to worsen.</p> <p>Continued delays and uncertainty surrounding review of local government funding impacts on KCC's medium term financial planning.</p>								
Cause	Consequence	Current Risk	Previous Current Risk	Control / Action	Control / Action	Target Date	Target Risk	
The Government's Autumn Budget 2023 statement only included very high-level public spending plans and no individual department plans beyond 2024-25, and the Local Government Finance Settlement only covered 2024-25 with no indicative allocations for subsequent years. This means that the forecasts for later years	<p>Unsustainable financial situation and potential drawdown from reserves, ultimately resulting in s114 notice.</p> <p>Failure to delivery statutory obligations and duties or achieve social value.</p> <p>Potential for partner or provider failure – including sufficiency gaps in provision.</p> <p>Reduction in resident satisfaction and reputational damage.</p>	<p><b>High</b></p> <p>25</p> <p>Major (5)</p> <p>Very Likely (5)</p>		<ul style="list-style-type: none"> <li>Developing better scrutiny of spending bids and more detailed savings plans, to improve the overall robustness of the budget setting process, thereby improving financial resilience.</li> <li>Processes in place for monitoring delivery of savings and challenging targets to bear down on future cost growth, as well as the budget as a whole.</li> <li>Quarterly budget meetings between Cabinet Member for Finance and Corporate Director for Finance with Cabinet Members and Corporate Directors as relevant.</li> </ul>	<p>John Betts</p> <p>John Betts</p> <p>John Betts</p>	<p>A</p> <p>-Accepted</p> <p>Control</p> <p>Control</p>	<p>31/01/2025</p>	<p><b>High</b></p> <p>16</p> <p>Serious (4)</p> <p>Likely (4)</p>

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<p>are speculative, consequently planning has to be sufficiently flexible to respond accordingly. Even so, it is clear that 2024-25 and the medium term to 2026-27 are likely to continue to be exceptionally challenging and will require significant spending reductions. Even though overall net cash is increasing, this is not sufficient to keep pace with forecast spending demands. There is also no certainty that additional central government funding to address spending pressures in social care will be baselined/continued for future years. The level of savings required in 2024-25 and over the medium term continues to be higher than in recent years driven largely by growth in spending rather than cuts in funding, representing a new and very specific challenge. A significant financial risk for the Council is</p>	<p>Increased and unplanned pressure on resources.</p> <p>Decline in performance.</p> <p>Legal challenges resulting in reputational damage to the Council.</p> <p>Impact on Council Tax.</p>		<ul style="list-style-type: none"> <li>• Forecasts for future spending growth to be revised as necessary once estimates become more certain and only finalised in controllable budgets once uncertainties have been resolved. John Betts</li> <li>• Regular "Star Chamber" budget reviews involving the Chief Executive Officer, section 151 Officer and Corporate Directors to scrutinise progress against agreed budget savings. John Betts</li> <li>• Robust budgeting and financial planning in place via Medium Term Financial Planning (MTFP) process, including stakeholder consultation. John Betts</li> <li>• Regular review of HM Treasury forecasts and Government planned spending levels for Local Government. John Betts</li> <li>• KCC Strategic Reset Programme established and reprioritised to focus on key budget delivery programmes. Amanda Beer</li> <li>• Budget Recovery Strategy - Securing Kent's Future - set, to address the in-year and future years' financial pressures the council is facing and the specific and broader action that can be taken to return the council to financial sustainability. Roger Gough</li> <li>• Financial analysis conducted after each Chancellor of the Exchequer Budget Statement to review potential implications for future local government settlements. Dave Shipton</li> <li>• Ensure evidence of any additional KCC spend required to cover impacts relating to new burdens imposed. Dave Shipton</li> </ul>	<p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p>		
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<p>the continuing and increasing underlying deficit and accumulated debt on the High Needs Block of Dedicated Schools Grant (DSG), a forecast total of £85m as at 31st March 2025 (including contributions from KCC and DfE).</p> <p>Implications arising from the 2024 Autumn Budget Statement are being assessed, with further detail confirmed in the December 2024 Provisional Local Government Finance Settlement. An English Devolution White Paper was published at the end of 2024, which signals significant changes to the operating environment for the local government sector.</p>				<ul style="list-style-type: none"> <li>• Engagement with CCN, Society of County Treasurers and other local authorities and Government of potential opportunities and issues around devolution and public service reform</li> <li>• Ongoing policy analysis of the devolution agenda and devolution deals agreed by the government</li> <li>• Regular monitoring and oversight of progress against KCC's 'Safety Valve' agreement with the Department for Education (DfE).</li> <li>• KCC Quarterly Performance Report monitors key performance and activity information for KCC commissioned or delivered services. Regularly reported to Cabinet.</li> <li>• Ongoing monitoring and modelling of changes in supply and demand in order to inform strategies and service planning going forward.</li> <li>• Regular analysis and refreshing of forecasts to maintain a level of understanding of volatility of demand which feeds into the relevant areas of the MTFP and business planning process.</li> <li>• Assessing impact and responding to Government plans with the potential for significant financial implications for the Council, including adult and children's social care, charges to waste collection arrangements etc.</li> </ul>	<p>David Whittle</p> <p>David Whittle</p> <p>Sarah Hammond</p> <p>Matthew Wagner</p> <p>Matthew Wagner</p> <p>Corporate Directors CD</p> <p>Corporate Directors CD</p>	<p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p>	
<p><b>Review Comments</b></p>							

Risk Register - Corporate Risk Register

Risk Ref	CRR0053	Risk Title and Event	Assigned To	Last Review da	Next Review				
		<b>Asset Management and Degradation and associated impacts, linked to Capital Programme affordability</b>	John Betts	09/01/2025	09/04/2025				
Impact on ability to meet operational requirements and/or statutory duties.									
Increase in maintenance backlogs.									
Emergency works on essential sites are prioritised to avoid serious health and safety incidents, with knock-on impacts for non-priority sites.									
Cause	Consequence	Current Risk	Previous Current Risk	Control / Action	Control / Action	Target Date	Target Risk		
Assets not being invested in sufficiently or adequately maintained now will require future additional spend to maintain with the possibility of reactive costs which may create a revenue pressure.	Business interruption due to increasing level of reactive / emergency repairs, or parts of estate decommissioned (in whole or partially if deemed unsafe).	High 25 Major (5)		<ul style="list-style-type: none"> <li>Papers to Secretary of State seeking approval to increase school financial thresholds</li> <li>10 year 24-34 capital programme published. This identified projected costs for some of the rolling programmes and a separate section of potential stand-alone projects which are markers, and will need to have a full business case and identified funding planned, evaluated and agreed.</li> </ul>	Joanne Taylor	A -Accepted	30/04/2025	High 16	
	Health and safety incidents (potentially serious) associated with asset degradation.	Very Likely (5)			Cath Head	Control		Serious (4) Likely (4)	
	Ongoing investment to maintain and modernise our assets competes with the priority to protect frontline services from effects of public sector funding restraint.	Inability to meet statutory duties e.g. lack of appropriate school place provision.			<ul style="list-style-type: none"> <li>Lobbying of Government in relation to capital funding.</li> <li>Review of current policy of no new external borrowing agreed in principle with senior Members, with potential impact on the capital programme from 2026/27.</li> </ul>	John Betts John Betts	Control Control		
	The level of borrowing to fund the capital programme and the impact on the revenue budget is significant.	Non-priority sites may not be maintained to a sufficient standard and may not be safe and fit for purpose, leading to building closures.			<ul style="list-style-type: none"> <li>Asset safety factors associated with our assets are given priority during the budget setting process.</li> <li>An annual programme of planned preventative maintenance is undertaken at KCC sites by the relevant Facilities Management contract partners</li> </ul>	John Betts Tony Carty	Control Control		
The uncertainty	Delays result in additional inflationary costs.								

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<p>includes capital expenditure funded by grants, many of which are crucial to delivery of statutory services.</p> <p>There are a number of geo-political uncertainties in the current environment which additionally impact on the financial and operating environment.</p> <p>Current inflationary pressures are impacting on the capital programme significantly.</p> <p>Expectations of key stakeholders on capital spend.</p> <p>Risks associated with changes in legislation related to developer contributions. This could lead to a requirement for significant forward funding.</p>	<p>Funding annual rolling programmes from borrowing is unsustainable.</p> <p>Reputational damage as a result of building closures or any impact on service delivery.</p>		<ul style="list-style-type: none"> <li>• Health and Safety Team in place in advisory capacity to ensure compliance with Government and HSE guidelines.</li> <li>• Premises Officers in place to visit schools and support them with forecasting maintenance budgets.</li> <li>• The most urgent works will be completed on the agreed, prioritised sites.</li> <li>• Infrastructure works with Assistant Education Directors to communicate to schools regarding their obligations for maintenance and their responsibilities for repairs under financial thresholds</li> <li>• External funding bid for 'schools rebuilding programme' (DfE) was submitted, and successful for Birchington Primary School.</li> <li>• Review of KCC estate – Future Assets Programme. Business cases for each of the three workstreams are being developed (Office Estate, Community Buildings, Specialist Assets) with associated consultations.</li> <li>• Lobbying central Government re capital grants relating to Highways.</li> </ul>	<p>Maria Kelly</p> <p>Joanne Taylor</p> <p>Joanne Taylor</p> <p>Joanne Taylor</p> <p>Joanne Taylor</p> <p>Rebecca Spore</p> <p>Haroona Chughtai</p>	<p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p>	
<p><b>Review Comments</b></p>						

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Risk Ref	CRR0059	Risk Title and Event	Assigned To	Last Review da	Next Review			
		<b>Significant failure to bring forecast budget overspend under control within budget level assumed</b>	John Betts	10/01/2025	31/01/2025			
Risk of significant adverse variance to the level of savings and income agreed in KCC's budget.								
Spending growth pressures significantly exceeds forecasts.								
Cause	Consequence	Current Risk	Previous Current Risk	Control / Action	Control / Action	Target Date	Target Risk	
<p>The Council is under a legal duty to set a balanced and sustainable budget and maintain adequate reserves such that it can deliver its statutory responsibilities and priorities.</p> <p>The latest revenue forecast position for 2024-25 was an overspend of £22.8m (excluding schools), based on Q2 data.</p> <p>The most significant overspend in 2024-25 relates to adult social care.</p> <p>Urgent action is required to bring revenue spending down to a sustainable level, both within the current financial year and over the medium term (see CRR0009) to safeguard</p>	<p>The level of reserves as % of revenue and sustainability of reserves based on recent levels of drawdown put the council at the top of the lower quartile of county councils.</p> <p>Council reserves further depleted below a sustainable position.</p> <p>Impact on service delivery.</p> <p>More imminent danger of financial failure – ultimately issuing of s114 notice by Corporate Director Finance (s151 Officer).</p> <p>Negative impact on MTFP three year plan.</p>	<p><b>High</b></p> <p>25</p> <p>Major (5)</p> <p>Very Likely (5)</p>		<ul style="list-style-type: none"> <li>To maximise scope of effective scrutiny by all Members, there has been a review of meetings and agendas to ensure appropriate focus on core activity on the budget, key decisions and performance relating to "Securing Kent's Future", including regular finance update reports to Cabinet, Scrutiny Committee and Policy and Resources Committee.</li> <li>Council's Budget Strategy, linked to Securing Kent's Future, confirmed at County Council Budget meeting in February 2024 and confirms key principles to abide by.</li> <li>Any adverse variations to agreed savings / income are swiftly identified with compensating actions agreed with management.</li> <li>Section 151 Officer meeting weekly with the Leader, Deputy Leader (Cabinet Member for Finance), Chief Executive Officer and Monitoring Officer to provide progress updates.</li> <li>Finance and performance monitoring progress reports will be considered at Cabinet meetings to ensure the focus on Securing Kent's Future remains until the council's financial position is stabilised.</li> </ul>	<p>Benjamin Watts</p> <p>John Betts</p> <p>John Betts</p> <p>John Betts</p> <p>John Betts</p>	<p>A</p> <p>-Accepted</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p>	<p>28/02/2025</p>	<p><b>Medium</b></p> <p>9</p> <p>Significant (3)</p> <p>Possible (3)</p>

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<p>the council's financial resilience and viability.</p>			<ul style="list-style-type: none"> <li>• Budget monitoring will continue to include a full report on all budgets on a quarterly basis with exception reports in the intervening months focussing on the largest and most volatile areas of spending. <span style="float: right;">John Betts</span></li> <li>• Savings delivery plans and monitoring processes in place. <span style="float: right;">John Betts</span></li> <li>• Analysis and enhancements to financial reporting introduced to better identify the underlying drivers for the main budget variances and the impacts and dependencies of management action and policy choices to reduce the forecast overspend. <span style="float: right;">John Betts</span></li> <li>• Quarterly budget meetings between Cabinet Member and Finance and Corporate Directors <span style="float: right;">John Betts</span></li> <li>• The Council's Financial Regulations (and delegation levels within), "Spending the Council's Money" and Code of Corporate Governance, to ensure they remain fit for purpose in the current environment. <span style="float: right;">John Betts</span></li> <li>• Robust delivery plan information has been developed for 2024/25 – milestones, risks, dependencies etc, and will be reported to Strategic Reset Board. <span style="float: right;">Dave Shipton</span></li> <li>• Analytics function used to undertake detailed analysis of the main areas of overspend. <span style="float: right;">Matthew Wagner</span></li> <li>• Equality Impact Assessment screening will be completed for any alternative and / or additional savings necessary under the recovery plan. <span style="float: right;">Corporate Management Team</span></li> </ul>	<p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p>		
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			<ul style="list-style-type: none"> <li>• Budget Recovery Plan - Securing Kent's Corporate Future - being developed to address in-year forecast overspend and outline a pathway to future financial sustainability. This includes focusing predominantly on the material spending areas of council activity and those with the greatest forecast variances from the approved budget.</li> <li>• Any adverse variations to agreed savings / income are swiftly identified with compensating actions agreed with management.</li> <li>• Resource Accountability Statements signed off by Corporate Directors.</li> </ul>	<p>Corporate Management Team</p> <p>Control</p>		
				<p>Corporate Management Team</p> <p>Control</p>		

**Review Comments**

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Risk Ref	CRR0015	Risk Title and Event	Assigned To	Last Review da	Next Review		
		<b>Sustainability of the Social Care Market</b>	Richard Smith	11/10/2024	24/01/2025		
<p>Social Care market is not sustainable.                      Inability to obtain the right kind of provider supply at affordable prices.                      Significant numbers of care home closures or service failures.                      Increases in hand backs of care                      Providers choose not to tender for services at Local Authority funding levels or accept service users with complex needs.</p>							
Cause	Consequence	Current Risk	Previous Current Risk	Control / Action	Control / Action	Target Date	Target Risk
<p>Local Authorities have a statutory duty to provide a viable and sustainable social care market to meet the needs of the local population who meet Care Act eligibility.</p> <p>The main risks associated with care market instability are:                      Financial – As a result of the increasing cost and complexity of demand for services and constrained local authority budgets compounded by recent inflation and the Autumn Budget announcement of increases in employers' National Insurance contributions and the National Living Wage.                      Workforce – recruitment and</p>	<p>Gaps in the care market for certain types of care or in geographical areas meaning difficulty in placing some service users.                      Unable to offer care packages immediately leading to delays with discharging from Health Services                      Reduction in quality of care provided due to workforce pressures                      Significant numbers of care home closures or service failures.</p>	<p><b>High</b>                      25                      Major (5)                      Very Likely (5)</p>		<ul style="list-style-type: none"> <li>Consider how the cost of care assessment is built into recommissioning approach.                              Review the recommendations regarding future contract models and implement where appropriate.                              Review the recommendations regarding joint commissioning and further develop.</li> <li>Quality monitoring team in place</li> <li>Development of micro providers market with partner Community Catalysts.                              Quarterly contract management reviews take place including focus on performance against targets (engagement and set up).</li> <li>Daily risk assessment for people in the community awaiting packages of care and short term bed provision for those at high risk</li> <li>KCC linked to ADASS South East and KICA monitoring of overseas worker issues</li> <li>Engagement with Integrated Care Board around joint commissioning opportunities</li> </ul>	<p>Simon Mitchell                      A                      -Accepted</p> <p>Paula Parker                      Control</p> <p>Paula Parker                      Control</p> <p>Mark Albiston                      Control</p> <p>Richard Ellis                      Control</p> <p>Richard Ellis                      Control</p>	<p>30/12/2024</p>	<p><b>Medium</b>                      15                      Major (5)                      Possible (3)</p>

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<p>retention are difficult across all grades in adult social care. Turnover is higher than other sectors. Providers struggle to compete with other sectors such as retail.</p> <p>There are particular challenges in Kent in home care. Overseas workers have created some additional capacity but changes in social care visa rules excluding families has reduced applications from overseas care workers. The social care visa route also attracted operators seeking to exploit that rather than support the sector. There has been an increased risk of exploitation and overseas workers have been displaced when operators have had their licences revoked. This has created a lot of additional work for ASCH in ensuring that the needs of those that draw on care and support continue to be met.</p>			<ul style="list-style-type: none"> <li>• Regular engagement with provider and trade organisations Richard Ellis</li> <li>• Older Persons Accommodation Strategy refreshed, which analyses demand and need and sets the future vision and direction for accommodation to support vulnerable Kent residents alongside the Adult Social Care Strategy - Your Life, Your Wellbeing Richard Smith</li> <li>• Pipeline prioritisation tool is in place for Strategic Commissioning projects, shared with DivMT and Director of Strategy Policy, Relationships and Corporate Assurance Chris Wimbhurst</li> <li>• Analytics function utilises data to inform decision making before moving commissioning activity forward. Matthew Wagner</li> <li>• Use of a fee negotiation tool (carecubed) to support fee uplift conversations with providers Simon Mitchell</li> <li>• ASCH Commissioning Intentions 2022 - 2027 - describes how we plan to create person-centred and flexible care and support options which address the challenges and opportunities adult social care faces. It supports the deliver of 'Making a difference every day' strategy 2022-2027 Simon Mitchell</li> <li>• 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. Simon Mitchell</li> </ul>	<p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p>		
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			<ul style="list-style-type: none"> <li>• Ongoing Contract Monitoring, working in partnership with the Access to Resources team</li> <li>• 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.</li> <li>• New contracts commenced relating to Disability and Mental Health Residential Care services.</li> <li>• Contract for Discharge Services presented to Cabinet Committee and approved by the Cabinet Member.</li> <li>• Ensuring contracts have indexation clauses built-in, managed through contract monitoring</li> <li>• Continue to work innovatively with partners, including health services, districts and boroughs, and providers to identify any efficiencies across the wider sector.</li> </ul>	<p>Simon Mitchell</p> <p>Simon Mitchell</p> <p>Simon Mitchell</p> <p>Simon Mitchell</p> <p>Michael Bridger</p> <p>ASCH Divisional Directors</p>	<p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p>		
<b>Review Comments</b>							

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Risk Ref	CRR0056	Risk Title and Event	Assigned To	Last Review da	Next Review			
		<b>SEND Delivery Improvement and High Needs Funding shortfall</b>	Sarah Hammond	16/10/2024	16/01/2025			
<p>Insufficient improvement in areas identified within Ofsted timescales and children with SEND do not meet sufficient progress within the available financial resource.</p> <p>Inability to manage within budget and reduce accumulated deficit on Dedicated Schools Grant reserve.</p>								
Cause	Consequence	Current Risk	Previous Current Risk	Control / Action	Control / Action	Target Date	Target Risk	
<p>The Kent local area inspection by Ofsted and the CQC for children with SEND took place in January 2019. This inspection found nine significant areas of weakness across the local area which resulted in a Written Statement of Action being issued. In September 2022, the Local Area was revisited by Inspectors from both Ofsted and the CQC, who found that the area had not made sufficient progress in addressing any of the significant weaknesses. In March 2023 an Improvement Notice was issued to KCC. An Improvement Plan (Accelerated Progress Plan - APP) will be required to be formalised by the Local</p>	<p>Adverse impact on outcomes for vulnerable young people.</p>	<p><b>High</b> 25 Major (5)</p>		<ul style="list-style-type: none"> <li>• Delivery of SEND Improvement Programme, which includes delivery of requirements detailed in the Kent Accelerated Progress Plan.</li> <li>• KCC has entered into a "Safety Valve" agreement with the Department for Education (DfE), enabling Kent County Council (KCC) to receive funding over a 5-year period to substantially fund the accumulated deficit on the Dedicated Schools Grant (DSG) High Needs Block (HNB). The agreement requires commitment to areas of review and improvement identified by Department for Education (DfE) to bring in year spend in line with the in-year budget by 2027/28. A financial contribution from the Council is also expected.</li> </ul>	Sarah Hammond	A -Accepted		<p><b>High</b> 16 Serious (4)</p>
	<p>Dissatisfaction from families.</p>	<p>Very Likely (5)</p>			John Betts	Control		<p>Likely (4)</p>
	<p>Potential for legal action if statutory time limits or processes are not met.</p>							
	<p>Continued funding of deficit on the DSG reserve by net surplus balances in other reserves becomes unsustainable, impacting on the financial resilience of the Council.</p>							
	<p>Should the Secretary of State not be satisfied with the Council's progress at any stage, she may choose to invoke her statutory powers of intervention (s497A Education Act 1996) to direct the Council to take any further actions deemed necessary to</p>							

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<p>Area against which Outcome and Impact based KPIs will be scrutinised and addressed.</p> <p>In addition, there has been a significant increase in the number of children receiving Special Educational Needs and Disability support and the Council's Dedicated Schools Grant (DSG) budget is overspending on the High Needs Block.</p> <p>The Council is now part of the DfE Safety Valve programme and as part of this, will need to bring High Needs spending back into balance over the medium term and contribute to repaying the historic deficit.</p> <p>Corresponding pressure on some of KCC's non-DSG SEND related budgets e.g. SEN Home to School Transport, is also being experienced. Consequently, meeting the needs of children and young people with SEND within available resources is becoming ever more challenging.</p>	<p>secure the improvements required in SEND services.</p>		<ul style="list-style-type: none"> <li>Continual lobbying of Government on two matters; increased funding in both the short and medium term, and structural changes to government policy to help reduce the demand i.e. via County Council Network, Association of Directors of Children's Services. Includes provision of evidence of the impact of the High Needs pressures on the quality of education children receive, schools, other providers and the Local Authority.</li> <li>The Council has produced for approval by the Department for Education (DfE) and NHS England (NHSE) an Improvement Plan (Accelerated Progress Plan) to deliver appropriate and sustainable improvement, covering the areas identified in the Ofsted and CQC revisit report of 9 November 2022, as well as recommendations made by the Department.</li> <li>Continual lobbying of Government on two matters; increased funding in both the short and medium term, and structural changes to government policy to help reduce the demand i.e. via County Council Network, Association of Directors of Children's Services. Includes provision of evidence of the impact of the High Needs pressures on the quality of education children receive, schools, other providers and the Local Authority.</li> </ul>	<p>Roger Gough</p> <p>Sarah Hammond</p> <p>Sarah Hammond</p>	<p>Control</p> <p>Control</p> <p>Control</p>	
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<p>The ability to forecast costs in future years is difficult.</p>			<ul style="list-style-type: none"> <li>• Local area SEND Strategy developed in collaboration with partners, which goes beyond the Written Statement of Action to enable sustained improvement and transform Kent's SEND offer. Sarah Hammond</li> <li>• Robust programme management in place, ensuring appropriate alignment between project workstreams and overall programme delivery arrangements. Sarah Hammond</li> <li>• KCC SEND Transformation Strategic Board in place, with responsibility for coordinating activity and tracking improvement progress, reporting into the partnership Strategic Improvement and Assurance Board. Sarah Hammond</li> <li>• Kent and Medway Children and Young People's Programme Board joint governance mechanism with Health partners (sub-group of Integrated Care Board) Sarah Hammond</li> <li>• Independently chaired Strategic Improvement and Assurance Board established, including representation from the Local Authority (including Members and cross directorate colleagues), Health, Learning and Teaching settings, representatives of parents and carers, and where appropriate young people. Sarah Hammond</li> </ul>	<p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p>		
<p><b>Review Comments</b></p>						

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Risk Ref	Risk Title and Event	Assigned To	Last Review da	Next Review
CRR0045	<b>Maintaining effective governance and decision making in a challenging financial and operating environment.</b>	Amanda Beer	11/10/2024	31/01/2025

Members are unwilling or unable to agree necessary policy (service) decisions within required timescales to deliver a legally balanced budget and sustainable medium term financial plan (MTFP).  
 Members agree a budget requiring unrealistic and undeliverable efficiency savings leading to significant in year overspends.  
 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.

Cause	Consequence	Current Risk	Previous Current Risk	Control / Action	Control / Action	Target Date	Target Risk
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 decision making as well as robust internal control mechanisms. Examples from other local authorities has shown the impact that ineffective decision making can have on financial resilience. KCC's constitution explicitly references the demarcation of Member and Officer roles, which consequently places dependency on the	Decisions challenged under judicial review on the appropriateness of the decision-making within KCC.	High		• Medium Term Financial Plan and Budget Book agreed by Full Council and support/briefings provided for all political groups by officers on budget development options	John Betts	Control	Medium
	Monitoring Officer / Head of Paid Service statutory report to Council.	20		• Effective internal audit arrangements in place and robust monitoring arrangements for the delivery of internal audit recommendations to Governance & Audit Committee	John Betts	Control	10
	Reputational damage to the Council.	Major (5)		• Appropriately detailed and timely financial monitoring reports considered by Cabinet and Cabinet Committees	John Betts	Control	Major (5)
	S114 Notice issued by the S151 Officer.	Likely (4)		• Governance reviews from across the Local Government sector are analysed to identify any lessons learned and reported to relevant stakeholders, including Governance & Audit Committee.	John Betts	Control	Unlikely (2)
				• Appropriate officer development and training programme in place and overseen by CMT	Paul Royel	Control	
				• Regular review of KCC Operating Standards and any necessary amendments are approved by CMT	Amanda Beer	Control	

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<p>effectiveness of the member governance of the Council.</p> <p>In October 2023 the External Auditors issued a report on governance arrangements at the Council, which identified 22 recommendations including around strategic arrangements for delivering priorities, effective challenge to and scrutiny of decisions and the Councils structure, systems and behaviours.</p> <p>The External Auditors referred to their October 2023 report in their Annual Report of 2022/23, raising a key recommendation in regard to significant weaknesses in arrangements for governance, and noted that the same recommendation had been made in 2021/22. This was supported by findings in the Monitoring Officers annual governance statement who has noted that</p>			<ul style="list-style-type: none"> <li>• Budget Recovery Strategy - Securing Kent's Future - set, to address the in-year and future years' financial pressures the council is facing and the specific and broader action that can be taken to return the council to financial sustainability.</li> <li>• Appropriate performance reporting of service and corporate performance to Cabinet, Cabinet Committee and Full Council</li> <li>• Appropriate and effective corporate risk management procedures in place for the Council</li> <li>• 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.</li> <li>• 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.</li> <li>• Regular reporting to Governance &amp; Audit Committee of implementation of the actions identified within Annual Governance Statements, and actions raised at Governance and Audit Committee, in addition Members and key stakeholders have access to PowerBi suite which captures all actions and progress to date.</li> </ul>	<p>Roger Gough</p> <p>David Whittle</p> <p>David Whittle</p> <p>David Whittle</p> <p>David Whittle</p> <p>Benjamin Watts</p>	<p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p>	
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## Risk Register - Corporate Risk Register

<p>improvements need to be made if governance is to be effective, in both the 2021/22 and 2022/23 reports.</p> <p>The external auditor stated that that there have been areas of improvement during the year including workshops, review of written governance processes and a Member development survey, however they also concluded that the culture, behaviours and standards should also keep pace with improvement work.</p>			<ul style="list-style-type: none"> <li>• Key and significant decision-making process in place for Executive decisions and appropriately published Forward Plan of Executive Decisions</li> <li>• Annual Governance Statement (AGS) arrangements in place with returns made across both senior and statutory officers</li> <li>• Democratic Services support effective Committee governance and scrutiny arrangements.</li> <li>• Member and Officer codes of conduct in place and robustly monitored and enforced</li> <li>• Member development and training programme in place and overseen by Selection and Member Services Committee</li> <li>• Completion of the activities required, including the review of the Constitution, to ensure that the Chief Executive Officer (CEO) has a fit for purpose support and governance structure (as agreed by the County Council) to continue the effective discharge of duties.</li> <li>• Following the publication of the 2021/22 AGS, a dedicated team was assembled within the Governance, Law and Democracy function to improve the awareness and application of governance and decision making across the council.</li> <li>• Provision for Chief Officers to seek written direction from Executive Members within the KCC Constitution</li> </ul>	<p>Benjamin Watts</p> <p>Benjamin Watts</p> <p>Benjamin Watts</p> <p>Benjamin Watts</p> <p>Benjamin Watts</p> <p>Benjamin Watts</p> <p>Benjamin Watts</p> <p>Benjamin Watts</p>	<p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p>		
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Risk Register - Corporate Risk Register

Risk Ref	CRR0014	Risk Title and Event	Assigned To	Last Review da	Next Review			
<b>Cyber &amp; Information Security Resilience</b>			Lisa Gannon	13/12/2024	13/03/2025			
Confidentiality, integrity and availability of data or systems is negatively impacted or compromised leading to loss of service, data breaches and other significant business interruptions.								
Cause	Consequence	Current Risk	Previous Current Risk	Control / Action	Control / Action	Target Date	Target Risk	
Malicious (intentional) actions against KCC from individuals, cyber criminals and state sponsored attacks.	Data Protection breach and consequent Information Commissioner's Office (ICO) sanction. Damages claims. Reputational Damage. Potential significant impact on business interruption if systems require shutdown until magnitude of issue is investigated.	High 20 Major (5) Likely (4)		<ul style="list-style-type: none"> <li>Reviewing visibility of the Group's risk profile regarding cyber security, to provide reassurance that the use of any shared resources or other interdependencies from a cyber perspective are continually understood.</li> </ul>	James Church	A -Accepted	31/03/2025	High 20 Major (5) Likely (4)
Supply chain compromise including third party data transfers, vulnerabilities in purchased equipment and supplier system breaches.	Loss or corruption of data. Loss of key systems potentially impacting ability to deliver statutory services.			<ul style="list-style-type: none"> <li>Data Protection and Information Governance training is mandatory and requires staff to refresh periodically. Progress rates monitored regularly.</li> </ul>	Paul Royel	Control		
Human error leading to staff revealing information or taking actions which assist malicious actor in being able to affect systems or data, including responding to phishing emails and losing account credentials.	Partners unable to discharge their duties Complaints			<ul style="list-style-type: none"> <li>Supply chain risk management program including keeping an inventory of all ICT suppliers and third party data transfers, cyber requirements built into procurement, regular assurance of supplier security to ISO 27001 and Cyber Essentials, and regular risk assessments carried out to identify supply chain risks.</li> </ul>	James Church	Control		
Compromise of physical security controls and/or infrastructure including unauthorised access to data centres, network				<ul style="list-style-type: none"> <li>Security engagement, training and awareness. Ongoing program of security engagement, training and awareness, upskilling staff to reduce human error. This includes communications, e-learning and training for staff.</li> </ul>	James Church	Control		

## Risk Register - Corporate Risk Register

<p>cables and natural disaster (flood, fires etc.)</p> <p>Gaps in existing resources and capabilities, including technological controls and resource challenges in provider's operational teams.</p>			<ul style="list-style-type: none"> <li>• Frequent security audits, penetration tests and compliance submissions External review of security posture provides validation that our controls work and are being managed effectively.</li> <li>• Multiple layers of logical, physical and administrative security controls Defence in depth is a key cyber security concept that the Authority adheres to, involving multiple layers of security control for protection from various threats.</li> <li>• Cyber standards and risk assessment have been included into the central ICT commissioning framework</li> <li>• Internal assurance programme including audits, risk assessment and vulnerability management Completion of internal audits and assurance audits to ensure cyber is being managed effectively. Continuing to action audit recommendations via the Consolidated Security Action Plan. Risk assessments completed on new implementations to ensure that cyber risks are highlighted and treated. Vulnerability management activities to identify and treat vulnerabilities in good time.</li> <li>• Investment in and implementation of new controls and technologies including capabilities of M365 E5 licenses. Cyber security threats are constantly evolving and therefore new tools and capabilities are required to keep up and mitigate the risk.</li> </ul>	<p>James Church</p> <p>Control</p> <p>James Church</p> <p>Control</p> <p>James Church</p> <p>Control</p> <p>James Church</p> <p>Control</p>		
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Risk Register - Corporate Risk Register

			<ul style="list-style-type: none"> <li>• Data Protection and Information Governance training is mandatory and requires staff to refresh periodically. Progress rates monitored regularly.</li> <li>• Additional messages warning staff of cyber threats are being sent out regularly.</li> <li>• 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.</li> </ul>	<p>Benjamin Watts</p> <p>Diane Christie</p> <p>Diane Christie</p>	<p>Control</p> <p>Control</p> <p>Control</p>		

Risk Register - Corporate Risk Register

Risk Ref	CRR0003	Risk Title and Event	Assigned To	Last Review da	Next Review			
<b>Securing resources to aid economic growth and enabling infrastructure</b>			Simon Jones	10/01/2025	31/01/2025			
<p>The inability to secure sufficient funding, including contributions from development, to deliver the infrastructure necessary to support growth may require gap funding in order for KCC to fulfil its statutory duties. Deferral of developer contributions and / or elongated planning consents leads to delayed or compromised infrastructure.</p>								
Cause	Consequence	Current Risk	Previous Current Risk	Control / Action	Control / Action	Target Date	Target Risk	
<p>The economy in Kent &amp; Medway has been impacted by the Covid pandemic, inflation and other world events, and the impacts could be disproportionate across the county (e.g., in coastal areas). To gain an understanding of the implications, an impact assessment has been conducted, which has led to the preparation of an Economic Framework for the County, which aims to act as a stimulus for improvement. The Council actively seeks to secure the resources/funding necessary to provide the infrastructure required to support growth, which often need to be bid for in very tight timescales</p>	<p>Key opportunities for growth missed. The Council finds it increasingly difficult to fund services and match-fund infrastructure across Kent and fully mitigate the overall impact of housing growth on KCC services and, therefore communities. Kent becomes a less attractive location for inward investment and business. Our ability to deliver an enabling infrastructure becomes constrained. Reputational risk associated with delayed delivery of infrastructure required. Additional revenue costs incurred due to infrastructure delays and operational costs increasing.</p>	<p><b>High</b> 20 Major (5) Likely (4)</p>		<ul style="list-style-type: none"> <li>Formulate countywide transport policy and strategy with Member Task &amp; Finish Group and Cabinet.</li> </ul>	Lee Burchill	A -Accepted	31/12/2024	<b>High</b> 16
				<ul style="list-style-type: none"> <li>Make use of KCC's new role as Accountable Body for the Kent &amp; Medway Functional Economic Area (post LEP landscape) to liaise with key government departments to make the case for specific funding allocations to tackle barriers to growth.</li> </ul>	Steve Samson	A -Accepted	31/03/2025	Serious (4) Likely (4)
				<ul style="list-style-type: none"> <li>Kent Design Guide to be published – will influence and provide people with expectations and standards that we expect.</li> </ul>	Tom Marchant	A -Accepted	31/03/2025	
				<ul style="list-style-type: none"> <li>Multi-agency Kent and Medway Employment Task Force has been established.</li> </ul>	David Smith	Control		
				<ul style="list-style-type: none"> <li>Kent &amp; Medway Economic Framework delivered against.</li> </ul>	Steve Samson	Control		
				<ul style="list-style-type: none"> <li>Specific business support packages, including the Kent &amp; Medway Business Fund, Recover Pivot &amp; Scale, Kent &amp; Medway Growth Hub etc.</li> </ul>	Steve Samson	Control		
				<ul style="list-style-type: none"> <li>Strong engagement of private sector through Kent and Medway Economic Partnership (KMEP), Business Advisory Board, Kent Developer Group, KMEP Sector Groups, Team Kent work etc.</li> </ul>	Steve Samson	Control		

## Risk Register - Corporate Risk Register

<p>and are increasingly subject to the drive to deliver economic impact, housing and employment outputs.</p> <p>At a local level there is often a significant gap between the overall costs of the infrastructure required and the Council's ability to secure sufficient funds through the current funding systems, including Section 106 contributions, Community Infrastructure Levy and other growth levers. Government spending cuts and evolving priorities may result in essential infrastructure programmes being delayed or cancelled. Central Government has recently indicated that it is minded to cease funding for post-LEP responsibilities in 25-26 and much new funding for growth programmes is being targeted at MCA areas rather than counties - this presents significant financial risk dependent upon</p>			<ul style="list-style-type: none"> <li>• Kent &amp; Medway Economic Framework Steve Samson Control  A Phase 1 implementation plan has been implemented for Kent &amp; Medway Framework with KMEP sub groups and local stakeholders for taking forward the ambitions and action areas set out in the framework including developing a prioritised economic and infrastructure projects pipeline to focus and secure future funding resource and inform government of priorities.</li> <li>• Monitoring of socio economic data and trends and development of responses to changed economic trends through Kent &amp; Medway Economic Dashboard and new KMEP work stream data sets. Steve Samson Control</li> <li>• New contracts put in place to support the visitor economy and inward investment services to attract businesses to the county and bring in additional revenue for local companies. Steve Samson Control</li> <li>• Teams across the Growth, Environment and Transport directorate work with each individual District on composition of local infrastructure plans including priorities for the CIL and Section 106 contributions, to articulate needs for the demands on services Tom Marchant Control</li> <li>• Government consultations on proposals for reform of the planning system in England considered and responded to. Tom Marchant Control</li> <li>• The KCC Developer Contributions Guide has been updated and adopted. Tom Marchant Control</li> </ul>			
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<p>emerging policy.</p>			<ul style="list-style-type: none"> <li>• Infrastructure Mapping Platform being piloted in East Kent before countywide rollout, setting out the infrastructure needed to deliver planned growth. Tom Marchant</li> <li>• Single Monitoring System (SMS) is used to track individual s106 planning obligations from the Council's initial request for developer contributions through the issue of invoice for payment Stephanie Holt-Castle</li> <li>• Regular dialogue with government departments and responses made to emerging Government strategies. Stephanie Holt-Castle</li> </ul>	<p>Control</p> <p>Control</p> <p>Control</p>		

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Risk Ref	CRR0042	Risk Title and Event	Assigned To	Last Review da	Next Review		
<b>Border fluidity, infrastructure and regulatory arrangements</b>			Simon Jones	10/01/2025	31/01/2025		
<p>That changes in border customs, checking and processing routinely disrupt local communities and both the strategic and local road networks.</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 necessary infrastructure, legislation and controls to ensure a long term plan for frictionless border movements.</p>							
Cause	Consequence	Current Risk	Previous Current Risk	Control / Action	Control / Action	Target Date	Target Risk
<p>Changes at the UK border with Europe means additional controls now exist on the movement of goods and people between the UK and the EU. The UK Government and the EU have introduced new border controls and further changes are being introduced including the new Entry/Exit System (EES) and European Travel Information and Authorisation system (ETIAS). KCC has been working with partners at a local and national level to assess potential implications for the county and prepare for various scenarios. KCC is reliant on coherent, coordinated governance and information across</p>	<p>Significant slowdown in the existing flow of goods and people through the Kent Ports leads to long delays in accessing the Port of Dover and Eurotunnel. Impacts on strategic traffic routes as a result of Operation Brock and other traffic management measures, leading to an increase in local and pan Kent road journey times, impacting communities and businesses. Significant detrimental impact on the county's economic competitiveness, attractiveness for inward investment and quality of life for Kent residents. Significant increase in imported goods subject to statutory checks by Trading Standards including consumer goods and animal feeds.</p>	<p><b>High</b> 20 Major (5) Likely (4)</p>		<ul style="list-style-type: none"> <li>Preparation for impacts of two separate but interconnected schemes that will affect non-EU citizens travelling to most EU countries; implementation of the EU Entry/Exit System (EES) system and the EU European Travel Information and Authorisation System (ETIAS).</li> </ul>	Andy Jeffery	A -Accepted	<p><b>Medium</b> 12 Serious (4) Possible (3)</p>
				<ul style="list-style-type: none"> <li>KCC contributes to the Kent &amp; Medway Resilience Forum Operation Fennel strategic plan</li> </ul>	Toby Howe	Control	
				<ul style="list-style-type: none"> <li>Working with Government to develop short, medium and long-term plans for border resilience looking at infrastructure and technological solutions.</li> </ul>	Toby Howe	Control	
				<ul style="list-style-type: none"> <li>Regular presentations to Cabinet Committee on potential impacts relating to people and goods.</li> </ul>	Simon Jones	Control	
				<ul style="list-style-type: none"> <li>Regular engagement with senior colleagues in relevant Government Departments.</li> </ul>	Simon Jones	Control	
<ul style="list-style-type: none"> <li>Several training exercises have taken place to prepare for various scenarios and to ensure staff competency is maintained, including Exercise Barra and Exercise Jura.</li> </ul>	Andy Jeffery	Control					



Risk Register - Corporate Risk Register

<p>Government to aid the Local Authority and partners locally in planning their contingency arrangements and responding appropriately.</p>	<p>Imported animals now subject to welfare checks at Border controls posts, breaches of welfare subject to investigation by Trading Standards. Shortages and delay may impact supply chains. Interruption and effect on business services, both statutory and discretionary, such as: Adult's and children's social care workers being able to reach necessary areas. Care homes in the affected areas. Officers and Community Wardens working in affected areas and those officers who live in affected areas but deliver face to face services. Critical infrastructure including schools, KCC buildings and other KCC responsible areas.</p>		<ul style="list-style-type: none"> <li>• KCC are leading on the Kent and Medway Resilience Forum which undertakes EES planning work.</li> <li>• Government funding to support improving access to the borders.</li> <li>• KCC are part of the KMRF EES Strategic and Tactical Planning Groups (multi agency planning groups for potential disruption at Port of Dover and Eurotunnel). These groups plan work across KMRF to prepare for the impacts of EES and KCC lead on this work.</li> <li>• A KCC EES planning structure has been implemented which manages EES on behalf of CDRF.</li> <li>• Regular and ongoing testing and review of internal KCC business continuity and response plans</li> <li>• KCC contribution to multi-agency communications in the 'response' phase, and leadership of communications in the 'planning' and 'recovery' phases</li> <li>• KCC services are continually reviewing business continuity arrangements, taking potential scenarios into consideration, with co-ordination via Directorate Resilience Group.</li> </ul>	<p>Andy Jeffery</p> <p>Andy Jeffery</p> <p>Andy Jeffery</p> <p>Andy Jeffery</p> <p>Andy Jeffery</p> <p>Christina Starte</p> <p>Service Managers</p>	<p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p>		
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Risk Register - Corporate Risk Register

Risk Ref	CRR0064	Risk Title and Event	Assigned To	Last Review da	Next Review				
		<b>Risk of Failing to Deliver Effective Adult Social Care Services</b>	Richard Smith	11/10/2024	24/01/2025				
Impact on outcomes for people who draw on care and support and unpaid carers									
Potential that people will come to harm and the Council will be unable to ensure that their safeguarding statutory duty under S.42 of the Care Act 2014 will be fully met.									
Non-compliance with Care Act 2014, the Mental Health Act 1983, the Mental Capacity Act 2005 and associated legislation, and the regulatory requirements of the Care Quality Commission.									
Cause	Consequence	Current Risk	Previous Current Risk	Control / Action	Control / Action	Target Date	Target Risk		
<p>The Council is at risk of failing to deliver effective Adult Social Care services and there is the potential to not meet requirements of statutory services under the Care Act 2014, the Mental Health Act 1983, the Mental Capacity Act 2005 and associated legislation, and the regulatory requirements of the Care Quality Commission.</p> <p>The Council has been impacted by:</p> <ul style="list-style-type: none"> <li>- continual reduction in Central Government funding</li> <li>- Demographic changes</li> <li>- Increased demand for services</li> <li>- Demand led statutory services which can be</li> </ul>	<p>Failure to fulfil our duty of care could result in serious harm or detriment or in extremely rare cases death to a person with significant impact on families, carers and support networks. This could in turn result in prosecution, having to pay compensation and a negative impact on the reputation of the Council.</p>	<p><b>High</b></p> <p>20</p> <p>Major (5)</p> <p>Likely (4)</p>		<ul style="list-style-type: none"> <li>• ASC will set out plans for redesign and redeployment of workforce around two key areas of practice:                             <ul style="list-style-type: none"> <li>(a) prevention, early intervention, and short term support</li> <li>(b) long term support and adult safeguarding. (Nov 2024)</li> </ul> </li> <li>• ASC SMT have established monthly meetings with connect2Kent to ensure we proactively monitor the timely deployment of key interim personal into statutory front line roles. This started about 6 months ago and an ongoing arrangement.</li> </ul>	<p>Mark Albiston</p> <p>Mark Albiston</p> <p>Mark Albiston</p>	<p>A</p> <p>-Accepted</p> <p>Control</p> <p>Control</p>	<p>01/04/2025</p>	<p><b>Medium</b></p> <p>15</p> <p>Major (5)</p> <p>Possible (3)</p>	
		<p>Reputational impact. Public perception of the council being willing to accept poor standards of care. Low public confidence in social care</p>			<ul style="list-style-type: none"> <li>• ASC have developed comprehensive performance management tools that help identify and targeted weekly action to reduce the length of time people are having to wait for CNA's, reviews, open safeguarding concern, open safeguarding risk assessments, open safeguarding enquiries. Weekly emails (for action) are sent to assistant directors and monitored through governance and assurance meetings. (already in place and ongoing)</li> </ul>				
		<p>A loss of trust in the Council's ability to safeguard people who live in Kent.</p> <p>Overspending on the</p>							

## Risk Register - Corporate Risk Register

<p>difficult to predict</p> <ul style="list-style-type: none"> <li>- Increasing costs due to increasing complexity of health and social care needs.</li> <li>- Increasing costs due to cost of living pressure/inflation/interest rates/utilities.</li> <li>- increasing costs from social care market providers</li> <li>- recruitment and retention of staff</li> <li>- recovering from the impacts of the Covid-19 pandemic on the sector, including the NHS Recovery Plan</li> </ul>	<p>budget which may impact the wider council.</p>		<ul style="list-style-type: none"> <li>• Adult Social Care Connect (changes to our front door) will be rolled out from 14th October 2024 with a focus on developing strength based care act assessments at first point of contact</li> <li>• Safeguarding adults' improvement plan agreed by DMT in September 2024 and progress will be monitored by DMT</li> <li>• ASC have commissioned a managed service to undertake targeted statutory safeguarding enquiries focus on people with longest wait times</li> <li>• ASC have commissioned a managed service to undertake an initial 650 targeted reviews in TSCK and West Kent.</li> <li>• Minimum targets for completed CAN's and reviews per full time worker per week have been established and this is supported by a forward look productivity tool to evidence how ASC will reduce the number of people and time they have to wait for an assessment of their needs, and or review (in place since April 2024)</li> <li>• ASC have set out transformation and sustainability business plans which sets out the actions we will take to (a) prevent, reduce, and delay needs for care and support at the first point of contact through new models of care and support (b) drive our approach to new models of care and support (sustainability) following individual reviews. These have been in place since April and are due for mid-point review.</li> </ul>	<p>Mark Albiston</p> <p>Mark Albiston</p> <p>Mark Albiston</p> <p>Mark Albiston</p> <p>Mark Albiston</p>	<p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p>	



Risk Register - Corporate Risk Register

Risk Ref	Risk Title and Event	Assigned To	Last Review da	Next Review
CRR0058	<b>Capacity and capability of the workforce</b>	Paul Royel	22/11/2024	22/02/2025
<p>Workforce capacity challenges - insufficient staff to meet service demands.</p> <p>Capacity pressures within the management, and leadership teams potentially impacting time for reflection and decision making.</p> <p>Impact on budgets from use of agency staff/contractors to fill roles to support service delivery.</p> <p>There is a risk that services may not have the capacity to deal with the additional demand and associated cost pressures or may have to reduce quality to meet the need.</p> <p>Complaints from Kent residents</p> <p>Lack of depth / resilience of key personnel or teams.</p>				

Cause	Consequence	Current Risk	Previous Current Risk	Control / Action	Control / Action	Target Date	Target Risk	
<p>KCC is experiencing increasing demand for services due to whole system pressures which placing pressure on the existing capacity of the workforce.</p> <p>As a result of the complexity and volatility of issues being faced in the organisation capacity in within the management, and leadership teams is stretched.</p> <p>Increasing complexity of issues being faced by KCC require capable</p>	Adverse impact on productivity	<p><b>High</b></p> <p>16</p> <p>Serious (4)</p> <p>Likely (4)</p>		<ul style="list-style-type: none"> <li>Review of pay strategy to ensure it remains competitive and sustainable for the future.</li> </ul>	Ian Allwright	A -Accepted	31/03/2025	<b>Medium</b>
	Negative impact on performance and / or delivery of statutory functions or services.			<ul style="list-style-type: none"> <li>Exit and retention surveys in place to identify drivers for both leavers and for those who chose to stay</li> </ul>	Diane Christie	A -Accepted		Serious (4)
	Lack of experienced staff with specialist skills			<ul style="list-style-type: none"> <li>Targeted advice, support and interventions available via HR business partners for areas of particular recruitment / retention concern relating to key roles.</li> </ul>	Paul Royel	Control		Possible (3)
	Reliance on interim and agency staff potentially impacting stability of teams and consistency of service.			<ul style="list-style-type: none"> <li>Workforce planning and appropriate career development and succession planning mechanisms in place.</li> </ul>	Paul Royel	Control		
	Inability to progress service development.			<ul style="list-style-type: none"> <li>Delivery of the People Strategy for 2022 2027 approved by Personnel Committee</li> </ul>	Paul Royel	Control		
	Low staff morale and			<ul style="list-style-type: none"> <li>KCC's Organisation Design principles set out and periodically refreshed and monitored to ensure they remain fit for purpose.</li> </ul>	Paul Royel	Control		

## Risk Register - Corporate Risk Register

and experienced officers with potentially different skill sets.	negative impact on wellbeing, potentially leading to burn out.			<ul style="list-style-type: none"> <li>• Workforce profile report for the Personnel Committee gives detailed analysis on staffing levels and provides comparator information on previous years – now being provided more regularly to Personnel Committee for Member oversight and scrutiny.</li> </ul>	Paul Royel	Control		
The financial position of the Council limits the ability to manage in spikes operational demand by way of recruitment.	Loss of discretionary effort/goodwill.  Impact on delivery of projects to expected time scales.			<ul style="list-style-type: none"> <li>• Communication, implementation and measurement of the impact of the People Strategy.</li> </ul>	Paul Royel	Control		
To support capacity, use of agency staff is increasing.	Employer and Service Reputational damage			<ul style="list-style-type: none"> <li>• Delivery of the Change Support Hub to provide suite of tools, knowledge, models, videos and change related resources to support leaders, managers, staff, and project delivery teams. The aim of the Change Hub is to aid employees to build change understanding and skills at a time right for them, to support the delivery of KCC ambitions through its many change programmes.</li> </ul>	Janet Hawkes	Control		
Newly qualified professionals in services require adequate time and support from senior officers, which has secondary capacity impacts.	Negative impact on budgets and savings plans			<ul style="list-style-type: none"> <li>• Delivery of Management Development activities to provide clarity and guidance for KCC managers on their responsibilities and accountabilities, including focus on key areas, such as digital, hybrid, equality, inclusiveness.</li> </ul>	Janet Hawkes	Control		
Impacts of supporting secondments on teams and services with limited capacity or on difficult to resource roles.				<ul style="list-style-type: none"> <li>• Regular staff survey conducted, followed by facilitation of engagement and action plans with senior management. Includes predictive analytics to explore key drivers of intention to leave to enable appropriate responses to develop.</li> </ul>	Diane Christie	Control		
As well as national skills shortages in key areas, attracting suitably qualified, skilled and experienced staff, and retaining them to ensure sufficient capacity and capabilities to deliver				<ul style="list-style-type: none"> <li>• Promoting even more regular communications between managers and their teams while working remotely via "Good Conversations" tools etc.</li> </ul>	Diane Christie	Control		

## Risk Register - Corporate Risk Register

<p>services continues to be reported as a challenge across directorates. This is influenced by internal and external factors such as the financial position of the Council, local and national elections and the subsequent political uncertainty.</p>			<ul style="list-style-type: none"> <li>• Communications and engagement campaigns will be delivered to support the implementation and embedding of People Strategy priorities. In particular, building awareness, understanding and use of our employee package will support staff retention.</li> <li>• Implementation of action plans arising from latest staff survey (conducted November 2023)</li> </ul>	<p>Kirsty Ireland</p> <p>Corporate Management Team</p>	<p>Control</p> <p>Control</p>		

Risk Register - Corporate Risk Register

Risk Ref	CRR0039	Risk Title and Event	Assigned To	Last Review da	Next Review
<b>Information Governance</b>			Benjamin Watts	16/12/2024	16/03/2025
<p>Failure to embed the appropriate processes, procedures and behaviours to meet regulations.                      Failure to meet regulatory reporting deadlines. KCC is currently not meeting reporting requirements for FOI requests.                      Information security incidents (caused by both human error and / or system compromise) resulting in loss of personal data or breach of privacy / confidentiality.                      Council accreditation for access to government and partner ICT data, systems and network is withdrawn.                      Providers and or suppliers processing KCC data fail to embed the appropriate processes and behaviours.                      Poor data quality negatively impacts AI algorithms</p>					

Cause	Consequence	Current Risk	Previous Current Risk	Control / Action	Control / Action	Target Date	Target Risk
The Council is required to maintain the confidentiality, integrity and proper use, including disposal of data under the Data Protection Act 2018, which is particularly challenging given the volume of information handled by the authority on a daily basis. The Council has regulatory obligations into the management of SAR/FOI/EIR requests United Kingdom General Data Protection Regulations (UK GDPR) came into effect that have introduced significantly increased obligations on all data controllers, including the Council.	Information Commissioner’s Office sanction (e.g., undertaking, assessment, improvement, enforcement or monetary penalty notice issued against the Authority). Serious breaches under UK GDPR could attract a fine. Increased risk of litigation. Reputational damage. Bias presenting in AI algorithms impacting outcomes and decision making Loss of trust in automated decisions	Medium 15 Significant (3) Very Likely (5)		• ICT Commissioning function has necessary working/contractual relationship with the Cantium Business Solutions to require support on KCC ICT compliance and audit.	Dave Lindsay	Control	Medium 9 Significant (3) Possible (3)
				• Supply chain risk management program including keeping an inventory of all ICT suppliers and third party data transfers, cyber requirements built into procurement, regular assurance of supplier security to ISO 27001 and Cyber Essentials, and regular risk assessments carried out to identify supply chain risks.	James Church	Control	
				• Data breach process enhanced by automated system, changes included auto reminders to services where further information is required. More data is available on service performance in relation to breach management and also allow for timely escalation where appropriate	Peter Healey	Control	
				• Senior Information Risk Owner for the Council appointed with training and support to undertake the role.	David Whittle	Control	



## Risk Register - Corporate Risk Register

<p>The Covid-19 pandemic has introduced new risks e.g., staff adapting to new ways of working and increasing information security threats. There is insufficient resource available to undertake comprehensive oversight / assurance activity that provides assurance on compliance with existing information governance standards. There is a critical dependency on the Council's Local Authority Trading Companies (CBS) and other material third parties to support Information Governance compliance for the KCC systems and network. KCC services' requirement for non-standard systems creates vulnerabilities. Failure to manage data lawful when using automated decision making via algorithms</p>				<ul style="list-style-type: none"> <li>• Caldicott Guardian appointed with training and support to undertake the role</li> <li>• Overarching policy for use of Artificial Intelligence is in place and has been communicated to the wider organisation</li> <li>• Implementation of action identified within the 2023/24 consolidated annual governance action plan – Information Asset Owners assurance on data controls within the supply chain</li> <li>• Staff are required to complete mandatory training on Information Governance and Data Protection and refresh their knowledge every two years as a minimum.</li> <li>• KCC are not meeting required deadlines for FOI returns. Paper to CMT regarding causes and requirements of services,</li> <li>• 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. Data Protection Officer in place to act as a designated contact with the ICO.</li> <li>• Implementation of recommendations from working from home and records management audits.</li> <li>• Management Guide/operating modules on Information Governance in place, highlighting key policies and procedures.</li> </ul>	<p>Richard Smith</p> <p>Benjamin Watts</p> <p>Benjamin Watts</p> <p>Benjamin Watts</p> <p>Benjamin Watts</p> <p>Benjamin Watts</p> <p>Benjamin Watts</p> <p>Benjamin Watts</p>	<p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p>	
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Risk Register - Corporate Risk Register

			<ul style="list-style-type: none"> <li>• Corporate Information Governance Group established, chaired by the DPO and including the SIRO and Caldecott Guardian acting as a point of escalation for information governance issues and further escalation to the Corporate Management Team if required</li> </ul>	Benjamin Watts	Control		
			<ul style="list-style-type: none"> <li>• Privacy notices as well as procedures/protocols for investigating and reporting data breaches reviewed and updated</li> </ul>	Caroline Dodge	Control		
			<ul style="list-style-type: none"> <li>• Information Resilience and Transparency team in place, providing business information governance support.</li> </ul>	Caroline Dodge	Control		
			<ul style="list-style-type: none"> <li>• The data capture mapping capture form is in place. Policy guidance requires Information Governance leads to review data maps with the services on a bi annual basis, or as and when a new DPIA is created reflected on the data map.</li> </ul>	Hannah Rumball	Control		
			<ul style="list-style-type: none"> <li>• Data Protection Impact Assessment (DPIA) is supported with a matrix detailing the type of data and its usage. KCC testing of Microsoft Copilot is moving into its second phase, and the DPIA remains a live document and will be updated accordingly.</li> </ul>	Hannah Rumball	Control		
			<ul style="list-style-type: none"> <li>• Cross Directorate Information Governance Working Group in place.</li> </ul>	Hannah Rumball	Control		

Risk Register - Corporate Risk Register

Risk Ref	CRR0052	Risk Title and Event	Assigned To	Last Review da	Next Review		
		<b>Adaptation of KCC Services to Climate Change impacts.</b>	Simon Jones	18/12/2024	18/03/2025		
<p>There is a risk that a failure to adapt KCC services to climate change leads to adverse impacts on and increased costs to the Council, as a result of damage to or loss of physical and financial assets, staff sickness and lower productivity, transport disruption, and others.</p>							
Cause	Consequence	Current Risk	Previous Current Risk	Control / Action	Control / Action	Target Date	Target Risk
A lack of adaptation by the Council services (including those delivered and commissioned by KCC) to climate change as a result of inadequate planning and a lack of resourcing.	KCC bears significant financial costs due to the destruction/deterioration of its assets and services. Services responsible for the safety and wellbeing of staff and the general public are placed under greater demand for their services, resulting in greater expenditure and lower productivity. Kent's residents experience a decline in the quality of services that KCC provides across the county, leading to customer dissatisfaction and reputational damage.	Medium	25	<ul style="list-style-type: none"> <li>Delivery of the KCC Climate Change Adaptation Plan (including service level climate change adaptation risks and incorporating climate adaptation into project and BAU activity delivery, etc.).</li> <li>Building environmental risks into KCC project work and the delivery of the KCC Environment Plan.</li> <li>Delivery of KCC's Net Zero Plan (2030).</li> <li>Strategic Statement – Priority 3 re Environment</li> <li>Delivery of the Kent Environment Strategy and Energy and Low Emissions Strategy.</li> <li>Estate rationalisation and building in additional measures to reduce emissions.</li> <li>ISO 14001 accreditation (the international standard for Environmental Management Systems) implemented and maintained</li> </ul>	A		Medium
		12 Significant (3) Likely (4)	↓ -13		-Accepted		9 Significant (3) Possible (3)

Risk Register - Corporate Risk Register

Risk Ref	CRR0063	Risk Title and Event	Assigned To	Last Review da	Next Review		
<b>Capacity to accommodate and care for Unaccompanied Asylum-Seeking (UAS) Children</b>			Sarah Hammond	16/10/2024	16/01/2025		
<p>In the event of a significant increase of UAS children arriving in Kent there may be insufficient resource to provide suitable social work assessment capacity, placements and support for UAS children in a timely fashion. An increase in the required establishment of staff in terms of social work and reception centres has been agreed and recruitment in underway in line with the timelines for the opening of additional reception centres.</p>							
Cause	Consequence	Current Risk	Previous Current Risk	Control / Action	Control / Action	Target Date	Target Risk
<p>In recent years, large numbers of unaccompanied children have arrived in the UK and claimed asylum. Because almost all of these children enter the UK in Kent, KCC is the local authority responsible for accommodating and looking after them in the first instance, in addition to those who already live in its area.</p> <p>In July 2023 the High Court ruled that KCC must accommodate and look after all UAS children arriving into the County, pending transfer to other local authorities under the National Transfer Scheme. This has resulted in KCC being required to expand their social work and reception centre</p>	<p>Impacts on vulnerable children (both UAS children and potential knock-on impacts for Kent looked after children). Risks KCC being unable to fulfil its statutory responsibilities to all children effectively. Significant additional budget pressures on the Authority, impacting on its financial resilience. However, this impact is reducing as funding has been secured from the Home Office and DfE (revenue and capital). Legal consequences. Reputational damage.</p>	<p>Medium 12 Serious (4) Possible (3)</p>		<ul style="list-style-type: none"> <li>Additional support has been secured from the Home Office and Department for Education in the form of additional funding (capital and revenue) to ensure the cost to accommodate and look after all UAS children arriving to Kent is fully funded by central government. Central government revenue funding is informed by KCC's estimated costs, with a proportion based on fixed costs to protect KCC from fluctuations in demand across a given year. There is close ongoing communication with the Home Office and DfE.</li> <li>The Council has utilised / re purposed available buildings to increase accommodation capacity.</li> <li>UAS Steering Group in place to coordinate support efforts across the organisation meeting on a fortnightly basis. The steering group brings together key representatives across the organisation including social work, finance, analytics, HR and infrastructure.</li> </ul>	<p>Roger Gough</p> <p>Rebecca Spore</p> <p>Sarah Hammond</p>	<p>Control</p> <p>Control</p> <p>Control</p>	<p>Medium 12 Serious (4) Possible (3)</p>

## Risk Register - Corporate Risk Register

<p>services to meet this ruling as it presents numerous pressures on an already stretched service, and for the council as a whole.</p>				<ul style="list-style-type: none"> <li>• Intensive negotiations continue with Home Office and Department for Education following the receipt of funding up to March 2025. Negotiations are focusing on the significant changes needed to the NTS as future modelling has shown there will be a gap in the future without these. The alternative is significant changes aren't made is that more buildings will be required to ensure suitable placements are provided for unaccompanied children, in line with our statutory responsibilities. As part of the ongoing negotiations KCC is preparing a case to show how additional funding might be used.</li> <li>• Transport arrangements have been put into place to ensure children and young people can be efficiently transported from the Kent Intake Building to their KCC placement ahead of the final destination under the National Transfer Scheme, which the Home Office is responsible for providing the transportation to.</li> <li>• UAS child numbers are continually monitored and reviewed to assess capacity and aid planning. An emergency response plan is in place between KCC, Home Office and Department for Education (DfE) which includes an early warning system that notifies the Home Office and DfE when capacity fills up.</li> </ul>	<p>Sarah Hammond</p> <p>Alex Stringer</p> <p>Alex Stringer</p>	<p>Control</p> <p>Control</p> <p>Control</p>	
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Risk Register - Corporate Risk Register

			<ul style="list-style-type: none"> <li>• Best endeavours are being applied to ensure assessments are completed for every child that arrives in port and find appropriate placements, despite resourcing challenges.</li> <li>• Recruitment of required social care staff to ensure there is sufficient staffing in place in terms of operational delivery. A proportion of posts will be permanent and a proportion will be filled by agency staff to enable flexibility and adaptability in line with demand.</li> <li>• Registering of reception centres with Ofsted to meet regulations.</li> <li>• Recruitment of required reception centre staff to ensure there is sufficient staffing in place ahead of new reception centers opening. The recruitment and start dates for new staff is being planned to enable to robust induction ahead of the centre formally opening. A proportion of posts will be permanent and a proportion will be filled by agency staff to enable flexibility and adaptability in line with demand.</li> <li>• Fostering placements (in-house and independent) have been block commissioned to ensure placements for UAS children who are under 16.</li> </ul>	Alex Stringer	Control			
				Alex Stringer	Control			
				Alex Stringer	Control			
				Alex Stringer	Control			
				Alex Stringer	Control			

Risk Register - Corporate Risk Register

Risk Ref	Risk Title and Event	Assigned To	Last Review date	Next Review
CRR0049	<b>Fraud and Error</b>	John Betts	10/01/2025	31/01/2025

Failure to prevent or detect significant acts of fraud or error from internal or external sources, in that within any process or activity there are risks that:

- false representations made to make a gain or expose another to a loss
- failure to notify a change of circumstances to make a gain or expose another to a loss
- abuses of position, in which they are expected to safeguard to make a gain or expose another to a loss.

Given the size and complexity of KCC, with a significant number of payments going to a wide range of suppliers and other public bodies, whom have a legitimate need to amend their bank details, that this process is used to submit a fraudulent change of bank details (mandate fraud) to KCC in order to divert funds.

Compromise of physical security controls and/or infrastructure including unauthorised access to ICT systems could lead to fraudulent access and/or use of data.

Cause	Consequence	Current Risk	Previous Current Risk	Control / Action	Control / Action	Target Date	Target Risk
As with any organisation, there is an inherent risk of fraud and/or error that must be acknowledged and proactively managed. KCC is a commissioning authority and therefore need adequate controls in place to protect public money. The fraud threat posed during emergency situations is higher than at other times, and all public bodies should be attuned to the risks facing their organisations and the public sector. This is	Financial loss leading to pressures on budgets that may impact the provision of services to service users and residents. Reputational damage, particularly if the public see others gaining services or money that are not entitled to, leading to resentment by the public against others. Potential legal challenge Reputational damage Poor service delivery Potentially enabling Serious Organised Crime	Medium 10 Moderate (2) Very Likely (5)		<ul style="list-style-type: none"> <li>All tendering specification will include a requirement for the tenderer to provide details on what procedures they have in place to prevent fraud from occurring within the contract, both in the service delivery and invoicing into KCC. Support in evaluating these procedures will be obtained from the Counter Fraud Team as part of the overall evaluation process.</li> </ul>	Clare Maynard A -Accepted	30/12/2024	Low
				<ul style="list-style-type: none"> <li>KCC is part of the Kent Intelligence Network (KIN), a joint project between 12 district councils, Medway Council, Kent Fire &amp; Rescue and Kent County Council which analyses and data matches financial and personal information to allow fraudulent activity in locally administered services to be detected more proactively within Kent</li> </ul>	Nick Scott Control		5 Minor (1) Very Likely (5)

## Risk Register - Corporate Risk Register

<p>further impacted by inflation and the cost-of-living crisis. It is critical that management implements a sound system of internal control and always demonstrates commitment to it, and that investment in fraud prevention and detection technology and resource is sufficient. This includes ensuring that new emerging fraud/error issues are sufficiently risk assessed.</p> <p>As part of the Economic Crime and Corporate Transparency Act (ECCT), a new corporate criminal offence of 'Failure to Prevent Fraud' has been introduced. The offence is intended to hold large organisations to account if they profit from fraud. Under the offence, large organisations may be held criminally liable where an employee, agent, subsidiary, or other "associated</p>			<ul style="list-style-type: none"> <li>• An agreed Memorandum of Understanding is in effect with partners (District Councils, Police and Fire Service) outlining the minimum standards expected to be applied by collection authorities (District Councils) to address fraud and error relating to council tax and business rates. Additional work jointly funded to identify and investigate high risk cases based on each authority's share of the tax base. This supports the work of the KIN.</li> <li>• Multiple layers of logical, physical and administrative security controls.</li> </ul> <p>Linked to CRR0014 Cyber Security Corporate Risk.</p> <ul style="list-style-type: none"> <li>• KCC reserves the right to carry out a dip sample of due diligence vetting checks in partnership with contract managers to verify declarations of non-involvement.</li> <li>• Scheme of Delegation - compliance with Delegation Matrix and Spending the Council's Money</li> <li>• Commissioning standards reviewed, including rules relating to "Spending the Council's Money", which have been clarified, to ensure relevant controls are in place to mitigate e.g. declarations of interest for procurement fraud, authorisation levels etc.</li> <li>• Clear process within relevant Commissioning Departments for procurement under the PCR threshold</li> </ul>	<p>Dave Shipton</p> <p>James Church</p> <p>Clare Maynard</p> <p>Clare Maynard</p> <p>Clare Maynard</p> <p>Clare Maynard</p>	<p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p>	
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## Risk Register - Corporate Risk Register

<p>person”, commits a fraud intending to benefit the organisation.</p>				<ul style="list-style-type: none"> <li>• With supplier consent, within the Tender Selection Questionnaire and subsequent contract Terms and Conditions, Clare Maynard</li> <li>• Communication of mandate fraud / cyber security to KCC supply chain. Clare Maynard</li> <li>• Internal Audit includes proactive fraud work in its annual audit plan, identifying potential areas where frauds could take place and checking for fraudulent activity. Jonathan Idle</li> <li>• Mandatory training - Data Protection and Information Governance training is mandatory and requires staff to refresh periodically. Benjamin Watts</li> </ul> <p>Linked to CRR0014 Cyber Security Corporate Risk.</p> <ul style="list-style-type: none"> <li>• Communication, including messaging to encourage increased awareness of information security amongst staff. Diane Christie</li> </ul> <p>Linked to CRR0014 Cyber Security Corporate Risk.</p> <ul style="list-style-type: none"> <li>• Whistleblowing Policy in place for the reporting of suspicions of fraud or financial irregularity James Flannery</li> <li>• Training and awareness raising is conducted periodically and is included in the Counter-Fraud action plan. James Flannery</li> <li>• Preventing Bribery Policy in place, presenting a clear and precise framework to understand and implement the arrangements required to comply with the Bribery Act 2010. James Flannery</li> <li>• Anti-fraud and corruption strategy in place and reviewed annually James Flannery</li> </ul>	<p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p>		
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Risk Register - Corporate Risk Register

			<ul style="list-style-type: none"> <li>• Counter Fraud Action plan in place to manage resources in conducting reactive and proactive work across KCC. James Flannery</li> <li>• Control</li> <li>• Participate in the National Fraud Initiative exercise every two years to identify any fraud and error within key risk areas. James Flannery</li> <li>• Control</li> <li>• KCC Counter Fraud &amp; Trading Standards are a member of the Kent Fraud Panel to help inform current fraud trends and emerging risks that may impact KCC and its residents. James Flannery</li> <li>• Control</li> <li>• Mandate fraud risks are communicated as part of the fraud awareness sessions. James Flannery</li> <li>• Control</li> <li>• Systems of internal control which aim to prevent fraud and increase the likelihood of detection e.g. financial controls such as authorisation of payments and spend. Corporate Management Team</li> <li>• Control</li> <li>• The Corporate Management Team is required to engage the Counter Fraud Team regarding all new policies, initiatives and strategies as per the anti-fraud and corruption strategy, and have relevant fraud risk assessments and mitigating controls in place on specific fraud risks associated with their areas. Corporate Management Team</li> <li>• Control</li> </ul>		

Risk Register - Corporate Risk Register

Risk Ref	CRR0065	Risk Title and Event	Assigned To	Last Review da	Next Review			
Implementation of fit-for-purpose Oracle Cloud system.			Simon Jones		10/03/2025			
Oracle Cloud system not fit-for-purpose.								
Cause	Consequence	Current Risk	Previous Current Risk	Control / Action	Control / Action	Target Date	Target Risk	
This is a critical programme for the organisation, replacing the current outdated infrastructure. It is a large and complex programme, which carries with it significant inherent risk. There have been reports in the public domain about other implementations that have been fraught with difficulties, so it is important that this organisation-wide risk features on the Corporate Risk Register for visibility and that the programme demonstrates robust governance, change and programme management, especially at a time where organisational capacity is stretched, with several major change activities in train.	1. Most impact on finance - unable to carry out month/year end, paying suppliers/providers/clients and staff and receive payments in to the Authority. 2. Services unable to carry out operational duties. 3.Costs to the Oracle Cloud programme will increase as resources to the programme extended. 4. Reputational impact to the Authority. 5.Increased costs will impact the MTFP and Securing Kent's Future.	Medium		<ul style="list-style-type: none"> <li>Transition / change management planning to be completed.</li> <li>Agree date of 'change freeze' across all applications that interface with Oracle</li> <li>Oracle Cloud Board Members to ask their respective areas to ensure that the programme is aware of any proposed changes to the current Oracle System or associated 3rd party systems to enable the programme to impact assess as otherwise it could result in additional costs.</li> <li>Right skills in place to carry out User Acceptance Testing (UAT).</li> <li>Programme Team to provide Internal communications with regular updates and key messages so that information is given in a timely matter.</li> <li>UAT phases - control points for sign off.</li> <li>Build &amp; Functional Test phases for each module built in to the programme with sign off required at end of each 'build' phase.</li> <li>Pre UAT &amp; Training schedule as part of the programme.</li> </ul>	<ul style="list-style-type: none"> <li>Ramzan Amin -Accepted</li> <li>Simon Jones -Accepted</li> <li>Simon Jones -Accepted</li> <li>Ramzan Amin -Proposed</li> <li>Ramzan Amin -Proposed</li> <li>Ramzan Amin Control</li> <li>Ramzan Amin Control</li> <li>Ramzan Amin Control</li> </ul>	<ul style="list-style-type: none"> <li>28/03/2025</li> <li>20/12/2024</li> <li>20/12/2024</li> <li>31/01/2025</li> <li>28/03/2025</li> </ul>	<ul style="list-style-type: none"> <li>Low</li> <li>5</li> <li>Major (5)</li> <li>Very Unlikely (1)</li> </ul>	
		10						
		Major (5)						
		Unlikely (2)						
				Owner of control sits with the Service Implementation partner who sit outside of KCC.				

Risk Register - Corporate Risk Register

			<ul style="list-style-type: none"> <li>• Cloud readiness assessment (with Service Leads) phase undertaken to map out current processes and how these will fit to the new system taking on board 'ADOPT not ADAPT'</li> </ul>	Simon Jones	Control		