

## Appendix 1 - Corporate Risks - Policy and Resources Committee

### Risk Register - Corporate Risk Register

Current Risk Level Summary

|                            |   |       |   |     |    |       |    |
|----------------------------|---|-------|---|-----|----|-------|----|
| Green                      | 0 | Amber | 3 | Red | 6  | Total | 9  |
| Current Risk Level Changes |   |       |   | 1   | -4 | 1     | -4 |

|   |   |   |   |   |
|---|---|---|---|---|
| 0 | 1 | 1 | 0 | 3 |
| 0 | 0 | 0 | 2 | 1 |
| 0 | 0 | 0 | 0 | 0 |
| 0 | 0 | 0 | 0 | 1 |
| 0 | 0 | 0 | 0 | 0 |

| Risk Ref  | CRR0009  | Risk Title and Event   | Assigned To           | Last Review date  | Next Review      |             |             |                   |
|---|--|--|-----------------------|---|------------------|-------------|-------------|-------------------|
|   |  | <b>Future financial and operating environment for Local Government</b>   | John Betts            | 20/01/2025  | 20/04/2025       |             |             |                   |
|   |  | 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. |                       |   |                  |             |             |                   |
|   |  | In order to set a balanced budget, the council is likely to have to continue to make significant year on year savings.   |                       |   |                  |             |             |                   |
|   |  | Quality of KCC commissioned / delivered services suffers as financial situation continues to worsen.   |                       |   |                  |             |             |                   |
|   |  | Continued delays and uncertainty surrounding review of local government funding impacts on KCC's medium term financial planning.   |                       |   |                  |             |             |                   |
| Cause   | Consequence  | Current Risk   | Previous Current Risk | Control / Action  | Control / Action | Target Date | Target Risk |                   |
| The Government's Autumn Budget 2024 statement and subsequent Local Government Finance Settlement only covered 2025-26, with no indicative allocations for subsequent years, although there was a promise of multi-year settlements from 2026-27 onwards. This means that the forecasts for later years are speculative, consequently planning has to be sufficiently flexible to respond accordingly. | Unsustainable financial situation and potential drawdown from reserves, ultimately resulting in s114 notice. | High   |                       | <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> </ul> | John Betts A     | -Accepted   | 31/03/2025  | High              |
|   | Failure to delivery statutory obligations and duties or achieve social value.                                | 25<br>Major (5)  |                       | <ul style="list-style-type: none"> <li>Processes in place for monitoring delivery of John Betts savings and challenging targets to bear down on future cost growth, as well as the budget as a whole.</li> </ul>                        |                  | Control     |             | 16<br>Serious (4) |
|   | Potential for partner or provider failure – including sufficiency gaps in provision.                         | Very Likely (5)  |                       | <ul style="list-style-type: none"> <li>Quarterly budget meetings between Chief Executive and Corporate Director for Finance with Corporate Directors as relevant.</li> </ul>  | John Betts       | Control     |             | Likely (4)        |
|   | Reduction in resident satisfaction and reputational damage.  |  |                       | <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.</li> </ul>  | John Betts       | Control     |             |                   |
| 2025-26 and the medium term to 2027-28 are likely to  | Increased and unplanned pressure on resources.   |  |                       |   |                  |             |             |                   |

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| <p>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 2025-26 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 challenge. A significant financial risk for the Council is the continuing and increasing underlying deficit and accumulated debt on the High Needs Block of Dedicated Schools Grant (DSG).</p> <p>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> | <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>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> <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. David Whittle</li> <li>Ongoing policy analysis of the devolution agenda and devolution deals agreed by the government. David Whittle</li> <li>Regular monitoring and oversight of progress against KCC's 'Safety Valve' agreement with the Department for Education (DfE). Sarah Hammond</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> <p>Control</p> |  |  |
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|  |  |  | <ul style="list-style-type: none"> <li>• KCC Quarterly Performance Report monitors key performance and activity information for KCC commissioned or delivered services. Regularly reported to Cabinet.</li> </ul>  | Matthew Wagner            | Control |  |  |
|  |  |  | <ul style="list-style-type: none"> <li>• Ongoing monitoring and modelling of changes in supply and demand in order to inform strategies and service planning going forward.</li> </ul>   | Matthew Wagner            | Control |  |  |
|  |  |  | <ul style="list-style-type: none"> <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> </ul>                                 | Corporate Directors<br>CD | Control |  |  |
|  |  |  | <ul style="list-style-type: none"> <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> | Corporate Directors<br>CD | Control |  |  |

## 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   | 20/04/2025  |  |                   |   |
| 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       |   |
| <p>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.</p> <p>Ongoing investment to maintain and modernise our assets competes with the priority to protect frontline services from effects of public sector funding restraint.</p> <p>The level of borrowing to fund the capital programme and the impact on the revenue budget is significant.</p> <p>The uncertainty 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</p> | <p>Business interruption due to increasing level of reactive / emergency repairs, or parts of estate decommissioned (in whole or partially if deemed unsafe).</p> <p>Health and safety incidents (potentially serious) associated with asset degradation.</p> <p>Inability to meet statutory duties e.g. lack of appropriate school place provision.</p> <p>Non-priority sites may not be maintained to a sufficient standard and may not be safe and fit for purpose, leading to building closures.</p> <p>Delays result in additional inflationary costs.</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> | <p><b>High</b></p> <p>25</p> <p>Major (5)</p> <p>Very Likely (5)</p>                                      |                       | <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> <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> <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> <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> </ul> | <p>Joanne Taylor</p> <p>Cath Head</p> <p>John Betts</p> <p>John Betts</p> <p>Tony Carty</p> <p>Maria Kelly</p> <p>Joanne Taylor</p> | <p>A -Accepted</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> | <p>30/04/2025</p> | <p><b>High</b></p> <p>16</p> <p>Serious (4)</p> <p>Likely (4)</p> |

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| <p>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> |  |  | <ul style="list-style-type: none"> <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>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> |  |  |
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## Risk Register - Corporate Risk Register

| 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            | 20/01/2025  | 20/04/2025  |  |   |
| 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 £23m (excluding schools), based on Q3 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 the council's financial resilience and viability.</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>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> <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.</li> <li>Savings delivery plans and monitoring processes in place.</li> </ul> | <p>Benjamin Watts</p> <p>John Betts</p> <p>John Betts</p> <p>John Betts</p> <p>John Betts</p> | <p>A -Accepted</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> | <p>Medium</p> <p>9</p> <p>Significant (3)</p> <p>Possible (3)</p> |

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|  |  |  | <ul style="list-style-type: none"> <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.</li> </ul>   | John Betts                | Control |  |  |
|  |  |  | <ul style="list-style-type: none"> <li>• Quarterly budget meetings between Cabinet Member and Finance and Corporate Directors</li> </ul>   | John Betts                | Control |  |  |
|  |  |  | <ul style="list-style-type: none"> <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.</li> </ul>   | John Betts                | Control |  |  |
|  |  |  | <ul style="list-style-type: none"> <li>• Robust delivery plan information has been developed for 2024/25 – milestones, risks, dependencies etc, and will be reported to Strategic Reset Board.</li> </ul>  | Dave Shipton              | Control |  |  |
|  |  |  | <ul style="list-style-type: none"> <li>• Regular SRP engagement with Directors following approval of delivery plans in April 2024</li> </ul>   | Brett Appleton            | Control |  |  |
|  |  |  | <p>Bi monthly presentation of delivery plan monitoring and exceptions to the SRP programme board</p>   |                           |         |  |  |
|  |  |  | <ul style="list-style-type: none"> <li>• Analytics function used to undertake detailed analysis of the main areas of overspend.</li> </ul>   | Matthew Wagner            | Control |  |  |
|  |  |  | <ul style="list-style-type: none"> <li>• Equality Impact Assessment screening will be completed for any alternative and / or additional savings necessary under the recovery plan.</li> </ul>  | Corporate Management Team | Control |  |  |
|  |  |  | <ul style="list-style-type: none"> <li>• Budget Recovery Plan - Securing Kent's 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> </ul> | Corporate Management Team | Control |  |  |

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|  |  |  | <ul style="list-style-type: none"> <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>Corporate Management Team</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.<br>Damages claims.<br>Reputational Damage.   | High<br>20<br>Major (5)<br>Likely (4) |                       | <ul style="list-style-type: none"> <li>Reviewing visibility of CSG's risk profile regarding cyber security, to provide reassurance that the use of any shared resources or other inter dependencies from a cyber perspective are continually understood.</li> </ul>  | James Church     | A -Accepted | 31/03/2025  | High<br>20<br>Major (5)<br>Likely (4) |
| Supply chain compromise including third party data transfers, vulnerabilities in purchased equipment and supplier system breaches.   | Potential significant impact on business interruption if systems require shutdown until magnitude of issue is investigated.<br>Loss or corruption of data.<br>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<br>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 cables and natural disaster (flood, fires etc.)  |  |                                       |                       | <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     |             |                                       |
| Gaps in existing resources and capabilities, including technological controls and resource challenges in provider's operational teams.   |  |                                       |                       | <ul style="list-style-type: none"> <li>Frequent security audits, penetration tests and compliance submissions<br/>External review of security posture provides validation that our controls work and are being managed effectively.</li> </ul>   | James Church     | Control     |             |                                       |

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|  |  |  | <ul style="list-style-type: none"> <li>Multiple layers of logical, physical and administrative security controls<br/>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> </ul>   | James Church   | Control |  |  |
|  |  |  | <ul style="list-style-type: none"> <li>Cyber standards and risk assessment have been included into the central ICT commissioning framework</li> </ul>  | James Church   | Control |  |  |
|  |  |  | <ul style="list-style-type: none"> <li>Internal assurance programme including audits, risk assessment and vulnerability management<br/>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.<br/>Risk assessments completed on new implementations to ensure that cyber risks are highlighted and treated.<br/>Vulnerability management activities to identify and treat vulnerabilities in good time.</li> </ul> | James Church   | Control |  |  |
|  |  |  | <ul style="list-style-type: none"> <li>Investment in and implementation of new controls and technologies including capabilities of M365 E5 licenses.<br/>Cyber security threats are constantly evolving and therefore new tools and capabilities are required to keep up and mitigate the risk.</li> </ul>   | James Church   | Control |  |  |
|  |  |  | <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>   | Benjamin Watts | Control |  |  |
|  |  |  | <ul style="list-style-type: none"> <li>Additional messages warning staff of cyber threats are being sent out regularly.</li> </ul>   | Diane Christie | Control |  |  |
|  |  |  | <ul style="list-style-type: none"> <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>  | Diane Christie | Control |  |  |



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| 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 and experienced officers with potentially different skill sets.</p> <p>The financial position of the Council limits the ability to manage in spikes operational</p> | Adverse impact on productivity  | High              |                       | <ul style="list-style-type: none"> <li>Review of pay strategy to ensure it remains competitive and sustainable for the future. Ian Allwright</li> <li>Exit and retention surveys in place to identify drivers for both leavers and for those who chose to stay Diane Christie</li> <li>Targeted advice, support and interventions available via HR business partners for areas of particular recruitment / retention concern relating to key roles. Paul Royel</li> <li>Workforce planning and appropriate career development and succession planning mechanisms in place. Paul Royel</li> <li>Delivery of the People Strategy for 2022 approved by Personnel Committee Paul Royel</li> <li>KCC's Organisation Design principles set out and periodically refreshed and monitored to ensure they remain fit for purpose. Paul Royel</li> </ul> | A -Accepted      | 31/03/2025  | Medium            |
|   | Negative impact on performance and / or delivery of statutory functions or services.                      | 16<br>Serious (4) |                       |  | A -Accepted      |             | 12<br>Serious (4) |
|   | Lack of experienced staff with specialist skills  | Likely (4)        |                       |  | Control          |             | Possible (3)      |
|   | Reliance on interim and agency staff potentially impacting stability of teams and consistency of service. |                   |                       |  | Control          |             |                   |
|   | Inability to progress service development.  |                   |                       |  | Control          |             |                   |
|   | Low staff morale and negative impact on wellbeing, potentially leading to burn out.                       |                   |                       |  | Control          |             |                   |

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| <p>demand by way of recruitment.</p> <p>To support capacity, use of agency staff is increasing.</p> <p>Newly qualified professionals in services require adequate time and support from senior officers, which has secondary capacity impacts.</p> <p>Impacts of supporting secondments on teams and services with limited capacity or on difficult to resource roles.</p> <p>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 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> | <p>Impact on delivery of projects to expected time scales.</p> <p>Employer and Service Reputational damage</p> <p>Negative impact on budgets and savings plans</p> |  | <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> <li>• Communication, implementation and measurement of the impact of the People Strategy.</li> <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> <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> <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> <li>• Promoting even more regular communications between managers and their teams while working remotely via "Good Conversations" tools etc.</li> </ul> | <p>Paul Royel</p> <p>Paul Royel</p> <p>Janet Hawkes</p> <p>Janet Hawkes</p> <p>Diane Christie</p> <p>Diane Christie</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>• 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> |  |  |
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## Risk Register - Corporate Risk Register

| Risk Ref  | CRR0045  | Risk Title and Event  | Assigned To           | Last Review da   | Next Review      |             |             |              |
|---|--|---|-----------------------|--|------------------|-------------|-------------|--------------|
|   |  | <b>Maintaining effective governance and decision making in a challenging financial and operating environment.</b> | Amanda Beer           | 05/02/2025   | 05/05/2025       |             |             |              |
| <p>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 (MFTP).</p> <p>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.</p>  |  |   |                       |  |                  |             |             |              |
| Cause   | Consequence  | Current Risk  | Previous Current Risk | Control / Action   | Control / Action | Target Date | Target Risk |              |
| <p>The continuation of a challenging financial and operating environment for Local Government (see risk CRR0009) will require difficult policy decisions to be made in a timely manner, which requires continued effective governance and 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 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</p> | <p>Decisions challenged under judicial review on the appropriateness of the decision-making within KCC. Monitoring Officer / Head of Paid Service statutory report to Council. Reputational damage to the Council. S114 Notice issued by the S151 Officer.</p> | High  | 20                    | <ul style="list-style-type: none"> <li>• 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</li> <li>• Effective internal audit arrangements in place and robust monitoring arrangements for the delivery of internal audit recommendations to Governance &amp; Audit Committee</li> <li>• Appropriately detailed and timely financial monitoring reports considered by Cabinet and Cabinet Committees</li> <li>• Governance reviews from across the Local Government sector are analysed to identify any lessons learned and reported to relevant stakeholders, including Governance &amp; Audit Committee.</li> <li>• Appropriate officer development and training Paul Royel programme in place and overseen by CMT</li> <li>• Regular review of KCC Operating Standards and any necessary amendments are approved by CMT</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.</li> </ul> | Control          |             | Medium      |              |
|   |  | 16  | ↓                     |  |                  |             |             | 10           |
|   |  | Serious (4)   |                       |  |                  |             |             | Major (5)    |
|   |  | Likely (4)  |                       |  |                  |             |             | Unlikely (2) |
|   |  |   |                       |  |                  |             |             |              |
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## Risk Register - Corporate Risk Register

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| <p>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 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>• 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> <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> </ul> | <p>David Whittle</p> <p>David Whittle</p> <p>David Whittle</p> <p>David Whittle</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

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|  |  |  | <ul style="list-style-type: none"> <li>• Member development and training programme in place and overseen by Selection and Member Services Committee</li> </ul>  | Benjamin Watts | Control |  |  |
|  |  |  | <ul style="list-style-type: none"> <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> </ul> | Benjamin Watts | Control |  |  |
|  |  |  | <ul style="list-style-type: none"> <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> </ul>   | Benjamin Watts | Control |  |  |
|  |  |  | <ul style="list-style-type: none"> <li>• Provision for Chief Officers to seek written direction from Executive Members within the KCC Constitution</li> </ul>   | Benjamin Watts | Control |  |  |

## 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.<br/>                     Failure to meet regulatory reporting deadlines. KCC is currently not meeting reporting requirements for FOI requests.<br/>                     Information security incidents (caused by both human error and / or system compromise) resulting in loss of personal data or breach of privacy / confidentiality.<br/>                     Council accreditation for access to government and partner ICT data, systems and network is withdrawn.<br/>                     Providers and or suppliers processing KCC data fail to embed the appropriate processes and behaviours.<br/>                     Poor data quality negatively impacts AI algorithms</p> |  |                      |   |  |                  |             |             |                 |
| Cause   | Consequence  | Current Risk         | Previous Current Risk   | Control / Action   | Control / Action | Target Date | Target Risk |                 |
| <p>The Council is required to maintain the confidentiality, integrity and proper use, including disposal of data under the Data Protection Act 2018, which is particularly challenging given the volume of information handled by the authority on a daily basis. The Council has regulatory obligations into the management of SAR/FOI/EIR requests</p> <p>United Kingdom General Data Protection Regulations (UK GDPR) came into effect that have introduced significantly increased obligations on all data controllers, including the Council.</p> <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 /</p>   | <p>Information Commissioner's Office sanction (e.g., undertaking, assessment, improvement, enforcement or monetary penalty notice issued against the Authority).<br/>                     Serious breaches under UK GDPR could attract a fine.<br/>                     Increased risk of litigation.<br/>                     Reputational damage.<br/>                     Bias presenting in AI algorithms impacting outcomes and decision making<br/>                     Loss of trust in automated decisions</p> | Medium               |   | <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     |             | Medium          |
|   |  | 15                   |   | <ul style="list-style-type: none"> <li>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</li> </ul>   | Peter Healey     | Control     |             | 9               |
|   |  | Significant (3)      |   | <ul style="list-style-type: none"> <li>Senior Information Risk Owner for the Council appointed with training and support to undertake the role.</li> </ul>   | David Whittle    | Control     |             | Significant (3) |
|   |  | Very Likely (5)      |   | <ul style="list-style-type: none"> <li>Caldicott Guardian appointed with training and support to undertake the role</li> </ul>   | Richard Smith    | Control     |             | Possible (3)    |
|   |  |                      |   | <ul style="list-style-type: none"> <li>Overarching policy for use of Artificial Intelligence is in place and has been communicated to the wider organisation</li> </ul>  | Benjamin Watts   | Control     |             |                 |
|   |  |                      | <ul style="list-style-type: none"> <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> </ul> | Benjamin Watts   | Control          |             |             |                 |

## Risk Register - Corporate Risk Register

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| <p>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>• 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> <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> <li>• Privacy notices as well as procedures/protocols for investigating and reporting data breaches reviewed and updated</li> <li>• Information Resilience and Transparency team in place, providing business information governance support.</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>Caroline Dodge</p> <p>Caroline Dodge</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

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|  |  |  | <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> <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> <li>• Cross Directorate Information Governance Working Group in place.</li> <li>• ICT Commissioning function has necessary working/contractual relationship with the Cantium Business Solutions to require support on KCC ICT compliance and audit.</li> </ul> | Hannah Rumball   | Control |  |  |
|  |  |  |  | Hannah Rumball   | Control |  |  |
|  |  |  |  | Hannah Rumball   | Control |  |  |
|  |  |  |  | Sverre Sverreson | Control |  |  |
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## Risk Register - Corporate Risk Register

| Risk Ref  | Risk Title and Event   | Assigned To | Last Review da | Next Review |
|---|------------------------|-------------|----------------|-------------|
| CRR0049   | <b>Fraud and Error</b> | John Betts  | 20/01/2025     | 20/04/2025  |
| <p>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:</p> <ul style="list-style-type: none"> <li>- false representations made to make a gain or expose another to a loss</li> <li>- failure to notify a change of circumstances to make a gain or expose another to a loss</li> <li>- abuses of position, in which they are expected to safeguard to make a gain or expose another to a loss.</li> </ul> <p>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.</p> <p>Compromise of physical security controls and/or infrastructure including unauthorised access to ICT systems could lead to fraudulent access and/or use of data.</p> |                        |             |                |             |

| Cause  | Consequence   | Current Risk   | Previous Current Risk | Control / Action  | Control / Action                        | Target Date | Target Risk   |
|--|---|--|-----------------------|---|---|-------------|---|
| <p>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.</p> <p>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 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</p> | <p>Financial loss leading to pressures on budgets that may impact the provision of services to service users and residents.</p> <p>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.</p> | <p>Medium</p> <p>10</p> <p>Moderate (2)</p> <p>Very Likely (5)</p> |                       | <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> | <p>Clare Maynard</p> <p>A -Accepted</p> | 31/03/2025  | <p>Low</p> <p>5</p> <p>Minor (1)</p> <p>Very Likely (5)</p> |
|  | <p>Potential legal challenge.</p> <p>Reputational damage.</p> <p>Poor service delivery.</p> <p>Potentially enabling Serious Organised Crime.</p>  |  |                       | <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>                             | <p>Nick Scott</p> <p>Control</p>        |             |   |

## Risk Register - Corporate Risk Register

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| <p>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 person", commits a fraud intending to benefit the organisation.</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. <span style="float: right;">Dave Shipton</span></li> <li>• Multiple layers of logical, physical and administrative security controls. <span style="float: right;">James Church</span></li> <li>• Linked to CRR0014 Cyber Security Corporate Risk.</li> <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. <span style="float: right;">Clare Maynard</span></li> <li>• Scheme of Delegation - compliance with Delegation Matrix and Spending the Council's Money <span style="float: right;">Clare Maynard</span></li> <li>• Procurement 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. <span style="float: right;">Clare Maynard</span></li> <li>• Clear process within relevant Commissioning Departments for procurement under the PCR threshold <span style="float: right;">Clare Maynard</span></li> <li>• With supplier consent, within the Tender Selection Questionnaire and subsequent contract Terms and Conditions. <span style="float: right;">Clare Maynard</span></li> <li>• Communication of mandate fraud / cyber security to KCC supply chain. <span style="float: right;">Clare Maynard</span></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. <span style="float: right;">Jonathan Idle</span></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

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|  |  |  | <ul style="list-style-type: none"> <li>• Mandatory training - Data Protection and Information Governance training is mandatory and requires staff to refresh periodically.</li> </ul> <p>Linked to CRR0014 Cyber Security Corporate Risk.</p> | Benjamin Watts | Control |  |  |
|  |  |  | <ul style="list-style-type: none"> <li>• Communication, including messaging to encourage increased awareness of information security amongst staff.</li> </ul> <p>Linked to CRR0014 Cyber Security Corporate Risk.</p>                        | Diane Christie | Control |  |  |
|  |  |  | <ul style="list-style-type: none"> <li>• Whistleblowing Policy in place for the reporting of suspicions of fraud or financial irregularity</li> </ul>   | James Flannery | Control |  |  |
|  |  |  | <ul style="list-style-type: none"> <li>• Training and awareness raising is conducted periodically and is included in the Counter-Fraud action plan.</li> </ul>  | James Flannery | Control |  |  |
|  |  |  | <ul style="list-style-type: none"> <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.</li> </ul>                   | James Flannery | Control |  |  |
|  |  |  | <ul style="list-style-type: none"> <li>• Anti-fraud and corruption strategy in place and reviewed annually</li> </ul>   | James Flannery | Control |  |  |
|  |  |  | <ul style="list-style-type: none"> <li>• Counter Fraud Action plan in place to manage resources in conducting reactive and proactive work across KCC.</li> </ul>  | James Flannery | Control |  |  |
|  |  |  | <ul style="list-style-type: none"> <li>• Participate in the National Fraud Initiative exercise every two years to identify any fraud and error within key risk areas.</li> </ul>  | James Flannery | Control |  |  |
|  |  |  | <ul style="list-style-type: none"> <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.</li> </ul>              | James Flannery | Control |  |  |
|  |  |  | <ul style="list-style-type: none"> <li>• Mandate fraud risks are communicated as part of the fraud awareness sessions.</li> </ul>   | James Flannery | Control |  |  |

## Risk Register - Corporate Risk Register

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|  |  |  | <ul style="list-style-type: none"> <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.</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.</li> </ul> | <p>Corporate Management Team</p> <p>Corporate Management Team</p> | <p>Control</p> <p>Control</p> |  |  |
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# Risk Register - Corporate Risk Register

| Risk Ref   | CRR0065   | Risk Title and Event  | Assigned To           | Last Review da  | Next Review   |  |  |  |  |
|--|---|---|-----------------------|---|---|--|--|--|--|
|  |   | <b>Implementation of fit-for-purpose Oracle Cloud system.</b> | 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                            |  |  |
| <p>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.</p> | <p>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.<br/>                     2. Services unable to carry out operational duties.<br/>                     3. Costs to the Oracle Cloud programme will increase as resources to the programme extended.<br/>                     4. Reputational impact to the Authority.<br/>                     5. Increased costs will impact the MTFP and Securing Kent's Future.</p> | Medium  |                       | <ul style="list-style-type: none"> <li>Right skills in place to carry out User Acceptance Testing (UAT).</li> <li>Transition / change management planning to be completed.</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>  | Ramzan Amin<br>Ramzan Amin<br>Ramzan Amin<br>Ramzan Amin<br>Ramzan Amin | A -Accepted<br>A -Accepted<br>A -Proposed<br>Control<br>Control<br>Control | 30/04/2025<br>28/03/2025<br>28/03/2025 | Low<br>5<br>Major (5)<br>Very Unlikely (1) |  |
|  |   | 10  |                       | <ul style="list-style-type: none"> <li>Owner of control sits with the Service Implementation partner who sit outside of KCC.</li> <li>Agree date of 'change freeze' across all applications that interface with Oracle</li> <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> <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> </ul> | Simon Jones<br>Simon Jones<br>Simon Jones                               | Control<br>Control<br>Control  |  |  |  |
|  |   | Major (5)   |                       |   |   |  |  |  |  |
|  |   | Unlikely (2)  |                       |   |   |  |  |  |  |

