Corporate Risk Register

July 2014

RISK GROUPS:

R01 risks   Financial difficulties threaten the Thanet identity to which the Council aspires

R02 risks   Focus on short term priorities creates long term budget problems

R03 risks   Failures of partnership working

R04 risks   Failure of appropriate sustainable business administration practices

R05 risks   Mismatch between council resources and stakeholder expectations undermine effective service and appropriate sustainable business administration delivery

R06 risks   Problems relating to political and democratic processes threaten the Thanet identity to which the council aspires

R07 risks   Failure to use staff effectively/ fairly/ appropriately leads to greater risk to high quality service delivery

R08 risks   Service closure or failure

R09 risks   Failure to sustain improvement of the area (regeneration)

Glossary   CM   = Control measure
                        TCA = Time-bound Control action
                        BAU = Business as usual or day-to-day work

R01.01: Incorrect assumptions made in setting the Medium Term Financial Plan (MTFP) impacting on General Fund, Capital Planning or Housing Revenue Account (HRA)

Risk owner: Director of Corporate Resources

Cause	Incorrect assumptions made in setting the MTFP
Examples of potential causes	- Poor understanding of statutory guidance; - Poor understanding of capacity & capability to deliver; - Flawed mechanisms for delivery of MTFP
Trigger events/ situations	**Approval of MTFP with incorrect assumptions**
Examples of potential trigger events/situations	Approval of MTFP with incorrect assumptions
Consequence	**MTF strategy is undermined**
Examples of potential consequences	- Issue of supplementary precept; - Need to prioritise / rationalise/ terminate some services; - Staff reductions; - Reduced services to customers; - Inability to achieve objectives; - Impact on reserves; - Inability to comply with regulation.

Risk Score: Uncontrolled			Risk Score: Controlled			Risk Score: Present		
P: 3	I: 4	R: 12	P: 2	I: 4	R: 8	P: 2	I: 4	R: 8
		High			Medium-high			Medium-high

Control Measure	CM type	CM owner	Start date	Due date
Undertake review of constitutional and delegated powers to ensure that officers are working within their powers	TCA	Legal Services Manager	Jul-14	Dec-14
Develop a way of refining priorities to 'focus on a smaller number', in time to inform the next corporate plan	TCA	Director of Corporate Resources	Jun-14	Mar-15
Annual review of adequacy of reserves informed by assessment of financial risks	BAU	Head of Financial Services		
Ensure sufficient qualifications and training and staff numbers within the finance team	BAU	Head of Financial Services		
Adequate consultation with service managers during budget process	BAU	Head of Financial Services		
Annual review of fees and charges	BAU	Head of Financial Services		
Thorough review of reserves as part of budget process	BAU	Head of Financial Services		
Regular policy updates that provide early warning of legislative changes	BAU	Policy Officer		
Identify financial implications of legislative changes and use this to inform MTFP development for staff resources	BAU	Director of Corporate Resources		
Identify opportunities for increased income through the Strategic Programme Board.	BAU	Business Transformation Manager		

R01.02: MTFP well-founded but accepted risk escalates or unforeseen situations undermine MTFP validity

Risk owner: Director of Corporate Resources

Cause	MTFP risk levels change
Examples of potential causes	- Savings targets not met; - Project where significant unbudgeted legal challenge costs arise; - Inadequate provision for repair, maintenance or replacement of major plant and equipment; - Inadequate insurance cover; - Unexpected reductions in central government support; - Reduced demand for paid-for services; - Increased demand for services; - New priorities agreed which differ from those used to develop the MTFP; - High cost projects are not clearly handed over when staff leave; - Disasters/ emergencies which lead to extra costs not eligible for government support; - Legislation or new statutory guidance requires the council to meet an extra service obligation; - Treasury policy not fit for purpose or not adhered to; - TDC must transfer services to government department or other organisation.
Trigger events/ situations	**Major change in business environment changes risk level of MTFP**
Examples of potential trigger events/situations	- Managers don't meet expected savings; - Income or costs exceed acceptable tolerances; - Major loss of income; - Decision to change priorities leads to additional financial cost; - An event or incident occurs where insurance provision is inadequate; - High value of claims below excess limits; - New financial obligation or rediscovery of existing financial obligation that was not allowed for in financial plans; - Major asset (buildings, plant & equipment) require unplanned spending on repair/ replacement; - Fraud loss not covered by insurance; - New legislation or regulations with adverse resource implications.
Consequence	**Need for changes to service provision**
Examples of potential consequences	- Need to prioritise / rationalise/ terminate some services; - Reduced services to customers; - Inability to achieve objectives;

	• Impact on reserves;
	• Inability to comply with regulation;
	• Debt levels rise above acceptable proportions;
	• Deterioration of assets and asset values;
	• Funds spent on more expensive reactive maintenance rather than planned maintenance.

Risk Score: Uncontrolled			Risk Score: Controlled			Risk Score: Present		
P: 3	I: 4	R: 12	P: 2	I: 4	R: 8	P: 2	I: 4	R: 8
High			Medium-high			Medium-high		

Control Measure	CM type	CM owner	Start date	Due date
Undertake review of constitutional and delegated powers to ensure that officers are working within their powers	TCA	Legal Services Manager	Jul-14	Dec-14
Develop a way of refining priorities to 'focus on a smaller number', in time to inform the next corporate plan	TCA	Director of Corporate Resources	Jun-14	Mar-15
Ensure that budget consultation for 2015-16 supports the identification of priorities for the new Corporate plan.	TCA	Policy and Business Planning Manager	Jul-14	Nov-14
Annual review of adequacy of reserves	BAU	Head of Financial Services		
Regular policy updates that provide early warning of legislative changes	BAU	Policy officer		
Clear scheme of delegation for member and officer decision making	BAU	Democratic Services Manager		
Foster strong relationship between Cabinet and SMT through informal meetings on regular basis.	BAU	Chief Executive		
Identify required repair and maintenance on major assets and buildings and use this to inform an adequate budget.	BAU	Head of Financial Services		
Review of asset register to identify those assets near the end of their useful life (vehicles, plant and equipment) and build capital asset replacement/ disposal (vehicles, plant and equipment) into the Capital Programme.	BAU	Head of Financial Services		
Ensure appropriate level of legal advice is sought for major projects through the active involvement of Legal Services Manager in the project approval process.	BAU	Legal Services Manager		
Review insurance policies on an annual basis.	BAU	Head of Financial Services		

Control Measure	CM type	CM owner	Start date	Due date
Ensure regular programme of independent audit of council business.	BAU	Head of Financial Services		
Regular monitoring of outstanding debts working with debtors at the earliest opportunity.	BAU	Head of Financial Services		
Monitor employer's liability in connection with potential transfers of undertakings with other organisations including public sector bodies and government departments.	BAU	Head of Financial Services		

R02.01: Focus on short term priorities creates long term budget problems

Risk owner: Director of Corporate Resources

Cause	Lack of sufficient prioritisation based on understanding of whole life cost-benefits
Examples of potential causes	- Budget reductions limit flexibility, leads to a focus on short term issues and prevents planning and management of longer term issues; - Inadequate balance between planned and reactive maintenance; - Failure to consider whole-life costing when making decisions; - Market conditions make it inappropriate to realise the value of otherwise saleable assets; - Resistance to the sale of costly-to-maintain assets; - Lack of maintenance renders asset unmarketable; - Asset management procedures or practices not effective or not followed; - Lack of funds for long-term development/renovation projects; - Failure of funding systems for 'game changing' major projects; - Inadequate consideration of long term environmental risks; - Inadequate planning or implementation of plans which mitigate against long-term environmental risks (e.g. flooding or climate change).
Trigger events/ situations	Event occurs which creates a need for significant extra cost provision
Examples of potential trigger events/situations	- Capital assets retained without adequate funding for their maintenance; - Projected changes in the property market fail to materialise; - Major reactive maintenance event occurs; - Committed external funding withdrawn or required to be paid back; - Extreme weather event.
Consequence	Consequent costs for the council leading to further difficulties
Examples of potential consequences	- Asset management plan fails; - Council has more property than it can afford to maintain - Inability to sell or let property on realistic terms; - Loss of income; - High maintenance costs - Gradual deterioration in quality and utility of property assets undermines the capital programme; - Health & safety challenges; - Lengthy debate regarding the potential disposal of an asset; - Reputational damage; - Ability of the council to reach its objectives is undermined;

Risk Score: Uncontrolled			Risk Score: Controlled			Risk Score: Present		
P: 3	I: 4	R: 12	P: 2	I: 4	R: 8	P: 2	I: 4	R: 8
High			Medium-high			Medium-high		

Control Measure	CM type	CM owner	Start date	Due date
Ensure HRA asset management strategy and plan is in place	TCA	Head of Housing	Jul-14	Mar-15
Production of property maintenance schedules for housing.	TCA	Head of Housing	Jul-14	Mar-15
Carry out reviews of the replacement needs for all the main items of council's plant and equipment **used in the recycling, waste and cleansing services**, and ensure that capital bids are submitted if replacement is required within the next five years, so that financial provision can be made.	TCA	Head of Operational Services	Jul-14	Mar-15
Carry out reviews of the replacement needs for all the main items of council's plant and equipment **used in the parks service**, and ensure that capital bids are submitted if replacement is required within the next five years, so that financial provision can be made.	TCA	Head of Operational Services	Jul-14	Mar-15
Adopt an asset management strategy and plan (land and buildings) with director and cross-party member commitment.	TCA	Head of Economic Development and Asset Management	Jan 14	Sept 14
Ensure council assets are reviewed so that long run maintenance requirement is consistent with budget provision.	TCA	Head of Financial Services	Jun-14	Mar-15
Ensure that budget consultation for 2015-16 supports the identification of priorities for the new Corporate plan.	TCA	Policy and Business Planning Manager	Jul-14	Nov-14
Ensure that potential controversy relating to asset disposal is considered throughout the asset disposal process.	BAU	Head of Economic Development and Asset Management		
Thorough review of reserves as part of budget process	BAU	Head of Financial Services		
Review of corporate property held by the Council for the purpose of producing adequate information to the Head of Financial Services about level of income that can be expected for the term of the agreement including identifying non-recoverable costs. This information to be	BAU	Head of Economic Development and Asset Management		

Control Measure	CM type	CM owner	Start date	Due date
shared with SMT and used for decision making.				
Adherence to long-term coastal management plan.	BAU	Technical Services Manager		
Follow a monitoring regime for air quality in Thanet	BAU	Environmental Protection Manager		
Review the asset register on an annual basis.	BAU	Technical Finance Manager		
Ensure sufficient staff expertise within the property services team in asset management.	BAU	Head of Economic Development and Asset Management		
Ensure member engagement in development of financial assumptions.	BAU	Head of Financial Services		
Ensure external funding opportunities are explored.	BAU	Technical Finance Manager		
Regularly review the replacement needs for the main items of council's plant and equipment **around the coastline and at the port and harbour**, and ensure that appropriate capital bids are submitted early on so that financial provision can be made.	BAU	Technical Services Manager		
Regularly review the replacement needs for the main items of council's plant and equipment **used in the crematorium & cemetery service**, and ensure that appropriate capital bids are submitted early on so that financial provision can be made.	BAU	Cemeteries and Crematorium Registrar		
Regularly review the replacement needs for the main items of council's plant and equipment **used in the facilities management service**, and ensure that appropriate capital bids are submitted early on so that financial provision can be made.	BAU	Facilities Manager		

R03.01: Partnerships fail to deliver from their inception

Risk owner: Director of Corporate Resources

Cause	Poor management of partnership set up
Examples of potential causes	- Lack of clarity in defining the purpose or scope of the partnership; - Failure to establish robust governance arrangements; - Partnerships built on relationships between individuals without effective designation of roles and responsibilities; - Differing expectations of individual partners - Insufficient partner resources to develop effective SLA/ contract; - Lack of staff with capability/experience to draw up adequate documentation; - Protocols for setting up partnership agreements are inadequate or not adhered to; - Limited understanding of key facts and figures that should inform the objectives of the partnership; - Limited understanding of capacity or capability of the different partners.

Trigger events/ situations	Partners take or refuse to take action based on inadequate partnership arrangements
Examples of potential trigger events/situations	- Partnership commences its activity without having clear objectives in place; - Partnership agrees objectives that are not founded on evidence; - Partner refuses to act, believing the requested action to be outside the scope of the partnership.

Consequence	Partnership fails to achieve its potential
Examples of potential consequences	- Trust between partners is undermined; - Partnership fails to meet its objectives and performance targets (if they exist); - Limited engagement from individual partners; - Inability to monitor partnership progress appropriately or effectively; - Additional costs; - Withdrawal of partners; - Reputational damage through failure of the partnership.

Risk Score: Uncontrolled			Risk Score: Controlled			Risk Score: Present		
P: 3	I: 4	R: 12	P: 2	I: 4	R: 8	P: 3	I: 4	R: 12

Control Measure	CM type	CM owner	Start date	Due date
Design a partnership checklist template (agreement for supply of services that involves the council without formal contract), gain adoption by SMT and present to managers.	TCA	Customer Contact and Engagement Manager	Jul-14	Sep-14
Ensure a review is carried out applying the template to existing partnerships (agreement for supply of services that involves the council without formal contract).	TCA	Director of Corporate Resources	Jul-14	Sep-14
Ensure the partnership template is implemented to ensure that: partnership objectives are informed by a sound evidence base before they are agreed by TDC; that purposes and objectives are clearly documented with clear procedures for disengagement; and that governance arrangements (including arrangements for reporting progress and performance) are clearly documented.	TCA	Director of Corporate Resources	Jul-14	Mar-15

R03.02: Partnerships fail to deliver because of the way that they are run

Risk owner: Director of Corporate Resources

Cause	Inadequacies in partnership resourcing and governance arrangements
Examples of potential causes	- Individual partners fail to allocate sufficient resources to deliver their agreed contribution effectively; - Demands are made that are outside of the agreed scope of the partnership; - Governance arrangements not clearly set out or complied with (including those for information management); - No regular monitoring of partnership progress; - Resourcing cuts by individual partners leave the Council exposed; - Costs of partnership exceed original expectations; - Change in priorities of an individual partner; - Lack of binding agreement allows withdrawal of partner at cost to the remainder.
Trigger events/ situations	**Partnerships embark on activities without adequate resources or governance arrangements in place to sustain/deliver those activities**
Examples of potential trigger events/situations	- Partnership commences activity without implementing adequate governance arrangements; - Partner asks to renegotiate terms or decides to pull out of partnership
Consequence	**Partnership fails to meet its potential**
Examples of potential consequences	- Communications between partners becomes less effective; - TDC receives poor value for money for its contribution to the partnership; - Increase in complaints relating to services provided by the partnership; - Partnership objectives are not met; - Breach of TDC statutory responsibility (including corporate e.g. equality duty or DPA compliance); - Withdrawal of partners; - Financial loss, including loss of funding; - Lack of agreeable exit options; - Legal costs; - Partnership projects have to be scaled back/closed down; - Closure of partnership; - Reputational damage.

Risk Score: Uncontrolled			Risk Score: Controlled			Risk Score: Present		
P: 3	I:4	R: 12	P: 2	I: 4	R: 8	P: 3	I: 4	R: 12

Control Measure	CM type	CM owner	Start date	Due date
Carry out review applying the template to existing partnerships (agreement for supply of services that involves the council without formal contract).	TCA	Customer Contact and Engagement Manager	Apr-14	Mar-15
Adequate consultation with service managers during budget setting process.	BAU	Head of Financial Services		
Regular review of budgets through the year with budget holders so that remedial action can be taken at the earliest opportunity to address income shortfalls.	BAU	Head of Financial Services		
Use the performance board and directorate management meetings to challenge on the progress/ performance of the main partnerships though the year, checking that two way dialogue is taking place between TDC lead and partners.	BAU	Policy and Business Planning Manager		

R04.01: Risk of injury due to failure to sustain appropriate Health & Safety conditions for work

Risk owner: Director of Operational Services

Cause	Issues with Health and Safety Procedures
Examples of potential causes	• Health & Safety procedures not robust; • Health & Safety procedures are not followed
Trigger events/ situations	Individuals sustain injuries
Examples of potential trigger events/situations	• Staff injury whilst undertaking council duties.
Consequence	Costs, morale implications and reputation issues
Examples of potential consequences	• Possible corporate manslaughter; • Failure to meet statutory requirement; • Insurance claim against the council; • Dissatisfaction/ representations from colleagues of injured staff; • Loss of capacity due to staff absence through injury; • Reputational damage; • Adverse reporting in the public media; • Financial loss due to change in HSE requirements.

Risk Score: Uncontrolled			Risk Score: Controlled			Risk Score: Present		
P: 3	I: 4	R: 12	P: 1	I: 4	R: 4	P: 1	I: 4	R: 4

Control Measure	CM type	CM owner	Start date	Due date
Ensure that Health and Safety policy is up to date and that risk assessments are done, and that sufficient resources exist for safe working.	BAU	Director of Operational Services		
Ensure appropriate health and safety training occurs within the services.	BAU	Director of Operational Services		
Ensure that contracts used by TDC insist on appropriate health & safety standards.	BAU	Director of Operational Services		
Regularly review and adapt maintenance regimes for the main items of council's plant and equipment **around the coastline and at the port and harbour**, to ensure equipment is efficient, effective and safe.	BAU	Technical Services Manager		
Regularly review and adapt maintenance regimes for the main items of council's plant and equipment **used in the recycling, waste and cleansing services**, to ensure equipment is efficient, effective and safe.	BAU	Head of Operational Services		
Regularly review and adapt maintenance regimes for the main items of council's plant and equipment **used in the parks services**, to ensure equipment is efficient, effective and safe.	BAU	Head of Operational Services		
Regularly review and adapt maintenance regimes for the main items of council's plant and equipment **used in the crematorium & cemetery service,** to ensure equipment is efficient, effective and safe.	BAU	Cemeteries and Crematorium Registrar		
Regularly review and adapt maintenance regimes for the main items of council's plant and equipment **used in the facilities management service,** to ensure equipment is efficient, effective and safe.	BAU	Facilities Manager		

R04.02: Failure to achieve value for money (VFM) through procurement methods

Risk owner: Strategic Procurement Manager

Cause	Difficulties with procurement arrangements
Examples of potential causes	• Inadequate procurement arrangements; • Procurement arrangements not followed; • Fraud; • Excessive use of particular suppliers; • Lack of clarity about what is needed; • Limited understanding of best practice in service delivery; • Central government/European legislation restricts the options available; • Appointed supplier is not economically viable; • Inappropriate use of open book accounting; • Supplier goes through change which limits their ability to deliver to the original agreement.
Trigger events/ situations	**Procurement failure**
Examples of potential trigger events/situations	• Procurement process fails to identify an appropriate supplier; • Supplier appointed to deliver a contract which does not meet the actual needs of TDC; • Major supplier withdraws and supply fails – e.g. goes into liquidation; • Major service supplier debt forces decision on foreclosure.
Consequence	**Failure to achieve VFM through procurement**
Examples of potential consequences	• Failure to deliver VFM; • Viable solutions are not implemented; • Tender returns unusable and need to re-offer; • Breakdown in supply threatens service delivery; • Risk of legal challenge, fines and censure; • Contractor challenge; • Reputational damage; • Costs from disruption and legal fees.

Risk Score: Uncontrolled			Risk Score: Controlled			Risk Score: Present		
P: 4	I: 4	R: 16	P: 1	I: 3	R: 3	P: 2	I: 3	R: 6
High			Medium-low			Medium-high		

Control Measure	CM type	CM owner	Start date	Due date
Annual due diligence checks on external suppliers where the contract value exceeds £75,000.	TCA	Corporate Finance Manager	Apr-14	Mar-15
Ensure regular programme of independent audit of council business.	BAU	Head of Financial Services		
Ensure adherence to up to date procurement framework.	BAU	Strategic Procurement Manager		
Ensure good contract management practices exist. I.e. due diligence in selection and contract admin and clear contract evaluation and exit clauses.	BAU	Strategic Procurement Manager		

R04.03: Insufficient defences against fraud

Risk owner: Director of Corporate Resources

Cause	Insufficient defences against fraud
Examples of potential causes	- Economic climate leads to individuals and/or criminal groups taking greater risks and/or using more innovative technologies in order to obtain monies by illegal means; - Economic climate could lead some officers or members to be more inclined to offer or accept a bribe; - Insufficient resources dedicated to anti-fraud and anti-bribery measures; - Limited understanding of new fraudulent or bribery methods; - Failure to promote an anti-fraud organisational culture (e.g. whistleblowing); - Non-compliance with internal controls (e.g. decision made outside governance framework); - Poor ethical judgement by elected officials and senior managers (e.g. expenses fraud). - Failure to detect fraud.
Trigger events/ situations	**Fraud or bribery against the council**
Examples of potential trigger events/situations	- Council official is bribed; - Council official uses privileged information for personal gain; - Fraudulent expenses claim made.
Consequence	**Unnecessary costs to the taxpayer, leading to further issues**
Examples of potential consequences	- Failure to deliver value for money; - Service quality/performance deteriorates; - Loss of income; - Increased costs; - Costly criminal proceedings; - Reputational damage; - Breach of trust.

Risk Score: Uncontrolled			Risk Score: Controlled			Risk Score: Present		
P: 3	I: 4	R: 12	P: 2	I: 4	R: 8	P: 2	I: 4	R: 8
		High			Medium-high			Medium-high

Control Measure	CM type	CM owner	Start date	Due date
Provide staff and member training on fraud	TCA	Corporate Finance Manager	Jan-15	Feb-15
Ensure regular programme of independent audit of council business.	BAU	Head of Financial Services		
Ensure anti-fraud policies and procedures are up to date (e.g. bribery, whistleblowing).	BAU	Corporate Finance Manager		
Ensure good ICT asset management, including adequate investment/forward planning, with adequate consideration of building related requirements (e.g. air conditioned server rooms).	BAU	Director of Corporate Resources		

R04.04: Inability to prioritise effectively threatens delivery of matters that are said to be the most important

Risk owner: Chief Executive

Cause	Too many objectives set as the Council tries to be 'all things to all people'
Examples of potential causes	- Over-estimation of staff capacity when strategic or operational decisions are taken; - Long-term aims are not clearly defined; - Failure to consider agreed priorities when deciding objectives; - Decisions are made on priorities without adequate consideration of the funding required or available to deliver those priorities; - Poor alignment with KCC on strategic matters; - Failure to agree service standards and expectations for functions or matters that are a lower priority or a non-priority; - Failure to review services which consistently deliver beyond their objectives; - Delivering "gold-plated" services which use up valuable resources; - Attempts to deliver matters that are insufficiently funded threatens the funding of stated key priorities.
Trigger events/ situations	**Timescales and budgets set for key pieces of work become unrealistic; poor service delivery as too many matters are juggled**
Examples of potential trigger events/situations	
Consequence	**Failure to deliver stated objectives in a timely manner**
Examples of potential consequences	- Limited clarity of purpose leads to difficulties in motivating staff; - An increasing number of items of work become deferred; - Projects take longer than planned as resources have to be regularly moved around to meet multiple requirements; - The council's project completion record deteriorates; - Ineffective and ineffective decision as too many matters have to be juggled; - Council gains a reputation for not delivering what it says it will; - Projects become drawn out or fail - Senior staff & members continually need to revise intentions because prioritisation is ineffective - Co-operation with partners is inconsistent - officers and members unable to articulate a shared set of priorities.

Risk Score: Uncontrolled			Risk Score: Controlled			Risk Score: Present		
P: 3	I: 4	R: 12	P: 2	I: 4	R: 8	P: 2	I: 4	R: 8
High			Medium-high			Medium-high		

Control Measure	CM type	CM owner	Start date	Due date
Develop a clear understanding of member priorities and communicate this to the organisation and its stakeholders	TCA	Chief Executive	July 14	Oct-14
Ensure that budget consultation for 2015-16 supports the identification of priorities for the new Corporate plan.	TCA	Policy and Business Planning Manager	Jul-14	Nov-14
Develop an annual prioritisation processes that ensures consistency between the corporate plan, service plans and strategic objectives.	TCA	Policy and Business Planning Manager	Oct-14	Sep-15

R04.05: Failure of ICT systems/ infrastructure

Risk owner: Director of Corporate Resources

Cause	Inadequate arrangements for maintaining/upgrading/improving ICT systems and infrastructure
Examples of potential causes	- Lack of infrastructure and/ or system obsolescence; - Failure to make best use of publication schedule; - Inadequate consideration of potential negative impacts of one-size fits all options proposed by shared services; - Inadequate resource allocated for software support; - ICT project is approved without a robust business case; - Inadequate resource allocated for project implementation; - ICT training is not fit for purpose; - Successful security/cyber-attacks; - Anticipated costs for major ICT projects escalate significantly beyond the original budget; - Ineffective communication between TDC and EK Services ICT; - Inadequate service maintenance; - Inadequate support contracts in place.
Trigger events/ situations	**Failure of ICT systems/ infrastructure**
Examples of potential trigger events/situations	- System/infrastructure failure; - Attempt to restore failed systems/infrastructure unsuccessful; - System downtime exceeds acceptable levels; - Realisation that staff lack capability with a system.
Consequence	**Unplanned costs and failure in service provision leading to further issues**
Examples of potential consequences	- Cost savings not realised; - Reduction in service quality; - Information put at risk; - Breach of contract; - High 'down time'; - Service failure; - Software not used effectively because of limited staff capability.

Risk Score: Uncontrolled			Risk Score: Controlled			Risk Score: Present		
P: 2	I: 4	R: 8	P: 1	I: 4	R: 4	P: 1	I: 4	R: 4
High			Medium-low			Medium-low		

Control Measure	CM type	CM owner	Start date	Due date
Ensure in-house software administrator roles are held by 'experts' who are required to document basics of software management tasks.	TCA	Customer Contact and Engagement Manager	Jan-15	Mar-15
Ensure good ICT asset management, including adequate investment/forward planning, with adequate consideration of building related requirements (e.g. air conditioned server rooms).	BAU	Director of Corporate Resources		
Effective SLA in place with EKS for ICT services.	BAU	Director of Corporate Resources		
Ensure information management policies exist and are maintained (e.g. email).	BAU	Director of Corporate Resources		
Ensure that business continuity plans in place cover ICT systems and infrastructure.	BAU	Director of Corporate Resources		
Maintain up-to-date Emergency plan.	BAU	Technical Services Manager		

R04.06: Inadequate information management practices

Risk owner: Customer Contact an Engagement Manager

Cause	Inadequate information management arrangements in place
Examples of potential causes	- Information management systems insufficient; - Failure to move from paper to digital systems; - Inadequate training of staff or members on information management matters; - Non-compliance with government controls on the management and labelling of information; - Data protection arrangements inadequate or not adhered to; - Data sharing arrangements with partners inadequate or not adhered to; - Ignorance of proper protocols leads to under-use of information management processes; - Vexatious requests or vexatious complainants tolerated; - Misuse of systems or information by staff or members; - Information held by the Council is lost, forgotten, overlooked or ignored.
Trigger events/ situations	**Event occurs where lack/disclosure of information is a serious issue**
Examples of potential trigger events/situations	- Complaint to Information Commissioner; - A decision requires information which is no longer kept (or has been overlooked) by the Council; - Information is shared or disclosed when it should not be.
Consequence	**Unplanned cost in time and money, project failure and reputational damage**
Examples of potential consequences	- Fine imposed by the Information Commissioner; - Unsustainably high level of requests for information through FOI; - Project delay or failure; - Schedule of publication requires refresh; - Disciplinary action is required; - Reputational damage.

Risk Score: Uncontrolled			Risk Score: Controlled			Risk Score: Present		
P: 3	I: 3	R: 9	P: 2	I: 2	R: 4	P: 3	I: 3	R: 9
Medium-high			Medium-low			Medium-high		

Control Measure	CM type	CM owner	Start date	Due date
Adopt and ensure adherence to the government's code of conduct on data transparency.	TCA	Customer Contact and Engagement Manager	Apr 14	Mar 15
Deliver training on good information management practices, including quality and appropriateness.	TCA	Customer Contact and Engagement Manager	Oct 14	Mar 15
Re-introduce housekeeping days (electronic as well as paper filing).	TCA	Customer Contact and Engagement Manager	Sept 14	Mar 15
Ensure information management policies exist and staff comply with the policies	BAU	Customer Contact and Engagement Manager		
Ensure data protection processes are implemented and maintained.	BAU	Legal Services Manager		
Ensure website contains information that is most commonly requested.	BAU	Customer Contact and Engagement Manager		
Ensure up to date retention schedules and timely destruction of records.	BAU	Customer Contact and Engagement Manager		
Undertake regular analysis of complaints relating to information failures, to inform staff training needs	BAU	Customer Contact and Engagement Manager		

R04.07: Emergency planning failure

Risk owner: Technical Services Manager

Cause	Issues with Emergency Plan arrangements
Examples of potential causes	• Emergency planning documentation is not in place or is not robust; • Participants not adequately trained to implement plans; • Key staff are unavailable when emergency occurs (e.g. SMT, communications).
Trigger events/ situations	**Emergency occurs for which the council is unprepared or responds poorly**
Examples of potential trigger events/situations	• Major national grid failure; • Plane crash • Flooding; • Major fire.
Consequence	**Confusion leading to vulnerability of local people and service failure**
Examples of potential consequences	• Avoidable fatalities or injuries occur; • Impact on emergency services; • People are left vulnerable by an incident when they should not be; • Confusion over responsibilities; • Lack of clear understanding links to mixed messages between stakeholders; • Service failures; • Potential health and safety issues; • Possible corporate manslaughter; • Possible breach of contract.

Risk Score: Uncontrolled			Risk Score: Controlled			Risk Score: Present		
P: 4	I: 3	R: 12	P: 1	I: 3	R: 3	P: 2	I: 3	R: 6
High			Medium-low			Medium-high		

Control Measure	CM type	CM owner	Start date	Due date
Develop and implement a succession management plan.	TCA	HR Business Partner	Sept-14	Mar-15
Maintain up-to-date Emergency plan.	BAU	Technical Services Manager		
Provide refresh training on emergency planning (including working with emergency services).	BAU	Technical Services Manager		

R04.08: Business Continuity planning failure

Risk owner: Policy and Business Planning Manager

Cause	Issues with Business Continuity Arrangements
Examples of potential causes	• Business continuity documentation is not in place or is not robust; • Management and staff not adequately trained to implement plans; • Limited communication with suppliers of key local infrastructure (e.g. KCC, Southern Water) who could take action that would reduce the impact of a Business Continuity incident on TDC; • Key staff are unavailable when needed (e.g. SMT, communications).
Trigger events/ situations	Situation occurs for which the council is unprepared or responds poorly
Examples of potential trigger events/situations	• TDC IT system failure; • Protracted power failure; • Major incident which affects TDC service delivery (e.g. towerblock fire, sewage discharge by Southern Water) • Key post-holder leaves with inadequate handover.
Consequence	Confusion leading to vulnerability of local people and service failure
Examples of potential consequences	• Confusion over responsibilities; • Lack of clear understanding links to mixed messages internally and externally; • People are left vulnerable when they should not be; • Service failure; • Possible breach of contract; • Potential health and safety issues.

Risk Score: Uncontrolled			Risk Score: Controlled			Risk Score: Present		
P: 3	I: 3	R: 9	P: 1	I: 3	R: 3	P: 2	I: 3	R: 6
Medium-high			Medium-low			Medium-high		

Control Measure	CM type	CM owner	Start date	Due date
Develop and implement a succession management plan.	TCA	HR Business Partner	Sept-14	Mar-15
Maintain up-to-date Business Continuity plan.	BAU	Policy and Business Planning Manager		
Ensure programme of review and testing of business continuity plan which includes shared service partners.	BAU	Policy and Business Planning Manager		
Provide refresh training on business continuity.	BAU	Policy and Business Planning Manager		

R04.09: Opportunities to prevent harm to children are missed by staff of TDC or its partners, or children are actually harmed by staff of TDC or its partners

Risk owner: Community Safety and Leisure Manager

Cause	TDC do not follow procedures in place and fail to respond to a child protection issue
Examples of potential causes	- Inadequate procedures in place; - Inadequate training arrangements; - Procedures not followed e.g: - Child left in harm through staff member not reporting concern quickly or at all - Staff member considers an incident to be too small in nature to be worth reporting; - Staff member left vulnerable to untrue allegations - System failure – IT or business continuity as all referrals are done electronically through Civica direct to KCC Social Services - Inadequate vetting of staff who will be working in situations where they will come into contact with children;
Trigger events/ situations	Child is harmed or untrue allegation are made against TDC staff/partners
Examples of potential trigger events/situations	- Harm comes to a child which could have been avoided if TDC staff/partners had reported it; - Child is harmed by TDC employee/partner; - Untrue allegation of harm is made against TDC staff/partners.
Consequence	Negative impacts on the family, staff members and the council overall
Examples of potential consequences	- Longer term impacts on the child and its family; - Serious case review finds the Council to be wanting; - Reputational damage; - Impact on staff morale particularly those who had an opportunity to prevent harm; - Financial sanctions against the Council; - Psychological impact on staff member against whom untrue allegations have been made.

Risk Score: Uncontrolled			Risk Score: Controlled			Risk Score: Present		
P: 3	I: 3	R: 9	P: 1	I: 3	R: 3	P: 2	I: 3	R: 6
Medium-high			Medium-low			Medium-high		

Control Measure	CM type	CM owner	Start date	Due date
Re-establish corporate CP Committee	TCA	Community Safety and Leisure Manager	Sept-14	Jan-15
Complete Kent Safeguarding Children's self-assessment document	TCA	Community Safety and Leisure Manager	May-14	Jun-14
Update TDC staff list for roles requiring DBS checks	TCA	Community Safety and Leisure Manager	Jun-14	Sept-14
Update CP information on TOM	TCA	Community Safety and Leisure Manager	Sept-14	Jan-15
Check compliance with e-learning module for new starters	TCA	HR Business Partner	Jun-14	Sep-14
Process electronic referrals of CP issues and send to Social Services	BAU	Community Safety and Leisure Manager		
Maintain the Corporate Child Protection policy	BAU	Community Safety and Leisure Manager		

R05.01: Media controversy impacts on the council's ability to achieve its objectives

Risk owner: PR and Publicity Manager

Cause	Controversial decisions and/or inadequacies in communication arrangements
Examples of potential causes	- Council becomes involved in projects that relate to matters that are locally controversial; - Inaccurate reporting of legal challenges in the media; - Ineffective communication with the media; - Use of communication channels that are not favoured by customers; - Ineffective use of social media; - Staff capacity does not allow time for considered response to enquiries; - Staff not trained to consider PR impact of their activities; - Inadequate media training of staff and members; - Limited staff capacity resulting in limited amount of time available for media relations; - Inadequate responses to customer complaints, FOIs or media stories; - Council response to negative stories about the council on social media is ineffective; - Sensational stories published in media without proper consideration of facts resulting in inaccurate information in the public domain; - Failure to meet/manage customer expectations; 'Leak', or failure to follow approved process for ensuring document security.
Trigger events/ situations	**Controversial story publicised in the media**
Examples of potential trigger events/situations	- Adverse reports in the local, regional or national media; - Negative comments and discussions on social media.
Consequence	**Media controversy impacts on the council's ability to achieve its objectives**
Examples of potential consequences	- Project are delayed and costs escalate; - Additional legal resources required; - Requirement to use resources to carry out a review of council actions; - Reputational damage; - Increasing resident dissatisfaction; - Loss of trust in the council; - Public disengagement from involvement with the council; - Growth in negative perceptions about Thanet as an area; - Recruitment/retention problems; - Prospective partners disengage from the council reducing the council's ability to meet its objectives and potentially leading to a withdrawal of investment into the area;

	• Increasing vulnerability to less scrupulous enterprise because of growth in the perception that in Thanet the council is not effective at dealing with controversy.

Risk Score: Uncontrolled			Risk Score: Controlled			Risk Score: Present		
P: 4	I: 4	R: 16	P: 3	I: 2	R: 6	P: 3	I: 3	R: 9
		High			Medium-high			Medium-high

Control Measure	CM type	CM owner	Start date	Due date
Provide media training to all Members.	TCA	PR & Publicity Manager	Jul-14	Mar-15
Ensure appropriate level of legal advice is sought for major projects through the active involvement of Legal Services Manager in the project approval process.	BAU	Legal Services Manager		
Accurate, timely press releases supported by measured PR.	BAU	PR and Publicity Manager		
Ensure adherence to council's decision making processes.	BAU	Legal Services Manager		
Regular dialogue that foster good relationships with the media.	BAU	PR and Publicity Manager		
Use customer insight and market segmentation to inform communication methods.	BAU	Communications Manager		

R05.02: Customer expectations/ demands cannot be met by the council

Risk owner: Director of Corporate Resources

Cause	Unrealistic or inappropriate customer expectations, growth in service demand, reduction in resources/capacity affect ability to deal with matters satisfactorily
Examples of potential causes	- TDC sets the wrong objectives based on flawed evidence; - TDC sets too many objectives; - Customer expectations differ from the TDC's; - Public misunderstanding of the council's role and the roles of other public bodies; - Government 'enablement' powers (e.g. community rights) are misinterpreted by customers - believing that options are duties; - Increase in demand for services (could be sudden or gradual); - Changing demographics not understood by the council, and so not planned for (e.g. ageing population); - Poor communication of decision making, service objectives and service standards; - Lack of consultation with customers; - Responses to consultations ignored when developing policy/making decisions; - Unbalanced coverage of a complainant against the council in the press/media, changes the expectations of the wider community.
Trigger events/ situations	**Customer expectations/ demands cannot be met by the council**
Examples of potential trigger events/situations	Service provision falls below expectations or needs of the public and this becomes a matter of public concern.
Consequence	**Customer's disappointment, reputational damage, service failure leading to further issues**
Examples of potential consequences	- Customers do not get what they want or need and are entitled to expect from TDC; - Inability to cope with service demand (e.g. demands on the benefit system); - Reprioritisation leading to falling standards in other services; - Increase in complaints and media criticism of the council; - Reputational damage; - Need to re-educate customer expectations.

Risk Score: Uncontrolled			Risk Score: Controlled			Risk Score: Present		
P: 4	I: 3	R: 12	P: 3	I: 3	R: 9	P: 4	I: 3	R: 12
High			Medium-high			High		

Control Measure	CM type	CM owner	Start date	Due date
Review channels of communication to external customers to ensure the council has an integrated plan for improvement.	TCA	Communications Manager	Oct-14	Mar-15
Ensure appropriate level of legal advice is sought for major projects through the active involvement of Legal Services Manager in the project approval process.	BAU	Legal Services Manager		
Regular reporting of Medium Term Financial Plan to ensure that there is a clear understanding of what the council's commitments are.	BAU	Head of Financial Services		
Ensure corporate plan objectives are clearly publicised for the general public.	BAU	Policy and Business Planning Manager		
Regular reporting of business performance to the public	BAU	Policy and Business Planning Manager		
Clear marketing of what services the council provides and signposting to other public services, to ensure an integrated approach to customer service delivery.	BAU	Communications Manager		
Ensure provision of clear and consistent quality of response to public requests for information.	BAU	Customer Contact and Engagement Manager		
Engage members when developing plans for the year (including service plans).	BAU	Director of Corporate Resources		
Foster strong relationship between Cabinet and SMT through informal meetings on regular basis.	BAU	Chief Executive		

R05.03: Legal challenges require high level commitment of resources

Risk owner: Legal Services Manager

Cause	TDC activities have negative impacts for some stakeholders and TDC is not adequately prepared for legal challenges
Examples of potential causes	• Activities of the Council have adverse financial implications for external individuals, groups or organisations (e.g. compulsory purchase orders, planning decisions, enforcement activity); • Stakeholders are able to and minded to launch legal challenge; • TDC is unable to commit resources to deal with the number of legal challenges; • TDC does not factor costs and risks of legal challenge into its planning of activities.
Trigger events/ situations	Stakeholder starts a legal challenge
Examples of potential trigger events/situations	•
Consequence	Unplanned costs leading to impacts on service provision and reputational issues
Examples of potential consequences	• Unplanned spend/resource requirements; • Potential fines/legal costs; • Impact on other projects or service delivery; • Reputational damage; • Delays to projects.

Risk Score: Uncontrolled			Risk Score: Controlled			Risk Score: Present		
P: 2	I: 4	R: 8	P: 2	I: 2	R: 4	P: 2	I: 2	R: 4
Medium-high			Medium-low			Medium-low		

Control Measure	CM type	CM owner	Start date	Due date
Ensure appropriate level of legal advice is sought for major projects through the active involvement of Legal Services Manager in the project approval process.	BAU	Legal Services Manager		
Consideration of legal implications when making decisions through use of the relevant section in the report template.	BAU	Legal Services Manager		

R06.01: Problems caused by central government policies or practices prevent the council from achieving its aspiration

Risk owner: Chief Executive

Cause	Changes to central government policies or practices
Examples of potential causes	- Government makes more cuts reducing funding for supply of services (by TDC and KCC); - Government reduces benefits envelope stimulating additional service demands (e.g. on housing services) or reducing council income (e.g. council tax/housing rent arrears); - Mitigation options offered by central government when regulations change do not cover the overall disadvantage to Thanet, increasing net loss to local economy; - Lack of reliable guidance from central government departments makes it harder to plan for change – e.g. unclear timetabling for the implementation of new regulations; - Advice/guidance from central government on how to deal with legislative change proves unworkable, requiring TDC to put resources into the development of new working practices and schemes; - Legislation could be introduced which abolishes second tier authorities or which incentivises the amalgamation if different councils in Kent, leading to the abolition of TDC as an entity.
Trigger events/ situations	**Specific regulations introduced which impact on Thanet**
Examples of potential trigger events/situations	- Reduction in revenue support grant; - Sudden introduction of new requirements by central government for which TDC has been unable to prepare; - New legislation enacted with timetable for assimilation of second tier local authorities into a system of unitary authorities; - Government reduces the availability of useful data about Thanet.
Consequence	**Reduced funding, increased service demand, increased statutory requirement, reduced capacity etc.**
Examples of potential consequences	- Reduced funding available to deliver council services creates capacity or capability problems; - Disruption to day-to-day service delivery; - Wasteful local planning for things that might never happen; - Need to re-organise staffing structures to align to new requirements for local service provision; - Government positive portrayal of new legislation leads to the general public forming expectations of local authorities which don't match the new duties that they have; - Inability to access useful datasets leading to decisions being less well informed;

	• Government intervention in local services; • Inability to plan local futures locally; • Undermining of local identities.

Risk Score: Uncontrolled			Risk Score: Controlled			Risk Score: Present		
P: 3	I: 4	R: 12	P: 2	I: 2	R: 4	P: 2	I: 4	R: 8
		High			Medium-low			Medium-high

Control Measure	CM type	CM owner	Start date	Due date
Consider opportunities for reducing service costs through a programme of service reviews.	TCA	Director of Corporate Resources	Jun-14	Mar-15
Explore options to consolidate or share services.	TCA	Director of Corporate Resources	Jun-14	Mar-15
Establish framework for building relationship between the Council and local MPs.	TCA	Chief Executive	Jul-14	Sept 14
Regular policy updates that provide early warning of legislative changes	BAU	Policy officer		
Ensure external funding opportunities are explored.	BAU	Technical Finance Manager		
Ensure adherence to council's decision making processes.	BAU	TBC		
Foster strong relationship between Cabinet and SMT through informal meetings on regular basis.	BAU	Chief Executive		
Regular updates on central government policy consultations.	BAU	Policy officer		
Ongoing review of government position on discretionary housing payments.	BAU	Head of Financial Services		
Ongoing monitoring of key indicators which track services which may be impacted by welfare reform	BAU	Head of Financial Services		

R06.02: Ineffective relationships between TDC and Kent

Risk owner: Chief Executive

Cause	Changes in KCC strategic and operational priorities which have adverse implications for Thanet
Examples of potential causes	- Changes to KCC priorities affect TDC's role in strategy; - Changing priorities based on differing political alignments (national or local) isolates Thanet so influence is lost; - Lack of capacity to engage in the various Kent led forums across Kent; - Changes in operational emphasis affects project resourcing; - KCC cutbacks disadvantage Thanet.
Trigger events/ situations	**KCC take decisions which have adverse impact on Thanet**
Examples of potential trigger events/situations	KCC decision to withdraw or reduce investment in Thanet;
Consequence	**Negative impacts on the district, TDC becomes isolated**
Examples of potential consequences	- TDC's knowledge of county initiatives in Thanet or of wider issues is reduced; - Loss of strategic context; - Thanet resourcing is reduced; - Thanet misses out on investment opportunities; - TDC misinterprets KCC's position.

Risk Score: Uncontrolled			Risk Score: Controlled			Risk Score: Present		
P: 3	I: 4	R: 12	P: 2	I: 2	R: 4	P: 2	I: 4	R: 8
High			Medium-low			Medium-high		

Control Measure	CM type	CM owner	Start date	Due date
Engage members when developing plans for the year (including service plans).	BAU	Director of Corporate Resources		
Ensure regular prompts for leader to attend meetings of Kent leaders and feedback.	BAU	PA to the Chief Executive		

R06.03: Public disengagement from the democratic process

Risk owner: Democratic Services Manager

Cause	Public disengagement from the democratic process
Examples of potential causes	• Lack of belief (nationally) in the relevance of the political process; • Apathy about council purposes; • Negative stories about the council in the media; • TDC attempts to carry out large numbers of consultations leading to consultation fatigue; • Perception that the council does not value consultation responses or feedback; • Exposure of the public to unacceptable practice by members or officers encourages non-participation.
Trigger events/ situations	**Poor response to democratic engagement events**
Examples of potential trigger events/situations	• Poor voter turn-out; • Poor response levels to consultations.
Consequence	**Limited representation of public concerns at the Council**
Examples of potential consequences	• Difficult for council leadership to gain a clear mandate; • Change in council priorities by a new leadership could lead to reputational damage, particularly if there is a weak mandate; • Basis for democratic accountability is undermined; • Inadequate knowledge of public opinion undermines validity of decisions; • Greater exposure to single issue pressure groups leading to decisions that may not be in the interests of the local economy.

Risk Score: Uncontrolled			Risk Score: Controlled			Risk Score: Present		
P: 2	I: 3	R: 6	P: 2	I: 2	R: 4	P: 2	I: 3	R: 6
		Medium-high			Medium-low			Medium-high

Control Measure	CM type	CM owner	Start date	Due date
Ensure that budget consultation for 2015-16 supports the identification of priorities for the new Corporate plan.	TCA	Policy and Business Planning Manager	Jul-14	Nov-14
Run campaign to increase participation in the democratic process.	TCA	Communications Manager	Oct-13	Mar-15
Effective SLA in place with EKS for ICT services.	TCA	Director of Corporate Resources	Sep-14	Mar-15
Develop and implement a succession management plan.	TCA	HR Business Partner	Sept 14	Mar 15
Ensure provision of clear and consistent quality of response to public requests for information.	BAU	Customer Contact and Engagement Manager		
Engage members when developing plans for the year (including service plans).	BAU	Director of Corporate Resources		

R06.04: Difficulties faced by members in carrying out the administration of the council

Risk owners: Leader and Chief Executive

Cause	Issues which make it difficult for elected members to carry out the administration of the council
Examples of potential causes	- Ineffective or inefficient public meetings; - Inappropriate behaviour by individual councillors; - Ineffective standards regime; - Ineffective communication between senior management and members; - Officer: member protocol inadequate or not adhered to; - Ward councillors not provided with the relevant and topical information expected under the officer: member protocol; - Lack of training for committee chairs and vice-chairs; - Lack of media training for members.
Trigger events/ situations	**Actions which exacerbate underlying issues**
Examples of potential trigger events/situations	- Confidential papers are leaked; - The action of an individual councillor brings the council into disrepute; - Members find out information about an issue via the media rather than communication from officers; - Important decision postponed due to disruption at a meeting.
Consequence	**Council distracted from the delivery of its objectives**
Examples of potential consequences	- Inappropriate behaviour by individual councillors continues as standards regime is ineffective; - Lack of relevant information makes it difficult for councillors to fulfil their role effectively; - Current partners withdraw from partnership to protect themselves from misrepresentation through leaks of confidential information; - Potential partners are dissuaded from entering into partnership due to risk of confidential information being leaked; - Financial costs and waste of staff resource on matters that could be resolved through an effective standards regime; - Ineffective chairmanship limits meeting effectiveness, impacting on council business; - Reputational damage to the council; - Public disengagement from the democratic process.

Risk Score: Uncontrolled			Risk Score: Controlled			Risk Score: Present		
P: 3	I: 4	R: 12	P: 2	I: 2	R: 4	P: 3	I: 4	R: 12
High			Medium-low			High		

Control Measure	CM type	CM owner	Start date	Due date
Review options for requiring chairman ship/vice-chairmanship posts to be restricted to those who have been on a chairmanship training	TCA	Legal Services Manager	Jul-14	Mar-15
Provide training for all members on chairmanship and meeting management	TCA	Democratic Services Manager	Jul-14	Mar-15
Carry out review of the standards regime and make recommendations to Council	TCA	Legal Services Manager	Jul-14	Mar-15
Introduce new standards regime (following Council decision)	TCA	Democratic Services Manager	Jul-14	Mar-15
Review the officer: member protocol and design and deliver training/awareness raising for staff and members	TCA	Chief Executive and Leader	Jul-14	Mar-15
Provide media training to all members following the election	TCA	PR and Publicity Manager	Jul-14	Mar-15
Maintain regular 1:1s between directors and portfolio holders	BAU	Chief Executive		

R07.01: Lack of the right staff in the right place leads to situations where services are inadequately covered or missed (capacity)

Risk owner: Chief Executive

Cause	**Mismatch between staff resources in post and service expectations causes false understanding of capacity and resilience**
Examples of potential causes	- Reorganisation results in lack of resilience – e.g. only one person knows how to carry out a task; - Re-organisation important functions are left under-resourced following a restructure; - Vacant posts take too long to fill; - Difficulties in attracting suitable candidates for vacant posts; - Vacant post savings targets lead to reduction in capacity; - Limited delegation to, and empowerment of, staff; - Restructures take a long time to agree and implement; - Inadequate assessment of service requirements; - Failure to rationalise or deprioritise in response to funding cuts; - Unnecessary or unnecessarily complex corporate processes reduce capacity for service delivery; - Inconsistent handover practices; - Inadequate succession planning arrangements; - Ineffective arrangements for hand-over of functions; - Capability issues aggravate capacity issues; - Implementation of more efficient working fails to deliver the reduction in pressure on staff resources that was originally envisaged;
Trigger events/ situations	**Situation occurs where services are inadequately covered or missed**
Examples of potential trigger events/situations	- Tasks missed or completed badly; - Discovery of crucial gaps in staffing structure; - Inability to cover staff absence; - Non-compliance with legislation/ regulation, or with requirements of grant funding; - Experienced/key worker(s) leave(s) or is/are absent and roles are assigned to people who lack the required knowledge/ expertise; - Discovery that there is no-one able to carry out a specific task.
Consequence	**Service failure or reduction in performance leading to breakdown in cohesiveness of service delivery**
Examples of potential consequences	- Key functions poorly covered; - Provision of limited or no service for a period of time; - Decision making processes slowed down as senior management capacity becomes over-stretched;

	• Failure to deliver objectives;
	• Operational service requirements not properly understood by management;
	• Functions remain uncovered until a crisis exposes need;
	• Grant funding has to be paid back, and chances of future funding are reduced;
	• Disillusionment with required processes;
	• Repetitive recruitment drives;
	• Pressure on staff increases, leading to stress, demotivation, lower staff morale, and higher sickness levels;
	• Unsustainable working practices;
	• Loss of positive ambition as the organisation becomes more risk averse;
	• Damaged employee -employer relations;
	• Fines/costs are incurred as things are missed;
	• Reputational damage.

Risk Score: Uncontrolled			Risk Score: Controlled			Risk Score: Present		
P: 3	I: 3	R: 9	P: 2	I: 2	R: 4	P: 3	I: 3	R: 9
Medium-high			Medium-low			Medium-high		

Control Measure	CM type	CM owner	Start date	Due date
Develop and implement a succession management plan.	TCA	HR Business Partner	Sept-14	Mar-15
Identify reactive services where tracking of work capacity indicators would be beneficial (a form of contextual indicator) and set these indicators up in InPhase.	TCA	Policy and Business Planning Manager	Sep-14	Mar-15
Develop plan to build project and programme management capability (Peer Review).	TCA	HR Business Partner	Sept-14	Mar-15
Identify administration key man risk and develop a plan to minimise this risk.	TCA	HR Business Partner	Sept-14	Mar-15
Recruit to the senior staffing structure with the right calibre of staff as quickly as possible	TCA	HR Business Partner	Jun-14	Nov-14
Review staff structure in the light of refreshed Council priorities.	TCA	HR Business Partner	Nov-14	Dec-15
Review pay scheme suitability.	TCA	HR Business Partner	Jun-15	Oct-15
Regularly review pay scheme suitability.	BAU	HR Business Partner		
Regular policy updates that provide early warning of legislative changes	BAU	Policy officer		
Identify financial implications of legislative changes	BAU	Head of Financial		

and use this to inform MTFP development for staff resources		Services	
Undertake regular review of workforce matters including adequacies of staff levels	BAU	Chief Executive	
Active strategic management of annual and flexi leave entitlements, using early warning system to avoid build up.	BAU	HR Business Partner	
Management of annual leave/flexi through line management.	BAU	Chief Executive	
Communication to staff of planned approach during staff shortages.	BAU	Chief Executive	
Recognition of and thanks for additional workload taken on by staff during adverse times.	BAU	Chief Executive	

R07.02: Failure to recognise and deal with staff limitations appropriately causes deterioration in service delivery (capability)

Risk owner: Chief Executive

Cause	Failure to identify capability issues, inadequate training needs assessment and ineffective training
Examples of potential causes	- Limited understanding of the time needed to undertake tasks; - Staff capability issues are not addressed; - Limited understanding of the required skill sets operationally and strategically; - Training is not tailored to operational need; - Training is not delivered effectively; - Training is not implemented; - Inadequate handover or lack of mentor training for staff in new roles means requirements are not fully understood; - Staff potential is not fully realised; - Staff can't work IT systems effectively; - Not being aware of regulatory changes, or not being aware of implications of changes in law/regulation.

Trigger events/ situations	Staff/members incapable of meeting expected requirements
Examples of potential trigger events/situations	- Staff fail to comply with legislation/ regulation; - Staff fail to meet agreed performance levels against set priorities and goals; - TDC fails to adhere to requirements of grant funding; - Decisions are taken which are not compliant with legislation, regulation or agreed process.

Consequence	Inefficient or ineffective working and costs relating to external challenge, and inefficient working
Examples of potential consequences	- Ignorance of best practice and latest standards; - Inefficient use of systems makes work practices less effective and more costly than they could be; - Capability challenges increase; - Legal challenge to decisions; - Requirement to repay funding; - CPDs of professional staff are put at risk; - Pockets of low ICT skills; - Staff potential is not realised; - Inability to sustain timely service delivery;

Risk Score: Uncontrolled			Risk Score: Controlled			Risk Score: Present		
P: 3	I: 3	R: 9	P: 2	I: 2	R: 4	P: 2	I: 2	R: 4
Medium-high			Medium-low			Medium-low		

Control Measure	CM type	CM owner	Start date	Due date
Develop an option appraisal for the introduction of a mentoring or coaching scheme.	TCA	HR Business Partner	Jan-15	Mar-15
Undertake 'skills gap' analysis when corporate priorities are rationalised (Peer Review).	TCA	HR Business Partner	Oct-14	Dec-14
Develop a toolkit for managers to support and develop their staff.	TCA	HR Business Partner	Mar-15	May-15
Develop a training programme on competent decision making.	TCA	HR Business Partner	Sept-14	Jan-15
Regular policy updates that provide early warning of legislative changes	BAU	Policy officer		
Undertake regular review of workforce matters including implementation of performance framework	BAU	Chief Executive		
Spot check on manager use of regular policy updates that provide early warning of legislative changes.	BAU	Policy and Business Planning Manager		

R08.01: Service failure or closure

Risk owner: Chief Executive

Cause	Reduction in funding/resources available, inadequate prioritisation of work, problems with asset management, problems with staff morale
Examples of potential causes	- Significant and/or fast paced funding cuts by central government; - Decision to prioritise key public services leads to decision to withdraw from provision of other services; - Cost of provision exceeds a level that TDC can afford; - Funding cuts leads to deterioration of service; - Statutory or customer high priority service fails temporarily (e.g. waste & recycling service, inadequate supply of social housing, failure of harbour business model); - Failure of major items of plant or equipment (e.g. failure of major harbour plant) due to lack of appropriate investment; - Frontline staff absences combined with lack of contingency; - Industrial action over work practices.
Trigger events/ situations	Service failure or closure
Examples of potential trigger events/situations	- Failure to deliver key service at a level that is acceptable to customer or regulator (e.g. inability to find temporary accommodation for homeless people at a sustainable price); - Decision to cease delivery of some functions.
Consequence	Customer dissatisfaction, reputational damage and related costs
Examples of potential consequences	- Facilities become unavailable to the public; - Customers feel let down; - Housing or health risk to residents; - Costs increase as remedial action is taken; - Environmental damage; - Changes required to methods of working; - Reputational damage.

Risk Score: Uncontrolled			Risk Score: Controlled			Risk Score: Present		
P: 3	I: 3	R: 9	P: 2	I: 2	R: 4	P: 3	I: 3	R: 9
Medium-high			Medium-low			Medium-high		

Control Measure	CM type	CM owner	Start date	Due date
Identify administration key man risk and develop a plan to minimise this risk.	TCA	HR Business Partner	Sept-14	Mar-15
Identify reactive services where tracking of work capacity indicators would be beneficial (a form of contextual indicator) and set these indicators up in InPhase.	TCA	Policy and Business Planning Manager	Sep-14	Mar-15
Regular policy updates that provide early warning of legislative changes	BAU	Policy officer		
Identify financial implications of legislative changes and use this to inform MTFP development for staff resources	BAU	Head of Financial Services		
Review of asset register to identify those assets near the end of their useful life (vehicles, plant and equipment) and build capital asset replacement/ disposal (vehicles, plant and equipment) into the Capital Programme.	BAU	Head of Financial Services		
Review insurance policies on an annual basis.	BAU	Head of Financial Services		
Clear marketing of what services the council provides and signposting to other public services, to ensure an integrated approach to customer service delivery.	BAU	Communications Manager		
Communication to staff of planned approach during staff shortages.	BAU	Chief Executive		
Effective sickness management, including use of reports and adequate forecasting.	BAU	HR Business Partner		
Facilitate effective performance management processes (including tracking of contextual/activity data for early warning)	BAU	Policy and Business Planning Manager		
Foster good relationship between management and the unions.	BAU	Chief Executive		
Use service review as a vehicle to prevent service failure, including assessment of customer needs.	BAU	Business Transformation Manager		
Ensure Communication Management Strategy (including stakeholder management) is in place and up to date.	BAU	Communications Manager		
Continually work to maintain current income streams at the Port and attract new ones.	BAU	Maritime Operations Manager		

R09.01: Major project failure (e.g. Dreamland, Margate Housing Intervention)
Risk owner: Chief Executive

Cause	Poor project planning and project management
Examples of potential causes	- TDC attempts to take on too many projects; - Projects not adequately planned; - Lack of clarity around expectations for project costs, timescales, quality, scope, risk and benefits; - Unacceptable levels of risk to project funding; - Inadequate engagement with stakeholders and partners; - Inadequate risk management of projects; - Project management arrangements weak or not adhered to; - Inadequate challenge provided to project managers; - Failure to learn from the experiences of previous projects; - Failure to secure sufficient funding; - Failure to attract appropriate partners.
Trigger events/ situations	**Changes to the foreseen project environment which make the project unworkable**
Examples of potential trigger events/situations	- Economic recession adversely impacts on housing affordability; - Government policy works against local initiatives (e.g. benefit changes adversely affects people's ability to pay for housing); - Loss of key staffing skills affects ability to deliver a project; - KCC funding fails; - Partners do not deliver a viable service; - Deadlines for project delivery are not met, so funding fails; - Project partners pull out.
Consequence	**Project closure or implementation without delivering intended benefits**
Examples of potential consequences	- Early project closure leading to reputational damage; - Belated project closure (or continuation when project should have been closed) leading to wasted time, unnecessary costs, poor service performance, possible service failure, and reputational damage. - Key areas remain an eyesore because of failure of regeneration, e.g. Dreamland site.

Risk Score: Uncontrolled			Risk Score: Controlled			Risk Score: Present		
P: 3	I: 3	R: 9	P: 2	I: 2	R: 4	P: 3	I: 3	R: 9
Medium-high			Medium-low			Medium-high		

Control Measure	CM type	CM owner	Start date	Due date
Establish a project risk register	TCA	Policy and Business Planning Manager	Jul-14	Aug-14
Ensure appropriate level of legal advice is sought for major projects.	BAU	Legal Services Manager		
Ensure sufficient staff expertise within the property services team in asset management.	BAU	Head of Economic Development and Asset Management		
Ensure external funding opportunities are explored.	BAU	Technical Finance Manager		
Ensure sufficient staff are trained in project management to meet the organisation's needs.	BAU	HR Business Partner		
When considering project proposals at Strategic Programme Board, explore all available options for delivering a project, rather than assuming that it must be delivered by TDC staff.	BAU	Business Transformation Manager		
Maintain project management process and ensure compliance	BAU	Policy and Business Planning Manager		

R09.02: Major Thanet employer or investor reduces or ends their investment in Thanet

Risk owner: Director of Community Services

Cause	Major Thanet employer reconsiders their investment in Thanet
Examples of potential causes	- Economic potential of Thanet is regarded as poor; - Economic potential is not communicated to the right people at the right time; - Supplier faces financial challenges which mean that it is not economically viable to operate in Thanet; - Organisational change alters supplier priorities.
Trigger events/ situations	**Major Thanet employer reduces or ends their investment in Thanet**
Examples of potential trigger events/situations	- Commercial business decision to rationalise takes business out of Thanet; - Thanet Infrastructure is assessed as less beneficial to business than other areas; - Investment withdrawn from key local asset(e.g. Turner Contemporary) - Labour market is assessed as being unsuitable by investors.
Consequence	**Pressure on the local economy increases, increasing vulnerability to social problems**
Examples of potential consequences	- Economic deterioration; - Increasing unemployment; - Council loses Business rate income; - Regeneration is more difficult to achieve; - Regeneration initiatives fail; - Social issues (e.g. crime, educational attainment, health) remain unresolved or worsen.

Risk Score: Uncontrolled			Risk Score: Controlled			Risk Score: Present		
P: 3	I: 3	R: 9	P: 2	I: 2	R: 4	P: 3	I: 3	R: 9
Medium-high			Medium-high			Medium-high		

Control Measure	CM type	CM owner	Start date	Due date
Implement the economic regeneration plan.	BAU	Economic Development Manager		
Review the regeneration plan to ensure that it encourages diversity in the local economy, and recognises the roles of key participants in the Thanet economy, and sustains business intelligence.	BAU	Economic Development Manager		
Continued monitoring of economic trends in Thanet.	BAU	Business Analyst		
Dedicated marketing of Thanet as an investment opportunity by the ED&R team.	BAU	Economic Development Manager		
Efforts focussed on delivering key "game changing" infrastructure projects (Peer Review).	BAU	Director of Community Services		
Lobby government and SELEP for investment in local infrastructure.	BAU	Director of Community Services		
Annual review of adequacy of reserves informed by assessment of financial risks	BAU	Head of Financial Services		

R09.03: Changes in Thanet's demography are not considered in planning for the future

Risk owner: Chief Executive

Cause	Changes in Thanet's demography are not considered:
Examples of potential causes	- Failure to plan for elderly resident base replacing working age population; - Plans fail to factor in the impacts of climate change; - Increase in criminal activity; - Over-reliance on tourism; - Fragility of Thanet infrastructure gives greater scope for illegal or socially damaging activity; - Increase in transient communities of temporary residents; - Culture that doesn't care for the environment; - High volume of dependent communities.
Trigger events/ situations	Changes to demography lead to significant changes in the level of demands on specific services which are not planned for
Examples of potential trigger events/situations	- Migration into coastal villages leads to inability to cope of public services (i.e. healthcare); - Migration into Cliftonville West and Eastcliff leads to significant increase in service demands; - Environmental stress as a consequence of growing population (e.g. sewage system); - Rapid cultural change in certain communities sees an increase in dysfunctional behaviours.
Consequence	Pressures on services leading to reduction in performance or service failure
Examples of potential consequences	- Environmental pressures on: water, drainage, transport, social services; - Disengagement with political processes; - Public infrastructure no longer fit for purpose; - Reduction in service performance; - Service failures.

Risk Score: Uncontrolled			Risk Score: Controlled			Risk Score: Present		
P: 3	I: 3	R: 9	P: 2	I: 2	R: 4	P: 3	I: 3	R: 9
		Medium-high			Medium-low			Medium-high

Control Measure	CM type	CM owner	Start date	Due date
Timely adoption of sound local plan	TCA	Strategic Planning Manager	Aug 12	Under review
Follow a monitoring regime for air quality in Thanet	BAU	Environmental Protection Manager		
Dedicated marketing of Thanet as an investment opportunity by the ED&R team.	BAU	Economic Development Manager		
Efforts focussed on delivering key "game changing" infrastructure projects (Peer Review).	BAU	Director of Community Services		
Continue to monitor long term social trends affecting Thanet people.	BAU	Business Analyst		
Develop corporate plan in the knowledge of contextual demands	BAU	Policy and Business Planning Manager		

R09.04: Unsustainable development/lack of the right development

Risk owner: Head of built environment

Cause	Problems with Local Plan process and planning decisions
Examples of potential causes	- Adoption of Local Plan delayed; - Local Plan evidence base is flawed; - Local Plan is well-based but doesn't work in practice; - Change in government policy to give regional/national agendas greater priority over local needs; - Unable to demonstrate five year supply of housing land; - National economic downturn leads to reduction of investment in the area; - Failure to utilise TDC land to support the council objectives relating to economic development and regeneration (e.g. land at Eurokent or Manston Business Park); - Insufficient staff resources for planning and enforcement.
Trigger events/ situations	Unsustainable development occurs
Examples of potential trigger events/situations	- Developments occur that address short-term rather than long-term requirements; - Developments occur without planning permission; - Planning permission is granted when it should be refused.
Consequence	Harm to the environment, economy and social well-being
Examples of potential consequences	- Physical infrastructure failure – including traffic congestion; - Loss of public access to countryside; - Deterioration in the environment and increase in likelihood of pollution; - Reputational damage nationally and locally (as balance between economy and environment alters); - Failure to address housing needs of the district; - Legal challenge.

Risk Score: Uncontrolled			Risk Score: Controlled			Risk Score: Present		
P: 4	I: 4	R: 16	P: 2	I: 4	R: 8	P: 3	I: 4	R: 12
High			Medium-high			High		

Control Measure	CM type	CM owner	Start date	Due date
Develop a transport strategy and infrastructure delivery plan for Thanet to support the Local Plan.	TCA	Planning Manager	Aug 12	Under review
Develop a new parking strategy that complements the developing transport strategy.	TCA	Head of Operational Services	Jul 14	Dec 14
Timely adoption of sound local plan	TCA	Strategic Planning Manager	Aug 12	Under review
Adherence to long-term coastal management plan.	BAU	Technical Services Manager		
Implementation of the adopted Local Plan	BAU	Strategic Planning Manager		
Maintain adequate planning staff (including enforcement) in order to ensure sustainable development in accordance with the Local Plan	BAU	Planning Manager		
Maintain effective planning applications service	BAU	Planning Manager		