

## Risk Register

Risk Ref	Cause	Trigger	Consequence	Assigned To	Uncntrl'd Rating	Current Rating	Control Measures	Assigned To	Residual Rating
BUS0003	The Council relies on staff consistently working for longer than their contracted hours <b>Next Review:</b> 30/03/2012 (Reviewed every 4 months) <b>Risk Status:</b> Treat	Increasingly due to staff numbers having reduced to make budget savings	Increased sickness absence Increased levels of overtime requests Potential health and safety issues Breach of contract Impact on service delivery Staff dissatisfaction Recruitment and retention issues Impact on VfM	Carroll, Sarah	9 P(3) I(3)	9 P(3) I(3)	<p><b>Undertake Investors in People health check</b> <i>Implemented</i> <b>Target Date:</b> 31/03/2012 <b>Next Review:</b> 01/06/2012 (Reviewed every 3 months)</p> <p><b>Use Managers Exchange to share best practice with Managers and address corporate issues</b> <i>In Progress</i> (10% complete) <b>Target Date:</b> 31/03/2012 <b>Next Review:</b> 01/06/2012 (Reviewed every 3 months)</p> <p><b>Design and deliver a staff survey</b> <i>In Progress</i> (25% complete) <b>Target Date:</b> 31/03/2012 <b>Next Review:</b> 25/05/2012 (Reviewed every 3 months)</p> <p><b>Review flexi-time policy</b> <i>Implemented</i> <b>Target Date:</b> <b>Next Review:</b> 01/04/2012 (Reviewed every 4 months)</p> <p><b>Deliver training to managers on revised policies</b> <i>In Progress</i> (25% complete) <b>Target Date:</b> 31/03/2012 <b>Next Review:</b> 03/06/2012 (Reviewed every 4 months)</p>	Carroll, Sarah  Carroll, Sarah  Carroll, Sarah  Carroll, Sarah	4 P(2) I(2)

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BUS010002	Limited internal specialist support available (such as engineers, property, legal) at peak times. <b>Next Review:</b> 30/03/2012 (Reviewed every 6 months) <b>Risk Status:</b> Treat	Possible claim against the Council under professional / officials indemnity	Delays in service delivery Unable to meet targets Non completion of corporate plan objectives Wasted resources Increased costs due to expensive outsourcing of legal work Stop doing certain things Dissatisfaction / complaints Drop in standards	Mileham, Barry	4 P(2) I(2)	4 P(2) I(2)	<p><b>Shared Services</b> <i>Implemented</i> <b>Target Date:</b> <b>Next Review:</b> 01/06/2012 (Reviewed every 6 months)</p> <p><b>Recruitment /appointment process</b> <i>Implemented</i> <b>Target Date:</b> <b>Next Review:</b> 01/06/2012 (Reviewed every 6 months)</p> <p><b>Take into account when drafting budget savings proposals</b> <i>Implemented</i> <b>Target Date:</b> <b>Next Review:</b> 30/05/2012 (Reviewed every 6 months)</p> <p><b>Provide support to new appointments (within development of succession planning)</b> <i>In Progress</i> (10% complete) <b>Target Date:</b> <b>Next Review:</b> 01/06/2012 (Reviewed every 3 months)</p>	Chadwick, Sophie  Carroll, Sarah  Martin, Sarah  Mileham, Barry	2 P(1) I(2)
BUS020001	Managers may not have or use performance information effectively as a management tool <b>Next Review:</b> 30/03/2012 (Reviewed every 4 months) <b>Risk Status:</b> Treat	Council doesn't have or make best use of performance information for service outcomes	Resources used for wrong priorities Missed opportunities (to save and improve) Unable to achieve key targets Performance is managed ineffectively	Carroll, Sarah	6 P(3) I(2)	6 P(3) I(2)	<p><b>Training of managers on the benefits of performance management</b> <i>In Progress</i> (80% complete) <b>Target Date:</b> 01/04/2012 <b>Next Review:</b> 02/04/2012 (Reviewed every 4 months)</p> <p><b>Develop the culture change programme to monitor behaviours</b> <i>In Progress</i> (20% complete) <b>Target Date:</b> 30/03/2013 <b>Next Review:</b> 11/05/2012 (Reviewed every 5 months)</p>	Tebbett, Stephen  Mileham, Barry	4 P(2) I(2)

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BUS030001	The Council is involved in a number of partnerships including a shared services programme with other LAs, and there is a reliance on these to deliver in a number of areas. There are concerns however around the level of resourcing required, the robustness of the management and governance around these and the ability / willingness of partners to participate fully <b>Next Review:</b> (Reviewed every 3 months) <b>Risk Status:</b> Treat	Shared service programme fails to deliver effectively to improve services and save money in shared areas - for example, TDC invests more time and resource into partnerships than the benefit received	Financial loss Wasted resources, or loss of funding Inability to meet targets Differing priorities - so effort is expended on other/lower priorities Expend extra effort to manage partnership arrangements Dissatisfaction/Frustration and loss of confidence Need to unwind and reverse strategic direction Failure of statutory responsibilities Partners direction changes adversely Unitary model imposed Political unrest	Carroll, Sarah	9 P(3) I(3)	9 P(3) I(3)	<b>Review governance arrangements for shared services</b> <i>Proposed (50% complete)</i> <b>Target Date:</b> 31/03/2012 <b>Next Review:</b> 14/03/2012 (Reviewed every 14 months)  <b>Strategic Business Case</b> <i>Implemented</i> <b>Target Date:</b> <b>Next Review:</b> 01/05/2012 (Reviewed every 3 months)  <b>Establish shared service implementation plan</b> <i>Implemented</i> <b>Target Date:</b> 31/03/2012 <b>Next Review:</b> 31/07/2012 (Reviewed every 6 months)	Chadwick, Sophie  Chadwick, Sophie  Chadwick, Sophie	3 P(1) I(3)

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BUS030002	Procurement and contract management / monitoring are increasingly important and there is a need to measure and monitor effectiveness and value for money (VFM) on key contracts <b>Next Review:</b> 13/05/2012 (Reviewed every 4 months) <b>Risk Status:</b> Treat	Fail to adequately manage / monitor key contracts	Impact on VFM Tenant satisfaction falls Impact on reputation from tenants and marketplace Key contract fails Significant amount of time required to manage situation	Paton, Karen	9 P(3) I(3)	3 P(1) I(3)	<p><b>Review processes (easing internal bureaucracy AND ensuring compliance, and make sure processes are effective)</b> <i>In Progress</i> (20% complete) <b>Target Date:</b> <b>Next Review:</b> 31/07/2012 (Reviewed every 6 months)</p> <p><b>Strengthen process for capturing contract details aligned with budget information</b> <i>Implemented</i> <b>Target Date:</b> <b>Next Review:</b> 13/03/2012 (Reviewed every 4 months)</p> <p><b>Increase the resource for monitoring compliance with CSOs</b> <i>Implemented</i> <b>Target Date:</b> <b>Next Review:</b> 01/04/2012 (Reviewed every 4 months)</p> <p><b>Contract Management Training</b> <i>In Progress</i> (40% complete) <b>Target Date:</b> <b>Next Review:</b> 19/12/2012 (Reviewed every 3 months)</p> <p><b>Periodic refresh of the Contract Register</b> <i>Implemented</i> <b>Target Date:</b> <b>Next Review:</b> 30/03/2012 (Reviewed every 4 months)</p>	Paton, Karen        Paton, Karen    McGonigal, Sue    Paton, Karen    Paton, Karen	2 P(1) I(2)

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BUS030003	The Council is involved in a number of partnerships and there is a reliance on these to deliver in a number of areas. There are concerns however around the level of resourcing required, the robustness of the management and governance around these and the ability / willingness of partners to participate fully <b>Next Review:</b> 11/03/2012 (Reviewed every 4 months) <b>Risk Status:</b> Treat	Council invests more time and resource into partnerships than the benefit received Lack of DPA compliance by other shared service authorities when using TDC personal data puts TDC at risk of breach of DPA with attendant risk of ICO penalty up to £500,000 Disinvestment in partnerships	Wasted resources Differing priorities Effort expended on other / lower priorities Direction of partnership changes Expend extra effort to manage partnership arrangements Frustration Unable to meet targets Loss of funding Loss of confidence Withdrawal of partners	Carroll, Sarah	6 P(3) I(2)	6 P(3) I(2)	<p><b>On-going work at CEx level for increasing partnership working</b> <i>In Progress</i> (50% complete) <b>Target Date:</b> <b>Next Review:</b> (Reviewed every 0 months)</p> <p><b>Use the performance management process to monitor the achievements of partnerships</b> <i>In Progress</i> (75% complete) <b>Target Date:</b> 31/03/2012 <b>Next Review:</b> 22/03/2012 (Reviewed every 14 months)</p> <p><b>Record the governance arrangements and agreed benefits / purpose of partnerships</b> <i>In Progress</i> (40% complete) <b>Target Date:</b> 30/03/2012 <b>Next Review:</b> 14/03/2012 (Reviewed every 14 months)</p> <p><b>Request outline business case to be produced to highlight resource requirements up front</b> <i>Implemented</i> <b>Target Date:</b> <b>Next Review:</b> 30/03/2012 (Reviewed every 6 months)</p>	McGonigal, Sue  Chadwick, Sophie  Chadwick, Sophie  Carroll, Sarah	2 P(1) I(2)
BUS030005	Partners financial difficulties Partners political difficulties Partners dissatisfied with performance/quality of service <b>Next Review:</b> 24/05/2012 (Reviewed every 3 months) <b>Risk Status:</b> Tolerate	Partner(s) decide to withdraw from a shared service	Cancellation of projects Additional financial responsibilities for remaining partners Reduction of service quality/performance	Chadwick, Sophie	8 P(4) I(2)	8 P(4) I(2)			8 P(4) I(2)

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CML0001	Health and safety risk assessments not having been completed recently. <b>Next Review:</b> 31/05/2012 (Reviewed every 4 months) <b>Risk Status:</b> Treat	Member of staff injured undertaking Council duties	Possible corporate manslaughter Failure of statutory requirements Insurance claim against the Council Loss of reputation Adverse media	Seed, Mark	9 P(3) I(3)	9 P(3) I(3)	<b>Liaise with EKHRP to review H&amp;S risk assessment process</b> <i>In Progress</i> (75% complete) <b>Target Date:</b> 31/01/2012 <b>Next Review:</b> 27/04/2012 (Reviewed every 4 months)  <b>Liaise with EKHRP to implement recommendations from 2009 internal audit</b> <i>In Progress</i> (75% complete) <b>Target Date:</b> 31/01/2012 <b>Next Review:</b> 31/05/2012 (Reviewed every 4 months)	Seed, Mark  Seed, Mark	3 P(1) I(3)
CML020001	Concerns that the Council is not investing sufficiently in the upkeep of its physical assets due to lack of financial resources. Lack of investment in parks & open spaces or other leisure facilities, the Port, and the Crematorium. <b>Next Review:</b> 27/07/2012 (Reviewed every 6 months) <b>Risk Status:</b> Treat	Council has more property than it can afford. This is due to the repairs deficit, of over 4 million pounds. And community/ political tension over many potential asset disposals. Further during recession, our tenants in community buildings are requesting reduced rents, creating more budget pressures.	Gradual deterioration in quality and utility Decrease in value of property Loss of income Potential health and safety issues Political impact Loss of reputation Adverse publicity Impact on Vfm Complaints	Seed, Mark	12 P(3) I(4)	12 P(3) I(4)	<b>Draft and Implement Asset Management Strategy</b> <i>In Progress</i> (40% complete) <b>Target Date:</b> <b>Next Review:</b> 27/04/2012 (Reviewed every 2 months)	Seed, Mark	4 P(2) I(2)

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CML050001	Emergency Planning roles are ill defined. Business Continuity Plans are not sufficiently drafted or robustly tested; or are not sufficiently understood across the organisation. <b>Next Review:</b> (Reviewed every 2 months) <b>Risk Status:</b> Treat	A business continuity incident occurs and the organisation fails to respond effectively	Confusion occurs over responsibilities, and Council doesn't contribute as required Lack of clear understanding links to mixed messages internally and externally Impact on key services Service failure Impact on vulnerable people Potential health and safety issues Possible corporate manslaughter Drop in standards Possible breach of contract	Humber, Mike	16 P(4) I(4)	6 P(2) I(3)	<p><b>Review and revise the council's BCP</b> <i>Superseded</i> (80% complete) <b>Target Date:</b> <b>Next Review:</b> 30/04/2013 (Reviewed every 3 months)</p> <p><b>Test the effectiveness of the BCP</b> <i>Superseded</i> (60% complete) <b>Target Date:</b> <b>Next Review:</b> 30/04/2013 (Reviewed every 3 months)</p> <p><b>Review and revise the Council's BCP's</b> <i>In Progress</i> (20% complete) <b>Target Date:</b> 31/03/2012 <b>Next Review:</b> 30/04/2012 (Reviewed every 3 months)</p> <p><b>Review and Revise the Business Continuity Plans</b> <i>In Progress</i> (20% complete) <b>Target Date:</b> 01/04/2012 <b>Next Review:</b> 01/05/2012 (Reviewed every 3 months)</p> <p><b>Test the effectiveness of the BCP's</b> <i>In Progress</i> (10% complete) <b>Target Date:</b> <b>Next Review:</b> 14/05/2012 (Reviewed every 3 months)</p>	Morgan, Paul  Morgan, Paul  Morgan, Paul  Morgan, Paul	3 P(1) I(3)

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CRS0001	There are corporate standards, policies and procedures which need to be understood and applied consistently throughout the Council. The organisation has a history of focusing on delivery, not corporateness and there could be tensions, particularly with capacity constraints around key areas of focus. <b>Next Review:</b> 01/06/2012 (Reviewed every 4 months) <b>Risk Status:</b> Treat	Inconsistent application of corporate standards, policies and procedures	Some areas more robust than others Poorly tracked decisions Possible litigation Financial loss Qualified accounts Impact on Use of Resources Impact on management	Patterson, Harvey	8 P(4) I(2)	8 P(4) I(2)	<p><b>Reinforce the need to follow corporate policy &amp; processes</b> <i>In Progress</i> (50% complete) <b>Target Date:</b> <b>Next Review:</b> 31/05/2012 (Reviewed every 4 months)</p> <p><b>Implement QA and compliance testing programmes</b> <i>Proposed</i> (0% complete) <b>Target Date:</b> <b>Next Review:</b> 31/05/2012 (Reviewed every 4 months)</p> <p><b>Manager / Officer Handbook</b> <i>Under Review</i> (20% complete) <b>Target Date:</b> <b>Next Review:</b> 31/05/2012 (Reviewed every 4 months)</p> <p><b>Ensure corporate standards, policies and procedures are included in change programme</b> <i>In Progress</i> (10% complete) <b>Target Date:</b> <b>Next Review:</b> 31/05/2012 (Reviewed every 3 months)</p> <p><b>Review/amend induction to ensure overview of corporate standards, policies and procedures is included</b> <i>Approved</i> (0% complete) <b>Target Date:</b> <b>Next Review:</b> 31/05/2012 (Reviewed every 3 months)</p> <p><b>Ensure corporate communications processes reinforce corporate standards, policies and procedures</b> <i>Approved</i> (0% complete) <b>Target Date:</b> <b>Next Review:</b> 31/05/2012 (Reviewed every 3 months)</p>	Patterson, Harvey  Patterson, Harvey  Morris, Nikki  Mileham, Barry  Mileham, Barry  Mileham, Barry	2 P(1) I(2)



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CTY010003	TDC do not respond to a Child Protection issue. <b>Next Review:</b> 30/09/2012 (Reviewed every 6 months) <b>Risk Status:</b> Treat	Staff are not adequately trained to recognise a potential safeguarding issue. TDC do not comply with the KSCB Annual Review and Section 11 Audit.	The child's welfare is at risk. TDC are non-compliant with The Childrens' Act 1989 and 2004.	Wason, Janice	9 P(3) I(3)	3 P(1) I(3)	<p><b>Work with HR to ensure adequacy of policies and processes for CRB checks</b> <i>Approved (70% complete)</i> <b>Target Date:</b> 31/05/2012 <b>Next Review:</b> 24/03/2012 (Reviewed every 1 months)</p> <p><b>KSCB Annual Review and Section 11 Audit Completed</b> <i>In Progress (20% complete)</i> <b>Target Date:</b> 31/03/2012 <b>Next Review:</b> 31/05/2012 (Reviewed every 12 months)</p> <p><b>All staff trained to recognise a child at risk and the LA procedure</b> <i>Implemented</i> <b>Target Date:</b> 31/03/2012 <b>Next Review:</b> 30/09/2012 (Reviewed every 6 months)</p> <p><b>Report to Governance Board periodically on number of referrals</b> <i>Approved (0% complete)</i> <b>Target Date:</b> <b>Next Review:</b> 16/05/2012 (Reviewed every 3 months)</p>	Chadwick, Sophie  Phippin, Sarah  Phippin, Sarah  Phippin, Sarah	3 P(1) I(3)

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FIN0001	The Medium Term Financial Strategy contains a number of plans and assumptions around income and expenditure however there are a number of issues which if they occurred could impact on the plan. This could include issues around the capital programme, pay settlement, pension fund or government legislation changes. This may also include the possibility of one of the council's major customers going out of business. This is further impacted by the current economic volatility - 'credit crunch'. <b>Next Review:</b> 18/05/2012 (Reviewed every 2 months) <b>Risk Status:</b> Tolerate	Assumptions made differ from actual or something unexpected significantly impacts on the plan	Impact on reserves Requirement for remedial action Supplementary precept Need to prioritise / rationalise some areas Stop doing certain things Impact on service delivery Complaints Adverse media	Martin, Sarah	12 P(4) I(3)	6 P(2) I(3)	<p><b>Implement reviews to identify efficiencies and economies</b> <i>In Progress</i> (10% complete) <b>Target Date:</b> 31/10/2012 <b>Next Review:</b> 24/05/2012 (Reviewed every 3 months)</p> <p><b>Regularly monitor outstanding debt position</b> <i>Superseded</i> <b>Target Date:</b> <b>Next Review:</b> 18/05/2012 (Reviewed every 2 months)</p> <p><b>Regular review of Council's financial position, including review with managers &amp; clear communication of position</b> <i>In Progress</i> (70% complete) <b>Target Date:</b> <b>Next Review:</b> 18/05/2012 (Reviewed every 2 months)</p> <p><b>Set up process to deliver savings</b> <i>Superseded</i> <b>Target Date:</b> <b>Next Review:</b> 18/05/2012 (Reviewed every 2 months)</p>	Martin, Sarah  Martin, Sarah  Martin, Sarah  Martin, Sarah	4 P(2) I(2)

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FIN0004	The current economic climate may result in individuals and/or criminal fraternities taking greater risks and/or using more innovative technologies in order to obtain monies by illegal means. <b>Next Review:</b> 05/07/2012 (Reviewed every 6 months) <b>Risk Status:</b> Treat	The Council may not have sufficient resource dedicated to anti-fraud measures to deal with any increase in fraudulent activity; or may not have the capacity to keep up to date with new fraudulent methods.	Increase in incidence of successful frauds against the Council	Martin, Sarah	12 P(4) I(3)	6 P(3) I(2)	<p><b>Ensure anti-fraud policies remain fit for purpose</b> <i>In Progress</i> (50% complete) <b>Target Date:</b> 30/04/2012 <b>Next Review:</b> 21/09/2012 (Reviewed every 6 months)</p> <p><b>Raise staff awareness</b> <i>In Progress</i> (80% complete) <b>Target Date:</b> <b>Next Review:</b> 05/09/2012 (Reviewed every 6 months)</p> <p><b>Provide regular training to managers re fraud awareness</b> <i>In Progress</i> (75% complete) <b>Target Date:</b> 30/09/2012 <b>Next Review:</b> 21/06/2012 (Reviewed every 3 months)</p> <p><b>Carry out checks of ghost employees</b> <i>Approved</i> (0% complete) <b>Target Date:</b> 30/04/2012 <b>Next Review:</b> 21/09/2012 (Reviewed every 6 months)</p>	<p>Martin, Sarah</p> <p>Martin, Sarah</p> <p>Martin, Sarah</p> <p>Martin, Sarah</p>	3 P(3) I(1)