

Risk Ref	Cause	Trigger	Consequence	Assigned To	Uncntrl'd Rating	Current Rating	Control Measures	Assigned To	Residual Rating
RI001 Review frequency: Half-yearly Risk Status: Treat	The Council relies on staff consistently working for longer than their contracted hours.	Increasingly due to staff numbers having reduced to make budget savings.	<ul style="list-style-type: none"> * Increased sickness absence * Increased levels of overtime request * Potential health and safety issues * Breach of contract * Impact on service delivery * Staff dissatisfaction * Recruitment and retention issues * Impact on VFM 	Sarah Carroll	9 P(3) I(3)	9 P(3) I(3)	RI001.01 Analyse outcomes of staff survey to inform improvement programme <i>Implemented</i> Target date: 31-Aug-12 Review frequency: Quarterly RI001.04_GOV01.01 Report workforce information through SMT to identify issues and trends <i>Implemented</i> Target date: 31-Mar-13 Review frequency: Quarterly RI001.08 Use stress audit to inform an improvement plan <i>Not Started (0% complete)</i> Target date: 31-Dec-13 Review frequency: Quarterly	Sarah Carroll Karen Paton Mark Seed	4 P(2) I(2)

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<p>RI005</p> <p>Review frequency: Annually</p> <p>Risk Status: Treat</p>	<p>* 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.</p> <p>* Partners financial difficulties</p> <p>* Partners political difficulties</p> <p>* Partners dissatisfied with performance/quality of service</p> <p>* Non-compliance with Equality Act and PSED by partners and third party providers.</p>	<p>* 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.</p> <p>* Council invests more time and resource into partnerships than the benefit received</p> <p>* Breach of a main statutory responsibility</p> <p>* 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</p> <p>* Do not have capacity within resources to ensure compliance</p> <p>* Disinvestment in partnerships</p> <p>* Failing to make reasonable adjustments</p> <p>* Partnership arrangements providing inaccessible services and/or failure to respond appropriately to access complaints</p> <p>* Exhibiting discriminatory practices contrary to Equality Act & PSED requirements</p> <p>* Making non-compliant business/service decisions</p> <p>* Partner(s) decide to withdraw from a shared service</p>	<p>* Financial loss, wasted resources, or loss of funding</p> <p>* Additional financial responsibilities for remaining partners</p> <p>* Effort expended on other / lower priorities</p> <p>* Inability to meet targets</p> <p>* Reduction of service quality/performance</p> <p>* Differing priorities - so effort is expended on other/lower priorities</p> <p>* Expend extra effort to manage partnership arrangements</p> <p>* Dissatisfaction/Frustration and loss of confidence</p> <p>* Need to unwind and reverse strategic direction</p> <p>* Failure of statutory responsibilities</p> <p>* Partners direction changes adversely</p> <p>* Unitary model imposed</p> <p>* Political unrest</p> <p>* Differing priorities</p> <p>* Direction of partnership changes</p> <p>* Withdrawal of partners</p> <p>* Expend extra effort to manage partnership arrangements</p> <p>* Legal costs</p> <p>* Cancellation of projects</p> <p>* Governance issues arising from unclear partnership agreements and lack of exit strategy</p>	Karen Paton	9 P(3) I(3)	12 P(3) I(4)	<p>RI005.02 Maintain clientside capacity for effective partnership management <i>In Progress (90% complete)</i></p> <p>Target date: 31-Mar-13</p> <p>Review frequency: Half yearly</p> <p>RI005.03 Review governance arrangements & monitoring after transfer of HR to EK Services <i>Implemented</i></p> <p>Target date: 31-Oct-12</p> <p>Review frequency: Quarterly</p> <p>RI005.06 Donna Reed to attend Senior Management Team and Managers Exchange <i>Implemented</i></p> <p>Target date: 31-Mar-13</p> <p>Review frequency: Half yearly</p> <p>RI005.07 On-going work at CEx level for increasing partnership working <i>In Progress (75% complete)</i></p> <p>Target date: 31-Mar-13</p> <p>Review frequency: Half yearly</p> <p>RI005.08 Use the performance management process to monitor the achievements of partnerships</p>	<p>Sophie Chadwick</p> <p>Sophie Chadwick</p> <p>Sue McGonigal</p> <p>Sue McGonigal</p> <p>Sophie Chadwick</p>	3 P(1) I(3)

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							<p><i>In Progress (75% complete)</i></p> <p>Target date: 31-Mar-13</p> <p>Review frequency: Half yearly</p>		
							<p>RI005.09 Record the governance arrangements and agreed benefits / purpose of partnerships</p> <p><i>In Progress (40% complete)</i></p> <p>Target date: 30-Sep-13</p> <p>Review frequency: Annually</p>	Sophie Chadwick	
							<p>RI005.10 Request outline business case to be produced to highlight resource requirements up front</p> <p><i>Implemented</i></p> <p>Target date: 30-Sep-12</p> <p>Review frequency: Monthly</p>	Sarah Carroll	
							<p>RI005.11_CST07.02 Refresh procurement strategy annually to meet changing needs of the organisation</p> <p><i>In Progress (10% complete)</i></p> <p>Target date: 31-Aug-13</p> <p>Review frequency: Annually</p>	Karen Paton	
							<p>RI005.12 Contract/ partnership management to ensure arrangements for compliance PSED & Equality Act</p> <p><i>Implemented</i></p> <p>Target date: 31-Mar-13</p> <p>Review frequency: Annually</p>	Sophie Chadwick	

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							<p>RI005.13 Ensure all EK Services staff know about compliance with Equality duty <i>In Progress (50% complete)</i> Target date: 31-Mar-13 Review frequency: Half yearly</p>	Sophie Chadwick	
							<p>RI005.14 Continued attendance at East Kent Chief Exec forum <i>In Progress (50% complete)</i> Target date: 31-Mar-13 Review frequency: Half yearly</p>	Sue McGonigal	
							<p>RI005.15 Continued client side meetings <i>Implemented</i> Target date: 31-Mar-13 Review frequency: Annually</p>	Sophie Chadwick	
							<p>RI005.16 Undertake annual review of partnering for sensitivity and risk <i>In Progress (50% complete)</i> Target date: 31-Mar-13 Review frequency: Annually</p>	Sophie Chadwick	
							<p>RI005.17 Refresh Partnership Framework and update Partnership Register <i>In Progress (90% complete)</i> Target date: 31-Mar-13 Review frequency: Annually</p>	Sophie Chadwick	

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RI007 Review frequency: Half-yearly Risk Status: Treat	With the need for the Council to reduce expenditure, and amend processes as a result of this, there is an increased likelihood of industrial action.	<ul style="list-style-type: none"> * Failure to follow agreed industrial relations consultation mechanism * Lack of compliance with agreed processes for staffing issues * Challenge to business decisions by staff * Increase in applications to Employment Tribunals 	<ul style="list-style-type: none"> * Worsening employee/ industrial relations * Damage to Reputation * Financial Cost * Political controversy 	Karen Paton	<div style="background-color: #FFC300; padding: 2px; text-align: center;"> 6 P(3) I(2) </div>	<div style="background-color: #FFC300; padding: 2px; text-align: center;"> 6 P(3) I(2) </div>	RI007.01 Robust HR policies and procedures <i>In Progress (80% complete)</i> Target date: 31-Mar-13 Review frequency: Annually	Karen Paton	<div style="background-color: #FFC300; padding: 2px; text-align: center;"> 4 P(2) I(2) </div>
							RI007.02 Performance monitoring of workforce information <i>In Progress (99% complete)</i> Target date: 31-Mar-13 Review frequency: Quarterly	Karen Paton	
							RI007.03 Culture Change Programme <i>In Progress (95% complete)</i> Target date: 31-Mar-13 Review frequency: Quarterly	Sarah Carroll	
							RI007.04 Ongoing Employee Council forum meetings <i>In Progress (80% complete)</i> Target date: 31-Mar-13 Review frequency: Annually	Sarah Carroll	

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RI008 Review frequency: Half-yearly Risk Status: Treat	Health and safety procedures are not followed.	Member of staff injured undertaking Council duties	* Possible corporate manslaughter * Failure of statutory requirements * Insurance claim against the Council * Loss of reputation * Adverse media * Financial/ reputational loss due to change in HSE requirements	Mark Seed	9 P(3) I(3)	6 P(2) I(3)	RI008.01 Use Health and Safety weeks to improve knowledge <i>Implemented</i> Target date: 31-Dec-13 Review frequency: Half yearly RI008.02 Liaise with EKHRP to review H&S risk assessment process <i>In Progress (80% complete)</i> Target date: 31-Mar-13 Review frequency: Half yearly RI008.03 Maintain Health & Safety Committee <i>Implemented</i> Target date: 31-Mar-13 Review frequency: Half yearly RI008.04 Liaise with EKHRP to implement recommendation from 2009 internal audit <i>Implemented</i> Target date: 31-Jan-13 Review frequency: Half yearly	Mark Seed Mark Seed Mark Seed Mark Seed	3 P(1) I(3)

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<p>RI010</p> <p>Review frequency: Half-yearly</p> <p>Risk Status: Treat</p>	<p>There is a mismatch between the large number of assets owned by the council and the low level of funding available to maintain these appropriately. This increases the investment needs for the future to keep these fit for purpose, and to prevent the development of significant health and safety risks. This is particularly relevant for fixed assets that do not generate significant income, but still need to be maintained.</p>	<p>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.</p>	<ul style="list-style-type: none"> * 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 	Mark Seed	12 P(3) I(4)	9 P(3) I(3)	<p>RI010.01 Draft & Implement Asset Management Strategy <i>In Progress (50% complete)</i></p> <p>Target date: 31-Jul-14</p> <p>Review frequency: Half yearly</p> <p>RI010.02 Prioritise maintenance spending on assets to increase revenue returns <i>In Progress (25% complete)</i></p> <p>Target date: 31-Mar-14</p> <p>Review frequency: Half yearly</p>	<p>Mark Seed</p> <p>Mark Seed</p>	4 P(2) I(2)
<p>RI011</p> <p>Review frequency: Quarterly</p> <p>Risk Status: Treat</p>	<p>Emergency Plans and Functional Plans are out of date, and need annual review. Business Continuity plans are out of date, and need annual review.</p>	<p>A business continuity incident occurs and the organisation fails to respond effectively An emergency incident occurs and the organisation fails to respond effectively because the emergency plan is inadequate</p>	<ul style="list-style-type: none"> * 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 	Mike Humber	16 P(4) I(4)	6 P(2) I(3)	<p>RI011.01 Review and revise the council's BCP <i>In Progress (95% complete)</i></p> <p>Target date: 31-Mar-13</p> <p>Review frequency: Quarterly</p> <p>RI011.02 Test effectiveness of Business Continuity Plan <i>In Progress (70% complete)</i></p> <p>Target date: 31-Mar-13</p> <p>Review frequency: Quarterly</p> <p>RI011.03 Undertake annual review of Emergency Plans and Functional Plans <i>In Progress (70% complete)</i></p> <p>Target date: 31-Mar-13</p> <p>Review frequency: Quarterly</p>	<p>Paul Morgan</p> <p>Paul Morgan</p> <p>Paul Morgan</p>	3 P(1) I(3)

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							RI011.04 Test effectiveness of emergency plans <i>In Progress (70% complete)</i> Target date: 31-Mar-13 Review frequency: Monthly	Paul Morgan	
RI012 Review frequency: Quarterly Risk Status: Treat	Requirement to roll-out new waste and recycling collection system by December 2013	Failure to complete roll-out of required waste & recycling system by December 2013	* Financial penalties under East Kent five-way agreement * Reputational damage * Reduced recycling rates * Political controversy	Graeme Lawes	9 P(3) I(3)	9 P(3) I(3)	RI012.01 Implement effective management of project <i>Implemented</i> Target date: 30-Sep-12 Review frequency: Monthly RI012.02 Procurement of waste collection fleet <i>In Progress (10% complete)</i> Target date: 30-Sep-13 Review frequency: Quarterly	Graeme Lawes Graeme Lawes	6 P(2) I(3)
RI013 Review frequency: Quarterly Risk Status: Treat	Market conditions prevent the Council from realising the value of its East Kent Opportunities assets	Market values remain depressed over the medium or long term	* Inability to sell or let property on realistic terms * Loss of income * Frustration of capital asset strategy * Reputational loss * Failure to meet obligations * Damaged Partner relationships	Madeline Homer	9 P(3) I(3)	9 P(3) I(3)	RI013.01 Monitor implementation of management plan <i>In Progress (5% complete)</i> Target date: 31-Mar-13 Review frequency: Quarterly	Madeline Homer	3 P(3) I(1)

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RI015 Review frequency: Half-yearly Risk Status: Treat	Housing Intervention Project fails to achieve outcomes	* Government policy works against local initiatives (eg Benefit changes adversely affects people's ability to pay for housing) * Judicial review of selective licensing decides against our model for housing intervention * Double dip recession adversely impacts on housing affordability * Loss of staffing resources	* Cliftonville West housing market remains unbalanced * Reputational damage * The Council is unable to deliver the project * Political Controversy	Tanya Wenham	9 P(3) I(3)	9 P(3) I(3)	RI015.01 Monitor effects of Policy & adjust practices <i>In Progress (50% complete)</i> Target date: 31-Mar-17 Review frequency: Quarterly RI015.02 Lobbying of appropriate department of central government via MPs <i>Approved (0% complete)</i> Target date: 31-Dec-13 Review frequency: Quarterly	Tanya Wenham Madeline Homer	6 P(2) I(3)
RI017 Review frequency: Quarterly Risk Status: Treat	Failure to make progress on the Dreamland site	* Planning appeal determination rules against the Council's Compulsory Purchase Order (CPO) * Planning appeal determination rules in favour of the Council's Compulsory Purchase Order (CPO) but the owners start a legal challenge against the determination * Insufficient funding from the Council	* Further delays to start of work on the site * Further costs * Reputational damage * Political controversy	Robert Hetherington	8 P(2) I(4)	8 P(2) I(4)	RI017.01 Clear recording of TDC decisions <i>In Progress (70% complete)</i> Target date: 31-Mar-13 Review frequency: Monthly RI017.02 Regular monitoring of Dreamland project <i>In Progress (10% complete)</i> Target date: 31-Dec-16 Review frequency: Quarterly	Robert Hetherington Robert Hetherington	4 P(1) I(4)

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<p>RI018</p> <p>Review frequency: Quarterly</p> <p>Risk Status: Treat</p>	<p>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'.</p>	<p>*Assumptions made in the Medium Term Financial Strategy differ from actual or something unexpected significantly impacts on the plan * Further funding cuts by central government</p>	<p>* Impact on reserves * Requirement for remedial action * Supplementary precept * Need to prioritise / rationalise some areas * Stop doing certain things * Impact on service delivery - cuts in services, staff reductions, inability to achieve objectives * Complaints * Adverse media</p>	Sarah Martin	<p>12 P(4) I(3)</p>	<p>6 P(2) I(3)</p>	<p>RI018.01 Regularly attending finance groups to obtain insight into positions on government funding <i>In Progress (75% complete)</i> Target date: 31-Mar-13 Review frequency: Quarterly</p> <p>RI018.02 Initiate reviews to identify efficiencies and economies <i>In Progress (10% complete)</i> Target date: 1-May-13 Review frequency: Quarterly</p> <p>RI018.04 Monitoring of finance position of the Council <i>In Progress (75% complete)</i> Target date: 31-Mar-13 Review frequency: Monthly</p>	<p>Sarah Martin</p> <p>Julie Compton</p> <p>Sarah Martin</p>	<p>4 P(2) I(2)</p>
<p>RI019</p> <p>Review frequency: Half-yearly</p> <p>Risk Status: Treat</p>	<p>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. An officer or member may also be more inclined to offer or accept a bribe.</p>	<p>The Council may not have sufficient resource dedicated to anti-fraud and anti-bribery measures to deal with any increase in fraudulent or bribery activity; or may not have the capacity to keep up to date with new fraudulent or bribery methods.</p>	<p>Increase in incidence of successful frauds or bribery against the Council</p>	Sarah Martin	<p>12 P(4) I(3)</p>	<p>6 P(3) I(2)</p>	<p>RI019.01 Ensure anti-fraud & anti-bribery policies remain fit for purpose <i>Implemented</i> Target date: 31-Dec-12 Review frequency: Half yearly</p> <p>RI019.02 Raise staff awareness of fraud risks & anti-bribery policy & procedure <i>Implemented</i> Target date: 31-Dec-12 Review frequency: Half yearly</p>	<p>Sarah Martin</p> <p>Sarah Martin</p>	<p>4 P(2) I(2)</p>

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							<p>RI019.03 Provide regular training to managers re fraud & anti-bribery awareness <i>In Progress (75% complete)</i> Target date: 31-Mar-13 Review frequency: Quarterly</p>	Sarah Martin	
							<p>RI019.04 Carry out checks of ghost employees <i>Implemented</i> Target date: 30-Apr-12 Review frequency: Half yearly</p>	Sarah Martin	
							<p>RI019.05 Raise Members' awareness of fraud issues & of anti-bribery policy & procedure <i>Implemented</i> Target date: 30-Sep-12 Review frequency: Half yearly</p>	Sarah Martin	

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<p>RI020</p> <p>Review frequency: Quarterly</p> <p>Risk Status: Treat</p>	<p>The Council fails to approve a new localised council tax discount scheme by 31 January 2013 for implementation with effect from 1 April 2013. The scheme is to deliver welfare entitlement savings of 10% whilst at the same time protecting payments to pensioners and other (yet to be defined) vulnerable groups. The implementation of a revised scheme is dependent on the software suppliers being able to make the necessary changes to the system within a very tight timeframe.</p>	<p>* The council's software supplier is unable to make the necessary changes within the required deadline. * Members fail to agree a scheme that delivers the required level of savings.</p>	<p>The council would need to find the savings required (which are approximately £230k) from within existing budgets or from raising council tax.</p>	<p>Sarah Martin</p>	<p>9 P(3) I(3)</p>	<p>6 P(2) I(3)</p>	<p>RI020.01 Monitoring of Council's financial Position in respect of CT discounts <i>In Progress (10% complete)</i> Target date: 31-Mar-14 Review frequency: Monthly</p>	<p>Sarah Martin</p>	<p>4 P(2) I(2)</p>
<p>RI022</p> <p>Review frequency: Quarterly</p> <p>Risk Status: Treat</p>	<p>Introduction of Welfare Reform impacting on provision of local services and potentially causing financial problems for residents.</p>	<p>Change in legislation leads to increased areas of deprivation and more social and administrative problems for residents, and for public and voluntary services.</p>	<p>1) Increased poverty arising from financial loss to residents 2) Increased workload for benefits staff 3) Increased workload for Gateway staff 4) Increased workload for TDC and shared services housing teams 5) Increased challenges for provision of both temporary and permanent social housing 6) Challenges to public infrastructure support teams (eg social services, police, health, schools, community safety, waste & recycling and environmental health) 7) Financial loss to TDC and shared services</p>	<p>Janice Wason</p>	<p>16 P(4) I(4)</p>	<p>16 P(4) I(4)</p>	<p>RI022.01 Ensure by monitoring that Operational controls are implemented <i>In Progress (5% complete)</i> Target date: 31-Mar-15 Review frequency: Monthly</p>	<p>Janice Wason</p>	<p>9 P(3) I(3)</p>

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RI023 Review frequency: Quarterly Risk Status: Treat	The need to develop a new pay & reward structure that is fair, equitable, transparent and affordable; that rewards employees for their contribution to the achievement of organisational priorities and targets increase the possibility of industrial action.	<ul style="list-style-type: none"> · detrimental financial impact on groups of staff · failure to follow correct consultation processes · combined impact with other economic changes i.e. Welfare Reform · failure to reach agreement on a new scheme with Unions requiring dismissal and reengagement · failure to engage and communicate effectively with staff · decreased staff morale 	<ul style="list-style-type: none"> · loss of staff · damage to employee relations · demotivated workforce · financial cost · reputational damage · provision of limited or no service for a period of time 	Sarah Carroll	12 P(4) I(3)	6 P(2) I(3)	<p>RI023.05 Regular meetings between management & unions <i>Implemented</i></p> <p>Target date: 31-Mar-14</p> <p>Review frequency: Quarterly</p> <p>RI023.06 Mitigations for staff detrimentally affected <i>Implemented</i></p> <p>Target date: 31-Mar-14</p> <p>Review frequency: Quarterly</p> <p>RI023.07 CEx Briefings to all staff on Pay & reward project <i>Implemented</i></p> <p>Target date: 31-Mar-14</p> <p>Review frequency: Quarterly</p> <p>RI023.08 Training to managers on supporting staff through the process <i>Implemented</i></p> <p>Target date: 31-Mar-14</p> <p>Review frequency: Quarterly</p> <p>RI023.09 Equality Impact Assessment on proposed scheme <i>Implemented</i></p> <p>Target date: 31-Mar-13</p> <p>Review frequency: Quarterly</p>	Sarah Carroll Sarah Carroll Sarah Carroll Sarah Carroll Sarah Carroll	6 P(2) I(3)