

Objective Keyword: Corporate Risk			
Risk title	Lead officer	Description of control measure	Latest comment on Inphase
• RI001 Staff work hours and stress	Charlie Greenway	RI001.01 Analyse outcomes of staff survey to inform improvement programme	This is completed and the analysis (both quantitative and qualitative) has been used to inform the strategic priorities for the organisation. Key strategic priorities which directly relate to this analysis are: internal communications, staff evolution and development; corporate leadership capability and capacity and leadership development.
• RI001 Staff work hours and stress	Charlie Greenway	RI001.04_GOV01.01 Report workforce information through SMT to identify issues and trends	SMT meet monthly with EKHR who report on key workforce metrics, including a specific focus on sickness absence, and other intelligence collected by EKHR in the performance of their service within TDC. This forms the basis of discussion, escalation of concerns and action where required.
• RI001 Staff work hours and stress	Mark Seed	RI001.08 Use stress audit to inform an improvement plan	The initial staff stress audit did not provide sufficient useful information to allow effective analysis leading to to informed actions. A further survey will be undertaken, but this will require the Communications section to be fully staffed before this can occur due to other external priority projects underway. This has been discussed and agreed with the unions at the Health and Safety Committee.
• RI001 Staff work hours and stress	Charlie Greenway	RI001.09 End-of-year annual leave carry over & flexi-time	The data relating to this has been collated and analysis will take place during October 2013 to identify whether there are any areas of concern within the organisation.
• RI001 Staff work hours and stress	Charlie Greenway	RI001.10 Hold managers workshop to address issue of excessive hours	Once analysis of the end-of-year annual leave carry-over and flexi-time is completed, services / teams / directors or individual managers will be identified for specific and targeted
• RI005 Shared service arrangements failure	Sophie Chadwick	RI005.02 Maintain clientside capacity for effective partnership management	Handover document drafted which identifies owners for aspects of client role; there is some uncertainty in relation to responsibilities within the client role (notably ICT) where future ownership is not yet clear.
• RI005 Shared service arrangements failure	Sophie Chadwick	RI005.03 Review governance arrangements & monitoring after transfer of HR to EK Services	As part of implementing the restructure governance arrangements will need to be reviewed to ensure they are fit for purpose.
• RI005 Shared service arrangements failure	Sue McGonigal	RI005.06 Donna Reed to attend Senior Management Team and Managers Exchange	Regular attendance at SMT enables the strategic and operational risks of TDC and EKS to be identified, considered and appropriate mitigating action planned; in addition, it allows the CEx to be fully briefed on the strategic issues as they relate to the other partner councils, so that the partnership risk is able to be considered by all partners in an informed manner.
• RI005 Shared service arrangements failure	Sue McGonigal	RI005.07 On-going work at CEx level for increasing partnership working	Ongoing discussions with EKS Director and East Kent partners allows the opportunities for future partnerships to be explored; however from recent conversations it appears that the appetite of EK partners to extend the services offered by EKS has diminished. This potentially increases the risk to the partnership as EKS is unable to increase service resilience or economies of scale, which will make it more difficult to deal with service changes brought about by the introduction of Universal Credit.
• RI005 Shared service arrangements failure	Sophie Chadwick	RI005.08 Use the performance management process to monitor the achievements of partnerships	Currently there are regular client meetings where performance is scrutinised. This will need to be continued in a similar form following the restructure.

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• RI005 Shared service arrangements failure	Sophie Chadwick	RI005.09 Record the governance arrangements and agreed benefits / purpose of partnerships	A partnership register and framework was updated in December 2012. Ownership will need to be clarified as part of the new structure.
• RI005 Shared service arrangements failure	Karen Paton	RI005.10 Request outline business case to be produced to highlight resource requirements up front	As the appetite for new shared services has reduced this control measure is not relevant. Suggest this is withdrawn.
• RI005 Shared service arrangements failure	Sophie Chadwick	RI005.12 Contract/ partnership management to ensure arrangements for compliance PSED & Equality Act	This is addressed in the council's new equalities policy and plan as approved in 2013 by cabinet.
• RI005 Shared service arrangements failure	Sophie Chadwick	RI005.13 Ensure all EK Services staff comply with Equality duty	Every policy produced by EK Services is now assessed for equalities impact, providing assurance that this control measure is in place. Ownership of equalities responsibilities sits with the managers within EK Services (as it also sits with managers within TDC).
• RI005 Shared service arrangements failure	Sue McGonigal	RI005.14 Continued attendance at East Kent Chief Exec forum	Regular attendance at the East Kent Chief Exec Forum allows the partnership strategy to be developed, and its delivery monitored. This allows risks to be properly assessed and mitigating action planned for, and for any future opportunities for expansion of the partnership to be properly explored.
• RI005 Shared service arrangements failure	Sophie Chadwick	RI005.15 Continued client side meetings	Currently there are regular client meetings where performance is scrutinised. This will need to be continued in a similar form following the restructure.
• RI005 Shared service arrangements failure	Sophie Chadwick	RI005.16 Undertake annual review of partnering for sensitivity and risk	Initial concerns have now been reconciled through ongoing relationship management. It is proposed that this control measure is withdrawn.
• RI005 Shared service arrangements failure	Sophie Chadwick	RI005.17 Refresh Partnership Framework and update Partnership Register	A partnership register and framework was updated in December 2012. Ownership will need to be clarified as part of the new structure.
• RI007 Industrial action by employees	Charlie Greenway	RI007.01 Robust HR policies and procedures	The council have the following policies in place: Employee Council and Trade Union Recognition Agreement and a Unison and GMB Recognition and Collective Bargaining Agreement. These give a robust and agreed framework for the consultation and negotiations relating to HR policies and procedures. Within the last year these have been used successfully for the consultation and negotiation of a new pay and reward policy. Following this exercise a review was undertaken so that areas for improvement for future negotiations can be identified and noted. This is a robust and effective process for managing the risk of industrial action.
• RI007 Industrial action by employees	Charlie Greenway	RI007.02 Performance monitoring of workforce information	SMT meet monthly with EKHR who report on key workforce information. This provokes discussion and agreement of actions required to ensure that the council manages it's risks in relation to cases that may result in an employment tribunal and the potential for industrial action.

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• RI007 Industrial action by employees	Charlie Greenway	RI007.03 Culture Change Programme	Appraisal training for all managers and staff was completed by March 2013. The council achieved a 100% appraisal completion rate for the end of year appraisals 2012/13. All appraisals went through a moderation process to ensure that scoring was applied consistently and with no indirect discrimination. Only 3 appeals against appraisal scores have been received and these will be heard in September. The process has been reviewed to identify areas for improvement prior to the next round of appraisals which will directly affect pay and work is ongoing to develop guidance and tools for managers and staff and to design and deliver training for managers. This work will be complete by November 2013.
• RI007 Industrial action by employees	Charlie Greenway	RI007.04 Ongoing Employee Council forum meetings	Employee Council meetings are held monthly with a member of SMT and the Director of EK Services in attendance and the EKHR Business Partner as Chair. Meetings are constructive and an opportunity for 2-way feedback and information sharing. Relations with the unions are good.
• RI008 Health & Safety risk to staff	Mark Seed	RI008.01 Use Health and Safety weeks to improve knowledge	Health and safety weeks are now being run on an annual basis to coincide with the national week organised by the Health and Safety Executive. These are reviewed by the H&S committee to discuss the areas of focus for the week.
• RI008 Health & Safety risk to staff	Mark Seed	RI008.02 Liaise with EKHRP to review H&S risk assessment process	The EKS health and safety advisors have been working on a proposal that would work across the 3 east Kent districts. As significant progress has been made an update of this was provided at the H&S Committee meeting on 22nd March 2013.
• RI008 Health & Safety risk to staff	Mark Seed	RI008.03 Maintain Health & Safety Committee	<p>The H&S committee is running on a quarterly cycle with representation from all the departments and key service risk areas, and includes representation from both Unison and GMB. A regular agenda is set up to concentrate on overall results in key areas, as well as significant issues that arise and cannot be dealt with at a service level.</p> <p>There is good representation from all the main departments across the council, who also contribute to the identification of issues and developing solutions. In addition, the health and safety advisors from EKHR attend each meeting to provide the professional support required.</p> <p>The meeting is very effectively supported by the PA to the Director of Operational Services in organising meeting, dealing with minutes and agendas, and chasing action on the outstanding matters list.</p>
• RI008 Health & Safety risk to staff	Mark Seed	RI008.04 Liaise with EKHRP to implement recommendation from 2009 internal audit	Health and safety officers from EK Services attend every meeting of the H&S committee, with the audit recommendations delivery being part of the regular business reviewed.

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• RI010 Appropriate property Asset management	Mark Seed	RI010.01 Draft & Implement Asset Management Strategy	With the arrival of the new Property Manager the process to draft the new Asset Management Strategy has started. A review of the disposal process has been identified as a necessary part of a wider Asset Management Strategy. A project group to develop the Asset Management Strategy has been formed. This includes staff from services across the council who have a direct role in the management of significant council assets. It is intended to bring the AMS forward for consideration by Scrutiny and then adoption by Cabinet in the first half of 2014.
• RI010 Appropriate property Asset management	Mark Seed	RI010.02 Prioritise maintenance spending on assets to increase revenue returns	<p>The new Property Manager has instituted a programme of assessments of significant properties to ascertain the balance between income and expenditure, together with significant investment needs, to allow a structured programme of improvement, maintenance and disposal decisions to be made.</p> <p>A commercial property audit has been completed and identified areas for more work that is already underway:</p> <ul style="list-style-type: none"> • Inspection of commercial property - enhancing the documentation associated with inspections to ensure lessees are complying with covenants, but also to allow the identification of investment opportunities to increase levels of return. This also includes vacant units to deal with matters associated with insurance cover. • Inspection of public spaces - enhancing the resources available to undertake programmed inspections of facilities, structures and surfaces in public spaces to meet our safety and insurance obligations. • Resources - reviewing of commercial land and property holdings to ensure these are providing a sufficient return in relation to investment needs to help support enhanced maintenance activities across the council's remaining responsibilities.
• RI011 Emergency plan & Business Continuity Plan accuracy	Paul Morgan	RI011.01 Test effectiveness of Business Continuity Plan (Old)	An exercise has been held to review the Business Continuity Plan with relevant managers and staff on the 7th March 2013. Outcomes from the exercise are to be used to re-model the Plan through a Business Continuity working group, with a further test being planned for the early part of 2014.
• RI011 Emergency plan & Business Continuity Plan accuracy	Paul Morgan	RI011.02 Review and revise the council's BCP	The business Continuity Plan has been revised into a single document. A review exercise held on the 7th March 2013 showed that further work is necessary to update information on service areas and to identify business continuity arrangements with East Kent Services. Consultation with staff needs to include a wider group and provide staff with key information on their roles during an incident.
• RI011 Emergency plan & Business Continuity Plan accuracy	Paul Morgan	RI011.03 Test effectiveness of revised Business Continuity Plan	A review of the plan has been undertaken on 7th March 2013, with a proposed test event being planned for early 2014 to reflect the changes that are being undertaken to the plan.
• RI011 Emergency plan & Business Continuity Plan accuracy	Paul Morgan	RI011.04 2013 Test for effectiveness of emergency plan	Major Emergency Plan exercise held on the 7th March 2013. Plan deemed to be robust and fit for purpose.
• RI011 Emergency plan & Business Continuity Plan accuracy	Paul Morgan	RI011.05 Undertake annual review of Major Emergency Plans	Following the initial test exercise different aspects of the Major Emergency Plan will be tested on an annual basis and will lead to plan amendments if these areas are required.

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• RI011 Emergency plan & Business Continuity Plan accuracy	Paul Morgan	RI011.06 Undertake annual review of Functional Plans	These will form part of the review of the wider emergency plan with different services being reviewed annually.
• RI011 Emergency plan & Business Continuity Plan accuracy	Paul Morgan	RI011.07 Test effectiveness of District Emergency Centre (DEC)	This forms part of the testing of the Major Emergency Plan and was a feature of the test exercise undertaken on 7th March 2013.
• RI012 New waste & recycling collection system	Graeme Lawes	RI012.02 Procurement of waste collection fleet	All 26 & 18 tonne vehicles procured - 26t delivered awaiting 18t. Narrow access vehicles design has been approved, will begin procurement procedures
• RI012 New waste & recycling collection system	Graeme Lawes	RI012.03 Delivery of plan for communication with the public	An extensive and varied communications plan has been undertaken to ensure maximum outreach. The activity undertaken includes: a dedicated website www.thanet.gov.uk/recycle4thanet and a dedicated automated information phone line. A Teaser leaflet containing details of the improved scheme and roadshow dates hand delivered to every household in Thanet in July. 17 roadshows showcasing the new containers and frigheaters staffed by TDC staff across the district throughout August/September. Press ads have taken out in 6 local publications. Advertising on Thanet Bus rears and interiors. 6 sheet and 48 sheet posters in high footfall areas. An animated education video has been produced and is showing at Westwood Cross for 1 week and then online. Regular press releases and Twitter activity. Presentations to Parish Councils and Community Groups. Staff and member briefings and internal posters. Welcome packs containing a brochure, collection calendar, bin stickers and sample compostable bags will be hand delivered to all households with their new containers. Direct mailing to customers who either will not receive the new scheme or will receive a bespoke version.
• RI012 New waste & recycling collection system	Graeme Lawes	RI012.04 Ensure suitable location for maintaining the fleet	The majority of the previous concerns over the suitability of the facilities at the depot have now been overcome. An assessment is currently being carried out to determine whether a new scissor lift will be needed. The cost of this will be considerably less than the £80,000 that would have been required for a workshop to be set up at the Port.
• RI013 Failure to realise value of East Kent Opportunities assets	Madeline Homer	RI013.01 Monitor implementation of management plan	A planning application regarding Eurokent is due to go to Planning Committee in October for permission to deliver 500 residential units. Manstone Business Park has seen the successful sale of one plot to a new business moving in and the extension of the plot of an already established business.
• RI015 Housing Intervention Project Failure	Richard Hopkins	RI015.01 Monitor effects of Policy & adjust practices	All external and internal influences are being monitored as far as possible and so far there have been no significant impacts on the delivery of the project.
• RI015 Housing Intervention Project Failure	Madeline Homer	RI015.02 Lobbying of appropriate department of central government via MPs	The site has transferred putting the council in control of the site. But we are subject to the Court of Appeal hearing on the 25th and 26th September.
• RI017 Failure of progress on Dreamland site	Madeline Homer	RI017.01 Clear recording of TDC decisions	There is a project plan for the heritage amusement park site which is being progressed in partnership with the Dreamland Trust. We are now initiating survey work on the scenic railway and other structures.
• RI017 Failure of progress on Dreamland site	Grant Burton	RI017.02 Regular monitoring of Dreamland project	
• RI018 Assumptions of Medium Term Financial Strategic prove invalid	Sarah Martin	RI018.01 Regularly attending finance groups to obtain insight into positions on government funding	Finance staff regularly attend Chief Accountants, KFOAs, Treasury Forums and Housing Forums to keep up to date with new developments and with the latest finance issues.

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• RI018 Assumptions of Medium Term Financial Strategic prove invalid	Sarah Martin	RI018.02 Initiate reviews to identify efficiencies and economies	Meetings are being held with all managers to identify budget savings and future efficiencies
• RI018 Assumptions of Medium Term Financial Strategic prove invalid	Sarah Martin	RI018.04 Monitoring of finance position of the Council	The financial position of the Council is reported to SMT and to Cabinet on a quarterly basis.
• RI018 Assumptions of Medium Term Financial Strategic prove invalid	Sarah Martin	RI018.06 Deliver service review programme to provide efficiencies & economies	The first service review has now been undertaken and other service areas will follow
• RI019 Problem with fraud / bribery	Sarah Martin	RI019.01 Ensure anti-fraud & anti-bribery policies remain fit for purpose	These policies have been regularly updated and taken to G&A for approval
• RI019 Problem with fraud / bribery	Sarah Martin	RI019.02 Raise staff awareness of fraud risks & anti-bribery policy & procedure	The policies are available on the intranet for staff. The policies have also been a topic within the staff development sessions
• RI019 Problem with fraud / bribery	Sarah Martin	RI019.03 Provide regular training to managers re fraud & anti-bribery awareness	Managers have received training via the Budget Managers forum and at the SMT Managers Forum
• RI019 Problem with fraud / bribery	Sarah Martin	RI019.04 Carry out checks of ghost employees	An annual check is carried out on ghost employees
• RI019 Problem with fraud / bribery	Sarah Martin	RI019.05 Raise Members' awareness of fraud issues & of anti-bribery policy & procedure	Training sessions are carried out annually at Governance and Audit and as part of induction training for new members
• RI020 Failure to implement localised council tax discount scheme	Sarah Martin	RI020.01 Monitoring of Council's financial Position in respect of CT discounts	The Financial Services Manager is meeting regularly with her counterparts at the other Kent authorities to monitor performance against the scheme
• RI022 Welfare Reform Demands	Steve Tebbett	RI022.01 Ensure by monitoring that Operational controls are implemented	Regular meetings of a multi-disciplinary welfare reform group update provides updates on welfare reform issues. Following review of monitoring arrangements by other authorities, and in concert with KCC, regular monitoring of changes in housing, benefits and social wellbeing is expected to be finalised in September - so that impacts can be tracked. Also, an overview of effects in Thanet of welfare reform is scheduled to be written by the end of November 2013.
• RI023 Pay & Reward Structure	Charlie Greenway	RI023.05 Regular meetings between management & unions	These took place between September 2012 and February 2013.
• RI023 Pay & Reward Structure	Charlie Greenway	RI023.06 Mitigations for staff detrimentally affected	Through the negotiations between management and the unions, mitigations for staff detrimentally affected were agreed.
• RI023 Pay & Reward Structure	Charlie Greenway	RI023.07 CEx Briefings to all staff on Pay & reward project	Staff Briefings took place at the start of consultation and at the end of the negotiations.
• RI023 Pay & Reward Structure	Charlie Greenway	RI023.08 Training to managers on supporting staff through the process	Regular briefings and guidance was provided to managers throughout the process.
• RI023 Pay & Reward Structure	Charlie Greenway	RI023.09 Equality Impact Assessment on proposed scheme	An equality impact assessment was undertaken during the consultation period and the results were shared with the unions.