

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.		Charlie Greenway	<b>9</b> P(3) I(3)	<b>4</b> P(2) I(2)	RI001.01 Analyse outcomes of staff survey to inform improvement programme Implemented Target date: 31-Aug-12 Review frequency: Quarterly RI001.04_GOV01.01 Report workforce information through SMT to identify issues and trends Implemented Target date: 31-Mar-13	Charlie Greenway Charlie Greenway	<b>2</b> P(1) I(2)
							Review frequency: Quarterly RI001.08 Use stress audit to inform	Mark Seed	
							an improvement plan In Progress (10% complete) Target date: 31-Dec-13 Review frequency: Quarterly		
							RI001.09 End-of-year annual leave carry over & flexi-time In Progress (20% complete) Target date: 30-Jun-13 Review frequency: Quarterly	Charlie Greenway	
							RI001.10 Hold managers workshop to address issue of excessive hours	Charlie Greenway	

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							Not Started (0% complete) Target date: 30-Sep-13 Review frequency: Quarterly		
RI005 Review frequency: Annually Risk Status: Treat	* 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. * Partners financial difficulties * Partners political difficulties * Partners dissatisfied with performance/quality of service * Non-compliance with Equality Act and PSED by partners and third party providers.	* 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. * Council invests more time and resource into partnerships than the benefit received * Breach of a main statutory responsibility * 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 * Do not have capacity within resources to ensure compliance * Disinvestment in partnerships * Failing to make reasonable adjustments * Partnership arrangements providing inaccessible services and/or failure to respond appropriately to access complaints * Exhibiting discriminatory practices contrary to Equality Act & PSED requirements * Making non-compliants business/service decisions * Partner(s) decide to withdraw from a shared service	<ul> <li>* Financial loss, wasted resources, or loss of funding</li> <li>* Additional financial responsibilities for remaining partners</li> <li>* Effort expended on other / lower priorities</li> <li>* Inability to meet targets</li> <li>* Reduction of service quality/performance</li> <li>* Differing priorities - so effort is expended on other/lower priorities</li> <li>* Expend extra effort to manage partnership arrangements</li> <li>* Dissatisfaction/Frustration and loss of confidence</li> <li>* Need to unwind and reverse strategic direction</li> <li>* Failure of statutory responsibilities</li> <li>* Partners direction changes adversely</li> <li>* Unitary model imposed</li> <li>* Political unrest</li> <li>* Differing priorities</li> <li>* Direction of partnership arrangements</li> <li>* Withdrawal of partners</li> <li>* Expend extra effort to manage partnership arrangements</li> <li>* Cancellation of projects</li> <li>* Governance issues arising from unclear partnership agreements and lack of exit strategy</li> </ul>	Karen Paton	9 P(3) I(3)	<b>4</b> P(2) I(2)	RI005.02 Maintain clientside capacity for effective partnership management In Progress (70% complete) Target date: 31-Mar-13 Review frequency: Quarterly RI005.03 Review governance arrangements & monitoring after transfer of HR to EK Services Implemented Target date: 31-Oct-12 Review frequency: Quarterly RI005.06 Donna Reed to attend Senior Management Team and Managers Exchange Implemented Target date: 31-Mar-13 Review frequency: Quarterly RI005.07 On-going work at CEx level for increasing partnership working Implemented Target date: 31-Mar-13 Review Quarterly RI005.07 On-going work at CEx level for increasing partnership working Implemented Target date: 31-Mar-13 Review Quarterly	Sophie Chadwick Sophie Chadwick Sue McGonigal	2 P(2) I(1)

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							RI005.08 Use the performance management process to monitor the achievements of partnerships <i>Implemented</i> Target date: 31-Mar-13 Review frequency: Quarterly	Sophie Chadwick	
							RI005.09 Record the governance arrangements and agreed benefits / purpose of partnerships Implemented Target date: 30-Sep-13 Review frequency: Quarterly	Sophie Chadwick	
							RI005.10 Request outline business case to be produced to highlight resource requirements up front Implemented Target date: 30-Sep-12 Review frequency: Quarterly	Karen Paton	
							RI005.12 Contract/ partnership management to ensure arrangements for compliance PSED & Equality Act Implemented Target date: 31-Mar-13 Review frequency: Quarterly	Sophie Chadwick	
							RI005.13 Ensure all EK Services staff comply with Equality duty	Sophie Chadwick	

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							Implemented Target date: 31-Mar-13 Review frequency: Quarterly		
							RI005.14 Continued attendance at East Kent Chief Exec forum Implemented Target date: 31-Mar-13 Review frequency: Quarterly	Sue McGonigal	
							RI005.15 Continued client side meetings Implemented Target date: 31-Mar-13 Review frequency:	Sophie Chadwick	
							RI005.16 Undertake annual review of partnering for sensitivity and risk In Progress (50% complete) Target date: 31-Mar-13 Review frequency:	Sophie Chadwick	
							RI005.17 Refresh Partnership Framework and update Partnership Register Implemented Target date: 31-Jul-13 Review frequency: Quarterly	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> <li>* Failure to follow agreed industrial relations consultation mechanism</li> <li>* Lack of compliance with agreed processes for staffing issues</li> <li>* Challenge to business decisions by staff</li> </ul>	<ul> <li>* Worsening employee/ industrial relations</li> <li>* Damage to Reputation</li> <li>* Financial Cost</li> <li>* Political controversy</li> </ul>	Charlie Greenway	<b>4</b> P(2) I(2)	<b>2</b> P(1) I(2)	RI007.01 Robust HR policies and procedures Implemented Target date: 31-Mar-13 Review frequency: Quarterly	Charlie Greenway	<b>2</b> P(1) I(2)
		* Increase in applications to Employment Tribunals					RI007.02 Performance monitoring of workforce information Implemented Target date: 31-Mar-13 Review frequency: Quarterly	Charlie Greenway	
							RI007.03 Culture Change Programme Implemented Target date: 31-Mar-13 Review frequency:	Charlie Greenway	
							RI007.04 Ongoing Employee Council forum meetings Implemented Target date: 31-Mar-13 Review frequency: Quarterly	Charlie Greenway	
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)	<mark>4</mark> P(2) I(2)	RI008.01 Use Health and Safety weeks to improve knowledge Implemented Target date: 31-Dec-13 Review frequency:	Mark Seed	2 P(1) I(2)

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							RI008.02 Liaise with EKHRP to review H&S risk assessment process Implemented Target date: 31-Mar-14 Review frequency: Governance- non periodical	Mark Seed	
							RI008.03 Maintain Health & Safety Committee Implemented Target date: 31-Mar-13 Review frequency: Quarterly	Mark Seed	
							RI008.04 Liaise with EKHRP to implement recommendation from 2009 internal audit <i>Implemented</i> Target date: 31-Jan-13 Review frequency: Quarterly	Mark Seed	
RI010 Review frequency: Half-yearly Risk Status: Treat	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.	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	Mark Seed	12 P(3) I(4)	6 P(3) I(2)	RI010.01 Draft & Implement Asset Management Strategy In Progress (20% complete) Target date: 31-Jul-14 Review frequency: Quarterly RI010.02 Prioritise maintenance spending on assets to increase revenue returns In Progress (30% complete) Target date: 31-Mar-14 Review frequency: Quarterly	Mark Seed	<mark>4</mark> P(2) I(2)

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RI011 Review frequency: Quarterly Risk Status: Treat	Emergency Plans and Functional Plans are out of date, and need annual review. Business Continuity plans are out of date, and need annual review.	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	* 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	Mike Humber	<b>16</b> P(4) I(4)	<b>6</b> P(2) I(3)	RI011.01 Test effectiveness of Business Continuity Plan (Old) Implemented Target date: 31-Mar-13 Review frequency: Quarterly	Paul Morgan	<b>3</b> P(1) I(3)
			<ul> <li>Impact on vulnerable people</li> <li>Potential health and safety issues</li> <li>Possible corporate manslaughter</li> <li>Drop in standards</li> <li>Possible breach of contract</li> </ul>				RI011.02 Review and revise the council's BCP In Progress (55% complete) Target date: 30-Sep-13 Review frequency: Quarterly	Paul Morgan	
							RI011.03 Test effectiveness of revised Business Continuity Plan In Progress (10% complete) Target date: 31-Dec-13 Review frequency: Quarterly	Paul Morgan	
							RI011.04 2013 Test for effectiveness of emergency plan Implemented Target date: 31-Mar-13 Review frequency: Monthly	Paul Morgan	
							RI011.05 Undertake annual review of Major Emergency Plans In Progress (5% complete) Target date: 31-Jan-14 Review frequency: Quarterly	Paul Morgan	
							RI011.06 Undertake annual review of Functional Plans	Paul Morgan	

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							In Progress (50% complete) Target date: 31-Mar-14 Review frequency: Quarterly RI011.07 Test effectiveness of District Emergency Centre (DEC)	Paul Morgan	
							In Progress (5% complete) Target date: 1-Apr-13 Review frequency: Quarterly		
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	<ul> <li>* Financial penalties under East Kent five-way agreement</li> <li>* Reputational damage</li> <li>* Reduced recycling rates</li> <li>* Political controversy</li> </ul>	Graeme Lawes	<b>12</b> P(4) I(3)	P(3) I(3)	RI012.02 Procurement of waste collection fleet Implemented Target date: 30-Sep-13 Review frequency: Quarterly	Graeme Lawes	<b>6</b> P(2) I(3)
							RI012.03 Delivery of plan for communication with the public In Progress (75% complete) Target date: 4-Nov-13 Review frequency: Quarterly	Graeme Lawes	
							RI012.04 Ensure suitable location for maintaining the fleet In Progress (70% complete) Target date: 31-Aug-13 Review frequency: Quarterly	Graeme Lawes	

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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	<ul> <li>* Inability to sell or let property on realistic terms</li> <li>* Loss of income</li> <li>* Frustration of capital asset strategy</li> <li>* Reputational loss</li> <li>* Failure to meet obligations</li> <li>* Damaged Partner relationships</li> </ul>	Madeline Homer	9 P(3) I(3)	6 P(3) I(2)	RI013.01 Monitor implementation In Progress (50% complete) Target date: 31-Mar-14 Review frequency: Quarterly	Madeline Homer	<b>3</b> P(3) I(1)
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	Richard Hopkins	9 P(3) I(3)	<b>9</b> P(3) I(3)	RI015.01 Monitor effects of Policy & adjust practices In Progress (50% complete) Target date: 31-Mar-17 Review frequency: Quarterly RI015.02 Lobbying of appropriate department of central government via MPs Approved (0% complete) Target date: 31-Dec-13 Review frequency: Quarterly	Richard Hopkins Madeline Homer	<b>6</b> 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	Madeline Homer	12 P(3) I(4)	<mark>8</mark> P(2) I(4)	RI017.01 Clear recording of TDC decisions In Progress (80% complete) Target date: 28-Mar-15 Review frequency: Quarterly RI017.02 Regular monitoring of Dreamland project In Progress (60% complete) Target date: 31-Mar-15 Review frequency: Quarterly	Madeline Homer Madeline Homer	<b>4</b> P(1) I(4)

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RI018 Review frequency: Quarterly Risk Status: Treat	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'.	*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	* 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	Sarah Martin	<b>12</b> P(4) I(3)	6 P(2) I(3)	RI018.01 Regularly attending finance groups to obtain insight into positions on government funding Implemented Target date: 31-Mar-13 Review frequency: Quarterly RI018.02 Initiate reviews to identify efficiencies and economies Implemented Target date: 1-May-13 Review frequency: Quarterly RI018.04 Monitoring of finance position of the Council Implemented Target date: 31-Mar-13 Review frequency: Quarterly RI018.06 Deilver service review programme to provide efficiencies & economies In Progress (2% complete) Target date: 30-Jun-16 Review frequency: Quarterly	Sarah Martin Julie Compton Sarah Martin Julie Compton	<b>4</b> P(2) I(2)

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RI019 Review frequency: Half-yearly Risk Status: Treat	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.	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.	Increase in incidence of successful frauds or bribery against the Council	Sarah Martin	12 P(4) I(3)	6 P(3) I(2)	RI019.01 Ensure anti-fraud & anti-bribery policies remain fit for purpose Implemented Target date: 31-Dec-12 Review frequency: Quarterly	Sarah Martin	<b>4</b> P(2) I(2)
	Dilbe.						RI019.02 Raise staff awareness of fraud risks & anti-bribery policy & procedure Implemented Target date: 31-Dec-12 Review frequency: Quarterly	Sarah Martin	
							RI019.03 Provide regular training to managers re fraud & anti-bribery awareness Implemented Target date: 31-Mar-13 Review frequency: Quarterly	Sarah Martin	
							RI019.04 Carry out checks of ghost employees Implemented Target date: 30-Apr-12 Review frequency:	Sarah Martin	
							RI019.05 Raise Members' awareness of fraud issues & of anti-bribery policy & procedure Implemented Target date: 30-Sep-12 Review frequency:	Sarah Martin	

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RI020 Review frequency: Quarterly Risk Status: Treat	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.	* 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.	The council would need to find the savings required (which are approximately £230k) from within existing budgets or from raising council tax.	Sarah Martin	9 P(3) I(3)	<mark>4</mark> P(2) I(2)	RI020.01 Monitoring of Council's financial Position in respect of CT discounts In Progress (10% complete) Target date: 31-Mar-14 Review frequency: Quarterly	Sarah Martin	<b>4</b> P(2) I(2)
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> <li>detrimental financial impact on groups of staff</li> <li>failure to follow correct consultation processes</li> <li>combined impact with other economic changes i.e. Welfare Reform</li> <li>failure to reach agreement on a new scheme with Unions requiring dismissal and reengagement</li> <li>failure to engage and communicate effectively with staff</li> <li>decreased staff morale</li> </ul>	<ul> <li>loss of staff</li> <li>damage to employee relations</li> <li>demotivated workforce</li> <li>financial cost</li> <li>reputational damage</li> <li>provision of limited or no service for a period of time</li> </ul>	Charlie Greenway	12 P(4) I(3)	<b>1</b> P(1) I(1)	RI023.05 Regular meetings between management & unions Implemented Target date: 31-Mar-14 Review frequency: Quarterly RI023.06 Mitigations for staff detrimentally affected Implemented Target date: 31-Mar-14 Review frequency: Quarterly RI023.07 CEx Briefings to all staff on Pay & reward project Implemented Target date: 31-Mar-14 Review frequency: Quarterly	Charlie Greenway Charlie Greenway Charlie Greenway	1 P(1) I(1)

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							RI023.08 Training to managers on supporting staff through the process Implemented Target date: 31-Mar-14 Review frequency:	Charlie Greenway	
							RI023.09 Equality Impact Assessment on proposed scheme Implemented Target date: 31-Mar-13 Review frequency: Quarterly	Charlie Greenway	