



Corporate Risk Register

Risk Ref	Cause	Trigger	Consequence	Assigned To	Uncntrl'd Rating	Current Rating	Control Measures	Assigned To	Residual Rating
							<p><i>Not Started (0% complete)</i></p> <p><b>Target date:</b> 30-Sep-13</p> <p><b>Review frequency:</b> Quarterly</p>		
<p><b>RI005</b></p> <p><b>Review frequency:</b> Annually</p> <p><b>Risk Status:</b> 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 &amp; 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	<p><b>9</b></p> <p>P(3) I(3)</p>	<p><b>4</b></p> <p>P(2) I(2)</p>	<p><b>RI005.02 Maintain clientside capacity for effective partnership management</b></p> <p><i>In Progress (70% complete)</i></p> <p><b>Target date:</b> 31-Mar-13</p> <p><b>Review frequency:</b> Quarterly</p> <p><b>RI005.03 Review governance arrangements &amp; monitoring after transfer of HR to EK Services</b></p> <p><i>Implemented</i></p> <p><b>Target date:</b> 31-Oct-12</p> <p><b>Review frequency:</b> Quarterly</p> <p><b>RI005.06 Donna Reed to attend Senior Management Team and Managers Exchange</b></p> <p><i>Implemented</i></p> <p><b>Target date:</b> 31-Mar-13</p> <p><b>Review frequency:</b> Quarterly</p> <p><b>RI005.07 On-going work at CEx level for increasing partnership working</b></p> <p><i>Implemented</i></p> <p><b>Target date:</b> 31-Mar-13</p> <p><b>Review frequency:</b> Quarterly</p>	<p>Sophie Chadwick</p> <p>Sophie Chadwick</p> <p>Sue McGonigal</p> <p>Sue McGonigal</p>	<p><b>2</b></p> <p>P(2) I(1)</p>

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

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							<p><i>Implemented</i>  <b>Target date:</b> 31-Mar-13  <b>Review frequency:</b> Quarterly</p> <p><b>RI005.14 Continued attendance at East Kent Chief Exec forum</b>  <i>Implemented</i>  <b>Target date:</b> 31-Mar-13  <b>Review frequency:</b> Quarterly</p> <p><b>RI005.15 Continued client side meetings</b>  <i>Implemented</i>  <b>Target date:</b> 31-Mar-13  <b>Review frequency:</b> Quarterly</p> <p><b>RI005.16 Undertake annual review of partnering for sensitivity and risk</b>  <i>In Progress (50% complete)</i>  <b>Target date:</b> 31-Mar-13  <b>Review frequency:</b> Quarterly</p> <p><b>RI005.17 Refresh Partnership Framework and update Partnership Register</b>  <i>Implemented</i>  <b>Target date:</b> 31-Jul-13  <b>Review frequency:</b> Quarterly</p>	<p>Sue McGonigal</p> <p>Sophie Chadwick</p> <p>Sophie Chadwick</p> <p>Sophie Chadwick</p>	

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<b>RI007</b> <b>Review frequency:</b> Half-yearly <b>Risk Status:</b> 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"> <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> <li>* Increase in applications to Employment Tribunals</li> </ul>	<ul style="list-style-type: none"> <li>* Worsening employee/ industrial relations</li> <li>* Damage to Reputation</li> <li>* Financial Cost</li> <li>* Political controversy</li> </ul>	Charlie Greenway	4 P(2) I(2)	2 P(1) I(2)	<b>RI007.01 Robust HR policies and procedures</b> <i>Implemented</i> <b>Target date:</b> 31-Mar-13 <b>Review frequency:</b> Quarterly  <b>RI007.02 Performance monitoring of workforce information</b> <i>Implemented</i> <b>Target date:</b> 31-Mar-13 <b>Review frequency:</b> Quarterly  <b>RI007.03 Culture Change Programme</b> <i>Implemented</i> <b>Target date:</b> 31-Mar-13 <b>Review frequency:</b> Quarterly  <b>RI007.04 Ongoing Employee Council forum meetings</b> <i>Implemented</i> <b>Target date:</b> 31-Mar-13 <b>Review frequency:</b> Quarterly	Charlie Greenway       Charlie Greenway    Charlie Greenway	2 P(1) I(2)
<b>RI008</b> <b>Review frequency:</b> Half-yearly <b>Risk Status:</b> Treat	Health and safety procedures are not followed.	Member of staff injured undertaking Council duties	<ul style="list-style-type: none"> <li>* Possible corporate manslaughter</li> <li>* Failure of statutory requirements</li> <li>* Insurance claim against the Council</li> <li>* Loss of reputation</li> <li>* Adverse media</li> <li>* Financial/ reputational loss due to change in HSE requirements</li> </ul>	Mark Seed	9 P(3) I(3)	4 P(2) I(2)	<b>RI008.01 Use Health and Safety weeks to improve knowledge</b> <i>Implemented</i> <b>Target date:</b> 31-Dec-13 <b>Review frequency:</b> Quarterly	Mark Seed	2 P(1) I(2)

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							<p><b>RI008.02 Liaise with EKHRP to review H&amp;S risk assessment process</b> <i>Implemented</i> <b>Target date:</b> 31-Mar-14 <b>Review frequency:</b> Governance- non periodical</p> <p><b>RI008.03 Maintain Health &amp; Safety Committee</b> <i>Implemented</i> <b>Target date:</b> 31-Mar-13 <b>Review frequency:</b> Quarterly</p> <p><b>RI008.04 Liaise with EKHRP to implement recommendation from 2009 internal audit</b> <i>Implemented</i> <b>Target date:</b> 31-Jan-13 <b>Review frequency:</b> Quarterly</p>	Mark Seed	
<b>RI010</b> 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.	<ul style="list-style-type: none"> <li>* Gradual deterioration in quality and utility</li> <li>* Decrease in value of property</li> <li>* Loss of income</li> <li>* Potential health and safety issues</li> <li>* Political impact</li> <li>* Loss of reputation</li> <li>* Adverse publicity</li> <li>* Impact on VfM</li> <li>* Complaints</li> </ul>	Mark Seed	<b>12</b> P(3) I(4)	<b>6</b> P(3) I(2)	<p><b>RI010.01 Draft &amp; Implement Asset Management Strategy</b> <i>In Progress (20% complete)</i> <b>Target date:</b> 31-Jul-14 <b>Review frequency:</b> Quarterly</p> <p><b>RI010.02 Prioritise maintenance spending on assets to increase revenue returns</b> <i>In Progress (30% complete)</i> <b>Target date:</b> 31-Mar-14 <b>Review frequency:</b> Quarterly</p>	Mark Seed	<b>4</b> P(2) I(2)



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							<i>In Progress (50% complete)</i> <b>Target date:</b> 31-Mar-14 <b>Review frequency:</b> Quarterly  <b>RI011.07 Test effectiveness of District Emergency Centre (DEC)</b> <i>In Progress (5% complete)</i> <b>Target date:</b> 1-Apr-13 <b>Review frequency:</b> Quarterly	Paul Morgan	
<b>RI012</b> <b>Review frequency:</b> Quarterly <b>Risk Status:</b> 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	<b>12</b> P(4) I(3)	<b>9</b> P(3) I(3)	<b>RI012.02 Procurement of waste collection fleet</b> <i>Implemented</i> <b>Target date:</b> 30-Sep-13 <b>Review frequency:</b> Quarterly  <b>RI012.03 Delivery of plan for communication with the public</b> <i>In Progress (75% complete)</i> <b>Target date:</b> 4-Nov-13 <b>Review frequency:</b> Quarterly  <b>RI012.04 Ensure suitable location for maintaining the fleet</b> <i>In Progress (70% complete)</i> <b>Target date:</b> 31-Aug-13 <b>Review frequency:</b> Quarterly	Graeme Lawes   Graeme Lawes   Graeme Lawes	<b>6</b> P(2) I(3)





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

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

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<b>RI020</b> 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	<b>9</b> P(3) I(3)	<b>4</b> P(2) I(2)	<b>RI020.01 Monitoring of Council's financial Position in respect of CT discounts</b> <i>In Progress (10% complete)</i> <b>Target date:</b> 31-Mar-14 <b>Review frequency:</b> Quarterly	Sarah Martin	<b>4</b> P(2) I(2)
<b>RI023</b> 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"> <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 style="list-style-type: none"> <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	<b>12</b> P(4) I(3)	<b>1</b> P(1) I(1)	<b>RI023.05 Regular meetings between management &amp; unions</b> <i>Implemented</i> <b>Target date:</b> 31-Mar-14 <b>Review frequency:</b> Quarterly  <b>RI023.06 Mitigations for staff detrimentally affected</b> <i>Implemented</i> <b>Target date:</b> 31-Mar-14 <b>Review frequency:</b> Quarterly  <b>RI023.07 CEx Briefings to all staff on Pay &amp; reward project</b> <i>Implemented</i> <b>Target date:</b> 31-Mar-14 <b>Review frequency:</b> Quarterly	Charlie Greenway  Charlie Greenway  Charlie Greenway	<b>1</b> P(1) I(1)

