

Corporate Risk Register Progress Report

Quarter 3 2014/15



- Section 1 Risk Ratings
(Provides details of changes to risk ratings with comment)
- Section 2 Time-bound Control Measures
(Provides details of progress made with implementation of time-bound control measures.)
- Section 3 Changes to the Corporate Risk Register
(Lists any changes made which have been approved by the Risk Management Champion.)
- Section 4 Officer List with Designations

Section 1


Risk Ratings

R01 Risks - Financial difficulties threaten the Thanet identity to which the Council aspires									
Name	Description	Owner	Current Risk Rating	Current Alert	Date last scored	Uncontrolled Risk Rating	Controlled Risk Rating	Latest Comment	Last comment date
R01.01: Assumptions in the MTFP	R01.01: Incorrect assumptions made in setting the Medium Term Financial Plan (MTFP) impacting on General Fund, Capital Planning or Housing Revenue Account (HRA)	Cook, Paul	Medium High	🟡	Feb-15	High	Medium High	No change to current risk rating.	Feb-15
R01.02: Unforeseen situations undermine MTFP validity	R01.02: MTFP well-founded but accepted risk escalates or unforeseen situations undermine MTFP validity	Cook, Paul	Medium High	🟡	Feb-15	High	Medium High	No change to current risk rating.	Feb-15




R02 Risks - Focus on short term priorities creates long term budget problems									
Name	Description	Owner	Current Risk Rating	Current Alert	Date last scored	Uncontrolled Risk Rating	Controlled Risk Rating	Latest Comment	Last comment date
R02.01: Focus on short term priorities creates long term budget problems	R02.01: Focus on short term priorities creates long term budget problems	Cook, Paul	Medium High	🟡	Feb-15	High	Medium High	Full budget and MTFP now agreed by Council.	Feb-15

R03 Risks - Failures of partnership working									
Name	Description	Owner	Current Risk Rating	Current Alert	Date last scored	Uncontrolled Risk Rating	Controlled Risk Rating	Latest Comment	Last comment date
R03.01: Partnerships fail to deliver from their inception	R03.01: Partnerships fail to deliver from their inception	Cook, Paul	High	🔴	Feb-15	High	Medium High	Partnership template still to be implemented as there is an issue with the range and types of partnerships. No change to current risk rating.	Feb-15
R03.02: Partnerships fail to deliver because of the way that they are run	R03.02: Partnerships fail to deliver because of the way that they are run	Cook, Paul	High	🔴	Feb-15	High	Medium High	Partnership template still to be implemented as there is an issue with the range and types of partnerships. No change to current risk rating.	Feb-15

R04 Risks - Failure of appropriate sustainable business administration practices

Name	Description	Owner	Current Risk Rating	Current Alert	Date last scored	Uncontrolled Risk Rating	Controlled Risk Rating	Latest Comment	Last comment date
R04.01: Risk of injury due to Health & Safety failings	R04.01: Risk of injury due to failure to sustain appropriate Health & Safety conditions for work	Cook, Paul	Medium High		Jan-15	High	Medium High	Although the council has a significant number of measures in place to manage health and safety, including H&S Maps for each service area, it does manage a number of higher risk areas than most councils. This includes running a number of key manual services in-house, as well as operating a port and harbour. This presents higher levels of risk as a result of the types of work being undertaken, which even in a managed risk environment affect both the likelihood and severity of accidents. Considerable work has and is being done on this through the H&S Committee, with a focus currently on ensuring an effective H&S culture through all levels of the organisation.	Oct-14

R04.02: Failure to achieve VFM through procurement methods	R04.02: Failure to achieve value for money (VFM) through procurement methods	Paton, Karen	Medium High	🟡	Jan-15	High	▲	Low	★	<ul style="list-style-type: none"> Procurement framework is continually being refreshed to reflect latest legislative requirements and training for high end procurement activity is provided by direct support of procurement officers. Once contracts are let contract management responsibility falls to the lead officer to maintain delivery and achieve vfm throughout the contract duration. Whilst a level of in house awareness training has been periodically provided, it is recognised that officers would benefit from formal training to equip them with the skills necessary to ensure vfm is achieved for the duration of contracts. 	Jan-15
R04.03: Insufficient defences against fraud	R04.03: Insufficient defences against fraud	Cook, Paul	Medium High	🟡	Feb-15	High	▲	Medium High	🟡	<ul style="list-style-type: none"> East Kent Audit Partnership requested to provide this training. 	Feb-15










R04.07: Emergency planning failure	R04.07: Emergency planning failure	Humber, Mike	Medium High		Jan-15	High		Medium-Low		<p>Emergency Plan is currently fit for purpose and will be updated in 2015. Functional Emergency Plans undergoing a programmed update with support from KCC emergency planning staff.</p> <p>Several training courses involving TDC staff undertaken this year including Intro to Emergency Planning, Incident Liaison and Shoreline Oil Pollution. Emergency activation system tested on more than one occasion this year during live incidents. The Council's level of resilience can be improved through more focussed allocation of roles and training of more staff to increase resilience. This will be a focus this year.</p>	Jan-15
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R04.08: Business Continuity planning failure	R04.08: Business Continuity planning failure	Wing, Helan	Medium High	🔴	Jan-15	Medium High	🟡	Medium-Low	<p>The current Business Continuity Plan was tested in the Spring. Part 1 Corporate Response and Incident Management was updated in May15. Part 2 Service Area Response has been update to reflect the new corporate structure. The entire plan will go through a programmed review in 2015.</p> <p>Officers involved in both Business Continuity and Emergency Planning attend training commissioned by the Kent Resilience Team. In particular this year Link Officer for Business Continuity has attended training on Introduction to Civil Protection and Recovering from Emergencies, as well as the recent SCAT Exercise.</p> <p>Thanet is part of the East Kent Emergency Planning & Business Continuity Group which is facilitated by the Kent Resilience Team. Membership involves the 3 East Kent local authorities, EKH and EKS.</p> <p>Interim Disaster Recovery arrangements currently in place due to delays in progressing to new programme.</p> <ul style="list-style-type: none"> Feedback has been received from Kent Safeguarding Children's Board as part of the section 11 self assessment process. <p>They gave good assurance and felt that the Council's child protection policy was fit for purpose.</p> <p>A report to CMT is planned for April to look at recommendations for improvement and possible widening to adult safeguarding too.</p>	Jan-15
R04.09: Child protection issues	R04.09: Opportunities to prevent harm to children are missed by staff of TDC or its partners, or children are actually harmed by staff of TDC or its partners	Cassell, Martyn	Medium-Low	🟢	Jan-15	Medium High	🟡	Medium-Low	<ul style="list-style-type: none"> Feedback has been received from Kent Safeguarding Children's Board as part of the section 11 self assessment process. <p>They gave good assurance and felt that the Council's child protection policy was fit for purpose.</p> <p>A report to CMT is planned for April to look at recommendations for improvement and possible widening to adult safeguarding too.</p>	Jan-15

R05 Risks - Mismatch between council resources and stakeholder expectations

Name	Description	Owner	Current Risk Rating	Current Alert	Date last scored	Uncontrolled Risk Rating	Controlled Risk Rating	Latest Comment	Last comment date
R05.01: Media controversy	R05.01: Media controversy impacts on the council's ability to achieve its objectives	Thorpe, Hannah	Medium High		Jan-15	High	Medium High	PR training scheduled in to the Members Induction Training following the election in May. Proposal from Improvement Board to prioritise this as part of the programme of training. In the meantime, weekly PR updates continue with CMT and Cabinet to mitigate media risks.	Jan-15
R05.02: Customer expectations/ demands cannot be met by the council	R05.02: Customer expectations/ demands cannot be met by the council	Cook, Paul	High		Feb-15	High	Medium High	2015-16 budget takes into account recent public consultation on expenditure priorities.	Feb-15
R05.03: Legal challenges require high level commitment of resources	R05.03: Legal challenges require high level commitment of resources	Boyle, Steven	Medium High		Feb-15	Medium High	Medium High	There are many major projects at present being undertaken by the Council and carry with them financial implications. Whilst these are being managed as much as possible they need to be factored into the start of any project to ensure it is casted properly.	Feb-15

R06 Risks - Problems relating to political and democratic processes threaten the Thanet identity

Name	Description	Owner	Current Risk Rating	Current Alert	Date last scored	Uncontrolled Risk Rating	Controlled Risk Rating	Latest Comment	Last comment date
R06.01: Problems caused by central government policies or practices	R06.01: Problems caused by central government policies or practices prevent the council from achieving its aspiration	Homer, Madeline	Medium High		Oct-14	High 	Medium-Low 	The MTFP and Transformation Agenda (Four Aims:1. Digitalisation; 2. EKS maximising opportunities; 3. Partnership arrangements (E.g. East Kent Partnership) and 4. Joint venture model opportunities through housing and property services) is intended to mitigate the effects of Government decision making by creating a resilient financial future. The aim is to remodel our business to try and achieve a self containing financial footing.	Oct-14
R06.02: Ineffective relationships between TDC and Kent	R06.02: Ineffective relationships between TDC and Kent	Homer, Madeline	Medium-Low		Oct-14	High 	Medium-Low 	Both the Leader of KCC and TDC attend Kent Leaders. Both the CE of KCC and TDC attend Kent Chief Executives. TDC and KCC are members of the Thanet Regeneration Board, now Invest Thanet. KCC are involved in Margate Rendezvous and Winter Gardens and there is engagement with KCC's Director of Economic Development.	Oct-14
R06.03: Public disengagement from the democratic process	R06.03: Public disengagement from the democratic process	Back, Glenn	Medium High		Jan-15	Medium High 	Medium-Low 	Risk rating remains the same. There is nothing to suggest any changes in public disengagement as we move towards the election process.	Jan-15

R06.04: Difficulties faced by members in the administration of the council	R06.04: Difficulties faced by members in carrying out the administration of the council	Homer, Madeline	Medium High		Oct-14	High		Medium-Low		The Improvement Board has now been established and developing an Action Plan which covers issues identified in the Peer Review. A review of the work of the Improvement Board will take place after March 2015 by the Corporate Performance Review Working Party.	Oct-14
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R07 Risks - Failure to use staff effectively/ fairly/ appropriately



Name	Description	Owner	Current Risk Rating	Current Alert	Date last scored	Uncontrolled Risk Rating	Controlled Risk Rating	Latest Comment	Last comment date
R07.01: Staff capacity issues	R07.01: Lack of the right staff in the right place leads to situations where services are inadequately covered or missed (capacity)	Homer, Madeline	Medium High		Oct-14	Medium High	Medium-Low	Effective service planning and performance appraisal & development process has been introduced. We are implementing a roll out of heads of service (HOS) organisational model through corporate restructure. With HOS competent to do the role, this allows CMT to focus on strategic issues. HOS will continue to appraise staffing requirements to refocus service delivery activity against the Transformation Agenda.	Oct-14

R07.02: Staff capability issues	R07.02: Failure to recognise and deal with staff limitations appropriately causes deterioration in service delivery (capability)	Homer, Madeline	Medium-Low	Yellow	Oct-14	Medium High	Yellow	Medium-Low	Yellow	A Workforce Strategy is being developed with the HR Business Partner. The performance appraisal & development process will identify training needs / skill gaps and lead to performance improvement plans for individuals. This process will equip managers to identify gaps in skill levels and performance delivery, and clarify need for provision of appropriate tools to address capability issues.	Oct-14
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R08 Risks - Service closure or failure

Name	Description	Owner	Current Risk Rating	Current Alert	Date last scored	Uncontrolled Risk Rating	Yellow	Controlled Risk Rating	Latest Comment	Last comment date
R08.01: Service failure or closure	R08.01: Service failure or closure	Homer, Madeline	Medium-Low	Yellow	Oct-14	Medium High	Yellow	Medium-Low	One control measure is manager identification of appropriate succession planning. Another control measure is giving consideration to alternative methods for delivering services, which are more efficient than current arrangements. Consideration is being given to the Devolution Agenda to Parish and Town Councils where they are able to take over services. Also, we are engaging with KCC and other districts to explore further shared/combined service arrangements. A further control exists through effective Asset Management in order to reduce asset liabilities. These should reduce risk of service failure.	Oct-14

R09 Risks - Failure to sustain improvement of the area (regeneration)

Name	Description	Owner	Current Risk Rating	Current Alert	Date last scored	Uncontrolled Risk Rating	Controlled Risk Rating	Latest Comment	Last comment date
R09.01: Major project failure (e.g. Dreamland, Margate Housing Intervention)	R09.01: Major project failure (e.g. Dreamland, Margate Housing Intervention)	Homer, Madeline	Medium High		Oct-14	Medium High	Medium-Low 	<p>Current major projects include: Dreamland: Heads of Terms have been agreed with Margate-based Sands Heritage Ltd., which subject to lease negotiations, would secure them as operator of the iconic Dreamland amusement park. The risk to the Council would reduce significantly with the new operator taking on this role.</p> <p>Housing Intervention (HI) Scheme: The risk is lower on the HI as the HRA is supporting the programme since KCC have reallocated resources to alternative priorities. The Homes & Communities Agency (HCA) is still supporting the programme. However, a future risk remains of lack of funding; so ensuring income generation from the scheme is a priority.</p> <p>Selective Licensing: Initial explorations are just starting that include evaluation of the existing scheme (which ends in April 2016), and on-going requirements in Thanet.</p>	Oct-14

R09.02: Major Thanet employer or investor reduces/ends investment in Thanet	R09.02: Major Thanet employer or investor reduces or ends their investment in Thanet	Homer, Madeline	Medium High	🟡	Oct-14	Medium High	🟡	Medium-Low	🟡	<p>TDC needs to attract inward investment and is working on an Inward Investment Strategy.</p> <p>Paul Barber, of Discovery Park & Chairman of the Invest Thanet Board (previously Thanet Regeneration Board) is focussing on attracting more investment, and investors, into Thanet. Key aims for Invest Thanet include securing a larger share of government resources, as well as attracting private sector investment into existing companies and persuading overseas companies to locate to the area.</p> <p>Key sites include: Manston Airport whose new owners are proposing mixed use development; Thanet Parkway, is a KCC scheme. KCC is looking to acquire land and secure the building of this station in conjunction with Network Rail and other partners; there is private sector interest in Manston Business Park.</p>	Oct-14
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<p>R09.03: Changes in Thanet's demography not considered in planning</p>	<p>R09.03: Changes in Thanet's demography are not considered in planning for the future</p>	<p>Homer, Madeline</p>	<p>Medium High</p>	<p></p>	<p>Oct-14</p>	<p>Medium High</p>	<p></p>	<p>Medium-Low</p>	<p></p>	<p>The Housing Intervention Scheme is having an impact as MTF, the Health & Wellbeing Board and Invest Thanet. MTF has been rolled out across Thanet; TDC and Thanet Police have a co-located Thanet Safety Unit. Health & Wellbeing Board aims to improve health and thereby facilitate social regeneration. Invest Thanet Board creates partnering and aims to increase inward investment into Thanet. Regeneration Projects are generating better perceptions of the area; this will help to mitigate problems with less economically active populations migrating to Thanet. We aim to attract businesses with different skill requirements that deliver better wages/salaries to improve the local economy.</p>	<p>Oct-14</p>
<p>R09.04: Unsustainable development/lack of the right development</p>	<p>R09.04: Unsustainable development/lack of the right development</p>	<p>Verrall, Adrian</p>	<p>High</p>	<p></p>	<p>Jan-15</p>	<p>High</p>	<p></p>	<p>Medium High</p>	<p></p>	<p>Currently, without an up to date adopted Planning Framework (Local Plan, Community Infrastructure Levy etc.) the risk level is high. The Local Plan and CTL are now being actively progressed towards adoption and will gain weight as the various stages are completed. The risk will reduce accordingly to become low following adoption.</p>	<p>Jan-15</p>

Section 2

Time-bound Control Measures

Control Measure Name	Description	Risks affected by this Control Measure	Owner	Start Date	Due Date	Est / Actual End Date	% Done	Stage	Comment	Source Date
00299 Review constitutional & delegated powers ensuring officers work within their powers	Risk R01.01: Undertake review of constitutional and delegated powers to ensure that officers are working within their powers. Develop a way of refining priorities to 'focus on a smaller number', in time to inform the next corporate plan	<ul style="list-style-type: none"> R01.01: Assumptions in the MTFP R01.02: Unforeseen situations undermine MTFP validity 	Boyle, Steven	Jul-14	Dec-14	Jun-15	20.00%	In Progress	<ul style="list-style-type: none"> Resources have been identified from the LGA to assist with this and the Improvement Board will oversee. 	Dec-14
00255 Develop a way of refining priorities		<ul style="list-style-type: none"> R01.01: Assumptions in the MTFP R01.02: Unforeseen situations undermine MTFP validity 	Cook, Paul	Jun-14	Mar-15	Dec-15	100.00%	Completed	<ul style="list-style-type: none"> Control Measure Completed 	Dec-14
00269 Ensure that budget review group identifies Corporate Plan Priorities	Ensure that budget review group identifies Corporate Plan Priorities.	<ul style="list-style-type: none"> R01.02: Unforeseen situations undermine MTFP validity R02.01: Focus on short term priorities creates long term budget problems R04.04: Difficulties in prioritisation R06.03: Public disengagement from the democratic process 	Sanham, Matthew	Jul-14	Dec-14	Feb-15	100.00%	In Progress	<ul style="list-style-type: none"> Themes have been identified as part of the 15/16 budget build, which are incorporated into the Medium Term Financial Plan. 	Dec-14
00266 Ensure council assets are reviewed for adequate maintenance budget allocation	Ensure council assets are reviewed so that long run maintenance requirement is consistent with budget provision.	<ul style="list-style-type: none"> R02.01: Focus on short term priorities creates long term budget problems 	Cook, Paul	Jun-14	Mar-15	Mar-15	50.00%	In Progress	<ul style="list-style-type: none"> Corporate Asset Management Group have met and agreed heads of terms; regular meetings to be held during the year to discuss the Council's assets. 	Dec-14
00267 Ensure HRA asset management strategy and plan is in place	Ensure HRA asset management strategy and plan is in place	<ul style="list-style-type: none"> R02.01: Focus on short term priorities creates long term budget problems 	Wenham, Tanya	Jul-14	Mar-15	Sep-15	20.00%	In Progress	<ul style="list-style-type: none"> The deadline for this has been revised as the work involved is more significant than first estimated and needs to fall in line with EKH timetable. 	Dec-14
00282 Production of property maintenance schedules for housing.	Production of property maintenance schedules for housing.	<ul style="list-style-type: none"> R02.01: Focus on short term priorities creates long term budget problems 	Wenham, Tanya	Jul-14	Mar-15	Mar-15	5.00%	In Progress	<ul style="list-style-type: none"> Working with EKH to produce a schedule. Procurement plan now in draft. Will form part of the asset management strategy 	Dec-14

Control Measure Name	Description	Risks affected by this Control Measure	Owner	Start Date	Due Date	Est/ Actual End Date	% Done	Stage	Comment	Source Date
00238 Adopt an asset management strategy & plan (land & buildings)	Adopt an asset management strategy and plan (land and buildings) with director and cross-party member commitment.	<ul style="list-style-type: none"> R02.01: Focus on short term priorities creates long term budget problems 	Crowley, Edwina	Jan-14	Sep-14	Nov-14	100.00%	Completed	<ul style="list-style-type: none"> The new asset strategy has been completed and adopted by Cabinet in November 2014 	Dec-14
00243 Review of the replacement needs for plant & equipment used in the parks service	Carry out reviews of the replacement needs for all the main items of council's plant and equipment used in the parks service, and ensure that capital bids are submitted if replacement is required within the next five years, so that financial provision can be made.	<ul style="list-style-type: none"> R02.01: Focus on short term priorities creates long term budget problems 	Waite, Gavin	Jul-14	Mar-15	Jan-15	90.00%	In Progress	<ul style="list-style-type: none"> Full list of plant & equipment has been provided, this has now been incorporated into the capital replacement spreadsheet. 	Dec-14
00244 Review replacement needs for plant & equipment used in recycling, waste & cleansing	Carry out reviews of the replacement needs for all the main items of council's plant and equipment used in the recycling, waste and cleansing services, and ensure that capital bids are submitted if replacement is required within the next five years, so that financial provision can be made.	<ul style="list-style-type: none"> R02.01: Focus on short term priorities creates long term budget problems 	Waite, Gavin	Jul-14	Mar-15	Jan-15	90.00%	In Progress	<ul style="list-style-type: none"> The review of vehicle replacement requirements for recycling and waste has now been completed, there is still work to do on cleansing so that any replacement programme meets the operational requirements of the fundamental service review presently being undertaken. This work will be completed by April 2015. Capital has already been allocated to support these service areas. 	Dec-14
00249 Design & implement a partnership checklist template	Design a partnership checklist template (agreement for supply of services that involves the council without formal contract), gain adoption by SMT and present to managers.	<ul style="list-style-type: none"> R03.01: Partnerships fail to deliver from their inception 	Chadwick, Sophie	Jul-14	Sep-14	Feb-15	10.00%	In Progress	<ul style="list-style-type: none"> Director of Corporate Resources in the process of revising risk template. 	Dec-14

Control Measure Name	Description	Risks affected by this Control Measure	Owner	Start Date	Due Date	EST/ Actual End Date	% Done	Stage	Comment	Source Date
00273 Ensure the partnership template is implemented	Ensure the partnership template is implemented to ensure that: partnership objectives are informed by a sound evidence base before they are agreed by TDC; that purposes and objectives are clearly documented with clear procedures for disengagement; and that governance arrangements (including arrangements for reporting progress and performance) are clearly documented.	<ul style="list-style-type: none"> R03.01: Partnerships fail to deliver from their inception 	Cook, Paul	Jul-14	Mar-15	Mar-15	0.00%	Not Started	<ul style="list-style-type: none"> No progress has been made on the partnership template. As previously stated, there is an issue of the range of types of partnership (one size may not fit all). 	Dec-14
00241 Carry out review applying the partnership template to existing partnerships	Carry out review applying the partnership template to existing partnerships (agreement for supply of services that involves the council without formal contract).	<ul style="list-style-type: none"> R03.01: Partnerships fail to deliver from their inception R03.02: Partnerships fail to deliver because of the way that they are run 	Chadwick, Sophie	Apr-14	Mar-15	Mar-15	10.00%	In Progress	<ul style="list-style-type: none"> Director of Corporate Resources in the process of revising risk template. 	Dec-14
00240 Annual due diligence checks on external suppliers where the contract > £75,000.	Annual due diligence checks on external suppliers where the contract value exceeds £75,000.	<ul style="list-style-type: none"> R04.02: Failure to achieve VFM through procurement methods 	Sanham, Matthew	Apr-14	Mar-15	Mar-15	0.00%	In Progress	<ul style="list-style-type: none"> Work is now programmed in over the next few months and will be completed by 31 March 2015. 	Dec-14
00285 Provide staff and member training on fraud	Provide staff and member training on fraud	<ul style="list-style-type: none"> R04.03: Insufficient defences against fraud 	Sanham, Matthew	Jan-15	Feb-15	Feb-15	0.00%	Not Started	<ul style="list-style-type: none"> Has been commissioned from East Kent Audit Partnership. 	> >
00257 Develop an annual prioritisation process	Develop an annual prioritisation processes that ensures consistency between the corporate plan, service plans and strategic objectives.	<ul style="list-style-type: none"> R04.04: Difficulties in prioritisation 	Walker, Nicola	Oct-14	Sep-15	Sep-15	0.00%	Withdrawn	<ul style="list-style-type: none"> CM withdrawn as this will be built in as part of the Corporate Plan process. 	Dec-14

Control Measure Name	Description	Risks affected by this Control Measure	Owner	Start Date	Due Date	EST/ Actual End Date	% Done	Stage	Comment	Source Date
00250 Develop a clear understanding of member priorities and communicate this	Develop a clear understanding of member priorities and communicate this to the organisation and its stakeholders	<ul style="list-style-type: none"> R04.04: Difficulties in prioritisation 	Homer, Madeline	Jul-14	Oct-14	Dec-14	60.00%	In Progress	<p>A Cabinet/CMT awayday took place on 13 August 2104, resulting in agreement for four new focus areas:</p> <p>Environment/Place Economic Development Housing Communication</p> <p>These have now been shared with heads of service for them to include in service planning.</p> <p>The intention is not to duplicate or replace our existing 11 Corporate Priorities but to provide a clearer focus for staff, councillors, our partner organisations and the wider public. The intention is that these areas of focus will complement existing Corporate Plan priorities and the longer term Thanet Vision 2030.</p> <p>This will be communicated with Managers on 27 November at the next Performance Board and with staff at a series of CMT/staff briefing sessions in early December.</p>	Dec-14
00268 Ensure in-house software administrator roles are held by 'experts'	Ensure in-house software administrator roles are held by 'experts' who are required to document basics of software management tasks.	<ul style="list-style-type: none"> R04.05: Failure of ICT systems/ infrastructure 	Chadwick, Sophie	Jan-15	Mar-15	Mar-15	0.00%	Not Started	<p>No Officer comment as CM commences after Quarter 3</p>	>>

Control Measure Name	Description	Risks affected by this Control Measure	Owner	Start Date	Due Date	Est/ Actual End Date	% Done	Stage	Comment	Source Date
00264 Effective SLA in place with EKS for ICT services.	Effective SLA in place with EKS for ICT services.	<ul style="list-style-type: none"> R04.05: Failure of ICT systems/ infrastructure R06.03: Public disengagement from the democratic process 	Cook, Paul	Apr-14	Mar-15	Mar-15	75.00%	In Progress	<ul style="list-style-type: none"> The draft ICT SLA has been reviewed by the Council's IT User Forum, Kent Resilience Team and key Managers. Significant feedback has been sent back to the Director of EKS ICT and CMT will review this in March 2015. 	Dec-14
00289 Re-introduce housekeeping days (electronic as well as paper filing).	Re-introduce housekeeping days (electronic as well as paper filing).	<ul style="list-style-type: none"> R04.06: Inadequate information management practices 	Chadwick, Sophie	Apr-14	Mar-15	Dec-15	0.00%	Not Started	<ul style="list-style-type: none"> Delayed due to long-term sickness absence. Timescales revised to reflect this. 	Dec-14
00248 Deliver training on good information management practices	Deliver training on good information management practices, including quality and appropriateness.	<ul style="list-style-type: none"> R04.06: Inadequate information management practices 	Chadwick, Sophie	Oct-14	Mar-15	Dec-15	0.00%	Not Started	<ul style="list-style-type: none"> Delayed due to long-term sickness absence, timescales revised to reflect this. 	Dec-14
00239 Adopt and ensure adherence to the government's code of conduct on data transparency.	Adopt and ensure adherence to the government's code of conduct on data transparency.	<ul style="list-style-type: none"> R04.06: Inadequate information management practices 	Chadwick, Sophie	Apr-14	Mar-15	Mar-15	90.00%	In Progress	<ul style="list-style-type: none"> All mandatory datasets published on website 	Dec-14
00259 Develop and implement a succession management plan.	Develop and implement a succession management plan.	<ul style="list-style-type: none"> R04.07: Emergency planning failure R04.08: Business Continuity planning failure R06.03: Public disengagement from the democratic process R07.01: Staff capacity issues 	Greenway, Charlie	Apr-14	Mar-15	Apr-16	1.00%	In Progress	<ul style="list-style-type: none"> The Workforce Strategy and Plan is being developed through 2014 and a plan is approved and in place to achieve this. 	Dec-14
00330 Maintain up-to-date Business Continuity plan.	<p>RI04.08: Maintain up-to-date Business Continuity Plan.</p> <p>Supports multiple objectives; Audit Rec. AU1597.04</p>	<ul style="list-style-type: none"> R04.08: Business Continuity planning failure 	Wing, Helan	Apr-14	Mar-15	Mar-15	90.00%	In Progress	<ul style="list-style-type: none"> The Business Continuity Plan has been updated to reflect the new structure and will go through a programmed review in 2015. 	Dec-14

Control Measure Name	Description	Risks affected by this Control Measure	Owner	Start Date	Due Date	EST/ Actual End Date	% Done	Stage	Comment	Source Date
00301 Update CP information on TOM	Update CP information on TOM	<ul style="list-style-type: none"> R04.09: Child protection issues 	Cassell, Martyn	Sep-14	Jan-15	Jan-15	40.00%	In Progress	<ul style="list-style-type: none"> Information has been updated with new contact officers following restructure. Responsibility for child protection now sits within Safer Neighbourhoods team. Further information will be uploaded to TOM following the review and when the new intranet launches. 	Dec-14
00302 Update TDC staff list for roles requiring DBS checks	Update TDC staff list for roles requiring DBS checks	<ul style="list-style-type: none"> R04.09: Child protection issues 	Cassell, Martyn	Jun-14	Mar-15	Mar-15	100.00%	Completed	<ul style="list-style-type: none"> On-going reviews happen as new establishment roles created or for specific queries on role changes. Jointly shared with EKHR and Designated CP Officer (Community Safety and Leisure Manager). 	Dec-14
00288 Re-establish corporate CP Committee	Re-establish corporate CP Committee	<ul style="list-style-type: none"> R04.09: Child protection issues 	Cassell, Martyn	Sep-14	Jan-15	Jan-15	20.00%	In Progress	<ul style="list-style-type: none"> Officers are due to attend NSPCC formal training in January and will be formulating a review paper following this. The proposed aim is to establish Safeguarding champions across departments to help spread good practice. 	Dec-14
00245 Check compliance with e-learning module for new starters	Check compliance with e-learning module for new starters	<ul style="list-style-type: none"> R04.09: Child protection issues 	Greenway, Charlie	Jun-14	Sep-14	Dec-14	0.00%	Not Started	<ul style="list-style-type: none"> Awaiting confirmation from the Safeguarding Lead for direction on what this control measure entails and how to complete it. 	Dec-14
00246 Complete Kent Safeguarding Children's self-assessment document	Complete Kent Safeguarding Children's self-assessment document	<ul style="list-style-type: none"> R04.09: Child protection issues 	Cassell, Martyn	May-14	Oct-14	Jun-14	100.00%	Completed		<<

Control Measure Name	Description	Risks affected by this Control Measure	Owner	Start Date	Due Date	Est/ Actual End Date	% Done	Stage	Comment	Source Date
00284 Provide media training to all Members.	Provide media training to all Members.	<ul style="list-style-type: none"> R05.01: Media controversy R06.04: Difficulties faced by members in the administration of the council 	Thorpe, Hannah	Sep-14	Mar-16	Mar-16	0.00%	Not Started	<ul style="list-style-type: none"> Training to start following the election - May 2015. 	Dec-14
00290 Review channels of communication to external customers	Review channels of communication to external customers to ensure the council has an integrated plan for improvement.	<ul style="list-style-type: none"> R05.02: Customer expectations/ demands cannot be met by the council 	Wingate, Justine	Sep-14	Mar-15	Mar-15	50.00%	In Progress	<ul style="list-style-type: none"> Work is on-going to facilitate increased customer transactions via the website. Social media continues to be a popular channel and consideration of options for improved listening and monitoring systems to provide us with greater customer insights. 	Dec-14
00276 Explore options to consolidate or share services.	Explore options to consolidate or share services.	<ul style="list-style-type: none"> R06.01: Problems caused by central government policies or practices 	Cook, Paul	Jun-14	Mar-15	Apr-15	30.00%	In Progress	<ul style="list-style-type: none"> A Council-wide audit is underway covering the priorities set in the MTFP 15/19 which will identify potential shared service options. The results of the audit will be considered by CMT in 2015. 	Dec-14
00275 Establish framework for building relationship between the Council and local MPs.	Establish framework for building relationship between the Council and local MPs.	<ul style="list-style-type: none"> R06.01: Problems caused by central government policies or practices 	Homer, Madeline	Jul-14	Sep-14	Sep-14	100.00%	Completed		<<
00247 Consider opportunities for reducing service costs through a programme of service reviews.	Consider opportunities for reducing service costs through a programme of service reviews.	<ul style="list-style-type: none"> R06.01: Problems caused by central government policies or practices 	Cook, Paul	Jun-14	Mar-15	Mar-15	0.00%	Withdrawn	<ul style="list-style-type: none"> Savings are now identified through the MTFS process. 	Dec-14
00295 Run campaign to increase participation in the democratic process.	Run campaign to increase participation in the democratic process.	<ul style="list-style-type: none"> R06.03: Public disengagement from the democratic process 	Wingate, Justine	Oct-13	Mar-15	Mar-15	90.00%	In Progress	<ul style="list-style-type: none"> 2 large scale campaigns were run in 2014. One for the Canvass and another for the introduction of IER. Now embarking on a large scale campaign to promote registration and the 7 May elections. 	Dec-14

Control Measure Name	Description	Risks affected by this Control Measure	Owner	Start Date	Due Date	EST/ Actual Date	% Done	Stage	Comment	Source Date
00291 Review options for improving competency of chairmanship/vice-chairmanship posts	Review options for requiring chairmanship/vice-chairmanship posts to be restricted to those who have been on a chairmanship training	<ul style="list-style-type: none"> R06.04: Difficulties faced by members in the administration of the council 	Back, Glenn	Jul-14	Mar-15	Mar-15	0.00%	Not Started	<ul style="list-style-type: none"> Will be considered as part of induction programme following May election. 	Dec-14
00294 Review the officer: member protocol	Review the officer: member protocol and design and deliver training/awareness raising for staff and members	<ul style="list-style-type: none"> R06.04: Difficulties faced by members in the administration of the council 	Homer, Madeline	Jul-14	Mar-15	Mar-15	10.00%	In Progress	<p>Work has commenced on the Member/Officer protocol, which the Improvement Board is currently considering.</p> <p>Meetings have taken place with the Leader/Chief Executive at Gravesham BC as they went through a corporate peer challenge last autumn and their Member/Officer Protocol has been put forward as best practice by the LGA.</p> <p>The Improvement Board have an action to identify small working group from the Improvement Board to work with the Monitoring Officer, and look at our Member/Officer protocol. Ian Lowrie (chair of Improvement Board & former Chief Exec. of Adur District Council) is to run a session on Member/Officer protocol at Managers Forum in November 2014.</p> <p>Democratic Services Manager will be running training sessions on understanding the constitution in order for greater clarity around boundaries.</p>	Dec-14

Control Measure Name	Description	Risks affected by this Control Measure	Owner	Start Date	Due Date	Est/ Actual End Date	% Done	Stage	Comment	Source Date
00401 Ensure regular meetings of the Constitutional Review Working Party	R06.04 Ensure regular meetings of the Constitutional Review Working Party to address standards issue.	<ul style="list-style-type: none"> R06.04: Difficulties faced by members in the administration of the council 	Back, Glenn	Apr-14	Mar-15	Jun-15	0.00%	In Progress	<ul style="list-style-type: none"> No CRWP meetings have been needed as there have been no proposed changes to the Council's constitution in this quarter. 	Dec-14
00242 Carry out review of the standards regime and make recommendations to Council	Risk R016.04: Carry out review of the standards regime and make recommendations to Council	<ul style="list-style-type: none"> R06.04: Difficulties faced by members in the administration of the council 	Boyle, Steven	Jul-14	Mar-15	Mar-15	40.00%	In Progress	<ul style="list-style-type: none"> This is being reviewed through the Improvement Board and there is also a resource from the LGA. 	Dec-14
00281 Introduce new standards regime (following Council decision)	Introduce new standards regime (following Council decision)	<ul style="list-style-type: none"> R06.04: Difficulties faced by members in the administration of the council 	Back, Glenn	Jul-14	Mar-15	Mar-15	0.00%	Withdrawn	<ul style="list-style-type: none"> CM withdrawn as new Control Measure 00401 created 'Ensure regular meetings of the Constitutional Review Working Party'. 	Dec-14
00286 Provide training for all members on chairmanship and meeting management	Provide training for all members on chairmanship and meeting management	<ul style="list-style-type: none"> R06.04: Difficulties faced by members in the administration of the council 	Back, Glenn	Jul-14	Mar-15	Mar-15	0.00%	Not Started	<ul style="list-style-type: none"> Will be considered as part of induction programme following May election. 	Dec-14
00287 Recruit to the senior staffing structure with the right calibre of staff as quickly as possible	Recruit to the senior staffing structure with the right calibre of staff as quickly as possible	<ul style="list-style-type: none"> R07.01: Staff capacity issues 	Greenway, Charlie	Jun-14	Nov-14	Apr-15	30.00%	Approved	<ul style="list-style-type: none"> CEX recruitment and process agreed by GPC. Adverts placed for all vacant senior posts with recruitment expected to be complete by end April 2015. 	Dec-14
00292 Review pay scheme suitability.	Review pay scheme suitability.	<ul style="list-style-type: none"> R07.01: Staff capacity issues 	Greenway, Charlie	Oct-14	Oct-15	Oct-15	10.00%	In Progress	<ul style="list-style-type: none"> Financial Analysis nearing completion. Revisit of objective, structure, process and system scheduled. 	Dec-14
00293 Review staff structure in the light of refreshed Council priorities.	Review staff structure in the light of refreshed Council priorities.	<ul style="list-style-type: none"> R07.01: Staff capacity issues 	Greenway, Charlie	Nov-14	Dec-15	Dec-15	0.00%	Not Started	<ul style="list-style-type: none"> Senior staff structure has been confirmed further review within Directorates will be carried out once the new incumbents are in place 	Dec-14

Control Measure Name	Description	Risks affected by this Control Measure	Owner	Start Date	Due Date	EST/ Actual End Date	% Done	Stage	Comment	Source Date
00263 Develop plan to build project and programme management capability (Peer Review).	Develop plan to build project and programme management capability (Peer Review).	<ul style="list-style-type: none"> R07.01: Staff capacity issues 	Greenway, Charlie	Apr-14	Mar-15	Apr-16	0.00%	In Progress	<ul style="list-style-type: none"> The Workforce Strategy and Plan is being developed through 2014 and a plan is approved and in place to achieve this. 	Dec-14
00279 Identify reactive services where tracking of work capacity indicators would be beneficial	Identify reactive services where tracking of work capacity indicators would be beneficial (a form of contextual indicator) and set these indicators up in InPhase.	<ul style="list-style-type: none"> R07.01: Staff capacity issues R08.01: Service failure or closure 	Walker, Nicola	Sep-14	Mar-15	Mar-15	0.00%	Withdrawn	<ul style="list-style-type: none"> Control Measure Withdrawn 	Dec-14
00277 Identify administration key man risk and develop a plan to minimise this risk.	Identify administration key man risk and develop a plan to minimise this risk.	<ul style="list-style-type: none"> R07.01: Staff capacity issues R08.01: Service failure or closure 	Greenway, Charlie	Apr-14	Mar-15	Mar-15	10.00%	In Progress	<ul style="list-style-type: none"> Analysis of agency usage for administrative cover over the past 12 months is underway to inform whether key man risk and resilience challenges across the organisation's administration staffing are evidenced. This will inform further action to mitigate this (if evidenced). 	Dec-14
00258 Develop an option appraisal for the introduction of a mentoring or coaching scheme.	Develop an option appraisal for the introduction of a mentoring or coaching scheme.	<ul style="list-style-type: none"> R07.02: Staff capacity issues 	Greenway, Charlie	Jan-15	Mar-15	Mar-15	0.00%	Not Started	No Officer comment as CM commences after Quarter 3	>>
00298 Undertake 'skills gap' analysis when corporate priorities are rationalised (Peer Review).	Undertake 'skills gap' analysis when corporate priorities are rationalised (Peer Review).	<ul style="list-style-type: none"> R07.02: Staff capacity issues 	Greenway, Charlie	Oct-14	Dec-14	Apr-16	1.00%	In Progress	<ul style="list-style-type: none"> The Workforce Strategy and Plan is being developed through 2014 and a plan is approved and in place to achieve this. 	Dec-14
00252 Develop a toolkit for managers to support and develop their staff.	Develop a toolkit for managers to support and develop their staff.	<ul style="list-style-type: none"> R07.02: Staff capacity issues 	Greenway, Charlie	Mar-15	May-15	May-15	0.00%	Not Started	No Officer comment as CM commences after Quarter 3	>>

Control Measure Name	Description	Risks affected by this Control Measure	Owner	Start Date	Due Date	EST/ Actual End Date	% Done	Stage	Comment	Source Date
00253 Develop a training programme on competent decision making.	Develop a training programme on competent decision making.	<ul style="list-style-type: none"> R07.02: Staff capability issues 	Greenway, Charlie	Apr-14	Jan-15	Jan-15	1.00%	In Progress	<ul style="list-style-type: none"> This control measure will form part of a wider training programme being developed by the Democratic Services Manager. 	Dec-14
00274 Establish a project risk register	Establish a project risk register	<ul style="list-style-type: none"> R09.01: Major project failure (e.g. Dreamland, Margate Housing Intervention) 	Walker, Nicola	Jul-14	Aug-14	Oct-14	40.00%	Withdrawn	<ul style="list-style-type: none"> CM withdrawn and new BAU created as major project risk registers are held for all projects over £1.5m. 	Dec-14
00296 Timely adoption of sound local plan	Timely adoption of sound local plan	<ul style="list-style-type: none"> R09.03: Changes in Thanet's demography not considered in planning R09.04: Unsustainable development/lack of the right development 	Verrall, Adrian	Aug-12	Feb-17	Feb-17	30.00%	In Progress	<ul style="list-style-type: none"> Demographic trends have and are being considered. Employment trends have been ascertained from a specially commissioned Experian study; Housing trends have been ascertained from the 2011 Census as run through the POP group model by KCC, and an independent strategic housing market assessment. The data will continue to be reviewed as more up-to-date information becomes available. 	Dec-14
00254 Develop a transport strategy & infrastructure delivery plan for Thanet	Develop a transport strategy and infrastructure delivery plan for Thanet to support the Local Plan.	<ul style="list-style-type: none"> R09.04: Unsustainable development/lack of the right development 	Verrall, Adrian	Aug-12	Feb-17	Feb-17	30.00%	In Progress	<ul style="list-style-type: none"> The Transport Strategy is being progressed with the County Council and will be completed ready for consultation for stage 3 of the Local Plan in September/October 2015. 	Dec-14

Control Measure Name	Description	Risks affected by this Control Measure	Owner	Start Date	Due Date	EST/ Actual End Date	% Done	Stage	Comment	Source Date
00251 Develop a new parking strategy that complements the developing transport strategy.	Develop a new parking strategy that complements the developing transport strategy.	<ul style="list-style-type: none"> R09.04: Unsustainable development/lack of the right development 	Chantrill-Smith, Robin	Jul-14	Dec-14	Dec-14	100.00%	Completed	<ul style="list-style-type: none"> Draft report written being presented at O&S on 13 Jan and then to Cabinet on 20 January 2015 	Dec-14

Section 3

Changes to the Corporate Risk Register

Change in Risk Owner

R04 Risks - Failure of appropriate sustainable business administration practices			
Name	Description	Owner	New Owner
R04.07: Emergency planning failure	R04.07: Emergency planning failure	Humber, Mike	Luke Glover, Deputy Technical Services Manager
R09.04: Unsustainable development/lack of the right development	R09.04: Unsustainable development/lack of the right development	Fitt, Colin	Adrian Verrall, Strategic Planning Manager following departure of postholder. This will be on an interim basis until Head of Built Environment in post March 2015.
R04.01: Risk of injury due to Health & Safety failings	R04.01: Risk of injury due to failure to sustain appropriate Health & Safety conditions for work	Seed, Mark	Paul Cook, Interim Corporate Resources Director following departure of postholder.

Change in Owner for Time-bound Control Measures (TCA)

Control Measure Name	Description	Risks affected by this Control Measure	Owner	New Owner
00296 Timely adoption of sound local plan	Timely adoption of sound local plan	<ul style="list-style-type: none"> R09.03: Changes in Thanet's demography not considered in planning R09.04: Unsustainable development/lack of the right development 	Mohammed, Ismail	Adrian Verrall, Strategic Planning Manager following departure of postholder.
00254 Develop a transport strategy & infrastructure delivery plan for Thanet	Develop a transport strategy and infrastructure delivery plan for Thanet to support the Local Plan.	<ul style="list-style-type: none"> R09.04: Unsustainable development/lack of the right development 	Mohammed, Ismail	Adrian Verrall, Strategic Planning Manager following departure of postholder.

Change in Owner for Business as Usual Control Measures (BAU)

Control measure	Description	Risk	Owner	New Owner
BAU0090 Maintain up-to-date Emergency plan.	Maintain up-to-date Emergency plan.	<ul style="list-style-type: none"> • R04.05: Failure of ICT systems/ infrastructure • R04.07: Emergency planning failure 	Humber, Mike	Luke Glover, Deputy Technical Services Manager
BAU0098 Provide refresh training on emergency planning (including working with emergency services).	Provide refresh training on emergency planning (including working with emergency services).	<ul style="list-style-type: none"> • R04.07: Emergency planning failure 	Humber, Mike	Luke Glover, Deputy Technical Services Manager

Risk Control Measures Withdrawn - TCA/BAU

Control measure	Description	Risk	Owner	Reason

New Control Measures - TCA/BAU

Control measure	Description	Risk	Owner	Reason

Section 4

Officer List with Designation

Owner	Designation	Notes
Askew, Louise	Economic Development Manager	
Back, Glenn	Democratic Services Officer	
Boyle, Steven	Legal Services Manager	
Brown, Robert	Maritime Operations Manager	
Cassell, Martyn	Community Safety and Leisure Manager	
Chadwick, Sophie	Customer Contact an Engagement Manager	
Chantrill-Smith, Robin	Civil Enforcement Manager	
Cook, Carol	Policy Officer	
Cook, Paul	Director of Corporate Resources/Head of Financial Services	
Crowley, Edwina	Head of Economic Development and Asset Management	
Glover, Luke	Deputy Technical Services Manager	
Greenway, Charlie	HR Business Partner	Updates made by Head of EKHR
Homer, Madeline	Acting Chief Executive/Director of Community Services	
Humber, Mike	Technical Services Manager	
Paton, Karen	Strategic Procurement Manager	
Sanham, Matthew	Corporate Finance Manager	
Sproates, Morgan	Environmental Protection Manager	
Tebbett, Stephen	Business Analyst	
Thomas, Simon	Planning Manager	
Thorpe, Hannah	PR and Publicity Manager	
Tinley, Carolyn	Facilities Manager	
Verrall, Adrian	Strategic Planning Manager	
Waite, Gavin	Head of Operational Services	
Walker, Nicola	Interim Head of Financial Services/Technical Finance Manager	
Wenham, Tanya	Head of Housing	
Wing, Helan	Corporate Resource Officer	
Wingate, Justine	Communications Manager	
Woodgate, Simon	Cemeteries and Crematorium Registrar	