Corporate Risk Register

August 2015

R01.01: Too Many Priorities

Risk owner: Director of Corporate Resources

Cause	**Too many objectives set as the Council tries to be 'all things to all people'** **Incorrect assumptions made in setting the MTFP**
Examples of potential causes	- Poor understanding of statutory guidance; - Poor understanding of capacity & capability to deliver; - Flawed mechanisms for delivery of MTFP - Too many priorities in Corporate Plan - Over-estimation of staff capacity when strategic or operational decisions are taken; - Long-term aims are not clearly defined; - Failure to consider agreed priorities when deciding objectives; - Decisions are made on priorities without adequate consideration of the funding required or available to deliver those priorities; - Failure to agree service standards and expectations for functions or matters that are a lower priority or a non-priority; - Failure to review services which consistently deliver beyond their objectives; - Delivering "gold-plated" services which use up valuable resources; - Attempts to deliver matters that are insufficiently funded threatens the funding of stated key priorities
Trigger events/ situations	**Approval of MTFP with incorrect assumptions** **Timescales and budgets set for key pieces of work become unrealistic; poor service delivery as too many matters are juggled**
Examples of potential trigger events/situations	- Approval of MTFP with incorrect assumptions - Everything is a priority
Consequence	**MTF strategy is undermined** **Inability to focus on priorities** **Failure to deliver stated objectives in a timely manner**
Examples of potential consequences	- Limited clarity of purpose leads to difficulties in motivating staff; - An increasing number of items of work become deferred; - Projects take longer than planned as resources have to be regularly moved around to meet multiple requirements; - The council's project completion record deteriorates; - Ineffective and ineffective decision as too many matters have to be juggled; - Council gains a reputation for not delivering what it says it will; - Projects become drawn out or fail - Senior staff & members continually need to revise intentions because prioritisation is ineffective - Co-operation with partners is inconsistent - Officers and members unable to articulate a shared set of priorities.

Risk Score: Uncontrolled			Risk Score: Controlled			Risk Score: Present		
P: 3	I: 4	R: 12	P: 2	I: 4	R: 8	P: 4	I:34	R: 12
High			Medium-high			High		

Control Measure	CM type	CM owner	Start date	Due date
Develop a clear understanding of member priorities and communicate this to the organisation and its stakeholders	TCA	Chief Executive	July 14	Oct-15
Develop an annual prioritisation processes that ensures consistency between the corporate plan, service plans and strategic objectives.	TCA	Policy and Business Planning Manager	Oct-14	Dec-15
Undertake review of constitutional and delegated powers to ensure that officers are working within their powers	TCA	Legal Services Manager	Jul-14	Dec-15
Develop a way of refining priorities to 'focus on a smaller number', in time to inform the next corporate plan	TCA	Director of Corporate Resources	Jun-14	Oct-15
Ensure member engagement in development of financial assumptions.	BAU	Head of Financial Services		
Ensure external funding opportunities are explored.	BAU	Technical Finance Manager		
Thorough review of reserves as part of budget process	BAU	Head of Financial Services		

R01.02: Challenging Economic Climate
Risk owner: Director of Corporate Resources

Cause	MTFP risk levels change
Examples of potential causes	- Savings targets not met; - Project where significant unbudgeted legal challenge costs arise; - Inadequate provision for repair, maintenance or replacement of major plant and equipment; - Inadequate insurance cover; - Unexpected reductions in central government support; - Reduced demand for paid-for services; - Increased demand for services; - New priorities agreed which differ from those used to develop the MTFP; - High cost projects are not clearly handed over when staff leave; - Disasters/ emergencies which lead to extra costs not eligible for government support; - Legislation or new statutory guidance requires the council to meet an extra service obligation; - Treasury policy not fit for purpose or not adhered to; - TDC must transfer services to government department or other organisation.
Trigger events/ situations	**Major change in business environment changes risk level of MTFP**
Examples of potential trigger events/situations	- Managers don't meet expected savings; - Income or costs exceed acceptable tolerances; - Major loss of income; - Decision to change priorities leads to additional financial cost; - An event or incident occurs where insurance provision is inadequate; - High value of claims below excess limits; - New financial obligation or rediscovery of existing financial obligation that was not allowed for in financial plans; - Major asset (buildings, plant & equipment) require unplanned spending on repair/ replacement; - Fraud loss not covered by insurance; - New legislation or regulations with adverse resource implications.
Consequence	**Need for changes to service provision**
Examples of potential consequences	- Need to prioritise / rationalise/ terminate some services; - Reduced services to customers; - Inability to achieve objectives; - Impact on reserves; - Inability to comply with regulation; - Debt levels rise above acceptable proportions; - Deterioration of assets and asset values; - Funds spent on more expensive reactive maintenance rather than planned maintenance.

Risk Score: Uncontrolled			Risk Score: Controlled			Risk Score: Present		
P: 3	I: 4	R: 12	P: 2	I: 4	R: 8	P: 4	I: 2	R: 8
High			Medium-high			Medium-high		

Control Measure	CM type	CM owner	Start date	Due date
Ensure that budget consultation for 2016-17 supports the identification of priorities for the new Corporate plan.	TCA	Director of Corporate Resources	Jul-15	Jan- 16
Adopt an asset management strategy and plan (land and buildings) with director and cross-party member commitment.	TCA	Head of Economic Development and Asset Management	Jan 14	Sept 15
Ensure council assets are reviewed so that long run maintenance requirement is consistent with budget provision.	TCA	Head of Financial Services	Jun-14	Dec-15
Foster strong relationship between Cabinet and SMT through informal meetings on regular basis.	BAU	Chief Executive		
Identify required repair and maintenance on major assets and buildings and use this to inform an adequate budget.	BAU	Head of Financial Services		
Review of asset register to identify those assets near the end of their useful life (vehicles, plant and equipment) and build capital asset replacement/ disposal (vehicles, plant and equipment) into the Capital Programme.	BAU	Head of Financial Services		
Regular monitoring of outstanding debts working with debtors at the earliest opportunity.	BAU	Head of Financial Services		
Carry out reviews of the replacement needs for all the main items of council's plant and equipment, and ensure that capital bids are submitted if replacement is required within the next five years, so that financial provision can be made.	TCA	All Directors		

R03.02: Partnerships

Risk owner: Director of Corporate Resources

Cause	Inadequacies in partnership resourcing and governance arrangements
Examples of potential causes	- Individual partners fail to allocate sufficient resources to deliver their agreed contribution effectively; - Demands are made that are outside of the agreed scope of the partnership; - Governance arrangements not clearly set out or complied with (including those for information management); - No regular monitoring of partnership progress; - Resourcing cuts by individual partners leave the Council exposed; - Costs of partnership exceed original expectations; - Change in priorities of an individual partner; - Lack of binding agreement allows withdrawal of partner at cost to the remainder.
Trigger events/ situations	**Partnerships embark on activities without adequate resources or governance arrangements in place to sustain/deliver those activities**
Examples of potential trigger events/situations	- Partnership commences activity without implementing adequate governance arrangements; - Partner asks to renegotiate terms or decides to pull out of partnership
Consequence	**Partnership fails to meet its potential**
Examples of potential consequences	- Communications between partners becomes less effective; - TDC receives poor value for money for its contribution to the partnership; - Increase in complaints relating to services provided by the partnership; - Partnership objectives are not met; - Breach of TDC statutory responsibility (including corporate e.g. equality duty or DPA compliance); - Withdrawal of partners; - Financial loss, including loss of funding; - Lack of agreeable exit options; - Legal costs; - Partnership projects have to be scaled back/closed down; - Closure of partnership; - Reputational damage.

Risk Score: Uncontrolled			Risk Score: Controlled			Risk Score: Present		
P: 3	I:4	R: 12	P: 2	I: 2	R: 4	P: 2	I: 2	R: 4
		High			Medium-Low			Medium-Low

Control Measure	CM type	CM owner	Start date	Due date
Carry out review applying the template to existing	TCA	Customer Contact and	Apr-14	Jan-16

Control Measure	CM type	CM owner	Start date	Due date
partnerships (agreement for supply of services that involves the council without formal contract).		Engagement Manager		
Ensure the partnership template established and 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.	TCA	Director of Corporate Resources	Jul-14	Jan-16
Use the performance board and directorate management meetings to challenge on the progress/ performance of the main partnerships though the year, checking that two way dialogue is taking place between TDC lead and partners.	BAU	Policy and Business Planning Manager		

R04.01: Health & Safety at work

Risk owner: Director of Operational Services

Cause	Issues with Health and Safety Procedures
Examples of potential causes	• Health & Safety procedures not robust; • Health & Safety procedures are not followed
Trigger events/ situations	**Individuals sustain injuries**
Examples of potential trigger events/situations	• Staff injury whilst undertaking council duties.
Consequence	**Costs, morale implications and reputation issues**
Examples of potential consequences	• Injured staff; • Possible corporate manslaughter; • Failure to meet statutory requirement; • Insurance claim against the council; • Dissatisfaction/ representations from colleagues of injured staff; • Loss of capacity due to staff absence through injury; • Reputational damage; • Adverse reporting in the public media; • Financial loss due to change in HSE requirements.

Risk Score: Uncontrolled			Risk Score: Controlled			Risk Score: Present		
P: 3	I: 4	R: 12	P: 1	I: 4	R: 4	P: 3	I: 4	R: 12
		High			Medium-high			High

Control Measure	CM type	CM owner	Start date	Due date
Regularly review and adapt maintenance regimes for the main items of council's plant and equipment to ensure equipment is efficient, effective and safe. • around the coastline and at the port and harbour, • used in the recycling, waste and cleansing services • used in the parks services • used in the crematorium & cemetery service.	TCA	Technical Services Manager	July-14	Dec-15
Ensure that Health and Safety policy is up to date and that risk assessments are done, and that sufficient resources exist for safe working.	TCA	Director of Operational Services	July-14	Dec-15
Ensure appropriate health and safety training	BAU	Director of		

occurs within the services.		Operational Services		
Ensure that contracts used by TDC insist on appropriate health & safety standards.	BAU	Director of Operational Services		

R04.06: Information Management Practices

Risk owner: Customer Contact and Engagement Manager

Cause	Inadequate information management arrangements in place
Examples of potential causes	- Information management systems insufficient; - Failure to move from paper to digital systems; - Inadequate training of staff or members on information management matters; - Non-compliance with government controls on the management and labelling of information; - Data protection arrangements inadequate or not adhered to; - Data sharing arrangements with partners inadequate or not adhered to; - Ignorance of proper protocols leads to under-use of information management processes; - Vexatious requests or vexatious complainants tolerated; - Misuse of systems or information by staff or members; - Information held by the Council is lost, forgotten, overlooked or ignored.
Trigger events/ situations	Event occurs where lack/disclosure of information is a serious issue
Examples of potential trigger events/situations	- Complaint to Information Commissioner; - A decision requires information which is no longer kept (or has been overlooked) by the Council; - Information is shared or disclosed when it should not be.
Consequence	Unplanned cost in time and money, project failure and reputational damage
Examples of potential consequences	- Fine imposed by the Information Commissioner; - Unsustainably high level of requests for information through FOI; - Project delay or failure; - Schedule of publication requires refresh; - Disciplinary action is required; - Reputational damage.

Risk Score: Uncontrolled			Risk Score: Controlled			Risk Score: Present		
P: 3	I: 3	R: 9	P: 2	I: 2	R: 4	P: 3	I: 3	R: 9
Medium-high			Medium-low			Medium-high		

Control Measure	CM type	CM owner	Start date	Due date
Adopt and ensure adherence to the government's code of conduct on data transparency.	TCA	Customer Contact and Engagement Manager	Apr 14	Dec-15
Following recruitment to post, raise profile and deliver training on good information management practices, including quality and appropriateness.	TCA	Customer Contact and Engagement Manager	Oct 14	Dec 15
Re-introduce housekeeping days (electronic as	TCA	Customer Contact and	Sept 14	Dec 15

Control Measure	CM type	CM owner	Start date	Due date
well as paper filing).		Engagement Manager		
Ensure information management policies exist and staff comply with the policies	BAU	Customer Contact and Engagement Manager		
Ensure data protection processes are implemented and maintained.	BAU	Legal Services Manager		
Ensure website contains information that is most commonly requested.	BAU	Customer Contact and Engagement Manager		
Ensure up to date retention schedules and timely destruction of records.	BAU	Customer Contact and Engagement Manager		
Undertake regular analysis of complaints relating to information failures, to inform staff training needs	BAU	Customer Contact and Engagement Manager		

R04.07: Major Emergency

Risk owner: Technical Services Manager

Cause	Issues with Emergency Plan arrangements
Examples of potential causes	• Emergency planning documentation is not in place or is not robust; • Participants not adequately trained to implement plans; • Key staff are unavailable when emergency occurs (e.g. SMT, communications).
Trigger events/ situations	**Emergency occurs for which the council is unprepared or responds poorly**
Examples of potential trigger events/situations	• Major national grid failure; • Plane crash • Flooding; • Major fire.
Consequence	**Confusion leading to vulnerability of local people and service failure**
Examples of potential consequences	• Avoidable fatalities or injuries occur; • Impact on emergency services; • People are left vulnerable by an incident when they should not be; • Confusion over responsibilities; • Lack of clear understanding links to mixed messages between stakeholders; • Service failures; • Potential health and safety issues; • Possible corporate manslaughter; • Possible breach of contract.

Risk Score: Uncontrolled			Risk Score: Controlled			Risk Score: Present		
P: 4	I: 3	R: 12	P: 1	I: 3	R: 3	P: 2	I: 3	R: 6
High			Medium-low			Medium-high		

Control Measure	CM type	CM owner	Start date	Due date
Develop and implement a succession management plan. Providing clarity over roles and rotation.	TCA	Technical Services Manager with HR.	Sept-14	Dec-15
Maintain up-to-date Emergency plan.	BAU	Technical Services Manager		
Provide refresh training on emergency planning (including working with emergency services).	BAU	Technical Services Manager		

Ensure programme of review and testing of business continuity plan which includes shared service partners.	BAU	Policy and Business Planning Manager		
Provide refresh training on business continuity.	BAU	Policy and Business Planning Manager		

R04.09: Safeguarding Vulnerable People

Risk owner: Community Safety and Leisure Manager

Cause	TDC do not follow procedures in place and fail to respond to a child protection issue
Examples of potential causes	- Inadequate procedures in place; - Inadequate training arrangements; - Procedures not followed e.g: - Child left in harm through staff member not reporting concern quickly or at all - Staff member considers an incident to be too small in nature to be worth reporting; - Staff member left vulnerable to untrue allegations - System failure – IT or business continuity as all referrals are done electronically through Civica direct to KCC Social Services - Inadequate vetting of staff who will be working in situations where they will come into contact with children;
Trigger events/ situations	Child is harmed or untrue allegation are made against TDC staff/partners
Examples of potential trigger events/situations	- Harm comes to a child which could have been avoided if TDC staff/partners had reported it; - Child is harmed by TDC employee/partner; - Untrue allegation of harm is made against TDC staff/partners.
Consequence	Negative impacts on the family, staff members and the council overall
Examples of potential consequences	- Longer term impacts on the child and its family; - Serious case review finds the Council to be wanting; - Reputational damage; - Impact on staff morale particularly those who had an opportunity to prevent harm; - Financial sanctions against the Council; - Psychological impact on staff member against whom untrue allegations have been made.

Risk Score: Uncontrolled			Risk Score: Controlled			Risk Score: Present		
P: 3	I: 3	R: 9	P: 1	I: 3	R: 3	P: 2	I: 3	R: 6
Medium-high			Medium-low			Medium-high		

Control Measure	CM type	CM owner	Start date	Due date
Re-establish corporate CP Committee	TCA	Community Safety and Leisure Manager	Sept-14	Dec-15
Complete Kent Safeguarding Children's self-assessment document	TCA	Community Safety and Leisure Manager	May-14	Dec-15

Update TDC staff list for roles requiring DBS checks	TCA	Community Safety and Leisure Manager	Jun-14	Dec-15
Update CP information on TOM	TCA	Community Safety and Leisure Manager	Sept-14	Jan-16
Check compliance with e-learning module for new starters	TCA	HR Business Partner	Jun-14	Sep-15
Process electronic referrals of CP issues and send to Social Services	BAU	Community Safety and Leisure Manager		
Maintain the Corporate Child Protection policy	BAU	Community Safety and Leisure Manager		

R05.01: Reputation and Public Perception

Risk owner: PR and Publicity Manager

Cause	Controversial decisions and/or inadequacies in communication arrangements
Examples of potential causes	- Council becomes involved in projects that relate to matters that are locally controversial; - Inaccurate reporting of legal challenges in the media; - Ineffective communication with the media; - Use of communication channels that are not favoured by customers; - Ineffective use of social media; - Staff capacity does not allow time for considered response to enquiries; - Staff not trained to consider PR impact of their activities; - Inadequate media training of staff and members; - Limited staff capacity resulting in limited amount of time available for media relations; - Inadequate responses to customer complaints, FOIs or media stories; - Council response to negative stories about the council on social media is ineffective; - Sensational stories published in media without proper consideration of facts resulting in inaccurate information in the public domain; - Failure to meet/manage customer expectations; 'Leak', or failure to follow approved process for ensuring document security.
Trigger events/ situations	**Controversial story publicised in the media**
Examples of potential trigger events/situations	- Adverse reports in the local, regional or national media; - Negative comments and discussions on social media.
Consequence	**Media controversy impacts on the council's ability to achieve its objectives**
Examples of potential consequences	- Projects are delayed and costs escalate; - Additional legal resources required; - Requirement to use resources to carry out a review of council actions; - Reputational damage; - Increasing resident dissatisfaction; - Loss of trust in the council; - Public disengagement from involvement with the council; - Growth in negative perceptions about Thanet as an area; - Recruitment/retention problems; - Prospective partners disengage from the council reducing the council's ability to meet its objectives and potentially leading to a withdrawal of investment into the area; - Increasing vulnerability to less scrupulous enterprise because of growth in the perception that in Thanet the council is not effective at dealing with controversy.

Risk Score: Uncontrolled	Risk Score: Controlled	Risk Score: Present

P: 4	I: 4	R: 16	P: 3	I: 2	R: 6	P: 3	I: 3	R: 9
		High			Medium-high			Medium-high

Control Measure	CM type	CM owner	Start date	Due date
Provide media training to relevant staff and all Members.	TCA	PR & Publicity Manager	Jul-14	Oct-15
Ensure appropriate level of legal advice is sought for major projects through the active involvement of Legal Services Manager in the project approval process.	BAU	Legal Services Manager		
Accurate, timely press releases supported by measured PR.	BAU	PR and Publicity Manager		
Ensure adherence to council's decision making processes.	BAU	Legal Services Manager		
Regular dialogue that foster good relationships with the media.	BAU	PR and Publicity Manager		
Use customer insight and market segmentation to inform communication methods.	BAU	Communications Manager		

R06.04: Political Leadership
Risk owners: Leader and Chief Executive

Cause	**Issues which make it difficult for elected members to carry out the administration of the council**
Examples of potential causes	- Changes to National or County priorities affect TDC's role in strategy; - Changing priorities based on differing political alignments (national or local) isolates Thanet so influence is lost; - Lack of capacity to engage in the various Kent led forums across Kent; - Changes in operational emphasis affects project resourcing; - KCC cutbacks disadvantage Thanet - Ineffective or inefficient public meetings; - Inappropriate behaviour by individual councillors; - Ineffective standards regime; - Ineffective communication between senior management and members; - Officer: member protocol inadequate or not adhered to; - Ward councillors not provided with the relevant and topical information expected under the officer: member protocol; - Lack of training for committee chairs and vice-chairs; - Lack of media training for members.
Trigger events/ situations	**Central Government or KCC take decisions which have adverse impact on Thanet Actions which exacerbate underlying issues**
Examples of potential trigger events/situations	- Central Government or KCC decision to withdraw or reduce investment in Thanet - Confidential papers are leaked; - The action of an individual councillor brings the council into disrepute; - Members find out information about an issue via the media rather than communication from officers; - Important decision postponed due to disruption at a meeting.
Consequence	**Negative impacts on the district, TDC becomes isolated** **Council distracted from the delivery of its objectives**
Examples of potential consequences	- TDC's knowledge of national and county initiatives in Thanet or of wider issues is reduced; - Loss of strategic context; - Thanet resourcing is reduced; - Thanet misses out on investment opportunities; - Inappropriate behaviour by individual councillors continues as standards regime is ineffective; - Lack of relevant information makes it difficult for councillors to fulfil their role effectively; - Current partners withdraw from partnership to protect themselves from misrepresentation through leaks of confidential information; - Potential partners are dissuaded from entering into partnership due to risk of confidential information being leaked; - Financial costs and waste of staff resource on matters that could be resolved through an effective standards regime; - Ineffective chairmanship limits meeting effectiveness, impacting on

council business;
- Reputational damage to the council;
- Public disengagement from the democratic process
- Difficult for council leadership to gain a clear mandate;
- Change in council priorities by a new leadership could lead to reputational damage,
- Basis for democratic accountability is undermined;
- Inadequate knowledge of public opinion undermines validity of decisions;
- Greater exposure to single issue pressure groups leading to decisions that may not be in the interests of the local economy.

Risk Score: Uncontrolled			Risk Score: Controlled			Risk Score: Present		
P: 3	I: 4	R: 12	P: 2	I: 2	R: 4	P: 2	I: 4	R: 8
High			Medium-low			Medium-High		

Control Measure	CM type	CM owner	Start date	Due date
Engage members when developing plans for the year (including service plans).	TCA	Director of Corporate Resources	May-15	Dec-15
Provide training for all members on chairmanship and meeting management	TCA	Democratic Services Manager	Jul-14	May-15
Ensure the right members are fully briefed and prepared to attend the right meetings.	TCA	Chief Executive and Leader	May-15	Dec-15
Carry out review of the standards regime and make recommendations to Council	TCA	Legal Services Manager	Jul-14	Dec-15
Introduce new standards regime (following Council decision)	TCA	Democratic Services Manager	Jul-14	Dec-15
Review the officer: member protocol and design and deliver training/awareness raising for staff and members	TCA	Chief Executive and Leader	Jul-14	May-15
Provide media training to all members following the election	TCA	PR and Publicity Manager	Jul-14	May-15
Maintain regular 1:1s between directors and portfolio holders	BAU	Chief Executive		

R07.01: Business Continuity

Risk owner: Chief Executive

Cause	**Issues with Business Continuity Arrangements** **Mismatch between staff resources in post and service expectations causes false understanding of capacity and resilience**
Examples of potential causes	• Business continuity documentation is not in place or is not robust; • Management and staff not adequately trained to implement plans; • Limited communication with suppliers of key local infrastructure (e.g. KCC, Southern Water) who could take action that would reduce the impact of a Business Continuity incident on TDC; • Key staff are unavailable when needed (e.g. SMT, communications • Reorganisation results in lack of resilience – e.g. only one person knows how to carry out a task; • Re-organisation important functions are left under-resourced following a restructure; • Vacant posts take too long to fill; • Difficulties in attracting suitable candidates for vacant posts; • Vacant post savings targets lead to reduction in capacity; • Limited delegation to, and empowerment of, staff; • Restructures take a long time to agree and implement; • Inadequate assessment of service requirements; • Failure to rationalise or deprioritise in response to funding cuts; • Unnecessary or unnecessarily complex corporate processes reduce capacity for service delivery; • Inconsistent handover practices; • Inadequate succession planning arrangements; • Ineffective arrangements for hand-over of functions; • Capability issues aggravate capacity issues; • Implementation of more efficient working fails to deliver the reduction in pressure on staff resources that was originally envisaged;
Trigger events/ situations	**Situation occurs where services are inadequately covered or missed or for which the council is unprepared or responds poorly**
Examples of potential trigger events/situations	• TDC IT system failure; • Protracted power failure; • Major incident which affects TDC service delivery (e.g. tower-block fire, sewage discharge by Southern Water) • Key post-holder leaves with inadequate handover Tasks missed or completed badly; • Discovery of crucial gaps in staffing structure; • Inability to cover staff absence; • Non-compliance with legislation/ regulation, or with requirements of grant funding; • Experienced/key worker(s) leave(s) or is/are absent and roles are assigned to people who lack the required knowledge/ expertise; • Discovery that there is no-one able to carry out a specific task.
Consequence	**Service failure or reduction in performance leading to breakdown in cohesiveness of service delivery**

	Confusion leading to vulnerability of local people and service failure
Examples of potential consequences	• Confusion over responsibilities; • Lack of clear understanding links to mixed messages internally and externally; • People are left vulnerable when they should not be; • Service failure; • Possible breach of contract; • Potential health and safety issues • Key functions poorly covered; • Provision of limited or no service for a period of time; • Decision making processes slowed down as senior management capacity becomes over-stretched; • Failure to deliver objectives; • Operational service requirements not properly understood by management; • Functions remain uncovered until a crisis exposes need; • Grant funding has to be paid back, and chances of future funding are reduced; • Disillusionment with required processes; • Repetitive recruitment drives; • Pressure on staff increases, leading to stress, demotivation, lower staff morale, and higher sickness levels; • Unsustainable working practices; • Loss of positive ambition as the organisation becomes more risk averse; • Damaged employee -employer relations; • Fines/costs are incurred as things are missed; • Reputational damage.

Risk Score: Uncontrolled			Risk Score: Controlled			Risk Score: Present		
P: 3	I: 3	R: 9	P: 2	I: 2	R: 4	P: 3	I: 3	R: 9
Medium-high			Medium-low			Medium-high		

Control Measure	CM type	CM owner	Start date	Due date
Recruit to the senior staffing structure with the right calibre of staff as quickly as possible	TCA	HR Business Partner	Jun-14	Sep-15
Develop and implement a succession management plan.	TCA	HR Business Partner	Sept-14	Mar-15
Develop plan to build project and programme management capability (Peer Review).	TCA	HR Business Partner	Sept-14	Dec-15
Identify administration key man risk and develop a plan to minimise this risk.	TCA	HR Business Partner	Sept-14	Dec-15
Review staff structure in the light of refreshed Council priorities.	TCA	HR Business Partner	Nov-14	Dec-15
Review pay scheme suitability.	TCA	HR Business Partner	Jun-15	Oct-15
Regularly review pay scheme suitability.	BAU	HR Business Partner		

Regular policy updates that provide early warning of legislative changes	BAU	Policy officer		
Identify financial implications of legislative changes and use this to inform MTFP development for staff resources	BAU	Head of Financial Services		
Undertake regular review of workforce matters including adequacies of staff levels	BAU	Chief Executive		
Active strategic management of annual and flexi leave entitlements, using early warning system to avoid build up.	BAU	HR Business Partner		
Management of annual leave/flexi through line management.	BAU	Chief Executive		
Communication to staff of planned approach during staff shortages.	BAU	Chief Executive		
Recognition of and thanks for additional workload taken on by staff during adverse times.	BAU	Chief Executive		

R09.01: Major Projects Management

Risk owner: Chief Executive

Cause	Poor project planning and project management
Examples of potential causes	- TDC attempts to take on too much; - Project not adequately planned; - Lack of clarity around expectations for project costs, timescales, quality, scope, risk and benefits; - Unacceptable levels of risk to project funding; - Inadequate engagement with stakeholders and partners; - Inadequate risk management of project; - Project management arrangements weak or not adhered to; - Inadequate challenge provided to project managers; - Failure to learn from the experiences of previous projects; - Failure to secure sufficient funding; - Failure to attract appropriate partners.
Trigger events/ situations	Changes to the foreseen project environment which make the project unworkable
Examples of potential trigger events/situations	- Economic recession adversely impacts on affordability; - Government policy works against local initiatives; - Loss of key staffing skills affects ability to deliver a project; - Funding fails; - Partners do not deliver a viable service; - Deadlines for project delivery are not met, so funding fails; - Project partners pull out.
Consequence	Project closure or implementation without delivering intended benefits
Examples of potential consequences	- Early project closure leading to reputational damage; - Belated project closure (or continuation when project should have been closed) leading to wasted time, unnecessary costs, poor service performance, possible service failure, and reputational damage. - Opportunities missed because of failure of regeneration.

Risk Score: Uncontrolled			Risk Score: Controlled			Risk Score: Present		
P: 3	I: 4	R: 12	P: 2	I: 4	R: 8	P: 3	I: 4	R: 12
High			Medium-high			High		

Control Measure	CM type	CM owner	Start date	Due date
Ensure sufficient staff are trained in project management to meet the organisation's needs.	TCA	Director of Corporate Resources	**July-15**	**Dec-15**
Establish a robust project management and reporting process to include project risk registers.	TCA	Director of Corporate Resources	**Jul-15**	**Dec-15**

Ensure appropriate level of legal advice is sought for major projects.	BAU	Legal Services Manager		
Ensure sufficient staff expertise within the property services team in asset management.	BAU	Head of Economic Development and Asset Management		
Ensure external funding opportunities are explored.	BAU	Technical Finance Manager		
When considering project proposals at Strategic Programme Board, explore all available options for delivering a project, rather than assuming that it must be delivered by TDC staff.	BAU	Business Transformation Manager		
Maintain project management process and ensure compliance	BAU	Policy and Business Planning Manager		

R09.04: Local Plan delivering Sustainable development

Risk owner: Head of Built Environment

Cause	Problems with Local Plan process and planning decisions
Examples of potential causes	- Adoption of Local Plan delayed; - Local Plan evidence base is flawed; - Local Plan is well-based but doesn't work in practice; - Change in government policy to give regional/national agendas greater priority over local needs; - Unable to demonstrate five year supply of housing land; - National economic downturn leads to reduction of investment in the area; - Failure to utilise TDC land to support the council objectives relating to economic development and regeneration (e.g. land at Eurokent or Manston Business Park); - Insufficient staff resources for planning and enforcement.
Trigger events/ situations	Unsustainable development occurs
Examples of potential trigger events/situations	- Developments occur that address short-term rather than long-term requirements; - Developments occur without planning permission; - Planning permission is granted when it should be refused.
Consequence	Harm to the environment, economy and social well-being
Examples of potential consequences	- Physical infrastructure failure – including traffic congestion; - Loss of public access to countryside; - Deterioration in the environment and increase in likelihood of pollution; - Reputational damage nationally and locally (as balance between economy and environment alters); - Failure to address housing needs of the district; - Legal challenge.

Risk Score: Uncontrolled			Risk Score: Controlled			Risk Score: Present		
P: 4	I: 4	R: 16	P: 2	I: 4	R: 8	P: 2	I: 4	R: 8
High			Medium-high			Medium-High		

Control Measure	CM type	CM owner	Start date	Due date
Develop a transport strategy and infrastructure delivery plan for Thanet to support the Local Plan.	TCA	Planning Manager	Aug 12	Under review
Develop a new parking strategy that complements the developing transport strategy.	TCA	Head of Operational Services	Jul 14	Dec 15
Timely adoption of sound local plan	TCA	Strategic Planning Manager	Aug 12	Under review

Adherence to long-term coastal management plan.	BAU	Technical Services Manager		
Implementation of the adopted Local Plan	BAU	Strategic Planning Manager		
Maintain adequate planning staff (including enforcement) in order to ensure sustainable development in accordance with the Local Plan	BAU	Planning Manager		
Maintain effective planning applications service	BAU	Planning Manager		