

No	Risk Title	Risk Type	Consequences	Date identified	Current Mitigation	Likelihood Score	Impact score	Overall risk score	Desired risk score	Actions required	Links to Corporate Objectives / Strategies	Lead on behalf of Management Team	Review Date
1	Safeguarding and PREVENT	R, S	Significant reputational impact should a child, young person or vulnerable adult come to harm, including radicalisation and child sex exploitation, and TMBC are unable to demonstrate appropriate processes were in place.	01/04/2017	The responsibility for safeguarding has recently moved to the Chief Executive, rather than an individual service and a review implemented. An Audit review was commissioned which identified progress to date. Positive direction of travel noted in majority of areas (policy, training, engagement with other agencies). Areas of weakness identified and an action plan is being developed to address areas/necessary actions. Corporate Safeguarding Policy, DBS checking, Staffing/Member training, PREVENT training for staff. Attendance at K&M Adults Safeguarding Board, Local Children's Partnership Group. Training delivered to all Hackney Carriage and Private Hire drivers. <b>The majority of actions identified from the Audit review have now been completed and signed off. A secure database with secure access for recording details of all safeguarding concerns and referrals has been developed and is currently in the testing phase.</b>	3	4	12	12	Posts eligible for DBS checks being reviewed by Legal Services and a Central recording system being commissioned. Audit to be reviewed early in 2018. <b>A revised implementation date of 30/5/18 has been agreed to create a single TMBC DBS register and complete any necessary DBS checks.</b>	Safeguarding Policy	Chief Executive	Mar-18
2	Financial position/budget deficit	F, R	Financially unstable organisation. Failure to deliver a balanced budget, detrimental impact on quality of service, increased intervention. Failure to maximise New Homes Bonus.	01/04/2017	Medium Term Financial Strategy (MTFS) in place and reviewed regularly. Annual review of Treasury Management and Investments strategies. Effective budget setting process and financial monitoring in place; Robustness tested and adequacy of reserves. External Audit review MTFS. Savings & Transformation Strategy (S&TS). External audit of Accounts. Financial Procedure Rules. Monitor taxbase. <b>Latest review of above undertaken Feb 18 Cabinet. Funding gap now £1m following delivery of savings during 17/18 and update to MTFS following local govt finance settlement. Taxbase updated Dec 2017. NHB figures for 18/19 received and exceed initial expectations. With Kent and Medway authorities, bid for Business Rate Retention Pilot 18/19 successful. This will provide financial sustainability funds for TMBC in 18/19. Business rates RVs and appeals reviewed. Baseline could be marginally exceeded in 2017/18 which is above expectations.</b>	4	3	12	9	Areas of potential savings to be formally identified and prioritised, with commitment to delivery of those selected. Commissioning of in service reviews via MT to identify potential areas of transformation and savings. Strategic asset management review. <b>O&amp;S Committee Jan 18 have identified programme of work to identify potential savings. Waste contract now advertised and tenders invited. Outcome due in summer 2018.</b>	Vision- to be a financially sustainable Council. Taking a business like approach.	Director of Finance and Transformation	Oct-18
3	Brexit Impact and Economic Stability	F	Financial impact and effect on the economy as well as uncertainty around current EU legislation, i.e. what replaces it, could have a significant financial impact and lead to legislative changes impacting on finance and resources.	01/04/2017	Regular review of MTFS. Kent-wide working to understand, plan for and react to pressures. Regular review of Treasury Management and Investment strategies. Economic factors reflected in MTFS.	4	3	12	12	Ongoing monitoring of landscape and consideration of issues arising.	N/A - external risk.	Director of Finance and Transformation	Mar-19

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4	Corporate Strategy and Savings and Transformation Strategy	F, R, S	Failure to meet objectives and/or make savings, including those arising from the planned West Kent Waste Partnership. Impact on quality of service, budget overspends, salami slicing, etc. staff motivation impacted and increased risk of fraud or error.	01/04/2017	Savings and Transformation Strategy reviewed and updated. Corporate Strategy reviewed and updated. Regular update reports to MT and Members Annual review of Savings & Transformation Strategy. <b>Remaining funding gap now assessed as £1m following local govt finance settlement. New targets recommended for STS - Cabinet Feb 18. Focussing on Contract and Service Change and Reduction themes. New O&amp;S Committee programme launched.</b>	3	4	12	9	Areas of potential savings to be formally identified and prioritised, with commitment to delivery of those selected. Commissioning of in service reviews via MT to identify potential areas of transformation and savings. Strategic asset management review to deliver new income. <b>O&amp;S programme to be supported in order to deliver savings to contribute to STS.</b>	Vision- to be a financially sustainable Council focusing on ensuring good value for money, continuously reviewing how our services are provided and funded, focusing our available resources where they will have most beneficial impact, and maximising commercial opportunities. Taking a business like approach.	Chief Executive / Director of Finance and Transformation	Oct-18
5	Local Plan	F, R	Lack of sound legal footing for Plan leading to risk of failure at Examination. Risk of challenge from not meeting identified development needs. Reputational risk and widespread public concern arising from decision making on strategic development. Lack of infrastructure to support future development.	01/04/2017	Audit of Local Plan process <b>completed</b> . Update and review of evidence base <b>nearing completion</b> . Specialist consultants engaged where appropriate and counsel briefed. Duty to Cooperate discussions and audit in hand. Clear explanation of local plan process and requirement to Members and through consultation with communities. Liaison with service and infrastructure providers.	4	3	12	9	<b>Final refinement of evidence and narrowing down of sites to address development needs. Liaison with adjoining authorities and other agencies. Presentation of draft local plan for Member consideration planned for PTAB meetings in June and July 18, followed by Cabinet and Council in September. Regulation 19 consultation programmed for October/November with submission of Local Plan by End of 2018.</b>	Local Plan assists in economic growth, delivering the supply of future housing and addressing affordability. Procedures set by National Government	Director of Planning, Housing and Environmental Health	May-18
6	Organisational development inc staff recruitment and retention/skills mix	F, R, S	Lack of resources or the right skills to deliver required outcomes, loss of key professionals/senior officers due to pay constraints and pressures, reduced staff morale and quality of work, leading to financial loss, reputational damage and detrimental impact on staff wellbeing.	01/04/2017	Review of staff resources and skills via service reviews. Organisational structure review as part of S&TS to achieve efficiency, coordinated service delivery and reflect changing legislative and policy requirements and priorities.	4	4	16	12	Succession planning Develop further skills and expertise through strategies such as shared services and specialist Commissioning. Engagement of external consultants and specialists. Resilience and rationalisation of existing structures. Further discussions to be undertaken by MT to agree strategies and resultant actions for recruitment and retention. <b>2% pay award agreed by Members in line with National Offer. Structural reviews agreed by GP on 26/6/17, 20/11/17, and 29/11/18. Responses to any recruitment advertisements are carefully monitored for trends.</b>	HR Strategy Savings and Transformation Strategy	Chief Executive	Jun-18
7	Health and Safety	F, R, S	Significant reputational impact should a service user, officer, member or contractor come to harm and TMBC are unable to demonstrate appropriate processes were in place (could be merged with safeguarding although arguably a different thing).	01/04/2017	Health and Safety Policy review. Lone working policy and service based practices to be continuously monitored. Item on SMT agendas Staff involved in JECC (supported by Members) Ongoing review undertaken to react to potential key risk areas Organisational learning and response to national events	3	4	12	12	Further embedding and dissemination of good practice through staff briefing	Staff wellbeing and customer care underpin the Council's fundamental service and corporate objectives	Director of Planning, Housing and Environmental Health	Sep-18
8	Compliance with legislation inc new GDPR requirements	F, R	Failure to meet legislative requirements or statutory obligations may result in financial penalties and/or damage to the Council's reputation.	01/04/2017	Nominated Senior Information Risk Officer, <b>and Data Protection Officer</b> Compliance/legal assessment of decisions included in all Board reports Constitution General Data Protection Regulation requirements to be addressed by Information Governance Group CPD and professional monitoring Corporate Governance and GDPR audits Legal involvement and sign-off of key projects and involvement in governance groups	3	4	12	8	Continued dissemination of new legislative requirements. Officers to ensure maintenance of professional training requirements. <b>Implement technical controls to identify and control access to personal information within unstructured data held by the Council.</b>	Need to ensure that all 7 key themes of the Corporate Strategy are delivered in lawful manner.	Director of Central Services and Monitoring Officer	Jul-18

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9	Cyber security	F, R	Loss of data and legislative breach, leading to financial penalties and reputational impact.	01/04/2017	IT Security Policy. Network Security measures (firewall, access level controls). Consideration of cyber insurance. Creation of Information Governance Group to oversee and manage risks. Information Governance Group work underway. Data held by the Council being reviewed and cleansed. Work underway to mitigate global processor flaw issues leading to Spectre and Meltdown attacks.	4	4	16	12	Procurement of cyber security "recovery" contract via Kent Connects. Prioritisation of resources (financial and human) to ensure that priority is given to relevant updates etc. Cyber awareness training to be finalised and rolled out to all staff. TMBC have been involved in developing specification for Kent Connects cyber security "recovery" contract. Continued rollout of mitigation for processor flaw issues dealt with as priority and in line with guidance. Cyber awareness advised via email to all staff.	IT Strategy	Director of Finance and Transformation	Jun-18
10	IT Infrastructure	F, R	Failure to adequately invest resulting in inability to keep pace with technological change, leading to systems that are not fit for purpose to meet organisational need.	01/04/2017	IT Strategy and Action plans reviewed and updated. Invest to Save opportunities and funding. Tablets for Members being replaced. VDI project underway. Report to FIPAB Jan 18.	4	4	16	12	Commitment to produce new IT Strategy for presentation into Members Autumn 2017. Linkage with MTFs and Savings and Transformation Strategy. Development of virtualisation project to enable efficient and effective ways of working. Review and upgrade of data quality within systems to ensure that improvements and efficiencies can be achieved. Reported to FIPAB Jan 18. New strategy to be presented May 2018. VDI project scoped and now underway through project group. Roll out in phases. Phase 1 identified with timetable.	IT Strategy	Director of Finance and Transformation	Jun-18
11	Elections	R	Failure to comply with legislation, miscounts and significant reputational impact.	01/04/2017	Ensure experienced staff are in place, corporate team reviewing activity and monitoring progress. A temporary issue has arisen with the election Manager being on long term sick leave. Mitigation includes bringing in experienced external staff, to work alongside election office and RO / DRO's. Additional admin and project management skills also brought into election planning team.	2	4	8	8	Broadening of staff skills and experience to build resilience	Statutory requirement	Chief Executive	As required
12	Business Continuity and Emergency Planning	F, R, S	Failure to provide statutory service or meet residents' needs resulting in additional costs, risk of harm and reputational impact. Impact/pressures on services and resources. Failure to ensure proper safeguards to prevent or to respond adequately to a significant disaster/event e.g. terrorist attack at a large scale public event or fire.	01/04/2017	Business Continuity Plan inc Corporate (BC) Risk Register, Disaster Recovery Plan, Inter-Authority Agreement, increased resilience through Mutual Aid and Kent Resilience Team (Please see Business Continuity Plan and Corporate Risk Register for more detail). Review of TMBC's staffing resilience for emergency planning and response being conducted by group. GPC Jan 18 approved new post and budget for staff resilience.	3	4	12	12	Emergency planning documentation undergoing constant review and key aspects exercised on an annual basis. Members of Management Team undertaking MAGIC training on an annual basis. Business Continuity working group established to review and update existing Plan. Updated plan to be considered by Management Team and tested by a training exercise. Desk top exercise for emergency staff Jan 18. Group reviewing resilience issues and how reliance for emergencies can be secured (GPC funding Jan 18). New post being advertised.	Business continuity underpins the delivery of the Council's essential services	Director of Street Scene, Leisure & Technical Services	Jul-18
13	Devolution	F, R, S	Uncertainty about future operating models and changes / opportunities in responsibilities or service provision leading to financial pressures, impact on quality of services, reputational damage.	01/04/2017	Continual scanning of national / regional and Kent wide agenda by CE / Corporate Services manager. Participation in county wide debate via Joint Kent Chief Execs and Kent Leaders meetings	3	3	9	9	N/A	External risk/national issue	Chief Executive	As required

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14	Partnerships inc shared services	F, R, S	Reliance on partners to deliver key services, including private sector companies. Could include specific partnership or shared service models such as the Leisure Trust and risks around service delivery and impact on staff morale / retention if base moves from TMBC. Potential resistance to shared services / partnerships impacting on ability to deliver Savings & Transformation Strategy. Private sector partnerships failing having consequences for service delivery.	01/04/2017	Regular liaison meetings with partners. Partnership Agreements in place and reviewed as appropriate. Good communication with staff. In the light of the Carillion situation (which does not affect TMBC directly) maintain awareness of issues relating to private sector partners and plans formulated for service delivery in the event of failure via business continuity.	3	3	9	9	FIPAB Jan 2018 updated on GBC's decision to pull out of progressing shared service for Revs and Bens. Review of Revs and Bens being conducted to ensure service continuity.	Savings and Transformation Strategy	Chief Executive	As required
15	Welfare reform inc Housing need	F, R, S	Safeguarding impact on TMBC residents due to reduction in benefits, increase in applications for DHP, etc. Failure to adequately understand and meet housing needs and return unsuitable properties to use leading to increase in homelessness or occupation of unsuitable homes. Financial impact of increased emergency accommodation and failure to maximise new homes bonus.	01/04/2017	Cross sector working (e.g. welfare reform group) to identify issues and solution. Providing advice to residents on welfare and housing issues, or signposting to relevant providers. Working with partners to identify land and funding opportunities. Working with Registered Provider Partners to ensure needs of residents are being met. Working with owners to bring long term empty properties back into use. New initiatives for Temporary Accommodation. Review implications for new Homeless Reduction Act requirements. Concessionary charges for key services EQIA assessment of key decisions included in all Board reports. UC roll out postponed by DWP until Nov 2018. HRA implications assessed and GPC agreed new posts to deliver service.	4	3	12	9	Prepare for impact of further roll out of Universal Credit by learning from other areas earlier in the programme. Consideration of review of housing service to meet the needs following Housing legislative changes. UC postponed until Nov 2018 in T&M, but has now launched in other parts of Kent. Through working groups Kent-wide will learn from these earlier implementations. DPHEH to report on solutions for temporary accommodation utilising s106 monies. Posts approved by GPC have been recruited to.	Promoting Fairness - acting transparently at all times and being accountable for what we do, and promoting equality of opportunities. Embracing Effective Partnership Working - achieving more by working and engaging effectively with a wide range of local partners from the private, public, voluntary and community sectors.	Director of Finance and Transformation/ Director of Planning, Housing and Environmental Health	Jun-18
16	Political factors including stability of political leadership and decision making	F, R	Decisions required to achieve objectives including corporate strategy and savings and transformation may not be made and therefore required savings not achieved.	01/04/2017	Close liaison with Leader, Deputy Leader and Cabinet in developing the Savings & Transformation Strategy. Clear and comprehensive reports to support Members in making appropriate decisions to support the S&TS.	3	3	9	9	Member briefings and training sessions.	Underpins delivery of overall strategy and Savings and Transformation.	Chief Executive	As required
17	Flooding	F, R, S	Impact on resources to support emergency planning, financial impact due to damage, loss of resources, etc. Residents and staff put at risk of harm. Impact on key flood risk areas - Tonbridge, Hildenborough, East Peckham and Aylesford.	01/04/2017	Working with partners (EA/KCC/LEP) to secure funding and implement flood defence schemes which will reduce risk of future flooding.	3	4	12	12	Funding committed to assist in implementation of flood defence works including increasing capacity of Leigh Flood Storage. Ongoing support of Leigh FSA, Hildenborough Embankment and East Peckham scheme. Involvement in the Medway Flood Partnership. Reduction of risk dependent on funding, design and implementation. Leigh and Hildenborough now programmed for construction 2020 - 2023. Final design and funding arrangements for East Peckham to be determined.	Emergency Plan Civil Contingencies Act 2004 Kent Emergency Response Framework West Kent Partnership and Medway Catchment Partnership	Director of Street Scene, Leisure & Technical Services	Mar-18
18	Contaminated Land	F, R, S	Impact on homes, public health. Residents put at risk of harm.	01/01/2018	Working with partners (EA and other) and specialist consultants to monitor potential sites and assess risk to inform action as is needed.	3	4	12	9	Potential issue identified at Joco Pit, Borough Green. Residents engaged. Public sessions held Jan 2018. Report to Members Feb 2018. Additional boreholes secured and monitoring in place until May 2018.	Contaminated Land Strategy	Director of Planning Housing and Environmental Health	May-18

## Key

F Financial  
R Reputational  
S Health and Safety inc safeguarding