

STRATEGIC RISK REGISTER

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	Risk Assessment complete?	Review Date
1	Safeguarding and PREVENT	S, R	Significant 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.	01/04/17	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. UPDATE: 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. The database is now live.	3	4	12	12	Posts eligible for DBS checks being reviewed by Legal Services and a Central recording system being commissioned. A revised implementation date of 30/5/18 was agreed to create a single TMBC DBS register and complete any necessary DBS checks. UPDATE Dec 18 MT has agreed revised list of posts requiring DBS checks. Safeguarding Audit review is currently underway for completion in 18/19 financial year	Safeguarding Policy	Chief Executive		Jul-19
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.	01/04/17	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 tax base. UPDATE: Refreshed version of MTFS to be considered by Cabinet in Feb 2019. Following receipt of provisional LG Finance Settlement, funding gap anticipated to be circa £500-£600k. Negative RSG removed for 19/20. Tax base updated Dec 2018 showing growth. NHB figures received and exceed initial expectations as parameters unchanged. With Kent and Medway authorities, bid for Business Rate Retention Pilot 19/20 unsuccessful. Business rates RVs and appeals reviewed. Now above Business Rate Baseline.	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. O&S Committee Jan 18 identified programme of work to identify potential savings. Tendering of Waste contract has delivered savings to contribute. UPDATE: Cabinet Oct 2018 advised that review of MTFS expected to show savings to be circa £500-£600k. Cabinet and Council to commit to an update to STS. O&S reviews to continue as planned. Fair Funding Review currently underway and need to await results to see wider impact on finances into medium term.	Vision- to be a financially sustainable Council. Taking a business like approach.	Director of Finance and Transformation		Oct-19
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. A number of key threats to business continuity including: border delays and congestion impacts on the Kent road network creating difficulties for local businesses, TMBC staff and potential air quality issues; loss of KCC staff e.g. welfare/social services support; potential loss of TMBC waste contract workforce, general increase in costs as imports become restricted.	01/04/17	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. UPDATE: The potential for No Deal BREXIT could have far wider and more impactful implications that has been factored into MTFS. Bid being considered for government funding to assist with wider impacts.	4	4	16	12	UPDATE: Bid for government funding Jan 2019, particularly in view of potential No Deal BREXIT. Work with partner organisations via KRF. O&S Committee report Jan 2019 to update Members.	N/A - external risk.	Chief Executive / Director of Finance and Transformation/ Management Team		Mar-19
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.	01/04/17	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. Remaining funding gap now assessed as £500-£600k following local govt finance settlement.	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. O&S programme to be supported in order to deliver savings to contribute to STS. UPDATE: New targets to be recommended for STS in Feb 2019	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/ Management Team		Mar-19

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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.	01/04/17	Audit of Local Plan process completed. Update and review of evidence base nearing completion. 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	Final refinement of evidence and narrowing down of sites to address development needs. Response to issues raised by Members at PTAB in June. Liaison with adjoining authorities and other agencies. UPDATE JAN 19: Local Plan approved by full Council in September 2018, Reg 19 consultation concluded in November 2018 with a view to submitting plan to Sec of State by 23 Jan 2019.	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		Feb-19
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.	01/04/17	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. 2% pay award was agreed by Members in line with National Offer. Structural reviews agreed by GP on 26/6/17, 20/11/17, and 29/1/18. Responses to any recruitment advertisements are carefully monitored for trends. UPDATE: A new member of personnel staff has been recruited with specialist experience in recruitment. We continue to have a mixed response to job adverts. Further reports to GP on 25/6/18. Update Dec 18. revised methodology for recruitment into DPEHH post successful.	HR Strategy Savings and Transformation Strategy	Chief Executive		Jul-19
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).	01/04/17	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. UPDATE: Newly formed corporate Health and Safety Group picking up cross organisational issues and feeding back to Management Team and H&S Officer.	Staff wellbeing and customer care underpin the Council's fundamental service and corporate objectives	Director of Planning, Housing and Environmental Health		Jun-19
8	Compliance with legislation inc new GDPR requirements	F, R	Failure to meet legislative requirements or statutory obligations may result in loss of personal data, financial penalties and/or damage to the Council's reputation.	01/04/17	Nominated Senior Information Risk Officer, and Data Protection Officer Compliance/legal assessment of decisions included in all Board reports Constitution General Data Protection Regulation requirements are being addressed by Information Governance Group & Procurement OSG 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 to Officers & Members. Officers to ensure maintenance of professional training requirements. GDPR training for Members provided July 2018. All Officers were required to complete e-learning GDPR module prior to implementation of GDPR in May 2018.	Need to ensure that all 7 key themes of the Corporate Strategy are delivered in lawful manner.	Director of Central Services and Monitoring Officer		Jun-19
9	Cyber security	F, R	Loss of data and legislative breach, leading to financial penalties and reputational impact.	01/04/17	IT Security Policy. Network Security measures (firewall, access level controls). Consideration of cyber insurance. 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. Cyber awareness training rolled out to all staff. UPDATE: Results of national LGA cyber stocktake being reviewed.	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. 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. Varonis software procured, installed and being utilised to better control the risk of access to confidential unstructured data on shared drives. UPDATE: Bid for Funding made following Cyber Stocktake. Cyber security now being built into disaster recovery/business continuity plans. Report to FIPAB Jan 2019 - Member cyber champion to be appointed.	IT Strategy	Director of Finance and Transformation		Jun-19

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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.	01/04/17	IT Strategy and Action plans reviewed and updated. Invest to Save opportunities and funding.	4	4	16	12	New IT Strategy for period 2018-22 . 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. iPads for Members have been deployed. iPads and citrix being rolled out to MT. New IT Strategy approved by Members in May 2018 who placed a specific emphasis on website improvements. UPDATE: Website work commissioned by SDS and report to FIPAB Jan 2019.	IT Strategy	Director of Finance and Transformation		Jun-19
11	Elections	R	Failure to comply with legislation, miscounts and significant reputational impact.	01/04/17	Ensure experienced staff are in place, corporate team reviewing activity and monitoring progress.	2	4	8	8	Broadening of staff skills and experience to build resilience. Update: New elections Manager appointed.	Statutory requirement	Chief Executive		Feb-19
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.	01/04/17	Business Continuity Plan inc Corporate (BC) Risk Register, Disaster Recovery Plan, Inter-Authority Agreement, Mutual Aid Agreement and Partnership Agreement with Kent Resilience Team (Please see Business Continuity Plan and Corporate Risk Register for more detail). Emergency Planning Support Officer in post and new Duty Emergency Coordinator system introduced to provide greater resilience.	3	4	12	12	Emergency planning documentation undergoing constant review and key aspects exercised on an annual basis. Members of Management Team and Duty Emergency Coordinators undertaking advanced training organised by Kent Resilience Team training. 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. New positions of Emergency Duty Officer to be introduced, following training of staff in 2019/20.	Business continuity underpins the delivery of the Council's essential services	Director of Street Scene, Leisure & Technical Services		Jun-19
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.	01/04/17	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. Update DEC 18 - County wide devolution discussions have been formally ceased. Horizon scanning and continued participation in Kent Leaders and CE meetings is ceased.	3	3	9	9	N/A	External risk/national issue	Chief Executive		As required
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.	01/04/17	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, introduction of UC and 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.	01/04/17	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, including purchase of flats. Review implications for new Homeless Reduction Act requirements. Concessionary charges for key services. EQIA assessment of key decisions included in all Board reports. HRA implications assessed and GPC agreed new posts to deliver service which have been recruited to. Universal Credit rolled out Nov 18 for Tonbridge & Maidstone Job Centres. Signposting now to UC rather than HB for new working age claimants.	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. Flats purchased. UPDATE: Member training from DWP provided re UC Nov 2018. Continue to facilitate Welfare Reform group and widen participation from external partners so as to ensure best support for those affected by welfare reforms in T&M.	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-19
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.	01/04/17	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

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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.	01/04/17	Working with partners (EA/KCC/LEP) to secure funding and implement flood defence schemes which will reduce risk of future flooding. Assistance provided to Parish/Town Council's to help develop local Flood Plans. Team of Volunteer Flood Wardens in place.	3	4	12	12	Funding committed to assist in implementation of flood defence works including increasing capacity of Leigh Flood Storage. Council represented on Strategic and Operational Working Groups led by Environmental Agency. Scheme for East Peckham has funding gap and is dependent on partnership funding contributions. Ongoing support of Leigh and Hildenborough 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. UPDATE: Scheme for East Peckham has funding gap and is dependent on partnership funding contributions. Leigh and Hildenborough design and works in progress. Signed off by SELEP accountability Board as green for these elements. Scheme at EP still has funding gaps. Options being sought by EA / KCC.	Emergency Plan Contingencies Act 2004 Civil Kent Emergency Response Framework West Kent Partnership and Medway Catchment Partnership	Director of Street Scene, Leisure & Technical Services		Mar-19
18	Contaminated Land	F, R, S	Impact on homes, public health. Residents put at risk of harm.	01/01/18	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. UPDATE: Results indicate low risk and insufficient levels to be 'part 2 contaminated land. Briefing of Members and letters/drop-in session for residents planned for June/July. Ongoing monitoring required for 12 month period before further review. Initial investigations underway in respect of Priory Wood site.	Contaminated Land Strategy	Director of Planning Housing and Environmental Health		May-19
19	Procurement and Implementation of Waste/ Recycling Contract	F, R, S	Failure to provide new service and deliver described outcomes in accordance with contract timescales. Significant reputational risk. Risk of challenge from tenderers. Failure to achieve financial targets for garden waste scheme.	01/07/18	Partnership arrangement with TWBC, with allocation of key tasks. Internal Project Group reports regularly to MT. Regular update reports to Members including separate Member Working Group. External advice sought from specialists on key decisions. Detailed project plan and risk register. Operational Marketing Plan in place. Inter Authority Agreement with KCC encourages improved recycling performance and shares financial risks. 3 crucial work streams have been identified (IT, Communications and Operations) and individual sub-working groups have been established to monitor and implement these work areas.	3	4	12	9	New contractor appointed and due to commence 1/3/19. New service delivery arrangements to be introduced later in the year, including opt-in garden waste scheme. No formal challenges received from unsuccessful tenderers. SS&EAB 11/2/19 to approve Operational Marketing Plan and Mobilisation arrangements. Contractor to produce Annual Service Plan, monitored by Partnership Manager. Garden waste charges set to encourage take up.	Delivery of cost effective service to meet customer needs.	Director of Street Scene, Leisure & Technical Services		Mar-19