

Direction of Travel key



Downward or positive movement



No change in movement



Upward or negative movement

No	Risk Title	Risk Type	Consequences	Date identified	Likelihood Score (1-6)	Impact score (1-4)	Overall risk score	Current Mitigation	Desired Likelihood Score (1-6)	Desired Impact score (1-4)	Desired risk score	Actions required to ensure mitigation remains	Links to Corporate Objectives / Strategies	Lead on behalf of Management Team	Direction of Travel	Review Date
1	Safeguarding and PREVENT	S, R	Significant impact should a child, young person or adults at risk come to harm, including radicalisation and child sex exploitation, and TMBC are unable to demonstrate appropriate processes are in place with adequate staff resource to ensure safeguarding procedures are consistently being followed.	01/04/2017	4	4	16	The overall responsibility for safeguarding lies with the Chief Executive, rather than individual services. The Council has undertaken the following actions to mitigate risk Carried out audit review of procedures to identify and address weaknesses Provided training to all licenced Hackney Carriage and Private Hire Drivers Provides a secure database for the recording and sharing of safeguarding concerns. Officer Study Group with safeguarding champions across services who are able to provide advise and support regarding safeguarding issues Training provided to staff	3	4	12	Continue to refer Safeguarding concerns to appropriate agencies where necessary and also raise with partners at the weekly CSU meetings.  Undertake actions from the latest Safeguarding Audit and update Safeguarding Policy.  Consideration for additional resourcing.	Safeguarding Policy	Chief Executive	Upward	As required
2	Financial position/budget deficit	F, R	Financially unstable organisation. Failure to deliver a balanced budget, detrimental impact on quality of service, increased intervention.  This includes Failure to maximise New Homes Bonus (for as long as it exists).  Assessment of the current economic implications of higher inflation and interest rates  Failure to deliver identified savings / Additional income	01/04/2017	3	4	12	The Council provides an annual statement (as a minimum) on the following areas; Treasury Management and Investment Strategy.  Robustness of estimates and adequacy of reserves. Medium Term Financial Strategy (MTFS)  Savings and Transformation Strategy (STS)  Statement of Accounts containing Audit and Value for Money Opinion  The Council also considers it has the following  Effective Budgetary control and reporting procedures covering areas such as Leisure Trust Utility costs  Effective monitoring covering Business Rates and Council Tax income including reporting to the Kent Pool.  Regular reviews undertaken on the forecast of the Local Government Settlement.  Interest rates for investments are at a recent high, these are providing some additional funds for reserves but cannot provide a long term solution.  Minimum level of General Revenue Reserve maintained at £3m. In addition, a Budget Stabilisation Reserve is held.  Current financial position within MTFS shows balanced budget for final year. This is after allowing for assumptions made on long term resourcing issues covering Fair Funding, Business Rates reset and allows for increased contract costs on major council contracts.	3	3	9	The 2023/24 Budget is balanced with contribution to General Revenue Reserve. Subject to receipt of the Finance Settlement for 24/25, this year also expected to be balanced.  However, it is expected that after 24/25 once the Fair Funding Review has been undertaken, the position will dramatically switch and expenditure will outstrip external funding. Therefore savings needs to be made in order to ensure that by the end of MTFS we have a balanced budget again.  Ensure that Business Rate income is maximised for benefit of TMBC prior to any Reset by Report to Cabinet 5 December 2023 with update on MTFS position  Await and assess the outcome of the Government's consultation and review of New Homes Bonus. This was anticipated Spring 2023, but has still not been forthcoming.  Three key financial risks were highlighted to Members: namely Waste (including the proposed Extended Producer Responsibility scheme which has been delayed), Homelessness and Local Plan. All three have significant financial implications for the Council in different ways and are being assessed and managed.  MT and Cabinet working with LGA to consider the best way of delivering transformation which could also to assist with identification and delivery of efficiencies  Report to Cabinet 5 December 2023 with areas of saving that have either been incorporated into draft budget, or could assist in future savings tranches subject to consultation and member decision.  Savings, contained with MTFS and Saving and Transformation Strategy, must be achieved in a timely manner in order to ensure that MTFS targets maintained.	Priority in the Corporate Strategy of "Efficient services for all our residents, maintaining an effective council"	Director of Finance and Transformation	Downward	Feb-24

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Upward or negative movement

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3	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.  Current high rates of inflation coupled with higher interest rates than have been seen for a number of years likely to have wider impact on community and businesses	01/04/2017	3	4	12	Kent-wide working to understand, plan for and react to pressures.  Regular review of;  MTFS reflecting economic factors  Treasury Management and Investment strategies.  Collection performance for council tax and business rates  All staff equipped to be able to work from home and deliver public services and arrangements set out in adopted working policy  Delivery of Household Support funds in liaison with KCC  Delivery of government schemes (e.g. related to energy) to mitigate impacts on households  Whilst inflation remains above BoE levels they now are beginning to fall with stability expected in the next few years.	3	4	12	Council continuing to work with Kent Resilience forum and County Partnership groups as needed  Keep Business Impact assessments under review.  Business continuity planning updated to ensure smooth running of services to public.  Household Support Fund tranche 4 approved by Cabinet July 2023 well underway and on track to be spent by March 2024.  Continued focus on homelessness prevention work. Consultants invited back to advise/comment on progress made and further work needed (Dec 23). Report to Housing & Planning Scrutiny Select Committee Dec 23 on options for TA provision.	N/A - external risk.	Chief Executive / Director of Finance and Transformation/ Management Team	↓	Feb-24
4	Corporate Strategy	F, R, S	The lack of an up to date Corporate Strategy would lead to a lack of strategic direction for the Council, and lead to a lack of clarity about priorities, and the ability to meet objectives and make savings.	04/01/2017	4	3	12	Following the Peer Challenge Review (PCR), a draft Corporate Strategy was produced and benefited from staff consultation in November 2022 and Cabinet and O&S consideration ahead of going out to public consultation in Jan-Feb 2023. The findings from this consultation, along with aligned KPIs and draft Annual Action Plan went to Cabinet and O&S in Spring 2023 and the final version was approved by Council in July 2023. KPIs (including targets, trends and benchmarking) will continue to be reported to MT, SSCs, O&S and Cabinet on a quarterly basis. A report covering progress on the Annual Action Plan and the refreshed plan for 2024/25 will be presented in Spring 2024.	3	2	6	Final adoption of the Corporate Strategy 2023-2027 (achieved in July 2023), along with monitoring of the annual action plan and KPI's that will ensure overview of performance.	The new Corporate Strategy has a vision to "be an innovative and forward thinking council that leads the people and businesses of the borough towards a vibrant, prosperous and sustainable future".	Chief Executive	↔	Mar-24
5	Performance Management	F,R,S	Without an effective performance management framework in place, the authority will not be able to understand any required improvements or achieve value for money.	30/08/2023 (separated from Corporate Plan)	3	3	9	As mentioned above, with the adoption of the new Corporate Strategy, the authority has also set in place new aligned KPIs to monitor progress, and provide detail on direction of travel, and targets. Further work is required on benchmarking and also on instilling the KPIs within the culture of the organisation.  At present the KPIs are discussed with Management Team and Informal Cabinet before being shared with the Scrutiny Select Committees, O&S and Cabinet on a quarterly basis.	2	3	6	Further work is being undertaken on benchmarking and also instilling the KPIs and broader performance management within the culture of the organisation.  Following the Auditors Annual report for 2022/23, a review of the process of discussing and sharing KPI data is to be undertaken.  Internal Audit is being undertaken on Performance Management with the report scheduled for February 2024.	One of the priorities in the new Corporate Strategy is "Efficient services for all our residents, maintaining an effective council"	Chief Executive/ Management Team	↓	Feb-24



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6	Savings and Transformation Strategy	F, R, S	Failure to meet objectives and/or make savings. Impact on quality of service, budget overspends, salami slicing, etc. staff motivation impacted and increased risk of fraud or error.  Coronavirus pandemic and the subsequent economic crisis has significant economic implications for the Council, businesses and residents.	01/04/2017	4	4	16	STS reviewed and updated in line with review of MTFS. With regular reports to update MT and Members  MTFS and STS updated and approved by Council in Feb 2023. Funding gap estimated to be £1.7m, with tranche 1 of this (£0.5m) to be delivered by April 2024. Interim update of MTFS to Cabinet December 23	3	3	9	The 2023/24 Budget is balanced with contribution to General Revenue Reserve. Subject to receipt of the Finance Settlement for 24/25, this year also expected to be balanced.  However, it is expected that after 24/25 once the Fair Funding Review has been undertaken, the position will dramatically switch and expenditure will outstrip external funding. Therefore savings needs to be made in order to ensure that by the end of MTFS we have a balanced budget again. Some savings have been identified in report to Cabinet Dec 23 which have been incorporated into draft budget. Further prospective savings/contributions have been identified, but these are subject to consultation and member decision.	Priority in the Corporate Strategy of "Efficient services for all our residents, maintaining an effective council"	Chief Executive / Director of Finance and Transformation/ Management Team	↔	Feb-24
7	Local Plan	F, R	Lack of sound legal footing for Plan through inadequacies in evidence base, legal advice or process, including duty to cooperate. Leading to widespread public concern, or risk of failure at Examination. External factors or widespread planning reforms leading to delays to timetable, reputational risks around plan-making and impacts on development management processes through protracted period with no up-to-date plan. Absence of corporate or external co-ordination leading to a lack of infrastructure to support future development.	01/04/2017	4	4	16	Members are updated via informal email updates and reports to the Housing & Planning Scrutiny Select Committee  Reg 18 concluded in late 2022  Revised LDS adopted summer 2023  The Council has decided to continue progressing the Local Plan under the current legislative and National Planning Policy Framework. It will be critical that the new plan is prepared in compliance with the regulatory framework and relies on a robust evidence base that meets the requirements of the NPPF so that the plan can be found to be sound at the examination stage. Timing is of the essence as the Local Plan will need to be submitted to the PI by 30th June 2025. The Council has recently engaged Towers and Hamlins Law Firm to advise and support the Planning Policy Team in order to progress matters up until the Adoption stage of the Local Plan.  Proposed informal engagement with members on emerging spatial strategy in Autumn 2023	3	3	9	Regular review of Government policy announcements that may impact on delivery, including housing standard methodology and WMS relating to Planning  Ongoing engagement with Counsel  Ongoing engagement with Members  Regular analysis of budget position  Regular analysis of programme - within Policy team on a weekly basis, reporting to Head of Planning/DPHEH bi-weekly.	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-24
8	Organisational development inc. staff recruitment and retention/skills mix. Impact of loss of capacity caused by recruitment difficulties upon delivery of corporate objectives. Increase in rate of inflation and consequent pressure on level of pay award.	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	3	4	12	Review of staff resources and skills via service reviews.  Organisational structure reviews are part of S&TS to achieve efficiency, coordinated service delivery and reflect changing legislative and policy requirements and priorities.  New market supplement and 'golden hello' recruitment and retention salary package offer being proposed to General Purposes Committee on 3 July 2023. Focused on the recruitment and retention of RTP1 qualified planning staff. Wider market supplement policy to be considered by General Purposes committee in October 2023.	3	4	12	Succession planning along with Development of further skills and expertise through strategies such as shared services and specialist Commissioning.  Engagement of external consultants and specialists where required.  Resilience and rationalisation of existing structures.  Recruitment and retention strategy reviewed by MT. R&R report to be submitted to GP Committee and Council in October 2023 re hard to recruit to posts  Pay award for 2023/24 5% for all staff, from April 2023. Backdated 5% to Jan 23 for scales 1-6  Structural reviews approved by Members on an ongoing basis.  HR staff recruited with specialist experience in recruitment. This was demonstrated with a revised methodology for the recruitment of the DPEHH and Head of IT.  Workforce Strategy approved by General Purposes Committee in June 2022	HR Strategy Savings and Transformation Strategy	Director of Central Services and Deputy Chief Executive/ Chief Executive	↓	Mar-24

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9	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.	01/04/2017	3	4	12	<p>Lone working policy and service based practices to be continuously monitored.</p> <p>Health and Safety considered by management at weekly SMT meetings.</p> <p>Staff involvement with Health &amp; Safety Group</p> <p>Ongoing review undertaken to react to potential key risk areas.</p> <p>Organisational learning and response to national events.</p> <p>Incident and near miss reporting.</p>	2	3	6	<p>Embedding and dissemination of good practice through staff briefings.</p> <p>Corporate Health and Safety Group (chaired by DPHEH) identifying cross organisational issues with feedback to Management Team and Health and Safety Officer.</p> <p>All services have reviewed all their Health &amp; Safety local Procedures in particular Lone working and service specific risk assessments.</p> <p>Staff survey on H&amp;W completed spring 2021, results reviewed and a future survey will be incorporated into general staff survey approach</p> <p>Corporate Health &amp; Safety Policies and procedures are up to date and reviewed regularly which all staff can access.</p> <p>Continuing focus on risk assessment process including reviews as a result of Coronavirus pandemic. Further staff wellbeing survey to focus on working at home and wellbeing.</p>	Staff wellbeing and customer care underpin the Council's fundamental service and corporate objectives	Director of Planning, Housing and Environmental Health	↔	Mar-24
10	Compliance with legislation	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.	01/04/2017	3	4	12	<p>The Council has a nominated Data Protection Officer and a separate Senior Information Risk Owner (SIRO)</p> <p>Assessment of Legal implications included within all reports to Members.</p> <p>GDPR requirements are addressed by two officer groups, Information Governance Group and Procurement OSG, which includes Legal representation.</p> <p>CPD and Professional Monitoring offered to all staff</p> <p>The Council has undertaken both Corporate Governance and GDPR reviews / audits. Code of Corporate Governance reported to members on an annual basis.</p> <p>Legal Services give sign off of key corporate projects</p>	2	3	6	<p>The Council continues to disseminate new legislative requirements to both Officers and Members.</p> <p>Officers ensure that professional update training is undertaken.</p> <p>Members received GDPR training in July 2018, with all officers completing e-learning on GDPR by May 2018. GDPR training is a requirement for all new starters and is offered through the TMBC Learning portal.</p> <p>Revised constitution approved by Members in July 2019. Further amendments submitted since that date to Council as and when required.</p> <p>Governance changes approved in April 2022 led to further revisions to Constitution. Regular review by Monitoring Officer and reports to full Council (most recently at Council in July 2023).</p> <p>Additional GDPR and Cyber Awareness Training rolled out to all staff and members (July 2023).</p>	Information Governance Policy	Director of Central Services and Deputy Chief Executive	↔	As required

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11	Cyber Security	F, R	Loss of data and legislative breach, leading to financial penalties and reputational impact.	01/04/2017	3	4	12	<p>The Council has; Information Security Policy deployed via Policy Management System.</p> <p>Implemented network security measures including access controls.</p> <p>Considered cyber insurance. Established an Information Governance Group.</p> <p>Appointed a Member Cyber Champion.</p> <p>Rolled out Cyber awareness training to all staff and Members via eLearning.</p> <p>Deployed 'Next generation' Palo Alto firewall technology for improved visibility and control.</p> <p>Deployed software solution to identify potential confidential data held on file servers.</p> <p>Deployed DLP software at email egress point.</p> <p>Implemented secure email in accordance with NCSC guidelines.</p> <p>Maintained dual level firewall security with the KPSN gateway being primary and the Council's own firewalls secondary.</p> <p>Implemented Solarwinds Security Event Manager.</p> <p>1 member of IT team obtained Certified Information Systems Security Professional (CISSP) qualification October 2020.</p> <p>Implemented cloud backup and DR facilities to improve resilience; and embedded cyber security into DR and BCP processes.</p> <p>Continued to monitor Cybersecurity alerts via LGA Cyber Security email; through membership of NLAWARP and CiSP; and attending information sharing events such as Kent Connects Information Security Group.</p> <p>Cloud based web and email filtering has been deployed to improve availability and resilience.</p> <p>Completed firewall ruleset review following migration to Cloud to ensure our configuration is in line with best practice guidelines.</p> <p>Carried out phishing simulation exercise as first phase of awareness training for staff and members, to highlight areas of risk and to identify training needs. Subsequent online training sent out to all staff and members.</p> <p>Carried out phishing training quiz for all staff as second phase of phishing awareness campaign. Quiz was extended to Members although take-up has not been as successful. Further training to be targeted.</p> <p>Developed and deployed wallpaper/ lock screen to all TMBC laptops and PCs, with cyber security reminder to further reduce risk by increasing awareness.</p> <p>Head of IT appointed Senior Information Risk Owner (SIRO) from October 22. This role has responsibility for information and data risk and protection.</p> <p>Obtained Cyber Essentials accreditation in November 2022, demonstrating that our technical controls are designed to defend against the most common cyber threats.</p> <p>NCSC approved cyber security training has been evaluated and made available via the Council's new LMS.</p> <p>Achieved 'Substantial' rating for Cyber Security at Internal Audit Report TM19-2023 &amp; TM07-2023 - Cyber Security and ICT Infrastructure (Combined Report).</p>	3	3	9	<p>The Council has; Prioritised the resources (both financial and staff) to ensure relevant updates and security mitigations are carried out in a timely manner.</p> <p>Scheduled annual IT Health Check (ITHC), quarterly PCI scans, and monthly vulnerability scans, feeding into remediation plans. July 2022 PCI scan passed. Investigating and resolving detected security issues from last ITHC 8/8/22 - 12/8/22. New ITHC completed August 2023, including the TMBC Microsoft 365 environment, report pending.</p> <p>Regular email messages are sent out to all staff and Members on cyber security vigilance.</p> <p>Continuing to investigate emerging threats and cyber alerts, communicating with 3rd party suppliers to check compliance/obtain security updates and implementing mitigations as required to reduce likelihood of compromise.</p> <p>Training for IT staff on security aspects of Cloud environment is underway.</p> <p>Investigating further improvements to DR capability with specific regard to recovery from cyber incidents.</p> <p>Ensuring new staff have been invited to undertake training cyber security training. Further training and audits will follow to ensure the Council is as aware and prepared as possible to respond to potential cyber attacks.</p> <p>Continued ongoing development training to ensure that knowledge is kept up to date.</p> <p>An in-depth phishing training package, to highlight specific risks and increase staff awareness, was been deployed to all staff. Completed by 76% of staff. To be followed up with phishing exercise in Q3.</p> <p>Procured NCSC approved cyber security training for Members from Matobo. Mandatory training deployed to Members August 2023. <b>Completed by 4 members as at end November 2023.</b></p> <p>Deployed NCSC approved cyber security training for Staff from Matobo. Mandatory training, completion being monitored and reminders to be sent as required. <b>Completed by 238 staff as at end of November 2023.</b></p> <p><b>We are currently working towards meeting requirement for resubmission for Cyber Essentials accreditation.</b></p> <p><b>Enrolment and management of devices in Intune now live and working towards deployment of all line of business apps as a replacement for SCCM and to leverage additional security features including network blocking when malware is detected, and enforcement of encryption as a potential replacement for Checkpoint.</b></p> <p><b>Test restore to sandbox environment carried out November 2023 to validate our ability to recover successfully from a cyber incident. Areas for improvement identified, documentation of process underway and training for all technical support staff planned.</b></p> <p><b>Further phishing exercise run November 2023 for all staff and Members to check for improvement in detection following training.</b></p>	IT Strategy	Director of Finance and Transformation		Mar-24

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12	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	3	4	12	<p>IT Strategy has been reviewed, updated and extended to 2023 (previously 2018-2022) with linkage to MTFS and Savings and Transformation and Digital Strategy.</p> <p>Invest to save opportunities and funding identified and projects have been initiated.</p> <p>Digital Strategy - developed and approved by Members in July 2019.</p> <p>Replacement of legacy business systems and greater use of digital alternatives (cloud based) projects have been initiated.</p> <p>Disaster Recovery solution (cloud based) has been implemented.</p> <p>All staff are able to work remotely via laptops and secure 'always-on' VPN.</p> <p>iPads and required software rolled out to Councillors, MT Members, Senior Management and in-field Staff.</p> <p>Data quality policy has been introduced to ensure improvement and efficiency can be achieved.</p> <p>Introduced Microsoft Teams for virtual meetings for members and staff.</p> <p>Implemented hybrid media conferencing solutions for on-site and remote workers.</p> <p>Multi-factor authentication solution enabled for remote access to O365 to improve security and business continuity.</p> <p>Migrated Telephony to the Cloud to improve business continuity and functionality.</p> <p>Multi-media Cloud based Contact Centre management solution implemented to improve functionality, availability and business continuity.</p> <p>Migrated production environment from on-premises to Cloud to improve and sustain business continuity and service availability.</p> <p>New CMS solution and website implemented to improve digital engagement for residents and businesses.</p> <p>Implemented cross-region Cloud backups for the new Cloud production environment to improve resilience.</p> <p>Implemented 'My TMBC' mobile app facilities to enable proactive and responsive engagement with residents and businesses in parallel with the Council's new website.</p> <p>Implemented corporate/enterprise document management system.</p> <p>VPN migrated to Cloud and Multi-factor authentication implemented for remote access over VPN to improve security and business continuity.</p> <p>All staff migrated to Office 365 to improve flexibility and reliability.</p> <p>MFD equipment and associated print management software renewed in March 2023.</p> <p>Microsoft Enterprise Subscription Agreement re-procured; new 3 year contract from June 2023.</p> <p>Licenses migrated from E3 to E5 to provide additional functionality and improved security features.</p> <p>Implemented the use of AI bots for automation of switchboard via the multi-media Cloud Contact Centre solution, in line with the Digital Transformation agenda in March 2023.</p> <p>Implemented new DR sandbox subscription in Azure Cloud IaaS in June 2023 for testing restore from backup to provide assurance of the Council's ability to recover critical systems and data.</p> <p>Achieved 'Substantial' rating for ICT Infrastructure at Internal Audit Report TM19-2023 &amp; TM07-2023 - Cyber Security and ICT Infrastructure (Combined Report).</p> <p>On-premises firewall hardware has been renewed and additional software solution has been implemented to improve and simplify management of all firewall configurations on premises and in the cloud.</p>	3	4	12	<p>Active engagement of Officer and Member Groups in the implementation of digital agenda and changes to the Website format and content.</p> <p>Mobile working solution for in-field workers currently being developed and undergoing field testing.</p> <p>Further development of corporate/enterprise document management system and expansion in usage across the Council is being planned.</p> <p>Further development of the multi-media Cloud Contact Centre solution, to exploit state of the art technology and features to improve customer experience in line with current industry standards, is in progress. Wider use of AI bots for automation of contact centre endpoints is currently under development.</p> <p>Implementation of an immutable backup solution to improve resilience to cyber-attack is <b>completed</b>. All VMs in the Cloud and on-premises are being successfully backed up. Work required to improve Oracle backups is progressing and approaching testing stage.</p> <p>Replacement of Varonis GDPR solution with features available in Microsoft E5 licenses is currently in test, to simplify management and reduce costs.</p> <p>Review of wired and wireless network infrastructure, in line with planned Gibson Building accommodation changes, is in progress. Proposals and quotations requested from suppliers.</p> <p>Planning migration from Server 2012 R2 in line with EOL notification. To be completed by end of Q2 2023/24 for on-premises VMs. Azure hosted VMs have up to 3 years extended support for 2012 R2. Upgrade of on-premises servers is underway and on target for completion by October.</p> <p>Review of end user IT equipment is underway to inform future device policy.</p> <p>Implementation of Agile Applications cloud based solution as a replacement for IDOX DMS, Uniform and TLC is underway to provide a cost-effective and modern service delivery platform.</p> <p>Digital Strategy and IT Strategy currently under revision.</p> <p>iPad renewals for Members is nearing completion. 2 outstanding at end November 2023.</p> <p>Laptop renewals project has is under way for equipment that is due to be replaced in Q4 to ensure end user equipment is fit for purpose. 1 batch of equipment delivered and being imaged.</p>	IT Strategy	Director of Finance and Transformation	↔	Mar-24

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13	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.	updated January	3	4	12	The Council has in place;  Business Continuity Plan.  Corporate Business Continuity Risk Register  Emergency Plans  Disaster Recovery Plans  Inter-Authority Agreements  Mutual Aid Agreement  Partnership agreement with Kent Resilience Team.  Emergency Planning Support Officer.  Duty Emergency Coordinator System and Duty Officer System introduced to provide greater resilience.  Covid Secure rest centre plan has been developed	3	4	12	Emergency planning documentation undergoing constant review and key aspects exercised .  Increase % of staff trained in roles identified in the Emergency Plan Training organised by Kent Resilience Team . 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. Duty Officer rota in place to support Duty Emergency Coordinators out of hours. All staff fully trained before commencing duties. Out of Hours Manual reviewed and regularly updated. DSSLTS sits on Kent Resilience Forum Strategic Board.  Actions taken in response to the Covid 19 pandemic will be reviewed and lessons learnt for the future. Any approved changes will be reflected in the Corporate Business Continuity Plan. Business Continuity Group including all members of Management Team meets twice weekly to oversee and coordinate response to pandemic.  Annual Emergency planning review to be reported to Management Team.  Pandemic response dealt with as emergency through Kent Resilience Forum. Reports regularly presented to Cabinet. More detailed reports covering Review Reorientation and Recovery presented to relevant Advisory Boards.  Recruitment into roles in the Emergency Plan is ongoing. Emergency Planning Officer's hours increased to full time during pandemic.  Virtual Emergency Management systems are being developed to allow a virtualised Emergency Control Room and data handling.	Business continuity underpins the delivery of the Council's essential services	Director of Street Scene, Leisure & Technical Services	↔	Mar-24
14	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	3	3	9	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 ongoing.  County Deal discussions are invited and Kent Leaders are giving preliminary considerations albeit that there is no agreed view at this stage.	3	3	9	White Paper on Devolution is to be published in the Autumn. Analysis of this will be a priority action. This is now replaced by the anticipated "Leveling Up" prospectus in 2022	External risk/national issue	Chief Executive	↔	As required





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15	Partnerships inc. shared services	F, R, S	<p>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 &amp; Transformation Strategy. Private sector partnerships failing having consequences for service delivery.</p> <p>Coronavirus pandemic has significant economic implications for the Council, businesses and residents.</p>	01/04/2017	2	3	6	<p>Regular liaison meetings with partners. Partnership Agreements in place and reviewed as appropriate.</p> <p>Good communication with staff.</p> <p>Officers maintain awareness of issues relating to private sector partners and plans formulated for service delivery in the event of failure via business continuity.</p> <p>KCC undertaking Audit and Fraud function from 1 October 2021 on a newly agreed delegated functions arrangement. As previously report to Audit Committee and Cabinet, this arrangement will provide greater resilience and breadth of experience/knowledge.</p> <p>Partnership work and liaison with key voluntary sector groups will continue via community development meetings in priority wards.</p> <p>Economic stability of major partners appears to be on a better footing now that effects of Covid and Inflationary pressures have now reduced.</p>	2	3	6	<p>Strengthening of the West Kent Partnership, including joint delivery of economic initiatives through the UKSPF and REPF, as well as creating a greater focus on promotion and inward investment. <b>Work needed on improving governance.</b></p> <p>New Waste Services Contract in partnership with Urbaser, TWBC and KCC commenced 1st March 2019. Formal Inter Authority Agreement and Partnership Agreement in place.</p> <p>Ground Maintenance Contract extended in light of good performance of contractor.</p> <p>The Council is working within guidance issued by Cabinet Office "Guidance on responsible contractual behaviour in the performance and enforcement of contracts impacted by the Covid-19 emergency " and Procurement Policy Notes to support contractors and suppliers.</p> <p>The Council will continue to administer the grants to key voluntary sector bodies, with progress to be reported annually. Additional Government grants as a result of the response to the pandemic (Emergency Assistance Grant and Covid Winter Grant) will be promoted to local voluntary sector organisations and applications for funding will be agreed.</p>	Savings and Transformation Strategy	Chief Executive	↓	As required
16	Welfare reform inc. Housing need	F, R, S	<p>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.</p> <p>Current economic situation has implications for residents and businesses with high inflation and increasing interest rates.</p> <p>Ukrainian refugee temporary resettlement program - We are awaiting full guidance on Local Authority responsibilities. Kent Resilience Forum are acting as</p>	01/04/2017	4	3	12	<p>Cross sector working (e.g. welfare reform group) to identify issues and solution.</p> <p>Providing advice to residents on welfare and housing issues, or signposting to relevant providers.</p> <p>Working with partners to identify land and funding opportunities.</p> <p>Working with Registered Provider Partners to ensure needs of residents are being met.</p> <p>Working with owners to bring long term empty properties back into use.</p> <p>Work with consultancy firm Altair on options for longer term TA provision</p> <p>commissioned consultancy work in respect of Homelessness function (TA)</p> <p>Concessionary charges for key services. EQIA assessment of key decisions included in all Board reports.</p> <p>Council rolled out energy schemes on behalf of government</p> <p>Signposting now to UC rather than HB for new working age claimants. Keeping track of welfare statistics</p> <p>CTR Scheme approved for 23/24 . Government council tax support of up to £25 being credited to bills for those on lower incomes</p> <p>Household Support fund tranche allocated by KCC</p> <p>Councils asked to administer further energy support schemes on behalf of government</p> <p>New housing panel in place to work alongside RPs in considering best use of available properties.</p>	3	3	9	<p>Improved working with TA providers leading to more guarantees of available accommodation and developing a TA Procurement Strategy</p> <p>Improved working with main housing provider to identify trends/specific cases across borough to jointly agree approach to preventing homelessness using housing provider mechanisms, DHP payments and homeless prevention funding where needed.</p> <p>Consideration by Members of report from Altair on options for TA provision (Dec 23)</p> <p>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&amp;M.</p> <p>Work with Kent councils collaboratively to ensure grants and support targeted to those most in need</p> <p>Continued focus on homelessness prevention</p> <p>Consideration of use of DHP to encourage downsizing to free up under occupied property. Report to be brought forward to Members in due course</p> <p>Focus on Empty properties in the Borough and how they can be brought back into use. <b>Report targeted for March 24</b></p> <p>Deliver District responsibilities of Ukrainian resettlement scheme.</p> <p>Continue to deliver payments in respect of latest Household support fund Tranche 4 in liaison with KCC. <b>On track to spend by March 24</b></p>	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	↔	Feb-24





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17	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	4	4	16	<p>Significant focus on temporary accommodation and in borough provision as well as framework agreement with private providers.</p> <p>Close liaison with Leader, Deputy Leader and Cabinet in developing the Savings &amp; Transformation Strategy.</p> <p>Clear and comprehensive reports to support Members in making appropriate decisions to support the S&amp;TS.</p>	3	3	9	<p>Member briefings and training sessions.</p> <p>Training for Officers has been arranged for September 2023 by the LGA - 'working in a no overall control council'</p>	Underpins delivery of overall strategy and Savings and Transformation.	Chief Executive	↔	As required
18	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	3	4	12	<p>Working with partners through the Medway Flood Partnership (including EA/KCC/LEP) to secure funding and implement flood defence schemes which will reduce risk of future flooding, including LEHES and property resilience works at East Peckham.</p> <p>Assistance provided to Parish/Town Council's to help develop local Flood Plans. Team of Volunteer Flood Wardens in place.</p>	3	4	12	<p>Work with partner organisations via Kent Resilience Forum and the Medway Flood Partnership continuing.</p> <p>Council Officers dial into Severe Weather Advisory Group meetings.</p> <p>Regular attendance at KRF training sessions.</p> <p>Ongoing support for Tonbridge Flood Group.</p> <p>Funding allocated in Council's Capital Plan to support works to Leigh Flood storage area which will be completed by 2025.</p> <p>£20,000 from Business Rates Retention Pilot Reserve approved for Natural Flood Management Schemes in the Borough (Leybourne Lakes and Ightham Mote). <b>Leybourne Lakes Scheme has been delivered.</b></p>	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-24
19	Homes for Ukraine Scheme	F, R, S	Districts are required to undertake home assessments for potential host households to support Ukrainian refugees fleeing the conflict. Increased workload expected as likelihood of breakdown in housing arrangements as we approach the 2 year mark (and the end of thank you payments to hosts). There is a risk of homelessness and duty to place in T.A. therefore work needs to be undertaken to or support into private rented sector. This is an escalating risk given the longevity of the hosting arrangements. As of 1 April 2023, TMBC have taken on wider support role for Ukrainians in the borough under HFU scheme.	01/09/2022	4	4	16	<p>Some reserve host families have been identified but larger families pose a bigger risk. Re-matches are unsustainable in the longer term. Work underway to support more families into PRS.</p>	3	4	12	<p>Additional support into Private Rented Sector required. Full time Resettlement Worker now in post.</p>		Chief Executive	↔	As required

Direction of Travel key



Downward or positive movement



No change in movement



Upward or negative movement

No	Risk Title	Risk Type	Consequences	Date identified	Likelihood Score (1-6)	Impact score (1-4)	Overall risk score	Current Mitigation	Desired Likelihood Score (1-6)	Desired Impact score (1-4)	Desired risk score	Actions required to ensure mitigation remains	Links to Corporate Objectives / Strategies	Lead on behalf of Management Team	Direction of Travel	Review Date
20	Waste/ Recycling Contract	F, R, S	<p>Failure to provide new service and deliver described outcomes in accordance with contract timescales and health and safety obligations. Significant reputational risk. Risk of challenge from tenderers.</p> <p>Failure to achieve financial targets for garden waste and performance payments scheme linked to changes in collection and disposals methods explained below and links to finance above.</p> <p>Coronavirus pandemic has significant economic implications for businesses and residents.</p> <p>Future sustainability of contract.</p> <p>Risk associated to the outcome of current government consultations on three waste aspects (Collection Consistency, Garden Waste and Extended Producer Responsibilities). Potential for alteration to levels and mechanisms for Council income associated to these areas including, but not restricted to, KCC Performance Payments and Garden Waste Subscriptions, this links to the Council's long term financial stability</p>	01/07/2018	3	3	9	<p>Partnership arrangement with TWBC, with allocation of key tasks.</p> <p>Internal Project Group reporting regularly to MT and Members.</p> <p>Joint Member meeting established with TW's to guide strategic approach</p> <p>External advice sought from specialists on key decisions including Legal.</p> <p>New inter authority agreement with KCC encourages improved recycling performance and shares risks and rewards.</p> <p>IT, Communications and Operations identified as crucial work streams and individual working groups established to manage and implement these work areas.</p> <p>Waste services have been affected by pandemic and national HGV shortage. Agreed with contractor to temporarily ceasing collection of garden waste, Saturday freighter and bulky waste booking system for a period of time to allow focus on recycling and general waste. Garden Waste and bulky booking has resumed.</p> <p>With regard to garden waste collections, residents will have subscriptions extended to compensate.</p> <p>New GW subscriptions were reinstated on 4.04.22.</p> <p>Street cleansing was not suspended but has been impacted as other services have taken priority.</p> <p>Council recently approved supplementary payments, financial support in relation to vehicle leasing. This will enable re-rounding to progress leading to improved service.</p> <p>Consultations currently being monitored through the KRP and updates being channelled through the Kent Chief Executives meetings</p>	3	3	9	<p>Continuation of Partnership working with TW's and monitoring through established Steering Group.</p> <p>Continuation of Member working group to steer strategic approach.</p> <p>Contract monitoring and the firm use of remedies to improve performance including the contractual default procedure.</p> <p>CE's continuing to liaise with Urbaser to discuss future sustainability of the contract.</p> <p>Monitor and phase roll out to flats and any impact of other frontline collections.</p> <p>Reports on progress submitted to appropriate meetings/committees</p>	Delivery of cost effective service to meet customer needs.	Director of Street Scene, Leisure & Technical Services	↓	Mar-24
21	Implementation of Agile system	F, S	<p>Service impacts from level of staff time required to develop the Agile product for use as operating system.</p> <p>Significant level of concern from staff about implementation process results in a lack of confidence in implementation, which will adversely impact service delivery and record keeping</p>	01/11/2022	5	3	15	<p>Programme of liaison meetings with Agile in place including Board and weekly catch ups</p> <p>Employment of Business Change PM to manage project on behalf of TMBC and coordinate all issues</p> <p>Weekly meetings with CM for Finance &amp; Housing, who is the Cabinet Lead for Agile.</p> <p>Internal meetings with staff, managed by Business Change Project Manager</p> <p>Issues log in use</p> <p>Issues escalated to Agile management</p> <p>APAS (Planning) Module now live. Placis Module currently in implementation phase</p>	2	2	4	<p>Further escalation of issues to Agile CEO</p> <p>At least 3 stand ups per week between Business Change PM and SRO (DPHEH) in September to oversee APAS go live by end of September</p> <p>Request for PLACIS delivery plan to be populated by Agile by 8 Sept made by CE and Cabinet Member</p> <p>Weekly review of project plan and considerations of service impacts required to meet go live programme - to be reported into MT on a regular basis</p> <p>Completion of all modules.</p>	Digital Strategy	Director of Planning, Housing and Environmental Health	↓	Mar-24

Direction of Travel key



Downward or positive movement



No change in movement



Upward or negative movement

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22	Elections	R	Failure to comply with legislation, miscounts and significant reputational impact.	14/12/22	3	4	12	Ensure experienced staff are in place, corporate team reviewing activity and monitoring progress.  Tranche 2 of Election Bill changes  Parliamentary Boundaries  Parliamentary election - date unknown, possible May 2024 or October 2024?	2	4	8	Broadening of staff skills and experience to build resilience.  Discussions on core staffing for Elections and use of more IT modules to reduce workload and progress digital transformation Increase in temp staffing resources to mitigate delayed implementation of two IT system modules. Following elections this needs to be reviewed.  Implementation of changes to Postal Votes portal and new application forms, changes to Proxy votes, Overseas electors, EU Citizenship. Core team keeping up to date with all notifications from EC and Cabinet Office and undertaking any training required.  Changes to Parliamentary Boundaries to be completed this year including a further Polling District review. DA waiting for final recommendations to be able to implement. Changes to Register 1/2/24.  MT horizon scanning on any increased chance of snap General Election. RO and DRO's assessing risks. Risk has diminished at the moment.	Statutory requirement	Chief Executive	↔	Mar-24
23	Carbon Neutral 2030 Aspiration	F, R, S	Significant reputational risk, particularly if other similar councils have achieved similar goals or targets. Significant financial cost to purchasing offsets to meet carbon neutral. High cost of increased frequency and intensity of extreme events (floods, heat waves) that increase costs and disrupt service delivery.	01/09/2023	5	3	15	Development of climate evidence (e.g. for the Local Plan), partnerships (residents, community and other Councils) and pathway analysis to support move towards transformative and larger scale emissions reductions  Increased contributions to Climate Change Reserve to Support match funding as well as capital projects.	3	2	6	Ongoing commitment by Members, senior management and services to new actions beyond "business as usual". Improved understanding of financial returns from climate mitigation measures that can be reinvested. Innovative thinking and delivery of services and mitigation options. Successful outcomes in bids for significant additional grant funding.  Funding is dependant on successful applications and awards being achieved, otherwise Council Resources will be needed.  Gap analysis report being prepared for Overview and Scrutiny Committee in January 24.	Climate Change Strategy, Corporate Strategy 2023 - 2025	Chief Executive	↔	January 2024 (ahead of next climate change action plan)
24	Waste/Recycling Income	F	Risk associated to the outcome of current government consultations on three waste aspects (Collection Consistency, Garden Waste and Extended Producer Responsibilities). High potential for alteration to levels and mechanisms for Council income associated to these areas including, but not restricted to, KCC Performance Payments and Garden Waste Subscriptions	01/09/2023	4	3	12	Consultations currently being monitored through the KRP and direct through DEFRA briefings/updates by Waste and Financial Services and updates being channelled through the Kent Chief Executives meetings.	3	3	9	Whilst consultations and implementation plans will be monitored, the influence on government policy may be limited. This restricts the ability for the Council to directly control the level of this risk and is why the risk remains the same following mitigations.	Statutory Requirement	Director of Street Scene, Leisure and Technical Services	↔	Mar-24